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# English Literary Portrait of the Arabs

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**Abstract**—This article highlights the progress of the images of Arabs in English literature. Europe owes a debt of gratitude to Arabia and the East. In early history, Arabia is the birthplace of all the major heavenly religions. In later periods, Oriental scholarship played a significant role in promoting cross-cultural transmission in the West. The English medieval literary depiction distorted the image of Arabs. Some literary portraits of the Arabs have depicted Arabs as tyrant caliphs, weak kings, lustful princes, medieval Saracens, mysterious travellers, filthy Bedouins, and immoral women. Modern English Orientalists work to explore the Arabian characters with reference to Islam. Islamist Arabs are represented as a threat to the West. Authentic secular literary outlook can greatly help the spread of the Arabic culture in the West.

**Index Terms**—Arabia Felix, the Magi, frankincense, Saracens, Sheba, and Arabian Phoenix, 9/11

## I. INTRODUCTION

The Arabs are one of the most ancient races of mankind. They have, of all others, perhaps, best preserved their national independence and their distinctive character and manners. The Arabs are now of two descendants; the majority are from Qahtan, originally Sabians, and the others are of the lineal descendants of Ishmael, son of the Messenger of Allah, Abraham and Hagar (Florian, 1857, p.22). The Bible tells us that three Wise Men prostrated themselves and paid homage to Jesus. They were originally from Yemen, a place where Jews enjoyed majority during that time and up to the appearance of the Prophet Muhammad in Mecca, a time in which all of them became Muslims. The Three Yemeni kings or wise men are known as the Magi who came from the East, guided by a star, and brought gifts of gold, frankincense, and Myrrh for the baby Jesus. The image of the Magi is clearly shown as Arabian in the Western art and during Christmas. Biblical Magi were received as Arabian Kings. The expression, "the kings of Arabia and Saba shall bring gifts," is the epiphany of the lord to the gentiles.<sup>1</sup>

With the advent of Islam in 632 AD, the history of the world changed. As Arabs spread Islam in less than one hundred years after the death of the Prophet Muhammad, the Arab Empire and civilization demonstrated positive reception for many other religions and cultures. The presence of scientist Arabs is remarkable in the history of science. The influence of Islam extended from the banks of Indus to the Pyrenees. The light of Arabian learning is indivisible from the influence of Islam. The scientific inventions of Lord Bacon and of Roger Bacon were based on the Arabian masters. Besides this gratitude was a proportional broadmindedness.<sup>2</sup> Positive examples of Muslim-Christian cooperation can also be found elsewhere. In 1076, Sultan al-Nasir of Bejaya wrote an appeal to Pope Gregory VII for the ordination of a home priest to take care of the Christian inhabitants in the Islamic Empire. The Christian Emperor Charlemagne and the Abbasid Caliph Harun Al-Rashid made agreements for Christians to travel to the Holy Land. The Arab Christians established hostels to serve Christian pilgrims along the way to Jerusalem (Hitti, 1964, p. 315). Before the eleventh century, the poetical romances of the Spanish Saracens appear to have kindled a spirit which soon crossed the interjacent kingdoms, to strike root and flourish in the South of France (Forster, 1829, p. 318). In the twelfth century, Toledo was a significant hub of learning for scholars from all over Europe who came to work with native speakers of Arabic. The Arabian civilization showed openness to the advantages to cultural, civilizational, scholastic, and religious cooperation. The present article approaches the images of the Arabs in English literature.

## II. THE MEDIEVAL PORTRAYAL OF ARABS

In Webster's 1913 dictionary, the word 'Saracen,' (Latin: *Saracenus*) is a noun and means *sharqi* in Arabic, Oriental, or Eastern. In Arabic, *Sharaq* means the rising sun. In the Middle Ages, 'Saracen' is the common term among Christians in Europe for an Arab or a Muslim (mistakenly called Mohammedan), hostile to the crusaders. According to the Encyclopaedia Britannica, the term 'Saracen' means any Arab, Turk, or Muslim. Earlier, in the Roman world, there had been references to Saracens (Greek: *Sarakenoi*) by late classical authors in the first three centuries AD, the term being then applied to an Arab tribe, living in the Sinai Peninsula. In the succeeding centuries, the use of the term by

<sup>1</sup> Biblical Magi From Wikipedia, the free encyclopaedia

<sup>2</sup> For discussions of relations between Muslims, Christians and Jews in early Islam see Jane I. Smith, 'Islam and Christendom', in *The Oxford History of Islam* ch8, John L. Esposito, ed., (New York: Oxford University press, 1999), Bernard Lewis, *The Arabs in History*, revised edition. New York: Harper & Row Publishers, 1966, 58 ff, and Brian Beedham, *Muslims and Westerners: The Reformation of Cultures*. London: The Eleni Nakou Foundation, 1997, 3ff.

Christians was extended to denote Arab tribes in general; and after the establishment of the caliphate, the Byzantines referred to all Muslim subjects of the caliph as Saracens. Through the Byzantines and the crusades, the name spread into Western Europe, where it was long in general use and survived until modern times.<sup>3</sup> Norman Daniel, a British critic, explains that academicians and history writers used 'Saracen,' to mean 'Arab' or 'Muslim,' or both, according to context (p. 8). Other words such as 'Moor,' 'blackman,' 'blackmoor,' 'Negroe,' 'Aethiopian', (or even 'Turk') were used interchangeably in the Medieval era in spite of the fact that the English became aware of the distinctions between different types of blacks (Tokson, 1982, p. 2).

The literary contact engendered a dramatic confrontation in the Crusades literature. The Crusades diffracted image of the Arab world perpetuates some of the old polemical bias. Nonetheless it indicates a slender departure from the Medieval prejudiced outlook on Islam and Muslims. A significant literary groundwork for studying the image of Arabs is embodied in the epic songs of

*Chanson de Geste*, the oral poetry of Medieval France. These heroic epics were often meant for entertaining the European community. They are found in twelfth century manuscripts. These works proved to be a lasting influence on European literature including English literature.

In the poem *The Song of Roland*, the Arab is defined as anti-Occident. Arabs of Spain do not have any value. From the storyline in *The Song*, the Arabs are pagans and believe in idols. The first few lines of the poem depict the Arabian King of Spain, Marsilia. He is shown to be a devout to his gods, a portrayal encouraging the inference that Arabs and Muslims worship Greek divinities and Muhammad. The Arabian King worships Apollo and 'Mahound'. When the King feels that his monarch is going to fall, he starts to seek every deity for help. Saracen or Arab soldiers worship a trinity of gods, named Apollin, Tervagant and Mahomet, whom these pagans beg to intercede for them in battle, much as the Christians do with respect to their God, Christ:

Before them carried their dragon  
And the standard of Tervagant and Mohammed  
And an image of Apollo, the felon. (v. 3266-3268).

The frontier between France and Arabic Spain was fraught with tension. The battle memorialized in *The Song of Roland* can be read as a new contest between God and Lucifer: 'At the one stroke the heathen upon the ground did roll\And in that hour Satan hath carried off his soul' (xcvi-ii). Arabs are represented as pagans. They worship Tervagant, Satan and Mohammed. It is a literary portrayal between those who fight for the Christian God and those who fight for Satan. The reference to the false theology of Arabs has aimed to distort and demonize the reputation of Muslim Arabs. In a system constructed of symbols, it was necessary for Medievals to destroy the Islamic signs in order to achieve victory for Christendom. By destroying the pagan idols, Charlemagne destroys the pagans themselves:

And they threw down Tervagant  
And threw Mohammed in a ditch  
And pigs and dogs bit at them and defecated  
On them (v. 2589-2591).

The image of gods is used to establish authority over the Other. In a holy war, if one loses his gods, one is believed to have lost the war. As pointed out by Norman Daniel (1984), 'the Saracen religion in the *Songs* relates to facts about Islam in the same way as a distorting mirror twists a real object into an unrecognizable travesty' (p. 4). Moreover, C. Meredith Jones (1924) finds out that the conventional Arabs of the *Songs of Geste* is awful; they are shown as pagans and their practices such as the segregation of women, polygamy, harems, divorce, and sexual promiscuity (p.225). This negative attitude also appears in Medieval drama.

The *dramatis personae* of the Medieval drama include Arab characters. The earlier Middle English play *Mary Magdalene* of the *Digby Mysteries* (15<sup>th</sup> c.) is a complete and elaborate service held in honour of 'Mahound,' Prophet Muhammad. The lack of accurate knowledge about Islam appears in the dramatists' attempts to represent some forms of Muslim religious rituals. In the temple (mosque), the king of Marcyll proposes to sacrifice his idols to the great one 'Mahound', and during the service, all characters kneel to 'Sentt Mahownde' (Smith, 1977, p.2). The king of Marcyll bids the image of 'Mahound' to speak, but it remains voiceless. In the play Muslims and Christians fight each other. Some Muslims are killed and others adopt Christianity. Magdalene in *Mary Magdalene* shows the Arab king of Marcyll converting to Christianity. The king finally demolishes his mosque and swears to build Christian churches and to help his people embrace Christianity. He wholly announces his devotion to Christ (Smith, 1977, p. xiii). This prejudice arises out of Crusade propaganda, since the *Digby Mysteries* stirs up war passion against Muslims.

This image is definitely an attempt to distort the reputation of Arabs, Muslims, and Islam. On the other hand, the name of Herod was discreditably attached with the greatness and blessing of the Arabian Prophet, Muhammad. Herod prays on his death-bed in line with the Christian religious practice. The name of Christ is ridiculously substituted by that of Muhammad: 'My lord Mahound, I pray thee with her enter' (Aljubouri, 1972, p.174). In the *Townley Mystery Plays*, *Herod the Great*, Herod starts with the name of the Arabian Prophet Muhammad: 'Moste mighty Mahowne' as a holy pagan deity. In the play, the First Soldier reports that 'Herode, the hend,\ king by grace of Mahowne' (9-10). This tendency may best be seen in the treatment of pre-Islamic villains such as Herod, Pilate, the

<sup>3</sup> Saracen. (2011). In Encyclopædia Britannica. Retrieved from <http://www.britannica.com/EBchecked/topic/523863/Saracen>

Pharaohs and a variety of pagan kings and queens as Arabs or Muslims. The image of Prophet Muhammad is represented on the British stage as an idol. This was a literary tradition. For instance, the play *Mary Magdalene* depicts a Muslim sultan offering Islamic rituals and prayers to a brazen head of Prophet Muhammad (Smith, 1977, p.2). The name of Muhammad appears in numerous dramatic scenes in *The Play of Wyt and Science*, *The Play of the Holy Sacrament*, *The Townely Plays*, and *The York Mysteries*.

John Lydgate's *Fall of Princes* (c. 1440) stands out as possibly the first English literary piece with baseless accounts of the Prophet Muhammad. It re-echoes some of the polemical offenses on the Prophet's character. In the story *Off Machomet the fals prophete and how he beyng dronke was deuoured among swyn*, Lydgate describes him as a magician of low birth who was guilty of leading Muslims astray. He speaks of his mother as a Jew since she grew up in a village near the Medina, called Al-Abwa. Lydgate filled his poem with blasphemous depictions of the Prophet Muhammad. Likewise, William Langland (c.1330-c.1386) also seems to have been swayed by the same prejudices in portraying the Prophet (peace and blessings be on him) in *Piers Plowman* (1362) as a Christian impostor Bishop abusing the power of the Holy Ghost. The second coming in the vision of *Piers Plowman* is preceded by a time deformed by 'Mahomet' (Oueijan, 1996, p.13). This name of the Prophet 'Mahomet' is also used in the Middle Ages onwards as a generic word for a false god.

#### A. Image of Arab Scientists

The Arab civilization played a great role in the development of the modern world. In the process, the Arab culture progressed extremely well during the half millennium from about 750 to 1258. The Arabs appear to have cultivated, with equal success, the instructions and the practice of medical science. They applied themselves to the study of the ancients with extraordinary attentiveness. They had mastered and made their own from whatever was known to the Greeks. Their advances in the newly-discovered science of chemistry soon enabled them to distance their preceptors. For instance, in *The Canterbury Tales: General Prologue*, the Doctor of medicine refers to historical world founders of medicine including Averroes [(Abu Al-Walid Ibn Rushd (1126-1198)], Avicenna [Ibn Sina (980-1037)], Haly [Ali Ibn Abbas (d.994)], and Razi [Abu Baker al-Razi (850-924)]. They are famous Arab physicians and philosophers of the twelfth century. Avycen, known as Avicenna, wrote the *Canon of Medicine* in the eleventh century (Ali: p.580):

Wel knew he the olde Esculapius,  
And De{"y}scorides, and eek Rufus,  
Old Ypocras, Haly, and Galyen,  
Serapion, Razis, and Avycen,  
Averrois, Damascien, and Constantyn,  
Bernard, and Gatesden, and Gilbertyn.  
Of his diete mesurable was he. (Prologue, 431-437)

The Arab doctors contributed to civilization's intellectual stock. The Islamic sciences were available in England and Europe. Therefore, Geoffrey Chaucer speaks admiringly of several Arab doctors and philosophers such as Argus [al-Khwarizmi (780-850)] in 'Book of the Duchess' (435), and Alchabitius [Abd al-Aziz (c.960)] in *Astrolabe* (1,8,13), and as well Azrachel [al-Zarqali (1029-1087)] in (2,45,2), and Alocen [Ibn al-Haytham (965-1039)] in *The Squire's Tale* (232). Gibbon (1964) reports that 'the age of Arabian learning continued for about five hundred years, till the fall of Bagdad; and was coeval with the darkest and most slothful period in European annals: but, since the sun of science had risen in the West, it should seem that the unit of Oriental studies have languished and declined' (p.44).

The Elizabethan dramatist George Chapman (1559 – 1634) highly appreciated the transmission of knowledge of Greek to Arabians and then to the West. He admires the Arab scholars Averroes, Avicen and Razi (*Maid Lady*, 3.3.19) for their contribution to human knowledge. In Sir Walter Scott's *The Talisman* (1825), the Arabian physician belongs to an Arabian royal family. The Arabian physician successfully cured King Richard of his illness. King Richard appreciated the doctor and describes him as being a descendant of 'nobles of Araby' (p. 350). There were many ways through which the Western writers came into contact with the Arab World. Samuel Chew comments that the influx of literary themes and subjects of fantastic Arabian tales were brought from Palestine during the Crusades; the Western writers "had their part in filling the popular imagination with [positive] dreams and fantasies of the East" (Chew, 1974, pp. 6-7). These Arabian dreams and fantasies, besides the stories, were brought home by Western pilgrims, scholars and travellers.

#### B. Image of the Arab Kings and Women on the Elizabethan Stage

The Arabian images in Elizabethan literature are interesting. The late sixteenth century witnessed a flowering of emblematic literature which makes use of earlier Oriental trends with Arabian figures and costume. John Russell Brown believes that a high and costly costume was required to represent these royal characters (Oueijan, 1996, p. 46). Arab characters appearing on Elizabethan London stage were soldiers, maids, sailors, chiefs, princes, princesses, kings and queens. Thomas Newton's book *A Notable History of Saracens* (1575) was a great source of information to Elizabethan media. Arabian masks as well as Moorish masks were used in 1560. Most of these shows in general represented different countries in the Arab World. In looking at the overall Elizabethan portrait of the Arabs, some Elizabethan writers devoted affection to Arabs. Elizabethan playwrights had a real affinity for Arabs. Arab Kings' appearance with Oriental costume was attractive. They were presented on London stage as leisured, bright and fashionable such as

Rhesus, King of Arabia, in George Chapman's *The Blind Beggar of Alexandria* (1596) and Marlowe's *Tamburlaine the Great* (1587), Crocon, king of Arabia, in Greene's *Alphonsus* (1590), Almanzor Caliph of Arabia and his general Tarifa, the conqueror of Spain in *Revenge for Honour*, (1603), the Soldan of Baghdad in Dekker's *Old Fortunates* (1647), and the Tunisian Prince Mustapha and Princess Donusa in Massinger's *Renegado* (1624).

Rhesus, King of Arabia in Marlowe's *Tamburlaine* appears as disappointed and weak. The King's character carries a pre-Islamic name and acts with a secular conduct to Zenocrate. He loves Zenocrate but before marrying her he is murdered by Tamburlaine. The scene is an image of darkness. The scene of the body of the King of Arabia, Alcidas, lying on the stage is heartbreaking. Rhesus, the King of Arabia, is depicted as a hapless king in Chapman's *The Beggar of Alexandria*. Naji B. Oueijan's (1996) comment is worth-considering: "Marlowe presented to his Elizabethan audience a picture of the East they desired to see, an Orient filled with treachery, cruelty and false doctrine, an Orient that was destroyed by its own rulers..." (p. 19).

George Peele's famous historical Elizabethan Oriental play *The Battle of Alcazar* is perhaps written no later than 1591. This play tells of the legend of the battle of Alcácer Quibir in 1578. Muly Mahamet is a descendent of the true Arabian Muly Sharif (1.1.50). Mahamet is labeled with distorted images by his uncle, Abdelmelec, as "the proud usurper", (Act I, i, 77) "tyrant traitor", (Act I, i, 129) "traitor and bloodie tyrant both at once" (Act I, i, 159) and "this Negro moore" (Act II, ii, 902). His younger uncle, Muly Mahamet Seth, took him to be "this traitor tyrant" (Act I, i, 201) and "the traitous Moor" (Act V, i, 1530). Muly Mahamet, on his turn, spoke of his uncle, Abdelmelec, as "the traitor helplesse" (Act IV, ii, 1204), "barbarous Moore" (Act IV, ii, 1236) and "traitor king" (Act IV, ii, 1243). The main historical source for the play is John Polemon's book *The Second Part of the Book of Battles, Fought in Our Age* (1587). The Arabian King Mulai Mohammed is in full luxury and extravagance. He is portrayed as a Machiavellian tyrant. His description is launched in the first lines of the play: '... this tyrant king; Of whom we treat, sprung from the Arabian Moor, Black in his look, and bloody in his deeds' (I.i.14-17). Indeed, in *The Battle of Alcazar*, Muly Mahamet and his uncle are cruel and inhuman.

The portrayal of the Arab women in *The Songs of Geste* and *The Song of Roland* is rooted in and builds upon the traditional description of Oriental women. C. Meredith Jones (1924) points out that the image of Muslim woman is in the context of sexuality with Christian knights (p.219). The Arab woman is tagged with pejorative terms like 'whore,' which was often used by Elizabethans to describe Oriental dames. In Peele's *The Whore of Babylon*, Arabian Iraqi women are identified as whores. In Philip Massinger's *Renegado* (1624), Paulina says, 'I will turn Turk [means Muslim];' Gazet answers, 'Most of your tribe do when they begin in whore' (4, 2, 43). Massinger engenders in the mind of the Elizabethan audience a misconception about the Islamic sexual repression. Massinger tries to draw a contrast between 'Christian purity' and 'Muslim sensuality.' Donusa, a Tunisian princess, falls in love at first sight with an Englishman, called Vitelli. She tenders her body to him, for 'her religion allows all pleasure'. Driven by her promiscuity, she calls Vitelli to her private room and asks him keenly for the second entertainment the next day (Kidwai, 1995, p.145).

Women in Chapman's plays are accused of adultery, and consequently they suffer. For example, in *Revenge for Honour*, Caropia falls dreadfully ill when she is falsely accused by her one-sided lover, Abrahen. She is killed by Abrahen. It seems that Chapman's Caropia is judged by her sexuality even when she remains faithful to her husband and husbands-to-be. Some feminists believe that this demonstrates a male insecurity about female sexuality. The term 'honour' or 'prostitute spirit' is considered quaint or outdated by Chapman. The story dubs interest in *Othello: The Moor of Venice* (1603). Othello's reference to Arabia depicts that he is an Arab and draws attention to extreme jealousy harboured by Arabs. Many threads of the plot of jealousy have equivalents in *Cupid's Revenge* (1612). To this extent of jealousy may be included even closer jealousy parallels between *Revenge for Honour* and Glapthorne's *Albertus Wallenstein* (1639), and Carlell's *Osmond, the Great Turk* (c. 1639).

The overstated outlook that a woman who converts to Islam becomes a prostitute is a product of evangelic misinformation. The image is purposely formulated for the English woman who desires to embrace Islam. Islamic teachings might turn her into a whore. As a punishment, the Christian girls married to Muslim, would be fundamentally disconnected from their parents. History books like Notable's *History of the Saracens* state that Arabs conquered states all over the world, and a number of female captives were taken into a legal concubinage (Kidwai, 1995, p.89). Therefore, nations were offended; but most people converted to Islam. Furthermore, in *Twelfth Night*, Shakespeare tells about an Englishman, who has lived in Baghdad, and got married to a 'fair' Arab woman. She was fair and righteous that caught the fancy of English ladies to be like her and live saintly (2.3.80-84). It is no coincidence that Shakespeare refers to the righteous Arab woman in relation to his admiration.

In Marlowe's *Tamburlaine*, the noble Olympia, wife of the Captain of Basra, is a strong Arab lady. She is represented as a brave and honest woman. Olympia is victimized by Tamburlaine and Theridamas. In a distress scene, she witnesses the murder of her husband by Tamburlaine. However, she has knifed her son who could not bear to see the shame of defeat and wants to meet his father. She claims that Captain of Basra, is 'in heaven' (Part II, 3.4.30). She felt sorry for 'this sin' and pleaded to God and 'Mahomet' for forgiveness. She took the corpse of her son to burn it along with his father, as a protest against the oppression of Tamburlaine. Shortly, Theridamas murdered her since she rejected his bid to marry him. Olympia represents the Arabian Phoenix bird in her killing her son and life.

The image of the Arabian woman wearing black masks with little clasps prettily ordered appears in Thomas Moore's narrative poem *Lalla Rookh* (1817). Arab woman covers most of her face except for a slit or a hole for one or the two eyes:

And veiled by such a mask as shades  
The features of young Arab maids,  
A mask that leaves but one eye free,  
To do its best in witchery. (The Light of the Haram, 319-322)

Thomas Moore wants to introduce the Arab woman habit in using the veil on body and face. The image of Islamic veil is alien in the secular Western societies.

### C. Portrayal of Arabs in *Arabian Nights*

The first English translation of the *Arabian Nights* is published in 1715 for Andrew Bell. This work popularized the image of Arabs. The impact of this English translation of *Arabian Nights* was abundant. The English literary works of the eighteenth and nineteenth centuries had been revival themes from the *Nights*. Sir Richard Burton's (2001) *Arabian Nights' Entertainments* is stylistically plain and literal translation with an introduction and explanatory notes on the manners and customs of Arabs. It has been popular in England. Meester speaks admirably about this translation saying:

[These stories] furnished on our languages with number of expressions and images, they have imprinted on our minds many scenes of Oriental life. This last point is among the greatest merits of the *Thousand and One Nights*: they give such a faithful picture of the Orient, its life and customs, that many people who afterwards happen to visit those countries on oriental conditions and described in the *Nights*' (p.13).

The Arabs are portrayed as inhabitants of a magical and mysterious world, full of jinns, flying horses, and supernatural birds and replete with exotic scenes of harems, princes, slaves, eunuchs, along with wonderful stories like those of Ali Baba and Sindbad.

The Arabian images have been part of the panoramic colours of the English Victorian literature. The appearance of the *Arabian Nights* in English made the Arabic themes very popular. Since very early times, the East and its literature has been a source from which the West has freely borrowed. William Thomas Beckford's (1760–1844) *Vathek, an Arabian Tale* or *The History of the Caliph Vathek* (1786) is a story of an Abbasid Caliph. The title character is inspired by Al-Wathiq ibn Mutasim (842-847) who had a great thirst for knowledge and who was a great patron to scholars and artists. During his reign, a number of revolts broke out. He took an active role in quelling them. In *Vathek*, the themes of lust and violence are central to the story. The text, therefore, hardens stereotype, and provides nothing new in English literature about Arabia, but follows the typical Orientalist pattern. Indeed, these texts - in creating a barbaric Arab out of the East - continue a tradition which dates back to the Medieval Age of Chaucer and Gower. *Vathek* carries forward the conventions of the Arabian Gothic. The violent and autocratic ruler in the form of the Caliph Vathek works only to satisfy his wants.

The Arabian Caliph Vathek lives in extremely excessive luxury; when he inherits the palace, he adds "five wings, or rather other palaces, which he destined for the gratification of each of the senses" (*Vathek*, 2). To please his physical sense, the palaces of *The Eternal or Unsatiated Banquet* is shaped, where, "the most delicious wines and the choicest cordials flowed forth from a hundred fountains that were never exhausted" (*Vathek*, 2)., for his sense of sight there is "The Delight of the Eyes, or The Support of Memory" in which, "Rarities, collected from every corner of the earth were there found in such profusion as to dazzle and confound". The final fifth palace is to satisfy his sense of sexual touch in harem. This scene is frequented by troops of Houris, young beautiful females. The Arabian Caliph is lustful. He never misses to receive embraces and enjoys hours of the company of young females (*Vathek*, 29-30).

Likewise, George Gordon Byron's (1788–1824) *Giaour* (1813) shows the Islamic image of evil, Eblis or Satan: 'the blood of fifty children ... [taken] from the most beautiful sons of thy viziers and great men' (*Giaour*, 42). Byron designed the story with three narrators giving their individual point of view about the series of events. The main story is of Leila, a member of her master Hassan's harem, who loves the Giaour and is killed by being drowned in the sea by Syed Hassan, an Arab dictator. In revenge, the Giaour kills Syed Hassan and then enters a monastery due to his remorse. The design of the story allows for contrast in Christian and Muslim perceptions of love, sex, death and the afterlife.

Like Byron, Robert Southey (1774-1843) is fascinated by Arabian characters. In his poems *Thalaba, the Destroyer*, the young Arab, Thalaba, demolishes the kingdom of the magicians, Dondaniel, under the sea. With the support of a magical ring, Thalaba, the hero, overcomes his supernatural enemies and destroys the sorcerers and their rich kingdom. *Thalaba's* story contains elements from the *Arabian Nights* such as the magicians, sorcerers, nags, and a flying horse. Though Southey utilised *Arabian Nights'* elements, he relates Islamic references to depict the image of Arabian characters. Southey, who knew very well George Sale's English translation of the Qur'an, believed that Islam is an extension of Christianity and that Muhammad is an evangelic prophet. Southey's vision refers to Islamic theology that "in *Thalaba* the beliefs and customs of the Islamic Orient are a survival of the ancient life and faith of the Bible"; Southey goes on to say that "Islam is used as a model for the regeneration of European civilization," and that Southey considered that "Islam in itself could play an effective part in the understanding of man and human consciousness" (*Thalaba*, 124, 105 - 106). Unfortunately, however, a few years after the publication of *Thalaba*, Southey, who did not study Islam at first hand, yields to popular misconceptions when he presents contradicting views of Islam in his prose work *Chronicle of the Cid* (1808). Southey's reference to Islam here is an entirely unfavourable approach to depict an

image of an Arab. Some writers refer to Arabia because they were familiar with part of the Islamic knowledge through travels which invigorated the interest in Orientalism.

#### D. Image of the Bedouin Arabs

The English fascination for the Arabian Desert and its citizens was developed in the notion of the English writers who possessed an intuitive understanding of Arabs because of the travel publications. Wordsworth splendidly dreamt of the desert and the Arab Bedouin. In Book V of *The Prelude*, Arabia fills Wordsworth with a sense of wonder and marvel. While reading a book on a beach, he dreams and discovers himself in a dry sea, a desert, and takes a look at a Bedouin Arab who holds a stone and a shell in his hands. Besides, the idea that the desert of Arabia represented emotion and freedom, primitive yet passionate and powerful, attracted the Romanticists. This tendency to establish and romanticize was exotic by itself. The dream of the Bedouin Arab in the *Prelude* (V, 86-102) stands for a fascination of the literary Orientalism in the Romantic Age. More significantly, the Arab in *The Prelude* responds to the dreamer's questions, implying the opportunity for opening channels of communication between the West and the Arab World. Wordsworth is, perchance, the primary author to award this equivalent status to an Arab who is no more traditionally cast in the position of a combatant or an enemy.

Unlike Pope who in *The Dunciad* described Arabs as an ill-mannered people against learning and charged them burning libraries, Wordsworth acknowledges the great Arabian scholarly institutions and contributions to world knowledge. The Arab correspondingly comes into view with books of science and poetry; so doing, Wordsworth admits the Arab perpetuation and communication of knowledge which helped recover Greek thoughts. Far from the conservative "Noble Savage", Wordsworth's Arab stands out as a culture-hero. The stone is "Euclid's Element," and the poet recognizes it to be a volume of "geometric truth"; the shell is a book of poetry which prophesies the demolition of the world by a flood. This image "reaches the very 'ne plus ultra' of sublimity" (526). William Wordsworth advocated it for being 'useful in calling forth intellectual power.'<sup>4</sup>

Some successful English travels in the nineteenth century brought information about the Arabs. English travelers provided a perfect physical description of people of the Arab World. Some characteristics of the Arabian folkways and prototypes of life were more than those in earlier reports. The most popular collection was William Alger's *The Poetry of the Orient*, first published in 1862. Alger gives a free poetic rein to his picture of the Arab personality which he says the poetry conjures up:

Visions of tawny brows, flowing beards, soft eyes, picturesque turbans, pawing chargers, patient dromedaries... It is the land of the date tree and the fountain, the ostrich and giraffe, the tent and caravan.... Hospitality waves her torch through the night to win the wanderer to be a guest. Reeking vengeance, with bloodshot eyes and dripping blade, dashes by on a stallion shod with fire (p.50).

The twentieth century literature produces modern Western Oriental material with reference to Islamic theology. For instance, Robert Hichen's *The Garden of Allah* (1904), is a paradoxical story about the tropical climate of Algeria. The epic novel tells of the adventure of a young English woman alone in the Sahara Desert. The story continues to enchant and manoeuvre for a paradoxical Garden of Allah in the dark mystery and rich cultural environment of Algeria which is hot humid climate, noisy cities, and exotic evenings. *The Garden of Allah* refers to the Arabs' submission to the will of God: "The Arabs, at any rate, do not buzz against their Creator, like midges raging at the sun in whose beams they are dancing" (p.159). The theme of the Arabian wildlife in the desert is interesting. W.B. Yeats' *A Vision* (1925) gives an account of Arabic interests in the Arabian horse and the Desert. Besides, the Arabian romance of Yeats' 'Kusta ben Luka' evokes the Orientalism of Lord Dunsany's play *The Tents of the Arabs* (1920) and Elroy Flecker's *Hassan: The Story of Hassan of Baghdad and How He Came to Make the Golden Journey to Samarkand* (1922). These Oriental literary materials are influenced by the *Arabian Nights*. In relation to the excitement of the Oriental literary material, G.M. Trevelyan in his *English Social History* (1944) points out that 'wicked [Muslim] kings who wore a turban' are represented in Arabian contemporary costume symbolically to indicate their status in England theatre (p.89).

The Medieval image of Saracen Arabs in Europe has been recycled in the twentieth century. Bedouin Saracens appear in the name of real characters of early Islamic Arabia. The images of Prophet Muhammad, Caliph Abu Baker, Caliph Omer, etc are recycled to crystallize the trend of Islamophobia in Europe. The growth of Islamophobia makes some literary writers to depict Islam as a threat to Europe. For instance, Salman Rushdie's *The Satanic Verses* (1988) is blatantly and unapologetically offensive. Rushdie devastatingly targets Islamic symbols in representing the Prophet Muhammad and his companions in a medieval misinformation. *The Satanic Verses* has a religious theme to falsify the holy Qur'an and its Prophet. The character of the Prophet Muhammad is represented as a charlatan and a heathen idol worshipped by the Arabs. It is a duplication of the medieval attitudes in assaulting Prophet Muhammad and in 'exposing' Islam. Rushdie uses the medieval names of 'Mahound,' 'Mahoun,' 'Mahun,' and 'Mahomet,' which were Christian synonymous with demon, devil, or idol. The name was invented by the authors of Christian play series and romances of twelfth century England (Armstrong, 1993, p. 42). For many Englishmen, the Arabian theme is still understood in terms of the Christian polemic history. Arabs and Muslims are heathen and violent infidels though they share much from both Jewish and Christian contexts. This inaccurate and prejudicial outlook is part of a profound ignorance in the West about the Orient of Islam.

<sup>4</sup> Letter of 16 December 1845 to S. Tremenhere in *Letters, the Later Years*, ed. E. De Selincourt. Oxford, Clarendon, 1939. III, 1269.



With the end of the cold war and the rise of radical Islamic factions in the Middle East, the disagreement between Islam and the West has raised. The theory of Samuel Huntington in the "Clash of Civilizations" moves up the political spectrum. The anti-Western language of many Muslim militants has pumped up the confrontation which has come to be widely anticipated. At the same time, many issues afflicting the Middle East itself - from the Arab-Israeli conflict and the Gulf War - are widely seen as reflecting the influence of Islam on politics and society of the Orient. In contrary, the Arab critic Edward Said introduces Orientalism as a cross-cultural interaction between the Occident and the Orient. In his book, *Islam and the myth of confrontation: Religion and Politics in the Middle East* (1995), Fred Halliday, a modern linguist, refutes these interpretations of clash. He considers the source of Islamic threat is an illusion. Halliday calls the Islamophobic, racist, and stereotypical elements are all anti-Muslim demagogues.

### III. THE ARABS OF 9/11

The image of Arabs has been tarnished by the event of 9/11/2001, despite the efforts of the objective investigation for the East-West relationship which refutes the feeling of incredibility between the East and the West. The event of 9/11 and its aftermath is not between Islam and Christianity. The event is caused by the Jihadist movements and Western politicians for the sake of power. In his authoritative work *Orientalism*, Edward Said (1979) goes on to assert that the hostile political relationship between the East and the West was from its beginning, a hostile relationship between Islam and Christianity (p.59). In fact, it is not the problem of religions. It is a struggle of power and business. Norman Daniel (1986) points out that in early times the dominant belief of the Muslim Arabs and Mediaeval Christian Europe, was of resemblance rather than difference 'dominated the dogmatic, liturgical and moral bases of the two religions' (p. 13). It was not unusual for a Christian king to have Muslim partners, or for a Muslim to turn to a European king for help, being relatively unconcerned about culture and religion (Daniel, 1986, pp.51, 62).

A new literary trend in Islamic material emerges in the writings of some Western writers. The appearance of religious symbols dominates the titles of some literary works. Paul Torday's *Salmon Fishing in the Yemen* (2007) is a literary response to the events of 9/11 five or six years later by Torday. The United States of America has been attacked on home soil by a radical Islamists from Arabia. The attack is the outcome of the cultural changes in the Arab World's affairs. Torday's novel is about an enterprise for fishing Salmons in Yemen. This civil project is an unbelievable Western project in Arabia. As a fable, Paul Torday's *Salmon Fishing in the Yemen* is the offspring of a classic tradition that goes back to Aladdin of *Arabian Nights*. The luxurious sheikh Zaidi is pro-British. He is fully familiar with the Western lifestyle. He has a dream of a Western project of fishing salmons in Yemen which is considered to be an achievement of a miracle. In fact, the climate of Britain and Yemen is incomparable. There is no similarity to get life for the clod-life-natured fish of salmon in the hot environment of Wadi Aleyn. The theme of Islamic or Arabian terrorism appears in *Salomon Fishing in the Yemen*. The novel is his first attempt to write fiction after the emergence of "political Islam" of 9/11 where terrorists cruelly attacked the Twin Towers in the United States of America in 2001. The war against the Taliban movement in Afghanistan and the war in Iraq are synchronized with the events in the novel. The project is perceived by the local Arabs of Yemen as a political movement to westernise the country. The Al-Qaida cell in Yemen violates the Western project and calls it a war on Islam. The terrorists perceive the establishment of the project in the context of a crusade.

Fiction is the preminent narrative. Some new fiction writings include a fiction of Arab Islamic symbols. Historical Arab religious personalities are represented in English literature as heroes for European readers. Sherry Jones's *The Jewel of Medina* (2008) is a platform for the propositions of the political development after September 11<sup>th</sup>. The novel is a fictionalized version of the historical life of Aisha bint Abi Bakr, one of the wives of Prophet Muhammad, and the person who reportedly accompanied the Prophet. Aisha was born in the seventh century Arabia, and often referred to as Prophet Muhammad's favourite wife, from her engagement at the age of six until the prophet's death. Sherry Jones endeavours 'bring the love story of Aishah and Prophet Muhammad to the West. Romance novel about a prophet of Allah is wrapped in the face of innocence. From beginning to end, the hinge is sex, and these imagined encounters and implication never cease. For Muslims, the novel is filled with blasphemous depictions of the Prophet Muhammad and his faithful wife. In her new other novel, *The Sword of Medina* (2011) Sherry Jones writes a sequel to *The Jewel of Medina*. It deals with Islamic history through the eyes of Prophet Muhammad's youngest wife, A'isha. For some she is an inspiration, for others she is a curse because she caused the split between Shi'a and Sunni Muslims. In her novels, Jones offers her interpretation of A'isha's childhood, her secret love, her marriage, and her conflict with Muhammad's nephew Ali. Above all, Jones narrates Islamic history as a love story.

To sum up, the West views Arabs as ministers of terrorism. Western intelligent agencies depict some terrorists as monsters who try to destroy the West. The threat of Islam has been portrayed as imminent. Some of the Western elite have warned their states of a clash of civilization with the Orient. In reality, the Islamic states have cooperated to defuse the threat of terrorism. The portrait of Arabs in English literature can be improved with more Oriental studies in Europe. The spread of the Arabic culture can bring a better understanding of Arabs. Furthermore, Middle Eastern films can be distributed widely and can help spread Arabic culture in the West.

### IV. CONCLUSION

Arabs are misunderstood in the West. The Englishmen understand the secular Arabs from the fables of the *Arabian Nights*, and understand the Islamist Arabs from the biography stock of early Muslims and Islam. The struggle between the West and the Arabs is between the 'good' and the 'evil,' which has been expressed in literary works. Some English writers retain polemical distrust in the Arabs. The moral and social misbehaviour in the conduct of Arab characters underscores their human weakness. They have been largely portrayed as unsuccessful people, committed to repeated errors. Edward Said (1979) states, what 'we know of the Arab world is coloured by distorted lenses of scholars who have historically defined this area as alien, corrupt, dangerous, and mysterious'(p.63). Encountering the Islamic Orient has been a significant element for the self-image of the West, and it has manufactured identities that have employed discursive constituents, scoping from corrupt European modernity to cultural, racial and moral superiority. As far as religion is concerned it seems to be natural for some English Arabicists to be highly critical of Islam and Arabs in order to substantiate the colonial ideology of the West and its applications in the Middle East. David Roberts, the painter of idealised landscapes of classical ruins, expresses his dissatisfaction as dislike of Arabs:

Splendid cities, one teeming with a busy population and embellished with temples and worlds, now deserted and lonely, or reduced by mismanagement and the barbarism of the Muslim creed to a state as savage as the wild animals by which they are surrounded. Often have I gazed on them till my heart actually sickened within me (Bernard, 1912, pp. 104-5).

Authentic knowledge can draw the Arabian image in the portrait of the world civilization. The literary Orientalism can be represented in the scope and range of the media. Some English writers have an evocative and elusive talent and have possibly created modern Arabian images, which could arguably represent an original style. The Arab characters are, on the whole, reasonable. They are thoughtfully a product of the cross-cultural sympathy and harmony. Arab kings, queens, commanders, knights, soldiers and messengers, are stylized in Arabian costume and rituals, but nevertheless, they are like Englishmen, as they are familiar with the English lifestyle. On the other hand, some Arab Characters are depicted with various types of rhetoric that ranges from lyrical to humorous, eccentric, dramatic, cutting or intricate in style, and using creative loaded tropes. Elaborate characters and literary devices such as tales, letters or twofold viewpoints express dissonance and give some of these narratives a sort of 'baroque' flavour. The English writers have formed new literary tools to address postcolonial Muslim identity. The characterization expresses the fluidity of the contemporary Muslim identity portrayed in the novels, its dynamic evolving state, and thus the roots of its hybridity. To the rationale of humiliation, these writers offer artistic evasiveness of the characters. The differences between the Europeans and the Arabs can be minimized to the point of erasure when the act of producing humanistic literature promotes understanding between nations.

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# An Ethnographic Analysis of Names of Round Characters in Wole Soyinka's *The Strong Breed*

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**Abstract**—This study attempts an analysis of names of round characters in Wole Soyinka's *The Strong Breed* from the ethnography of communication's perspective. It was discovered that the characters in the text bear different names which reflect diverse ethnolinguistic values. This, therefore, necessitated occasional translation from the source language (SL) to the target language (TL) i.e. English. The names were further dissected contextually based on their discursive illocutionary acts. This subsequently revealed a preponderance of informative acts among others. The research further affirmed the submission of Schneider (2009) that conventional anthroponomastics approaches its subject ethnographically. The study therefore, brings about an interface of literary studies, pragmatics, linguistics and onomastics (the study and science of names).

**Index Terms**—anthroponomastics, onomastics, ethnography, Wole Soyinka, illocutionary acts

## I. INTRODUCTION

Several studies have been carried out on Wole Soyinka's literary texts, using different linguistic and literary-critical approaches without sufficient consideration for the texts' onomastic resources. Therefore, this study examines these resources in Wole Soyinka's *The Strong Breed* in order to reveal their significant pragmatic values in relation to the themes and style of the text. The text has been selected because it has not enjoyed enough attention from analysts as far as onomastics is concerned.

### A Synopsis of the Text

The setting of the play is an unnamed community where two strangers exist along with the natives. The first stranger is Eman, the school teacher and the second is Ifada, an idiot. At the end of each year, a rite is performed to expel the evil of the outgoing year and to approach the new year with a sense of purification. This necessitates the search for a carrier, the scapegoat, who will dispense with the evil of the year ending. As customs demand, a stranger is used for this purpose and Ifada is the apparent choice. But he is unwilling and Eman has to perform the task since he belongs to the lineage of the willing strong breed. The Old Man who appears to the exasperated Eman as a carrier sums up the play thus: "Ours is a strong breed, my son. It is only a strong breed that can take this boat to the river year after year and wax stronger on it." (p.25)

Maduakor (1986, p.249) observes that Soyinka exploits the carrier theme in *TSB* by using it as his main metaphysical ideology in *DKH*. His words: "Soyinka has earlier exploited the motif of the carrier in *The Strong Breed* (1964) and used it as the main metaphysical ideology in *Death and King's Horseman* (1975)". (Maduakor, *ibid*). But Ogunba (1982, pp.17-18) holds a divergent opinion about the carrier motif in *TSB*. In his view, Soyinka has used the traditional African event of purification through a carrier, to explore the career of a great artist in an evil laden community. He submits:

In this little play Wole Soyinka has, characteristically, taken a rather common place traditional African event – the purification of a community through a carrier to explore the career of the serious artist. The design of a purification festival helps to set in perspective a community conscious of the weight of evil but in which each person is too much of a citizen to dare the evil. (Ogunba, *ibid*).

He sums up rhetorically by asking: "For, what person brought up 'naturally' would make the effort to clean up a community?" It is in this situation that a true artist comes in and, unhindered by 'good sense' and 'natural loyalty', strikes a discordant note (Ogunba 1982, p.18).

### Ethnography of Communication

Gumperz and Hymes (1962, pp. 35-71) have proposed a taxonomy of situation components known as the model or ethnography of communication in order to account for both the textual and extra-textual meaning(s) of a concept. The model is a set of SPEAKING acronyms highlighted below:

**Setting/Scene**- This refers to the general circumstance in which the communication event takes place (including time and place) and the psychological setting of the event (formal or informal, serious or festive).

**Participants**- The term 'participants' indicates the role- relationship between participants in a speech event: the addresser/speaker, on the one hand, and the addressee/hearer/audience, on the other. However, it is possible for the participants to change roles.

**Ends**- These refer to the outcome of a speech act and it may be:

- (i) Results – intended and, or unintended.

(ii) Goals – individual and, or general.

**Act Sequence**-This refers to the form and content of the message of text. The form has to do with how it is said while the content has to do with what is said.

**Key**: This means the tone or manner in which a textual message is delivered. Speech events may be different if one is performed perfunctorily while the other is painstaking.

**Instrumentalities**- These constitute the different channels of speech transmission e.g. oral, written, telephone, e-mail etc.

**Norms**- Norms refer to the conventions of social and speech behavior which could be linguistic and non-linguistic; universal or culture- specific.

**Genre**- Genre refers to the linguistic form employed such as poem, letter, story etc.

## II. LITERATURE REVIEW

Dasylva (1997) unravels Wole Soyinka's *Death and the King's Horseman* as one of the dramatic literary texts he considers in *Dramatic Literature*. He discovered that the language of a character provides insight into his traits, educational background, religion, occupation and social status. He explicates this with a character named Amusa, a police sergeant who, in the text, "occupies a lower rung of the social ladder. A messenger with a low education, if any, expresses himself in pidgin English or badly expressed English" (Dasylva 1997, p.86). The work of Dasylva is commendable as it serves a link between literary criticism and linguistic analysis. It is one of the pillars upon which the present study stands. Notwithstanding, the work is largely literary in perspective.

Olaosun (2000) studies "Language and Style in Dramatic Discourse: A linguistic stylistic study of Wole Soyinka's *Kongi's Harvest*" as an M.A. Thesis. In his work, he pays particular attention to the semantics of names as reflected in the text. According to him, "names in Yoruba semiotic universe", which provides a background for the play, "are meaning potentials" (Olaosun 2000, p.57). He emphasizes that names are determined by certain elements of the wider situation, which include events, happenings and conditions. He argues further that most names of characters in *Kongi's Harvest* are mainly role names, which the playwright uses as a means of delineating their personalities. He agrees with Yule (1985, p.116) that names serve as "some sorts of containers carrying meaning components". Olaosun's work is inspiring as it is stylistic in nature while the present study is ethnographic in approach.

Bright (2003) takes an anthropological linguistic approach to the study of names among the North American Indians. He unravels the myth behind descriptive names turned anthroponyms (personal names) and toponyms (geographical names) respectively. The study also considers the grammatical peculiarities of toponyms. The work is insightful as it combines anthropology with linguistics in onomastics. It differs from the present research (which studies literary onomastics) because it .studies proper names in real life situations.

Schneider (2009) applies a generative approach to the study of human names which, according to him, is anthroponomastics. He dissects convetional anthroponomastics from generative anthroponomastics. He postulates that convetional anthroponomastics approaches naming from an ethnographic point of view, while the latter takes an analytical philosophical approach to the study of names. This work is related to the present study which seeks to analyse Soyinka's text from an ethnographic theoretical approach. It is different, however, because it dwells largely on generic naming while we are dealing with literary onomastics.

Odebode and Onadipe (2011) take a pragmatic approach to the study of *Abiku* naming phenomenon among the Yoruba. They discovered that certain politeness phenomena are either violated or obeyed in the course of naming the *Abiku* children. The study indicates that *Abiku* names are economical as more is communicated (within a few strands of letters) than said.

The study is both generic and sociocultural. Therefore, it is different from the present study which aims at studying names of characters in a literary text by Wole Soyinka.

## III. DATA ANALYSIS

It cannot be overemphasized that the basic essence of a research of this nature is to show how data can be used in elucidating a theory and how a theory, in turn, can be used in explaining a linguistic data. Therefore, we are testing the ethnographic theory on the names of some of the round characters in our texts. As observed by Fishman (1972) as well as Bloomer, Griffiths and Merrison (2005, p.82) certain questions are pertinent to any ethnographic discourse. The questions are: "who makes, what utterance, to whom, when, where and how." By applying these questions to our data, we shall be able to unmask the intended message inherent in the names. Thus, we may come up with the following tabulated results which start with the name Eman (denoting God with us) in *TSB*.

TABLE 1:  
EMAN (GOD IS WITH US), ASTRANGER-

QUESTION	ANSWER	ETHNOGRAPHIC KEY
Where?	unnamed community	Setting
With whom?	the villagers	Participants
With what aim or why (is the utterance made?)	to affirm that there is a substitute for Ifada, the unwilling carrier	End
What type of act is the assertion?	Informative	Act
What is the tone of the utterance?	Sarcastical	Key
What is the choice of channel?	verbal	Instrumentality
What are the expectations of the situation?	that Eman will replace Ifada as a carrier	Norm
What linguistic event is involved (employed)?	Joke (conversation)	Genre

Eman is a clipping from Emmanuel, which according to the *Holy Bible* denotes ‘God with us’ (Matthew 3, verse 25). Just as the Messiah (Jesus Christ), Eman prefers to die for his society in place of Ifada, an idiot and an unwilling carrier. Eman’s action therefore brings about the theme of scapegoatism in the play. Also, Eman is a teacher just as Christ was. He is addressed as follows by Jaguna: “Teacher, open your door ...” (p. 18). As Christ (Emmanuel) was crucified among thieves for the sins of the world, Old Man tells Eman, “you will use your strength among thieves” (p. 26). Addressing Eman further, the Old Man says: “Son, it is not the mouth of the booster that says he belongs to the strong breed. It is the tongue that is red with pain and black with sorrow.” (*TSB*, p. 25).

Therefore, by applying the SPEAKING acronym to this name, we shall have the following import demonstrated in Table 1:

If Eman is truly a stranger (or god with us), the pertinent question is where? Then, our answer speaks to the setting of the play which is the unnamed community. Furthermore, Eman is a stranger with whom? The answer to this question gives the participants in the ongoing discourse. These are the villagers like Jaguna, Priest and Oroge. Then, if we regard the name as a locution, why is the utterance (Eman is a stranger or god is with us) made? Any answer to this question will speak to the end of the conversation which is to atone for the sins of the people as a willing carrier instead of the unwilling ifada in the context. To the next question “what type of act is the assertion (Eman is a stranger)?” “is the answer informative (act). The next WH question demands for the tone of the (name as an) utterance (i.e. Key) which is sarcastical. This is so because Eman is being teased by Jaguna, the representative of the villagers that there is only one stranger apart from Ifada as follows:

JAGUNA: ... There is only one other stranger in the village, but I have not heard him offer himself. [spits] (*TSB*, p.20)

From the table, the next couple of WH question s demand for the choice of channel (Instrumentality) and expectation of the situation (Norm) respectively. The channel is verbal while the expectation of the utterance is that Eman will volunteer himself to replace Ifada. Finally, the last question has to do with the linguistic event employed (Genre) which obviously is joke in form of conversation.

TABLE 2:  
SUNMA, JAGUNA’S DAUGHTER

QUESTION	ANSWER	ETHNOGRAPHIC KEY
Where?	unnamed community	Setting
With whom?	(Sunma), Oroge and Jaguna	Participants
With what aim or why (is the utterance made?)	to distinguish her from other girls and to prove her qualities; also to warn Jaguna not to kill her	End
What type of act is the assertion?	Informative	Act
What is the tone of the utterance?	harsh/ironical	Key
What is the choice of channel?	verbal	Instrumentality
What are the expectations of the situation?	that Sunma will display the attributes of a soldier’s daughter	Norm
What linguistic event is involved (employed)?	conversation	Genre

An analogy of summer (the end of a period in a year), this name (Sunma) dictates the time of the play. Similarly, the name is homophonous with the phrase; “Sun Man”. The latter is the denotative meaning of the Biblical Samson. Componentially, the sun has the following attributes: +harshness, +heat, +light. These attributes combined with “man” to form “sun man”. That the bearer is a lady and Eman’s girl friend (*TSB*, p.17) indicates an irony of naming in the play. As a light in the village, she is the only person who does not approve of her people’s culture of annual human sacrifice. As a strong and stern person, she is also the only person who engages her father, Jaguna (Army chief) in physical combat in the text. Therefore, by applying our WH questions to the locution (Sunma [is] Jaguna’s daughter), we may come up with the following ethnographic (SPEAKING) result as shown in Table 2:

The setting is the unnamed community while the participants in this context are Sunma, Jaguna and Oroge. The end is to distinguish her from other girls (as represented by A GIRL in the cast list on pages iii and 21) and to prove her qualities; also to warn Jaguna not to kill her as implied in the words of Oroge below after Sunma reprimands her father for torturing Eman (as a carrier) by saying: “Murderer! What are you doing to him?. Murderer! Murderer!” (*TSB*, p 28).

With these words, Sunma flies and claws at the shameless Jaguna’s face like a crazed tigress.

In retaliation, Jaguna “succeeds in pushing her off and striking her so hard on the face that she falls to her knees. He moves on her to hit her again” (TSB, p. 28). The above scenario brings about the following conversation between Jaguna and Oroge:

OROGE: (comes between) Think what you are doing Jaguna, She is your daughter.

JAGUNA: My daughter! Does this one look like my daughter? Let me cripple the harlot for life.

OROGE: That is a wicked thought Jaguna

JAGUNA: Don’t come between me and her

Oroge: Nothing in anger – do you forget what tonight is?

JAGUNA: Can you blame me for forgetting? (*draws his hand across his cheek – it is covered with blood*). (TSB, p. 28, emphasis mine)

...My own daughter... and for a stranger... (p.29)

Jaguna’s last statement in the extract above proves that Sunma is not only Jaguna’s daughter, but also Eman’s girl friend. Hence, she is defending her stranger friend. Meanwhile, the underlined clause in the excerpt indicates the tone of the utterance which is both harsh and melancholic. Oroge is cautioning Jaguna in a harsh tone while the latter is replying ironically. The act is informative and the instrumentality is verbal. The norm is that Sunma will display the attributes of a “sun like” person (i.e. soldier’s daughter) while the genre is conversational.

TABLE 3:  
IFADA, AN IDIOT

QUESTION	ANSWER	ETHNOGRAPHIC KEY
Where?	unnamed community	Setting
With whom?	the villagers-Jaguna, Sunma, Oroge	Participants
With what aim or why (is the utterance made?)	to indicate the worthlessness of the bearer in the society	End
What type of act is the assertion?	Informative	Act
What is the tone of the utterance?	Light /metaphorical/rhetorical	Key
What is the choice of channel?	verbal	Instrumentality
What are the expectations of the situation?	That Eman will release Ifada for sacrifice	Norm
What linguistic event is involved (employed)?	conversation	Genre

Ifada is a Yoruba expression *ifa da* denoting (the oracle divines or godsend), if we recall that the setting and the author of the play dwell much on the Yoruba socio-cultural milieu. In the play text, Jaguna says: “Ifada is a godsend.” (p.18). In the same vein, if we apply the SPEAKING acronym to the utterance Ifada, an idiot, we may come up with the following interpretation (captured in Table 3): The setting is the unnamed community and the participants are the villagers with Jaguna, Oroge and Sunma being the principal. The end is to indicate the worthlessness of the bearer in the society. This is stated in a light tone as follows:

EMAN: Yes. But why did you pick on the helpless boy. Obviously he is not willing.

JAGUNA: What is the man talking about? Ifada is a godsend. Does he have to be willing?

EMAN: In my home, we believe that a man should be willing. (p.18)

OROGE: Mister Eman... No one in his senses would do such a job. Why do you think we give refuge to idiots like him? ... You see there is a purpose in that. (p. 19 emphasis mine)

On a lighter mood, both Oroge and Jaguna explains the reason Eman has to give up the helpless Ifada. But rhetorically, Oroge demanded for the reason the idiot is being kept in the village from Eman. The answer is not far-fetched as it implies – to get him sacrificed one day. The instrument is verbal and the end is that Eman will release Ifada for sacrifice as a carrier. Similarly, the genre is conversational. Ogunba (1982:15) affirms that the carrier, in tradition, is a spiritual force and a fortunate scapegoat who passes through severe torments in place of others in order to become a spiritual super power. Ifada therefore is a real idiot by rejecting the path of greatness.

TABLE 4:  
JAGUNA

QUESTION	ANSWER	ETHNOGRAPHIC KEY
Where?	unnamed community	Setting
With whom?	enemies/strangers like Ifada and Eman	Participants
With what aim or why (is the utterance made?)	-to indicate the bravery and loyalty to profession of the bearer - to ensure a carrier is provided for the ritual ceremony	End
What type of act is the assertion?	Imperative/commanding	Act
What is the tone of the utterance?	harsh	Key
What is the choice of channel?	verbal	Instrumentality
What are the expectations of the situation?	That the bearer will fight with the strangers to the point of getting a carrier	Norm
What linguistic event is involved (employed)?	conversation	Genre

Jaguna is a Yoruba expression for “fight the ground battle” (an imperative mood). It is a contraction of *A ja Ogun ona* which denotes an Army Chief. Socio-politically, most Yoruba towns and cities were established through wars of conquest. The military titles (*Balogun*, (General), *Aare-ona-Kakanfo* (Generalissimo), *Abogunrin* (Aide de Camp),

*Ajaguna* (Chief of Army)) therefore exist in Yoruba lexicon. *Jaguna* in our text is Sunma's father and he is the assailant of the two strangers (Ifada and Eman) in the play. An attempt is made in Table 4 to test the WH questions and the SPEAKING acronym on this name. The result is as follows:

(*Jaguna* [You] fight the ground battle- Where? With whom, When? etc) The setting is an unnamed community. *Jaguna* is to fight with perceived enemies and strangers like Eman and Ifada who are the participants in this context. The end is to indicate the bravery and loyalty to profession of the bearer. In the play context, the end is to ensure a carrier is provided for the ritual ceremony. The act is commanding (imperative mood). The instrumentality is verbal. The norm is that the bearer will fight to the point of getting a stranger carrier. The genre is conversation. The bearer lives up to his name as he (and his men) trails about Ifada in page 17 of the text. He eventually gets a willing carrier in Eman. After Eman is finally entrapped, *jaguna* says: "He is surely finished now" (*TSB*, p. 36). He engages his daughter in physical combat and, as a military man, his language is always replete with a tone of command "go on, do as I say" (p. 18).

TABLE 5:  
OROGE

QUESTION	ANSWER	ETHNOGRAPHIC KEY
Where?	unnamed community	Setting
With whom?	villagers	Participants
With what aim or why (is the utterance made?)	To pacify a tensed situation	End
What type of act is the assertion?	affirming	Act
What is the tone of the utterance?	calm	Key
What is the choice of channel?	verbal	Instrumentality
What are the expectations of the situation?	That the bearer will mediate in quarrels	Norm
What linguistic event is involved (employed)?	conversation	Genre

Oroge is a coinage from the Yoruba expression "oro jeje (contracted as 'oro jee') with a sound modification in our text as Oroge. The Yoruba believe that "soft words attract kolanut from pocket while harsh words attract sword from sheath". By applying the SPEAKING acronym as well as our WH questions ([speak] soft words where, when etc) to the name, we may come up with the following ethnographic result which has been presented in tabular form in Table 5:

The setting is our unnamed community. Soft words are spoken to the villagers (participants). The aim is to pacify tensed situations like the arrest of Ifada and the dispute between *Jaguna* and Sunma. The act is affirming i.e. an affirmation of the Yoruba saying. The tone is calm with a verbal instrument the norm is that the bearer will mediate in quarrels and the genre is conversation. Oroge manifests all the qualities highlighted above in the play. In a smiling mood, he convinces Eman that Ifada will be "the most joyous creature in the festival" (p.20), if the latter can be released to him. He settles quarrel for *Jaguna* and Sunma in page 28 of the text. He cautions *Jaguna* (who advances aggressively) against the use of force on Eman as follows:

OROGE: Patience *Jaguna*...if you want the new year to cushion the land there must be no deeds of anger. (p. 17).

Oroge is so gentle that *Jaguna* even accuses him of not shouting at Eman (as a carrier) in the following extract:

JAGUNA: You were...looking at him...Why didn't you shout? (p. 27).

OROGE: You shouted didn't you? Did that catch him? ... S-sh ..... look!

Finally, Oroge throws more light on his name by cautioning *Jaguna* against being aggressive to Eman (as a carrier) and Sunma in the following words from the text: "Nothing in anger- do you forget what tonight is?" (p. 28).

### Statistical Analysis of the Names' Speech Acts

In this section, we attempt a statistical analysis of the illocutionary (discourse) acts inherent in the names studied. The results are statistically indicated in tables 6 and 7 as well as figures 1 and 2 below. A brief interpretation of the tables and figures follows shortly.

TABLE 6:  
TABLE PRESENTING THE NAMES' SPEECH ACTS

Name	Speech Act
Eman	informing
Sunma	informing
Ifada	informing
Jaguna	commanding
Oroge	affirming
Total	6

TABLE 7:  
FREQUENCY AND PERCENTAGE OF NAMES' ACTS

Speech Acts of Names	Frequency	Percentage
informing	3	60
commanding	1	20
affirming	1	20
Total	5	100



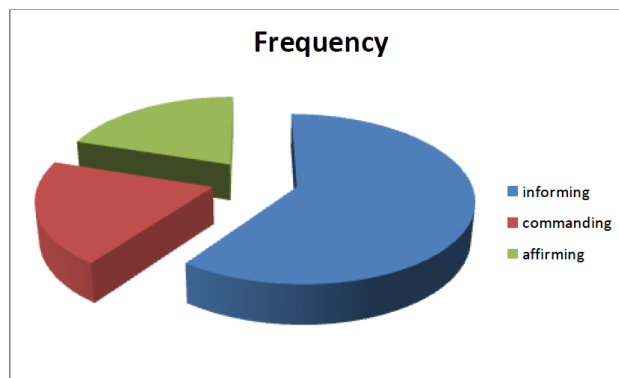


Fig. 1: Pie chart illustrating frequency of speech acts in the names

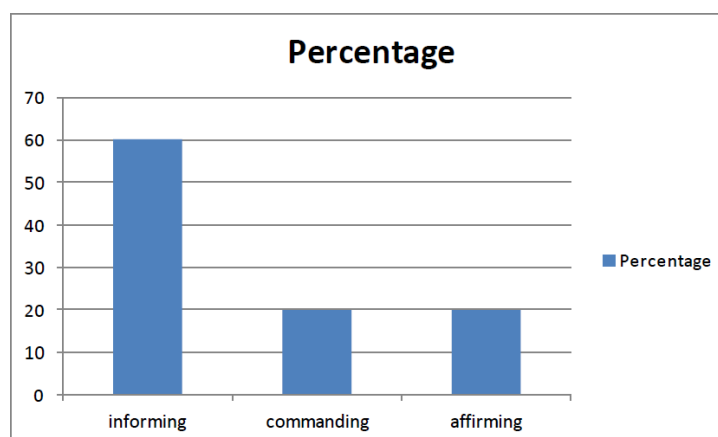


Fig. 2: Bar chart illustrating percentage(s) of the speech acts in the names

From table 6, three names (Eman, Sunma, Ifada) out of the five deployed have the informing speech function, one (Jaguna) has commanding and one (Oroge), affirming. Table 7 indicates the frequency as well as percentage distribution of the names' speech acts. Informing has the highest frequency of 3 which corresponds to 60%. Both commanding and affirming has 1 frequency and 20% each. Fig. 1 and Fig. 2 illustrate these situations as they present a pie chart of the frequencies and a bar chart of the percentages respectively.

#### IV. CONCLUSION

Our preoccupation in this study has been on analysis of names of round characters in Wole Soyinka's *The Strong Breed* from the ethnography of communication's perspective. It was discovered that the characters in the text bear different names which reflect diverse ethnolinguistic values. This, therefore, necessitated occasional translation from the source language (SL) to the target language (TL) i.e. English. The names were further analysed contextually based on the postulation of Bloomer et al. (2005, p.101) that to interpret various speech acts (names) in texts, "we often need to go beyond literal meaning to get at speaker meaning. We often have to make inferences based on context". Considering the illocutionary acts of the names, out of the five names analysed, three are informing, one is commanding and one is affirming. We may thus submit that informing is the preponderant speech (discourse) act deployed by the playwright. This is significant because the playwright can be said to be informing rather than entertaining the reader (audience) through his naming techniques, hence, he is SPEAKING (encoded messages with the names) as a conventional onomast. We may therefore conclude based on the postulation of Schneider (2009, p.2) that while anthroponomastics studies human names, "conventional anthroponomastics approaches its subject ethnographically."

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# Intercultural Languages Education and Its Complex Insights: The Case of Indonesian Islamic Higher Education

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**Abstract**—The integration of intercultural aspects in teaching and learning on target language is salient as it would benefit both for communicative competence and minimizing the possible misunderstanding between second language learners and the speakers of the target language. The inter-cultural aspects themselves are regarded as the democratic view of learning the language as they look closely and compare the learner's culture and the target's language culture, similar to the concept of *ethnographic conversations* to enhance inter-cultural learning (Heuser, 2012). The elaboration of the concepts of language, culture and inter-culture as well as teacher's intra-cultural profile in relation to classroom pedagogy is essential. This would provide insightful knowledge for language teacher's professional development and second language learner for their learning process.

**Index Terms**—inter-cultural teaching, classroom pedagogy, intra-cultural profile, identity, intercultural stance and cultural knowings

## I. INTRODUCTION

Every attempt to facilitate second language learners in a 'successful' communication in target language is deemed essential. The parameter of this success lies on at least two aspects; communicative aspect as well as intercultural aspect (Liddicoat & Crozet, 2000, Liddicoat, 2004; Scarino, 2000; Sercu, 2002; Chavez, 2002). Furthermore, Corbett (2003, p.30) & Alptekin (2002, p.57) summarise it as "intercultural communicative competence". This notion is logically understandable as language learners might create 'uninformed and unanalysed assumption derived from L1 culture' in which may result in misunderstanding while interacting with native speaker of the target language (Liddicoat, 2004; p.18). Moreover, 'intercultural communicative competence' itself may be the most appropriate goal with regard to the fact that 'language learning and teaching and culture are mutually implicated' (Atkinson, 1999, p. 647), as well as the concept that 'language expresses, embodies, and symbolizes cultural reality' (Kramsh, 1998a, cited in Risager, 2006, p.14). Thus, as the synergy of language and culture, intercultural communicative competence is required to avoid the potential problems (Liddicoat, 2004), e.g. misunderstanding of concept 'did you have a good weekend?' It is understood differently by French workers and local Australians, where French workers perceive it as a 'real question' requiring detailed answer but Australians consider it as a usual greeting which merely needs a short answer (Beal, 1992). In relation to this, McConachy (2008) explains that 'for second language learners understanding cultural significance of even relatively mundane conversational routines can prove to be problematic' (p.43).

As argued as the most appropriate answer to globalisation by Gundara & Potera (2008), intercultural language education is projected to 'understanding and valuing all languages and cultures, one's own language(s) and culture(s), target language(s) and culture(s), how to mediate among languages and cultures as well as developing intercultural sensitivity (Commonwealth of Australia, 2004).

Realising the significant importance of intercultural language education and its possible contribution in language learning and teaching, this article will firstly, '*compare and contrast various scholars' definitions of language, culture and 'intercultural' along with its related terms such as cultural knowings, identity, language and classroom pedagogy, ethic and emic perspective, the potential challenges of intercultural teaching and secondly, describe my intracultural profile as well as its link to intercultural teaching practice as an on going professional development. My intercultural teaching is also provided at the end of article.*

## II. THE DEFINITIONS OF LANGUAGE, CULTURE AND INTERCULTURE

### A. Language

There is no single definition about language. Different scholars have their own interpretations about language related to their area of expertise. The following are the examples of them. Language is defined as 'any basis of communication and understanding' (Macquarie dictionary, 2005, p.803). The example of this is *language of flower, the language of*

*laughter* etc. Language 'also means many things, a system of communication, a medium for thought, a vehicle for literary expression, a social institution, a matter for political controversy, a catalyst for nation building' (O'Grady, Dobrovolsky, & Katamba, 1996, p.1). A part from that 'language is not only the principle medium that human beings use to communicate with each other but also the bond that links people together and binds them to their culture. 'To understand our humanity we must understand the language that makes us human' (Bolton, 1994, p.1). Further, language 'serves to reinforce cultural identity' (Fowler, 1974, p.16). From several definitions above, despite the diverse interpretations, language shares the same function which is *the means of social interaction*.

### B. The Definition of Culture

There is no consensus about the definition of culture. It thus has myriads of interpretations. Moran (2001) said that it is 'dynamic construction between and among people' lying 'at the crossroads of a number of fields of study and academic disciplines (anthropology, sociology, sociolinguistics, communication theory, intercultural communication, multicultural education, critical pedagogy, cultural studies, ethnic studies, history and semiotics' (p.4-5).

#### Other five definitions of culture

Some scholars view the culture as the *static form* and the other see culture as *dynamic aspect* (Commonwealth of Australia, 2004). In a static perspective, culture is seen as fact and artefact, while in a dynamic point of view, it seen as practices, beliefs and attitudes (p.8-9).

Kramsch (2006) divide culture from two perspectives: *modernist perspective* and *post-modernist perspective*. Modernist perspective, according to her, comprises of a 'humanistic concept', 'sociolinguistic concept', and 'intercultural language education'. On the other hand, post modernist perspective articulates culture as 'identity', as 'moral right to be heard and listened' (p.323-326). The above category might indicate that modernist perspective seems to deal with more practical concept 'interaction' while the latter one more on 'abstract' or 'philosophical level'.

Drawing from intercultural perspective, Scollon & Scollon (2001) mention that culture is categorised into two; *high culture* and *anthropological culture*. Accordingly, *high culture* focuses on 'intellectual and artistic achievements' (p.139) e.g. art exhibits, concert performances, public lectures while *anthropological culture* refers to 'any of the customs, worldview, language, kinship system, social organization, and other taken for granted day to day practices of people which set that group apart as a distinctive group' (p.139). Further, it is explained that it deals with 'any aspect of ideas, communications, or behaviour of a group of people which give to them a distinctive identity and which is used to organise their internal sense of cohesion and membership' (p.140). This latter definition would characterise more a particular community and distinguish them from other community which can be observed through daily interaction (Paltridge, 2006) in which intercultural notion seems to fit in.

Another interesting view of culture is in terms of its *visibility*, *invisibility* and *multiplicity*. (Bianco, 2003). *Visible* culture whether it is individual or collective are something that is observable, e.g. behaviour, decisions, behaviour patterns, rules, procedures, policy etc. Whereas *invisible culture* are those non-observable ones such as intentions, emotions, values, shared values, shared beliefs, assumptions etc. This concept is similar to the notion of culture as iceberg (Levine et al., 1987; Weaver, 1993; Brake et al., 1995 cited in Moran, 2001), in which 'explicit culture represents the tip of iceberg and the tacit culture is all that lies beneath the surface of the sea, out of sight' (p.27). Accordingly, the observable dimensions of culture are persons, communities, products and practices, where as tacit culture is associated with another dimension of culture, perspective.

#### The relation between language and culture

Language and culture are integral part and inseparable. The discussion of each of them connects to the other. Thus, it is said that 'language use is central to the construction and enactment of culture', 'culture cannot be learnt independently of language nor can language be learnt independently from culture', 'culture is learnt through language and language use' (Commonwealth of Australia, 2004, p.8).

Another importance view of language and culture is that language is 'linguistically formed culture and culture is non linguistically formed language' (Risager, 2006, p.6). This definition operates within specific level, differential sense as opposed to generic sense (language and culture are interwoven).

The next significant view of language in relation to culture is proposed by Fisman. Fishman (1985, 1991 and 1996 cited in Risager 2006) distinguishes three links between language and culture; 'language as a part of culture, language as an index of culture, and language as symbolic of culture' (p.13).

In summary, looking at overarching relation between language and culture and the definitions of culture itself, it might be beneficial to underline that every instance of language is a 'cultural act' (Kramsch, 1993) and that 'culture is not random, or idiosyncratic or wholly personal, but it refers to behaviour 'that is patterned, learned and social, but also changing and constructed' (Bianco, 2003, p. 25). In other words, human learn language and culture through their reciprocal and implicational relationship.

### C. Intercultural View

The notion of intercultural has gained growing popularity in language education. Byram (2001, cited in Harbon 2006) says that Intercultural Languages Education which 'underpins the school curriculum is in an increasing number of countries in the world' (p.28). This is as a response that over several decades up until 1990s, the teaching of language is separated from culture (Kramsch, 1993). Advocating the integration between language and culture, intercultural

language teaching discusses plethora of issues such as languages education, cultural learning, teacher's talk and classroom interaction, cultural knowings, identity, intercultural stance, intercultural literacy, multicultural, emic and ethic perspective (Moran, 2001; Harbon; 2010, p.3-4).

As globalisation is argued as the real purpose of language teaching (Block, 2004), intercultural languages education is in response for this by; understanding and valuing all languages and cultures, one's target language and cultures, how to mediate among languages and cultures and developing intercultural sensitivity as an ongoing goal (Liddicoat, Papademetre, Scarino & Kohler, 2003, cited in Harbon 2010, p.1). Therefore, with regards to these goals, the expected outcome are intercultural competent language users in the sense that they can interact effectively with people from a different culture, as well as being able to negotiate between his/her own and the target culture (Harbon, 2010).

As parts of intercultural view, the following related terms namely; **cultural knowings, identity, language and classroom pedagogy, emic and ethics perspective** are discussed.

#### **Cultural knowings**

As a means of describing culture, Moran (2001) introduces the terms cultural knowing, which is a framework for students to learn a target language. This concept comprises of knowing about, knowing how, knowing why and knowing oneself. *Knowing about* is the activities of gathering and demonstrating acquisition of cultural information such as facts, data, knowledge about products, practices and perspective about culture. *Knowing how* is the process of acquiring cultural practices which involves behaviour, actions, skills, saying, touching and others. The next stage is developing and understanding fundamental cultural views such as perceptions, beliefs, values, and attitudes underlying cultural practices. This stage is recognised as *knowing why*. As dealing with language learners stance in judging the target culture, *knowing oneself*, pertains to their opinions, feelings, questions, reactions, thoughts, ideas and own cultural values which is the central part of the cultural experience.

These aspects of knowings are very salient in the classroom in which teachers can teach intercultural. e.g. teacher's use of wedding invitation text (Johns, 1997) in order to facilitate student's intercultural awareness. This can be done by highlighting the 'value laden words' in the text, explaining the concept behind that value etc. Moreover, knowing the *generic structure* of wedding invitation in different countries as well as the content would be beneficial for students (Johns, 1997). Another example of this is given by Moloney and Harbon (2008), which suggests that student's intercultural ability success is 'firstly, to reflect and compare languages and cultures and secondly, to negotiate an individual and personal identity, constructed by their experience of spoken discourse' (p.111)

#### **Identity, language and classroom pedagogy**

As other concept of teaching and learning, it is obvious that intercultural language education is implemented in the classroom pedagogy. In its aim to integrate culture, the concept of identity is discussed as one of the central issues in it. Identity is 'who you are' (Joseph, 2006, p.486, Bloomaert, 2005, p.203). Moreover, Moran (2001) said that identity is 'both explicit and tacit that deal with our sense of self, values, beliefs and practices' (p.99), as identity is associated with the membership of other group, therefore aside from self-identity, there are group identities, national identities, gender identities, religious identities, social class identities etc (Joseph, 2006; Jones, 2000; Block, 2006). These identities are to some extent observable through the use of language. Le Page & Tabouret-Keller (1985, cited in Risager, 2006), said that 'linguistic practice is acts of identity that allows us to operate in a whole range of different situations' (p.74). This operation might instigate diverse linguistic practices as people might become in more than one discourse community (Johns, 1997; Swales & Feak, 2000; Paltridge, 2006). For instance, the same person may socially function as more than one role, as a mother, wife, lecturer etc. Looking at this practice of 'identity operation', therefore, Norton (2006) said that identity has opened up new research directions such as identity and investment in the target language, identity and imagined communities (learner's exposure in the target language), identity categories (sex, gender, race) and educational changes, identity and literacy (learner's ability to read and write).

In foreign language context, one identity may in some extent different when language learner uses his/her own language. Risager (2006) says that 'to participate in linguistic practice, a foreign-language speaker normally involves completely different identity dimensions from when one is speaking one's first language' (p.124) which is called third place identity (Kramsch, 1993), the state where one is in between his own language and target language. In intercultural language classroom, this issue may be addressed appropriately by giving questionnaire on 'intercultural sensitivity'. It is an advantage in that teachers can spot where students can put their identity in. This result may implicate to the choice of materials presented for classroom teaching (Bernett & Allen, 2003).

Moran (2001) outlines four stages of intercultural learning in which students can learn in the classroom. These are; concrete experience, reflective observation, abstract conceptualisation, active experimentation (p.18). Similar to these notions, Commonwealth of Australia (2004) sets five principle of intercultural pedagogy; active construction; making connections; social interaction, reflection and responsibility. These aspects explore pedagogical notions in which students and teachers are 'engaged in creative process of learning' (Crozet & Liddicoat, 1999, p.123, Phillips, 2001, p.4). For example teachers relate the concept of wedding in students' culture with that of in target culture. For further understanding students may interact with the native speakers of target language.

#### **Emic and ethic perspective**

As intercultural language education explores a target language as well as one's own language, language learners encounter reciprocal view of cultures. In one time, they have to see cultures from inside (emic) and on the other, they

have to see their cultural practices from outside (ethics) Moran, (2001) states that emic perspectives “are those articulated by members of the culture to explain themselves and their culture”, while ethic perspectives “are those of outsiders to the culture who use their own criteria to explain other cultures” (p.80).

The examples of ethic perspective are those given by anthropologists, cross cultural researchers. The categories upon certain culture cover family, kinship, individualism/collectivism, low-context, and high-context etc. In these examples, as outsiders, cultural researchers and anthropologists create their own terminologies and classifications about the culture that they are investigating. Therefore, it is common that there are different classifications and terminologies used by those scholars, in which this might be triggered by their idiosyncratic experiences during investigation.

Unlike, ethic perspective, emic perspectives may not correspond to ethic categories and may not have explicit terminologies. The insiders may find them easy to explain the cultural practices or find difficulty in expressing the culture verbally but they can figure out by giving real examples (Moran, 2001). In Indonesian example, it is not easy to explain the concept of Dewi Sri, as this deals with the myth and seems to be illogical for outsiders. In uncovering further about emic perspectives, language learners are encouraged to do *ethnographic interview* (Knutson, 2006; Cunico, 2005; Roberts et al, 2001 in Byram and Feng, 2006). The interview is conducted in the society of target language culture, so that they can get deeper understanding of cultural practices from the insider perspective. Another significance of having this ethnographic interview, aside from having deeper understanding, language learners can continually practice ‘investigative skills’ in order to negotiate and construe ‘authentic meaning’ of particular repertoires.

### **The potential challenges of intercultural teaching**

No matter best the concept, there is always a potential drawback, as no single teaching approach is perfect (Lightbown and Spada, 2006). Therefore, there are caveats which need to be considered carefully. Crozet & Liddicoat (1999, p.120-123) mention five areas in which Intercultural language teaching should address.

*The first thing is that culture is not acquired through osmosis but it must be taught explicitly.* The challenge for teachers is in this context is to identify ‘cultural factor’ either in spoken and written text prior to their teaching. In the process of cultural identification, however, it is teacher’s challenge; for example, finding ‘cultural value laden’ words in the target language which is not always easy. As in the case for Australian teacher to teach Bahasa Indonesia by explaining Dewi Sri concept in Indonesian traditional farmers due to their different cultural background might be a challenging task. Moreover, it is said that teaching ‘cultural factor’ in the target language becomes more complex when teachers have to deal with multicultural background of students as they have to accommodate them interculturally for classroom activities. For example, teachers in Australia may encounter difficulties while teaching Japanese in the class where the students might be from Anglo Saxon background mixed with Arabic background. Thus mutual explorative process between teachers and learners is essential in doing classroom activities.

*The second principle is that bilingual/ multilingual speaker is the norm.* The crucial issue in this principle is that teachers should bear in mind that the goal of Intercultural Language Teaching (ILT) is the bilingual or multilingual speaker as opposed to ‘native speaker’. Therefore the endeavour to facilitate them to have a multicultural view of world is prominent. In this context, teachers are challenged to create conducive environment for students to develop their bilingual/multilingual competence along with bilingual/multicultural world view.

*The third principle is the idea that conceptual and experiential learning is required to acquire intercultural competence.* In this concept, the big task for teacher is to introduce a new concept about languages and cultures. In achieving this, *metalanguage* such as genres, sociolinguistic norms, pragmatic norms etc should be taught. These complex areas require teachers to be well informed in multiple expertise. Further, providing adequate tasks in order for learners to creatively learn target language which accommodate cognitive and self-reflective development to negotiate ‘meaningful resolution between the potential lingua cultural clashes’ (p.122) is necessary. One of the examples of this is the sensitive issues regarding religion, which could be problematic among students in the classroom (Moran, 2001)

*The fourth notion in ILT is the redefinition teacher’s and learner’s role.* Well informed teacher functioning as co-learner of language as well as co-learner of culture is salient in this concept. This also advocates that the class should focus on learner-centred in which they are taught ‘cultural factor’ in the target language in a democratic way. Moreover, teacher’s well-informedness on this role should be confirmed in the first place before they teach interculture. However, it might be a challenging task for teachers for example in Asian contexts in which teachers mostly perform in a bit more authoritative ways (Ballard & Clancy, 1997).

*The last principle to consider in ILT is the need to have new approaches to assess intercultural competence.* Yet, measuring the cultural content embedded in curriculum documents and assessment scales which cater ‘more holistic and the dynamic view of language education’ (Crozet & Liddicoat, 1999, p.122) which focus on ‘process and product’ is in need of attention. Underlining this notion (Schulz, 2007, p.9) said that how ‘culture should be defined operationally in the context of foreign language curriculum’ and how the assessment of culture is done is somewhat problematic. In order to do this, (Lussier, et al., 2007) propose three steps in assessing students’ performance and perceptions. This include *when to assess, what to assess and how to assess*. Time to assess covers before teaching interculture, during and after teaching that unit. The aspects to be assessed are knowledge (*savoir*), knowing how (*savoir-faire*), being (*savoir etre*). While the way to assess include self-evaluation, culture log, port-folio, self-evaluation, and other tasks which require the students to compare, explain, synthesize, discuss, debate, role-play, write an essay, justify their opinions etc.

In Indonesian educational settings, intercultural aspect has not gained considerable attention. It can be seen that most in English texts in secondary levels, the cultural aspect given is in inadequate amount. Moreover, it is perhaps merely in the form of cultural notes. In tertiary level, especially in English department, cross-cultural understanding is given mostly as an elective unit. In her conclusion of dissertation Wangsalegawa (2009) said that 'even though Indonesia must keep up with globalisation, it does not have to surrender its own cultural values. Indonesians from various professions question the lack of cultural values in the current education system' (p.158).

Looking at these facts, there are several challenges for the integration of intercultural language education in Indonesia. First of all, there should be a political will in Indonesian curriculum to integrate more about intercultural aspect to national curriculum in all educational level. Secondly, it should be noticed that 'intercultural aspect' could be operationally implemented in accordance with multiculturalism in each areas, as multiculturalism in Java may be dissimilar to that of Bali, Sumatera etc. On the other hand, in tertiary level, intercultural language education should be given as a compulsory subject for teacher training students, as Jokikokko (2005) mentions that 'as schools become increasingly multicultural, teachers need special sensitivity to recognise differences and intercultural differences to be able to support personal and academic growth of diverse students'(p.69).

What is being faced in the Indonesian curriculum seems to be parallel with intercultural language teaching in China, the problems of which are: the lack in cross-cultural oriented curriculum, the conventional roles of EFL teachers and learners, and the lack of intercultural oriented course book (Ge & Zhen, n.d). This similarity might be caused by similarity of the educational cultural background in both countries (Ballard & Clancy, 1997).

### III. MY INTRACULTURAL PROFILE

Name: Ribut Wahyudi

Place of birth: Jember, Jawa Timur

Place of upbringing: Jember, Jawa Timur

Places of Education: Jember, Denpasar (Indonesia), Sydney

Primary: SDN Sanenrejo VII (Elementary School), Tempurejo, Jember

Secondary: SMPN 2 Tempurejo (Junior High School), SMUN 3 Jember (Senior High School)

Tertiary: The University of Jember, Indonesia Australia Language Foundation (IALF) Denpasar, the University of Sydney.

Languages (variations) I use for daily communication/interaction (listening & speaking):

Indonesian, Javanese

Languages (or variations) I use for daily communication/interaction (reading & writing)

Indonesian

Languages (or variations) I use for teaching:

Listening and speaking: English & Indonesian

Reading and Writing: English

Other languages (or variations) I use in my study & research:

Other languages (or variations) I have used in the past in my studies & research, or for communication and interaction (where &when):

What is my relationship to:

English and its varieties: foreign language

The target language I teach and its varieties:

Australian culture: the third space

Additional languages/cultures: French (two semester course) and Japanese (one-semester course).

Tertiary subjects I have studied (and am studying) relevant to my practice; (place & institution): Discourse analysis, Psycholinguistics, writing, speaking, Sociolinguistics, the University of Jember.

#### **Employment:**

Present (area(s), subject(s) & where: the State Islamic University of Malang, English for Specific Purposes and debating skills, East Java, Indonesia

Past (area(s), subject(s) & where: DELTA (Private Course for student's university entrance exam preparation), the State College of Islamic Studies, English for exams and English for Specific Purposes, Jember, East Java, Indonesia.

#### **Fundamental domains:**

Base culture and language: Javanese Indonesian

Occupation/profession/practice: university lecturer

Other engagement/involvement: debate trainer, the secretary of International Student's Affairs unit.

#### **Intracultural based teaching**

In delivering his/her teaching, teachers are inevitably influenced by his/her own experience in learning first language. It is stated that "a teacher's own values and beliefs, experiences and practices can not be divorced from the act of teaching and learning" (Professional Standard Project, 2008). This intracultural experience requires teachers to be aware of his/her position relationship, the source of understanding, the provider of the understanding, the similarity and differences of those understanding in both one's culture and target culture, how teachers make use of those

understanding to enhance teaching (Harbon, 2010). Papadametre (2005) encourages 'self-reflection to channel intra-cultural with intercultural knowing' for teachers (p.8), on the basis of self reflection on ideology, ideological engagement with intercultural education, operationalisation of intercultural learning to develop intercultural curriculum through reciprocal relationship. It is worthy of note that teacher is driven by beliefs, values while teaching in the classroom (Dogancay-Aktuna, 2005; Papadametre, 2005).

The following are my sociocultural and linguistic identity in terms of three domains; base culture and language, occupation/profession/practice and other engagement/involvement.

#### **Base culture and language**

I am the fifth child as well as the last son in Javanese family, born and raised in Jember, East Java. Quite different from central Java which is mostly from Javanese tribe, East Java, Indonesia, is quite mixed with Madurese. Although, Javanese tribes still hold the majority in this province. So our Javanese family in some way is quite dissimilar to those Javanese in Central Java. My family is culturally shaped by Islamic values. In other words, my upbringing lies on two pillars, Javanese and Islamic values. Not very much strict like in Central Java, Yogyakarta, Solo, in which three speech level and pitch, intonation are exercised carefully, I use ordinary Javanese language in my family. This might be the result that my father and mother did not necessitate me to use 'krama inggil', the highest speech level in Javanese language. I use 'krama inggil', only to older people outside my family, and yet it is also not very intensive.

As for bahasa Indonesia, I started to learn it in primary school onwards, in which it is the compulsory medium of instruction. Slightly different from Javanese language which has different speech level, Bahasa Indonesia seems to be more democratic and egalitarian. For example: there is only one 'you' which is 'kamu' while in Javanese, there is 'panjenengan', which is the most polite form of 'you', 'sampeyan' which is less polite, and 'kowe' which is the ordinary one. However, it is not advisable to use 'kamu' to the one being respected, rather it is usually 'Bapak X', 'Ibu Y' etc. I include this aspect in my teaching as well.

#### **English learning experience**

I started learning English in Junior high school, where English was a compulsory subject as also in the case of Senior high school. It is important to note when I was in junior high school that I was urged by my brother by saying that "if your English is not good, if you wish to continuing studying in the city, you will be left behind". This statement is very powerful and influential in motivating me in learning English. Being raised in the village, I am motivated a lot to learn English. This was in part due the societal view in my village that English is a prestigious language. Thus, mastering it indicates 'self-pride'.

Looking through the contexts of learning, in Junior and Senior High School, my learning was primary accentuated on form, reading, grammar, rather than productive skills such as writing and speaking. The activities done in the classroom were also very much guided by a compulsory book produced by the government and taught by local teacher.

However, the context altered when I enrolled in the university, in which I was doing English as my major. In this stage I began to develop four integrated skills: reading, writing, speaking and listening in much more compatible ways. Furthermore, I was taught by many of lecturers from overseas graduates. The experience of doing either master or PhD abroad was indeed contributed much on the way they provided more insightful and plausible explanations. Another conducive atmosphere was when I was joining six month English for Academic Program (EAP) at Indonesia Australia Language Foundation (IALF) Bali. In this foundation I was taught academic English and cross cultural understanding by native speakers. Furthermore, adequate learning resources such as multi-media, regular-monitoring progress are of the advantage.

Moreover, the opportunity to have a contact with Canadian, Australian, German friends boosted my confidence to use more spoken English. The exposure on spoken English was even much facilitated when entering university. In the university, I became an active organiser of two English clubs. My positions in these organisations benefited me a lot, in which I could run discussions, act as radio announcer, represent in English debate competitions etc. These provided me rich experience to learn English from outside the classroom settings, a side from those of formal classes.

Summarising the above experience, the key factors facilitating my learning success are positive rapport with teachers and lecturers, involvement in English competitions, being the organisers of English clubs, contact with native speakers and so on. It is inevitable indeed that our relationship with teachers or lecturers might probably affect the way we view subjects they teach. Closed relation that I usually have with teachers would drive me to love the subjects they teach. Moreover, this benefited me a lot in that I could ask for a help to them every time I had a problem. Immersing me to English clubs was quite helpful for me to keep on using English, at least more frequently than those who were not involved into them. Even more advantage, I could broaden the knowledge not only in the area of English but general knowledge as well because the members were from diverse faculties. Outside the formal classroom, I could interact with native speakers even though it was not in regular interval. The opportunity to socially interact with native speakers opened widely while I was doing English for Academic Program (EAP) at IALF Bali. Being taught by native speakers I could learn more about pronunciation, the appropriate use of words and more importantly cultural understanding as well, as one of the courses given was cross-cultural understanding.

#### **The domain my occupation/profession/practice**

I started teaching secondary students in DELTA, a private course institution in Jember, East Java, in August 2004, when I was about to finish my undergraduate degree. DELTA provides a range of different disciplinary courses in



which English is one of them. The main purpose of this course is to prepare students for the exams, primarily national exam and university entrance exams. In line with the purpose of this course, the English materials given is much of exam oriented, in which students are prepared to do multiple choice test. Additionally, this course is more on grammar, reading less on listening. So no intercultural space is given in this course.

In recruiting the teachers, this private institution does not require the teachers to have teaching qualification, which allowed me from English literature and linguistic background to join. The recruitment process was based on doing multiple choice tests and teaching performance. The institution applied a quite democratic approach of teaching in that students are given room to evaluate teacher's teaching performance in the classroom. Moreover, they can reject a certain teacher if the teachers are felt less competent both in terms of subject mastery or teaching performance. In this context, I was learning a lot how to intellectually engage with English material for exam as well as to emotionally engage with students. And yet, this led me to believe that the success of teaching should perform two sides; subject mastery and teacher-students' emotional engagement.

My other teaching career was at the State College of Islamic Studies (STAIN Jember). In this college I was teaching English for specific purposes, teaching basic English for students doing Arabic studies. The focus of this was very much on reading materials followed with question on Islamic topics. In this case, English is simply utilised as a medium of instruction and only Islamic based cultural value presented. Synergizing this with the objective of the teaching, the activities were very much on reading comprehension, grammar, and listening.

After one semester teaching at STAIN Jember, I moved to teach at the State Islamic University of Malang. At this university, I was teaching English for specific purposes for Islamic education students. The goal for this teaching was reading comprehension on Islamic topics. Besides that I trained a debate in student's debate community.

#### **Other involvement or engagements**

Additional affiliations: spiritual community, university student English forum, English department student association

Leisure hobbies: listening music

Food: slow and fast food

#### **A. The Link of My Intracultural Profile with My Previous Teaching Practice as an Ongoing Professional Development**

I always try to incorporate my experience which is relevant to teaching activities. While I was teaching at DELTA, I try to incorporate personal experience communicating with native speakers whenever the topic of multiple choices does relate to, but since the nature of the course is only exam oriented, it did not provide intercultural aspect. While teaching English for Specific Purposes (ESP) both at the State College of Islamic Studies (STAIN Jember) and the State Islamic University of Malang (now Maulana Malik Ibrahim State Islamic University), again the culture aspects were less presented as the topic itself focus more on 'guided' topics or issues. However, as while teaching I often encouraged the students to have a direct communication with native speakers in order to improve their English as well as to know more about the native speaker's cultures. While training debate, however, I had more chance to share my personal experience to students as well as motivate them to gain academic success especially in English Language. Moreover, for students who keep contact with me and wish me to proof read their scholarship application, I suggested them the way in which the writing style of Anglo Saxon is done, so that the application could follow the same pattern as scholarship committee would expect.

#### **B. My Intercultural Teaching**

I am teaching for English department students for bachelor level for several courses; Speaking, Writing, Introduction to Linguistics, Syntax, and Structure. I include intercultural aspect in my teaching. For example trying to incorporate to some extent *knowing about, knowing how, knowing why, knowing one-self*. These can be exercised in the form of writing, reading, speaking, pragmatic etc. as cultural transmission can be pervasive in all aspect of language learning. As these students I assume are mostly in the late intermediate or advanced learners, they are more probably at *different seekers* stage (Bernett & Allen 2003). Therefore, teaching interculture through literary works such as drama could be interesting (Cunico, 2005) as besides knowing the culture, they can perform a role play. This can be fruitful to implement 'intercultural communicative competence' in the sense that speaking is also exercised. Moreover, as I train and advise 'debate' in the university, providing current and contested topics for global issues is of considerable important. Sharing my own intra-cultural experience during study in Australia would likely be insightful. In terms of 'communicative competence', I let them know about the path of my learning experience as well.

However, I am cautious to the fact that 'religious issues', as described in (Moran, 2001) can be very sensitive. This should be better implemented in each disciplinary course or curriculum, as Slaterry (2006) describes that "religion, spirituality and culture and the ways that these important dimensions of human life and society inform and are informed by curriculum studies" (p.71). Considering that I am teaching in 'religious based university' where students may have different interpretations about certain religious issues. In order to do it better, I try to raise the awareness of appreciating and respecting other cultures by connecting some of the teaching in holy book (Al-Quran) that suggests this such as the idea that human being is created in different nations, tribes in order to know each other. This could be the starting point of discussion in the classroom where the language educator could introduce the idea of respecting others. In the language learning process, however, I leave the students to decide their intercultural stance (third place) on their own.

But one important thing is that encouraging them to have ‘investigative framework’ in their language learning (Borg, 1994), so that they would be well informed in deciding the stance of positioning one-self among different cultures by upholding their own and respecting others.

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# Contextual American Transcendentalism

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**Abstract**—As an outstanding political, philosophical, and literary movement, American Transcendentalism grew during the first half of Nineteenth century. What Transcendentalists believed in was a bond between God and the world, and that God is the origin of everything in nature. Also, God can be found in everything including the soul of every human being which is the place for divinity. The Transcendentalists believed in the oneness of God which is apparent in all religious traditions; they contended if every person has a Divine reason, so he must be free to realize his fullest capacity; in that case the realization of Heaven and Hell would be possible. This article tries to have a closer look at American Transcendental movement in social, philosophical and religious, and literary contexts.

**Index Terms**—Transcendentalism, social context, philosophical-religious context, literary context, American literature

## I. INTRODUCTION

For the Transcendentalists, a direct relationship with God and nature was of great importance. In his essay, ‘Nature’, Ralph Waldo Emerson (2008) wrote: “The foregoing generations beheld God and Nature face to face; we—through their eyes. Why should not we also enjoy an original relation to the universe?” (P. 38) What Transcendentalists wanted to reclaim was the divine, mystical, and supernatural light bestowed upon human soul by the spirit of God. They regarded the free development of individual emotions as the only solution to human problems.

For the Transcendentalists, the world of spirits is the only source for reality. A person sees only appearances, which are transient reflections of the world of the spirit, in the existing physical world. The only way for the people to learn about the physical world is through their senses and understanding. They learn about the world of spirit through another power, called reason by which they meant insight. For them reason or insight was nothing but an independent and intuitive ability to distinguish the absolute truth. In his “An Essay on Transcendentalism”, Charles Mayo Ellis (1970) expressed: “That belief we term Transcendentalism which maintains that man has ideas, that come not through the five senses or the powers of reasoning; but are either the result of direct revelation from God, his immediate inspiration, or his immanent presence in the spiritual world... .” (P. 23)

As a leading proponent of American Transcendentalism, Ralph Waldo Emerson thought that the spiritual world is primary in comparison to the physical world, which regarded as the secondary. He believed that the physical world through making humans aware of its beauty and providing useful goods serves human beings. What Emerson and his followers believed was that human beings find truth within themselves; for them self reliance and individuality were of prime importance, and so were individuality, a strong connection with nature, beauty and God. Jerry Phillips (2010) in his book “Romanticism and Transcendentalism” mentioned:

“Emerson’s romantic philosophy is most clearly seen in his work, Nature (1836). In Nature, Emerson describes a world in which nearly everything in it is a symbol of the spirit. For Emerson, nature is the material world, everything that exists outside the self. This world is one-half, a cover over a greater realm, the spirit or Soul” (P. 52).

Transcendentalists believed that for a person to be able to distinguish what is right from what wrong, he should ignore social customs and principles and rely only on reason (insight). Emerson emphasized on his “Two Truth” theory of knowledge – Understanding and Reason in which the former means the empirical truth and the latter, refers to the absolute truth transcending sense, experience and directly perceived by intuition. In his book, “Introduction to Metaphysic” Henri Bergson (2007) wrote about the differences between these two deeply different approaches to knowing:

“The first implies that we move round the object; the second that we inter into it. The first depends on the point of view at which we are placed and on the symbols by which we express ourselves. The second neither depends on a point of view, nor relies on any symbol. The first kind of knowledge may be said to stop at the relative, the second, in those cases where it is possible, to attain the absolute” (P. 44).

Transcendentalists regarded the doctrine and organized churches of orthodox Christianity as interfering with personal relationship of man with his God. What they emphasized was a rejection of the authority of Christianity and gaining knowledge of God through insight. Transcendentalists believed that all people were equal in the eyes of God, and all had sufficient spiritual power to intuit God in their daily lives (Phillips, 2010). American Transcendentalism believed in the existence of God within every creature and the importance of intuitive thought. It was based “a monism holding to the unity of the world and God, and immanence of God in the world” (Hart, 1995, P.770). One of Emerson’s

transcendentalist followers drew an amazing picture of his master as a lucid eyeball: his skinny little body is topped with a huge eyeball instead of a head, the optic nerve tied into a ponytail behind. The eyeball with legs wears tails and a hat (Stula, 1999).

Ralph Waldo Emerson in his essays, "Nature" (1836), "Self-Reliance" and "Over soul" (both 1841), and Henry David Thoreau in his book, "Walden" (1854) expressed the basic ideas underlying transcendentalism which regarded nature not only as beautiful, but as a reflection of divinity, which is literally the face of God. Leslie Perrin Wilson (2000) noted "above all the Transcendentalists believed in the importance of a direct relationship with God and with nature" (P.4). For them "macrocosm" (the universe) and the "microcosm" (the individual) were in direct connection with each other. They both also took hold of all animate and inanimate objects, and the divine as well.

They believed that Nature represented all of humankind as well as God, and also they stated that much could be learned through a careful examination of the minute elements of nature as microcosms of the larger world (Felton, 2006, P. 120). Also the union with the "Over-soul", which was regarded as reflected in everything in the world, was claimed to be the purpose of human life. According to the Transcendentalists, people could develop their capacity by submersing themselves in the beauty of the natural world. They were only the beauty and truth which could be experienced through intuition, though careful observation of nature might help to uncover its laws. They also identified the soul of each individual as similar with that of the world and it contained what the world contained. So, Transcendentalism emerged as a religious movement. In his "Nature", Emerson (2008) stated: "I become a transparent eye-ball. I am nothing. I see all. The currents of the Universal Being circulate through me; I am part or parcel of God." (P. 38)

## II. SOCIAL CONTEXT

Many reform movements occurred during the nineteenth century. These were attempts to change certain ways of things. Of these, three major movements altered the nation, namely: The abolitionist movement, the temperance movement, and the women's suffrage movement. One other important social movement in the history of the United States of America was antislavery movement. To the followers of Transcendentalism, slavery was inherently wrong, because it stood in the way of the spiritual development of the slaves. Transcendentalists protested against slavery in a number of different ways and even some of them, most notably Parker, played a leading role in the abolitionist movement.

Henry David Thoreau (2004) proclaimed that it was the duty of every person to act against the state where he feels that it is morally wrong. He also noted that "under a government which imprisons any unjustly, the true place for a just man is also a prison" (P. 78). He did not reject politics in general, but asked the state to act in harmony with the moral principles.

He declared: "I ask for, not at once no government, but at once a better government" (Gross, 2005, P. 8). It was in 1849 that Henry David Thoreau published his famous article proposing his views on government. In that article he outlined the duties of the individuals to government which he called "Resistance to Civil Government" (Gross, 2005, P. 8).

The Transcendentalists' emphasis on the importance of individual was also revealed in their attitudes towards slavery in which the slaves were deprived of their basic rights including their right of choice regarding their way of living. For the Transcendentalists, including Emerson, it was unacceptable that an individual could be allowed to lawfully buy or sell another individual and dominate his life thoroughly. Henry Thoreau and Waldo Emerson supported the removal of the slavery. Dr. William Ellery Channing (2012), the father of Unitarianism, who acted as a source of inspiration to that movement, in his essay titled "Slavery", favored abolition. He declared: "The deliberate, solemn conviction of good men through the world, that slavery is a grievous wrong to human nature, will make itself felt. To increase this moral power is every man's duty. To embody and express this great truth is in every man's power; and thus every man can do something to break the chain of the slave" (P. 35).

The reform of the society through perfection of the individuals from within and not from without through external means, was what Transcendentalists emphasized. The ideas that Thoreau proposed in his essay had been structured through his New England heritage and the events of his time. Walter Harding (1989) in his book notes: "Thoreau grew up in an atmosphere of anti-slavery feelings. His mother and sisters were influenced by some abolitionist boarders to join an anti-slavery society. The Thoreau family became very active in that society and was well known in the community as abolitionists" (P. 180).

Thoreau (2011) was once arrested, while living in Poland for not having paid his tax. He believed he had never been attacked except by the government and that "wherever a man goes, men will pursue and paw him with their dirty institutions..." (P. 30). It is moral to break a law, Thoreau (2011) concluded, if that law "requires you to be the agent of injustice to another..." (P. 30). In other words, if a government changes to become unjust or oppressive, it would be the duty of everyone to resist it, at first peacefully but, if necessary, with through the enforcement of force and violence. He noted, "This people must cease to hold slaves, and to make war on Mexico, though it cost them their existence as a people" (Thoreau, 2011P. 30). Henry David Thoreau (2011) believed in the capacity of a determined morally minded minority to correct the evils of the majority. He continued: "I know this well, that if one thousand, if one hundred, if ten men whom I could name--if ten honest men only--ay, if one HONEST man, in this state of Massachusetts, ceasing to

hold slaves, were actually to withdraw from this co partnership (with the government) and be Locked up in the country jail therefore, it would be the abolition of slavery in America. For it matters not how small the beginning may seem to be, what is once well done is done forever. But we love better to talk about it" (P. 30).

The political, economic, and social roles played by women changed greatly through pre- Revolutionary time to the early twentieth century. In the years leading up to the American Revolution, women were viewed as "subordinate to males" and were therefore subject to the laws and regulations imposed upon them by men (Donald, 1960). They were expected to get married, have children, and do as right doing wives and mothers. Because of the masculine society in which they were living, women usually were not entitled to many of their legal rights, including suffrage or property (Lindenmeyer, 2000).

One of the journalist, critics, and women's right activists whose name is associated with The American Transcendentalism is Margaret Fuller. What Fuller believed and emphasized was everybody's right to be let develop a full capacity of their nature. Transcendentalists including Emerson regarded the process of self- cultivation as a central value; this idea was the basis upon which Fuller based her argumentation for women's right. She believed in the policy of "All man and women are created equal" which was a revelation of support for women's right and it produced a very big wave of optimism. Fuller (2009) wrote:

"He regarded [women] as souls, each of which had a destiny of its own, incalculable to other minds, and whose leading it must follow, guided by the light of a private conscience.... Thus all beings were treated by him with an equal, and sweet, though solemn courtesy" (P. 72).

Between 1838 and 1844 she managed some "conversation" classes for women in literature, education, mythology, and philosophy. In 1845, Margaret Fuller published her book in feminism entitles "Women in the Nineteenth century", as a demand for political equality and a plea for emotional, spiritual, and intellectual improvement of women's status. She wrote after finishing the book: "I had put a good deal of my true self in it, as if, I suppose I went away now, the measure of my footprint would be left on earth" ( Bean, 2000, P. 320). Fuller (2009) tried to obtain suffrage right and the right to extra- domestic activities for women. She believed that women had to define themselves not in relation to men, but to God. In her book "Women in the Nineteenth century" she expressed:

"I would have woman lay aside all thought, such as she habitually cherishes, of being taught and led by men. I would have her, like the Indian girl, dedicate Herself to the Sun, the sun of Truth, and go nowhere if this beams did not clear the path" (P.72).

Although women did not get the suffrage right till 1920, the movement for women's right developed out of this abolitionist movement. It was a period which witnessed some efforts to improve social treatment with the poor, the mentally ill, to improve general education and to end drinking. In 1846, as a correspondent for the New York Tribune, Margaret Fuller took a trip to Europe. "Fuller's Tribune writing illustrates the potential service of the critic as mediator in a pluralistic, cosmopolitan, literary culture" (Bean, 2000, P.320). Suffrage was a social and political issue in the western areas of The United States. It was viewed "as a practical movement" in the west where women were entitled more freedom practically than their counterparts in the East (Donald, 1960). In Kansas there was an effort to allow women's suffrage as well as to "ensure the enfranchising of black males" (Banner, 1980, P.88).

The third movement under our attention is The Temperance movement. Religious grounds had an opposite called "Demon Rum" which defiled "The body as a temple" as the Scriptures say, and let to immoral activities. During this time, Alcoholism was an important issue it had a great effect on the family budget and often caused safety dangers for industrial workers.

Transcendentalists viewed a link between alcoholism and poverty which caused the establishment of a number of organizations to fight the demons including, The American Temperance Union. As a result many laws were enacted to restrict and, finally ban the sale of alcoholic drinks in many States. Daniel Sutherland (1989) expressed that "The temperance movement, gained momentum in the years surrounding the Civil War, and the Woman's Christian Temperance Union (WCTU) was founded as a means to prohibit men from consuming alcohol in excess quantities." (P. 94).

### III. PHILOSOPHICAL AND RELIGIOUS CONTEXTS

Plato was the first person who proposed the concept of Transcendentalism. He believed in the absolute goodness, the one beyond description. This goodness, according to him, could be perceived only through intuition and insight, instead of logic or rationality. An important aspect of Plato's idea is that he believed in the ability of man to know the mere being in itself. For him the reason was that we are not strangers to the ground of our being. Ralph Waldo Emerson, later, used other Plato's theory that the world is an expression of spirit to improve the theory of correspondence.

John Locke believed that human mind was devoid of conscience at birth. It lacked also moral understanding, intuition, and all that might develop through experience. He rejected the theory of innateness of Belief in God and moral law. For Locke, the process through which religious and moral concepts are internalized were equal with those processes by which mathematics and other branches of science are taken in; as well, religious perception was necessarily a material, and not an idealistic process which did not transcend the physical world. American Unitarians used Locke's' ideas of Rationalism as they tried to put the negative view of man and nature held by their Calvinistic predecessors aside. Locke's materialism rejected transcendentalist views as they were trying to define religious understanding.

Transcendentalists were more eager to hold a more idealistic view of human mind and mental capacity, which would allow an inherent understanding of God and morality.

The ideas of German philosopher Immanuel Kant (1724-1804) looked more appealing for the Transcendentalists. Kant, in his Theory of knowledge, considered a distinction between the world of sense and that of understanding. Kant is regarded as the first thinker who believed that God and soul are transcendent. Other German Idealists, including Fichte, Schelling were under the influence of Kant's ideas that inspired New England transcendental Philosophers. According to him, sensory experience could reveal things as they appeared, but understanding revealed them as they were. In his book, "Critique of Practical Reason" Kant expressed: "I call all knowledge transcendental which is concerned, not with objects, but with our mode of knowing objects so far as this is possible a priori" (Hart, 1995, P. 37).

Kant expressed that knowledge had several aspects including God, morality, freedom, and immortality which could not be understood by reason, but rather they were subject to intuitive understanding of man. The human mind was not the Tabula Rasa proposed by John Locke. For him, man was basically moral and obedient to God's orders. The internalization of such ideas was essentially transcendental. They transcend sensation and reason. Despite the fact that thinking about such philosophical ideas might look unusual for the modern man, an understanding of the differences between sensation (Materialism) and idealism (transcendence) was basic to Transcendental Philosophy. Transcendentalists owed much to Kant and realized the points of difference between Kant and Locke. In 1841, Ralph Waldo Emerson (2008), in his lecture entitled "The Transcendentalists" expressed:

"It is well known to most of my audience, that the Idealism of the present day acquired the name of Transcendental, from the use of that term by Immanuel Kant, of Königsberg, who replied to the skeptical philosophy of Locke, which insisted that there was nothing in the intellect which was not previously in the experience of the senses, by showing that there was a very important class of ideas, or imperative forms, which did not come by experience, but through which experience was acquired; that these were intuitions of the mind itself; and he denominated them Transcendental forms. The extraordinary profoundness and precision of that man's thinking have given vogue to his nomenclature, in Europe and America, to that extent, that whatever belongs to the class of intuitive thought is popularly called at the present day Transcendental." (P. 24). Transcendentalists used to read Locke and Kant's writings. Locke's work was a part of his Unitarian heritage and the college curriculum of the time. Some of the Transcendentalists, including Frederic Henry Hedge and Theodore Parker, were able to read Kant's writings in the original German language; while others, like Emerson and Theodor Parker, used to read his works in English translation. The concepts proposed by Kant and other intuitive philosophers were also spread through the efforts of British and French writers. Samuel Taylor Coleridge, English poet-Philosopher emphasized on spirituality, intuition, and imagination was deeply under the influence of Kant, and in turn, influenced Transcendentalists. The word "Transcendent", according to Kant referred to:

"qualities that lie outside of all 'experience' that cannot be brought within the recognized formularies of thought, cannot be reached either by observation or reflection, or explained as the consequences of any discoverable antecedents". (Frothingham, 2010, P. 213).

Indian and Chinese religious teachings, in part, had impact on the mystical aspects of Transcendentalism. Despite the fact that Transcendentalism was not a philosophy in its systematic meaning of the word, some common principles could be seen shared among its followers. The idea that God is present in each person and in the nature and that intuition is the unique source of knowledge caused the emergence of a positive emphasis on individualism, self-reliance, and the rejection of traditional authority.

What Transcendentalists believed was that each person is capable to change positively and could attain divinity which means reaching a communion with God based on the reliance on their inherent goodness and reliability and faith in their own instinct. This is a sharp contrast between Calvinistic – Puritanical views which emphasized on the concept that man is inherently evil. Transcendentalists believed that every individual has a divine source within and must be free to achieve its full power. That was the reason that Transcendentalist favored reforms.

Puritanism was a religious movement the way Protestant reformation was. Puritans wished to reform England the way Calvin did in Geneva. Puritan religious doctrines were fundamentally based on Calvinism. They agreed with Calvin in his teachings, since what he preached was based on Bible and experience. In the book, "American Literature", it was expressed that there are five points of Puritan basic tenets including: 1) The supremacy of Divine Will, 2) The Depravity of Man, 3) Election, 4) Free Grace, and 5) Predestination (Crawford, 2007, P. 224).

The starting point for Puritan Theology was an emphasis on the Majesty, righteous, and sovereignty of God. God has the absolute authority and arbitrary power to create and interfere in the universe. Everything in this world is directed using His morality, due to his will. If God wills his world, it must be directed by His morality and worldly occurrence must be the consequence of His moral law. Puritans also believed in the depravity of man. For the puritans, human beings were deprived sinners unable of getting any worth in the eyes of God, this was the idea they got from the scripture, social surrounding, and a personal introspection. (Eliad, 1987, P. 103). All human beings were regarded as sinful because of Adam's fall for his wrong doing in the Garden of Heaven.

In the eyes of the Puritans, Human being was sinful and weak and thus deserved damnation. Many preachers gave a picture of themselves as hopelessly stupid, wickedly sinful, and irrecoverable damned (Crawford, 2007, P. 224). Puritans, also, believed in the concept of election which refers to the idea that Christ's sacrifice has resulted in the covenant with God to save the elected person from damnation. They also hold the idea that God "elected" or

predestined certain persons, a small number, not all mankind by any means - to be saved ones and did this due to his mercy. What Puritans preached was that good work was fruitless in getting salvation, because it did not please God and the sinners could not save themselves. For the Puritans, people could not simply reach the salvation by taking hold of natural means provided by God, including the scripture, sacrament, and sermons of Godly preacher. The elected person could be associated with the Spirit's transforming work on their souls.

English Puritans were separated into Non-separatists and separatists following the problems they faced. The first group consisted of those who tried to continue their attempt in reforming the Church of England and keep their existence in England, while the second one consisted on those who could not manage to preserve a Calvinistic Christianity in which they believed. The name they got was for the sake of their attempt to separate from the Church of England. They wanted to have their own church free from the Roman Catholicism. The separatists immigrated to America where they thought they could make their dreams true.

The Puritans went to New England because of some religious, political, and economic reasons. The basic reason for which they emigrated to America was the avoidance of conflict with the king and finding a religious freedom to practice and spread their belief. John Winthrop, the first governor of Massachusetts Bay Colony, believed that the colonists were the first in establishing the kingdom. In 1630, he expressed that their mission in establishing the kingdom was to build a city upon the hill. This means that what they had in mind was to become a reverent congregation for others. Puritan migration to America had significant impact on the development of American literature and thought.

Puritan inheritance influenced the American character and the trend of American spirit formation. Since the puritan settlers were educated and intellectual, they contributed to the trend of education through establishing educational institutions and universities. They believed in the capability of university education in the salvation of man from the Satan. Also the Puritans gave a lot of importance to the establishing of religious freedom. For them, it was very important that the word of God be preached freely, which resulted to the emergence of the spirit of toleration in facing religious diversity. "Many scholars have noted the contribution of Puritanism to the development of democracy" (Crawford, 2007, P. 224). The Puritans also emphasized on the enforcement of the checks and balances of power.

The effect that Unitarian history has had on the religion in Europe and America has been considerable. In late 1700s, a group of Christians, who called themselves as Unitarian, separated away from New England Puritan Church of England. They rejected the traditional Christian "trinity", which expresses that there are three divine elements of God, namely, The father, The son (Jesus Christ), and The Holy Spirit. Unitarians also rejected the predestination, the concept that God has already decided on who is predestined for heaven or hell. They believed that everybody had the free will to work for his or her salvation.

Unitarians emphasized on a range of liberal concepts. For them, God's goodness and loving kindness, necessary for mankind to be like God and comprehend Him, and in human capacity for spiritual, moral, and intellectual improvement of high value. William Ellery (2012), in his "Unitarian Christianity", expressed: "The idea of God, sublime ... as it is, is the idea of our own spiritual nature, purified and enlarged to infinity. In ourselves are the elements of the Divinity" (Channing, P. 17).

William Ellery Channing who was a much respected preacher of his time was loved by his Unitarian fellows, and feared by the Calvinists as much. He founded The American Unitarian Association. He wrote different books, and preached sermons against all kinds of social defects including alcohol, child labor, and exploitation of women. As a very fearless and brave man, he condemned the use of force in dealing with the slave traders and holders. Once he wrote: "The North has one weapon, moral force." He spoke, gave lectures, and traveled every place he could to preach his ideas.

After three decades, another split occurred within the Unitarian Church of Boston; some even doubted the divinity of Christ. Some of the leading figures of Unitarian Church figures, including, Ralph Waldo Emerson, left the church to find a more meaningful religious life.

Transcendentalism originated from English Romanticism and German idealist philosophy, Unitarianism and Eastern religions (Ashton, 2006, P. 5). It stands on one main principle that God is both immanent and transcendent; both in the world and outside of it. (Wagenknecht, 1974, P. 145). The idea of immanence referred to "inalienable worth of man", (Frothingham, 2010, P. 136). because God is within mankind, and according to the principle of transcendence God is all-encompassing. These were regarded as radical religious ideas for those who were familiar with traditional Christian theology. Transcendentalism seemed a "mass of mild opinions", the most important of all these was the concept of "God in the Soul, faith in immediate inspiration, in boundless possibility, and in unimaginable good."

Transcendentalism stood at the top of literary and aesthetic romanticism in Europe and America, which was distinguished the reaction against formalism and convention and an emphasis on human emotion, subjectivity, and inspiration. It can be said that, Transcendentalism which was inspired by English and European writers, was a type of American Romanticism. In his book "Romanticism and Transcendentalism", Jerry Phillips (2010) expressed: "All of the principles seen in European romanticism find their way into American thought, especially as these ideas come into the American conscience through the Transcendentalist writers, poets, and thinkers. Romanticism and Transcendentalism had a profound effect on the American character" (P. 27).

One important difference between Romanticism and Transcendentalism was in their view of God and His role in the lives of people. Transcendentalism was based largely on the concept That God is an internal force and every creature as



His creation has within himself a divine spark namely, “inner light.” Therefore, the final goal of human life would be to connect to that inner light; that is, something which is referred to as “over-soul” which means that part of God which unifies all living things. On the other hand, Romanticism, in comparison, had less to do with God. For the romantic, God was an external force as opposed to the internal spark of light. The idea of “high reason” rests at the heart of Transcendentalism in which religion is seen as an individual matter of intuition or insight. Charles Mayo Ellis (1970) in his article, “Essay on Transcendentalism” expressed:

“Transcendentalism is predicated on the reality of spiritual or religious element in man, his inborn capacity to perceive truth and right, so that moral and religious truths can be proved to him with the same degree of certainty that attends mathematical demonstration” (P. 19).

Another difference between Romanticism and Transcendentalism lies in the concept of inherent goodness or internal dark side of human beings, which is very much connected to the views regarding God. Romanticism was related to the “spirit of perverseness” in human nature; and on a larger scale with the “flaw in the universe.” Many Romantic works emphasize on the concept that everything may not be all correct. This directly stands opposed to the Transcendentalist view that people are ultimately good.

Transcendentalism believed that inner goodness in the spirit of man is taken for granted due to the concept of “inner light”. Everybody carries a part of that goodness and God within his soul; therefore, inherent goodness is inevitable because human beings are all God. This is something which can be referred to as “Ultimate goodness beyond explanation”. In Conversations with God, it’s explained in more specific terms as something which the spirit comprehends deeply, but which the mind can rarely understand. Transcendentalists believed that, there was no “flaw in the universe”. For them, there was only God. “A central tenet of Transcendentalism was the conviction that human Beings could elevate themselves beyond their baser animal instincts, attain a higher consciousness, and take part in the spirit of the divine” (Phillips, 2010, P. 27).

Transcendentalists and Unitarians shared the concept of monotheism. According to Channing (2012): “There is One God...the Father; and that Jesus is not this One God, but his son and messenger” (P.17). For the Transcendentalists Christ was like other prophets, with the difference only in degree, not in quality. In “The Dial”, Emerson (1842) expressed:

“Christ differs from other men only in degree, and the miracles he wrought differ from other men's acts, only as he differs from them. He is to other religious teachers – to Moses, Zoroaster, Socrates, and Confucius – what Shakespeare is to other poets” (P. 124).

All religious preachers had been under the inspiration of God, they revealed Godly truth bit by bit progressively, based on the needs of the time. None of them was sufficient for the all time. Emerson (2011) in a reply to a question about divinity of Christ, in his “Man Thinking” said:

“The man has never lived that can feed us ever. The human mind cannot be enshrined in a person who shall set a barrier on any one side to this unbounded, unbound able empire. It is one central fire, which flaming now out of the lips of Etna, lightens the capes of Sicily; and now, out of the throat of Vesuvius, illuminates the towers and vineyards of Naples. It is one light which beams out of thousand stars. It is one soul which illumines all men” (P. 118).

Transcendentalists became different from The Unitarians because they valued “heart” over “mind”. Emerson attacked the Unitarian Church for presenting a lifeless and cold picture of Christianity; he even called them “corpse cold, an ice box” with “coldness constantly increasing”. He put Jesus’ miracle under question, and preferred to focus on his moral preaching. Emerson believed that individuals were able to explore truth and God without being themselves without being a member of any church or any specific religious belief. Emerson (1993) was of the idea that religion was “a disease of the intellect.” A great man understands divinity in a form of a system which cannot be explained even by him; but, the immortal light cannot be limited into any system and “beam over the universe on the first morning” (P. 49). For Emerson (1993), faith depended on neither creeds nor authority: “The faith that stands on authority is not faith” (P. 49). The more a religion depends on authority, the more it has to lose. A religion can be a revelation today, as it has been throughout the history, it does not have to be a history of the things in the past. So the source of inspiration should be the present time, and not the past. God speaks to us today just as he has been speaking with the prophets during the history of mankind. God speaks through nature, which teaches how to worship, because religion and nature are related, it reflects spirituality and moral law.

Thoreau (2011) thought that religion was unacceptable because it was only a habit and obstacle to the intellect. He used to see his fellow villagers in their religious acts, as hoping “by a certain outward observance and a few prayers, and by walking in a particular straight though useless path from time to time, to save their souls.” (P. 27). Religion can even be misused, as some used the bible to support Slavery. According to Thoreau (2011) everybody had to be universal in his religious experience and listen to all who speak about the spirituality – not only to Jesus Christ, but also to Zoroaster—and let “our Church” go by the board” (P. 143). He also emphasized on his idea that everybody is divine and can know God at any moment more than any other time and a forest is a better place to know God than a church is. Through getting close to nature, everybody can feel the divinity. In his book, “New England literary Culture”, Lawrence Buell (1986) explained about Transcendentalism:

“Transcendentalism, in fact, really began as a religious movement, an attempt to substitute a Romanticized version of the mystical ideal that humankind is capable of direct experience of the holy for the Unitarian rationalist view that the

truths of religion are arrived at by a process of empirical study and by rational inference from historical and natural evidence" (P. 146).

Transcendentalism is concerned with making individuals find meaning within themselves instead of waiting for another higher source of guidance including God or Church.

#### IV. LITERARY CONTEXT

Transcendentalism rose out of a literary background in the Romantic Movement in America, Britain, and Europe. Romanticism spread in American literature between 1820 and the end of the Civil War. It was expressed not only in the works of Transcendentalists, but also their contemporaries, including James Fenimore Cooper, Edgar Allan Poe, Henry Wadsworth Longfellow, Nathaniel Hawthorne, Herman Melville, and Walt Whitman, who produced a variety of works in different genres. A part from literature, Romanticism had great effect on architecture and music.

British Romantic writers William Wordsworth, Samuel Taylor Coleridge, and Thomas Carlyle had great impact on the New England Transcendentalists. Poets Wordsworth (1770–1850) and Coleridge (1772–1834) together wrote *Lyrical Ballads*, the first edition of which was issued in 1798. *Lyrical Ballads* was the personal representation of these two great poets regarding their personal feelings. They also had used a spoken language instead of a stylized written word, and focused on both supernatural and everyday life experiences. In his *Biographia Literaria* (1817) and his *Aides to Reflection* (1825), Coleridge presented the Kantian difference between knowledge obtained through the senses, or "understanding" and the grasped intuition; or "reason" and discussed German philosophy.

Emerson was a public speaker who explored new spiritual philosophies. He assembled a group in his personal home for spiritual discussions. This group later formed the Concord School, and finally, Transcendental Club. Among its members were Bronson Alcott, Henry David Thoreau, Nathaniel Hawthorne, and Margaret Fuller as well as Theodore Parker. These persons launched the philosophy of Transcendentalism, in their neighborhood. This club functioned as a forum for maintain and nourishing new ideas and concepts in informal and open minded discussions that often revolved around one single topic.

One considerable young member of the transcendental club in Boston was Theodor Parker, a contemporary of Emerson. Parker felt deep respect for Emerson; adopted the tenets of Transcendentalism as the basic principles of his life. There was a point of difference between him and Emerson in their area of focus. Parker was an outspoken activist, whose passion was putting into practical application the theoretical ideas proposed by Emerson (Shepherd, 1986, P. 97).

Transcendentalism as the representation of Romanticism spread throughout the works of the faithful. Emerson, Thoreau, Fuller, and others published lengthy works of literature in a wide variety of genres and subjects; each of which was a representation of Romantic ideals. Transcendentalists also expressed their philosophy, concerns, and creativities through shorter pieces of writing in periodical publications that were important to the intellectual improvement of the nineteenth century. The *Western messenger*, which was published in Cincinnati and Louisville from 1835 to 1841, covered some pieces of Unitarianism, Transcendentalism and German and oriental philosophies and literatures. The *Western Messenger* was the first magazine with a literary and religious purpose. It had literary coverage, original poetry, progressive social matters, and its "combination of liberal religion with literature, Western, and European" (McKinsey, 1973, P. 6) made it unique. As the manifesto of Transcendentalism, "The Dial", which was edited by Emerson and Margaret Fuller and published by Elizabeth Palmer Peabody, was out between 1840 and 1844.

Transcendentalism and its specific view regarding nature has some single and especial impact on the American literature, most noticeably in the works of some great American writers, including Nathaniel Hawthorne (the *Scarlet letter*, 1850), Walt Whitman (*Leaves of Grass*, 1855) and Herman Melville (*Moby-dick*, 1851). Hawthorne and Melville strongly disagreed with Transcendentalists' view regarding the perfectibility of man. They believed that the man is not perfect and what they emphasized was the evil present in the world and nature. What they wrote illustrated the idea that human beings are not always moving toward truth and righteousness, beauty, and justice. They are sometimes under the temptations of Satan and give way to cruelty, injustice, and the eternal search of power and oppressiveness over their fellow men.

They believed in the concept of original sin and human tendency to evil. Critics have classified Hawthorne and his works to Romantic period or better say Dark Romantic period of American literature (Reynolds, 2001, P. 525). His works usually contain cautionary tales that inspire guilt, and sin as inherent qualities of human nature. Hawthorne was interested in some Transcendentalists' concepts like free inquiry, radicalism and contact with natural life. Nathaniel Hawthorne strongly criticized Thoreau. He believed that:

"has repudiated all regular modes of getting a living, and seems inclined to lead a sort of Indian life among civilized men- an Indian life, I mean, as respects the absence of any systematic effort for a livelihood" (Hawthorne, 1967, P. 110). He also even criticized his writing ability: "There is one chance in a thousand that he might write a most excellent and readable book," but if he did it would be "a book of simple observation of nature, somewhat in the vein of White's *History of Selborne*" (Borst, 1992, P. 95). It is worth mentioning that the main concepts of Transcendentalism which were revealed in Hawthorne's "The scarlet Letter" were the Transcendentalist doctrine of Self-Reliance and Compensation. According to the latter, every action brings its rewards and punishments with itself. The wrong doer is punished, though police never find him, because the price of wrong is the loss of innocence, fear and arrest, and or suspicion of other men. According to the principle of Self-Reliance, which emphasized on the human life in

accordance with the nature, listening to the orders of over –soul as revealed in his inherent instincts and desires, man should free himself from his past and of a conventional society, which contains the past.

Hawthorne's "The Scarlet Letter" is full of Puritan social aspect of life. Hawthorne always wrote about man in society, rather than simply about man in nature. The whole story is a representation of a conflict between man and his society in which the role of society in maintain and controlling its members is illustrated. This romance shows the hidden sin and guilt present in the puritan society due to their intolerance. "The Scarlet Letter" illustrates the Calvinistic obsession with morality, sexual repression, guilt, confession, and spiritual salvation.

Hawthorne was not a Transcendentalist; however, he spent some period of time among them. He married to Sophia Peabody, sister of Elizabeth Palmer Peabody. He lived in Concord from 1842 till 1845, when Transcendentalist movement was at its highest vogue. Hawthorne's romances and stories, rich with symbolism and allegory, focused on the individual, explored morality, dealt with historical subjects, and examined the effect of the past upon the present.

Based on his life experiences and knowledge obtained in exotic places and at sea, Herman Melville (1819- 1891) created considerable works of writing. In his "Moby Dick" he illustrated an atmospheric, evocative, allegorical, symbolic, an exploration of good and evil state of affairs which were the embodiment of Romantic literature. Moby Dick deals with the value of life, as Melville used to them: philosophy, psychology, myths, and social norms. Moby Dick or The Whale has become Melville's most famous work and regarded as one of the greatest works of literature of all time which was dedicated to his friend Nathaniel Hawthorne (Cheevers, 2007, P. 196). The writer illustrates the most characteristic features of Transcendentalism in his novel. These can be noticed in the features of the main character, Ishmael, the narrator of the story.

Poet Walt Whitman (1819- 1892) was deeply influenced by Emerson's thoughts and works. His *Leaves of Grass* (1855) praised the individual and appreciated personal expression, freedom, and the understanding of the world through intuition. Despite Whitman was not considered a religious man, he was influenced by the religious philosophy of his time. While he was young, Whitman adopted his parents' belief in the Quaker leader Elias Hicks, who was of the belief that the only way to communicate with God was the inner light. Whitman poetic diction of the self was the secular equivalent of what Quaker Hicks explained about the inner light (Reynolds, 2000, P. 18).

Whitman (1995) believed that the eyesight was more powerful than other senses because it was independent from the rest of the "foreruns the identities of the spiritual world" (P. 415). Whitman engaged in three dialogues of self-awareness: the self and the physical world, the self and others, and the self and spirit. Whitman found the self first in the human body. His view was different from that of Emerson's Transcendentalism in that the physical body was as important as the soul and it is celebrated in its natural state. Whitman was deeply under the influence from Emerson, who he though helped him discover himself: "I was simmering, simmering, simmering; Emerson brought me to a boil" (Reynolds, 1995, P. 85). In 1842, Whitman had a trip to hear Emerson's lecture on poetry boosted Whitman's aspirations to be the American Bard. For Whitman, sensuality was of much more importance than that of Transcendentalists.

In 1850, he embarked on the job of writing his "Leaves of Grass", a collection of poetry he edited and completed to the end of his life ( Miller, 1962, P. 55). The book was deeply appreciated from Ralph Waldo Emerson, who wrote a praising five-page letter to Whitman and recommended the book to his friends.

## V. CONCLUSION

Many social reform movements altered the nation, during the nineteenth century namely: The abolitionist movement, the temperance movement, and the women's suffrage movement. To the followers of Transcendentalism, slavery was inherently wrong, because it stood in the way of the spiritual development of the slaves. Transcendentalists protested against slavery in a number of different ways and even some of them played a leading role in the abolitionist movement. Apart from that, transcendental movement was active in the philosophical foreground. From the time of Plato who proposed the concept of Transcendentalism to Kant who was interesting for the Transcendentalists. Kant is regarded as the first thinker who believed that God and soul are transcendent. What Transcendentalists believed was that each person is capable to change positively and could attain divinity which means reaching a communion with God based on the reliance on their inherent goodness and reliability and faith in their own instinct.

"Transcendentalism, in fact, really began as a religious movement, an attempt to substitute a Romanticized version of the mystical ideal that humankind is capable of direct experience of the holy for the Unitarian rationalist view that the truths of religion are arrived at by a process of empirical study and by rational inference from historical and natural evidence" (Buell, 1986, P. 146).

Transcendentalism is concerned with making individuals find meaning within themselves instead of waiting for another higher source of guidance including God or Church.

Transcendentalism rose out of a literary background in the Romantic Movement in America, Britain, and Europe. It was expressed not only in the works of Transcendentalists, but also their contemporaries, including James Fenimore Cooper, Edgar Allan Poe, Henry Wadsworth Longfellow, Nathaniel Hawthorne, Herman Melville, and Walt Whitman, who produced a variety of works in different genres. Transcendentalism as the representation of Romanticism spread throughout the works of the faithful. Emerson, Thoreau, Fuller, and others published lengthy works of literature in a wide variety of genres and subjects; each of which was a representation of Romantic ideals. Transcendentalists also

expressed their philosophy, concerns, and creativities through shorter pieces of writing in periodical publications that were important to the intellectual improvement.

Transcendentalism and its specific view regarding nature has some single and especial impact on the American literature, most noticeably in the works of some great American writers, including Nathaniel Hawthorne (the Scarlet letter, 1850), Walt Whitman (Leaves of Grass, 1855) and Herman Melville (Moby-dick, 1851). Hawthorne and Melville strongly disagreed with Transcendentalists' view regarding the perfectibility of man. They believed that the man is not perfect and what they emphasized was the evil present in the world and nature. What they wrote illustrated the idea that human beings are not always moving toward truth and righteousness, beauty, and justice.

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# A Lexico-syntactic Comparative Analysis of Ondo and Ikale Dialects of the Yoruba Language

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**Abstract**—The study was a comparative study of Ondo and Ikale dialects of the Yoruba language with a view to finding out the areas of convergences and divergences between the two dialects. The study was based on 50 sentences selected from each of the dialects, but only 25 of the sentences were presented and used in this study. They were analysed from the perspective of Halliday Systemic Function Grammar (SFG) in order to identify the prominent lexemes and syntactic structures in the two dialects. Simple statistics based on percentages was used to calculate the number of lexemes and structures that are similar and different. It was discovered that the two dialects have basically the same lexemes at both subject and predicator levels. This shows that the speakers of the two dialects often make use of the same nominal and verbal items in their speeches. Besides, the two dialects share basically the same syntactic components – Subjects, Predicator, Complement and Adjunct as found in all the sentences examined. The dialects are however, found to be mainly different in the area of auxiliary verbs. Most of the words or lexemes in the dialects are also found in the standard Yoruba language, hence the mutual intelligibility of the two dialects to an average Yoruba language native speaker. It is thus envisaged that other dialects of Yoruba language that are geographically close may equally share similar linguistic features in the areas of lexemes and syntax.

**Index Terms**—Yoruba Language, Ondo dialect, Ikale dialect and comparison

## I. INTRODUCTION

No human language is fixed, uniform, or unvarying; all languages show internal variation. The actual usage varies from group to group and from speaker to speaker in terms of pronunciation, choice of words, meanings or semantics, and syntactic constructions. So, this study looks at both variations and similarities in the dialects of Nigerian languages with respect to Yoruba language, which is mainly spoken in the South West of Nigeria and some countries in the West African sub-region.

Languages all over the world are noted for variation pervasiveness. English for example, has so many variations such as British English, American English, Australian English, South-African English, Nigerian English and so on etc. For instance, American English (AME) is noticeably different from that of the British, and the speeches of these two groups in turn are distinct from Australian English. When speakers of a particular language speak different versions of the language, they are said to be speaking different dialects of the language, which differs from register. The term ‘register’ first came into general currency in 1960s, and Halliday et al; (1964) described register “as a variety according to use in the sense that each speaker has a range of varieties which he chooses from, at different times” (p. 77). On the other hand, dialect is a variety according to user as the speaker uses only one variety and uses it all the time.

The common factor in this definition of register is the view that both situational and linguistic variables should be essential part of the process of register characterization. It is these situational variables that specify register as a variety according to use. Hence, in Sociolinguistics, Salami (2010) posits that “Ethnography of speaking and anthropological linguistics are concerned with the knowledge of language and the knowledge of its social and cultural use” (Salami 2010).

### A. What is Dialect of a Language?

A dialect is a distinct form or a variety of a language; it is associated with a recognizable regional, social or ethnic group and different from other forms of the language by specific linguistic features such as pronunciation, vocabulary, grammar or any combination of these. In any event, it must be kept in mind that from the linguistic point of view, a dialect is a theoretical concept; it is a variation of language, and variation is so pervasive that each language is actually a continuum of languages and differs from speaker to speaker, and from group to group in such a way that an absolute lines can be drawn between different forms of or varieties of a language (See Labov, (1966), (1972); Milroy, (1987); Salami, (2006))

### B. Historical Survey of Dialect

The rise of the discipline of sociolinguistics introduced the consideration of social and demographic factors into the description and analysis of languages and language varieties. This has made the study of dialects a significant area in the understanding of not only human behaviour, but also of the processes of language change. However, according to

Salami (2010), “the study of the dialects of Yoruba (including the *koine*), so far, has followed largely the two frameworks of traditional dialectology and descriptive linguistics to the neglect of social dialectology and variation” (Salami 2010) (see, for example, Adetugbo, (1967), (1973); Oyelaran, (1976); Awobuluyi, (1992); Fabunmi, (1998), (2006), (2009); Ajongolo, (2005) and Aboderin (2006)).

The classical form of a dialect is the regional dialect, which is a distinct form of a language spoken in a certain geographical area. For instance, we have the Cockney-dialect, Yorkshire-dialect of English. Inhabitants of these regions have certain distinct linguistic features that differentiate them from speakers of other forms of English. Also, Tohomo O’ odhan (formerly papago) and Akimel O’ odhan (formely pima) are two native American languages spoken by members of some tribal groups living in the states of Arizona and Northern Mexico. The languages are close phonologically and grammatically with only minor linguistic differences in pronunciation and syntax (dialect variation). So, the phenomenon of dialect arose from the kind of language or the distinct form of a language spoken by members of a specific socio-economic class like the working class dialects in England or the ghetto languages in the United States.

Working class (England)

(i) He is fast in everything he does

(ii) You are out of the game

(iii) They are not caught

(iv) He is going to try get up

(v) She is the first one, that started us off

(Labov 1963).

Ghetto (United State)

(i) He fast in everything he does

(ii) You out the game

(iii) They not caught

(iv) He gon’ try get up

(v) She the first one started us off.

### C. The Ethnic Dialects

An Ethnic dialect can be described as the form of English sometimes referred to as ‘Yiddish’ English, historically associated with speakers of Eastern European Jewish ancestry. Language variation does not end with dialect, as we have differences among speakers, and can also be linked to a particular region of the country or to a particular social class or ethnic group even individuals. Each recognizable dialect of a language is still equally subject to considerable internal variation, no two speakers of a language, even, if they are speakers of the same dialect produce and use their language in exactly the same way. It is in this sense that we are able to recognize different individuals by their distinct speech and language patterns. Indeed, a person’s language pattern is one of the most fundamental features of self-identity. And the form of a language spoken by a single individual is referred to as Idiolect, and every speaker of a language has a distinct idiolect. Once we realize that variation in language is pervasive, it becomes apparent that there is no such a thing as a single language used as at all times by all speakers. There is nothing like single English language, rather there are many English Languages (dialects and idiolects) depending on who is using the language and the context in which it is used, hence the terminology ‘New Englishes’. For instance, the vocabulary differences between American and British English are often amusing. Indeed at a time, a pamphlet entitled, “Getting around the USA: Travel Tips for the British visitors”, which contains a section labelled “How to say it” was printed and contains the following differences between British and American dialects of English:

#### British Dialect

Car park

Coach

Garage

Lift

Lorry

Petrol

Call box

Minerals

Vest

Lay by

#### American Dialect

Parking lot

Bus

Service Station

Elevator

Truck

Gasoline

Telephone Booth

Softdrinks

Undershirt

Rest area.

These examples are typical of the sort of dialectal variations found in the vocabulary of British and American Englishes. Finally, there are two other kinds of variation of English languages which I would also want to touch briefly. They are PIDGIN AND CREOLE which developed during and after the slave Era of the 17<sup>th</sup> century. Now, under slavery, a large number of people were able neither to maintain their ancestral Languages nor shift to the colonial language. Instead, they created new languages (Pidgins and Creoles) that were partly based on the languages around them. These sentences illustrate typical forms of pidgins in Cameroon:

This small swine he been go for market

This small swine he been stay for house

This small swine he no been shop no nothing

And this small swine, he been go wee, wee sotei for house.

This version of ‘This Little Piggy’ recited by a speaker in Cameroon may seem highly unusual form from the view point of the convention of ordinary written English. Yet, sociolinguists who have spent their working career, studying such forms of speech, conclude that they are system in their own right, with their own linguistic norms. The technical term, for the language exemplified here is pidgin, and it is from Cameroon Pidgin English. There is also the Nigerian

variety of Pidgin English which is widely spoken in the South-East and South-South part of Nigeria. In the South-West, where Yoruba race reside, it is equally but rarely spoken. Generally, the situation today is that Pidgin flourishes as a medium of inter-ethnic communication among less educated people in the southern part of Nigeria. The above Cameroon pidgin expressions could be rendered this way in Yoruba-Nigeria pidgin.

This small swine wey dey go market

This small swine wey dey stay for house

This small swine wey no dey shop anything

And this small swine, I dey go sotei for house.

#### D. Nigerian Situation

Nigeria is a multilingual society with various kinds of languages (Indigenous and non-indigenous). The exact number of indigenous languages in Nigeria is still very controversial. Jowitt (2005), posits that “its estimates range from 200 to over 400” (Jowitt, 2005). The problem of getting the accurate figure is a linguistic one, which has to do with differentiating language from dialect, and of deciding how to classify a particular speech-system that serves as communication medium within a social group. However, Salami (2010), argues that “dialectologists have been able to provide working definitions that have helped to explain the index for classification of the Nigeria languages and their dialects, which are variations by virtue of the fact that speakers live in different geographical locations, and belong to different social groups and networks, and are of different ages and genders” (Salami, 2010). In addition to these, English Language is the language of official transaction which is the bane of the modern Nigerian culture that is highly influenced by western political, educational and technological cultures. We also have the Nigerian Pidgin, which is much wide spread, but still not a lingua franca in the national sense. It is neither an elaborate code nor a restricted code. It is unlike the Tanzania Swahili, which is a language of broad social communication. It is also, totally different form the Standard English spoken in Britain and America. The three major Nigerian Languages are Yoruba language, Hausa language and Igbo language. These languages are different from one another in every respect.

#### E. The Yoruba Language and Its Various Speakers

The Yoruba language is one of the three major languages recognized officially in Nigeria. It is spoken in the South-West of Nigeria and in two other West African Countries, which are Republic of Benin and Togo. In Nigeria alone, the native speakers of the language are over 15 million, while another 5 million speak it in addition to their mother tongue. The language is spoken in the South West and South Central parts of Nigeria, comprising Oyo, Lagos, Ondo, Osun, Ekiti, Ogun, some part of Kwara states and a small portion of Edo and Kogi States. Like other native languages, it is a tonal language, having three surface tones – High, Mid and Low tone.

The Language has seven oral vowels /a, i, ɛ, e, a, o, ɔ, u/ five nasal vowels /ĩ, ẽ, ã, ẽ, õ/. The nasal vowels (ã) and (ɔ) are found in different dialects. For instance, /ɔ / is found mainly in the dialect of Lagos, Egba, and Ijebu, while / ã / is mainly found in dialects of Ikale, Ilaje, Ondo, ɔwɔ, e.t.c. while (ɔ) characterizes most of the south-west dialects that is, Lagos, Egba and Ijebu while (ã) characterizes most of the other dialects.

The Yoruba language has several dialects such as Oyo, Ijèṣa, Ekiti, Owo, Akure, Ondo, Ife, Igbomina, Ilorin, Yagba, Ibunu, Egba Ilaje, Ikale, Egun, Akoko, Owe (Benin Republic), Sabee (Togo) and Popo (Togo). All these dialects vary slightly from one another, while some are totally different especially the Yoruba spoken outside Nigeria. Now, let us consider the following Yoruba words spoken by different speakers of Yoruba Languages to confirm their similarities and differences:

TABLE 1

	Yoruba Oyo	Yoruba Ikale	Yoruba Ijesa	Yoruba Ondo	Yoruba Ekiti	Meanings in English
<b>I</b>	wá	bọ bé	kàríorán	bọ bé	Ia	Come
<b>II</b>	Isu	usu	Usu	Usu	usu	Yam
<b>III</b>	ile	ule	Ule	uli	ule	House
<b>IV</b>	omọ wa	omọ wa	omọria	omọ wa	omọ ra	Our child
<b>V</b>	Isalẹ	eri	odo	Omi	odo	Down/River
<b>VI</b>	Ijoko	otita	Ujoko	akàábà	otita	Seat
<b>VII</b>	ewure	Ikegbe	Ehevegbe	Ikegbe	ehure	Goat
<b>VIII</b>	adiyẹ	ediye	ediye	adie	ediẹ	Fowl
<b>IX</b>	ilekun	Ilekùn	àgandĩ	ilekun	aganrandi	Door

In all the cases above, the meanings are the same but in (v) the words (Isalẹ) spoken by the Ijèṣa as Odo has a different meaning from down which means (River). Each word of the dialects above is very similar to Oyo dialect on which the standard Yoruba is derived. This shows that a reasonable number of the words in the dialects of Yoruba language are closely related or similar in structure and meanings to those in Oyo dialect. For instance, on the table above, the Oyo dialect of Yoruba uses the word- Isu for yam, while other dialects, render it as –Usu /uSu/. Also, the word ‘fowl’ in Oyo dialect is called Adiyẹ, while in other dialects considered above, it is called Eḍiye except in Ondo dialect where it is rendered as Adiẹ. Then another word that has a similar rendition in all the dialects is Goat, which is called ewùré in Oyo dialect, but has slightly different references in other dialects (see the above table). However, the



label for it in Ekiti dialect is *ehúré*, which is similar to that of Oyo dialect. Equally, the word ‘house’ in Oyo dialect is called *Ilé*, while references to it in other dialects are *Ulé* and *Uli*, which are similar to that of Oyo dialect.

So, the words in most of the dialects that are close in meanings, and similar in structure to those in Oyo dialect, where the standard Yoruba is derived. This thus accounts for mutual intelligibility of all the dialects of Yoruba language among the speakers of the language. However, the details of this are not the foci of this paper. The paper is on comparative study of two dialects of the Yoruba language, which are Ondo and Ikale dialects.

## II. COMPARATIVE STUDY OF ONDO AND IKALE DIALECTS OF YORUBA LANGUAGE

This study is basically on the comparative study of Ondo and Ikale dialects of the Yoruba language. The study is informed by the relatedness of the dialects and the geographical proximity of the areas inhabited by the speakers of the two dialects to one another. Since the speakers of the dialects share geographical boundaries in the central and Southern senatorial districts of Ondo State of Nigeria; they also have a lot of cultural norms and activities in common. So, the study is out to find out the extent of the similarities and differences between the two dialects and the consequences of these on the traditions and cultures of the Ondo and Ikale people.

### A. *Data for the Study*

The study is based on fifty sentences that were recorded from the native speakers of the two dialects. However, since it has been discovered that direct tape recorded interviews often jeopardize the chance of gaining direct access to naturalness of language use, that is, the observer’s paradox; therefore, the use of unstructured spontaneous recorded conversations becomes inevitable. Even Milroy (1980), confirms this, when he claims that “recorded interviews render a speech unnatural and could mar the result of an investigation” (Milroy, 1980). As a result of these deficiencies of the recorded interview system, we then result to spontaneously surreptitious recording of the speeches of Ondo and Ikale native speakers. The respondents to these unstructured spontaneously speeches are later made to be aware of the recording exercise. However, the investigator jealously guides against allowing the knowledge of the recording to mar and impede the chance of getting the speeches in their natural form and use. The recordings were played back to the respondents, for them to raise objections to any part of the recording if necessary, and this is immediately erased in order to avert suspicions. The sentences are later transcribed and written out for comparative analysis. The analysis is based on the orthographic representation of the words and sentences using comparative approach. In order to carry out a detailed and thorough analysis, only twenty five of the sentences could be presented. And we strongly believe that these will reflect the general forms and patterns of the two dialects. The sentences are analyzed from the perspective of Halliday’s Systemic Functional Linguistic (SFL) (2004). The Systemic Functional Linguistic (SFL) shows that language has a series of system, and each system is a set of options available to a speaker or writer in a given social environment. Grammar is a fractional part of form, which has four basic categories: Unit, Structure, Class and System. A unit is a kind of a stretch of language with a definite pattern. The relationship among them is such that each unit operates in the structure of the unit above it. The unit word, for instance, functions in the group, which is the unit above it, while the group operates in the clause, and the clause in the sentence. So, in this paper, the clause is the basic Unit of description, which is split into SPCA structure that is, the Subject, Predicator, Complement and Adjunct. Through this structure, it is possible to generate as many sentences as possible. It is part of the norm in Systemic Grammar to adopt statistical Procedures to analyse the observations of what people say and write in a particular social circumstance or situation, hence the adoption of this grammatical model for use in this paper.

TABLE 2

	Ondo Dialect	Ikale Dialect	English Translation
1	We dà tí lọ in?	We tí lọ?	Haven't you gone?
2	La ba un.	La ba	Go and meet him
3	Iwé ne saa?	Iwé ní hánán?	Where is the book?
4	Wá jeun	Wá jeun	Come and eat
5	Kí bí we lọ sí ?	Kí bó we lọ hí?	Where did you go?
6	òkò nẹ tí sà ju	òkò rè tí háré jù	The motor is over speeding
7	Móghó ní kò mí	Móghó ẹn mí	Give me the money
8	We ka sákò in	Wé ka hà un	You had better run away from him
9	Me la kàwé	Me la kàwé	I'm going to read
10	Ma íí ẹ nọla o	Ma rí ẹ nọla o	I will see you tomorrow
11	Odòwù ọ	Ódòwú ọ	Good night
12	Káárọ o	Káa rọ ọ	Good morning
13	Kín tí íí kẹ?	Kí ngho tí gha kẹ?	How are things?
14	La jókò sí bẹ in	Lajókò hí bèyìn	Go and sit down there
15	Kíí gùwè bó?	Kí gbo w obọ?	When did you come?
16	È lú wee tò?	Ké lú we taa?	How much are you selling it?
17	La à sùn	La a hùn	Go and sleep
18	Emí eé	Emi rée	Here I am
19	Dó jì mí nówuọ	Jẹ jì mí nó wúò	Wake me up in the morning
20	Mi dò ghò bé	Mo jẹ, ghò bẹ	I say you should look here
21	Mu we nẹn kómí	Múwé nẹn mí	Give me that book
22	È see sọkọ ẹ?	Nẹn sọkọ ẹ?	Who is your husband?
23	Aa mí yá	Arà mén yá	I am sick
24	Ó dà tí la sùn ín?	O tí la hùn?	Has he gone to bed?
25	Mẹní yẹn kò mí	Mẹní yẹn mí	Give me that mat

### B. Data Analysis

The analyses of the data are on two stages:

(i) Lexical Analysis

(ii) Syntactic Analysis

On lexical analysis, the main lexical items in the sentences of the two dialects are focused, equally, at the syntactic level; attention is paid to the main syntactic components of the sentences of the two dialects as follows;

SYNTACTIC ANALYSIS: TABLE 3

S/ N	Ondo					Ikale					Standard Yoruba Form
	S	Aux	P	C	A	S	Aux	P	C	A	
1	-	we	dà tí	lọ in	-	-	we	tí	lọ	-	Se ẹ tí lọ.
2	-	-	la	ba	un	-	la	ba	-	-	ẹ lọ ba.
3	iwe	nẹn	-	Saa	-	iwe	nẹn	-	Hanan	-	Iwe naa da?
4	-	-	wa	jeun	-	-	-	wa	jeun	-	ẹ wa jeun.
5	-	kíí	buwe	lọ	-	-	kíí	buwe	lọ	-	Ni Nibo lẹ n lọ.
6	òkò	nẹn	-	tí sáré	-	òkò	nẹn	-	tí háré	-	Ju òkò re tí sare ju.
7	mí	do	mọ	gho	nẹn	mo	jẹ	mogho	nẹn	mí	Mo in kí ẹ fun mí lowo naa.
8	-	We	dà	ka	Sako	un	-	We	ka	ha	ẹ sin ma sà fun.
9	Me	la	-	Kàwé	-	me	la	kàwé	-	-	Mo fẹ lọ kawé.
10	ma	-	Ii	ẹ	nola	ma	-	rii	ẹ	nọla	Ma rí ẹ lola.
11	O	-	-	dowuro	-	O	-	dowuro	o	-	O daaro o.
12	-	-	-	Kaarọ	o	-	-	Kaarọ	o	-	Kaarọ o.
13	-	Kẹn	-	tí i	-	Ke?	-	ki	ngho	tí gha	ba wo ní n kan?
14	-	la	-	Joko	-	Sí be in	-	la	joko	-	Lọ joko sí bẹ yẹn.
15	-	Kíí	gu	we	bọ?	-	-	Kíí	gbo	wo	Igba wo lẹ de?
16	Eelu	we	-	tọ ọ	-	-	kelu	we	ta	-	Elo lẹ n taa?
17	-	laa	-	Sun	-	-	-	la	ka	hun	ẹ lọ sun
18	Emi	-	-	-	-	ee	emi	-	-	-	Emi ní yi.
19	me	-	-	gbọ	ẹ	-	me	-	gbọ	ẹ	Mi o gbọ yin.
20	-	-	-	do jì	mí	nowuọ	-	-	Jẹ jì	Mi	Kí ẹ jì mí laarọ
21	Mi	-	-	do bó	-	bé	Mo	-	Je bó	-	Mo ní kí ẹ bó sí bí.
22	-	-	-	mu	we	yẹn kómí	-	-	mu	We	ẹ mu iwe yẹn wa.
23	aa	-	-	Meya	-	-	ara	-	mẹn ya	-	ara mí kó da.
24	O	-	-	dati la	Sun	-	in	wo	tí la	hun	Se ẹ tí sun?
25	-	-	-	Meni	yẹn	kómí	-	-	meni	yẹn	ẹ fun mí lẹni yẹn.

Key		
S	-	Subject
P	-	Predicator
C	-	Complement
A	-	Adjunct
Aux	-	Auxilliary

VOCABULARY TABLE 4

The Major Lexemes of the Dialects in the Analysed Sentences are as follows:

S/N	Ondo	Ikale
1.	Lọ (v)	Lọ (v)
2.	Ba (v)	Ba (v)
3.	Ìwé (noun) saa (adv)	Ìwé (noun) han an (adv)
4.	Jẹun (v)	Jẹun (v)
5.	Kí bí (adv) lọ (v) sí(adv)	Kí bo (adv) họ (v) hí (adv)
6.	ọkọ (n) sá(v)	ọkọ (n), bá (v)
7.	Móghó (v) mi (pron)	Móghó (v) mi (pron)
8.	Sáákó (v)	Háun (v)
9.	Káwé (v)	Káwé (v)
10.	Nọla (adv)	Nọla (adv)
11.	Ọwúọ (adv)	Ọwúọ (adv)
12.	Áárọ (adv)	Áárọ (adv)
13.	Ii (v)	Gba (v)
14.	Jòkó (v)	Jòkó (v)
15.	Wébọ (v)	Wobọ (v)
16.	Tọọ (v)	Taa (v)
17.	Sùn (v)	Hùn (v)
18.	Èmi (pron)	Èmi (pron)
19.	Ji (v)	Jí (v)
20.	Ghò (v)	Ghò (v)
21.	Mí (pron)	Mi (pron)
22.	ọkọ (n)	ọkọ (n)
23.	Aa (n)	Ara (n)
24.	Sùn (v)	Hùn (v)
25.	ení (n)	ení (n)

Key		
N	-	noun
V	-	verb
Ad	-	adjective
Adv	-	adverb
Pron	-	pronoun
S	-	subject
P	-	Predicator
C	-	Complement
A	-	Adjunct

### C. Results of the Analysis for Both Ondo and Ikale Dialects.

1. The predicator – ‘lọ’ is the same for both dialects.
2. The lexeme at the predicator is the same ‘ba’
3. The lexical items at the subject column is the same ‘iwe’, differs slightly at predicator level.
4. The words are similar in auxiliary and adjunct, but same in predicator = jẹun
5. The same in main verb – predicator, but differs slightly in adjunct.
6. The words are similar in predicator but same in subject- ọkọ and adjunct ‘ju’
7. The words in the Subject, Predicator and complement are the same.
8. Similar word is used at the predicator level.
9. Both subjects and predicators have the same lexemes.
10. The same lexemes in S, P, C and A.
11. Same lexemes are found in S, P and C
12. Same lexemes found in P and C
13. The main lexical items are the same for P and A
14. The word in P is the same in both dialects
15. The main lexemes in P are the same in both dialects
16. The lexemes at S and P are slightly different but the auxiliaries are the same
17. The words are slightly different in P.

18. The S lexemes are the same in both dialects
19. All the lexemes in S, P and C are same
20. The main lexemes of P, C and A are same for both dialects
21. Both the main lexemes of P and A are the same in the dialects
22. Items in P, C and A are the same in both dialects
23. The items in P are the same in both dialects
- The items in S are the same for both dialects
- The items in P, C and A are same for both dialects

### III. FINDINGS FROM THE ANALYSIS

From the analysis of the 25 sentences above; it is discovered that the two dialects have basically the same lexemes at subject and predicator positions (see the vocabulary table above), meaning that the speakers often use the same nominal and verbal items in most occasions. For example, out of the 25 sentences examined, 16 of the sentences have the same lexemes at the predicator level for both dialects; this represents 64% of the total lexemes at the predicator level.

In the same vein, at the subject level, (the nominal) out of 25 sentences examined, 16 of the sentences from both dialects have the same words or lexemes at the subject level, and this represents 64% again of the total words at this level. Granted that some of the sentences are imperative which do not require obvious subjects as found in sentences 1, 2, 4, 5, 8, 12, 15, 17, 20, 22 and 25. They are however, treated as having the same subjects, since they appear so, in both dialects. The obvious point here is that the two dialects often share the same lexemes at the subject level as shown in the data analyzed (see the vocabulary table). This also extends to Adjunct position, where some words/lexemes share the same forms in both dialects, as we have in sentences 6, 10, 21, 22, and 25 involving the words jù, nóla, nowùò, yen and yen respectively. Even some nominal items at the complement level, are also in the same form in both dialects, see sentences 7, 11, 20, 22 and 25. This further enhances the claim that the two dialects are very close in the area of lexical choice and usage.

#### Syntax

At the syntactic level, the two dialects share basically the same syntactic components subject, predicator, complement and adjunct (SPCA). Also, in both dialects, it is found that adjuncts are rarely used in the sentences. For instance, out of 25 sentences examined, only 8 have adjuncts attached. (See sentences 5, 6 10, 13, 14, 20, 21, and 22) on the syntactic table, this represents 32% of the total sentences analysed. This low percentage thus confirms the claim that adjunct is seldom used in both dialects.

### IV. THE IMPLICATIONS OF THE FINDINGS

It is revealed from the analysis that the two dialects examined in this work are closely related in the areas of lexical selection and syntactic structures. They have virtually the same lexical items in both the subject and verbal (predicator) positions. Even in the adjunct position, a reasonable number of the lexemes are the same in both dialects. This implies that the dialects have almost the same lexicon or vocabulary. At the syntactic level, the two dialects have almost the same components at the syntactic level, as evident in the sentences below:

Sentence Number	ONDO Dialect	IKALE Dialect
2	- P C	- P C
3	- S P	- S P
4	- P	- P
5	- P A	- P A
6	S P A	S P A

Most of the sentences of the dialects are imperative: they are without subjects. However, there are still some major differences between the two dialects especially in the area of auxiliary verbs. The two dialects do not always make use of the same auxiliaries as shown in the sentences analyzed for this work. For example, in sentence 5, in Ondo dialect, the auxiliary is: bù and Ikale has bo; in sentence 15, Ondo has 'gu', while Ikale uses 'gbo' as while Ikale has jé, Ondo has do. In fact, these two auxiliaries (jé and do) are the major markers of differences in the use of auxiliary verbs in the two dialects. This, however, does not mean, we do not have overlaps in the use of auxiliaries in the two dialects. The overlaps, for instance, are noticed in sentences 6, 8 9 14, 16 and so on, where both dialects have the same auxiliaries of tí, ka, la, la, wé respectively (see the syntactic table).

Orthographically, the two dialects are similar in several respects, as they share the same orthographic form for most of the words or lexemes. They are however, different in the use of the letters 's' and 'h', while Ondo often uses letter 's' for words that require it, Ikale uses letter 'h' as we have in sentence 17 and 24 as in sùn and hùn, and sentence 6 has sàré for Ondo, and hàré for Ikale. Then, it is also noticed that most of the words in these two dialects are similar to the words or vocabulary of the standard Yoruba, confirming this claim are words like lò (v) in sentence 1, ìwé (n) in sentence 3, jeun (v) in sentence 4, okò (n) in sentence 6, àárò (adv) in sentence 12 and so on. These words are also found in the standard Yoruba language. This explains reasons for mutual intelligibility of the two dialects to an average Yoruba speaker. In the area of syntax, the major difference between the two dialects and the standard Yoruba is that

most of the sentences in the dialects are imperative, that is, without subject elements, while the standard Yoruba has always attracted subject elements (see the sentences in the standard Yoruba).phonologically, it should however, be emphasized that the two dialects in the table differ significantly from each other considering the way they are produced with respect to intonation, stress and so on. This area is not however, the focus of this paper, it will be taken up in the second version of this research later. As it is widely claimed that language is an element of culture, hence, Peccei (2004:9), views that “changes taking place in the socio-cultural, political and economic lives of human communities are not only expressed by language but are also promoted through the use of language” (Peccei, 2004, p. 14). So, language, which is part of culture, could be used not only to steer people’s thoughts and beliefs but also to control those human and societal beliefs and thoughts. It is even argued by Salami (1993) that “language variety could become an ideology at a stage when a variety of a language is rated as low status as a result of the class of its speakers, since the social structuring of the variety is based on the relations of social and economic power” (Salami, 1993). In this respect, the two dialect examined in this paper, as a result of their relatedness as already proved, have endowed their speakers with similar cultural norms and practices such as eating similar foods, having similar mode of dressing, worshipping, festivals and so on.

## V. CONCLUSION

The Ondo and Ikale dialects studied in this paper, share a lot of similarities and just few differences in the areas of Lexemes and Synthax. This is due, as discovered to the geographical proximity and cultural closeness of the two tribes.

It is envisaged that some of the dialects of Yoruba languages like the two examined in this paper, for reasons of proximity and historical factor, will equally share quite a lot of linguistic features. But quite a large number of them have vocabulary that are closely related to that of the standard Yoruba language as evident in Table I, hence the general mutual intelligibility of the dialects of Yoruba language to all the Yoruba speakers. This high degree of similarity of the two dialects has implication for traditions and norms (culture) in these dialectal communities, since language too, is an element of culture.

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# Parent Education and High School Achievement in English as a Foreign Language

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**Abstract**—This study explored the relationship between parent education as an indicator of social capital and achievement in English as a foreign language (ELT). To this end, a demographic and a schema-based close multiple choice item test (S-Test) developed on a course textbook were administered to one thousand three hundred and fifty two grade three state high school students in three educational districts in Mashhad, Iran. The performance of students on the S-Test showed that it is a highly reliable measure of ELT achievement which enjoys high internal validity and discriminates significantly among high, middle and low achievers. When the S-Test scores of students whose parents had primary, secondary and higher education were compared with each other, it was found that the students with parents having secondary and higher education scored significantly higher than those with primary education. However, no significant difference could be found between the S-Test scores of the students whose parents had secondary and higher education. The results are discussed and suggestions are made for future research

**Index Terms**—parent education, S-Test, language achievement, high school students

## I. INTRODUCTION

The sociology of education deals with the effects of education on learners and their outcomes observed in individual experiences. Throughout history, education has often been considered as a cure for social problems on the one hand and an optimistic human endeavor to overcome all inequalities on the other. The cure which has apparently led to wealth and social status. Schools are generally considered as places to equip individuals with high capabilities, the ones which guaranteed good jobs in society, i.e., functional view of sociology (Bonnewitz, 2010).

Yet there is another negative view which considers education as a tool in reproducing inequalities in society. It serves the vicious cycle of transferring power from one hand to another through meritocracies, i.e., conflict view of sociology (Bonnewitz, 2010). It approaches each society as a context of struggles between social groups with different aspirations and socio-economic status.

Different socio-economic statuses of families offer various home resources to students. These differences will affect their school performance and lead to inequalities. It is for this very reason that almost all abiding studies in the field of sociology of education deal with the relationship between educational outcomes and socio-economic status of families. Many studies have, for example, revealed that parents of higher socio-economic status are more involved in their children's education and this kind of involvement brings about higher positive attitudes toward schooling (e.g. Carbonaro, 1998; Dyk & Wilson, 1999; Furnstenberg & Hughes, 1995; Lopez, 1996; McNeal, 1999, cited in Dika & Singh, 2002; Pong, 1998; Smith, Beaulieu & Israel, 1992; Sui-Chu & Willms, 1996; Sun, 1998; Teachman, Paasch & Carver, 1996).

## II. BACKGROUND

The literature on school achievement has revealed the importance of parents' socio-economic status especially their education on predicting children's achievement (e.g., Dika & Singh, 2002; Jimerson, Egeland & Teo, 1999; Kohn, 1963). Using data from a longitudinal study of high risk children, Jimerson, Egeland and Teo (1999), for example, found that families' socio-economic status and mostly their education could be a good predictor of their children's math achievement. The results suggested that children of fathers with high educational degrees showed higher performance in mathematics.

Kohn (1963) found that the parents' social class would affect the quality of their relationships with their children and these quality differences would have a direct influence on the children's school performance. According to him the parents' behavior, values and beliefs stemmed from their socio-economic background, i.e., their social class, income, occupation and education.

In line with Kohn (1963), Davis-Kean (2005), using data from a national cross-sectional study of children between 8 to 12 years old, found that family socio-economic status specifically parents' education and income correlated positively

with the children's academic achievement. Expectations for children's educational attainment was also directly related to the parents' educational degree (Davis-Kean, 2005) and indirectly reflected children's high achievement (Okagaki & Frensch, 1978).

In an examination of the relationship between parenting and the school performance Okagaki and Frensch (1978) stated that the parents' beliefs and goals for their children would help them facilitate their school experiences. In their study parents' education was considered as a distal indicator constructing parents' beliefs and values which was indirectly correlated with children's educational attainment.

Using data from a 25-year longitudinal study of birth cohort of over 1000 New Zealand children, Fergusson, Horwood and Boden (2008) revealed a strong association between family socio-economic status and children's academic achievement. In their study family educational aspirations, their economic resources and school factors were analyzed through three model parameters of latent variables, structural model and disturbance covariance. The results showed that parental education levels and their ages were indirectly related to the children's achievement; so that, these factors would affect child cognitive ability at ages 8, 9, and 13. Besides, these factors influence educational aspirations which indirectly and positively affect academic achievement.

Sandefur, Meier and Campbell (2006) used four waves of the National Educational Longitudinal Survey (NELS) to study the influence of parental education, family income and parental investment on the probability of college attendance. The results suggested that parental involvements as their aspirations, expectations and discussions on the school activities with their children along with their educational degree correlated highly with the post-secondary attendance.

In line with the mentioned research projects, Murnane, Maynard, Ohls (1981) provided a review on Coleman Report in 1966 which emphasized the importance of home resources in determining children's cognitive skill levels. The results of the study indicated that the mother's skills and education were critical resources in predicting children's achievement.

Extracting data from the National Longitudinal Survey of Youth, Magnuson (2007) investigated the relationship between mothers' educational attainment and changes in children's academic achievement. In this study mothers' educational levels were increased by additional schooling and their academic skills were examined after the completion of the additional schooling and then the results were compared with their children's academic achievement. The findings suggested that mothers' education can be a good predictor for children's academic achievement in young and low-educated mothers; whereas, older and highly educated mothers' increased knowledge was not a good predictor for their children's achievement.

In a video-taped study, Hyde, *et al* (2006) found that mothers' mathematics levels caused inequalities in the parental resources available to their children for math learning. During this study, mother-child interactions of the fifth grade American children were videotaped and analyzed while they were working on mathematics problems. Results indicated that the way the mothers conveyed mathematical content differed based on their mathematics preparations.

In an exploratory study McBride, Schoppe-Sullivan and Ho (2005) examined the relationship between family level resources and children's academic achievement. The data for this study comprised 1334 families with children between ages of 5 and 12 from the 1997 Child Development Supplement of the Panel Study of Income Dynamics (PSID). The findings indicated a significant relationship between the variable of father involvement (including fathers' education) and children's academic achievement; while, mother involvement showed less effect on their children's success in education.

The literature review thus shows that there is a positive and significant relationship between parent education and academic achievement in general. However, to the researchers' best knowledge, there is no study available to show whether there is any significant relationship between parents' education and their children's foreign language achievement. To be specific, researchers of this study try to find the relationship between parental education, as an independent indicator of socio-economic status, and grade three high school achievement in English as a foreign language (ELT).

### III. METHODOLOGY

#### A. Participants

The participants of this study were the same as those in Khodadady and Alee's (2012a). They were one thousand three hundred and fifty two grade three state high school students, 500 boys (37%) and 852 girls (63%), who voluntarily took part in the study. Their age ranged from 16 to 25 (Mean = 17.24, SD = .72). They formed 10% of all grade three students in three educational districts of Mashhad, i.e., four, five and nine, representing the high, low and middle social classes, respectively. They all spoke Persian as their mother language.

#### B. Instruments

Two instruments were employed in this study, i.e., a demographic scale and a schema-based close multiple choice item test.

##### **Demographic Scale**

The demographic scale (DS) developed by Khodadady and Alaei (2012a) was employed. It deals not only with variables such as participants' age, gender, school type and but also with a number of social indicators such as family



income and the number of times students change their school. In the present study parents' education (e.g., Anderson & Minke, 2007) was raised as an item to specify the participants' father and mother education. They were required to choose one of the five points indicating whether they had no education, below high school diploma, high school diploma, BA/BS certificates or higher degrees. Upon collecting the data, the first two points were, however, collapsed to form elementary education as a single point whereas high school diploma was treated as an indicator of secondary education. Bachelorette and higher degrees were also collapsed to form the third point, i.e., higher education. The values of 1, 2, and 3 were finally assigned to primary, secondary and higher education respectively. Along with the DS, a 40-item social capital scale (SCS) was also administered. However, the relationship of the SCS with English achievement and other variables are to be explored and discussed in separate papers.

#### **Schema-Based Close Multiple Choice Item Test (S-Test)**

The schema-based close multiple choice item test (S-Test) developed by Khodadady and Aleee (2012b) was administered in this study. It consists of 35 *semantic schema*, i.e., Afraid, Athletes, Attract, Average, Basis, Build, Choice, Choose, Design, Educate, Events, Excited, Far apart, Fashionable, Fill, Giant, Hand, Heard, Held, Invented, Lose, Loss, Occurs, Orbiting, Painful, Prepare, Recall, Recent, Refuse, Shout, Solve, Spent, Take part, Useful, and Wire, six *syntactic schemata*, i.e., Among, Each other, Of, Over, Such, and While, and two *parasynthetic schemata*, i.e., Almost, and Already. However, due to the main syntactic role of parasynthetic schemata, i.e., their dependence on semantic schemata and being many in tokens, they were treated as syntactic in this study.

In addition to having theoretical superiority over traditional multiple choice item tests (Khodadady, 1997), the S-Tests enjoy factorial validity (Khodadady, 2012), being easy to be developed by teachers rather than by testing specialists (Khodadady, 1999), dispensing with artificially written texts written for testing purposes (Khodadady & Hashemi, 2011), and measuring translation ability indirectly (Seif & Khodadady, 2003). They also enjoy high levels of reliability and internal validity as shown in Table 1. As can be seen, not only the S-Test but also its semantic subtest are highly reliable measures of English achievement, i.e.,  $\alpha = .94$  and  $.93$ , respectively. Although the alpha coefficient of the syntactic subtest is relatively lower, i.e.,  $.62$ , it is acceptable because it is over four times shorter than the semantic subtest in length.

TABLE 1.  
DESCRIPTIVE STATISTICS OF THE S-TEST AND ITS SEMANTIC AND SYNTACTIC SUBTESTS (KHODADADY & ALEE, 2012, P. )

Tests	Mean	SD	Kurtosis	Std. Error	Alpha	Mean IF	Mean ID
S-Test	29.01	10.250	-1.105	.223	.94	.67	.52
Semantic	24.06	8.644	-1.109	.223	.93	.69	.54
Syntactic	4.95	2.041	-.836	.223	.66	.62	.46

#### **C. Procedure**

Khodadady and Alae (2012b) schematically parsed and coded the words/schemata comprising the reading passages of all six lessons comprising *English book 3* (Birjandi, Nouroozi, & Mahmoodi, 2010) taught at grade three in Iranian high schools to develop the S-Test employed in this study. The six paragraphs were also analysed to determine how many types of syntactic, parasynthetic and semantic schema domains were employed in their development. Ten percent of each domain type was then selected to develop the S-Test items. In the selection of the schema domains all attempts were made to avoid the types having the token or frequency of more than one. This procedure was followed so that the second or third occurrence of a given schema type would not be employed by test wise students to choose the keyed response without establishing syntactic, semantic and discoursal relationships between the keyed response and alternatives as well as other schemata constituting the paragraph. For example since the semantic verb schema *show* had a token of three, i.e., it was used three times, in the first paragraph, no item was developed on this schema type.

Upon the completion of the S-Test, DS and SCS, they were printed together as a test pamphlet consisting of three parts. All the directions given for both scales and S-Test were given in Persian as were the DS and SCS to avoid any possible misunderstanding. The authorities of Education Organization were contacted, and an official letter obtained to go and administer the test booklet in three educational districts. At least one of the researchers attended the schools whose principles and English teachers agreed and secured the voluntary participants of their grade three students in advance. The booklets were distributed among the participants in their class time and they were encouraged to raise whatever questions they had. No participant, however, posed any serious question showing the incompressibility of any item. All the written responses were elicited under standard conditions.

#### **D. Data Analysis**

The reliability of the achievement S-Test was estimated with Cronbach's Alpha. For determining the internal validity of the test, the item facility (IF) and item difficulty (ID) of all items were calculated. The number of students answering each item correctly was divided by their total number to obtain its IF value. Following Baker (), the IF values falling within the range of  $.25$  and  $.75$  were considered acceptable. Each item was also correlated with the total scores on the test to obtain the ID values. The items having IDs equal to and higher than  $.25$  were also considered acceptable. Any item having acceptable IF and ID values was regarded as well functioning.

The raw scores obtained on the S-Test were converted to Z-scores to divide the participants into three distinct groups. The test takers whose Z-scores fell below -1 were assigned to low achieving group while those with Z-scores equal to +1 and higher were treated as high achievers. The participants having Z-scores falling between -1 and +1 were considered middle achievers. One-Way ANOVA and post hoc tests were then employed to find out whether the three groups differed significantly from each other. The same tests were also utilized to find out whether there were any significant differences in the educational level of these groups' parents. All descriptive and inferential statistics were estimated by IBM SPSS statistics 19.0 to test the hypotheses below.

H1. The high achievers' mean score on the S-Test will be significantly higher than those of middle and low achievers.

H2. The S-Test scores of students with fathers having higher education will be significantly higher than those with primary and secondary education.

H3. The S-Test scores of students with mother having higher education will be significantly higher than those with primary and secondary education.

#### IV. RESULTS AND DISCUSSION

Table 2 presents the descriptive statistics as well as reliability and internal validity indices of the S-Test. As can be seen, the inclusion of the middle and low social classes in the study has brought about noticeable differences in S-Test statistics. The mean score has dropped drastically from 29 to 22.5 on the total test and from 24.1 to 15.6 on the semantic subtest. They have also increased the internal validity of the S-Test because its mean IF has dropped from .67 to .52, getting very close to mean ID, .50. Similar to the S-Test and semantic subtest, the increase in the mean difficulty level of the test as determined by the performance of all social classes has reduced the reliability of the test as is most tangibly observed in the syntactic subtest. It has dropped from .66 in Khodadady and Alaei's (2012b) study to .59 in the present.

TABLE 2.  
DESCRIPTIVE STATISTICS OF THE S-TEST AND ITS SEMANTIC AND SYNTACTIC SUBTESTS

Tests	Mean	SD	Kurtosis		Alpha	Mean IF	Mean ID
			Statistic	Std. Error			
S-Test	22.46	10.433	-1.081	.133	.93	.52	.50
Semantic	18.64	8.985	-1.197	.133	.92	.53	.52
Syntactic	3.81	1.951	-.576	.133	.59	.48	.40

Table 3 presents the descriptive statistics of high, middle and low achievers' scores on the S-Test. As can be seen, the mean score of high achievers, 37.6, is higher than that of middle and low achievers, i.e., 21.1 and 9.8, respectively. One Way ANOVA analysis of the mean scores showed that the difference in the mean scores is significant ( $F = 2509.376$ ,  $df = 2$ ,  $p < .0001$ ). The Scheffe post hoc test showed that the high achievers scores are significantly different from both middle and low achievers as the middle and low achievers are from the others. (The table is not given to save space.) These results confirm the first hypothesis that *the high achievers' mean score on the S-Test will be significantly higher than those of middle and low achievers*. They also provide statistical evidence to establish S-Tests as standardized and valid measures of achievement at grade three high schools.

TABLE 3.  
DESCRIPTIVE STATISTICS OF THE HIGH, MIDDLE AND LOW ACHIEVERS ON THE S-TEST

Achievers	N	Mean	SD	Std. Error	95% Confidence Interval for Mean		Minimum	Maximum
					Lower Bound	Upper Bound		
High	304	37.55	3.26	.187	37.18	37.92	33	43
Middle	767	21.14	5.91	.213	20.72	21.55	13	32
Low	281	9.76	2.04	.122	9.52	10.00	4	12
Total	1352	22.46	10.4	.284	21.91	23.02	4	43

Table 4 presents the descriptive statistics of English achievement scores of participants whose fathers have had primary, secondary and higher education as their highest level. As can be seen, the mean scores obtained by three groups are different. One Way ANOVA analysis of the mean scores showed that the difference is significant ( $F = 53.361$ ,  $df = 2$ ,  $p < .0001$ ). The post hoc tests, however, showed that the mean score of participants with fathers having higher education is significantly higher than those with primary education.

TABLE 4.  
DESCRIPTIVE STATISTICS OF SCORES OBTAINED BY PARTICIPANTS WHOSE FATHERS EDUCATION DIFFERS

Education	N	Mean	SD	Std. Error	95% Confidence Interval for Mean		Minimum	Maximum
					Lower Bound	Upper Bound		
Primary	721	19.85	9.24	.344	19.18	20.53	4	43
Secondary	443	25.03	10.8	.513	24.02	26.04	4	43
Higher	188	26.43	11.2	.813	24.82	28.03	7	43
Total	1352	22.46	10.4	.284	21.91	23.02	4	43

Table 5 presents the results of Scheffe post hoc test run on the achievement scores of participants whose fathers' education differs. As can be seen, the mean score of students whose fathers have had only primary education (19.9) is significantly lower than those holding secondary and higher education degrees, i.e., 25 and 26.4, respectively. However, the mean score of those whose fathers have higher education does not differ significantly from that of secondary education graduates and thus *partially confirm* the second hypothesis.

TABLE 5.  
SCHEFFE POST HOC TEST ON THE SCORES OF PARTICIPANTS WITH DIFFERENT EDUCATIONAL LEVELS

(I) Education	(J)	Mean Difference (I-J)	Std. Error	Sig.	95% Confidence Interval	
					Lower Bound	Upper Bound
Primary	Secondary	-5.176 <sup>*</sup>	.607	.000	-6.66	-3.69
	Higher	-6.573 <sup>*</sup>	.823	.000	-8.59	-4.56
Secondary	Primary	5.176 <sup>*</sup>	.607	.000	3.69	6.66
	Higher	-1.396	.875	.280	-3.54	.75
Higher	Primary	6.573 <sup>*</sup>	.823	.000	4.56	8.59
	Secondary	1.396	.875	.280	-.75	3.54

Table 6 presents the descriptive statistics of English achievement scores of participants whose mothers have had primary, secondary and higher education as their highest level. As can be seen, the mean scores obtained by three groups are different. One Way ANOVA analysis of the mean scores showed that the difference in the mean scores is significant ( $F = 56.654$ ,  $df = 2$ ,  $p < .0001$ ). The post hoc tests, however, showed that similar to fathers' education, the difference is not significant for mothers having secondary and higher educations. (The relevant table is not given to save space.) The results thus partially confirm the third hypothesis.

TABLE 6.  
DESCRIPTIVE STATISTICS OF SCORES OBTAINED BY PARTICIPANTS WHOSE MOTHERS EDUCATION DIFFERS

Education	N	Mean	SD	Std. Error	95% Confidence Interval for Mean		Minimum	Maximum
					Lower Bound	Upper Bound		
Primary	877	20.34	9.55	.322	19.71	20.98	4	43
Secondary	369	26.05	10.8	.556	24.96	27.14	6	43
Higher	106	27.52	11.5	1.114	25.31	29.73	7	43
Total	1352	22.46	10.4	.284	21.91	23.02	4	43

The findings of the present study are partially in line with those of McBride, Schoppe-Sullivan and Ho (2005), Murnane, Maynard and Ohls (2006) and Sandefur, Meier and Campbell (2006) in that they establish a significant relationship between parents education and their children's English achievement. The grade three high school students whose fathers and mothers have had secondary and higher education perform significantly higher than those whose parent have only had primary education. However, the children of those parents who hold higher education degrees do not achieve higher scores on English than those who hold high school diplomas. The findings thus show that the higher education of parents does not produce any inequality in English achievement.

## V. CONCLUSION

In order to find out whether the educational level of parents, i.e., primary, secondary or higher, relates significantly to achievement in English as a foreign language (EFL) at grade three in Iranian state high schools in Mashhad, Iran, or not, a demographic scale (DS) was developed and administered along with a schema-based cloze multiple choice item test (S-Test). The 1352 students' performance on the S-Test showed that the third graders whose fathers and mothers held secondary and higher education certificates performed significantly higher than those having parents with primary education. However, no significant difference could be found in the EFL achievement of third graders with parents having secondary and higher education. A replication study is needed to find out whether this relationship holds true in other cities of Iran. Exploring the relationship between parent education and EFL achievement at other grades in general and grade 12 or pre-university in particular may shed more light on the relationship.

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# Gendered EFL Classroom Interaction—A Case Study in a Senior Middle School in China\*

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**Abstract**—In this paper, I present the findings of a case study I conducted in a senior high school in China with 47 students and their teacher. An ethnographic classroom observation approach was employed in my study. The findings showed that differential teacher treatment by gender did exist. Educators at all levels need to be aware of the fact that learners may respond to similar educational experiences in different ways. Then we can work toward a balance between providing both male learners and female learners with all types of educational experiences and helping both males and females acquire the skills necessary to benefit maximally from various types of learning environment.

**Index Terms**—classroom interaction, EFL, gender differences

## I. INTRODUCTION

One presumed goal of education is to maximize each chance of academic success and to prepare youth for more schooling or for participating in the occupational structure. Yet there is evidence that the outcomes of education are not the same for one another in certain subject areas and pursuer with quite different careers once they have completed their schooling. The stability and persistence of gender differences have given rise to a concern about sex equity in the classroom. It may be that the differences in attainment found between males and females are rooted in gender-based contrasts in international experiences in classrooms. A voluminous literature covers the general subject of male-female differences, and a sizable body of research exists as well on patterns of interaction in classrooms.

Studies that compare the classroom interaction of boys and girls are relatively scarce, but a few of the studies report clear-cut gender-related differences. Many contemporary theorists use the term ‘gender’ for the behavioral differences between males and females. In a Chinese context, gender issue is not as popular a topic as in western countries. But it still exists. At the beginning of the 20th century, girls did not have the same right to go to school as boys did. There was a popular saying in China at that time, “The virtuous woman is the unlearned woman.” It still took quite some time for people to accept this idea. But the idea that the ultimate goal for women is to marry a good man is still favored by some people in the countryside and they do not allow their daughters to enter school. The situation is much better in cities in China nowadays since there is a law that requires 9 years of education. This is compulsory for all children and the whole economic situation is growing. China is not a religious country and so far as I know there are no single –sex primary schools and secondary schools, though occasionally there are some vocational schools for girls, where all the subjects taught are considered to be female subjects. In my home city, there is only one school for girls only, and all the other schools are mixed-sex.

As far as I know, there is no study conducted on gender and classroom interaction in China at the secondary level. I came from the Chinese educational background. I could think of some quite interesting things related to gender in my lectures during my sixteen years’ study experience in china. I am very interested in having a close look at this particular issue- gender and classroom interaction. My major subject in university was English education, which has caused my interest to be set in English classroom.

My research questions:

Does the teacher treat boys and girls differently?

Do boys and girls behave differently?

## II. LITERATURE REVIEW

Before we get down to the gender and classroom interaction issue, I would like to present a brief review of education in China.

Education is considered to be a very crucial condition for accomplishing four modernizations. According to Rai (1994), the expansion of female education in China occurred mainly in two periods, from 1950 to 1958, and from 1966 to 1976. These periods mark the beginning of the communist rule in China and the Cultural Revolution. After the Cultural Revolution in China, education was emphasized more than ever. More and more schools have been opened since that time. A compulsory education law was promulgated in 1958 to eradicate illiteracy. With the success of the

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one child policy in 1978 in urban areas, the education of girls has increased and the situation is much better for girls now. The school I collected data from has 745 female students and 657 male students enrolled. Though girls have the same right as boys to be educated nowadays, do they treat equally as boys in the school? The literature of gender and classroom interaction can barely be found in China. I hope that my study could help to fill this gap.

Bearing the interaction mode of the teacher and the students in mind, the studies of gender issues in classroom interaction seem to have three categories. 1. Can gender differences be detected in the patterning of students' responses? 2. If so, can the differences be related back to teacher initiation? 3. Does teacher feedback vary according to gender? (Howe, 2002)

Three studies on the secondary school level have been reported; all deal with sex differences in students' experiences in mathematics classes. Becker (1981) reported interactions patterns in 10 high school geometry classes in which Becker observed that the teachers were more likely to call on or otherwise initiate interactions with boys than with girls. Much of their behavior suggested that the boys were expected to learn geometry but the girls were not.

Stallings (1979) observed in high school algebra and geometry classes and found similar but weaker patterns to those reported by Becker. Though few of the differences are significant, the trend is rather clear. Men are spoken to more often than are women. Men ask more questions and teachers asked men more questions. Women volunteer answers as often as do men but the men are called upon to respond more frequently than are women. Men receive a little more individual instruction and social interactions. Acknowledgement, praise, encouragement, and corrective feedback are given slightly more frequently to men than to women. The only variable that occurs more frequently with women is positive interactions. Teachers smile or laugh more often with women students than they do with men.

The weaker pattern of differences may be due to the fact that Stallings observed in these classes less frequently than Becker did. Also, questionnaire responses from the teachers indicated that they felt that male and female students were equally good at mathematics and did not differ in spatial ability. These response patterns are unusual and suggest that these teachers may have been less traditional in their sex-role orientation than most teachers.

Parson et al. (1980) observed 10 sessions in each of 18 mathematics classes. Their observation indicated that girls received less criticism than boys and, specifically, less work-related criticism and less criticism of the quality plus the form of their work. Almost all work-related praise and criticism were directed at the intellectual quality of the work rather than its form or other aspects unrelated to correctness. Thus, there was no teacher tendency to praise boys more than girls for good intellectual quality of work, nor to criticize girls more than boys for work of poor intellectual quality of work. Nor did teachers interact more often with boys, ask them different types of questions, or provide different types of feedback to their responses.

It is difficult to know how to interpret these confusing secondary school results, particularly the contrast between the Becker (1981) findings and those of Parsons et al. (1980). Both studies involved 10 observations in each of the classroom, so the sex differences are probably quite reliable. Differences in the types of teachers included in the studies or in the geographical areas in which the data were collected may explain some of the contrasting findings. The most likely explanation, however, is grade level. Most of the classes studied by Parson et al. were junior high or ninth-grade math courses taken by all of the students, whereas all 10 classes studied by Becker were geometry courses taken only by the brighter and more mathematics-oriented students. Dramatic sex differences of the kind reported by Becker, if frequent at all, may be frequent only in secondary level courses of this type. In this connection, it should be noted that Stallings' (1979) results, which generally fell between those of Becker and those of Parson et al., were collected in lower level algebra and geometry classes that fell between the other two samples in terms of the kinds of students represented and their level of progress in mathematics.

The data continue to indicate that male and female teachers are much more similar than different, both in their general approaches to instruction and in their interactions with male and female students. Teachers do not systematically discriminate against students of the opposite sex.

Most of the studies mentioned above were conducted in science classes. Little literature about gender and foreign language classroom interaction can be found. The result might be generalized into the language classroom, but it cannot be guaranteed. Furthermore, to my knowledge, there is no study conducted in Mainland China about gender and English classroom interaction at secondary level.

### III. DATA COLLECTION

#### A. *The Setting*

##### 1. The choice of Teacher and Student

My research interests and focus are on the relationship between gender and classroom interaction. The best way that I can think of to investigate this is to sit in a classroom to observe what happens there. I am particularly interested in what happens in the language classroom since I am working as a university English teacher. The advantage of choosing the school I gathered my data from is that one of my good friends in the university is an English teacher in that school. After I came to Dalian University of Technology to work as a lecturer there, we still kept in touch. So when she knew I was worried about my data collection, she offered to help me to access her school. "If you like, you can observe my classes. You are welcome!" she told me once when we chatted online. I was very happy about this since if I could enter

her school and observe her class, it would be a very pleasant experience to work with a good friend. Following that, she gradually introduced her school to me. The school is a secondary school in which all the classes are mixed –sex with approximately 50 students in each class. It is located in my hometown of Dalian, China. There are different quality senior high schools in the city. The collection of the students is according to the marks the students receive in the entrance examination in each June. The better marks they receive, the better school they will enter. Their school is not amongst the best quality ones. But neither are they the lowest ones since there are still many vocational schools behind it. Since it is not the good quality school, the academic ability amongst students varies a lot, but in general, most of them are at a low academic level. My friend in that school told me that several students in her class could not even remember the 26 English letters. But the requirement for them is to have at least 2000 words of vocabulary. There are 16 teachers in total to teach English in the school, but none of them is male. I did not have a chance to find out the difference between male and female teachers in the sense of interacting with their students.

Brophy and Good (1974) located only a few studies comparing male with female teachers in their treatment of male versus female students. These studies all agreed, however in findings that classes taught by male teachers show the same kinds of student sex differences as classes taught by female teachers. That is, attitude assessments showed that male teachers preferred conforming and obedient students to independent and assertive students.

Therefore, if I get opportunities to do further research on gender and classroom interaction in Chinese context, I will include study on male teachers in my project to see whether Brophy and Good's conclusion is feasible or not in China.

## 2. The classroom teacher

At the beginning, my friend intended to help me to enter the class of an experienced teacher because she felt that the teacher is quite skillful in teaching and controlling the class. I did not reject her offer since I also wanted to have more chances to observe classes. The teacher agreed to take me to her class, but one problem was that she refused to use the tape –recorder. She told me that she would feel very nervous about it and the students in her class were very curious. On second thoughts, I decided to focus on my friend's class only. So the classroom teacher in this research is my friend. She is in her thirties. She had been working as a teacher in that school for almost eight years when the observation took place. She is the kind of person who always shows her consideration to others.

## 3. The students

There are 47 students in the English class in total. But they are from two different organizational classes named Class A and Class B. 15 girls and 8 boys are from Class A and 10 girls and 14 boys are from Class B. The main data I collected are from the mixed class of Class A and Class B, but I still transcribed one lecture of those 15 girls and 8 boys in Class A, which is quite interesting. Their average age is 15. They came to the school for about 8 months at the time I collected the data. The English class is a compulsory course for all of them.

## 4. The Classroom Arrangement

The Classroom for the two mixed classes is big. The desks for the students are in 8 lines and 6 rows. Each two lines were put together so that the students are divided into 4 groups. The students are not free to choose where to sit, but the teacher will manage it. The classroom for the small class is rather small with 8 lines and 4 rows. There are 4 lines together in the middle of the classroom and 2 lines are together at both right and left of the classroom. Interestingly, all girls choose to sit together and all boys do so.

# B. The Methodology

## 1. Classroom Observation and field notes

Since my research questions are related to classroom interaction, classroom observation is a quite important methodology for my research. I attend the English class as an observer. In the first class, the teacher introduced me to the students. But the introduction was quite simple. She just told the students that I need some data for a research project. The teacher let me sit in the front corner of the classroom from which I could have a good view to see what happened and students' face expressions. I was a bit worried about the place I sat since I thought even though it was a corner; it was still in the front of the classroom. I was afraid that my stay would influence their performance. But the teacher told me, the students were quite used to strangers coming into their classroom since the senior high school specialized their English class and many outside researchers and teachers would come to visit. For the time being, I could see that what the teacher told me was quite true. In the first class, some of the students would glance at me, but it seemed that they took me as a member of their classroom after they saw me the second and the following classes, I took a notebook with me every time so that I could write down what I could see in a particular moment to supply what might be missed in the recorded data.

## 2. Tape Recording and Transcription

Though the video data camera could catch more things than a tape-recorder does, I still decided to tape-record the classes. If I use a video camera, in order to catch as many things as possible, I need to place it on a very good position, which I think should be in the front of the classroom. But it is obvious that it would definitely seek the students' attention and that will influence the reliability of the data.

I recorded 14 lectures in total. Two of them on one tape are missing. One of them contains barely any students' talk. I intended to focus on 4 lectures only at first, but after I listened to the tape, I found that my friend led the classroom talk; students did not talk that much in each lecture. So I felt the urge to add two more lectures. Though it is still limited, due to the time-limitation, I could not focus on and transcribe more lectures. The relevant parts, which I analyzed in my



paper were translated in to English. In the transcription, I avoided using the real name of the students. So all the names in the transcription are edited ones.

### 3. Informal Interview

I did not interview the teacher and the students formally because of the time and some other reasons. But during some break times, I chatted with them and noted down their ideas and opinions, which I thought interesting and relevant to my research. This informal data shed light on what happened in the classroom.

### 4. Test Results

My friend provided me with test results for different subjects with the permission of other teachers of those two lectures. The reason for me to gather the result forms is to examine whether there is a relationship between the students' performance in the class and their achievement. Since when I was a student at secondary level, I was not willing to talk in class, if it was the subject that I was not good at.

## IV. QUANTITATIVE ANALYSIS

### A. Teacher's Talk

I analyzed two kinds of teacher talk in this chapter. One is teacher's solicits and the other is teacher's feedback.

#### 1. Teacher's Solicits

A solicit, according to the unpublished PhD thesis of Jane Sunderland (1996) is normally a teacher-student (but not teacher-whole class) or student-teacher utterance which requires and/ or results in a verbal response or which results in or requires a behavioral one from the student or teacher respectively very soon after the uttering of the solicit.

I analyzed two kinds of teacher's solicit together in this section: questions assigned and turns allocated to boys/girls.

A question assigned is like "Wang, what does pioneer mean?"

A turn allocated is like "who can recite it again? Tom."

After I observed several lectures I realized that the teacher did not nominate individual students to stand up to answer questions very often. Her own presentation took a large amount of time. Alternatively, she would ask a question to the whole class, and anyone could answer it without raising his or her hand, just by calling out. I asked the teacher whether she was aware of this; and she said yes and complained that there were too many things to present in one lecture. It would be time-consuming if the student she asked to answer a question did not know the answer or found it difficult to give a correct answer in one try. However, she did sometimes address individual girls or boys. The number of boys and girls is not equal in this class (22 boys and 25 girls). It is not enough to calculate the total number of questions and turns. So I also employed 'boy average' and 'girl average', which would enable me to look at whether the nomination of the teacher is in a similar proportion to 'boy average' and 'girl average'. (see Table 4a)

TABLE 4A:  
QUESTIONS ASSIGNED AND TURNS ALLOCATED TO BOYS/GIRLS

Lectures recorded	Boys		Girls	
	Total	'boy average'	Total	'girl average'
Lecture 1	3	0.14	7	0.28
Lecture 2	6	0.27	8	0.32
Lecture 3	6	0.27	12	0.48
Lecture 4	4	0.18	4	0.16
Lecture 5	2	0.09	2	0.08
Lecture 6	3	0.14	5	0.20
Total	24	1.09	38	1.52

Though the number of the questions and turns are small, except in lecture 4 and lecture 5 (the numbers are the same), we can see that the teacher asked more questions and allocated more turns to the girls (Lecture 1: 7 to 3; Lecture 2: 8 to 6; Lecture 3: 12 to 6; Lecture 6: 5 to 3) than to the boys in general (38 to 24). The average girl also got slightly more than the average boy did (1.52 to 1.09), though because of the limited number of questions and turns, it did not show a great difference.

#### 2. Teacher's Feedback

I categorized the feedback provided by the teacher into two types: positive feedback and negative feedback. Positive feedback implies the teacher's partial or full acceptance of the answer, while negative feedback implies that the answer is not a correct one according to the teacher or the teacher needs the answer to be improved. The degree of feedback can also vary. Feedback like "very good. You did a very good job" is more positive than a simple "yeah" or "okay". A teacher might thus provide positive feedback to two students, but the feedback to one student might be more positive than the one she provides to the other students. However, I categorized both as 'positive'. (See Table 4b)

TABLE 4B:  
POSITIVE /NEGATIVE FEEDBACK TO BOYS/GIRLS (AS INDIVIDUALS)

Lecture recorded	Positive				Negative			
	Boys		Girls		Boys		Girls	
	Tot.	boy average	Tot.	girl average	Tot.	boy average	Tot.	girl average
Lecture1	3	0.14	12	0.48	1	0.05	3	0.12
Lecture2	1	0.05	2	0.08	1	0.05	9	0.36
Lecture 3	8	0.36	12	0.48	1	0.05	2	0.08
Lecture4	6	0.27	4	0.16	5	0.23	4	0.16
Lecture5	1	0.05	2	0.08	1	0.05	2	0.08
Lecture 6	5	0.23	8	0.32	1	0.05	3	0.12
Total	24	1.09	40	1.6	10	0.45	23	0.92

Table 4b shows the number of cases of positive and negative feedback given to the boys and the girls by the teacher. Girls got both more positive and negative feedback than boys did (40 to 24; 23 to 10). The 'girl average' also got more positive and negative feedback than the boys did (1.6 to 1.09; 0.92 to 0.45). Cases of positive feedback for both boys and girls are more numerous than the cases of negative feedback they received (24 to 10; 40 to 23). However, the positive feedback (as a percentage of whole feedback) for boys is higher than that for girls (70.6% to 63.5%). It seems that though the boys got less feedback, they were treated more encouragingly.

As we will see from Table 4c, the girls in this class were quite active in responding to the teacher's open questions, i.e. when the teacher herself did not nominate a particular boy or girl to answer. After such questions, she would wait for the answer to come from anyone in the class. During the time I stayed with them, I could tell that most of the boys were not active in responding to the teacher's questions. We can infer that because the boys answered fewer questions, they got less of both positive and negative feedback than did the girls. But because of this, the teacher may also have encouraged them by giving positive feedback.

### B. Students' Talk

Two aspects of student talk were analyzed in this chapter: response to the teacher's open questions and questions asked by boys/girls to the teacher.

#### 1. Responses

TABLE 4C  
RESPONSES TO THE TEACHER'S QUESTIONS

Lecture recorded	Boys		Girls	
	Tot.	Boy Average	Tot.	Girl Average
Lecture 1	8	0.36	34	1.36
Lecture 2	2	0.09	10	0.40
Lecture 3	3	0.14	20	0.80
Lecture 4	24	1.09	44	1.76
Lecture 5	12	0.55	44	1.76
Lecture 6	11	0.50	27	1.08
Total	60	2.73	179	7.16

Table 4c shows that girls were more active than boys in answering the teacher's open questions (179 to 60). In this English class, the girls liked calling out to respond to the teacher. The 'average girl' responded to the teacher three times more than the 'average boy' did (7.16 to 2.73). The result is similar to the one in the findings of Jane Sunderland's Ph.D thesis (1996): the girls, on average, respond to more of the teacher's academic and non-academic solicits than do the boys. I listened to the tape several times, and though I could not always tell which voice came from which particular girl or boy, I still could tell most of the time whether it was a girl or a boy.

#### 2. Questions

I divided the questions asked by the students into two categories. One type is academic question and the other type is non-academic questions.

By saying that a question is academic, I mean that the question asked is related to lecture content, while a non-academic question is about lecture procedure or anything else not related to the lecture content. (see Table 4d)

TABLE 4D  
QUESTIONS ASKED BY BOYS/GIRLS TO THE TEACHER

Lecture recorded	Boys				Girls			
	Academic		Non-Academic		Academic		Non-Academic	
	Tot.	Boy Average	Tot.	Boy Average	Tot.	Girl Average	Tot.	Girl Average
Lecture1	0	0	0	0	0	0	2	0.08
Lecture2	1	0.05	6	0.27	0	0	1	0.04
Lecture3	0	0	2	0.09	4	0.16	1	0.04
Lecture4	5	0.23	7	0.32	9	0.36	3	0.12
Lecture5	2	0.09	6	0.27	1	0.04	0	0
Lecture6	2	0.09	0	0	2	0.08	0	0
Total	10	0.45	19	0.86	16	0.67	7	0.28

We can see from Table 4d that the number of academic questions asked by the girls is higher than the number asked by boys. (16 to 10), while the number of non-academic questions the girl asked is lower than the number asked by boys (7 to 19) that is to say, the girls asked more academic questions, while the boys asked more non-academic questions. The boys asked more questions in total (academic and non-academic) than girls did (29 to 23). But of the questions asked by the boys, 65.5% are non-academic ones. The composition of the girls' questions is 69.6% academic questions and 30.4% non-academic ones. In general, the students did not ask many questions.

I chatted with two girls and three boys during the break. I wanted to know why they did not ask many questions to the teacher. I was impressed by two of their explanations. One girl told me that she did have questions sometimes, but she was afraid that her questions were too simple to ask and that the teacher and her classmates would laugh at her. One boy laughed and said that he had many questions, but if he asked the teacher, she would know he was absent-minded.

The boys in the class sometimes asked non-academic questions to distract or draw the teacher's attention. I also saw that after class, the boys were more likely to joke with or tease the teacher, whilst most of the girls remained polite and formal after class.

Summary: the quantitative findings have not been analyzed for evidence of statistically significant differential teacher treatment of male and female students or of differential treatment by gendered student behavior. However, the girls got more questions from the teacher and were assigned more turns. They also answered more questions, (The difference is more marked than the other three), and as a consequence received more feedback from the teacher, both positive and negative. Thus we get the picture that the girls were more active in this class. However, the percentage of positive feedback in relation to all feedback was lower for the girls than the boys.

## V. QUALITATIVE ANALYSIS

### A. Turn Given to Boys

As I showed in part IV, the teacher assigned more turns to the girls and the girls called out more often than the boys. But when both boys and girls raised their hands, then the turn would undoubtedly be allocated to a boy.

Extract 1:

1. T: Ok, good. Class Six? Yah, please Zhou Ming!

[A girl sat next to Zhou Ming raised her hand as well. But the teacher called Zhou Ming immediately when she saw him raising his hand. The students clapped for Zhou Ming after he finishing reciting]

2. T: Yeah, good. Really good! Ok, how about Class Five? Class Five? No one?

Gx1: Yes. [Gx1 said happily]

3. T: Class Five. No one!

Gx1: Yes. [Gx1 said firmly again]

Bx1: No. Of course.

[A boy from Class Five claimed that they had a student to recite. However, he did not raise his hand. Rather he grasped the hand of a girl next to him. The girl smiled and did not refuse.]

4. T: Really? Ok, Qu Xiaoyan.

[Qu Xiaoyan started to recite]

5. T: Ok, good. Now. Class Six?

[The teacher saw that the same girl raised her hand, but she did not call her immediately as if she wanted to wait for more students to raise their hand. B2 raised his hand.]

6. T: Ok Yang Mingliang.

[The teacher was quite surprised to see the boy raising his hand (he was one of the boys whom the teacher poked to wake them up) and called his name happily without thinking. The girl who raised her hand was disappointed.]

[Yang thanked his classmates for support by putting his two hands together to make a traditional "thank you" gesture. Then he started to recite. The teacher listened quite carefully. The students were excited. Several girls cheered for him after he finished.]

Gs: Wonderful!

7. T: Ok, great. Yang, you really, really surprise me. Now, who can, Class Five, Zhang Jie.

One girl thus kept raising her hand. The teacher, however, was so pleased to see the boys' raise their hands; she did not give the girl a turn and finally, the girl lost interest in raising her hand.

If you sat in the classroom, you could get an impression that the boys in general (not all the boys) did not actively respond to the teacher's academic solicits, while girls in general were more active than the boys in responding to the teacher. The quantitative analysis of responses to teacher's open questions can show this (Girls called out 179 times in total, while the boys called out 60 times). The teacher would tell you similarly. However, I could see that the girl who was bidding for the turn twice (T 1: first try; T 5: second try) raised her hand when the teacher asked for volunteers, though she was not as active as the two girls who stood up to recite the text at the beginning. I attend 16 lectures, so I can remember her because she raised her hand relatively often. (I say relatively since the class was teacher-led on the whole.) The teacher did not seem surprised to see her raise her hand. But she really did seem surprised to see Zhou Ming (the first boy volunteer) raise his hand and gave the turn to Zhou Ming directly. The girl tried for the second time

when the turn for her class came again. But, sadly, the boy who raised his hand later than her grabbed her chance! I could see her disappointed face and she did not bid for a turn in the activity again in that lecture. I asked the teacher after class and she confirmed that she saw the girl raise her hand twice. However, she told me that she was surprised to see the two boys raise their hands. She further explained that she also felt that the boys were impatient and if she did not give them a turn, it was quite likely that they would chatter away or do other things. But things would be a bit different if she paid attention to them and let them 'show off'. "I think I could encourage them by doing so", she added.

#### *B. How Were the Boys' Attention and Interest Attracted by The Teacher?*

The quantitative findings seem to show that girls were more active in the class. But I found from the data that the boys were active in some particular way. The teacher attracted and retained their attention and interest by; for example, initiating competitive activities or illustrating relevant interesting points of the text, though to attract the boys' attention in particular was not the main purpose as the teacher told me after class. What happened in the class nevertheless showed the effects of these initiations.

##### *1. Teacher –Initiated Competitive Activities*

###### *Extract 2:*

The following episode happened at the beginning of a lecture. The teacher intended to check the students' homework, which was to recite the text.

1. T: Ok, so remember your homework yesterday?

S: Yeah.

2. T: Yah, recite, Class Five, the first one, right? Class Six, second one, second one. Ok, who like to be the first one?

3. T: Ok, Sun Mo.

[Sun Mo started to recite]

4. T: Um ah. Ok, good. Now how about Class Six? Who like to?

[Yu Shuang raised her hand]

5. T: Yes, (Yu Shuang)

[Yu Shuang started to recite]

[While the two girls were reciting, one girl dozed off there and used the hand to raise her head. Three boys put their heads down on their desks. The teacher walked around and poked the three boys to wake them up.]

6. T: So that's all. Ok, so next time let's do that this way, right? One is from the Class Five; the other is from Class Six. So at last let's see which side will win. Understand?

S: Yeah.

7. T: Great. Let's try. Ok, this time. It's your turn, Class Five. Who likes to?

[No one responded]

Class Five, no one? [The teacher asked again.]

Gx1: Yes. [A girl from class 6 said happily, she meant no one from Class Five will be volunteer.]

8. T: Class Five, no one?

Gs: Yes, no one. [Several girls respond ironically]

9. T: So you are going to lose, really?

Kang Xiao: No. [Kang Xiao from Class Five said no to fight back and then raised her hand.]

10. T: Ok, Kang Xiao? So you must raise your hand, you must raise your hand, otherwise, you'll lose. Ok, go on.

[Kang Xiao started to recite]

11. T: Ok, good. Class Six? Yah, please Zhou Ming.

[A girl who sat next to Zhou Ming raised her hand as well. But the teacher called Zhou Ming immediately when she saw him raising his hand. The students clapped for Zhou Ming after he finishing reciting.]

12. T: Yeah, good. Really good! Ok, how about Class Five? Class Five? No one?

Gx1: Yes. [Gx1 said again happily]

13. T: Class Five. No one!

Gx1: Yes. [Gx1 said again firmly]

Bx1: No, of course.

[A boy from Class Five claimed that they had students to recite. However, he did not raise his hand, rather he grasped the hand of a girl next to him. The girl smiled and did not refuse.]

14. T: Really? Ok, Qu Xiaoyan.

[Qu started to recite the text]

15. T: Ok, good. Now Class Six?

[The teacher saw a girl raise her hand, but she did not call her immediately as if she wanted to wait for more students to raise their hand. B2 raised his hand.]

16. T: Ok, Yang Mingliang.

[The teacher was quite surprised to see the boy raising his hand since he was one of the boys whom the teacher poked to wake them up] and called his name happily without thinking. The girl who raised her hand was disappointed]

[Yang thanked his classmates' support by putting his two hands together to make a traditional Chinese 'thank you' gesture. Then he started to recite. The teacher listened quite carefully. The students were excited. Several girls cheered for him after he finished.]

Gs: Wonderful!

17. T: Ok, great. Yang. You really, really surprise me. Now, who else can, Class Five. Zhang Jie?

The episode occurred in the first lecture of the day, which started quite early in the morning--8: 20 am. Before that the students had to come to school at 6:30 to have 40 minutes of self-study, so some of them were sleepy when the two girls were reciting. The teacher then initiated a competitive activity (T 6). Her intention as she told me afterwards was to create a more intense atmosphere so that those sleepy students would try to concentrate on the class. Her strategies seemed to work well since even she herself was surprised to see the two boy volunteers raise their hands (T 11 and 16). One of them felt sleepy before the teacher initiated the competition. Another boy, who did not raise his hand, suggested in a loud voice that there were certainly volunteers from his class in order to fight back Gx1 (T 13), who annoyed him by responding to the teacher again and again that there were no volunteers from the boy's class. And the boy raised the hand of Qu Xiaoyan (a girl who sat next to him (T 13)).

The intense atmosphere in the class showed that after Kang Xiao asked for her turn; the students were excited by the competition. Zhou Ming in class 6 responded to the competition immediately without hesitation, which gained him the round of warm applause. The activity might not only have aroused the boy's interest, would say that the girls showed their interest as well. But the significance I found in this extract is that the boys tended to be more active than they usually were.

## 2. Relevant Interesting Points of the Text Presented by the Teacher

The boys seemed to take less interest in the teacher's presentation in the class. But they did not always behave like this. If what the teacher presented was interesting to them, they would give their attention accordingly.

Extract 4:

1. T: Meteorite Man, right? And so we can say he is very, very crazy about rocks. Now besides that, he had only piece of moon rock. Another piece come from Mars. Here do you know Mars. Which planet? Which planet? Do you know this one? Mars. So, it's what? The symbol, the symbol of war. It calls the War God. In fact, what is it? It is Mars. What is the other name for Mars? The star of War God, right?

Shen (B): Why? Why?

[He raised his head and asked why eagerly.]

Shen (a boy) sat in the corner of the first row, which was just beside where I sat. He was drawing a picture of a robot on his book when the teacher was talking. But when the teacher said that Mars was the symbol of war, he suddenly stopped drawing, looked up and asked why twice, suggesting a keen interest in his question. The teacher explained the reason. The boy was satisfied with her answer, nodded and looked down again, circled the words "The Mars" on his book, and noted in Chinese the other name of Mars and the reason for that. It was a mystery whether he learnt anything in the class, except the other name of Mars. But if the teacher had not mentioned that interesting point that Mars still had another name, the boy's attention would still have been focusing on drawing his picture. The presentation of an interesting point relevant to the text and to the boy himself functioned well to get the boys' attention here.

## VI. DISCUSSION

I will discuss some implications of the findings. In terms of differential teacher treatment by gender, the teacher tended to solicit more to girls. I talked with her before I did the classroom observation. She told me at that time that she felt the girls in the class were more supportive to her and got better results. And the impression, the boys gave her was that they were lazy, naughty and less academic than girls in general. As I stated before, she did not nominate individual students very often since the time was too limited for her to teach the students all the knowledge required in one lecture. Her impression of the girls and the time-limitation in the class might be one of the reasons that she nominated girls often, when she needed individuals to give her answer, so that she could get hope to receive a correct answer in a short time.

But we can see that the percentage of positive feedback of the boys (as compared with the whole feedback they got) was higher than for the girls. The teacher had lower expectation for the boys. If boys' performance were better than she expected, she would gave them more positive feedback. And the higher expectation for the girls sometimes would make the teacher give negative feedback. With regard to students talk, the girls called out more often than boys. (It is different from what Trafford & Clarke found that boys' contributions dominate regardless of whether the discussion concerns school subject content, etc.) I knew from the teacher and from the test results that the academic results of the girls were higher than the boys. I wondered whether because of their low academic achievement in the English texts, some of the students (especially the boys) were not confident enough to be active in the class. However, when I examined three examination results of the class, I found that two boys in the class got quite high marks in all the three exams, even though they were very quiet in class. They listened to the teacher carefully, but if the teacher did not nominate them to answer a question, they seldom opened their mouths to answer the teacher's open questions. "They are quiet students," the teacher told me.

One boy liked to respond to the teacher if he kept awake (He quite easily felt sleepy during the class), but his academic scores were always below average (he was the one who liked to ask non-academic questions to tease the teacher.) One girl made an impression on me since she always used a loud voice to answer the teacher's question and was actually an active member of the class. She seemed like an out-going girl from the way she talked. However, her academic results were not especially high either. From these examples, I concluded that academic achievement may not be directly related to active academic classroom performance

Another point that might provide a reason why the observed class was relatively quiet As I introduced, the students were all those who failed to enter the best quality schools in the city and this senior high school they had entered required considerably lower entrance marks. That is to say, their academic achievement was quite low before they entered the school. For many of them it would not be possible to have a chance to enter university in the future. For them, the aim is to get the certificate of senior high school or enter a college. The students themselves did not have high motivation to study hard since they knew the fact quite well that they had a lower chance to enter universities. In China, the common belief is that if you fail to enter university, it is unlikely that you will have a promising future.

It was only a small-scale case study. The results may not be able to generalize to other classrooms in other social contexts. They may not even be able to generalize to other Chinese classrooms. But this case may have things in common with other cases. So the findings might shed lights on further studies conducted in china.

## VII. CONCLUSION

My data suggest that general classroom climate may play an important role in reinforcing sex differences in achievement attitudes, beliefs, and performance. Certain kinds of educational environments may facilitate boys' achievement while either dampening or having little positive effect on girls' achievement. Relying on public recitation and student volunteers emerged as two such environmental characteristics in the senior high school study. Competitive goal structures and coeducation are two other characteristics that have been suggested as having similar effects (Eccles, 1984).

The remedy for such differential effects is not clear. Should we educate boys and girls differently so that each experience the educational environment best suited for his or her needs? Probably not, especially some variations within sex make identification of such ideal environments for each sex possible. Instead, educators at all levels need to be aware of the fact that children may respond to similar educational experiences in different ways. Then we can work toward a balance between providing both boys and girls with all types of educational experiences and helping both boys and girls acquire the skills necessary to benefit maximally from various types of learning environment.

Last, as far as Learning guidance concerned, it is structured in two general ways: through solicits or questioning and through feedback. Both of these represent structure. Questioning provides opportunities and variations for thinking about new concepts. Feedback fine tunes ideas in both areas. Although learning to ask questions and participating in questioning is important in language learning, such factors may not be the only variables that may have causal relationships for explaining observed differences in language learning participation. Careful study of the internal, external and social influences, as well as further scrutiny into the quality and subtle nature of verbal interactions and the structure of the learning guidance should be undertaken if gender-related differences in language learning class to be fully understood.

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# Two-place Activity Predicates in Persian

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**Abstract**—Some syntacticians claim that a non-referential second argument of an activity predicate expresses an intrinsic aspect of the meaning of the verb and does not refer specifically to any participants in the event denoted by the verb. The aim of this paper is to examine activity predicates in Persian to see whether they follow this proposal or not. Presenting the properties of two-place activity predicates in Persian, and their accomplishment counterparts, I argue that the second argument in activity verbs of consumption, creation, performance, etc. is an inherent argument of the predicate. Indeed, they are part of the predicate, rather than the participants in the event. Moreover, it is shown that if the second argument takes a referentiality marker, the verb class is changed to accomplishment. Finally, it is concluded that Persian supports the RRG treatment for two-place activity predicates.

**Index Terms**—activity predicates, accomplishment, Persian, Role and Reference Grammar

## I. INTRODUCTION

Activity predicates have unique syntactic properties among other predicate classes depending upon whether their second arguments are referential or not. VanValin and LaPolla (1997) claim that when the second argument of a two-place activity predicate is non-referential or non-specific, it has an activity interpretation. On the other hand, when these predicates take a specific or referential second argument they will become accomplishments. Therefore, the four basic classes of verbs (state, achievement, accomplishment and activity) are augmented by a fifth class, active accomplishment (VanValin, 2005, p.32). Indeed, telic uses of activity verbs change them to accomplishments. This verb class alternation can be shown by the following two English sentences:

- (1) (a) John ate fish.
- (b) John ate the fish.

In (1.a) the action of eating fish has no inherent temporal boundary. However, in (1.b), once the fish is gone, the act of eating is done. According to VanValin (2005) the non-specific second arguments of activity verbs like *eat* are inherent arguments which express an intrinsic aspect of the meaning of the verbs and don't refer specifically to any participants in the event denoted by the verb. VanValin and LaPolla (1997) regard this difference between predicates such as (1.a) and (1.b) as a piece of evidence for an Aktionsart alternation and a mismatch between syntactic and semantic transitivity.

In this paper, I will examine activity predicates of Persian within the framework of RRG to see whether they follow the special treatment of this theory of grammar or not. In section 2, I introduce the theory of Role and Reference Grammar. A brief review of verb classification in RRG will be presented and I show that tests for determining activity predicates in this theory work for Persian unexceptionally. In section 3, I investigate the properties of second arguments in Persian activity predicates and present evidence which justify the proposal of VanValin and LaPolla. It will be shown that two place activity verbs follow RRG's assumptions. Evidence in support of this analysis from researches done by other Iranian linguists working with different syntactic theories will be presented in section 4. Section 5 is devoted to transitivity in two-place activity predicates in Persian. I will show that Persian supports the contrast between S-transitivity and M-transitivity. Ultimately, conclusions will be presented in section 6.

## II. INTRODUCING ROLE AND REFERENCE GRAMMAR

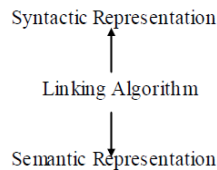
RRG is a moderate functionalist theory. In this theory, syntax is neither autonomous, as in transformational grammar, nor identical with semantics, as in generative semantics. What distinguishes the RRG conception from the standard formalist one is the conviction that grammatical structure can only be understood and explained with reference to its semantic and communicative functions. Indeed, RRG grew out of an attempt to answer two basic questions:

1. What would linguistic theory look like if it were based on the analysis of Lakhota, Tagalog and Dyirbal, rather than on the analysis of English?
2. How can the interaction of syntax, semantics and pragmatics in different grammatical systems best be captured and explained? VanValin (2005, p.1)

The latest version and the most comprehensive presentation of this theory is discussed in VanValin and LaPolla (1997) and VanValin (2005). RRG postulates four grammatical representations for each sentence. These are 'Linking from Semantics to Clause Structure', 'Constituent Projection', 'Operator Projection', and 'Focus Structure Projection'.

The RRG theory posits only a single level of syntactic representation for a sentence which is mapped directly into the semantic representation of the sentence. VanValin (2005, p.2) sketch the organization of RRG as the following figure.





The syntactic and semantic tests proposed by Dowty(1979) are used in a modified form in RRG. This set of tests will isolate specific features in order to systematically classify the verbs of any language with minor language specific adjustments. In RRG, Aktionsart is the term used for the inherent temporal properties of verbs. Examples of English verbs fitting each of the four categories are given as follows in the literature (Foley and VanValin 1984, VanValin 1999d, Wyngaerd 2001, among others).

- (3.1) a. **States:** be sick, know, believe, love, fear, have  
 b. **Achievements:** pop, explode, collapse, die, receive  
 c. **Accomplishments:** melt, freeze, learn, dry  
 d. **Activities:** walk, sing, study, think, swim, write, eat, read, march

TABLE 3.2  
TESTS FOR DETERMINING AKTIONSAKT TYPE

Criterion	States	Achievements	Accomplishments	Activities
1. Occurs with progressive	No	No	Yes	Yes
2. Occurs with adverbs like vigorously, actively, etc.	No	No	No	yes
3. Occurs with adverbs like quickly, slowly, etc.	No	No*	Yes	Yes
4. Occurs with X for an hour	Yes*	No	Irrelevant	Yes
5. Occurs with X in an hour	No	No*	Yes	No

Having presented the above tests and their applications to different verb classes, I can now summarize tests for determining Persian verb classification as follows:

TABLE 3.3  
TESTS FOR DETERMINING AKTIONSAKT TYPE IN PERSIAN.

Criterion	States	Achievements	Accompl	Activities
1. Occurs with <i>dar hâle</i> or <i>mašqûle</i> , 'in process of'	No	No	Yes	Yes
2. Occurs with <i>bešeddât/bâjeddyat</i> 'vigorously/actively.'	No	No	Yes	yes
3. Occurs with <i>besor'at/âheste</i> 'quickly/slowly'	No	No*	Yes	Yes
4. Occurs with ( <i>bar âye</i> ) <i>yek s â't</i> 'for an hour'	Yes	No	Yes	Yes
5. Occurs with <i>dar yek s â't</i> 'in an hour'	No	No*	Yes	No

Having applied these five tests to Persian verbs, now, I can present a sample of each verb class in this language. However, it should be noted that the actual class of each verb is determined within the context in which it occurs. Examples of Persian verbs fitting each of four categories are given in the following table.

**a. States**

d ânestan	'to know'
dâştan	'to have'
dust dâştan	'to like'
šenâxtan 1	'to know sb'
budan	'to be'
tarsidan	'to fear'
x âstan	'to want'
didan	'to see'
šenidan	'to hear'

**b. Achievements**

tarakidan	'to pop'
šenâxtan 2	'to recognize'
foru rixtan	'to collapse'
residan	'to arrive'
šekastan	'to break'
mordan	'to die'
koştan	'to kill'
oftâdan	'to fall'

**c. Accomplishments**

sâxtan	'to build'
dorost kardan	'to make'
âb šodan	'to melt'
âmuxtan	'to learn'
xaridan	'to buy'
âvordan	'to bring'
suxtan	'to burn'
yax zadan	'to freeze'

**d. Activities**

davidan	'to run'
xordan	'to eat'
x ândan	'to read / to recite'
qadam zadan	'to walk'
nušidan	'to drink'
guš kardan	'to listen'
neveštan	'to write'
šenâ kardan	'to swim'
xandidan	'to laugh'
gerye kardan	'to cry'
raqsidan	'to dance'

### A. Semantic Roles

The RRG theory of semantic roles is different from that of other theories, in that it posits two types of tiers of semantic roles. The first are specific thematic relations. The second are generalized semantic roles called semantic macroroles.

These semantic relations are referred to as macroroles, since each of them subsumes a number of specific semantic relations. The terms to be used for these two arguments are 'Actor' and 'Undergoer', originally introduced in RRG by Foley and VanValin (1984)

### B. Transitivity

Transitivity is traditionally defined in terms of the number of arguments a verb takes overtly in the syntax, but RRG makes a distinction between syntactic and semantic transitivity (VanValin and LaPolla, 1997). The syntactic valence of a verb is the number of overt morphosyntactically coded arguments it takes, while the semantic valence refers to the number of semantic arguments that it can take.

VanValin and LaPolla (1997, p.147) present the non-identity of semantic and syntactic valence in English verbs as the following table shows:

TABLE 3.6  
NON-IDENTITY OF SEMANTIC AND SYNTACTIC VALENCE

Semantic valence		Syntactic valence
rain	0	1
die	1	1
eat	2	1 or 2
put	3	3 or 2

## III. APPLICATION OF RRG TESTS TO PERSIAN

Since in this paper I deal with only activity predicates, these five tests will be applied to only this class of Persian verbs. As the above tests show activity verbs are compatible with all these tests except test 5.

### A. Progressive Formation

Persian does not have a distinct progressive aspectual form like English. Nevertheless there is another morphosyntactic construction which expresses progressive aspect (Dabirmoghaddam 1996). The expression *dar hâle* or *mašqule* 'in the process of' serves as the head of an EZAFE construction followed by the infinitive form of the verb as its dependent. The following sentences show that progressive construction is possible with activity verbs.

- (3) Sin â dar h âle davidan ast.  
Sin â in process run be-3sg  
'Sina is running'
- (4) ân pîrmard dar h âle qadam zadan ast.  
That old man in process step hit be-3sg.  
'That old man is walking'

### B. Occurrence with Adverbs like *be šeddat* 'vigorously' or *bâjeddyat* 'actively'.

RRG uses this test to distinguish states and achievements from accomplishments and activities. The following two sentences show that Persian activity verbs can occur with these two adverbs.

- (5) Bačče- h â bâjeddeyat dars mi- x ân- and.  
Child- Pl actively lesson IMP- read- 3Pl  
'The children study actively.'
- (6) In bâzikon bešeddat mi- dav- ad.  
This player vigorously IMP- run- 3sg.  
'This player runs vigorously.'

### C. Occurrence with Adverbs like *âheste*, 'slowly' or *be sor?at* 'quickly'.

- (7) ân -h â âheste k â mi- kon- and.  
That -Pl slowly work IMP- do- 3pl  
'They work slowly.'
- (8) U besor?at mi- nevešt.  
3sg quickly IMP write-PAST  
'He/she was writing quickly.'

### D. Occurrence with *(barây) yek sâ? at* 'for an hour'

- (9) Man (bar ây) yek s â? at fekr kard- am.  
I (for) one hour think do- past-1sg.  
'I thought for an hour.'
- (10) U har ruz yek s â?at mi- davad.  
3 sg every day one hour IMP-run- 3sg  
'He runs for an hour every day.'

E. Occurrence with *dar yek sâ?at* 'in an hour'.

- (11) \*u har ruz dar yek sâ?at mi-davad.  
 3sg every day in an hour IMP rfun-3sg.  
 \*'He runs in an hour every day.'

As it can be seen from the above sentences (3-12), activity verbs in Persian follow the five tests presented above unexceptionally.

#### IV. SECOND ARGUMENT OF PERSIAN ACTIVITY PREDICATES

The logical structure of activity predicates is represented in RRG as (13).

- (13)  $\text{do}(x, [\text{Predicat } \acute{e}(x) \text{ or } (x, y)])$

This logical structure tells us that an activity predicate may have one or two core arguments. The following two Persian sentences have only one argument.

- (14) Ali mi-davad 'Ali runs'  
 (15) Mina mi-nevisad 'Mina writes'

Unlike (14-15) some activity verbs such as verbs of creation (*neveštan* 'to write' *sâxtan* 'to make'), verbs of consumption (*xordan* 'to eat' *nušidan* 'to drink' *kešidan* 'to smoke') and verbs of performance (*xândan*, to read/to recite' *kardan* 'to do') may take a second argument. If these verbs have a non-referential or bare noun as their second arguments, they behave like activity predicates. But they behave like accomplishment predicates if their second arguments take a marker of specificity or quantity. The following sentences have an activity interpretation.

- (16) Pesar-h â še?r mi- xând- and.  
 boy- pl poem IMP- read- 3sg.  
 The boys were reading poetry.  
 (17) Ali n âme mi- nevis- ad.  
 Ali letter IMP- write- 3sg  
 (18) ân mard sig âr mi- keš- ad.  
 That man cigarette IMP- smoke- 3sg  
 'That man smokes.'

The second arguments in the sentences (16-18) are non-referential. *še?r*, *n âme* and *sig âr* have no markers of referentiality or quantity. In fact, they are bare nouns.

Now, let's compare these sentences with (19-21) in which the second arguments have a marker of referentiality or quantity.

- (19) Pesar -h â še?r r â mi- x ând.  
 boy -pl poem OBJ IMP- read-3sg.  
 The boys read the Poem.  
 (20) Ali yek n âme mi- nevis- ad.  
 Ali one letter IMP- write -3sg  
 'Ali writes a letter.'  
 (21) ân mard yek sig âr mi- keš- ad.  
 that man one cigarette IMP-somke-3sg  
 'That man smokes a cigarette.'

Sentences (16-18) show different properties comparing with those of (19-21). Sentences (16-18) having a non-referential second argument are compatible with test 4 (for an hour) but sentences (19-21) are not.

- (16.a) Pesar-h â yek s â?at še?r mi-x ând.  
 'The boys read poetry for an hour.'  
 (19.a) \* Pesar-h â bar ây yek s â?at še?r r â mix ând.  
 'The boys read the poem for an hour.'  
 (17.a) Ali bar ây yek s â?at n âme minevisad.  
 'Ali does letter-writing for an hour.'  
 (20.a) \*Ali bar ây yek s â?at yek n âme mi-nevisad.  
 'Ali writes a letter for an hour.'

Sentences (19.a) and (20.a) show that when the second arguments of activity predicates take a specificity marker such as the postposition - *r â* the quantity marker *yek*, etc their Aktionsart will be changed. Indeed, (19a) and (20 a) are the accomplishment uses of their activity counterparts. It is noteworthy that these sentences are compatible with adverbs denoting accomplishments (Karimi 2001). Thus, test 5 is compatible with verbs having a referential second argument.

- (22) Pesar-h â dar yek s â?at še?r r â x ândand.  
 'The boys read the Poem in an hour.'  
 (23) Ali dar Panj daqiqe yek n âme nevešt.  
 'Ali wrote a letter in five minutes.'

Another difference between predicates having non-referential arguments and those with referential ones is that non-referential arguments can not be separated from the verb but referential arguments can (Dabirmoghaddam, 1996).

Mahootian (1997, p. 6) states that when a prepositional phrase is present in the sentence, it typically occurs between the subject and the direct object but if the direct object is definite a variation of word order can take place. A definite direct object, which is marked with the object marker *-râ* can occur before the prepositional phrase. For example, in sentences (19-21) repeated here as (24) and (26), a noun phrase such as a benefactive, a recipient, or an adverb can be appeared between the argument and the verb. On the contrary, this is not possible for sentences (16-18) repeated here as (25) and (27).

(24) Pesar -h â šeʔr r â bar ây m â x ând-and.

boy -pl poem OBJ for us read-3pl.

'The boys read the poem for us.'

(25) \*Pesar -h â šeʔr r â bar ây m â mix ând.

boy -pl poem for us read-3pl

'The boys read poetry for us.'

(26) Pesar -h â šeʔr r â zud x ândand.

boy -pl poem OBJ soon read-3pl

'The boys read the poem soon.'

(27) \*Pesar -h â šeʔr zud x ândand.

boy -pl poem soon read-3pl

'The boys read poetry soon.'

The ungrammaticality of (25) and (27) shows that the non-referential arguments can not be separated from the verb, but they have to be adjacent to it. It is a good piece of evidence in support of the idea that considers the non-referential arguments as part of the predicate, i.e. inherent argument. In fact, these arguments are not considered as participants in the event.

Another difference between referential and non-referential arguments of activity predicates is that they can not appear together in a coordination construction.

(28) Man yek n âne va in maq âle r â neveštam.

1 sg a letter and this paper OBJ write-PAST-Sg.

'I wrote a letter and this paper.'

(29) Man n âne va maq âle neveštam.

1 sg letter and paper write-1sg

'I wrote letters and papers.'

(30) \*man n âne r â va maq âle neveštam.

1 sg letter OBJ and paper write-1sg.

'I wrote the letter and paper.'

In (28) both *n âne* and *maq âle* are referential. In (29) both are non-referential. But in (30) one of them *n âne* is referential and the other *maq âle* is non-referential. The ungrammaticality of (30) shows that these two arguments don't have identical semantic structure.

Another piece of evidence indicating that non-referential arguments are not objects but inherent arguments of activity verbs, can be deduced from the information structure of transitive and intransitive sentences. Persian has an unmarked SOV word order. However, in transitive sentences, the direct object may occur clause initially and function as a topic (Mahootian, 1997, p. 121, Karimi 2000, Dabirmoghaddam 1991). Of course the object in this initial position may be stressed to indicate narrow focus. As the following sentences show this variability in word order is possible in sentences with a referential objects but not with those including non-referential ones.

(31) Pesar -h â âw âz r â mi- x ând.

boy -Pl song OBJ IMP- read-3Pl

'The boys sing the song.'

(31a) âw âz ra pesar-h â mi-x ând.

song OBJ boy -Pl IMP-read-3Pl.

'It is the song that the boys sing.'

(32) Pesar -h â âw âz mi- x ând.

boy -Pl song IMP- read-3Pl

'The boys sing.'

(32a) \*âw âz Pesar -h â mi- x ând.

song boy -Pl IMP- read-3Pl.

In (31) *âw âz* 'song' is a referential argument taking the postposition *-r â*. This sentence can be uttered as (31.a) in which the object is separated from the verb and topicalized. On the other hand, in (32) *âw âz* is non-referential and as (32.a) shows this kind of variation of word order is not possible. In my view, it can be concluded that non-referential second arguments of activity verbs are not objects because they can not be separated from the verbs like transitive sentences.

Iranian traditional grammarians call the above-mentioned non-referential arguments generic objects (Vahidian 2000, Khanlari 1976, Moin 1990, among others). However, among Iranian linguists two people studied what is called non-referential second argument of activity verbs in this paper. Dabirmoghaddam (1996) in a paper analyzing compound verbs in Persian, paid attention to these non-referential arguments. Since he made no distinction between different verb

classes in his analysis, he referred to the second arguments of activity predicates as non-referential objects. Then, he has argued that Persian allows incorporation of direct object into the verb. He states that a direct object may lose its referentiality markers and incorporate with the verb to create an intransitive compound verb which is a conceptual whole. He has presented the following examples:

- (33) *bačče -h â qaz â r â xord -and.*  
 child -pl food OBJ eat-PAST -3pl.  
 'The children ate the food.'

- (34) *bačče -h â qaz â xord -and*  
 child -pl food eat-3pl  
 'The children did food-eating.'

He concluded that in (33) the object *qaz â* 'food' has lost the referentiality marker *-r â* and incorporated to the verb *xordan*. It is worth noting that all of examples of incorporation process he presented in his paper, are second arguments of activity verbs. In my view Dabirmoghaddam's findings concerning incorporation substantiate the special treatment of VanValin and LaPolla who have stated that in many languages the inherent argument may or even must be realized as an incorporated noun (P. 150).

In addition to Dabirmoghaddam's analysis, Karimi (2001) in a GB based paper has dealt with specific and non-specific objects, and enumerated the syntactic, morphological and semantic asymmetries between them. Like Dabirmoghaddam, she also made no distinction between verb classes, but all non-specific objects she presented are second arguments of activity predicates. Furthermore, she has argued that non-specific objects are part of the event, rather than the participants in the event and allow a process of compounding with the verb. As a matter of fact, her analysis bears out the notion of innerent argument introduced by VanValin and LaPolla.

#### V. MISMATCH BETWEEN SYNTACTIC AND SEMANTIC TRANSITIVITY

Transitivity is traditionally defined in terms of the number of arguments a verb takes overtly in the syntax, but RRG makes a distinction between syntactic and semantic transitivity (VanValin and LaPolla, 1997, p. 150). According to them transitivity depends on the number of macrorole a verb takes. Single macrorole verbs are intransitive and two macrorole verbs are transitive. Because of the non-identity of semantic and syntactic valence, transitivity cannot be characterized in terms of the number of syntactic arguments, but must be defined in terms of the number of macroroles that a verb takes. VanValin and LaPolla claimed that the second argument of a two-place activity predicate is necessarily non-referential and therefore takes a non-macrorole value in violation of macrorole assignment principle, according to which a verb with two logical structure arguments normally gets two macroroles, actor and undergoer. Now, let's look at (33-34) again repeated here as (33a) and (34a):

- (33.a) *bačče-h â qaz â r â xordand.*  
 (34.a) *bačče-h â qaz â xordand.*

In (33.a) the undergoer *qaz â* is a referential argument and the direct object of the verb, but in (34.a) *qaz â* doesn't refer to any specific food. As Karimi (2001) has stated non-specific objects like *qaz â* in (32.a) are part of the description of the predicate. Dabirmoghaddam (1996) has argued that non-referential arguments are incorporated into the verb and form a compound verb that functions as a single predicate. VanValin and LaPolla see this contrast as evidence that the second argument of an activity verb is not an undergoer, but a non-macrorole core argument under the assumption that undergoers must be referential since they refer to the participant primarily affected in the state of affairs. As Dabirmoghaddam (1996) noted compound verbs formed through incorporation are systematically intransitive. It proves the idea that the incorporated argument is not a semantic argument of the verb, but an inherent argument. Hence, two place activity verbs should be regarded as intransitive, because they have only one argument in their logical structures.

#### VI. CONCLUSION

It was shown in this paper that activity verbs in Persian fully follow the verb classification and tests for determining verb classes in RRG. I have also examined second arguments of activity predicates and shown that their special characteristics can be explained in a straightforward manner by the proposal presented in VanValin and LaPolla (1997). I have argued that second arguments in activity verbs of consumption, creation, performance, etc. are not arguments of the verbs but inherent arguments. If these second arguments take a referentiality marker such as the postposition *-r â* the indefinite marker *-i*, or a marker of quantity like *yek*, etc the predicate will be compatible with adverbs denoting accomplishment. It has been shown that the analysis of specific and non-specific objects by Karimi (2001) and noun incorporation by Dabirmoghaddam (1996) provide evidence in support of my suggestion, although they paid no attention to the different verb classes. Finally, this paper supports the contrast made between S-transitivity and M-transitivity Proposed by Narasimhan (1995) and adopted by VanValin and LaPolla.

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# A Study on Experiential Translation Teaching under Multimedia Network Environment\*

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**Abstract**—Experiential foreign languages teaching, which evolves out of the urgent need to reform the traditional language teaching models, is a new mode in foreign language teaching and learning in China. This paper introduces the theory of experiential foreign languages teaching, analyze its necessity, and proposes the its principles and approaches under multimedia network environment. Learners become self-motivated and obtain language communicative competence as a result of experiential “engagement, enjoyment and enhancement” in both a learner-oriented humanistic environment and a language learning ecological environment. Experiential translation teaching focuses on situational language teaching, interactive language leaning and application, teaching, engagement in teaching and independent learning, aiming at improving students' abilities of cognition, language and communication.

**Index Terms**—experiential translation teaching, experiential foreign languages teaching, multimedia network

In 2004, the Ministry of Education of China promulgated the "College English Curriculum Requirements (For Trial Implementation)" (2004) which marks the beginning of a new round of college English teaching reform. One of the most important parts of this reform is to vigorously promote the application of information technology in college English reform, seeking to use the new teaching model nationwide. "College English Curriculum Requirements" (2007) specified that the goal of college English teaching is to develop students' English language proficiency, so that they can communicate effectively in English in their future study, work and social interaction. English Teachers should apply a large number of advanced information technology into college English curriculum design, and develop and construct a variety of computer and network-based courses. Colleges and universities should improve the traditional teacher-centered teaching pattern, and put forward new tasks for teaching content and methods, which will make English teaching develop towards personalized, self-learning direction.

Experiential teaching method is a new teaching model based on this philosophy for the purpose of promoting students' initiative development.

## I. INTRODUCTION TO EXPERIENTIAL TEACHING AND LEARNING THEORY

"Experiencing" is the psychological and emotional phenomenon in the process of human's acquisition of knowledge and skills, and understanding of the objective world, and is also one of the basic problems of philosophy, aesthetics, education, linguistics, and many other disciplines. The study on experience can also explain and disclose the objective laws of human's understanding of the world.

In the early 1900s, J. Dewey (1938/1997), American educator, founded an educational movement based, at least in part, on the concept of “experience plus reflection equals learning”. It is here that the origins of experiential learning can be seen, with Dewey's recognition of the importance of experience and reflection in learning.

Experiential teaching is extensively based on psychology, linguistics, philosophy and pedagogy. According to Rogers (1969), learning can be divided into cognitive learning and experiential learning. The former is built on the behaviorist theory of "Stimulus-Reaction", by which learning is restricted by external force while the latter focuses on students' experience growth and combines learning with students' interest and will.

In 1984, David Kolb (1984) provided one of the most useful descriptive models of the adult learning process available: beginning from concrete experience, to observation and reflection, then to the formation of abstract concepts and generalizations, to testing concepts in new situations, the learning cycle has become the most influential of its kind and many others have accepted this model as the basic model for experiential learning.

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H. H. Stern (1992) stated experiential teaching was theoretically and enormously strengthened through the development of Krashen's second language acquisition theory, and that since the mid-1970s immersion has been increasingly recognized as a prime example of experiential language teaching.

David Nunan (2001) pointed out, there appears to be a philosophical shift from transmission model of education to an experiential model, which has taken root, and is having a profound effect on all aspects of the curriculum. According to him, "Experiential learning is the process knowledge is created through the transformation of experience. It lays in whereby exploring the processes associated with making sense of concrete experiences and the different style of learning that maybe involved."

## II. EXPERIENTIAL ENGLISH TEACHING AND LEARNING THEORY

Experiential English teaching derives from the experiential theory, reflecting the teaching philosophy of Constructivism. Experiential foreign language teaching theory believes that successful foreign language teaching should be that the learner is able to "wholeheartedly" plunge into the language learning activities to produce enjoyable feelings and positive attitudes in the process of activities, making learners feel the joy and achievement of learning to reach into the enhancement state with "cognitive objects" and enhance the cognitive level of the "object". The condition to realize this state is that teaching activities must create a language learning ecological and humanistic environments to conform to the positive experience, that is, a "harmonious" learning environment and condition will be provide by the teaching hardware, technical means, teachers' teaching activities and organization styles to meet the learners' positive mentality.

### A. *Theory of Constructivism*

The theoretical basis of Experiential English teaching theory is the theory of Constructivism (He, 1997; Kong, 2003). The theory of Constructivism holds that learning is not a simple knowledge transfer from teachers to students, but the learners' individual self-knowledge construction process. Constructivists regard the process of learning as a positive and active process, emphasize taking students as centre. It highlights students' subjectivity and autonomy in meaning construction, in which students are transformed from passive recipients by external stimulation and instill object of knowledge into the main body of information discovery and processing by active participation and the active constructor of meaning. Teachers' role is transformed from imparting and instilling knowledge into organizing, instructing and helping students' study (Feng & Cai, 2009). In the view of constructivist, learning is a constructive process in which the learner is building an internal illustration of knowledge, a personal interpretation of experience. This representation is continually open to modification, its structure and linkages forming the ground to which other knowledge structures are attached. The process of the construction is two ways. One is that learners construct the meaning of present things to trace the given information; the other is that the original knowledge is not simply taken out unchangeable, but constructed according to the variation of concrete situation. Learning is an active process in which meaning is accomplished on the basis of experience.

### B. *Experiential Foreign Language Teaching*

Experiential foreign language teaching model regards the learners' gaining positive psychological experience as the driving force and orientation feature; scenarios, interaction, task or project, cooperative learning as the main methods. This new foreign language teaching model makes more use of the modern information technology to integrate foreign language teaching resources, builds the ecological environment of second language acquisition, creates the humanistic environment of foreign language learning, in which learners acquire language communicative competence through the mechanisms of experiential learning, such as engagement, enjoyment, enhancement and environment. "Engagement" means the students are no longer the objects of teaching, who simply "obtain" knowledge of foreign languages, but are the main body of teaching, who actively participate in the "acquisition" of language communication competence. "Enjoyment" refers to that the process of foreign language acquisition must be realized in state that the learners could feel enjoyable. "Enhancement" means when learners soul into learning, integrating the mood, thinking, ideas with the language content to form the state of spiritual enhancement. Only in this state, are the ideal conditions for the success of second language acquisition. "Environment" is the depending condition of the experiential mechanism of foreign language teaching. Foreign language teaching and learning environment refers to the language learning ecological environment and humanistic environment. The language learning ecological environment is consisted of the hardware environment of foreign language teaching resources, including different forms of materials, corpus resources, teaching scenes, teaching equipments, etc. The humanistic environment is consisted of by foreign language teaching modes, teaching methods, interpersonal association features in teaching, which is mainly reflected in the adoption of foreign language teaching methods, such as "cooperative learning", "teamwork" and "mutual learning".

Making full use of modern information technology, integrating abundant foreign language teaching resources, build the simulated ecological language environment to support the elements of "engagement" and "enjoyment" and "Enhancement" and the humanistic environment beneficial to interactive learning, and innovate teaching method, we can achieve the teaching objectives set by the experiential foreign language teaching mode (Liu, 2011).

The most prominent features of experiential foreign language teaching are that it focuses on students' feelings in foreign language learning, and strengthens the motivation of language learning, creates a language learning ecological



language and humanistic environment conducive to independent learning. Therefore, it is a new foreign language teaching mode integrating era, humanities and scientificity, in which the connotation of experience is focused on the feelings of the learners in the learning process. How to motivate, maintain, and enhance students' motivation to learn is the purpose and significance of experiential foreign language teaching.

The core of experiential of English teaching is to learn the language skills, which provides students with the opportunities and conditions of knowledge conversion and comprehensive application of language skills. Experiential English teaching aims at make communication in language teaching authentic and the classroom socialized. This teaching mode makes use of the "task" in language learning to enable students to engage in communicative activities to achieve a specific goal. This task-based teaching mode lets students "learn in doing" and "practice focusing on application" (Kohonen, 1992), therefore it is conducive to the development of language skills.

From the learners' point of view, the experiential learning process is implicit learning. Ellis equates implicit learning to unconscious learning, that is the learners do not realize when, where and what they are learning, and the knowledge is accumulated gradually. How to use language used relies on the learners themselves to experience, induce and percept (Ellis, 1994).

### III. EXPERIENTIAL TRANSLATION TEACHING UNDER MULTIMEDIA NETWORK ENVIRONMENT

#### A. Necessity of Experiential Translation Teaching

After the introduction of experiential teaching theory, it has been applied to many fields such as psychology, education, and so on. In 1960s, the United States began implement experiential teaching on a large scale; the overall quality of students has been greatly improved. In 1980s experiential teaching theory was introduces to Japan to start education reform. In China this theory began to receive attention in 1990s, which has been studied by many scholars from different angles in recent years. Most of the scholars mainly study the its theories and how to apply it to college English teaching.

Colina (2003) thinks that translation teaching should be student-centered, that is we must attach importance not only to students' reaching the standard at every stage, but also to the laws and characteristics of students' cognitive and thinking development while organizing and compiling the teaching materials. Therefore, experiential teaching should be implemented in foreign language teaching, and translation teaching is an important part of foreign language teaching, so the implementation of experiential teaching (experiential translation teaching) has become an inevitable trend in the teaching of translation.

#### B. Experiential Translation Teaching Principles under Multimedia Network Environment

##### a. Principle of Environment

To create ecological and humanistic environment is the important objective, principle and basis of experiential foreign language teaching, and is also the prerequisite of other experiential foreign language teaching principles. Experiential foreign language teaching is to produce a positive learning environment in favor of creating the inner experience of learners in a full range. Therefore it is necessary to adapt to the learning needs and subjective feelings of learners, and provide an ecological language learning environment to create a harmonious humanistic learning environment for them.

The authenticity of the language learning environment means that the language, characters and atmosphere in teaching activities must highly fit with the communication scene. This principle requires teachers to use a variety of technical and non-technical means, such as audio and video digital technology, network technology, corpus or props, wall charts to enrich context elements, so as to make learners feel immersive.

Real-time refers to the interactive relationship between the learner and learning objects. Therefore, teachers should take into consideration how to create the conditions for learning feedback while designing the course, and make use of modern educational technology, such as networks, digital technology for learners to create learning situation interaction.

##### b. Principle of Engagement

Experiential foreign language teaching aims to provide students with more accessible opportunities of participation in learning. Active and effective engagement in learning is a necessary condition for "enjoyment" experience. The teaching tasks designed by the teaching organizers are to enable students to actually feel their own dominant positions, put students into language learning activities to the maximum, and create effective experiential effect. This kind of activity is designed to have a clear communication or learning objective, in which students can produce clear results of the activities. In the appropriate language learning ecological and humanistic environment, learners are able to maximize the engagement in the task of language learning, and complete the tasks in equal, friendly, consulting and independent atmosphere.

##### c. Principle of Enjoyment

The positive experience of experiential foreign language teaching and learning activities are always closely related to the "enjoyment" of the students. Without bringing students enjoyable learning, they would be difficult to stimulate, maintain and enhance learners' interests. Learners will not only enjoy the ownership feelings in the learning process, but also the "enjoyment" brought about by their own learning values. The teaching designers must be good at making

learning "challenge" converted to students' interest rather than the barriers to retreat. Only facing the challenge in the "enjoyment", could the necessary conditions be created to integrating the "enhancement" of subject and object.

#### ***d. Principle of Enhancement***

On the basis of the ideal language learning environment, experiential foreign language teaching aims to make the learners get an enjoyable experience, continue to experience until succeed, and have a positive evaluation of their own learning process and results, thus they can achieve the enhancement with learning object and eventually achieve the goal of teaching and learning. The responsibility of teaching organizers is to provide "frame" for the learner, help learners to reach the height that they can not get by their own power to complete the task they can not complete by their own strength. Teachers help learners to experience "success", to enhance their learning autonomy and self-confidence, so as to build a continuous learning dynamical system.

### ***C. Approach to Experiential Translation Teaching under Multimedia Network Environment***

According to Qian Chunhua (2011), the core entries of experiential teaching include (1) situational experiential: trying to imitate the situation in the teaching content; (2) fact restoring: restoring abstract knowledge into facts; (3) autonomous learning: achieving learning objectives through students' independent analysis, exploration, practice, questioning, and creation; (4) active engagement: students actively learn and engage; (5) interactive leaning and application: applying the language while learning, and vice versa; (6) the application of entertaining into teaching: regarding learning as an interesting recreational activity.

Translation teaching is an activity with definite purpose. First of all, teachers should enhance students' cognitive thinking skills, such as intuition, concept and logical reasoning and information processing abilities; then the language skills including language knowledge, expressing skills and language perception; finally the interpersonal skills including language for language receptive ability, creativity and associative thinking ability. Therefore, in order to enhance students' cognitive ability, language ability and communicative skills, experiential translation teaching focuses on situational teaching, interactive learning and applying, teaching participation and independent learning.

#### ***a. Situational Language Teaching***

Situational approach in translation teaching means that in the translation classroom, teachers purposefully introduce or create vivid source language context with emotional color and image, lead the students into the context of translation materials, so that they can deeply understand writer's mental state which will stimulate their creativity and imagination to help them to effectively complete translation tasks, and to further enhance their translation capabilities. The specific forms of situational translation teaching include vivid language description, curricular games, role-playing, poetry readings, music, films and so on. For example, teachers can organize students to practice translating the classic lines in the English films in the classroom, in order to exercise students to practice translation in the specific movie plot, and let them gain the Western historical and cultural background knowledge.

The core of situational approach is to stimulate students' emotions, to enable students to think, discuss, and cooperate facing the situation restored, truly feel the feelings and ideological formation and exchange under teachers' guidance. In this case, students will actively participate in the tasks, establish the target to match their own needs, unwittingly become involved in the activity, and psychologically withdraw antagonism with the teachers to reach the state of unification of consciousness and activities.

#### ***b. Interactive Language Learning and Application***

Students obtain knowledge in the context, and apply the knowledge learned into the context. Interactive Language Learning and Application is a concept which is shifted from one-way imparting to interactive two-way experience, and is the core idea of constructivism. Traditional translation teaching is still spoon-feeding teaching. Teachers impart knowledge in accordance with the established teaching mode, which lacks the place, time and opportunity to apply knowledge to solve practical problems, although a lot of knowledge is taught. In this way, students do not know what language should be the most appropriate, most able to express their ideas in a real environment. Therefore, Teachers should let learners come to realize that language learning is a step-by-step process through practical application, and should increase the opportunity to practice in teaching and learning, guide students to construct knowledge in practice. Students often lack systematic and logical cognition of the knowledge, so teachers should play an important role in the classroom training to guide students to process the translation information and organize language effectively to improve completely in language cognition and communication.

#### ***c. Engagement in Teaching***

Teachers should let students actively engage in the teaching and learning process, whose role will be transformed from passive learning to active learning. In translation teaching, teachers will design teaching content according to students' actual needs and aspirations, so that they will truly feel the real fun of being the master of learning, and the happiness of exploring the common knowledge with teachers and other students. This teaching method encourages students to actively participate in the teaching process, which can enhance the exchange of information between teachers and learners to enable them to deeply understand and master the knowledge, and to apply the knowledge into practice.

Students are involved in designing teaching and learning targets and progress, which plays incentive role for the completion of the target. They are encouraged to actively develop various thinking strategies in the translation process, and to learn in solving the problem continuously. Teachers should guide students to increase their emotional input,

stimulate their intrinsic motivation, so that they can gain emotional experience and deep understanding of knowledge, and master translation skills gradually unobtrusively and imperceptibly. Teachers should also help students to self-monitor in the practice of translation; raise questions and construct knowledge in alternately spiral rising.

#### **d. Independent Learning**

Students should achieve their learning objectives by independent analysis, exploring, practice, questioning, and creating. In teaching activities, teachers' and students' roles are reversed. Before experiential, students should carefully prepare for the topics and presentation, organize the materials, seriously carry out the self-assessment and peer assessment after the presentation, and teachers should summarize.

This experiential method enables students in high spirits, make classroom atmosphere active, to enable students to experience the joy in learning English, and truly become the main part of learning English. This teaching model is bound to improve the efficiency of classroom teaching and independent learning ability by combining traditional classroom teaching with the network self-learning. Teachers should not only teach students the language knowledge and skills, but also pay more attention to cultivate their abilities of using the language and self-learning to effectively promote students' independent learning capabilities. The learning environment for students should be optimized to form three-dimensional network programs, and construct English-Chinese Translation Corpus and translation network teaching platform.

#### **D. The Role of Learners and Teachers in Experiential Translation Teaching under Multimedia Network Environment**

Experiential teaching requires teachers to play multiple roles. Firstly, teachers, as lectures, should impart language knowledge (resources). Secondly, teachers, as organizers, should create English communication environment for students, and organize students to fulfill the tasks. Thirdly, teachers, as facilitators, should induce students to complete learning tasks and goals through active learning. Finally, teachers, as mentors, should give their assessment of each student for each unit of learning, and point out their deficiencies, so that they can improve in learning.

The status of students changes from passive recipients into active constructors of knowledge meaning. Students can take the initiative to learn, and the contents of textbooks once imparted by teachers change into students' independent learning, in which students make full use of learning resources provided by the network to compensate for the limitations of knowledge and teaching materials. They become responsible, reflective and creative learners. The knowledge provided by the textbook is no longer the content taught by teachers, but students' object of the active meaning construction. Media is no longer a means, and method to help teachers to impart knowledge, but is used to create scenarios for collaborative learning and session exchanges, namely, as cognitive tools for students' active learning and collaborative exploration.

### **IV. CONCLUSION**

The traditional teacher-centered teaching model can not satisfy the college English teaching objectives. With development of modern information technology, it requires universities to make use of multimedia and network technology in the new English teaching mode.

The fundamental difference between experiential translation teaching and traditional translation teaching lies in that the former emphasizes the learner-centered independent learning, while the latter emphasizes the teacher-centered knowledge transfer. Experiential learning emphasizes on learning from direct experience, and emphasizes that the learners act on their autonomous learning. The essential characteristics of experiential translation teaching are in line with students' cognitive learning law. Experiential translation teaching under multimedia network environment promote a combination of classroom teaching and independent learning, and adopt modern educational technology, i.e. combine networks, computers with classroom teaching, emphasizing the use of a variety of information resources to support learning, simulating and designing a virtual English communication environment to develop students' independent learning and communicative learning.

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# Language Learning Strategies and Vocabulary Size of Iranian EFL Learners

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**Abstract**—The present study aimed to determine the relationship between language learning strategies and vocabulary size in Iranian EFL learners. Therefore, 150 Zoha English Language Learners were given Oxford university and Cambridge university placement test. Oxford strategies inventory for language learning (SILL) were used, as well. According to Brown (2000) taxonomy, three classification of strategies as metacognitive, cognitive, social/affective strategies were included in the present study. Besides, Vocabulary Size Test based on the Norbert Schmitt's test, to measure the vocabulary size by assessing the learners' basic knowledge of common meaning of words in order to the relationship between language learning strategies and vocabulary size would be distinguished. After the data have been elicited, the results were statistically analyzed by using SPSS software. The statistical study of the three proficiency levels manifest that the mean and standard deviation of metacognitive strategy is the most frequently used among others. It is also, understood that the employment of F-Test demonstrates that advanced proficiency level learners use the language learning strategies more than others. Furthermore, it is proved that advanced level learners have higher vocabulary size in relation to other proficiency levels. The findings of present study will be advantageous to English language teachers to develop effective vocabulary teaching and to provide learners with variety of successful language learning strategies.

**Index Terms**—language learning strategy, vocabulary size

## I. BACKGROUND

Learning a second or foreign language requires the manipulation of four main skills, namely, listening, reading, speaking, and writing which lead to effective communication. It is obvious that vocabulary is an indispensable part of any communication, so without a vocabulary, no meaningful communication can take place and meaningful communication relies heavily on vocabulary. One fundamental factor is the amount of vocabulary an individual possesses. Therefore, vocabulary forms the meaningful part of any language (McCarthy, 1988; as cited in Hamzah, Kafipour, & Kumar Abdullah, 2009).

Vocabulary is the group of words that a person or a group of people knows how to use. Your vocabulary is all the words you know and use regularly. Vocabulary is a group or stock of words used in a particular way by a certain group of people regarding their language. It is important and it is vital to communicate with others and understand what one is reading. It is obvious that information, which is known as a language-based activity, is fundamentally and profoundly dependent on vocabulary knowledge. Learners must have access to the meanings of words that teachers, their surrogates, other adults, books or films use to guide them into contemplating known concepts in novel ways in order to learn something new.

Second language (L2) acquisition depends crucially on the development of a strong vocabulary. In second language acquisition (SLA), a sub-discipline known as second language vocabulary acquisition (SLVA), researchers have focused their attention on the need for second language learners to optimize their vocabulary knowledge (Singleton, 1999; Schmitt, 2000). Over the years, estimates of student vocabulary size have varied greatly, hindered in part by issues such as the types of vocabularies being considered (e.g., receptive/ productive or oral/print).

It is evident that vocabulary is indispensable for successful communication in any language. The question is addressed which specific part of the target lexicon should be presented to language learners at what stage and it is followed by a short summary of how word knowledge has been defined in the SLA literature. Consequently, the focus of attention changed from acquisition to vocabulary assessment. The familiarity of learners with learning strategies has

been emphasized as a facilitating factor in the process of language learning. Besides, as regards second or foreign language learning, many researches have been done in order to deal with language learning strategies (LLS). These researches had a feasible goal, was the identification of the ways of enhancing the language learner to become more self-directed, resourceful, effective, and flexible in their learning. Consequently, the invaluable importance of learning strategies has been emphasized as a rudimentary factor in order to overcome the difficulties of L2 learning (O'Malley & Chamott, 1990; Weinstein et al, 2000; Hall, 2000).

Moreover, the acquisition of vocabulary has been emphasized in the second language pedagogy and research. Consequently, the neglected concept of vocabulary has been shifted to the position of some significance. As well as the familiarity of language learning skills, the development of vocabulary knowledge has been emphasized as a fundamental factor in order to deal with all learning processes. Learners are encountered with various vocabularies in different texts, so the fear of unknown vocabulary has threatened learners as big hindrance in the process of L2 learning. The appropriate meaning of a word in a given context can be regarded as a dimension of vocabulary knowledge, so its increase raises the vocabulary size of the learner.

Based on the ideas discussed above, it is crucial to be aware of how learners adopt the strategies effectively with vocabulary size. Thus, the principal focus of present study is to examine which language learning strategies are effective for the learners' use and how the usefulness of vocabulary size is linked in order to help teachers to design lesson plan and to construct feasible instructions so that effectively support learners' competence in English language.

## II. METHOD

### *Participants*

The present study was conducted at Zoha English Language Center. A total of 150 EFL learners, 47 males and 143 females, within the age range of 15 - 32 participated in the study. All participants were from Interchange Intro level up to TOEFL level. These learners were considered as consistent learners of the center. They were involved in an English language program at Zoha Center during the Fall 2011 semester.

TABLE 1  
CHARACTERISTICS OF THE PARTICIPANTS

Number of the participants	150
Age range	15-32
General English proficiency level	Elementary, Intermediate, Advanced
Sex	Females & Males

### *Instrument*

An already determined standard placement test of Oxford university and Cambridge university (2001, version 1) was used to divide the participants into elementary, intermediate, and advance proficiency levels. This instrument included 60 multiple-choice question, cloze comprehension passage, vocabulary, and grammar sections.

Another instrument, which was applied in the present study, was the Strategy Inventory Learning (SILL, Version 7). Besides, some background information questions about the learners' age, gender, name, and proficiency levels were included. The SILL was used to ascertain the frequency of students' uses of language learning strategies.

Regarding the content validity of the inventory, Oxford and Burry- Stock (1995) state that the content validity of the instrument was determined by professional judgment and it is found to be very high.

Although the version SILL 7 includes 50 questions and 6 subscales, in the present study due to some infeasibilities 'only 35 questions and 3 subscales as metacognitive (items 15-23), cognitive (items 1-14), and social/ affective strategies (items 24-35) were included.

The following numbers indicates how often the learner uses the strategies.

Never or almost never true of me = 1

Generally not true of me = 2

Somewhat true of me = 3

Generally true of me = 4

Always or almost always true of me = 5

The participants were required to write their answers on a separate answer sheet. Having all the answers completed, the values assigned to each item in each section were added. Then, they were divided into the number of items in each part. The same procedures were repeated for each section and values ranging between 1 to 5 were obtained. These values demonstrate the profile of a learner. That is, the strategies used by learners and their frequency. Due to the high accessibility of SILL which was achieved in previous studies such as Bobko (2001), and Litwin's (1995) Cronbach alpha was .82, so the reliability of the test is acceptable. Thus, the test is a reliable instrument to estimate students' English Language strategies. Another study was done by other researchers who, proved the accessibility of the SILL test by using internal consistency reliability of the SILL as .94 based on a 505-person sample (Yang, 2010) and .92 based on a 315-person sample (Watanabe, 1990). Content validity is .99 based on independent raters (Oxford & Burry-Stock, 1995).

The second tool, which was used in the present study was Schmitt's vocabulary learning strategy questionnaire adopted from Bennet (2006) with a reliability coefficient of 0.78. Another study was done by Ozdamar (2002), who used Cronbach Alpha. According to his findings, the reliability of each item was high ( $\text{Alpha}=0.8851$ ).

The SILL has been translated into several languages such as Persian, Japanese, Spanish, Turkish, and Chinese. Therefore, in the present study, the translated version of SILL was used for elementary level learners. In the present study, the vocabulary level test was used to find out the size of vocabulary items. The test was designed by Norbert Schmitt (2008, version 2). Schmitt (2001) wrote three new forms of the test following the original specification by taking fresh samples of words for each level. Its utility has been proved for diagnostic vocabulary teaching and has been widely used and validated by different researchers (Laufer & Nation, 1995; Laufer and Nation 1999; Laufer, 1998; Lufer and Paribakht, 1998). Meara (1996) calls it the nearest thing we have to standard test in vocabulary. Vocabulary size testing has been found to be a useful tool in diagnostic or placement exams. It can discriminate between groups of learners (Meara, 1996) and aid in admissions (Laufer, 2003), as well as help in placing students into appropriate institutional placement levels within a program (Laufer & Nation, 1999). The format of the test involves word definition matching exercise. Although, this test is regarded as a standard practice, it is the words that test takers need to match to the definitions provided. That is, definitions rather than words comprise the test items. This unconventional format was designed in order to involve as little reading as possible while at the same time minimizing chances of guessing correctly (Read, 2001).

Each frequency level of the test consisted of six words and three definitions. Testees were required to match target words with their corresponding definitions as demonstrated below:

- |            |                                     |
|------------|-------------------------------------|
| 1 business | .....6...part of a house            |
| 2 clock    | .....3...animal with four legs      |
| 3 horse    | .....4...something used for writing |
| 4 pencil   |                                     |
| 5 shoe     |                                     |
| 6 wall     |                                     |

As indicated above, there were 3 words to be selected by the students. Test-takers need, however, to know 6 words because they should check every word against the definitions in order to make correct matches.

### III. FINDINGS

Three types of learning strategies as cognitive, metacognitive, and social/affective strategies were included based on Brown's (2000) taxonomies of learning strategies. In order to focus on three categories of SILL, the researcher adopted descriptive statistics to explore the mean, standard deviation, range, minimum, and maximum of scores of each item of SILL. Therefore, table 2 presents the descriptive statistics of results.

TABLE 2  
SUMMARY OF DESCRIPTIVE STATISTICS BETWEEN LANGUAGE LEARNING STRATEGIES AND VOCABULARY SIZE

		cognitive	metacognitive	Social/Affective	LLS	Vocabulary size
N	Valid	149	148	149	148	149
	Missing	0	1	0	1	0
Mean		28.5839	46.3176	21.2483	96.2027	21.7584
Std. Deviation		5.38027	9.17111	5.42629	16.72708	6.39114
Skewness		.182	-.346	-.650	-.251	-.747
Std. error of skewness		.199	.199	.199	.199	.199
Range		29.00	47.00	26.00	83.00	26.00
Minimum		14.00	20.00	4.00	49.00	4.00
Maximum		43.00	67.00	30.00	132.00	30.00

Table 2 demonstrates the most and least frequently used strategies in EFL learners. The results are expressed as mean  $\pm$  SD ( $n=149$ ). According to the descriptive findings of the survey, the first variable is the cognitive strategy of the learners ( $28.58 \pm 5.38$ ). Besides, its range, minimum, and maximum scores are respectively 29, 14, and 43. Furthermore, the second variable is metacognitive strategy of the subjects ( $46.31 \pm 9.17$ ). Besides, its range, minimum, maximum scores are respectively 47, 20, and 67.

In addition, Table 2 shows social/ affective strategy of the learners with a mean of 21.24, and standard deviation of 5.42. Besides, its range, minimum, maximum scores are respectively 26, 4, and 30. Table 2 indicates that the mean score of language learning strategy among learners is 96.20, and its standard deviation is 16.72. Besides, its range, minimum, maximum scores are respectively 83, 49, and 132. Table 2 manifests that the mean of vocabulary size among learners is 21.75, and its standard deviation is 6.39. Besides, its range, minimum, maximum scores are respectively 26, 4, and 30. The results elicited from the survey illustrate the most and least frequently used strategies respectively as metacognitive and social/ affective strategies.

TABLE 3  
THE PEARSON CORRELATION BETWEEN LANGUAGE LEARNING STRATEGIES AND VOCABULARY SIZE

		LLS	Vocabulary
LLS	Pearson Correlation	1	.461(**)
	Sig. (2-tailed)	.	.000
	N	148	148
Vocab Size	Pearson Correlation	.461(**)	1
	Sig. (2-tailed)	.000	.
	N	148	149

\*\* Correlation is significant at the 0.01 level (2-tailed).

The relationship between scores of language learning strategies and vocabulary size of learners, was determined by the Pearson correlation coefficient. The information of table 3 demonstrates that,  $p < 0.05$  is significant level, so between two variables there are direct and significant relationship. Data in table 4.17 shows that  $R^2 = 0.21$ , so based on the regression plot %21 of the changes observed in the subject vocabulary size could be predicted by LLS in different proficiency levels.

TABLE 4  
THE PEARSON CORRELATION BETWEEN LANGUAGE LEARNING STRATEGIES AND VOCABULARY SIZE IN ELEMENTARY LEVEL

		LLS	Vocabulary size
LLS	Pearson Correlation	1	.238(*)
	Sig. (2-tailed)	.	.031
	N	83	83
Vocabulary size	Pearson Correlation	.238*	1
	Sig. (2-tailed)	.031	.
	N	83	83

\* Correlation is significant at the 0.05 level (2-tailed).

The relationship between scores of language learning strategies and vocabulary size of learners, in elementary levels was determined by the Pearson correlation coefficient. Table 4 demonstrates that since  $p < 0.05$ , so there is statistically significant relationship between two variables. Table 4.18 shows that since  $R^2 = 0.06$ , therefore, based on the regression plot 6% of the changes observed in the subject vocabulary size could be predicted by LLS in elementary levels.

TABLE 5  
THE PEARSON CORRELATION BETWEEN LANGUAGE LEARNING STRATEGIES AND VOCABULARY SIZE INTERMEDIATE LEVEL

		LLS	Vocabulary size
LLS	Pearson Correlation	1	.093
	Sig. (2-tailed)	.	.613
	N	32	32
Vocab Size	Pearson Correlation	.093	1
	Sig. (2-tailed)	.613	.
	N	32	33

The relationship between scores of language learning strategies and vocabulary size of learners, in intermediate levels was determined by the Pearson correlation coefficient. Table 5 demonstrates that there is not statistically significant relationship between two variables ( $p > 0.05$ ). Data in table 5 shows that since  $p = 0.61$ , there is not direct and significant relationship between language learning strategies and vocabulary size of intermediate learners.

TABLE 6  
THE PEARSON CORRELATION BETWEEN LANGUAGE LEARNING STRATEGIES AND VOCABULARY SIZE

		LLS	Vocabulary size
LLS	Pearson Correlation	1	.147
	Sig. (2-tailed)	.	.414
	N	33	33
Vocabulary size	Pearson Correlation	.147	1
	Sig. (2-tailed)	.414	.
	N	33	33

The relationship between scores of language learning strategies and vocabulary size of learners in intermediate levels was determined by the Pearson correlation coefficient. The information of table 6 demonstrates that,  $p > 0.05$  is significant level, so between two variables there aren't direct and significant relationship. Data in Table 6 shows that since  $p = 0.41$ , there is not direct and significant relationship between language learning strategies and vocabulary size of advanced learners.



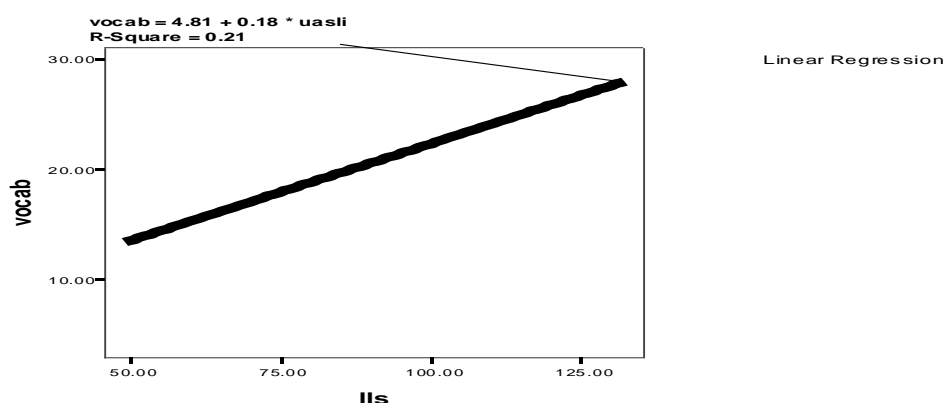


Figure 1 Correlations between language learning strategies and vocabulary size

#### IV. DISCUSSIONS

##### *Metacognitive Strategies*

It is obvious from the results that this group of strategies is more frequently used among the other categories of strategies. Learners use 'pay attention when someone is speaking English' (item number 32) at 62.7%, then they use 'I think about the progress in learning English' (item number 38) at 61.2%, they apply 'try to find out to be a better learner of English' (item number 33) at 60.5%, they use 'notice my English mistakes and use that information to help me do better' (item number 31) at 59.2%, they apply 'try to find as many ways as I can use my English' (item number 30) at 54%, they use 'have clear goals for improving my English skills' (item number 37) at 53.6%, they use 'look for opportunities to read as much as possible in English' (item number 36) at 53.4%, they 'look for people I can talk in English' (item number 35) at 53.2%, they use 'plan my schedule so I will have enough time to study English' (item number 34) at 51.9%. These findings manifest that learners have used a higher level of Metalinguistic awareness. Meta linguistics knowledge is considered as a term to express executive function, strategies which require planning for learning, thinking about the learning process as it is taking place, monitoring of one's production or comprehension and evaluating learning after an activity is completed (O'Malley 1985).

The results of relationships between metacognitive strategies and vocabulary size illustrate that the advanced learners use higher vocabulary size, in contrast their pairs with other levels, the elementary level use the least vocabulary size. Therefore, those advanced learners who have higher proficiency of the target language applied metacognitive strategy more than others. The majorities of successful learners who usually have definite goals for learning and stronger capabilities of self-monitoring, self-management, and self-evaluation than unsuccessful learners have better ability to plan their learning carefully, monitor their learning processes, and evaluate their accomplishments frequently.

##### *Cognitive Strategy*

The results manifest that the learners, 'first skim an English passage (read over the passage quickly) then go back and read carefully' (item number 18) at 56.1%, they 'start conversations in English' (item number 14) at 52.1%, they use 'make summaries of information that I hear or read in English' (item number 23) at 51.3%, they apply 'try to talk like native English speakers' (item number 11) at 51.2%, they 'start conversations in English' (item number 14) at 52.1%, they use 'say or write new English words several times' (item number 10) at 49.8%, they apply 'practice the sounds of English' (item number 12) at 49.8%, they 'use the English words I know in different ways' (item number 13) at 49.2%, they use 'write notes, messages, letters, or reports in English' (item number 17) at 49%, they 'try not to translate word for word' (item number 22) at 48.1%, they use 'watch English language TV shows spoken in English or go to movies spoken in English' (item number 15) at 47.5%, they use 'read for pleasure in English' (item number 16) at 40.2%. The results manifest an idea about the learners' choice of strategies which are surface strategies that did not require an immense effort and did not help an effective learning. By considering the differences in using various kinds of cognitive strategies between advanced learners and elementary learners on vocabulary size, significant differences can be understood.

That is, advanced learners who like to use deep processing information such as gathering more vocabularies by improving English learning through summarizing, speaking, reading, and writing English which require more time and effort, so can be regarded as time consuming and longitude task. However, their pairs who are intermediate and elementary level learners with lower vocabulary size, process the task superficially not deeply (Schmitt, 1993). Consequently, these kinds of learners tend to use surface strategies more frequently than deep strategies. Therefore, it could be understood that the advanced learners with higher vocabulary size applied cognitive strategies more frequently than the intermediate and elementary learners with lower vocabulary size.

##### *Social /Affective Strategies*

The results of the study illustrate that the frequency of the social/affective strategies among learners is different. They use the strategy 'If do not understand something in English, I ask the other person to slow down and say it again' (item number 45) at 59.1%, they 'ask English speakers to correct me when I talk' (item number 46) at 55.2%, they 'try to learn about the culture of English speakers' (item number) at 53.8%, they 'ask question in English' (item number 49) at 52.7%, they 'encourage myself to speak English even when I am afraid of making a mistake' (item number 40) at 51.3%, they 'ask for help from English speakers' (item number 48) at 48.5%, they 'talk to someone else about how I feel when I am learning English' (item number 44) at 45.6%, they 'give myself a reward or treat when I do well in English' (item number 41) at 42.6%, they 'write down my feelings in a language learning dairy' (item number 43) at 35.4%. Therefore, the results of study demonstrate that the learners who use the affective/social strategies might be more aware of this strategy taxonomies and its importance, know better how to efficiently regulate their emotions and have tendency to deliberately look for opportunities in order to interact and negotiate as co-constructed or mutual actions with target language users communicatively so that improve their proficiency of the language (Stern, 1983). Therefore, advanced learners who have higher vocabulary size, like to employ social/affective strategies more than intermediate and elementary learners.

The present study tends to illustrate the application of language learning strategies and their relation with the vocabulary size. The results disclose that the learners use various kinds of strategies. They apply metacognitive strategies more often than all the other types of strategies in order to monitor and evaluate their process of learning. They also utilize cognitive strategies, which have a direct influence on the processing of information. They use the social affective strategies in order to interact and negotiate bilaterally with other English speakers.

The advanced learners with higher vocabulary size use particular strategies more than the intermediate and elementary learners with lower vocabulary size. They monitor their process of learning, utilize an image or picture to remember the word, and try to talk with English native speakers. Besides, the learners are instructed in order to use language-learning strategies appropriately in a given context.

The frequencies of the strategy use across various levels of language learners revealed that there are statistically significant variations among the proficiency levels and language learning strategy use. By comparing means of different levels as advanced learners with ( $M=112.48$ ) intermediate learners with ( $M=94.59$ ), and elementary learners with ( $M=90.34$ ), it is manifested that the advanced learners use language learning strategies more than other levels. Therefore, there is a positive relationship between the frequency of strategy use and the language proficiency. Nevertheless, not all L2 strategy-training studies have been successful or conclusive. Some training has been effective in various skill areas but not in others (Oxford, 1989). As Chamot and Kupper (1989) assert, high proficiency learners know how to use appropriate strategies to reach their learning goals, while low proficiency learners are less expert in their strategy use and choice. Oxford (1985) claims that successful language learners use a wide range of strategies that are most appropriate for their learning tasks.

Yang (1994) states that perceived proficiency levels have a significant effect on students' use of learning strategies. The better students perceive their language proficiency, the more often they use various learning strategies to assist them in learning English. The great significance of vocabulary knowledge has been considered by second language researchers (Laufer & Nation, 1999). Since the important role of vocabulary knowledge as a component of every language in communication, reading, speaking and other aspects of language learning, estimation of vocabulary size is considered as a great interest by many researchers. Over the years, the vocabulary size has been studied in order to clarify the concept of people's vocabulary size (Warning, 1997).

In the suggested research question of present study, it was intended to find out the relationship between vocabulary size and proficiency level of EFL learners. By using ANOVA or F-TEST, it is manifested that the  $P < 0.05$ , so the relationship between vocabulary size and proficiency level is highly significant. Zareva (2005) also stated that the important factor in language learning is the relationship between vocabulary size and proficiency level. Therefore, the result can be supported by other researches that the more extensive one's vocabulary size, the higher their language proficiency will be (Nation, 2001). It was a little surprising that significant correlation was found between the vocabulary size and the language learning strategies in advanced, intermediate, and elementary levels.

The Pearson Correlation test was used in order to find out the relationship between vocabulary size and language-learning strategies. The results of such study manifested that in elementary level learners ( $P < 0.05$  and  $R^2 = 0.06$ ), so there is significant relationship between vocabulary size and elementary level learners. However, in intermediate and advanced levels it was observed that  $P > 0.05$ , therefore, there weren't significant relationship between vocabulary size and language learning strategies of intermediate and advanced levels. At this part of the study, the researcher is supposed to reply the following hypothesis: There is no relationship between language learning strategies and the vocabulary size of Iranian EFL learners. Therefore, the researcher would like to apply null hypothesis or non-directional hypothesis in order to answer the proposed hypothesis. The null hypothesis states that there is no relationship between items under investigation. The statistical task is to reject the null hypothesis and to show that there is a relationship between language learning strategies and vocabulary size.

In order to determine the relationship between the languages learning strategies and vocabulary size of the participants, a Pearson Correlation Test was used to analyze the data. One dependent variable (vocabulary size) was correlated with all the independent variables (metacognitive, cognitive, and social/affective strategies). The statistics

revealed that there is a significant relationship between language learning strategies and vocabulary size ( $p < .05$ ). Therefore, it can be understood that there is a positive relationship between languages learning strategies and vocabulary size. Therefore, the learners with higher vocabulary size use particular language learning strategies more than the learners with lower vocabulary size, so the more language learning strategies are used, the higher the vocabulary size become.

According to the results, the following pedagogical implications were provided. Unfortunately, some learners are not fully aware of the role of language learning strategies and vocabulary size in the process of second language learning. In addition, learning strategy is also a tool in empowering learners to make wise decision in terms of what to learn and how to learn. Moreover, some learners reported that they had not been informed about the existence of language learning strategies, so they were not able to use them. Consequently, teachers should help learners in order to cultivate and develop their awareness of language learning strategies. Besides, they should be informed about the appropriate use of learning strategies in the specific context and situation. Furthermore, the development of vocabulary size helps learners in order to deal with language skills more easily. Besides, it should be taken into consideration that vocabulary size is an indispensable tool in describing and explaining the development of foreign or second language learning. Furthermore, noticeable relationship in the utilization of language learning strategies and vocabulary size achieved by high proficiency learners should be taken into account.

With better understanding of concepts of language, learning strategies and vocabulary size, teachers and learners can better understand the situation of EFL learning. Moreover, by encouraging appropriate beliefs and providing effective instruction of language learning strategies according to learners' needs and situations, teachers can teach English more efficiently. In order to comprehend the learners' beliefs and attitudes about learning strategy and vocabulary size, some materials and methods can be used in the regular curriculum. For example, by using SILL and Schmitt's vocabulary level test in the classroom not only they could help teachers gather the information about learners' beliefs and their use of strategies, but also they could help learners in order to promote their awareness of their existing vocabulary size and learning strategies.

Learners are asked to deal with various tasks, so familiarity with language learning strategies can facilitate their process of learning and lead to better learning. Another implication of the present study is linked to the gap, which exists among different proficiency levels. That is, the fewer gaps among proficiency levels, the more language learning strategies and vocabulary size.

The present study found a significant relationship between language learning strategies and vocabulary size. Teachers should try to help learners to develop a positive belief and attitude towards learning strategies and vocabulary size as fundamental factors, which facilitate and flourish the English language learning. Besides, teachers should eradicate the negative beliefs and attitudes towards learning strategies and vocabulary size, which act as hindrance in the process of language learning.

Moreover, teachers should allow learners to become fully aware of their preferred learning strategies and specially help them become more responsible to meet their learning goals. That is, teachers are able to help learners become better language learners by training them in using the right strategies or appropriate strategies that suit their level. Training the learners with learning strategies, the objectives and goals could be achieved. Then, they will likely become more independent with exposure to the target language.

Due to the significant role of language learning strategies, it is expected that the attitudes of teachers and learners towards language learning and vocabulary size be up-dated. Furthermore, learners are asked to develop their scope of vocabulary size because of the significant relationship, which exists between vocabulary size and language learning strategies that lead to better learning of English language.

Finally, the goal of strategy training is for learners to be self-directed learners, so teachers must become knowledgeable about as many strategies as possible and introduce strategies which are not only related to the classroom situation but also considered authentic in real life strategies.

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# The Symbolism in *The Piano*

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**Abstract**—*The Piano* has been a classic of feminist film. Most scholars so far only studied this film from the perspective of feminism, while few people probed its symbolism involved in this film. In fact, in this film, the forest, the piano and the sea are all highly symbolic. These symbolic meanings not only clearly demonstrate the heroine Ada's spiritual journey in the process of her self salvation, but also greatly enhance the remarkable expressiveness of the film.

**Index Terms**—*The Piano*, symbolism, Ada

## I. INTRODUCTION

*The Piano*, directed by a woman director, is a film about a female's self salvation told from the perspective of a female (Zhou, 2010). Since its release in 1993, it has been a classic in feminist films. Most scholars in the previous researches only studied this film from the perspective of feminism (see Zheng, 2008; Zhou, 2011), while few people probed the symbolism involved in this film. This paper will analyze the symbolic meanings of the forest, the piano and the sea in the film, so as to make clear of the spiritual journey in the heroine Ada's self salvation process and the remarkable expressiveness of the film.

## II. THE FOREST

In the film, the forest is the background of the most of the story, but it is more than this. It has many shifting aspects, and plays a very important role in the process of Ada's self salvation.

The setting of the story is mid-Victorian times. During this period, though being treated with special courtesy publicly, women were still regarded as the lower class in the social life. According to Kate Millett, after the marriage,

Women lost the rights to the property they brought into the marriage, even following divorce; a husband had complete legal control over any income earned by his wife; women were not allowed to open banking accounts; and married women were not able to conclude a contract without her husband's legal approval. (Millett, 1999, p.109)

Some plots in the film demonstrate to the audients the extent of women being oppressed, for instance, at the beginning of the film, Ada's father arbitrarily marries her to a man she has never met before; later, Ada's new husband Stuart disposes at will the piano Ada brought from her home and so on.

Ada is a strange woman. She refuses to speak since age 6. "I have not spoken since I was six years old. No one knows why, not even me." The speculations about the causes of Ada's muteness are various. Perhaps she suffers from the "autism" (Zhu, 2003, p.66-69) when she was small, or perhaps there has been "a long-standing incestuous relationship between father and daughter" (Izod, 1996, p.117-136), we are given no evidence which would enable us to confirm or discredit speculation. However, symbolically, considering the historical context Ada lives in and the following plot development, we can translate her muteness as the silent resistance against the ridiculous and oppressive outside environment. As it is, Ada pursues freedom and equality for all her life.

Later, Ada tells us by voiceover that she is married by her father to a man she has never met before, which perhaps is a punishment by her father for having a baby girl out of the wedlock, in Victoria times, it should be a greatest outrage. And Ada submits to her father's will in this, maybe because it is a way to survive.

When coming to New Zealand by sea along with the two most important things in her life—her daughter Flora and the piano, Ada never expects that the structures of patriarchy have been imported wholesale from the homeland. In the face of her absolute refusal to abandon the piano, her new husband Stewart declares the instrument too heavy for his men to move, and leaves it on the beach. The abandoning of the piano produces an ineradicable rift in the relationship between Ada and Stewart; And Ada resists it by refusing him conjugal rights. But this is a desperate and risky stratagem because in Stewart's mid-Victorian New Zealand, men are the decision-makers in public issues, and within the confines of family, men also control the sexuality. Stewart, though deeply repressed in his sexuality, expects to be able to exercise his rights over his wife.

Ada's new husband's dwelling lies deep within the forest, which is gradually becoming a key image in the film. At first, the forest is presented through the newcomers' eyes, as a pathless maze of thickets, trees and mud. Through the boundless confusion, travelers must force their way as best as they can. Obviously, the forest here represents the formidable physical barrier that Ada encounters when first toiling through to reach her new home, which hints at the misfortunes and setbacks in her forthcoming life.

Later, Stewart's estate manager Baines falls in love with Ada. Unlike Stewart, who is handsome and wealthy, Baines, an illiterate white man, represents a distinct sub-type of the settler. Baines is a man who has "gone native" with his face tattooed with Maori markings. And he can speak Maori language and is more comfortable in their company than with his fellow expatriates.

Pitying her as she yearns for the piano, Baines buys the instrument from Stewart at the cost of an 80-acre land. (With marriage, ownership of even Ada's most treasured possession has passed to her husband.) Baines has it carried from the beach to his own house and restores to good order. He pretends to Stewart that he wants music lessons, but when Ada first comes to his house, quickly corrects Ada of any such idea. He wants to hear her play. During one lesson, Baines strikes a bargain with Ada by which she earns back one of the piano's keys for each visit and in return allows him to caress her as she plays. In order to get back the piano, Ada accepts the deal. Thus, the two people take the "piano lesson" in this unique way.

During the following days, in order to give Baines the music lessons, Ada finds her way through the forest. Seen through Ada's eyes, the forest gradually changes from being the formidable physical barrier, and it could be seen that there are pathways across the mud that lies deep around the encampment. Ada could walk around with less extreme difficulty. Her observance and exploration of the outside world gradually triggers that of her inner world. The primitive natural environment has a subtle influence on her, and it eventually becomes a mysterious expressions of her state of mind.

Although Ada remains outwardly unresponsive, with Baines' caresses becoming more intimate, something subtle gradually changes in Ada's heart. In a session, Ada suddenly finds Baines not present; she seems to feel something missing in the mind. So she pauses playing and gets up to look for Baines. Drawing apart the cloth curtain with curiosity, Ada finds Baines standing there in the nude. Ada instinctively gives out an exclamation but does not run out of the room like most girls usually would. Then Baines persuades Ada to lie beside him unclothed. Though with blank expression and stiff muscles, Ada does so as told.

After this incident, Baines abruptly brings the arrangement to an end, and decides to send the piano back to Ada, telling her, "The arrangement is making you a whore and me wretched. I want you to care for me, but you can't." By these words, Baines clearly tells Ada that what he wants is her love, not her body. And this incident finally makes Ada realize that only Baines can give her true love.

When her piano is installed in her husband's home, Ada walks uncertainly away from the house while Stewart directs Flora to play a tune. She aimlessly wanders in front of the door. The camera tracks with her until it settles on a shot of tree trunks, through which the eye could find no passage. Both the camera and Ada remain motionless. Ada is gazing into the forests which seem to submerge her. As we later understand, Ada has reached a crux in her inner life and has been lost in the middle of the soul's dark forest. As Marie-Louise von Franz notes, the forest is the place where all things grow, faced with some puzzling event, the heroines in the fairy tales usually have to withdraw temporarily into the woods and not go back into life.

From the outside it looks like complete stagnation, but in reality it is a time of initiation and incubation when a deep inner split is cured and inner problems are solved. This motif forms a contrast to the more active quest of the male hero, who has to go into the Beyond and try to slay the monster, or find the treasure, or the bride. (von Franz, 1993, p.106)

At this point, the forest is a highly symbolic image. It is a soul-curing and initiation place. It is in here, the deep inner split and inner problems in Ada get cured. Under the mysterious revelation of the forest, Ada makes the choice: she would listen to the need of her body and her soul. The next day, Ada gets rid of Flora's pestering and runs toward Baines's hut, seeking him out and leading him into love.

Yet the forest also takes on another image. There exists a contrast between the scenes outside Stewart's house and Baines's hut. Outside Stewart's house the trees are gray, withered and half dead. While around Baines' hut, the trees are green and prosperous, blending in with the surrounding forest. In any literature, wild forest is loaded with sexual symbolic meanings. The grey and half-dead trees outside Stewart's house symbolize his sexual impotency. In the film, Stewart, materialistic in nature, pays more attention to land and money than to Ada, which makes him unconscious of his sexual desires; this point is clearly demonstrated by his reaction to Flora's naïve sexual behavior.

Forced to find her own amusements by her mother's preoccupation with her own affairs, Flora begins to use the forest as a playground and a way of exploring the world. Her sense of the forest converges with her mother's in being an expression of her inner state of mind. After spying on her mother making love, Flora leads the indigenous children in a grotesque mimicry of making love to the trees, much to the amusement of the Maori elders. But in Stewart's eyes, she has defiled herself and the white community. He impresses this on her by making her whitewash all the trunks that the children have played with. It makes the trees look as though they were dying. In this guise the trees seem to be a metaphor for Stewart's emotional deadness.

Baines, however, treats his own sexual desires as naturally as the trees growing outside his hut. He believes that physical contact is the natural expression of love. In the process of pursuing Ada, his only method is caressing her affectionately in the piano music. Even when Ada is absent, Baines uses his underwear to wipe the piano to substitute the physical contact with Ada. Intrigued by the primitive vitality and natural desire, Ada, a woman nurtured by European civilization, turns over to Baines without much hesitation.

To sum up, the forest is more than the background of the most of the story. At the beginning, it symbolizes the

formidable physical barrier, foreshadowing the misfortunes in Ada's forthcoming life. However, when Ada is experiencing an inner split, the woods play the role of the soul sanctuary, helping her make the right choice. Another image of the forest is the sexual symbolic meanings that it contains, which implicitly tells us why Ada chooses Baines.

### III. THE PIANO

The piano is the most important prop in the film. It is the link between the characters. Almost all the plots are involved with the piano. The piano is also highly symbolic. It means different things to Ada in her different life phases. By analyzing the symbolic meanings of the piano, we can clearly trace the spiritual journey of Ada in her self salvation.

Ada's life begins in the mid-Victorian Scotland. One unique aspect of her life is the absence of her mother and any brothers or sisters. The arbitrary father is all she has (The primal authority of her father is indicated by his autocratic decision to marry her to a man she has never seen before). Since age 6, Ada has refused to speak, and indulged in the world of the piano. The piano is the pivot of her life. Because of the existence of the musical language, Ada does not feel it much inconvenient losing the power of speech. She says, "I don't think myself silent, that is, because of my piano." Her muteness is symbolically the female's losing of the discourse power in the social life. It is a silent resistance to the oppressive patriarchy. At this phase, the piano is the spiritual haven for Ada. She uses the piano to express the romanticism in her soul. However, on the other hand, immersing in this spiritual haven also brings Ada one serious consequence, that is, she is isolated from the real life, she has no friends no access to the outside world. At the beginning of the film, there is a long close-up of Ada peering at the audience through the bars of the jail, which gradually turn out to be her fingers. This close-up demonstrates that Ada is only a passive observer of the life and she desires to enter into the real life. This can explain why the piano is referred in the film many times as a "coffin".

Mainly because of the piano, the first meeting between Ada and her new husband Stewart on the beach produces an irremovable effect to their relationship. Though Ada opposes strongly, her new husband relentlessly declares the instrument too heavy and the road too muddy, and orders his men to carry all other belongs but the piano. This patriarchal style is consistent with his later selling Ada's piano without consulting with her for a piece of land. Through his two moves —"abandoning the piano" and "selling the piano", Ada sees through his patriarchal and materialist nature, therefore, completely closes up the door of emotions to him.

In fact, Stewart's hierarchal demeanor is not only revealed in his conscious oppression of females, but also in his rapine of the Maoris. He often swindles the Maoris out of their lands at the ridiculous cost such as tobacco, blankets, shotguns even candies. In this sense, he is also the representative of the Victorian colonial policy.

Having no choice but to leave the piano on the beach, Ada reluctantly goes with her new husband to her new home, standing on the cliff, Ada turns over and yearningly gazes at the piano as though it were her soul. The conjunction of the wild shore and this potent symbol of Victorian gentility forms a bizarre and mysterious picture. It is a highly symbolic scene, which is enhanced when we discover that the instrument has magically suffered little harm from its prolonged exposure.

Also for the sake of the piano, Ada and Baines begin the contact with each other. A scene on the beach foreshadows the future development of the film. For example, among the group, only Baines notices the inner state of Ada. When Stewart asks him opinions of Ada, apparently, concerning about Ada's appearances, Baines gives an irrelevant answer, "She looks tired." And his answer probably is the one and only comfortable words that Ada hears on the beach. This detail lays the foundation for the next scene that Ada seeks his help to see the piano at the beach when Stewart is absent.

On seeing the piano, Ada with her daughter gleefully run toward it, and plays on it promptly. The usually detached and serious expression on Ada's face is replaced by a brilliant and heartfelt smile. As though affected by the music, Flora is dancing on the beach like an angel. Intrigued by the scene, Baines gazes at Ada without winking his eyes. He is wondering at the magic power of the piano. Or something in her music appears to be stirring in his soul. At the same time, he finds himself deeply fascinated by this "icy" woman, which is demonstrated by his choosing to follow in the footsteps of Ada and her daughter Flora when leaving the beach when it get dark.

Contrast to Baines's sensitiveness and inclination toward the piano music, Stewart completely lacks of it. Not that he is entirely untouched by the arts; but his dull soul seems to have been stirred only by Bluebeard's grotesque melodrama, which he later mimics crudely in attacking Ada with his axe.

After that, Baines begins to pursue Ada in his own coarse but sincere way. First, he buys the piano from Stewart at the cost of 80 acres of fertile land on excuse of wanting to play the instrument himself. Then, in one piano cession, he strikes a deal with Ada that she could earn back the piano by allowing him to caress her as she plays. However, while caressing Ada, Baines does not show any greed or aggressiveness or effrontery, instead he is always cautious, step by step, knowing when to stop, and with so much adoration as though toward a goddess. And this heartfelt caress gradually melts cold and detached Ada, something changed in Ada's heart.

And Ada's piano-playing is also significant in her slowly developing relationship with Baines. Through the piano, Ada not only expresses the romanticism of her soul, but also the unconscious impulses that drive her. It is rightly described by Stewart's aunt Morag as "a mood that passes through you... a sound that creeps into you." and we can see that in her relationship with Baines, her music is the catalyst for them both in the gradual release of their deep-seated sexual and spiritual regressions.

Owing to failure to get Ada's explicit reaction to his loving caress, Baines decides to return the instrument to Ada.

And this move eventually dawns on Ada that only Baines can give her equal and true love.

To Ada, the significance of the piano becomes different after she enters into a relationship with Baines. In the past, because first her own father and then her husband commanded so much authority in her life, they exerted a godlike power over her. To resist this patriarchal oppression, Ada committed herself to muteness, and the piano became her haven of her soul. Now, Baines, like a fairy tale hero, frees her from oppression and slavery, and will marry her in an equal relationship. Ada does not need to resort to the piano as the haven of soul. To express her love to Baines, there is nothing more proper than the piano. So the first thing after Ada gets free of the patriarchal oppression is to take down one of the piano keys and engrave these words "You have my heart" and has it sent to Baines. Later on, after receiving Stuart's brutal punishment, Ada and Baines leave New Zealand along with Flora and the piano. On the sea, Ada demands the seamen to sink the piano into the sea. Because at this phase, the piano has become a burden that Ada wants to get rid of.

To sum up, the piano means different things to Ada in her different life phases. In face of the patriarchal oppression first represented by her own father second by her husband, Ada commits herself to muteness, resorting to the piano as her haven of soul. At the same time, by indulging in the piano world, Ada's life is sadly penned up; she has no contact with the real world and other people. So, the piano is also a "coffin" to Ada. After finding the true and equal love in Baines, Ada does not need to indulge in the piano; she yearns to enter into the real life, that is why she first breaks the "coffin", and then sinks it into the sea.

#### IV. THE SEA

In the film, the sea is not proportionally as important as the forest and the piano; still it is an important symbol. Without it, the film will slip into the vulgar vein of other books with its "happy ending".

While Ada and Baines are leaving New Zealand, on the sea, the huge piano is balanced precariously across the boat's transom. When the wind picks up, it is becoming increasingly difficult for the seamen to control the balance of the boat. Suddenly Ada begins to panic that the instrument's weight would unbalance them, and the reassurances of Baines couldn't soothe her. Ada commands the bewildered seamen to throw the piano overboard; Baines swiftly intuits the urgency of her need and jettisons it. But as the piano is sinking, Ada's foot suddenly gets entangled in one of the binding ropes, and is dragged after it into the deeps. While it sucks her down, Ada gazes around calmly for a period, apparently reconciled to the death that she seems to have willed. Then, without premonition, she slips her shoe out of the knot that holds it and frees herself: only when facing death, as she later reports with astonishment, does her will unexpectedly choose life.

Hitherto, Ada has been searching for her innermost nature. As we have seen, when Ada first comes to the colony, in the strange forest, she becomes confused, unable to find her way, and later, when Stewart tries to force her to love him by attempting rape, she was literally tangled in the vines. But it was then and there that Ada discovered the beginning of her new life. However, the culmination of her own search into her innermost nature occurs in that half-willed dive into the ocean's deeps. It suggests that she is at risk of committing a passive suicide until the moment when she chooses life. In symbolic sense, an encounter with the desire for suicide can be a symbolic expression of bringing an end to an old way of life before embarking on a new one. In other words, the death of the old life of the psyche is the prerequisite to resurgence into the new. Therefore, the sea here symbolizes Ada completely bids farewell to her past self and past life and gets rejuvenation.

At the end of the film, Ada, Baines and Flora form a happy family. Ada makes a living by teaching the piano, and she is practicing the rediscovered art of speech, because the musical language alone cannot satisfy her need. Although she has not yet rediscovered her power to speech, a sense of loss stood by the sunken piano often haunts her dreams and draws her mind down again and again into the dark depths of the unconscious and the contemplation of her death; Ada has basically achieved her desirable life, and got a free and equal life. With courageous struggle, she eventually obtains self salvation.

#### V. CONCLUSION

As mentioned above, in the film the forest, the piano and the sea all involve rich symbolic meanings. These symbolic meanings not only clearly demonstrate the heroine Ada's spiritual journey in the process of her self salvation, but also enhance the film's extraordinary expressiveness.

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# Strategies Used in Translation of English Idioms into Persian in Novels

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**Abstract**—The present study aimed to focus mainly on the investigation of the strategies used for English into Persian translation of idioms and idiomatic expressions in the novels of “To kill a mockingbird” by Harper Lee and “Of mice and men” by John Steinbeck. This research is done based on Baker’s model for translating, namely, using her four strategies for translating idioms, i.e., using an idiom of similar meaning and form, using an idiom of similar meaning but dissimilar form, translation by paraphrase, and translation by omission. The researcher wanted to find out which strategy was the most frequently used strategy and whether there were any significant differences among the uses of these strategies. Conducting a descriptive statistical analysis, it has been concluded that ‘paraphrase’ and ‘using an idiom of similar meaning and form’ were the most and the least common strategies, with the frequencies of 290 and 9, and percentages of 71.25% and 2.21%, respectively. On the basis of the findings of this research, it is recommended that, in addition of having enough knowledge in terms of the theoretical translation issues and the translation strategies suggested by different scholars, a translator should have a good command of the TL idiomatic expressions, and in the case of translating novels, benefit from the required creativity to handle the challenging task of transferring the idiom into the TL.

**Index Terms**—translation strategy, idioms, novel

## I. INTRODUCTION

All languages have phrases and sentences that cannot be understood literally. Knowing a language includes knowing the morphemes, simple words, compound words, and their meanings. It also means knowing fixed phrases, consisting of more than one word, with meanings that cannot be inferred from the meanings of the individual words. Even if we know the meaning of all the words in a phrase and understand the grammar completely, the total meaning of the phrase may still be confusing. Many idioms offer this kind of problem and all languages contain many such expressions. A phrase and sentence of this type is said to be idiomatic. Idioms are similar in structure to ordinary phrases except that they tend to be frozen in form and do not readily enter into other combinations or allow the word order to change. Idioms and idiomaticity are pervasive features of a language. English has many thousands of such idiomatic expressions, which are suitable for expressing speaker’s intentions in different situations. Idiomatic expressions play role in the construction of interpersonal meanings, in the formation of coherent text, and in the creation of stylistic effects. Fernando demonstrates the bipolar nature of idiomaticity in the balance between routinized expression and linguistic creativity (Fernando, 1996, p. xvii).

People may not have a true understanding of the meaning of an idiom “since the true meaning of an idiom generally cannot be determined by a knowledge of its constituent parts” (Collis, 1994, p. v).

### A. Background of the Problem

As the phenomenon of translation is an intercultural activity, so the TL that takes the information is influenced unbelievably. The translators involved in translating might not sometimes be cognizant of the sensitivity and complication of their task. Translating idioms is a crucial issue in literary translation; sometimes it either leads to the increase of cultural gaps or it doesn’t let these gaps to be filled.

### B. Significance of the Study

Idiomatic expressions are culture-specific items. It is of importance to know how professional translators render them. Many believe that they cannot be translated literally and can be substituted by a similar idiom in the target culture. According to Armellino (2003), one of the most challenging tasks for all translators is rendering culture-bound elements. As he states in his article, the reasons for this point is always strongly linked to the specific culture context where the text originates or with the cultural context it aims to recreate.

Ghaffari (2001) believed that “without using idioms, the language becomes harsh and unattractive, so it can be said the words are like a skeleton of the language and the idioms are like its soul. Therefore, wrong translation of idioms may damage the soul of the language” (p. 2).

Considering the point that idiom is a problematic item for translation, this study seeks answer to the following question:

- Which of Baker’s strategies (1992) are most frequently used in translating idioms in the novels (*To kill a mockingbird* and *Of mice and men*)?

### C. Definition of Key Terms

**Translation strategy:** Translation strategy refers to “a conscious procedure for the solution of a problem which an individual is faced with when translating a text segment from one language to another” (Lörscher, 1991, p. 76, as cited in Chesterman, 2005).

**Idioms:** Idioms are frozen patterns of language which allow little or no variation in form and often carry meanings which cannot be deduced from their individual components. Idioms do not have flexibility of patterning and transparency of meaning. (Baker, 1992, p. 63)

**Novel:** Novel is now applied to a great variety of writings that have in common only the attribute of being extended works of fiction written in prose. As an extended narrative, the novel is distinguished from the short story and from the work of middle length called the novelette (M.H. Abrams, 1993, p. 190).

### D. Types of Idioms

Idioms may have different forms. In their book, Seidl and McMordie (1988, p. 13) distinguish 3 types of idioms:

1. Form irregular, meaning clear, as in *give someone to understand*
2. Form regular, meaning unclear, as in *cut no ice*
3. Form irregular, meaning unclear, as in *go great guns*

### E. Characteristics of Idioms

Linguists have suggested different characteristics for idioms, which are generally based, according to Stock (1989, p.9), “on two basic points of view: one point of view considers idioms as the basic units of language, with holistic characteristics”, and the other point of view that emphasizes on the definite role in the complete idiom”.

1. Lexical and syntactic flexibility

“A limited number of idioms have one (or more) lexical variants. However, most are lexically fixed (nonproductive) to a large extent. Analyzable (less idiomatic) expressions are often more open to lexical substitution and syntactic variation” (Fazly and Stevenson, 2006, p.2).

2. Transparency

“Transparency (or semantic analyzability) refers to the degree of agreement between the literal and figurative meanings of an idiom” (Cain, Oak hill and Lemmon, 2004, p.3).

3. Idiom familiarity

It has been defined by Nippold and Taylor (1995, p. 427, as cited in Cain, Oak hill and Lemmon, 2004, p. 2) as “how frequently an idiom occurs in the language. Children, adolescents, and adults find that more familiar idioms are easier to understand than less familiar ones”.

4. Non-compositionality

“The meaning of an idiom is typically not predictable from those of its parts, as in the often cited example kick *the bucket* (die). In contrast, *spill the beans* is decomposable into its parts with beans modeling a secret and spill is revelation” (Chang & Fischer, 2006, p.1).

5. Syntactic modifications

Chang & Fischer (2006, p.1) claim “Many idioms are lexically specific and do not permit substitution of even close synonyms”. But, they further add “even idioms with fixed lexical items often appear in syntactically diverse forms” (ibid, p.1).

6. Opacity

“Idioms such as *by and large* and *spick and span* are often considered opaque: the semantic motivation or source for the idiom may be unclear, and no particular underlying image may come to mind” (ibid, p.1).

Chang & Fischer (ibid, p.1) finally conclude “In their central (or prototypical) case, idioms are non-compositional, lexically simple and opaque; they have some constituents and have some literal reading and allow only limited syntactic variations”.

### F. Culture Specific Terms

As it is clear from their name, these terms usually belong to a specific culture and are unknown for the people having another culture. Idioms are found in all languages. Yet some types of idioms are more prominent in one language than in another, and they may be culture-specific (Boers, 2000a). Thus, culture should not be neglected in the discussion of the use of idioms. Research has shown that most figurative idioms (arguably the largest type of idioms) are metaphorically based and conceptually motivated. A metaphorical concept that is noticeable in one culture may,

however, be relatively inconspicuous in another, due to cultural differences. Schwarz (2003, p.1) confirms that "Although more and more concepts are shared and understood between different cultures, there are still many terms and expressions which reflect the morals and values of a particular culture and have no true equivalent in the TL". She also suggests "to deal with these cultural terms successfully, a translator has to be not only bilingual but also bi-cultural. There are two main strategies when dealing with cultural frames and they are known as domestication and foreignization". She borrows these terms from Venuti (1995, p.47) who points out that "all translation is fundamentally domestication and is really initiated in the domestic culture". The idea of 'foreignizing a translation' was introduced by Venuti (1995, p.4) and he defines this process as "taking the reader over to the foreign culture, making him or her see the (cultural and linguistic) differences".

"Newmark (1993) points out that slang and idioms are closely linked to culture and a particular period" (cited in Schwarz, 2003, p.77).

#### *G. Difficulties of Translation of Idioms*

Once an idiom has been recognized and interpreted correctly, the next step is to decide how to translate it into the TL. The difficulties involved in translating an idiom are totally different from those involved in interpreting it. Here, the question is not whether a given idiom is transparent, opaque, or misleading. An opaque expression may be easier to translate than a transparent one.

Baker (1992) asserts that the main problems posed by idiomatic and fixed expressions for translators relate to two principal areas: "The ability to recognize and interpret an idiom correctly; and the difficulties involved in rendering the various aspects of meaning that an idiom or a fixed expression conveys into the TL" (p. 65).

She also mentions, "The first difficulty that a translator comes across in being able to recognize that s/he is dealing with an idiomatic expression" (1992, p.6). She further states "the more difficult an expression is to understand and the less sense it makes in a given context, the more likely a translator will recognize it as an idiom" (ibid, p.65).

The main difficulties involved in translating idioms are summarized by Baker (1992, pp.68-71) as follows:

- (a) An idiom or fixed expression may have no equivalent in the TL.
- (b) An idiom or fixed expression may have a similar counterpart in the TL, but its context of use may be different; the two expressions may have different connotations or they may not be pragmatically transferable.
- (c) An idiom may be used in the ST in both its literal and idiomatic senses at the same time. Unless the TL idiom corresponds to the SL idiom both in form and in meaning, the play on idiom cannot be successfully reproduced in the TT.
- (d) The very convention of using idioms in written discourse, the contexts in which they can be used and their frequency of use may be different in the source and target languages.

#### *H. Strategies for Translating Idioms*

The way in which an idiom or a fixed expression can be translated into another language depends on many factors. It is not only a question of whether an idiom with a similar meaning is available in the TL. Other factors include, for example, the significance of the specific lexical items which constitute the idiom, i.e. whether they are manipulated elsewhere in the ST, as well as the appropriateness or inappropriateness of using idiomatic language in a given register in the TL. The acceptability or non-acceptability of using any of the strategies described below will therefore depend on the context in which a given idiom is translated. The first strategy described, that of finding an idiom of similar meaning and similar form in the TL, may seem to offer the ideal solution, but that is not necessarily always the case. Questions of style, register, and rhetorical effect, must also be taken into consideration. Fernando and Flavell are correct in warning us against the 'strong unconscious urge in most translators to search hard for an idiom in the receptor-language, however inappropriate it may be' (1981, p. 82, as cited in Baker, 1992, p. 72).

Baker (1992, p. 72-78) suggests the following strategies for translating idioms:

##### ***(1) Using an idiom of similar meaning and form***

This strategy involves using an idiom in the TL which conveys roughly the same meaning as that of the source-language idiom and, in addition, consists of equivalent lexical items. This kind of match can only occasionally be achieved.

##### ***(2) Using an idiom of similar meaning but dissimilar form***

It is often possible to find an idiom or fixed expression in the target language which has a meaning similar to that of the source idiom or expression, but which consists of different lexical items.

##### ***(3) Translation by paraphrase***

This is by far the most common way of translating idioms when a match cannot be found in the TL or when it seems inappropriate to use idiomatic language in the TT because of differences in stylistic preferences of the source and target languages.

##### ***(4) Translation by omission***

As with single words, an idiom may sometimes be omitted altogether in the TT. This may be because it has no close match in the TL, its meaning cannot be easily paraphrased, or for stylistic reasons.

## II. METHODOLOGY

This research is carried out within the framework of descriptive approach of the comparative model of translation research and uses a parallel-corpus. The researcher's approach is non-judgmental and non-evaluative, thus the translations of the idioms are considered as acceptable and appropriate and all the possible misspellings and wrong translations are not going to be considered.

The researcher chose whole pages of the novels listed below for doing this research:

To kill a mockingbird by: Harper Lee

Of mice and men by: John Steinbeck

فخرالدین : مترجم

کشتن مرغ مینا  
میررمضانی

پرویز : مترجم

موش ها و آدم ها  
داریوش

The main reasons for selecting the above-mentioned novels are that they are replete with idioms, written by well-known writers, and they are among the bestselling novels and famous both for English and Persian readers.

After reading the English novels and selecting the sentences that contained idioms, the Persian translations were read. Then, the researcher compared the English texts with the Persian translations side by side in order to determine which of Baker's strategies are more frequently used by the translators. After collecting and tabulating the data for each novel, in order to find the frequency of the strategies employed for the translation of idioms in the selected novels, the obtained data from all the selected novels were shown in a separate table. It can be concluded from this table that which strategy is dominant in translating idioms in novels from English to Persian.

### III. DATA ANALYSIS AND DISCUSSION

In the process of data analysis, two English novels and their Persian translations were selected as the corpus of study. The analysis has been carried out on 407 idiomatic expressions extracted from these two novels. For each novel, the researcher has prepared two separate tables representing the procedure of data analysis. The first table provides the sentences of the novels which contained the selected idiomatic expressions. In the second table the comparison of each idiomatic expression with its Persian equivalent and the related translation strategy will be represented.

TABLE 1:  
SENTENCES AND THEIR TRANSLATION IN "TO KILL A MOCKINGBIRD"

English idioms	Persian translations	Applied strategy
Tooth and nail	با چنگ و دندان	Using an idiom of similar meaning and form
Acid tongue in her head	زبان نیشداری داشت.	Using an idiom of similar meaning but dissimilar form
On tenterhooks	مثل اینکه روی تاوله ی آتش باشم.	Translation by paraphrase
To scrape a few barnacles off the ship of state	-----	Translation by omission

TABLE 2:  
PERCENTAGE OF EACH STRATEGY IN "TO KILL A MOCKINGBIRD"

Strategies	Frequency	Percentage
Using an idiom of similar meaning and form	5	16.66%
Using an idiom of similar meaning but dissimilar form	8	26.66%
Translation by paraphrase	16	53.33%
Translation by omission	1	3.33%
Total	30	100%

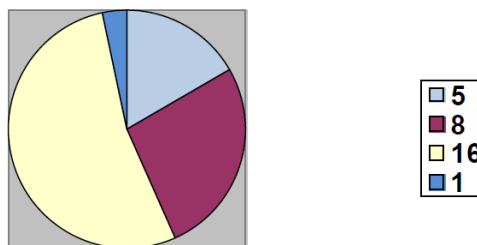


Figure 1: Percentage of each strategy  
To Kill a Mockingbird

TABLE 3:  
SENTENCES AND THEIR TRANSLATION IN "OF MICE AND MEN"

English idioms	Persian translations	Applied strategy
Rattrap	تله موش	Using an idiom of similar meaning and form
In hot water	تو هچل	Using an idiom of similar meaning but dissimilar form
Right cross	با دس رامش اینجور کشیده زده	Translation by paraphrase
Make it stick	-----	Translation by omission

TABLE 4:  
PERCENTAGE OF EACH STRATEGY IN "OF MICE AND MEN"

Strategies	Frequency	Percentage
Using an idiom of similar meaning and form	4	1.06%
Using an idiom of similar meaning but dissimilar form	66	17.50%
Translation by paraphrase	274	72.67%
Translation by omission	33	8.75%
Total	377	100

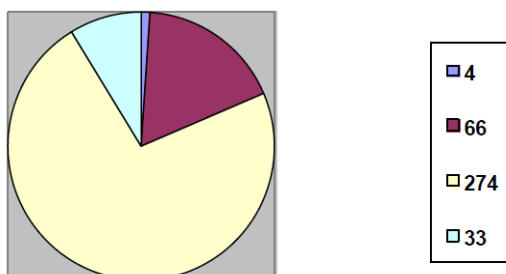


Figure 2: Percentage of each strategy  
Of Mice and Men

TABLE 5:  
TOTAL PERCENTAGE

Strategies	Frequency	Percentage
Using an idiom of similar meaning and form	9	2.21%
Using an idiom of similar meaning but dissimilar form	74	18.18%
Translation by paraphrase	290	71.25%
Translation by omission	34	8.35%
Total	407	100%

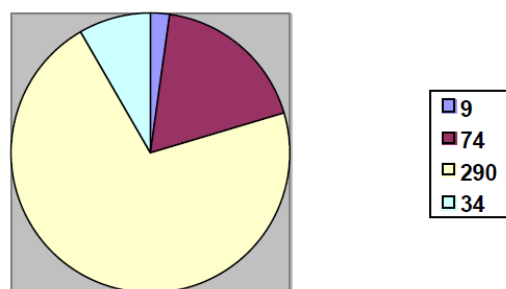


Figure 3: Total percentage

#### IV. CONCLUSION

Translation is a difficult task necessary for transferring the concepts and meanings from one language into another. But, some concepts in one language are problematic for the translator to convey into another language. Among these concepts, idioms have a great position especially in novels. Little work has been done on this subject and the researcher tried to do an all-inclusive study on the translation of idioms by Iranian translators. But, no doubt, much work is to be done in future.

The present research was an attempt to investigate the strategies used in English into Persian translation of idioms and idiomatic expressions in novels. As discussed earlier, the researcher decided to work on the idioms which are troublesome in the process of translation, and at the same time, are of great importance in transferring cultural aspects of a language through translation. The research was done based on Baker's strategies for translation of idioms including 4 strategies which were mentioned before.

The high frequency of paraphrasing as a strategy in translating idiomatic expressions in novels stands to show the reluctant sense among translators in finding an equivalent idiom in the TL. This may be due to the fact that they do not have a full command of Persian idiomatic expressions.

Henceforth, because of the high frequency of idioms in English novels, translators need to equip themselves with idioms in Persian, so that the reader does not sense any abnormality in the text, since as found in many occasions in the corpus, many instances of paraphrasing idioms either violate the maxims or fail to raise the original illocutionary meaning.

The results of the study are very useful for novice translators who can adopt more suitable approaches for translating idioms. In fact, strategies used by experienced translators in this regard can guide them through their work of rendering English texts into Persian.

In addition, translation teachers can use the outcomes of the study to teach translation strategies in their classes in a more practical way. Language learners can also take advantage of the research in order to know English and Persian idioms much better. They can compare and contrast English idioms with their Persian counterparts to become familiar with different cultural aspects of the societies.

During the research what attracted the attention of the researcher was the fact that some parts of the source novels were omitted by the translators. Based on this and other findings of the study, the following suggestions can be made for those who are eager to investigate this area:

- a) What are the reasons behind omitting parts of the foreign books translated into Persian, particularly novels?
- b) What are the influences of genre and style of writing of the translator or the original author in translating novels?
- c) What are the differences between novels translated before and after Islamic revolution in Iran concerning the style of writing and use of words?

This study addressed translation of idioms in novels. Other researches can be administrated considering the translation of other linguistic issues such as slangs, collocations, proverbs, and so on.

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# Compliment Response Strategies by Thai and Chinese EFL Teachers: A Contrastive Study

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**Abstract**—This study investigated compliment responses (CRs) by Thai and Chinese EFL teachers. The data were collected through the written discourse test (DCT) in English, containing four settings in terms of appearance, character, ability and possession. A total of 60 Thai and Chinese EFL teachers participated in the study. The results revealed that more similarities were observed than differences in CR strategies used by Thai and Chinese EFL teachers. The teachers from the two countries followed the same patterns of preferences: that is, they employed *Accept* strategies the most and *Reject* strategies the least. However, *Accept* strategies and *Evade* strategies used by Chinese participants were slightly more frequent than those used by Thais, whereas Thai teachers employed more *Reject* strategies than Chinese teachers did. In the four situations, some differences existed between the two groups. Chinese teachers employed more varieties of micro strategies than their Thai counterparts did. Interestingly, Thai and Chinese EFL teachers transferred their native cultures in L1 to L2 in some situations. The findings suggested that EFL teachers' awareness regarding their L2 pragmatics should be improved.

**Index Terms**—compliments, compliments response, EFL teachers, Chinese, Thai

## I. INTRODUCTION

Communicating with speakers of other languages is a complex behavior that requires both linguistic and pragmatic competence. Whether we speak in a first or second language, we are influenced by socio-cultural norms and constraints that affect the way we communicate. Rizk (2003) points out that what is considered appropriate in one language might not be so in another. People of different cultures belong to different value systems. Different value systems are reflected in speech acts, thus, different interpretations of a certain speech act sometimes cause misunderstandings of the speakers' intentions. Compliments and CRs are speech acts that may influence the success or failure of intercultural communication. They play very important roles in intercultural communication.

"A compliment is a speech act which bestows the credit upon the addressee" (Hobbs, 2003, p.249). It is "an utterance containing a positive evaluation by the speakers to the addressee" (Wolfson (1989, p.220). Compliments are recognized as an important speech act in a socio-cultural context. Holmes (1988) states that compliments are "positively affective speech acts, the most obvious function they serve is to oil the social wheels, paying attention to positive face wants and thus increasing or consolidating solidarity between people". Wolfson (1983, p.89) also claims that a compliment functions to "grease the social wheels" and thus to serve as "a social lubricant". CRs are responses to compliments. The speech acts of compliments and CRs are conversational devices of interpersonal relationships in daily life. The use of CR as a phatic expression (more of a 'ritual' type) may also play a particular role in maintaining the solidarity of interpersonal relationships and the harmony of social interaction (Tang and Zhang, 2009).

Numerous studies on CRs have been conducted by many researchers, such as Chen (1993), Gajasen (1995), Rose & Kwai-fong (1999), Qu (2005), Cedar (2006), Tang and Zhang (2009), and Chen and Yang (2010), etc. These studies mainly focus on the comparison of CRs between native and non-native English speakers. However, the research investigating the differences of CRs among non-native English speakers seems scarce. Particularly, there is no relative research on compliment responses among Thais and Chinese. Although Thailand and China are Asian countries, they are different in cultural backgrounds and English language exposure. People of different cultural backgrounds belong to different value systems. Different value systems are reflected in their speech acts. The objective of this study is to find out the similarities and differences of English CR strategies employed by Thai and Chinese EFL teachers.

## II. RESEARCH METHODOLOGY

### A. The Participants



The participants in this investigation were two groups: 30 Chinese and 30 Thai teachers of English. This study aimed to reveal cultural differences between Chinese and Thais in terms of responses to compliments in English; therefore, all the participants were required to provide the CRs in English.

### B. Data Collection

The data were collected through a written role-play questionnaire called a 'Discourse Completion Task' (DCT). DCTs are widely used as controlled elicitation tools to collect written data for discourse analysis. DCTs are consistent with naturally occurring data, at least in the main patterns and formulas (Golato, 2003). DCT can elicit stereotype that reflects the values of the native culture (Wannaruk, 2005). The DCT of this study consists of four situational settings: appearance, character, ability and possession. These four settings were widely investigated by many previous research works and they could reveal the cross-cultural differences in the content of CRs to some extent. In each situation, CRs were made to interlocutors of equal status.

### C. Data Analysis

The CRs were analyzed mainly based on Holmes' (1988, 1993) categories of CR strategies, which, as adapted here, have three macro strategies (Accept, Reject and Evade) and ten micro-strategies, as shown in Table 1.

TABLE I:  
HOLMES' CATEGORIES

Macro level CRs	Micro level CRs	Examples
<b>Accept</b>	Appreciation token	"Thanks"; "Thank you"; "Cheers"; "Yes"; "Good"
	Agreeing utterance	"I know"; "I am glad you think so"; "I did realize I did that well"; "Yeah, I really like it."
	Downgrading/qualifying Utterance	"It's nothing"; "It was no problem"; "I enjoyed doing it"; "I hope it was ok"; "I still only use it to call people"; "It's not bad."
	Return compliment	"You're not too bad yourself"; "Your child was an angel"; "I'm sure you will be great"; "Yours was good too."
<b>Reject</b>	Disagreeing utterance	"Nah, I don't think so"; "I thought I did badly"; "Nah, it's nothing special"; "It is not"; "Don't say so."
	Question accuracy	"Why?"; "Is it right?"
	Challenge sincerity	"Stop lying"; "Don't lie"; "Don't joke about it"; "You must be kidding"; "Don't, come on."
<b>Evade</b>	Shift credit	"That's what friends are for"; "You're polite"; "No worries"; "My pleasure."
	Informative comment	"It wasn't hard"; "You can get it from [store name]"; "It's really cheap."
	Request reassurance	"Really?"

## III. FINDINGS AND DISCUSSIONS

In this section, the findings of the use of CRs are presented in two parts: (1) general patterns (the macro level); (2) patterns in the four settings (including micro level)

### A. The General Pattern of CR Strategies

Fig. 1 shows the general patterns used by the Thai and Chinese EFL teachers at macro level. An apparent trend demonstrates that in general, the two groups preferred *Accept* the most and *Reject* the least. Thai and Chinese EFL teachers followed the same order of preferences in the use of CRs. When taking a closer look at the percentage of strategy employment, Chinese EFL teachers employed *Accept* strategies slightly higher than their Thai counterparts. While Thai EFL teachers employed *Reject* strategies considerably higher than Chinese EFL teachers. This may suggest that Chinese were slightly straight forward than Thais in accepting compliments, while Thais tended to feel more uncomfortable in accepting compliments compared with Chinese as revealed by their greater use of *Reject* strategies. However, the two groups were likely to employ *Evade* strategies almost more or less the same. The use of *Evade* and *Reject* strategies by Chinese confirms what has been found by the previous researchers, such as Chen (1993) who pointed out that Chinese speakers tend to be reluctant to accept compliments in a direct manner. According to Fong (1998), in Chinese culture, the deny response is an indirect communication pattern of modest acceptance. With regard to Thai EFL teachers, the *Reject* and *Evade* strategies they used probably indicates language stereotyping of Thais whose culture values humility and modesty (Cedar, 2006).

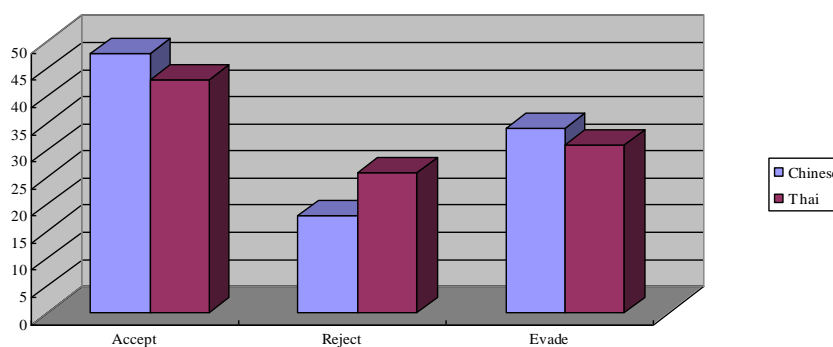


Fig1: General patterns of CRs

### B. The CR Patterns Corresponding to the Four Specific Situations

In this section, the findings of the use of CRs are presented at both macro level and micro level with regard to four situational settings: appearance, character, ability and possession. This provides us to see more detailed distribution of CRs in each situational setting.

#### 1. CRs for Appearance

The frequency of Thai and Chinese CRs at macro level in the setting of appearance is presented in Fig. 2. It shows that the distribution of CRs in the setting of appearance is different from that in the CRs in general pattern shown in Fig 1. Chinese EFL teachers employed *Accept* strategies considerably higher than their Thai counterparts. It probably explains that Chinese were happier to show their outward signs of pleasure in accepting appearance compliments compared with Thais. On the other hand, Thai EFL teachers made more use of *Reject* and *Evade* strategies than their Chinese counterparts. According to Cedar (2006) complimenting, particularly on the appearance does not occur frequently in Thai culture. It is considered as “a carefully controlled speech act with a much more restricted purpose than a compliment in American English” (Cedar 2006, p. 8). This is probably a reason why Thais seem to be careful to show outward sign of pleasure for being complimented for their appearances. Most Thais refrain from showing their pleasure explicitly and tend to be modest in this setting.

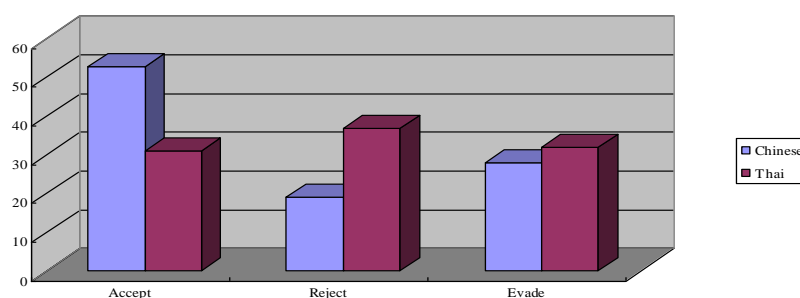


Fig 2: Macro patterns of Thai and Chinese CRs to appearance compliments

Based on the content analysis of CRs of two groups at micro patterns, Fig 3 shows that Chinese and Thai EFL teachers employed a variety of CR strategies in this setting. Chinese EFL teachers employed 7 out of 10 different strategies while Thai employed 6 strategies differently. This may reflect that Chinese and Thais are sensitive to appearance compliments as they elaborate a more variety of CR strategies to deal with this setting compared with other settings. Examples of CRs in the setting of appearance are presented as follows.

Mr. Bosson: Wow! You look wonderful today!

Thai (CR27): Come on! Don't say that. (*Reject/Disagreeing Utterance*)

Thai (CR7): Really? (*Evade/Request reassurance*)

Chinese (CR18): You know, I have made a new hair style. (*Evade/Shift credit*)

Chinese (CR22): Ha, ha! You're kidding me. (*Reject/Challenge sincerity*)

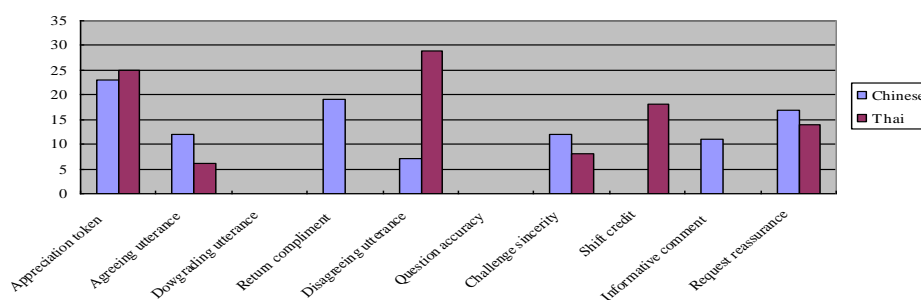


Figure 3: Micro patterns of Thai and Chinese CRs to appearance compliments

## 2. CRs for Character

The distribution of CRs for character (Fig. 4) was quite different from that of CRs for appearance. The noticeable tendency illustrates that Thai and Chinese EFL teachers made more use of *Evade* strategies than the other two strategies. This may indicate that character compliments are considered praises for Chinese and Thais. Therefore, it prompts them to evade to their character compliments. According to Tang and Zhang (2009), Chinese accept compliments on character indirectly using *Evade* strategies, possibly due to the value of modesty. One explanation could be that being modest in speech is considered a good value of people in some Asian countries, such as Thailand and China. The evidences from CRs for character might reflect a close native cultural rule of Thai and Chinese societies. Responding to character compliments with high use of *Evade* strategies by Thai and Chinese may demonstrate the virtues and collectivism of people from the two countries.

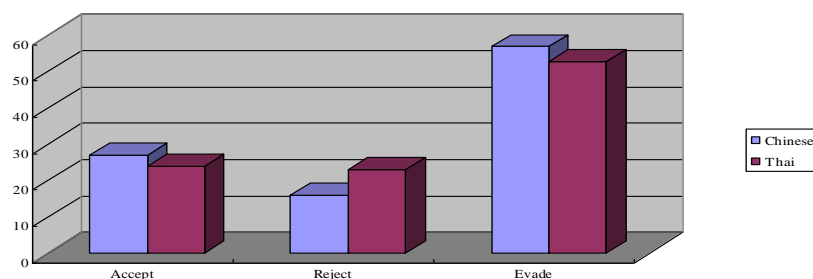


Fig 4: Macro patterns of Thai and Chinese CRs to character compliments

Fig 5 shows the micro pattern of character CRs. The noticeable tendency shows that Thai and Chinese EFL teachers did not employ a variety of CR strategies when dealing with character compliments. 4 and 3 different CR strategies were used by Thai and Chinese EFL teachers respectively. The two groups obviously employed Shift credit strategies considerably higher than other strategies. This may indicate that Thais and Chinese interpret character compliments similarly. Being complimented for their characters makes Thais and Chinese feel uncomfortable or somewhat uneasy. Receiving character compliments is probably considered an embarrassing experience for them. Consequently, they attempted to attribute credit to someone or something else other than themselves. Examples of CRs in the setting of character are presented as follows.

Ms. Lee: "Thanks! Without your help, I don't know what to do. How kind and helpful you are!"

Thai (CR16): Don't mention it! I'm happy to do that. (*Reject/Disagreeing utterance*)

Thai (CR9): No problem. We're friends. (*Evade/Shift credit*)

Chinese (CR11): A neighbor who is near is better than a brother who is far. (*Evade/ Shift credit*)

Chinese (CR26): You're welcome. (*Evade/ Shift credit*)

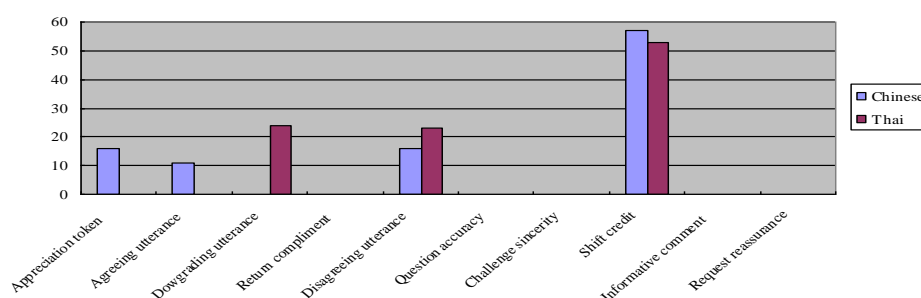


Fig 5: Micro patterns of Thai and Chinese CRs to character compliments

### 3. CRs for Ability

As shown in Fig 6, at macro level, both Thai and Chinese EFL teachers preferred *Accept* strategies the most. More than half of the Thai and Chinese EFL teachers selected *Accept* strategies when receiving compliments on their abilities. It is apparent that Thai and Chinese EFL teachers tended to outwardly show more of their pride in this setting compared with the other settings. This probably explains that both Thais and Chinese are quite willing to accept compliments on their abilities. The CR strategy used by the two groups in this setting more closely resembled to that of English native speakers. According to Chen and Yang (2010), English native speakers have a clear preference for compliment acceptance over rejection. This is consistent to Chen (1993) who discovered that American English native speakers were likely to accept compliments and appreciated them. According to Thais and Chinese, being complimented on ability may be regarded as being praised for one's positive self-image. With regard to Brown and Levinson (1987), 'face' can be referred to a public self-image that one wants to keep for themselves. The desire to be approved of may be considered a positive face for Thais and Chinese as they similarly tended to employ *Accept* strategies the most.

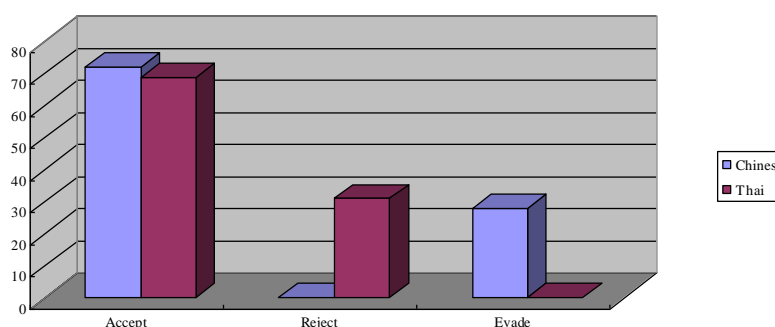


Fig 6: Macro patterns of Thai and Chinese CRs to ability compliments

At micro level, the distribution of CRs in this setting was different from that of CRs for appearance and character. Fig7 illustrates that a variety of CR strategies were employed by Chinese EFL teachers while a fewer types of CRs were employed by Thai EFL teachers. It can be seen that the two groups preferred "*Appreciation token*" the most. Thai and Chinese EFL teachers appreciated saying "Thank you" to the compliment givers when they were complimented for their abilities. However, some of the Thais and Chinese were comfortable to humiliate themselves to the compliment givers by using the "*Downgrading utterance*". This reflects that even though Thais and Chinese take pride on their ability, they still maintain the value of modesty in their acceptance. Examples of CRs in the setting of ability are presented as follows.

Mark: "Wow!" "You did a very good job". "How clever you are!"

Thai (CR22): Oh no! I was very excited. (*Disagreeing utterance*)

Thai (CR18): I think it was just ok. (*Accept/Downgrading utterance*)

Chinese (CR18): I prepared for a long time. (*Evade/Informative comment*)

Chinese (CR22): Thanks for your encouragement. (*Accept/Appreciation token*)

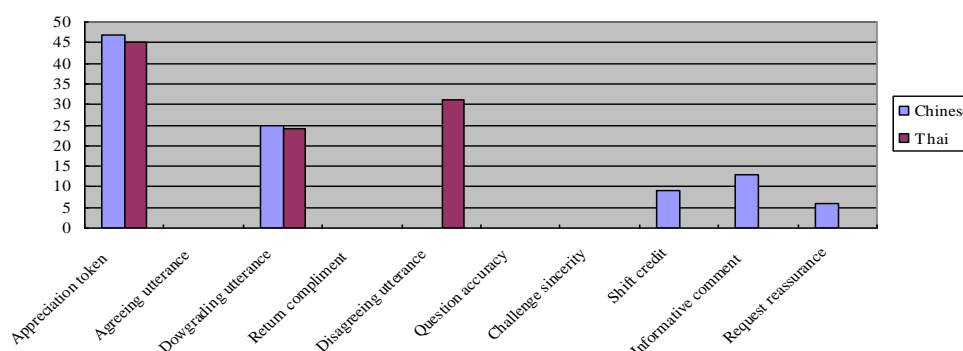


Fig 7: Micro patterns of Thai and Chinese CRs to ability compliments

### 4. CRs for Possession

Fig 8 shows that the two groups followed the same pattern of preferences. Thais and Chinese EFL teachers preferred to employ *Accept* strategies the most and *Reject* strategies the least. The findings reveal that the two groups tended to be less direct to accept possession compliments compared with ability compliments as they employed more *Reject* and *Evade* strategies. Thai and Chinese EFL teachers almost responded to possession compliments in a similar manner. This could suggest that Thais and Chinese consider possession compliments as defensive compared with ability

compliments. The findings could be in line with Holmes (1988, p.448) who remarked that “compliments can be regarded as face threatening to the extent that they imply that the complimenter is envious of the addressee in some way or would like to have something belonging to the addressee”. The findings from the present study suggest that Thais and Chinese considered possession compliments as face-threatening acts due to the judgment on another person’s belongings. Therefore, they tended to employ less *Accept* but more *Reject* and *Evade* strategies compared with CRs for ability.

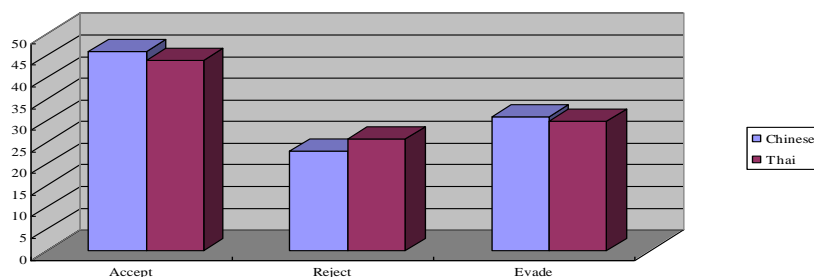


Fig 8: Macro patterns of Thai and Chinese CRs to possession compliments

The micro patterns of possession CRs between Thai and Chinese EFL teachers (Fig. 9) highlight a number of subtle differences of the two groups in CR strategy use. There are more strategies for CRs among Chinese EFL teachers than in Thai EFL teachers. Considering CRs in micro level, Chinese EFL teachers employed 7 different strategies, whereas only 4 strategies were employed by Thai EFL teachers. This may suggest that the differences exist in the choices of selecting CRs strategies between Thais and Chinese in this setting. Examples of CRs in the setting of possession are presented as follows.

Jane: “Wow!” “Your laptop looks so cool!”

Thai (CR20): I bought it from Bangkok. (*Evade/Informative comment*)

Thai (CR29): Really? It’s cool right? (*Reject/Question accuracy*)

Chinese (CR3): Oh! It is a good brand. (*Evade/ Informative comment*)

Chinese (CR28): It is my birthday present. (*Evade/Informative comment*)

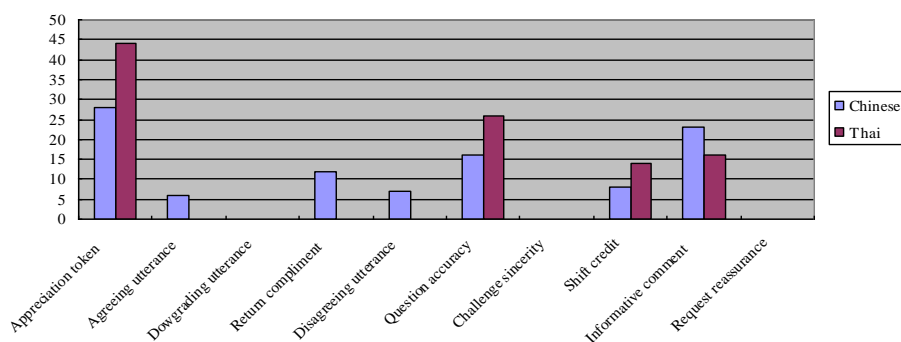


Fig 9: Micro patterns of Thai and Chinese CRs to possession compliments

#### IV. CONCLUSIONS AND IMPLICATIONS

The findings of this study cannot be generalized to all Thai and Chinese speakers. Nevertheless, the evidences from CRs of the two groups do provide insights to better understand the use of CRs in English by Thai and Chinese EFL teachers. Based on the findings, there seem to be more similarities than differences in CR strategies used by Thai and Chinese EFL teachers. The cultural closeness of Thai and Chinese has been presented in the use of CRs in general patterns as Thai and Chinese EFL teachers followed the same pattern of preferences: they employed *Accept* strategies the most and *Reject* strategies the least. However, *Accept* strategies and *Evade* strategies used by Chinese participants were slightly more frequent than those used by Thais, whereas Thai teachers employed more *Reject* strategies than Chinese teachers did. This probably indicates that Thai people are a little more conservative than Chinese when facing the compliments from others. In the four situations, some differences existed between the two groups. In addition, the closeness of values of the two cultures is also revealed in the use of CRs in the setting of character compliment as Thai and Chinese EFL teachers tended to be modest in their speech acts of CRs in this setting.

As a whole, the use of CR strategies by Thai and Chinese EFL teachers resembles to that of English native speakers who favor *Accept* over *Reject* and *Evade* strategies. However, the percentage of *Accept* strategies of English native

speakers is much higher than that of Thais and Chinese, as in Holmes' (1988) and Herbert's (1989) studies. Furthermore, the use of CR strategies by Thai and Chinese EFL teachers in certain settings, such as in the setting of character compliments, seems to be different from that of English native speakers. The results reveal that Thai and Chinese EFL teachers transferred their characteristics of being modest in L1 to L2. The findings emerged from the present study led to the important notion of the development of language teachers who use English as a second language (ESL) or a foreign language (EFL). As English language teaching in many Thai and Chinese middle schools and universities are still conducted mainly in traditional ways in the classrooms, such as the teacher-centered teaching, the findings and discussions above may indicate that it is necessary and useful to develop ESL/ EFL teachers in terms of their pragmatic knowledge of L2 language since teachers normally function as language models of the students. Conversational routines, such as giving compliments and responding to compliments, are not universal. These speech forms are specific to the language being used (Aijmer, 1996). Mastering intercultural competence is not necessarily assimilated to the target culture (Pohl, 2004). To solve the problems, EFL teachers need to have pragmatic awareness in L2 when they are using it.

#### V. LIMITATIONS AND SUGGESTIONS FOR FURTHER RESEARCH

It is important to note that this study has investigated the CRs in English between Thai and Chinese EFL teachers with written role-play or DCT. The CR was required only to the interlocutors of equal status. Carrying out any further research using other research method, like employing oral role-play, might yield different insights. Furthermore, CR to interlocutors of higher and lower status should be included to examine whether or not the status of interlocutors can yield the variation patterns in using CR strategies. Other possible social variables, such as, gender and level of formality should be taken into consideration as factors that might affect CR strategy use. In order to obtain a comprehensive picture of CR strategy use, follow-up interviews should be conducted to broaden the understanding the the rationales behind the participants' strategy choices.

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# The Impact of Using Etymological Analysis on Teaching Vocabulary to EFL University Students

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**Abstract**—Being disappointed in retention of previously encountered vocabularies is one of the most reported displeasures that EFL students have faced during vocabulary acquisition so far. Since most of the English words descend from Greek and Latin roots, among the multitude of distinct strategies employed in teaching vocabulary, providing learners with an awareness of how existing words are able to be dismantled into different roots, not only generate the opportunity to let them discover the meaning of the words for themselves but also makes them capable of retrieving the targeted words easily. The present study, thus, aimed at exploring the very effect of teaching vocabulary to 59 participants who belonged to two intact classes. They were assigned to experimental and control groups. As far as the level of vocabulary proficiency was concerned, a pretest was administered to both groups. While the control group was going to acquire new words by means of dictionary, and through inferencing the meaning of unfamiliar words from text, the experimental group received treatment based on etymological analysis. After 6 weeks, an immediate posttest was administered to both experimental and control groups. The results were analyzed through one-way Analysis of Covariance (ANCOVA). Subsequently, a questionnaire was given to the experimental group in order to collect their opinions regarding the effectiveness of teaching vocabulary through etymology. Findings indicated that experimental group outperformed the control group. Consequently, the positive effect of this strategy and its implication in teaching vocabulary was manifested by opinions elicited from the experimental group.

**Index Terms**—vocabulary learning, etymology, retention, roots, dictionary learning

## I. INTRODUCTION

Apparently, the power which words exercise not only on the realm of education but also on the individuals' daily lives cannot be neglected. This very strong influence of vocabularies has been also proved during the history of human life. Since our capability to cope with such complex social, political, and economical complex world can be accelerated through possessing a fair command of language skills, learners need to be armed by such greatest tools as rich, vast vocabulary size in order to be successful either in their education or generally in their lives (Pikulski and Templeton, 2004). But vocabulary is vast and untidy. There were attempts to systematize it by teaching semantic fields, superordinates and hyponyms, notional/functional categories, etc., but ultimately vocabulary remains a big muddle (Swan, 1998).

Before the mid 1980s, vocabulary was considered a neglected area of second language learning and teaching (Meara, 1981). As Gough and Tunmer (1986) put, development of vocabulary is important and at the same time vastly ignored. However, the late 1990's offer a completely different picture. Vocabulary studies have received increased attention judging by the number of publication in the field, there are more empirical studies on vocabulary learning strategies.

According to Bogaards (2001), words constitute a major part of a language. In the EFL context specifically, a fairly large and comprehensive vocabulary size predicts and at the same time reflects high levels of reading achievement (Pikulski and Templeton, 2004). By the same token, one of the persistent findings in the field of second language learning and teaching is that the extent of students vocabulary knowledge relates strongly to their reading comprehension and overall academic success (Baumann and Ash, 2003). Thus vocabulary is considered as one of five



major components of reading instruction that is essential for learners to be successful readers. According to The Report of the National Reading Panel (2000), “the importance of vocabulary knowledge has long been recognized in the development of reading skills. As early as 1924, researchers noted that growth in reading power relies on continuous growth in the word knowledge” (p.4).

In the history of vocabulary instruction, there exist distinct types of vocabulary instruction such as definition based instruction, context-as-a-clue instruction, and semantic mapping approach (Bleckley, 2006) besides keyword method, translation, semantic mapping, guessing meaning from the context, mnemonic devices, etc. Although several studies demonstrate that vocabulary can be acquired indirectly through reading, the main concern specifically in the present study is how vocabulary instruction through Latin or Greek roots makes a difference (Zimmerman, 1997).

The ability to guess the meaning of unfamiliar words in a text is an important skill as learning the words largely depends on information derived from texts and also their roots (Hassan, 2002). So, effective second language vocabulary learning, specifically through learning the Latin or Greek roots, is particularly important for English as foreign language (EFL) learners who frequently acquire lexicons despite years of formal study. Raptis (1997) believes that the systems of vocabulary learning in reading has not received as much attention in second language research as other aspects of reading and the instructors should pay more attention to teaching roots to help the students learn the words in their second language faster. Schmitt (2008), also believes that “overriding principle for maximizing vocabulary learning is to increase the amount of engagement learners have with etymological items, mainly the roots” (p.352).

It is ostensible that general academic achievement and specifically reading success of the students are dependent on vocabulary growth, but there are decades of negligence considering putting those findings into practice (Pikulski and Templeton, 2004). A handful of studies have found that vocabulary increases as a result of instruction. While several scholars have stressed the significance of direct vocabulary instruction and the teaching of vocabulary strategies, little research has been carried out regarding the effectiveness of teaching specific vocabulary strategies (Brown and Perry, 1991).

Trench (1998) stated that just few linguists regarded etymology as the main body of the word studies. Among different vocabulary learning strategies, the etymological analysis strategy is just beginning to receive attention in the field. It means presentation of vocabulary through their comprising roots has been a relatively less trodden path in the area of research. Thus the present study aimed at investigating whether teaching vocabulary through Greek and Latin roots is effective than learning through traditional way of dictionary learning.

## II. REVIEW OF THE LITERATURE

Regarding the studies done so far, Paribakht and Wesch (1999) conducted a study in which they examined incidental learning of new vocabularies through the reading of thematically related texts on university EFL students. The purpose of the study was to investigate the way in which knowledge of vocabulary can be acquired as a by-product of reading comprehension. The researchers intended to specify the strategies, knowledge, and information employed by the learners when they faced new words while reading the texts. The results of the study revealed that learners had the tendency to ignore a large amount of new vocabulary they encountered. It was found that the main strategy which was used by the learners was inferencing.

Bellomo (1999), examined the effects of etymology instruction, which is teaching Latin roots on English as second or foreign language (ESOL) college learners who were came from both Latin-based and non Latin-based language backgrounds. The results of the study confirmed the advantage of etymology instruction strategy to learners whose first language (L1) were Latin-based. But generally either group of learners equally benefitted from explicit instruction of roots.

In another study, Baleghizadeh and Yousefpoori Naeim (2011) underwent a single-subject study in which they introduced semantic mapping strategy as a vocabulary presentation technique. The researchers employed two semantic mapping strategies and they believed that learners’ retention will improve using these strategy. The findings of the study substantiated that semantic mapping strategy did help learners retrieve learned vocabularies better.

## III. THE PRESENT STUDY

Since most of the English words descend from Greek and Latin roots, among the multitude of distinct strategies employed in teaching vocabulary, providing learners with an awareness of how existing words are able to be dismantled into different roots, not only generate the opportunity to let them discover the meaning of the words for themselves but also makes them capable of retrieving the targeted words easily.

This study aimed to examine the role of root learning in recognizing the meanings of new words, hypothesizing that this may affect positively on vocabulary learning.

### *Research Question*

Is there a significant difference in learning vocabulary through etymological analysis and traditional way of dictionary learning?

#### IV. METHOD

##### A. Participants

Two intact classes were selected as participants of this study. These classes consisted of 59 participants. They were assigned to experimental (n=31) and control (n=28) groups. The participants were both male and female university students, ranging from 21 to 28 years of age. It is worth pointing out that all the students were native speakers of Persian.

##### B. Instruments

A multiple-choice test of vocabulary was designed for the purpose of the present study. Firstly, a multiple-choice test of vocabulary consisting of 38 items was developed. Secondly, these items were piloted with 30 students at the same level of original participants. Then, after data collection, the process of item analysis was carried out. Finally, the very difficult or easy items were discarded, some were modified, and the 30 remaining ones were used as the pre-test and post-test in this study for experimental and control groups before and after treatment and placebo. The reliability of the test was calculated through Cronbach Alpha formula ( $r=0.84$ ).

In addition, a questionnaire, which consisted of five statements, was designed in order to see the participants' opinions concerning the effectiveness of learning vocabulary through etymology and the quality of retention of learned vocabulary items. This survey focused on assessing the degree to which teaching and learning new vocabulary items through etymology affect the development of EFL learners' knowledge of lexicon and its retention in the passages of time.

##### C. Material

Six texts were selected to be used as a main material for both experimental and control groups concerning the level of students' proficiency in English. The texts with interesting topics were chosen from the book, "*The World of Words: Vocabulary for College Students*". Every passage presented a reading selection that included several words to learn followed by an exercise that tested students' understanding of words used in context. In addition, a pamphlet including the etymological analysis of the new words in the passages were also designed and used for the experimental group.

##### D. Procedures

The participants of this study were divided into two groups: experimental and control. The designed pretest of vocabulary was administered to the two groups to elicit evidence in order to compare with the posttest results. Then, the students of both groups received treatment and placebo respectively. That is, the experimental group received treatment on etymological analysis of vocabulary in six sessions during six weeks. They were asked to read the texts with unfamiliar vocabularies which could be dismantled into their Latin or Greek roots. The students of experimental group were also allowed to use a pamphlet including the etymological analysis of new words used in the passages. They were actually taught to learn unfamiliar words using their root meaning presented in the pamphlet. They were also asked to exercise the learned roots and their meaning giving examples of words with the same roots. On the other hand, control group received the same materials but was taught new vocabularies through traditional way of vocabulary teaching in six sessions. In other words, students in the control group were asked to infer the meaning of the unfamiliar words from the text or use dictionary to look them up. After six weeks, the experimental and control groups both were given the posttest of vocabulary to examine the consequences of the two different ways of vocabulary teaching. The post-test results were gathered and compared with those of pre-test. The analysis of data was carried out through SPSS software, version 15. Finally, after the administration of the posttest, a questionnaire was given to the participants in order to collect their opinions regarding the effectiveness of employing etymological analysis as a way of vocabulary learning.

##### E. Results

A one-way between-groups analysis of covariance (ANCOVA) was conducted to compare the effectiveness of two different interventions designed to examine the effect of learning vocabulary through etymological analysis. The independent variable was the type of intervention (learning vocabulary through etymological analysis and learning vocabulary through dictionary use) and the dependent variable consisted of scores on the vocabulary test administered after the intervention was completed. Participants' pretest scores of the two groups experimental and control groups were used as the covariate in this analysis.

The 0.05 level of statistical significance was set at all statistical tests in the present study. The descriptive statistics was obtained to find out the mean scores of experimental and control group on the vocabulary test.

TABLE 1.  
RESULTS OF THE DESCRIPTIVE STATISTICS FOR DESCRIPTIVE STATISTICS  
Dependent Variable: Posttest Experimental and Control Group

groups	Mean	Std. Deviation	N
Exp	22.6774	4.10193	31
Cont	16.8214	3.68233	28
Total	19.8983	4.86966	59

Table 1 shows the mean scores of experimental and control group on the vocabulary test after the intervention. The experimental group had a mean of 22.67 (SD= 4.10) whereas the control group had a mean of 16.82 (SD= 3.68).

One-way between-groups analysis of covariance (ANCOVA) was conducted to see whether there was a significant difference between the experimental and control groups in terms of their posttest scores. Preliminary analysis were conducted to ensure that there was no violation of the assumptions of normality, linearity, homogeneity of variances, homogeneity of regression slopes, and reliable measurement of the covariate. The results are presented in Table 2, 3, and 4.

TABLE 2.  
RESULTS OF LEVENE'S TEST OF EQUALITY OF ERROR VARIANCES  
Dependent Variable: Posttest of Experimental and Control Group

F	df1	df2	Sig.
.258	1	57	.614

a. Design: Intercept + pretest of Experimental and Control + groups

Table 2 indicates that the Sig. value is .614 ( $p \geq .05$ ). This means that there was no violation of the assumption.

TABLE 3.  
RESULTS OF TESTS OF BETWEEN-SUBJECTS EFFECTS

Source	Type III Sum of Squares	df	Mean Square	F	Sig.	Partial Eta Squared
Corrected Model	1116.443 <sup>a</sup>	2	558.222	120.722	.000	.812
Intercept	128.584	1	128.584	27.808	.000	.332
Pre Exp and Cont (covariate)	611.935	1	611.935	132.338	.000	.703
groups	282.785	1	282.785	61.155	.000	.522
Error	258.946	56	4.624			
Total	24736.000	59				
Corrected Total	1375.390	58				

a. R Squared = .812 (Adjusted R Squared = .805)

TABLE 4  
RESULTS OF ESTIMATED MARGINAL MEANS

groups	Mean	Std. Error	95% Confidence Interval	
			Lower Bound	Upper Bound
Exp	22.026 <sup>a</sup>	.390	21.244	22.808
Cont	17.543 <sup>a</sup>	.411	16.719	18.367

a. Covariates appearing in the model are evaluated at the following values: pretest of Experimental and Control group = 16.4915.

Table 3 presents the main ANCOVA results. The Sig. value of the independent variable (groups) variable is .000 ( $p < .05$ ) which is less than .05. It means that there is a significant difference between the posttest scores of the experimental and control groups.

Table 4 also shows the results of the effect size as indicated by Partial Eta Squared value. Here, this value is .52 which is a large effect size according to Cohen's (1988 cited in Pallant, 2007) guidelines. This value also indicates how much of the variance in the dependent variable is explained by the independent variable. Here, independent variable can explain 52 percent of the dependent variable.

The other piece of information gained from Table 3 concerns the influence of the covariate. Here, the Sig. value of the covariate is .000, which is less than .05. So, there is a significant relationship between the covariate (pretest of both groups) and the dependent variable (posttest of both groups), while controlling for the independent variable (groups). Moreover, the result shows that the covariate can explain 70 percent of the variance in the dependent variable.

## V. CONCLUSION AND DISCUSSION

The results indicated that there was a significant difference between the experimental and control groups in terms of their posttest scores. It means that learning vocabulary through the etymological analysis was more effective than the traditional way of dictionary learning. This result is in line with Bellomo's (1999) study in which learners, who benefited from explicit instruction of Latin roots, had improvement in their vocabulary knowledge.

The data collected from the questionnaire also indicated that 68 percent of the participants believed that after learning how to dismantle words into their roots, they could discover new words' meaning easily without using dictionary. Likewise, 63 percent of the participants stated that learning words through etymological analysis gave them more confidence in learning more English vocabulary items. Moreover, regarding the ease of retention of vocabulary, 72 percent of the participants were able to remember better the words that they have learned through etymological analysis. In the same vein, 66 percent of the participants pointed out that encountering an unknown word in a text, they could

break it down to its roots and find meaning rather than looking it up in dictionary. Finally, 78 percent of the participants asserted that they could effortlessly retrieve the learned words even three weeks after receiving treatment.

On the basis of participants' opinions elicited from questionnaire, the advantage of employing etymological analysis as an independent technique for vocabulary teaching became apparent. Hence, it could be recommended that using such technique either by itself or along with other techniques mentioned in the literature can be helpful in the development of lexical knowledge of EFL learners.

It is worth mentioning that the results of this study cannot be generalized to all EFL learners in different conditions due to the limited number of participants and small number of treatment sessions. Furthermore, as mentioned earlier, few studies have been conducted regarding teaching etymology in the field of vocabulary teaching and learning. Thus, further research studies concerning vocabulary instruction are needed in the area of second/foreign language learning.

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#### APPENDIX

##### Tables

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F	df1	df2	Sig.
.258	1	57	.614

a. Design: Intercept + pretest of Experimental and Control + groups

TABLE 3.  
RESULTS OF TESTS OF BETWEEN-SUBJECTS EFFECTS

Source	Type III Sum of Squares	df	Mean Square	F	Sig.	Partial Eta Squared
Corrected Model	1116.443 <sup>a</sup>	2	558.222	120.722	.000	.812
Intercept	128.584	1	128.584	27.808	.000	.332
Pre Exp and Cont (covariate)	611.935	1	611.935	132.338	.000	.703
groups	282.785	1	282.785	61.155	.000	.522
Error	258.946	56	4.624			
Total	24736.000	59				
Corrected Total	1375.390	58				

a. R Squared = .812 (Adjusted R Squared = .805)

TABLE 4.  
RESULTS OF ESTIMATED MARGINAL MEANS

groups	Mean	Std. Error	95% Confidence Interval	
			Lower Bound	Upper Bound
Exp	22.026 <sup>a</sup>	.390	21.244	22.808
Cont	17.543 <sup>a</sup>	.411	16.719	18.367

a. Covariates appearing in the model are evaluated at the following values: pretest of Experimental and Control group = 16.4915.

##### Pretest and Posttest

Name:

Time:

- According to recent studies, finger print patterns can often reveal **congenital** health problems.
  - natural
  - usual
  - fortunate
  - horrible
- The **genocide** of Americans during World War I resulted in over a million deaths.
  - suffering
  - sadness
  - murder
  - hunger
- The girl's **vivacious** temperament and sense of fun made her popular at school.

- a. innocent b. careless c. young d. lively
4. The **philanthropic** work of the foundation benefits all sectors of society.  
a. financial b. sociable c. charitable d. equitable
5. Psychologists believe that the human **psyche** is governed by primitive needs for food and love.  
a. family b. soul c. terror d. loneliness
6. Although germ theory was once laughed at, it is now considered a **tenable** explanation of how diseases spread.  
a. logical b. negative c. desirable d. ridiculous
7. Since scandal has ruined many careers, public figures should be **circumspect** in their personal lives.  
a. unfriendly b. worried c. cautious d. busy
8. The newspaper **retracted** its false statements about the political candidates.  
a. was firm about b. discussed intelligently c. delayed slightly d. took back
9. Those who walk with their hand in their pockets may be **perverse** and critical of others.  
a. unhappy b. contrary c. observant d. lonely
10. They had **inadvertently** left without paying the bill.  
a. meticulously b. accidentally c. profoundly d. presumably
11. The **malevolent** criminal deliberately released poison into the water.  
a. evil b. careless c. thoughtful d. smart
12. Work on the building was **impeded** by severe weather.  
a. ignored b. inspected c. blocked d. postponed
13. Researchers find that plants are **beneficial** to the quality of the indoor air.  
a. noticeable b. harmless c. superficial d. helpful
14. An increase in employment is an **auspicious** sign for the economy.  
a. favorable b. noticeable c. reasonable d. detrimental
15. The brightly lit, large store was **conspicuous** on a street filled with dark buildings.  
a. constant b. noticeable c. enormous d. broad
16. According to experts, money is the most common cause of **discord** in marriage.  
a. poverty b. hopelessness c. disagreement d. empathy
17. My wife and my mother **concur** on the suit I should wear to the interview.  
a. state b. think c. influence d. agree
18. The student's appearance was not so **reputable** that we thought he was a beggar.  
a. respectable b. impressive c. good looking d. bad sounding
19. Since Thelma was **gregarious**, she liked to talk to client while she styled their hair.  
a. intelligent b. sociable c. charming d. untrustworthy
20. Both houses of Congress **congregated** to hear the president's State of the Union address.  
a. cheered b. accepted c. gathered d. socialized
21. Hundreds of flood victims have lost all their possessions and left **destitute**.  
a. fearful b. insane c. unhappy d. poor
22. People were **incredulous** when told that the boy had survived for three years alone in the forest.  
a. unbelieving b. amused c. surprised d. horrified
23. As the pretended heirs of Peter Wilks were disposing of his fortune, the **veritable** heirs arrived.  
a. dreadful b. true c. sudden d. slight
24. Any **deviation** from this procedure would invite the invasion of the unlucky spirit.  
a. benefit b. rumor c. change d. noise
25. The false prophet **deluded** people into thinking the world would end by New Year's Day.  
a. helped b. advised c. frightened d. fooled
26. The **equitable** professor graded all students by the same standard.  
a. fair b. good c. helpful d. strict
27. We find it **incongruous** when very rich people shop at discount stores.  
a. uncomfortable b. ridiculous c. not in harmony d. not at peace
28. Modern human beings feel **antipathy** toward slavery.  
a. fear b. hatred c. poverty d. pride
29. Because the house wife kept her **equilibrium**, she was able to deal calmly with three crying children and a broken window.  
a. comfort b. confidence c. balance d. focus
30. When I am on vacation, I **revert** to my old habit of sleeping late.  
a. go forward b. go away c. go out d. go back

### Reading passages

#### Passage: The Origins of Superstitions

Why the number thirteen is considered unlucky? Why do people do who spill salt throw some over their shoulder? Are black cats evil? Can a mirror steal your soul? No scientist has **verified** these superstitions, yet many people once believed them without question. How did they originate?

The number thirteen has long been considered unlucky. According to legend, thirteen pins can make a dead spirit haunt a living person. A magician makes a doll that represents a living person and pierces it with thirteen needles. The doll is then placed on a grave, and a dead soul supposedly rises and haunts the unfortunate person represented by the doll.

(1)Thirteen was also believed to be a central number in the **creed** of witches. These supposedly evil souls were thought to refuse to obey God and to swear **fidelity** to the evil. Thirteen was the ideal number for a witches' coven, or meeting.

Many people considered Friday an unlucky day of the week because it was the day on which Christ was crucified. When Friday coincides with the thirteen of the month, we get an especially unlucky day. However, other Fridays have also been known as Black Friday, left many people **destitute**.

Unlike the number thirteen and Friday, salt was considered lucky. Because salt was used to preserve food, people believed that it would drive away bad spirits. However, spilling salt was thought to invite evil spirits. (3) In fact, dropping a salt container could make a **nonchalant** diner suddenly become frantic. There was only one way to avoid disaster: the diner had to take some salt into his right hand (the side of his lucky spirit) and throw it over his left shoulder (the side of his unlucky spirit). (4) Any **deviation** from this procedure would invite the invasion of the unlucky spirit, who was always lurking on the left.

Cats have held a special place in our superstitions. The mysterious ability of cats to survive falls from high places led the Egyptians worshiped cats.

(5) In contrast, cats have had a rather star-crossed (unlucky) fate in Europe. The fact that cats' eyes reflect light in the dark caused European people of the Middle Ages to think they were evil spirits. Cats were often pictured as witches' companions, and some people thought that, after seven years' service, a cat might even become a witch. Since black was the color of the devil, black cats inspired especially intense fear. God-fearing people walking at night might see a black cat cross their path. (6) Certain that they had seen a devil, they would break into a **veritable** panic. A cat that crossed from left to right was particularly frightening.

People often made ridiculous claims about cats. For example, in 1718 a man named William Montgomery claimed that two elderly women had been found dead in their beds on the morning after he had killed two noisy cats. (7) Montgomery **deluded** himself into thinking that the cats had been these women in disguise.

Such attitudes could lead to vicious persecution. Women who owned cats might be persecuted for witchcraft. Women of stage appearance were most likely to be accused; (8) however, at times, when quiet, **nondescript** women were accused of being witches.

A less harmful, though no less silly, superstition revolved around mirrors, which many people believed had magical powers. Perhaps you remember Snow White's stepmother asking her magical mirror. "Mirror, mirror on the wall. Who's the fairest one of all?" The ancients believed that breaking a mirror would bring seven years of bad luck, avoidable only if the pieces were quickly buried. The seven-year figure was given by the Romans, who thought that the human body renewed itself every seven years. Others believe that a mirror broke because bad spirits appeared in it. Throughout history, people have feared that a mirror would steal the weak soul of a sick person or a newborn. (9) Of course, this idea had no **veracity**, yet some people would not allow infants to see a mirror until they reached one year of age.

(10) Most modern people are **incredulous** when told of these superstitions. Yet some of us still believe that they have **credibility**. An occasional high-rise lacks a thirteenth floor; the numbers simply skip from twelve to fourteen. Some people throw salt over their left shoulders, even if it is a tongue-in-cheek (jokingly; insincerely) gesture or they no longer know why they are doing it. Perhaps you know somebody who shivers with fright when a black cat crosses a path at night and flashes its fiery eyes. Whatever the origin of superstitions, it's clear that some haunt us, even today.

### Exercise

Each numbered sentence below corresponds to a sentence in the passage. Fill in the letter of the choice that makes the sentence mean the same thing as its corresponding sentence in the passage.

- Thirteen was also believed to be a central number in the \_\_\_\_ of witches.  
a. great harm    b. bad character    c. belief system    d. bad luck
- A financial panic known as Black Friday left many people \_\_\_\_ .  
a. fearful    b. insane    c. poor    d. unhappy
- In fact, dropping a salt container could make a \_\_\_\_ diner suddenly become frantic.  
a. calm    b. hungry    c. horrified    d. pleasant
- Any \_\_\_\_ fro this procedure would invite the invasion of the unlucky spirit.  
a. change    b. benefit    c. rumor    d. noisy
- Certain that they had seen a devil, they would break into a \_\_\_\_ panic.  
a. dreadful    b. sudden    c. slight    d. true
- Montgomery \_\_\_\_ himself into thinking that the cats had been these women in disguise.  
a. helped    b. fooled    c. advised    d. frightened

7. Even quiet, \_\_\_\_ women were killed as witches.  
 a. peaceful acting    b. warm-hearted    c. very religious    d. ordinary looking
8. Of course, this idea had no \_\_\_\_.  
 a. support    b. faith    c. belief    d. truth
9. Most modern people are \_\_\_\_ when told of these superstitions.  
 a. unbelieving    b. amused    c. surprised    d. horrified

### Questionnaire

Name: _____ Gender: _____ Term: _____		Yes	No
Please read the items carefully. Put a tick under 1 for "Yes", and 2 for "No." Thank you very much for your contributions.		1	2
1	After learning how to dismantle words into their roots, I can discover new words' meaning easily without using dictionary.		
2	Learning words through etymological analysis gives me more confidence in learning more English vocabulary items.		
3	I can remember better the words that I have learned through etymological analysis.		
4	Encountering an unknown word in a text, I try to break it down to its roots and find its meaning rather than looking it up in dictionary.		
5	The words that I have learned through etymological analysis retain in my mind better and longer than those I have memorized through dictionary.		

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# Integration of ESP into EGP: The Multidimensional and Hybrid English Training Model in Liaoning Police Academy

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**Abstract**—College English learning is undergoing the reform of phase III in China focusing on the transformation of curriculum substantiality from English for General Purpose (EGP) to English for Specific Purpose (ESP) and the application of computer network technology. In view of this mega trend, the Multidimensional and Hybrid English Training (MHET) is accordingly conceived and applied, which integrates policing English into college English learning in three training programs: Multidimensional integration of policing English training into College English class; students' self-learning and tridimensional interaction on VPIE platform and Growing-up English QQ group; and multicultural activities on the campus. This hybrid English training model not only consolidates the students' previous English competence in different aspects, but also enhances their policing English literacy and professional skills. Most important of all, MHET pioneers the promising way for the reinforcement of college English and the extension of professional English by means of positive integration and effective interaction. MHET embodies the concept that EGP is the solid foundation of ESP, and ESP is the elementary requirement of the profession, so both of them have to be valued equally and promoted together so as to realize the ultimate goal of EFL education.

**Index Terms**—EGP, ESP, MHET, college English, policing English, VPIE network

## I. INTRODUCTION

College English learning in China has experienced three phases of reform from 1982 to the present. The Higher Education Department of the Ministry of Education implements college English reform normally every ten years in accordance with the changes of the internal situation and social requirements for English. Now it is undergoing the reform of phase III beginning from 2002 focusing on the transformation of curriculum substantiality, which gives prominence to the necessity of introducing ESP into the higher professional education, and the application of integration of computer network technology into college English curriculum as well. In view of this new trend and emphasis, the integration of policing English into college English learning in the police academy should be highly valued and appropriately adjusted in order to enhance the police officers' basic capacity to apply English to fulfill their lines of duty successfully so as to cope with the huge challenges from the contemporary international policing liaison, such as investigating transnational crimes in cooperation with International Criminal Police Organization, and dealing with the internal criminal cases involving foreign suspects in a proper and effective way in English.

Multidimensional and Hybrid English Training (MHET) model was conceived and practiced under network environment, which mainly involves three basic training programs: multidimensional integration of policing English teaching into college English class, students' self-learning and tridimensional interaction on VPIE platform and Growing-up English QQ group, and multicultural activities. Through multidimensional and hybrid English teaching, the traditional English class can be switched to a dynamic English stage on which every participant is playing a unique part. The students' fundamental English skills are enhanced through particular module training with different goals, and their professional English levels are upgraded through role-plays in accordance with the Virtual Policing in English scenarios which is the highlight of our English class, such as the preliminary examinations, the routine patrol, the open trial, and the traffic accident management. Under the assistance of network technology, the English class is no longer occupied by the instructor's continuous monologues or the students' passive absorption or indifference. On the contrary, the instructor utilizes various media to assign different policing tasks to ask the students to fulfill in proper and fluent English. Along the way, the students can also make full use of the network to explore and gather the latest information from foreign police websites or Wikipedia to realize the objective of self-learning to develop such capabilities as collecting the materials, analyzing the specific data, judging the cases, and reasoning the precise conclusion. On all accounts, the aim of integration of policing English into college English learning is to provide the students with numerous accurate and original English texts and other learning resources via multimedia and network to mobilize all the students' physical and mental potentialities, and thereby to promote their learning interest and motivation, improving their practical and professional English proficiency.

## II. THEORETICAL UNDERPINNING OF ENGLISH FOR SPECIFIC PURPOSE AND MULTIDIMENSIONAL AND HYBRID ENGLISH TRAINING

### A. *Theoretical Underpinning of ESP: The Foundation of the College English Reform*

**Imperfection of Teaching College English Only:** To realize the objective of laying good groundwork of English and developing the integrative capabilities of listening, speaking, reading and writing is suitable for English teaching in primary and secondary education in China, but not for the college English. The ultimate goal of English learning is not to learn, but to apply. Consequently, the new round of college English reform established the goal to enhance the students' capabilities to apply English into practice in different professions. Specifically, academic English rather than basic English should become the focus of study. The college English circle has been persisting in teaching general English instead of academic English, which mainly derives from two causes, for one thing, college English is a quality-education course, for another, the levels of our college students are lower than demands. In fact, however, it's hard-pressed to quantify the levels of the general English. Moreover, to lay groundwork is a relative issue and its degrees depend on fostering objectives and allocated hours. For those students who have definite major and proper English level, if they spend four years of college life inputting merely general English knowledge and taking part in CET 4 and 6, or TOEFL, it must be a huge waste of golden time. Just as Pang (Pang, 1994) put forward: if our English teaching from primary school to the college always revolves around general English which doesn't connect with the learners' and social demands very closely, or even entirely out of joint, we cannot deny that it's a kind of educational failure.

**Learners' needs for English Learning:** There are demanding foundation for advancing that the new objective of college English teaching should be academic English teaching. Academic English is divided into two categories of EAP (English for Academic Purpose) and ESAP (English for Specific Academic Purpose). The former facilitates the students to prepare well for the learning skills in professional English or bilingual course, and the latter helps them be familiar with the characteristics of professional vocabulary, syntax and passage to be completely ready to have professional English class. A document of the Ministry of Education issued in 2001 stated that undergraduate education should create some chances for teaching common or professional courses in English or other foreign languages. The higher education institutions should adopt preferential policies to urge the construction of bilingual courses. After years of reforming practices in Zhejiang University and Fudan University, it can be concluded that the students feel frustrated to listen to the professional course in English after EGP training, but the course of academic English can cover this limitation and lay good foundation for the further bilingual course. The job markets also require the graduates to grasp not only the basic capabilities in English, but also in professional English. For instance, Dalian IT Wanted absorbed 200 enterprises to join, such as Dell, HP and Huawei who offered 5,000 posts. Among 20,000 applicants, 60 percent of them failed due to disqualification in professional English in reading and writing. Their English levels were far from what the post demanded. (Lin, 2009) As a matter of fact, 74.4% of students passing CET 4 and 6 are eager to continue learning English to prepare for the future profession. (Liu & Liu, 2008)

**Enhancing the Efficiency of English Learning:** The conversion from basic English to academic and professional English is not merely to find the fresh stimulation to encourage English learning, and meet the social requirements, but to enhance language learning efficiency. The ultimate goal of language learning efficiency is learning of meaning rather than that of form. Learning of form is necessary, but after grasping the general grammatical rules and vocabularies, we should switch to knowledge learning to enhance our abilities in English use. According to this theory, the college English credits tend to refer to academic and professional English in many universities in Hongkong. The focus of college English is put in ESP in South Korea and Japan. In particular, the Japanese college English has converted from "To Learn English" to "To learn (knowledge) by means of English". (Zhang, 2001) The students not majoring in English in Greece don't learn college English, but learn ESP, such as Economic English, Medical English, and Law English. The survey conducted by Britain Cultural Committee indicated that English teaching in 21st century would change dramatically, and the radical change was that it wouldn't be onefold language learning, but the combination with one aspect of professional knowledge or one subject. (Liu, 1996) David Graddol reaffirmed in his book of English Next that the future English teaching should be content and language integrated learning. (Graddol, 2006) The purpose and practice of Chinese college English still center around learning language for language learning, which is indeed a case of outdated strategy in language learning.

### B. *Theoretical Underpinning of Creating MHET: Constructivism, Humanism, and Post-method Pedagogy*

It is a combination of a series of theoretical pith including Constructivism, Humanism, and Post-method pedagogy that contributes to the conceiving of MHET model. Constructivism is an important theoretical base to form MHET, which believes that human cognition is a process of experience, discovery and creation in which teacher should make a point of creating such learning environment as problem-solving, group-study, and multilateral interaction. The knowledge is the construction and reconstruction of the experience, and a continuous, psychological constructive process. As a result, the knowledge cannot be obtained by the teachers' simple transmission, but by the students' voluntary and active construction depending on their past knowledge and experience in some definite circumstances through cooperative activities among instructors and students. Circumstance, cooperation, conversation and significance construction constitute four attributes of learning environment. Under the instructor's guidance, the student-centered

learning strategy will focus on some definite communication tasks, ensuring significant communication between participants. To sum up, MHET meets the basic conditions of language learning: the rich and real language contact, the opportunity to use language in the true sense, the mobilization of learning motivation, and the focus of the language form.

The well-known exponents of Humanism psychology are Maslow A. and Rogers C. R. who consider human development is based on the demand of the personal self-fulfillment leading to the formation of personality. The individual potential is explored and developed mostly by one's own discovery. In general, two types of learning method can be adopted: they are significant and insignificant learning. The former one promotes experimental learning stressing the learners' experience and perception to impel them to learn willingly and actively. (Rogers, 1969) Post-method pedagogy was perfected by an Indian scholar, B. Kumaravadivelu who concluded three parameters in learning: particularity, practicality, and possibility. Kumaravadivelu insists that post-method learners be ones with certain decision-making power in learning affairs, while post-method teachers be ones breaking through the restrictions of the school, the curriculum, and even the textbook, opening up the flexible, innovative and independent teaching activities. (Kumaravadivelu, 2001)

### III. DESIGN AND PRACTICE OF THE INTEGRATION OF POLICING ENGLISH INTO COLLEGE ENGLISH

#### A. Multidimensional College and Policing English Teaching and Learning in EGP Class

College English provides the solid foundation for ESP learning, so the college students have to fulfill at least one year of college English learning and training before they turn to the next stage of ESP. But in order to help students in police academy au fait with and fulfill transition to the policing English effectively and efficiently, the author initiates definite teaching model of Multidimensional and hybrid English Training under multimedia & network environment. The following is a specific teaching process and also the recording of its first program: how a formal college English class realizes the double objectives not only consolidating the basic knowledge of college English, but also promoting the development of the professional skills in policing English.

This open English class is a training class after intensive reading of Unit Four in New College English: A Virtual Life. The author, according to the content of the text, designs four modules to train different capabilities in college English and policing English: they are summary hour, reading hour, performance hour, and information hour, as seen in the following Figure 1. These four modules put specific emphasis on capability training in listening and speaking, reading and writing, translating and cultural nurturing by means of selecting proper and multidimensional training materials and training strategies.

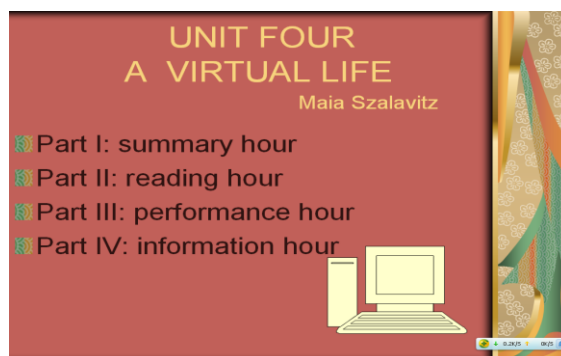


Figure1: The general introduction of the training class of A Virtual Life

The main purpose of summary hour is to develop the students' capabilities in summarizing, speaking, and forming critical thinking and holistic view through answering the teacher's questions and discussing with other students. First of all, the teacher asked the students to offer their different summaries of the text, and then provided her summary as follows:

*The heroine in A Virtual Life is a professional writer working in the virtual world most of the time. She could submit and edit her articles via e-mail; she could communicate with her colleagues and boyfriends through written words on screen; she could make purchase to meet her daily needs in the net stores. But she suffered a lot from this kind of life style after a while: she became shyer, more cautious, and more anxious; she attacked everyone online in sight; she fought her boyfriend as well; she couldn't adapt herself to the daily routine. So she forced herself back into the real world. Could you imagine the result of returning to the real world? She also suffered a lot from it: she couldn't put up with the face-to-face communication, the noisy world. At last, she fled to her apartment to restart her virtual life.*

After concluding the summary, the author put forward the question: *What kind of life style do you choose to live, virtual life or real life? Why?* According to the students' answers, the author drew a table to make their answers distinct in Figure 2.

Items	Virtual Life (30% students)	Real Life (70% students)
Pros	<ol style="list-style-type: none"> <li>1. We can communicate with the people home and abroad more easily and quickly.</li> <li>2. We can get and share vast resources from internet.</li> <li>3. We can save time and energy and protect our environment.</li> <li>4. We can enrich our lives through amusement functions.</li> </ol>	<ol style="list-style-type: none"> <li>1. We can have the real life experiences through face-to-face communication.</li> <li>2. We can have normal daily routines.</li> <li>3. We can save electric energy.</li> <li>4. We can go in for sports frequently to promote physical and mental health.</li> </ol>
Cons	<ol style="list-style-type: none"> <li>1. We cannot have enough time to care for our relatives and our friends, so the bond will be loose.</li> <li>2. We can separate with the normal lives, so we'll become isolated with others and the society.</li> <li>3. We can become immersed (addicted) in the virtual live without turning back to the real life.</li> <li>4. It will do harm to our physical and mental health.</li> </ol>	<ol style="list-style-type: none"> <li>1. We cannot communicate with others very conveniently.</li> <li>2. We cannot get vast information and educational resources very quickly.</li> <li>3. We cannot have more time to relax ourselves.</li> <li>4. We cannot solve the problems in work and life very easily and efficiently.</li> </ol>

Figure 2: The comparison of Virtual Life and Real Life in terms of pros and cons

After filling out the table, the author draws the conclusion about this ten-minute heated discussion. There are no abstract advantages and disadvantages. Everything is two-edged sword including the computer and internet. When they bring us powerful convenience and benefits, and inevitably, they bring us inconvenience and harm. Considering your points of views, we can reach a consensus that the computer and internet indeed change our traditional life to a modern and high-quality one, but they also do bring us the overt and covert harm and danger. As a result, we should learn to apply the modern technology in reasonable scope, not using it excessively to disturb our daily routine and do harm to our health. Through the practice of summary hour, the students can form a definite map in their minds concerning the virtual life and internet. Their capabilities in spoken English and making judgment by means of logical and critical thinking have been fully trained and developed.

Reading hour (or News Hour) aims at enhancing the students' fast reading abilities and enlarging the policing vocabulary through skimming the latest news relevant to the police. The author uploads the latest news or top stories from yahoo website, selecting the news report involving the case investigation, the trials, the crimes, and the policing management. In this reading hour, the author selects 3 Charged in Carjacking of Pastor Marvin Winans as the reading material. There are 594 words altogether, 2 language points and 12 important policing words to remember. Now let's take the first part as the example for further explanation.

*DETROIT (AP) — Three young men were arraigned Sunday in the assault and carjacking of popular Detroit pastor and gospel singing icon Marvin Winans.*

*The office of Wayne County Prosecutor Kym Worthy identified the suspects as Detroit residents Montoya Givens and Christopher Moorehead, both 20, and Brian K. Young, 18, of Macomb County's Clinton Township. They are charged with carjacking, unarmed robbery and conspiracy, said Maria Miller, Worthy's spokeswoman.*

*The charges carry up to life in prison.*

*The men appeared in Detroit's 36th District Court and were ordered held on \$200,000 bonds. Their preliminary examinations, in which a judge decides where there's enough evidence for the case to go to trial, are June 1.*

*A prosecutor's spokeswoman said Sunday she didn't think the defendants had lawyers yet.*

In this part, 10 words and phrases which are necessary vocabulary for the students to master are underlined. As the first step, the author helps the students remove obstacles of difficult words, and then requires some students to read the paragraph, asking their partners to translate it into Chinese. The author offers timely assistance and direction on reading and translating. After getting the general idea of the news, the author puts forward the open question to consider and discuss: *how to rear the young man to lead the life on the proper course and how to make a change and build good public security in America and China?* Reading hour enables the students to keep up with the pace of English evolution. The news is selected from yahoo website on May 21st, 2012. The students learn to grasp the main idea of news, enlarging their policing vocabulary as a good preparation for ESP learning, and also broadening their horizon to come into contact with the international perspective. This is a best integration of college English and policing English learning together through which the students can not only improve their reading ability, searching the topic sentence and grasping the main idea, but also keep abreast of the basic vocabulary and frequently-used sentence structure of the policing English.

Performance Hour is the actual language application in a virtual context, such as the traffic accident, the criminal investigation, the trial court, and the preliminary examination, focusing on the students' abilities in applying language into practice in order to realize the communication end of language. The author provides the actors with scenario including the title, the setting, the objective, the plot, and the references before performance. The following is the scenario of Drunk Driving (Liu, 2009) and Figure 3 displays the background information of this scenario.



Figure 3: The background information of Drunk Driving in performance hour

**Police Officer:** Can I see your driver's license, please?

**Foreigner:** Ah, yeah. I think it's in my pocket. No. Maybe my wallet. Uh. Yeah here.

**Police Officer:** Do you know how fast you were driving?

**Foreigner:** No, sorry. It's a rental car. I'm not used to it.

**Police Officer:** Have you been drinking tonight, Mr. Davidson?

**Foreigner:** I had one or two drinks. I'm okay to drive, though. I know my limit.

**Police Officer:** How long have you been in China?

**Foreigner:** A few weeks, why?

**Police Officer:** It seems you are unaware of our zero tolerance for drinking and driving.

**Foreigner:** I'm not drunk. I'll blow into a breath-tester.

**Police Officer:** In China you cannot operate a vehicle after consuming any alcohol.

**Foreigner:** Oh, I didn't know that.

**Police Officer:** You were also going over the speed limit, and get into my car. Mr. Davidson. I'm going to have to ask you to step out of your vehicle and get into my car.

**Foreigner:** This is crazy. But what about my car?

**Police Officer:** We'll have the rental car towed to the agency. When you're in our country you have to respect our rules.

According to the scenario, the author designs three multiple-choice questions. They are: (1) Why does the man get pulled over? (2) What is Mr. Davidson's excuse for his driving error? (3) What will happen to the man's car at last? Two students play the roles of the Chinese traffic police officer and American driver. Their excellent performance and standard spoken English are greeted with the students' applause and admiration. The students imagine they are on the highway scene, observing the incident of drunk driving and listening to the dialogue between two figures. And hence they can choose the best answers for three questions correctly and rapidly. The performance hour stresses the integration of policing English into basic English, developing the students' abilities in applying college English (including basic vocabulary, grammar and syntax) into specific English (including policing terms and background information). By means of language practice in virtual policing context, the students can experience directly and indirectly the process of performing the policing duties. This is an experience learning from which we can realize the real function of language that is to finish the task of person-to-person communication and solve the authentic problems. As for the police officer, they have to apply English to cope with their challenging work. This integration will promote interaction of two parts, for one thing, the students' abilities in college English are reinforced greatly, for another, their abilities in professional English are developed earlier.

Information Hour differs from other three hours, which focuses on awakening students' cultural awareness and promoting their cross-cultural communication capabilities in order to respond to the challenge of international cooperation and exchanges in the new era. Here, the author introduces the positive cultural view to students via an email between the author and her American friend now teaching in Liaoning Normal University- Missouri State University. The following is the original text full of rich cultural connotation:

Hi Linda,

It's the first time for me to receive the letter like yours. I was genuinely touched by your meticulousness and responsibility I felt on reading your letter. You unexpectedly answered every question I asked for you, your patience and respect for everyone is worthy of admiration. Before I make acquaintance with you, I only knew some of Aboriginal values and morals by reading original books written by scholars, but today I begin to feel and touch all these outstanding values demonstrated by an Indian scholar from America.

I go to my academy on Mondays and Thursdays to finish my teaching tasks, and I enjoy my teaching process so much. This term, I teach some new students from Xinjiang autonomous region, and they come from different ethnic groups: Uyghur, Mongolian, Kazak peoples, and so on.

I love to make friends with those from remote frontier; I introduce many cultural features of their ethnic groups, and I also invite them to teach us their languages from alphabets (or ABC). Now I am engaging in my project of how to enhance the college students' cross-cultural communication capabilities through network and field training. In fact, in each class I train my students' abilities to understand different cultures, helping them to develop a comparative and

positive cultural view. The main point is to know more about “other” cultures, and then respect them, learning merits from different cultures. Only in this way can our world become more peaceful and harmonious without wars, hatred, and conflicts.

*I do love to share with others my points of view, especially with those who can understand me, and you will be an important member.*

*Please keep in touch if necessary..*

*Kind regards,*

*Vicky*

The author firstly explains those unfamiliar words to the students, such as *meticulousness*, *Aboriginal values and morals*, *positive cultural view*, and then asks them to read and translate the content of email into Chinese. After finishing the general language training task, the author instills the minds of the students with sober-minded cultural awareness possessing positive cultural view. We, as the new generation of the modern world, have to contact and understand other peoples and their cultures by harboring active attitude. In order to build a peaceful and harmonious living space we must learn how to communicate with others home and abroad in the acceptable and appreciative way. First of all, we must devote ourselves to the study of human cultures of different ethnic groups, understanding their cultural essence and connotation. This cultural cultivation and cultural immersion is a long and hard process requiring the instructors to transmit the basic cultural concepts and develop the deep cultural thinking in each English class. And this cultural information hour plays the leading role in carrying out this education goal of cultural nurture through English teaching.

#### B. VPiE Network Self-learning (Wei, 2011) and Growing-up English QQ Group: Plan and Practice

**VPiE network self-learning platform:** The self-discovery and self-learning has been the focus and the ideal of the Humanism and Constructivism theory. The VPiE (Virtual Policing in English) Network consists of two major modules: Virtual Policing English Classroom (learning professional English) and Virtual Police Departments (training policing skills in English). It also installs nine function buttons including Registration, Login in, Evaluation, Forum, Contact us, and Visitors. (Liu, 2011) The VPiE network platform fully applies the modern combined technology of computer & network in order to achieve the VPiE goal of multifunctional interaction, timely updates, and international police integration and cooperation. Figure 2 is the homepage of VPiE, displaying the practical application of various functions in training.



Figure 4: Virtual Policing in English (VPiE) homepage.

**Virtual Policing English Classroom:** The English for Elite Police, as a standard and fresh police English teaching materials, has been made into eleven web pages corresponding with 11 units. The students firstly should register for this policing English course, and then go into the virtual classroom to learn the electronic book with audio and video systems. In addition to that, they can watch the teaching video online, for some of the materials have been made into the video by the English teacher, such as the Preface, the Acknowledgment, and Good to Remember, Writing, and Translation. The teaching video and other audio resources in listening and speaking turn the English book into the vivid language in our lives, which impels the students to throw themselves into the voluntary self-learning.

**Virtual Police Departments System:** this special professional system is made up of ten police departments including Police Headquarters (being responsible for the operation of the whole program), Police Administration Department, Command Center, Social Order Administration, Criminal Investigation, Criminal Justice, Traffic Safety Administration, Exit and Entry Administration, and International Liaison. Each department is supposed to own an independent homepage designed and run by the relevant major in the police academy or working police officers. (Liu, 2011) Likewise, every student should register for this training system with the permission of Police Headquarters, choosing to be a “formal” policeman of one department. Then he goes on to the next step to opt for a policeman part and a policing mission. The policing missions involve a wide range of policing work, for instance, the pre-trial task, the patrol duty, the hostage negotiation and rescue, the royal or VIP’s safeguarding, etc. After determining the concrete part and mission, the student can commence to go in for his virtual policing work coordinated by other participants playing other parts as colleagues, suspects, witnesses, and judges. In order to achieve the expected outcome, all students should go to



the VPEC as the first and foremost procedure to master the basic policing vocabulary, the customary sentence structures, the policing contexts and scenarios. Here let's look at some typical scenarios and the standard policing English in point.

Interaction Platform: VPIE also highlights interactive functions to realize student-to-media, student-to-student and student-to-instructor interaction through such entries as Evaluation and Forum, Download and Contact us. Any registered student can enter the Forum where everyone equally communicates with each other through E-mails or online instant communication. The student can also download the teaching videos or learning materials, the teacher's assignments or documents. In order to integrate with the international policing, the students can take part in international virtual enterprise running law enforcement acting online.

*Growing-up English QQ group:* On the basis of the author's present teaching task, the author initiates an English QQ group entitled with Growing-up. The students in her three classes and in other colleges can apply to join Growing-up with English names. Apart from the students, her colleagues and friends in English teaching in different universities are welcome to join this group as the learning assistants. The author is the leader and administrator of the group, being in charge of daily management, such as admitting the permission of joining the group, replacing the group bulletin, uploading various learning resources, and so on. Thus, under the technological support of QQ group software, the English teacher, the students, learning assistants create an online learning community. The Growing-up has the following learning and entertaining activities: (1) Sharing of excellent educational resources uploaded by the leader of group, the learning assistants and the student members. (2) English Discussion on the hot issues, such as the College Life, A Virtual Life, My Hobbies, Green World, How to make a policeman, and so on. The discussed topics are collected through questionnaire or interview. (3) Creation of various study groups according to students' individual interests and inclinations, for example, Elite English Study Group, Cross-cultural communication Study Group, English Literature Group, Movie Appreciation Group. The leader will arrange different learning assistants to act as the organizer and director of different study groups. (4) Interactive communication activities between the learning assistants and students online or offline, answering the students' questions and doubtfulness about English learning or cultural issues. (5) Promotion of video communication activities among learning assistants, foreigners and students. After one-month experimental operation of Growing-up, this English QQ group has grown from nine members (April 10, 2012) to 64 members (May 16, 2012). Learning assistants come from various universities including Liaoning Normal University, Taiyuan University of Science and Technology, and Liaoning Police Academy as well. These assistants major in cross-cultural communication, English translation, Canadian Studies, and college English teaching. The uploaded materials are also characteristic of diversity ranging from cultural knowledge, the latest world news, the scientific report, to the materials relevant to the police, the academic papers, the English compositions, the video and audio lectures and speeches in English.

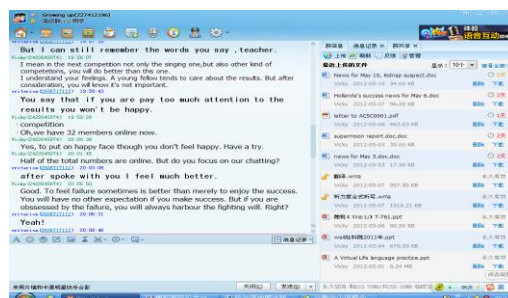


Figure 5: The uploaded learning materials and written communication recording between the author and community member in Growing-up English Hour.

### C. Multicultural Activities

Multicultural activities is the extension of self-learning, chiefly organized by the student-centered associations including English Club, Elite Police Group, and Policing English Team who can employ any kind of media to fully integrate the college English and policing English into their campus cultural lives. They can held a variety of thematic activities as follows:

Campus English Channel: Elite Police Group members are responsible for collecting and sending the latest police news home and abroad including the grave crimes committed currently, the case investigation report, the police training through English newscaster from 3-4 pm every other day.

Policing English Evening and Contest: English Club and Policing English Team take charge of holding English Evening, English debate and speech contest revolving around the following subjects: the holy duty of the policeman, the ideal building of the police force, the effective strategy answering to the new type of crimes, and so on. The English instructors, the working police officers, and even some foreigners are invited to act as the audiences or judges in the contest or performance, offering constructive recommendations and instructive criticism.

These multicultural activities will not only make the campus lives in full colour, but create adequate opportunities for the students to apply policing English texts into their campus lives, and hence, their professional English skills can be improved to the maximum.

## IV. CONCLUSIONS AND REFLECTIONS

The creation and application of MHET is aimed at solving the problem of discrepancy between college English and professional English, and promoting the adjustment of the policy giving priority to the college English. As the college English instructors, we have to comprehend the central theme of the 3<sup>rd</sup> reform of Chinese college English, fulfilling the objective of integrating ESP into EGP in our formal English teaching process. By means of the application of MHET, the subjects' basic English skills in listening and speaking, reading and translating have been improved greatly. In particular, their professional English capabilities in being familiar with and skilled in the use of policing vocabulary, syntax and discourse have been enhanced more quickly than we could have imagined. After one-term training in formal English class, self-learning on VPIE platform and Growing-up QQ group, and various multicultural activities, the students commence to adapt well to this multidimensional teaching model and tend to have a zealous passion for contributing to MHET. Admittedly, their average performance in the exams and their levels of English use in different contexts are much better than the students of other classes in the same grade. They welcome this English teaching reform with applause and participate into various English activities in and after class enthusiastically.

Although MHET has achieved some success, we still have some new subjects to discuss: (1) How to design an appropriate timesharing between EGP and ESP? (2) How to make a proper and detailed plan to connect ESP with EGP smoothly and scientifically? (3) What are the perfect strategies to teach ESP? The author believes that it is our responsibility to reflect upon these hot issues because it relates to the overall improvement of Chinese EGP level and the virtual regard for Chinese EGP development.

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# Natural Selection and *The Cage*

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**Abstract**—Naturalism flourished for the first time in France especially among Emile Zola and in his followers. Many European and American writers were influenced by this school and used its techniques in their writing. One of the main concerns of naturalists is the question of heredity and environment. Many naturalists focused on natural selection to analyze their society. This article intends to shed light on Sadeq Choobak's naturalism and the way he used natural selection in *The Cage*.

**Index Terms**—naturalism, Emile Zola, Sadeq Choobak, natural selection, *The Cage*

## I. INTRODUCTION

Literary critics considered Sadeq Choobak as the true pioneer of naturalism in Persian literature. Emile Zola, for the first time, introduced naturalism in France and this school of thought originated from historical situation of the nineteenth century, the development of the science, industrialism, and Darwin's theories. Different events such as consumerism and dominance of industrialism led to class distinction and behavioral abnormalities. In the society, one could observe the rich men who had whatever they desired and on the other hand one could find the poor men who tried hard but gained nothing. Many social reforms, revolts and suppressed protests of the time were represented in literature by naturalists especially Emile Zola.

In addition to the development of science and industries, Darwin's theories had great effect on naturalism. Darwin believed that, based on natural selection, the strong members of species are able to live, and the weak ones are destined to die. In addition, he believed that the genes have great influence on individuals, the species and their variations. Assumptions based on these ideas might imply that, man does not have freedom to choose, but rather is under the influence of heredity and the environment.

Naturalists used repulsive subjects and themes and they focused on poor men's lives; moreover, their language was colloquial and they described every scene in detail (Afshar, 1996, p. 18). Unlike the classic writers, who paid attention to upper class people, naturalists focused on the workers, beggars, and neglected people. The same as scientists, the naturalists consider the dark aspects of poor people's lives without expressing their own feelings and thoughts. The naturalists believed that the writers should act like a camera, which shows all the repugnant and repulsive aspects of the society without any changes in them. That is the reason why the naturalists portray all the problems carefully and show the influence of the environment and heredity on people's destiny as pessimistically and cynically as possible (Ouliaei Nia, 2006, p. 18).

The classic writers focused on the beautiful life the upper class had and described all the portraits, architectural features, perfumes, and flowers which existed in their luxurious houses; however, the naturalists focus on the social and individual life of each man and woman and consider the bitter lives of those who are suppressed and ignored by society.

## II. SADEQ CHOObAK

Sadeq Choobak was born in 1916. In August 1941, Choobak, Sadeq Hedayat and some other writers introduced new genre, the short story, to Persian literature.

Choobak used colloquial and slang language in his works because he intended to reflect Iranian's character and style of life through their language. Besides, like American realist writers, he focused on the structure of the story.

When Choobak started his writing many writers paid great attention to social and political affairs of the society that is the reason why they focused on the poor people's situation and the injustice which dominated the whole society. Choobak represented the reality as objective as possible and as a naturalist focused on the cruel world in which people were trapped in the hand of destiny.

In his writing, Choobak, as one of the founders of modern Persian literature, attempted to go into details and give an exact image of the reality.

Sadeq Choobak published his first book *Puppet Show* in 1945 and then he published his other books. He was considered as the writer of the first generation. "The writers of the first generation were those who used new techniques in their writing and made them fashionable in story writing" (Abdolhahian, 2000, p. 23).

In contemporary Persian literature, critics considered Choobak as a naturalist because of his themes and techniques: Choobak used an objective point of view and reported the scenes in a similar way to a camera reflecting reality. In addition, his attention to the working class and poor people gave him the title of naturalist in Persian literature. Choobak's prose is "fluent and simple" (Kianoosh, 1974, p. 18) and his characters are selected from low classes of society. These characters almost speak colloquially and they do not have any freedom to choose, making them slaves in the hands of destiny. This kind of characterization in Choobak's plot is the representation of poverty, loneliness, corruption, injustice and inequality of people in the selected society.

### III. NATURAL SELECTION

After returning from an exploratory voyage and studying Malthus's *An Essay on The Principles of Population*, Charles Darwin submitted his theories. His studies helped him to write his theories on natural selection. From 1842-1844, he developed and prepared the summary of his theories. Based on natural selection, defective, inefficient and inappropriate species are doomed to die and only strong species are able to live (Darwin, 1963, p. 168). Struggle for life between the weak and the strong species is one of the parts of Darwin's theory. In fact, natural selection appears to be the most important mechanism for creating complex adaptations in nature and the fittest species have the potentiality of survival, in another word, natural selection leads to the survival of the fittest.

If during the long course of ages and under varying conditions of life, organic beings vary at all in the several parts of their organisation, and I think this cannot be disputed; if there be, owing to the high geometrical powers of increase of each species, at some age, season, or year, a severe struggle for life, and this certainly cannot be disputed; then, considering the infinite complexity of the relations of all organic beings to each other and to their conditions of existence, causing an infinite diversity in structure, constitution, and habits, to be advantageous to them, I think it would be a most extraordinary fact if no variation ever had occurred useful to each being's own welfare, in the same way as so many variations have occurred useful to man. But, if variations useful to any organic being do occur, assuredly individuals thus characterised will have the best chance of being preserved in the struggle for life; and from the strong principle of inheritance they will tend to produce offspring similarly characterised. This principle of preservation, I have called, for the sake of brevity, Natural Selection. (Darwin, 1999, p.80)

### IV. THE CAGE

*The Cage* is the portrait of a hen-coop where many different hens and roosters live; there is not enough space in the cage and they peck each other and fight each other for food. This hen-coop is not only dirty but also too small; the birds have no freedom to move wherever they want; in addition, every other minute "a sun –scorched, veiny hand, filthy, ominous and calloused, thrust into the cage and searched among the caged ones (choobak, 1973, p. 64) then, the hand picks one chicken up. The other hens and roosters are indifferent to the victim's destiny and they still fight for food. Nothing changes in this cage; the story continues the same, all hopeless, unconscious, and waiting for their destiny.

Although the plot of the story seems to be simple, it has its own symbolic meaning which refers to the stupidity and ignorance of the people who live under the pressure (Hosseini, 2007, p. 151). Based on the plot, one can observe that Choobak, like all the other naturalists, paid great attention to the idea of natural selection and used it to add to the philosophical and ontological meaning of the text. Dehbashi believed that *The Cage* is the great portrait of "being or not being of man" and it is the same Naturalists' philosophical thought (Hosseini, 2007, p. 302).

A cage full of hens and roosters: neutered, scawny, scarred and snake-headed; cumin-colored, the color of bean flowers, the color of milk-rice, crested with featherless tails, short-legged; and misshapen, lame pullets, was placed on the edge of frozen jub. (choobak, 1973, p. 63)

One can consider the ice left outside the cage as the symbol of "dark and cold atmosphere dominated men's lives" (Mahmoodi, 2002, p. 97). The lives of these hens and roosters which are entangled by the destiny and become alienated (Hosseini, 2007, p. 151) are the symbol of the social problems that never end and will last forever; there is no hope for its improvement.

Naturalists intended to get close to the language and techniques of scientists. As Flaubert mentioned, "the writer should efface himself and only report the realities, without engaging his emotions" (Haghighi, 1993, p. 122). Zola believed that

The novelist functioned like a scientist, observing nature and social data, rejecting supernatural and transhistorical explanations of the physical world, rejecting absolute standards of morality and free will, and depicting nature and human experience as a deterministic and mechanistic process. (Pizer, 1995, p. 47)

The same as some naturalists used many repugnant, repulsive and sometimes vulgar and obscene words and descriptions, *The Cage* has its own vulgar language and Choobak not only did not omit them but also emphasized them in order to reflect the pitiable situation of men.

Near the jub next to the cage, rotten turnips, cigarette butts, cut off chicken heads and feet, and horse drug had fallen into the pit (choobak, 1973, p. 63)

Choobak as the true naturalist observed the outside world, described it, and reflected it in his story without giving any personal comments. This partial portrait of the reality helped Choobak to recreate the hidden, ugly and dirty aspects of life more precisely.

"The hideous and wicked aspects of the society are reflected through objects, scenes, and characterization in Choobak's works" (Hosseini, 2007, p. 241), in fact, the more the language is obscene and the description is more precise, the story is more persuasive; therefore, the reader can believe in natural selection more easily:

Those who had been beaten up their heads under their wings and legs, and beaks touched the shit on the floor whether or not they wanted to. Then, they were forced to touch the millet chaff stuck to in it. (Choobak, 1973, p. 64)

Outside, at the foot of the cage, an old-fashioned, sharp knife was cutting away at the chick's neck, and blood was spurting out. The hens and roosters could see this from inside the cage. (Choobak, 1973, p. 65)

In the above sentences, Choobak imitated the reality so precisely that the reader is able to imagine the scene in front of his/ her eyes. He selected the words carefully and reflected the extreme destitution and the unfortunate situation of these hens and roosters. By describing the fighting scenes between theses fowls and finding their food in the shit, Choobak presented the horrible situation of the selected society. In fact, "ignoring decorum is one of the aspects of naturalism and Choobak follows this rule" (Hosseini, 2007, p. 244).

In the selected society, the cruelty is so dominant and the situation in which the fowls live is so pitiable that none of them pays attention to the other fowls' destiny; they are doomed to die. As a result, *The Cage* is the story of the world, which is founded on the struggle for life (Dehbashi, 2001, p. 424).

In *The Cage*, natural selection is dominant; the weak fowls perish and the hand, which comes into the cage and symbolically represents the hand of the destiny, kills the survivors. As a result, one can notice that in *The Cage* "life is the combination of pain, suffering and bitterness; moreover, death walks everywhere" and the strong fowls rule over the weak fowls; the weak fowls naturally should be killed by the strong ones (Abdolahian, 2000, p. 57).

Presently, a red and flashy rooster made a furrow through the shit with its beak, picked it up and smeared it on the erect crest of a cumin-colored, shortv-legged hen. (Choobak, 1973, p. 65)

The fowls "are the victims and are condemned to coldness, loneliness, isolation, waiting and perplexity" (Dehbashi, 2001, p. 49). This suppressed fowls should struggle for their life and there is no way to escape this cruel destiny. They are blind, deaf and impotent not only in front of the destiny but also in the hand which comes into the cage each moment and lead them to die.

## V. CONCLUSION

There are some tracts of the usage of elements and narrative techniques of naturalism in contemporary Iranian literature. This tendency is more characteristic and typical in Sadeq Choobak's work, which is named the representative and pioneer of naturalism in Iran. The detailed description, the use of colloquial language, his attention to low class people, insistence on representing the corruption of the society, ... are features of naturalism presented in his writing.

In his short story "the cage", Choobak portrays a defeatist and dark situation that emphasizes continually inadequacy, failure, and inconsistency. The deviant "they" in "the Cage" equals a "they" in distress, emptied of its substance. Its failures and its successive perturbations indicate the disruption and instability of the subjectivity in enunciation that is among the main characteristics of naturalism.

Although Choobak represented problems of the society hopelessly and pessimistically, he did not offer any suggestions for how to solve these problems. He not only described the hidden and hideous aspects of life but also developed his writing through different techniques. Is it possible for men to choose freely rather than to be slaves in the hands of destiny? It seems that Choobak like the other naturalists believed in men's condemnation in this world. This article is one example to represent how Choobak was influenced by "Darwin's natural selection" and the way Darwin believed in the effect of heredity and environment on men's situation. This cruel destiny considers men as his puppets and leads them to die.

## NOTES

### *The Cage*

*Translated from the Persian by Charlotte Albright and Bahram Meghdadi*

A cage full of hens and roosters: neutered, scrawny, scarred and snake-headed; cumin-colored, the color of bean flowers, the color of milk-rice, crested with featherless tails, short-legged; and misshapen, lame pullets, was placed on the edge of frozen jub. In the jub the dregs of tea, coagulated blood, the skins of sucked and squashed pomegranates, orange peels, dried leaves and other kinds of crap were all mixed together in the frozen ice. Near the jub next to the cage, rotten turnips, cigarette butts, cut off chicken heads and feet, and horse drug had fallen into the pit.

The floor of the cage was wet, carpeted with chicken shit. Dust and straw and millet chaff were mixed with the shit. The legs and feathers of the chickens and roosters were wet. They were wet with chicken shit. They were cramped, all of them huddled together and stuck together like kernels of corn on the cob. There wasn't even room to crouch, stand or

sleep. They kept pecking each other's crests. There was no room. All of them were abused. None of them had any room. They were all cold. They were all hungry. They were all strangers to each other. Stench had filled the air. All of them waited. They were all in the same condition, and none of them was any better off than the other.

Those who had been beaten up their heads under their wings and legs, and beaks touched the shit on the floor whether or not they wanted to. Then, they were forced to touch the millet chaff stuck in it. Those who couldn't even touch the shit on the floor of the cage were forced to pick at the bars and stare outside. But there was no way out. Even subsistence was not possible in this place. Neither their cartilage beaks, nor their talons, nor their angry clutching, nor their force and pressure, nor their abusing each other helped them escape. But it amused them. The world outside was strange and cruel to them. Neither staring and looking painfully, nor the beauty of their wings and feathers helped them.

They were huddled together and pecked at their own shit and they drank from a broken bowl next to the cage. After drinking, they held up their heads in thanks and looked at the false and mocking ceiling of the cage, and moved their soft, thin throats.

While they were napping; they all waited out and watched. They were puzzled and didn't know what to do. There was no salvation. No avenue of existence or escape was open to them. They couldn't escape that cesspool. They were all biding their time; victims of a mass condemnation to coldness, estrangement, loneliness, bewilderment, and waiting. Suddenly, the door of the cage opened and there was a commotion inside. a sun –scorched, veiny hand, filthy, ominous and calloused, thrust into the cage and searched among the caged ones. The hand, with heartlessness, anger, and indifference, began to plow around among them and started a commotion. The caged ones smelt that familiar death-laden smell. They shrank and they flapped their wings and hid under each other's wings. The hand moved around above them, and, like a powerful magnet, shook them, as if they were iron filings. The hand searched everywhere, and, from outside, a radar-like eye led it until eventually stuck to the end of the wing of one emaciated chick and picked it up.

But the hand and the chick struggling in it, cheeping and flapping its wings, were hovering over the heads of the other hens and roosters, and had scarcely left the cage when the other hens and roosters began to scratch and peck and abuse one another in that cesspool. Coldness, hunger, confusion, estrangement, and waiting dominated them. They were all strange, indifferent, unkind, staring at one another or scratching each other with their talons.

Outside, at the foot of the cage, an old-fashioned, sharp knife was cutting away at the chick's neck, and blood was spurting out. The hens and roosters could see this from inside the cage. They were clucking and pecking at the bars of the cage. But the bars of the cage were hard. The world outside was visible, but there was no way out. They were looking curiously, in a frightened, expectant, weak manner at the blood spurting out of their cage mate who had just been freed. But there was no solution. That's the way it was. They were all silent, and the dust of death had been sprinkled over their cage.

Presently, a red and flashy rooster made a furrow through the shit with its beak, picked it up and smeared it on the erect crest of a cumin-colored, short-legged hen. The hen squatted down at once, and the rooster immediately mounted it. The wretched hen lay in the shit, then stood up. It shook itself and puffed up its wings and feathers, then started to peck the ground, then, it molted. It stood for a while and started pecking all over again.

The clucking and crying of a hen was heard. It circled around itself and then hastily squatted in the middle of the cage and abruptly laid an egg with no shell and covered with coagulated blood into the cesspool of the cage. Immediately, the sunscorched, veiny, filthy hand, ominous and calloused, tore into the cage and grabbed it out of that stinkhole, and, in the same moment, outside the cage, the mouth opened like a grave and swallowed it. The caged ones, while waiting, were staring into space.

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# Collocation in English Teaching and Learning

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**Abstract**—The purpose of learning a word is to put it in actual use. It is far from being enough to know just the meaning of a word, for we have to take into consideration the immediate context in which a word is used, i.e. the words preceding and following the word in question. Both the grammatical and lexical patterns are critical to the identification of a word in a certain sense. This paper is devoted to the elaboration on the concept of collocation, the importance of collocation and how to learn collocation.

**Index Terms**—collocation, colligation, association, context, English teaching and learning

## I. INTRODUCTION

For an intermediate learner of a foreign or second language, vocabulary has always been a bottleneck impeding his progress. At this stage, the traditional way of memorizing the meaning and pronunciation of a new word is far from meeting the need of the learner. With the expansion of the size of vocabulary, many problems arise concerning the proper use of a word in context, among which is collocation. However, students of English are more concerned about how to expand their vocabulary, that is, to increase the number of words they can remember. They pay no attention to or ignore the depth of their understanding of the word. How to deepen the understanding of the word is a problem facing them. Collocation is one of the most important aspects of knowing a word. That is to say, in order to deepen the understanding of a word, students of English must know its collocation. The paper is intended to first define collocation, and then inquire into the importance of collocation and finally provide some suggestions for the learning of collocation.

## II. WHAT IS COLLOCATION?

The idea of collocation was first put forward by J. R. Firth in 1957. Although the word is used widely, people's opinions are divided when it comes to the meaning of collocation. Robins (2000, p.64) argues that collocation is "the habitual association of a word in a language with other particular words in sentences." Robins' understanding of collocation agrees with Firth's and Halliday and Hasan's. In *Cohesion in English*, Halliday and Hasan (2001, p.317) argue that collocation, a means of cohesion, is "the co-occurrence of lexical items that are in some way or other typically associated with one another, because they tend to occur in similar environments." For example, the word *doctor* implies such words as *nurse*, *medicine*, *symptom*, *hospital*, etc. The *night* is closely related with *darkness*. Collocation, in this sense, is overlapped with the so-called semantic field. Words occurring in collocation or in the same semantic field exist as a group fit in a given situation. But the presence of one word does not necessarily lead to the occurrence of others in the group.

A distinction is often made between colligation and collocation. F. de Saussure (2001, p.121) called "relations based on linear character of languages" or "(c) ombinations based on sequentiality" syntagmatic relations. These relations are then specified as colligation, the grammatical patterns concerning certain head words, like "V to do, V doing and V that", and collocation, the regular company that a word keeps (Nation 2004, p.32), such as *strong wind* and *heavy rain*. We can see that collocation is the habitual co-occurrence of certain words in a certain grammatical pattern—colligation. In other words, colligation concerns the grammatical patterns required by certain words or types of words while collocation focuses on lexical items repeatedly co-occurring in company in the frame of certain grammatical patterns. For example, the verb *enjoy* can be used in "V+ Doing" and "V + Noun" patterns. The selection of verbs and nouns in these two patterns are not at random. We can say *enjoy a diner*, *enjoy a good income* and *enjoy one's life*, etc. but not \**enjoy death*, and \**enjoy crime*. In this distinction, the meaning of collocation is in a certain sense identical to Nation's definition of collocation. Nation (2004, p.32) regards collocation as "words that often occur together" or the company a word keeps. In corpus linguistics and computational linguistics, collocation defines a sequence of words or terms that co-occur more often than would be expected by chance. Being sub-type of phraseme, collocation is also a term in phraseology. A good case in point of a phraseological collocation is the expression *strong tea*. While the same meaning could be conveyed by the roughly equivalent \**powerful tea*, this expression is considered not idiomatic or even

incorrect by English speakers. By contrast, the corresponding expression for computer, *powerful computer* is preferred over *\*strong computer*.

Obviously, collocation is a kind of syntagmatic relation, but not all syntagmatic relations are called collocation. In order to better understand collocation, we have to make a distinction on the one hand between free combinations and collocation and on the other between collocation and idiom. Free combinations refer to the temporarily-made phrases based on certain grammatical rules to express certain ideas. For example, *buy a book* where *buy* can be replaced by *sell*, *select*, etc. and *book* by *ticket*, *pen*, etc. is a free combination. The combination is grammatically acceptable and semantically clear. The combination of *buy* and *book* is accidental depending on the meaning the speaker wants to express. That is, there is very weak or actually no obvious mutual restriction and mutual expectation between the two words *buy* and *book*.

The other distinction between collocation and idiom should be clarified. Idioms are fixed expressions with frozen meanings, thus fixed collocations, whereas collocations are mostly compositional in that the meaning can be calculated by putting the meanings of its component words together. Just as Sinclair (1991, p.110) says, "The principle of idiom is that a language user has available to him or her a large number of semi-pre-structured phrases that constitute single choices, even though they might appear to be analyzable into segments." An example of an idiom is *of course*, which operates effectively as a single word like "anyway" or "somehow". So we can regard idiom as a special case of collocation, which will be left out of discussion in this paper.

To summarize, collocation refers to the frequent co-occurrence and mutual expectation of some words which appear more often than by chance. In this sense, collocation can be called restricted combination, which exists between free combination and idiom and has semantic transparency. We will use this as the working definition for the present paper.

### III. THE IMPORTANCE OF COLLOCATION

Collocation is an important aspect in vocabulary acquisition. Free combinations are easy to acquire because they come from the structure of extra-linguistic reality such as *dark night* and *blue sky*, etc. They are "manifestly related to the referential and substantial meaning of the words concerned" (Robins 2000, p.56). However, there are no motivations for most collocations. The same conceptual meaning can be realized by different words, so people talk of *a powerful motorcar*, but of *strong coffee*; and of *rancid butter*, but of *addled egg*. This inexplicability of collocation calls for more attention of both teachers and learners of English. For a teacher of English, collocation should be an indispensable part of vocabulary teaching; idiomatic collocations of a new word should be given to the students. As a learner of English, it is necessary for him to realize the importance of collocation in word acquisition and pay more attention to the proper use of collocation.

Richard (1985, p.183) summarizes what is meant by mastering a word: 1) knowing the frequency of the word in oral and written language; 2) knowing the grammatical patterns of the word; 3) knowing its associated network with other words. Among these three criteria, the latter two have something to do with our discussion. Among these three criteria, 2) is about colligation and 3) collocation. It is difficult or impossible in most cases to have such a thorough knowledge of a word. But these criteria are important in that they point out the importance of deepening the understanding of a word. So far as collocation is concerned, its importance in English teaching and learning is manifested in the following aspects.

Collocation is a universal linguistic phenomenon. Words are always used together. They always present themselves in collocation. It is no exaggeration to say that none of the natural languages is free of collocation. In fact, "words seldom occur in isolation" (Wallace 1982, p.30). Collocation is not only a necessary element of language but also an outstanding feature that makes language specific and correct. Therefore, to learn English well learners should attach much importance to collocation. Wallace (1982, p.27) in *Teaching Vocabulary* emphasizes that to know a word in a target language "may mean the ability to use it with the words it correctly goes with, i.e. in the correct collocation...." Indeed, among many items of a word listed in dictionaries, the usage containing collocation information is very valuable and helpful. The aim of learning a new word is to put it in practical use and to make sentences. It is explicitly suggested in the introduction of *Oxford Collocations Dictionary for Students of English* (2003, p.vii) that "for the student, choosing the right collocation will make his speech and writing sound much more natural, more native-speaker-like, even when basic intelligibility does not seem to be at issue". There is a big difference between writing and speaking in English and writing and speaking in good English. The difference is to a great extent decided by the knowledge of and command of collocations. In a sense, the publication of the specialized dictionary itself clearly demonstrates the importance of collocation in English learning. To conclude, to use good (idiomatic) English, learners of English must learn collocation.

Collocation also provides a good way to memorize new words. Taylor is quoted by Nation (2004, p.38) when giving the reasons for studying words in collocation, "words which are naturally associated in context are learnt more easily than those not so associated; vocabulary is best learned in context; context alone is insufficient without deliberate association...." The context and the deliberate association including collocations provide connections that help learners to deeply understand a word's meaning and furthermore to add it to his or her current vocabulary. While giving a clue to memorize new words the method to learn words by collocations also instructs learners to use right words in right time and place. In contrast, without any awareness of collocation, learners will make up something not native or even

unacceptable. Chinese learners of English, who want to express “达到目的” in English, may find out words which respectively mean “达到” and “目的” and combine them into expressions like *\*reach/ arrive... aim/ purpose/ object*. Some very funny Chinglish expressions such as *\*talk love* (谈恋爱), *\*find an object* (找对象), *\*eat medicine* (吃药), *\*pay time* (花时间) are just coined in this way.

Most English words are polysemous, i.e. having more than one meaning. This is the inevitable result of the development of English words and the requirement of the economy principle of language. As a result, difficulty arises when it comes to the exact meaning of a word in a given context. It is pointed out in *Oxford Collocations Dictionary for Students of English* (2003, p.vii) that “the precise meaning in any context is determined by that context: by the words that surround the combine with the core word---by collocation.” For example, *handsome* can be used in different contexts. *A handsome man* is a good-looking man; *a handsome woman* is a physically strong woman; *a handsome reward* is a large amount of reward; *a handsome present* is a generous present. Only one meaning of *handsome* can be realized by the specific collocates in a given context. However, the common practice of students is to memorize the meaning of a word independent of any context and then apply the meaning whenever the word appears. This is the cause of some students’ feeling that although they know all the words in a simple sentence, they cannot make sense of it. For example, all the words in the sentence “She is my immediate neighbor” are familiar to some students but they can’t make sense of the sentence, for they don’t know the meaning of *immediate* in the collocation *immediate neighbor*. So the best way to memorize the different meanings of a word is to memorize its separate meaning in different collocations. A case may be made here that mastering a word means mastering all of its meanings. Since the different meanings of a word are decided by the context it appears in, memorizing its different collocations also means memorizing its different meanings.

#### IV. CAUSES OF CHINESE STUDENTS’ COLLOCATION ERRORS

The errors in the learner language may contain errors, which reflect the gaps between the learner’s knowledge of the target language and the idiomatic target language. Errors are systematic and predictable, resulting in the construction of some kind of rule, which is different from that of the target language. Mis-collocations are among the common errors in the speech of Chinese learners of English. Then what are the causes of these errors?

While the native English speakers intuitively make the correct collocation, based on a life-time experience of hearing and reading the words in fixed combinations, the Chinese learners of English have no choice but to learn the correct collocation by resorting to rote learning. The problem for the Chinese learners of English is that there are no collocation rules that can be learned. They have more limited experience and may frequently collocate words in a way that sounds odd to the native speaker. I am of the opinion that the collocation errors of Chinese students are mainly caused by L1 interference and overgeneralization.

##### 1. L1 interference.

These errors result from learners’ attempt to make use of their L1 knowledge. When Chinese students of English are not competent enough, they try to make use of Chinese patterns or rules which leads to collocation errors in English writing. Chinese is more economical in vocabulary in that it makes use of the same word (character) to express many different meanings where English employs separate words. The following chart shows this difference:

Chinese expressions	Equivalent English expressions	Chinese expressions	Equivalent English expressions
图书馆	library	啤酒	beer
展览馆	exhibition hall	葡萄酒	wine
照相馆	photo studio	白酒	liquor
大使馆	embassy	鸡尾酒	cocktail
体育馆	gymnasium	烈酒	spirits
博物馆	museum	香槟酒	champagne

As a result, such phrases are often made by Chinese students of English, even by the intermediate learners, as *\*learn knowledge*, *\*learn to speak* and *\*learn the example*. The correct expressions should be *pursue knowledge*, *learn to speak English* and *follow the example*. They make such mistakes because the English words *pursue*, *learn* and *follow* have the same equivalent “学习” in Chinese. In the same way, the Chinese expression “打开” is equivalent to *turn on* in *turn on the TV*, *open* in *open the box*, *answer* in *answer the door*, *loose* in *loosen the tie*, *unfold* in *unfold the letter* and *discover* in *discover the secrets*, etc. Influenced by the way Chinese uses a general term to express many different meanings, Chinese students of English transfer this habit into making wrong English collocations. We will now cite another example to show this influence. Pu Jianzhong (2003, P. 160) examined the collocational behavior of the English verb *catch* in the grammatical pattern “V+n” in CLEC, BROWN and LOB and found that *\*catch chance* is a collocation specific to Chinese students’ English and don’t actually appear in the two corpora of native speakers. Obviously, this collocation is made based on the Chinese expression “抓住机会”, in which “抓住” is equivalent to *catch* and “机会” is *chance*. *\*Catch chance* is made by Chinese students by simply adding *catch* and *chance* together without considering the problem of collocation.

##### 2. Overgeneralization



Besides L1 interference, learners tend to generalize the language knowledge acquired, that is, to formulate rules based on their learning experiences in order to apply these rules to new language materials. Or put it in another way, they tend to extend the use of a grammatical rule or linguistic item beyond its accepted uses. When it comes to collocation, they tend to generalize the use of a particular word in a right collocation to make wrong collocations. For example, *do harm to* is correct collocation; learners tend to generalize the use of *do* in this phrase to make new phrases like *\*do good to* and *\*do bad to*, which are actually illegitimate in English. In the same, based on *\*play computer* is made by analogy to *play the piano* or *play basketball*, etc.

In some cases, Chinese students make deviant collocations based on some correct collocations, neglecting restrictions and exceptions. For instance, based on the correct collocations *take measures* and *commit a crime*, Chinese students make *\*take some activities* and *\*commit a mistake*. Chinese make *\*commit a mistake* because they have generalized from the correct collocations of *commit*, such as *commit a murder*, *commit theft*, *commit suicide*, etc. that the words following *commit* all have negative connotations. In fact, not all nouns sharing negative connotations can be used together with *commit*. In the case of *mistake*, although it has a negative connotation, *make a mistake* is the correct collocation.

## V. HOW TO TEACH AND LEARN COLLOCATION

From what has been mentioned above, we can see that collocation is a big problem in learners' interlanguage. This is probably because inadequate attention has been paid to the teaching of collocation in teaching practice. In order to improve the quality of interlanguage and enable the students to produce idiomatic English, teachers of English must attach sufficient importance to the teaching of collocation when teaching vocabulary. The teaching of a new word must be conducted in a given context (but not in isolation). The teacher should divert students' attention to the exact context the new word used in and encourage them to try to remember the collocation the word appears in. The teacher's emphasis is necessary for students to develop a good habit of memorizing words in collocation. The consciousness of the importance of collocation in the learning of a new word will enable students to find the proper collocation for every word they learn.

Now more and more teachers have realized the importance of teaching vocabulary, but as for how to teach vocabulary there are still different arguments. Some teachers hold the view that since vocabulary can be learnt through extensive listening and reading, we don't need to spend much time teaching vocabulary explicitly in class. This is a great misunderstanding. Explicit vocabulary teaching is important. Part of class should be devoted to the explicit teaching of vocabulary.

As for students of English, frequent experience of learning materials written in native language is very important. Students should be encouraged to listen to or read genuine English written by native speakers. Immersion in native idiomatic English is helpful for developing good sense of English, especially good sense of collocation.

So far as the concrete methods of learning collocation are concerned, students can make use of the rich resources of dictionaries and the Internet. Nowadays, there are many excellent dictionaries of collocation. A good case in point is *Oxford Collocations Dictionary for Students of English*. As it is mentioned in the preface of the dictionary, "no matter how convinced learners are in principle of the importance of collocation, it is difficult for them to put these principles into practice without the benefit of an up-to-date, corpus-based dictionary of collocation." The dictionary can meet the needs of students and teachers. Whenever you meet a difficulty in collocation, you can just look up the key word in the collocation in the dictionary. All its collocations are listed sequentially according to the frequency of each collocation. For example, "introduction of" is common use among Chinese students of English. Sometimes, we also meet "introduction to". Are the two collocations both correct? If so, what is the difference? Or is only one of them correct? To solve the problem, you can just look up "introduction" in the dictionary and find the answer.

Nowadays, there are many free corpora on the Internet. When you want to learn how to use a word, i.e. its collocation, you need to know what other words are commonly used with it. You can explore this kind of knowledge yourself here by entering the word you want to investigate and its part of speech. Choose whether you want to see words that appear to the left or to the right of that word and their part of speech. You can immediately get the answer. A good case in point is BNC (British National Corpus). We can easily get access to the corpus by searching for it through "baidu". The first item "Exploring Vocabulary: Collocation" is the program for exploring collocation. Still take "introduction" for example. Enter "introduction", choose its part of speech "noun" and choose the part of speech you want investigate after the key word "introduction", in this case "preposition", then all the sentences containing "introduction + preposition" pattern in the BNC appear on the screen. You can investigate the idiomatic collocation of "introduction" with prepositions based on the examples found.

In conclusion, correct and idiomatic use of words depends largely on the mastery of their typical collocational behavior. In order to learn new words well and deepen understanding, both students and teachers of English should pay more attention to collocation and be aware of the importance of collocation in the acquisition of a word. And students should make good use of collocation dictionaries and the resources on the Internet whenever they are not sure of the collocation a word should be in.

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# Evidentiality in Academic Writing

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**Abstract**—Inevitability of using evidentials (EVs) and references in all academic writings signifies the importance of distinguishing and applying EVs for those who attempt to write in academic prose. With the aim of creating a unique model of EVs in academic texts, this study used well-established taxonomies of metadiscourse markers adapted by Hyland (2005) combined with Swales' (1990) classification of citations as well as Berkenkotter and Huckin's (1995) concept of intertextuality in academic writing. The proposed model yields at least two important advantages. First, it can develop a pattern of the uses of EVs in academic texts, thus deepening our understanding of the organization of such texts. Second, it has potential applications in pedagogy for those students who attempt to write in academic prose and for scholars, teachers, and material developers.

**Index Terms**—evidentials, referencing, metadiscourse, academic writing

## I. INTRODUCTION

Metadiscourse as a common term in current discourse analysis is based on a view of writing or speaking as a social engagement (Dafouz-Milne, 2008; Hyland, 2005). As Hyland (2005) said: "Metadiscourse incarnates the idea that writing and speaking are not just the exchange of information, goods or services, but rather involves the personalities, attitudes and assumptions of the people who are communicating" (p. 3). Metadiscourse elements are then social acts which include writers, readers, speakers and listeners to interact with each other and in fact, impact the ways ideas are presented and understood. Metadiscourse is, therefore, considered as an important aspect of communication in that it helps to evaluate the readers' or listeners' resources for understanding the text and their probable responses to it to be able to effectively write or speak. Primarily, it is used by researchers to trace patterns of interaction, and to discuss different aspects of language in use. As defined by Hyland (2000, p. 109), it is 'the linguistic resources used to organize a discourse or the writer's stance towards either its content or the reader'.

Citing the primary source can play a decisive role for the credibility of information, especially with sources that have high levels of societal legitimacy. Everyday conversations often make detours in lexicon discourse such as, "How do you know this?" or "Were you there?" It is generally agreed that writers do not simply give neutral facts but make an attempt to show their own viewpoints to their readers, thus raising interests in the way that writers present their propositional content, their feelings and evaluations (Conrad & Biber, 2000; Hunston & Thompson, 2003; Thompson, 1996).

In order to reflect their views and convince readers, writers in academic discourse put different sources to use, one of which is citation (Thompson, 2006). In some languages there are grammatical elements like affixes and particles that determine the source of the information being communicated (i.e., whether it is obtained by perception, inference, or hearsay). These markers are parts of what is labeled as *evidentiality* (Aikhenvald, 2004). In another sense, evidentiality means marking the sources of information (Aikhenvald, 2004; Hardman, 1986). In a broader sense, the term evidentiality is more often used to refer to the source as well as to the reliability of the writer's knowledge (Dendale & Tasmowski, 2001).

An essential aspect of successful academic writing is making references to the literature. Reference making is also a source of considerable difficulty for most inexperienced writers (Borg, 2000; Campbell, 1990). According to Hyland (2005), in academic writing "evidentiality refers to a community-based literature and provides important support for arguments" (p. 50). As Hyland, (2000) stated, the citation of other texts is important at one of two levels: reference to other researchers' work or ideas can provide support for one's own position; it can also show the newness of one's work. Moreover, it can be helpful in pointing out the weaknesses in others' arguments, aligning themselves with a particular camp/school/grouping (Thompson & Tribble, 2001).

Myers (1990) maintains that references assist researchers with describing the present state of knowledge so that the writers can then make their claims within the larger disciplinary framework, and establish a narrative context. Inexperienced writers may encounter problems because of not being at the proper stage of cognitive or intellectual development (Britton, Burgess, Martin, McLeod, & Rosen, 1975; Pennycook, 1996), or because of cultural factors

(Connor, 1999; Fox, 1994). Failure to acknowledge the source of ideas can lead to charges of plagiarism, whereas inexpert phrasing of reporting statements can lead to confused or misleading indication of both the writer's and the cited author's stance (Groom, 2000).

All writers are aware that EVs give credibility and quality to their expressions and "that without them a research article could be seriously questioned, if not immediately rejected" (Abdi, 2009). Thus, the present study assumes that the function of EVs is to indicate sources of information outside the text in general, and facilitate the interaction between the writer and the reader, in particular. The function of EVs is not only indicating the source outside the text, but also providing a link between the writer's own statements and other writer's statements, thus creating intertextuality. Intertextuality is extremely important in academic writing, where writers constantly have to establish their academic claims by creating new knowledge and showing how it relates to the past or accepted knowledge in a specific field by a specific discourse community.

## II. CONCEPTUAL FRAMEWORK

Following Crismore, A., Markkanen, R., & Steffensen, M. (1993) distinction in categorizing textual and interpersonal types of metadiscourse, Hyland proposed a new model of metadiscourse in academic texts. His model assumes two main categories of *interactive* and *interactional* metadiscourse. According to Hyland (2005), interactive resources of metadiscourse include strategies of transitions, frame markers, endophoric markers, EVs and code glosses that help to guide the reader through the text; EVs here indicate the external origin of material in the current text and adds credence to the researched documents by drawing attention to the credibility of its source. The interactional resources of metadiscourse consists of hedges, boosters, attitude markers, self-mentions and engagement markers strategies which help to involve the reader in the argument. Following Hyland (2005), this study uses the term 'EVs' from a new perspective and in fact, proposes a new categorization for this concept in academic texts.

As mentioned above, EVs are strategies used by writers to refer to other texts as sources of additional information; they guide the readers through the text and help them in recovering the writers' intentions (Hyland & Tse, 2004). As Thomas and Hawes, (1994) state, EVs are 'metalinguistic representations of an idea from another source' (p. 129). Hyland distinguishing academic writing from other genres states that "In some genres this may involve hearsay or attribution to a reliable source; [but], in academic writing it refers to a community-based literature and provides important support for arguments" (p. 51). In fact, by EVs we can distinguish *who* is responsible for a position. As Hyland (1998) states, EVs perform a similar metadiscoursal role by indicating the source of textual information which originates outside the current text. They, therefore, assist in guiding the reader's interpretation and establishing intertextuality, capturing the need for academics to display knowledge of other texts in the field.

In some discourse studies of the interaction between the writer and the reader (see Tadros, 1995) the concept of attribution is used to explore ways that writers use to signal other texts as sources of authority. In some earlier models of metadiscourse (e. g. Crismore, 1993 in Connor, 1999) the term 'attributor' is used to name the linguistic resources which have the function of referring to information from other texts. The current study considers the terms *evidentials*, *attributors* and *citations* synonymously, as it sees them as having the same metadiscoursal functions, but following the model proposed by Hyland (2005) uses the term evidentiality and EVs to indicate the origin of textual information outside the current text and by focusing on these devices proposed the new classification for the concept and tried to analyze it in different sub-categories. Here are a few examples of EVs taken from physical and social sciences RAs:

1. *As a leading author of texts on trial techniques stated, "If you don't [divulge the information], your opponent will with twice the impact"* (Mauet, 1992, pp. 47-48). (Management article)
2. *Gana, Martin, and Canouet (2001) have suggested that worry produces anxiety, which in turn, indirectly affects depression.* (Psychology article)
3. *One of the most important distinctions that has emerged from this research is that the goal of variable selection in discriminant analysis depends on whether the analyst's objective is description or allocation (McKay and Campbell, 1982a).* (Computer article)
4. *An additional challenge for SBLO-1 and mammalian 15-lipoxygenase is to account for the fact that these enzymes will oxygenate not only free fatty acids but also larger substrates such as phospholipids [10-12, 25].* (Chemistry article)
5. *Many researchers studied the role of three factors namely "Human", "Road and Environment" (In this article briefly called "Road") and "Vehicle or Car" in severity of road crashes.* (Computer article)
6. *There have been many attempts to improve variable selection in discriminant analysis (see, for example, Roy, 1958; Weiner and Dunn, 1966; Horton et al., 1968; Urbakh, 1971; .....)* (Computer article)
7. *Recent literature has focused primarily on the hold-up problem encountered in transaction cost economics (TCE, e.g. Dekker, 2004; Langfield-Smith and Smith, 2003; Oxley, 1997).* (Management article)

## III. REVIEWING THE LITERATURE

The metadiscourse or metatext in modern applied linguistics is a part of spoken or written discourse – "the linguistic material in text that does not add anything to the propositional content but that is intended to help the listener or reader organize, interpret, and evaluate the information given." (Crismore et al., 1993, p. 41). Crismore (1993) also has defined

metadiscourse as “the author’s intrusion into the discourse, either explicitly or non-explicitly, to direct rather than inform the readers” (p. 4). Although there are different definitions in this regard, most scholars agree that metadiscourse is as important as the primary discourse. They believe that metadiscourse is essential for the appropriate construction of any piece of writing. Metadiscourse goes beyond what is being talked about in speech or writing (or propositional content), which is presented through the discourse, making an integral part of it. As most linguists have stated, metadiscourse acts as a double-function phenomenon and organizes discourse and issues comments on it. It “allows writers to show readers how different parts of the text are related and how they should be interpreted, and also permits writers to express their attitudes toward the propositional content of the text and toward their readers” (Crismore et al., 1993).

In order to classify the linguistic units, many metadiscourse studies (see Crismore et al., 1993; Dafouz, 2003; Hyland, 1998; Vande Kopple, 1985, among others) have utilized the Hallidayan distinction between *textual* and *interpersonal* functions of language. Textual metadiscourse, sometimes referred to as metatext (Mauranen, 1993), is utilized to organize the text and direct the reader through the text. In fact, it performs Halliday’s textual function. On the other hand, developing the relationship between the reader and the writer is the aim of Interpersonal metadiscourse. The interpersonal function of language will be fulfilled when, along with the first and second person pronouns, interpersonal metadiscourse markers are added to texts. Interpersonal metadiscourse is an important rhetorical strategy; according to Vande Kopple (1985) many discourses have at least two levels. At one level, the writer presents information about the subject of the text. Propositional content is expanded at this level. At the level of metadiscourse, the second level, the writer does not add propositional material. Instead, he helps the receivers organize, classify, interpret, evaluate and react to such materials. Metadiscourse, therefore, is discourse about discourse or communication about communication.

Although metadiscourse is a relatively new concept, it has generated a lot of research in recent years; there have been numerous studies of various aspects of metadiscourse (e.g. hedging, imperatives, self-mention) in a range of genres. A range of recent studies in text analysis have been devoted to the presence and functional role of metadiscourse markers in various genres including science popularizations (Crismore & Farnsworth, 1990), textbooks (Crismore, 1983, 1984; Hyland, 1999), student writing (Simin & Tavangar, 2009; Steffensen & Cheng, 1996), advertisements (Fuertes-Olivera, P. A., Velasco-Sacristán, M., Arribas-Baño, A., & Samiengo-Fernández, E., 2001), and research articles (Abdi, 2002; Hyland, 1998, 1999). Metadiscourse has also been used to examine rhetorical differences in the texts written by different first language groups (Crismore et al., 1993; Dahl, 2004; Mauranen, 1993) and those produced by EFL and native writers (Faghih & Rahimpour, 2009).

Studies involved with evidentiality have revealed culture-specific and discipline-specific differences in the use of EVs in academic texts. For example, Tados’ (1995) study has shown how the use of citations in textbooks reflects the author purpose and reader orientation; Hyland and Tse’s (2004) study has revealed interesting patterns in the use of EVs by biologists. Similarly, some other valuable attempts in this field are Bloch and Chi’s (1995) study of the ways Chinese and Western scholars refer to prior texts in their academic writing, and Berkenkotter and Huckin’s (1995) study that refers to citation, or referencing, as a ‘textual mechanism’ which establishes the context and helps the writer to provide ‘intertextual’ linkages.

In the metadiscourse literature, a number of taxonomies can be seen. (Adel, 2006; Crismore, 1989; Hyland, 2005; Vande Kopple, 1985, 2002). Metadiscoursal elements can be classified according to their meaning, forms and function. Using Halliday’s (1973, 1985) macrofunctions of language, Vande Kopple (1985) has given a mainly functional classification. Halliday (1973) believed that when people use language, they usually work towards fulfilling three macrofunctions, by trying to provide expressions of their experience, to interact with their audience, and to organize their expressions into cohesive discourses whose addressees can make coherent sense. In other words, he asserts that people communicate with messages that are integrated expressions of three different kinds of meaning, which he calls ideational, textual, and interpersonal. Elements in ideational set are concerned with the expressions of our experience, “both of the external world and of the inner world of our own consciousness”. Elsewhere, Vande kopple (1988) asserts that, elements within the textual set have “an enabling function of creating text, which is language in operation as distinct from strings of words or isolated sentences and clauses” (p. 242). Finally, the elements of interpersonal set have to do with “language as mediator of role”. These elements include forms of interaction with participants as well as the expressions of personalities and personal feelings (Halliday, 1973).

The taxonomies which appear in Tables I to IV, demonstrate a theoretical fine-tuning as time develops.

The first model (Table I) was introduced by Vande kopple (1985). There were two main categories of metadiscourse in this model, namely *textual* and *interpersonal*. Textual metadiscourse consisted of four strategies: text connectives, code glosses, illocution markers and narrators. The interpersonal metadiscourse included three strategies, namely validity markers, attitude markers and commentaries.

Vande Kopple’s model was specifically important in that it was the first systematic attempt to introduce a taxonomy that triggered lots of practical studies, motivated further closer analyses, and gave rise to new classifications.

TABLE I.  
METADISOURSE CLASSIFICATION BY VANDE KOPPLE (1985, PP. 82-92)

Category	Function
Textual metadiscourse	
Text connectives	Used to help show how parts of a text are connected to one another. Includes sequences (first, next, in the second place), reminders (as I mentioned in chapter 2), and topicalizers, which focus attention on the topic of a text segment (with regard to, in connection with).
Code glosses	Used to help readers to grasp the writer's intended meaning. Based on the writer's assessment of the reader's knowledge, these devices reward, explain, define, or clarify the sense of a usage.
Validity markers	Used to express the writer's commitment to the probability of or truth of a statement. These include hedges (perhaps, might, may), emphatics (clearly, undoubtedly), and attributers which enhance a position by claiming the support of a credible other (according to Einstein).
Narrators	Used to inform readers of the source of the information presented- who said or wrote something (according to Smith, the Prime minister announced that).
Interpersonal metadiscourse	
Illocution markers	Used to make explicit the discourse acts the writer is performing at certain points (to conclude, I hypothesize, to sum up, we predict).
Attitude markers	Used to express the writer's attitudes to the propositional material he or she presents (unfortunately, interestingly, I wish that, how awful that).
commentaries	Used to address readers directly, drawing them into an implicit dialogue by commenting on the reader's probable mood or possible reaction to the text (you will certainly agree that, you might want the third chapter first).

The revised model (Table II) was introduced by Crismore et al. (1993). Keeping Vande Kopple's two major categories of textual and interpersonal, they collapsed, separated and reorganized the subcategories. In an attempt to separate organizational and evaluative functions, they further divided the textual metadiscourse into two subcategories of *textual* and *interpretive* markers. Moreover, validity marking, under different name-certainty markers- was moved from textual category to interpersonal category.

TABLE II.  
METADISOURSE CATEGORIZATION BY CRISMORE ET AL. (1993, PP. 47-54)

Category	Function	Examples
Textual metadiscourse		
1. Textual markers		
Logical connectives	Show connection between ideas	Therefore, so; in addition, and
Sequences	Indicate sequence/ordering of material	First, next, finally, 1,2,3
Reminders	Refer to earlier text material	As we saw in chapter one
Topicalizers	Indicate a shift in topic	Well, now we discuss ...
2. Interpretive markers		
Code glosses	Explain text material	For example; that is
Illocution markers	Name the act performed	To conclude; in sum; I predict
Announcements	Announce upcoming material	In the next section
Interpersonal metadiscourse		
Hedges	Show uncertainty to the truth of assertion	Might; possible; likely
Certainty markers	Express full commitment to assertion	Certainly; know; shows
Attributers	Give source/support of information	Smith claims that ...
Attitude markers	Display writer's affective values	I hope/agree; surprisingly
Commentary	Build relationship with reader	You may not agree that

A more recent model (Table III) introduced by Adel (2006) indicated a different theoretical view. It was different in that she separated evaluation from metadiscourse and questions non-propositionality as the criterion for metadiscourse.

TABLE III.  
ADEL'S METADISOURSE MODEL (2006, P. 38)

Metadiscourse	Writer-reader interaction			
Metatext	Personal			
Impersonal	Participant-oriented	Writer-oriented	Reader-oriented	Participant-oriented
Text/Code-oriented				Reader-oriented
Finally The above-mentioned list In other words The question is A definition of ... involved. The essay will primarily deal with ...	As we have seen In our discussion above If we take ... as an example As I have shown My conclusion is that By ... I mean ... As a writer, I would like to argue that ...	As you have seen You might want to read the last section first ...	I know you think that ... Correct me if I'm wrong, but ...	Now, dear reader, you probably ... Does this sound ... to you?

The model proposed by Hyland (2005) assumes the two main categories of *interactive* and *interactional* for metadiscourse following the distinction made by Thompson and Thetela (1995) to acknowledge the *organizational* and *evaluative* features of interaction (Table IV).

TABLE IV.  
A MODEL OF METADISOURSE IN ACADEMIC TEXTS (HYLAND & TSE, 2004, P. 169; HYLAND, 2005, P. 49)

Category	Function	Examples
<b>Interactive</b>	<b>Help to guide the reader through the text</b>	<b>Resources</b>
Transitions	express relations between main clauses	in addition, but, thus, and
Frame markers	refer to discourse acts, sequences or stages	finally, to conclude, my purpose is
Endophoric markers	refer to information in other parts of the text	noted above, see figure, in section 2
Evidentials	refer to information from other texts	according to X; Z states
Code glosses	elaborate propositional meaning	namely, e.g.; such as, in other words
<b>Interactional</b>	<b>Involve the reader in the text</b>	<b>Resources</b>
Hedges	withhold commitment and open dialogue	might, perhaps, possible, about
Boosters	emphasize certainty and close dialogue	in fact, definitely, it is clear that
Attitude markers	expresses writers' attitude to proposition	unfortunately, I agree, surprisingly
Self mentions	explicit reference to author(s)	I, we, my, me, our
Engagement markers	explicitly build relationship with reader	consider, note, you can see that

As it can be seen in the table above, the interactive part includes the strategies of transitions, frame markers, endophoric markers, EVs and code glosses and the interactional part consists of hedges, boosters, attitude markers, self-mentions and engagement markers strategies. The model has drowned upon several earlier models.

Although notable differences can be seen among the models, the significance of metadiscourse in written communication, as well as variations in different contexts, is being demonstrated by several studies. No matter what theoretical standpoint is supported (Adel, 2006; Crismore, 1990; Hyland, 2004; Simin, 2004; Taylor, 2000; Thompson, 2001).

It should be noted that Hyland and Tse's (2004) definition of EVs as an interactive metadiscourse resource is a point of departure in this study and the proposed model of researchers was established on the basis of Hyland's introduction of such items.

In the literature, the use of EVs has been investigated together with other metadiscoursal strategies. According to the findings of studies conducted in this area, the differences found in the use of EVs in academic texts are culture-specific and discipline-specific. What follows is a summary of what has been done in this field.

Citation analysis, a relatively new area of study, has its origin in an initiative to start citation indexing by Garfield (1955), who was a pioneering information scientist. It has used three approaches (Liu, 1993; White, 2004) which indicate some similarity to those of discourse analysis. A criterion to judge the importance of a work within a discipline was the number of citations. This was based on the assumption that the more citations a paper obtains, the greater impact it has on the academic community (Cole & Cole, 1971; Merton, 1973). In discourse analysis this can be compared to the quantitative analysis of linguistic forms, such as investigating the frequency of passive voice compared with active voice (Salager-Meyer, 1992).

In the most discourse analysis citations have often been investigated with regard to reporting verbs (Charles, 2006; Hunston & Thompson, 2003; Hyland, 1999, 2001; Shaw, 1992; Thomas & Hawes, 1994; Thompson & Ye, 1991). As an example, Thompson and Ye (1991) studied the introduction sections of more than 100 papers to examine how writers demonstrate their evaluation of earlier work, and interact with their discourse community through the reporting verb. They also indicated that writers show their positive and negative evaluation of previous studies by their choice of reporting verbs. It seems that negative opinion is often presented in a more implied manner in context than positive evaluation (Thompson & Ye, 1991) and may only be obvious to insiders of the discipline.

This perspective in citation—i.e. insiders' perspective— has been investigated in studies on citation analysis, which are closely related to the disciplines of information science and sociology of science (Cozzens, 1985; Small, 1982; Shadish, Tolliver, Gray and Gupta, 1995; Wang & White, 1997). However, although integration of the results of studies on discourse analysis with citation analysis has long been proposed – early on by Swales (1986) and more recently by Harwood (2004) and White (2004) –, it still seems that researchers of these disciplines are not familiar with the achievements of one another (White, 2004). Since citation is essential in the analysis of academic texts (Hyland, 1999 & 2000), researchers in discourse analysis can reap benefit from the findings of information science and sociology of science.

In spite of some real efforts to classify the content of citations, the restrictions of this approach became clear. Firstly, one citation may belong to more than one category (Cano, 1989; Chubin & Moitra, 1975). Secondly, based on the findings of Moravcsik & Murugesan' (1975) study on 30 theoretical high energy physics papers published in Physical Review, it was not possible to apply the same categories across the disciplines (Chubin & Moitra, 1975). Last but not importantly, as MacRoberts and MacRoberts (1984) asserted, the linguistic analysis of citation does not always demonstrate the writer's real aim because writers may reduce their critical comments, which leads to demands for

understanding of the writers' intentions behind the citation. Therefore, the above-mentioned limitations of content analysis guided the researchers to investigate the real reasons for citation, i.e. the citers' motives (Brooks, 1986; Budd, 1999; Cronin, 1998; Shadish et al., 1995; Wang & White, 1999; White, 2004). Based on either normative theory or on a micro-sociological perspective, two types of motivation were suggested (Liu, 1997). The first one assumes that citation is for granting merit. This was originally considered to be the main reason for citation (Cole & Cole, 1967, 1976; Davenport & Cronin, 2000; Merton, 1973), because citation is part of the collective activity of knowledge construction in the discourse community. In contrast, the second one gives reasons for persuasion: the citer's knowledge claim being seen as the major motivating factor in citation (Brooks, 1984; Case & Higgins, 2000; Latour, 1987). Gilbert (1977) in his influential paper claimed strongly that writers cite in order to convince their readers. This argument had such an impact that it changed attention from citation itself to the role of citation in a text, examining the individual writers' standpoint rather than that of the discourse community. However, others maintained that the choice of citation would not be based on the researchers' names but the content of the work (Cozzens, 1989; Zuckerman, 1987). By presenting the idea of "rhetoric first, reward second" following studies have done to balance the argument (Cozzens, 1989), and the interviews with writers of academic texts concerning the motivation for citation have confirmed this claim (Case & Higgins, 2000; Shadish et al., 1995; Vinkler, 1998; Wang & White, 1999).

Hyland in his studies (1999 and 2000) combined interviews with academics and analysis of a large corpus of academic texts which revealed similar viewpoints of the citers' motivation to those found in citation analysis (Brooks, 1986; Cozzens, 1989). He maintained "reference to previous work is virtually mandatory in academic articles as a means of meeting priority obligations and as a strategy for supporting current claims" (Hyland, 1999, p. 362).

While discourse analysis could further investigate the aims of citation forms, citation analysis concentrates on the use of citation itself. The purposes of citation forms may be the same as those of citation found in citation studies. The findings in this area of study demonstrate that social science disciplines like politics utilize more integral citation forms than do natural sciences (Charles, 2006; Hyland, 1999).

Some researchers such as Swales (1981, 1986, and 1990) have looked at the study of citation analysis from an applied linguistic viewpoint. Swales (1986) reviewed the work on citations that has been conducted in other disciplines, such as in citation analysis and in the sociology of science although for completely different purposes. The development of a method to count the number of positive citations in a paper, to rank its quality has been one of citation analysis aims. According to Moravcsik and Murugesan (1975), just counting the number of references that a paper draws in other publications is not enough, because some of those citations could be negative, or they might be superficial. The original categorization of citation forms was developed by Swales (1986). He examined the different attempts to build a model of citation types and then proposed his own model. In his model, the first distinction is between citation forms that are *non-integral* and those that are *integral*: the non-integral forms are citations *outside* the sentence and usually placed within brackets and have no explicit grammatical roles in the sentence. On the other hand, the non-integral forms play an explicit grammatical role *within* a sentence. The citation at the beginning of this paragraph, for example, is an integral citation, and the reference to Charles and Hyland, in the last sentence of the previous paragraph, is a non-integral citation.

A few studies in the literature have examined the differences in the use of citation between L1 and L2 writers in published academic texts. L2 professional writers possess the same knowledge about citation practices, but in the realization of citation forms in their own texts, L2 professional writers may not always be as linguistically skillful as L1 professional writers. This was shown in an analysis of covering letters written by L1 and L2 professionals accompanying a manuscript for publication (Okamura & Shaw, 2000). The proposed model of classification EVs in this study intends to help L2 novice writers more easily realize and use citation forms in academic writings.

Bloch and Chi's (1995) study of the ways Chinese and Western academic writers refer to previous texts in their writing is a comparative study on evidentiality. They made a cross-cultural citation use comparison between American and Chinese academics across disciplines and examined the writing in social sciences and in the sciences. They examined the dates of citations (e.g., how recent were the texts referred to?), and whether the citations acted as background, support, and whether the use was critical. The findings revealed that American citation practices were noticeably different from those of the Chinese academics: the Chinese tended to use older texts; they used proportionately fewer citations. Although the science writers were similar in their use of citation strategies in both language groups, the Chinese social science writers used citations to support their arguments proportionately less than their American counterparts. Such findings corroborate the claim that writers from other cultures are likely to have some difficulties adapting to the writing conventions of British academia. Hyland's (1999) investigation of citation practices in academic writing is the closest to the study reported above. He quantified and analyzed the uses of integral and non-integral citation in a substantially-sized corpus of journal articles representative of eight disciplines. Among the features of citation practice that he looked at were:

- citation density in the texts
- surface form (integral vs. non-integral)
- the number, form and process category of reporting verbs
- quotation from other texts



Hyland (1999) in this study investigated the differences in citation practices between writers of various disciplines, and his analysis was based on a view of academic writing as social interaction – that is, writers' motivations to make citations and to choose particular citation types are seen to be rhetorically driven, with the aim of achieving ratification by the disciplinary community of the new claims contained in the text. Hyland was interested in finding evidence of how writers react to different rhetorical contexts by making different rhetorical choices.

Hyland's (1998) paper, which was based on four different disciplines from a metatextual viewpoint, and his work (2004) on distribution of metadiscourse in a corpus of 240 doctoral and masters dissertations, investigated how academic writers employ language to imply reliable representation of their work in different disciplines.

Tadros's (1995) study on the use of citations in textbooks, and Berkenkotter and Huckin's (1995) study on the use of citation or referencing as a 'textual mechanism', which establishes the context and helps the writer to provide intertextual linkages, are other valuable attempts in this field.

#### IV. THEORETICAL FRAMEWORK

The methodological framework offered in this study has been arrived at after a careful investigation of existing taxonomies and after applying them in ultimate model of this study. As mentioned earlier, the taxonomy proposed in this study was based on classifications of metadiscourse markers adapted by Hyland and Tse's (2004) combined with Swales' (1990) classification of citations as well as Berkenkotter and Huckin's (1995) concept of intertextuality in academic writing.

Upon this proposed taxonomy, EVs are then classified into two broad categories of *Specific* and *Non-specific* (see Fig. 1). A key role in this classification is played by 'Citation', or referencing, which according to Berkenkotter and Huckin (1995), is a 'textual mechanism' that establishes the context and helps the writer to provide 'intertextual linkages' and connect new findings to accepted knowledge. It plays an essential role in creating novelty by contextualizing new local knowledge within an ongoing history of disciplinary knowledge making.

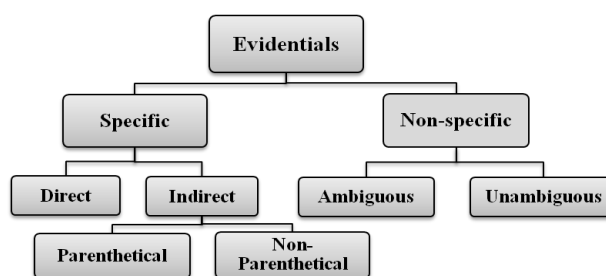


Figure 1. The proposed model of classification EVs in academic texts

*Specific* category comprises those devices whose functions are providing a link between the author's own statements and other authors' statements, thus creating intertextuality. This group of EVs is further divided into two general categories of *Direct* and *Indirect* resources. Direct EVs include *direct quotations* of other sources placed within quotation marks (see example II.1). Indirect or non-quoted EVs, on the other hand, are the paraphrases or summaries of other author(s) utterances. These devices themselves are classified into two distinct categories: *Non-parenthetical* and *Parenthetical*. Non-parenthetical EVs are those which play an explicit grammatical role within a sentence and usually come at the beginning of the statements (e.g., *According to X*, *Z states, cited, quoted*, etc.) (see example II.2), and parenthetical EVs which are placed between parentheses, usually come at the end of statements and play no explicit grammatical role in the sentence (e.g., *(date) (name)*, *[ref. no.]/[name]*, *(to) cite X*, *(to) quote X*), (see examples II.3, II.4).

Non-specific EVs-on the other hand-include two categories of *Ambiguous* and *Unambiguous* EVs. *Ambiguous EVs* are those which emphasis on the established facts rather than who originally stated them or one's stance towards them, as a result, metadiscourse in this class of EVs is omitted and unspecified sources replace citations (e.g., *It is generally believed that...*, etc) (see example II.5). *Unambiguous EVs* appear as ambiguous EVs and the details of cited work(s) are not given in the text, but rather at the end of the statement. The citation provides a number of examples of studies that are referred to in the sentence. 'e.g.' or 'for example' typically prefaces the name(s) but not necessarily. In some other cases, however, citation refers the reader to a text to find further details. This form of citation usually comes with the word 'see' included in the parentheses at the end of the cited statement (e.g., *some authors (e.g. the names of authors)*), (see examples II.6, II.7)

It seems necessary for writers to realize that citation forms are purposeful; that is, for example, parenthetical EVs can be employed to emphasize the proposition (e.g., the finding, the data, the concept), and de-emphasize the researcher, the text, and/or piece of research by placing the citation outside the sentence, but this situation is quite different in non-parenthetical EVs, that is, a greater emphasis is placed on the researcher, the cited text, or the piece of research by including the citation in the sentence.

#### V. CONCLUSION

One of the most important aspects of academic writing is making use of the ideas of other people. This is important as writers need to show that they have understood the materials they have studied and that they can use the other writers/speakers ideas and findings in their own way. In fact, this is an essential skill for every student. Spack (1988, p. 42) has pointed out that the most important skill a student can engage in is "the complex activity to write from other texts", which is "a major part of their academic experience." For this reason, any academic text we read or write will contain the voices of other writers as well as ours. The object of academic writing for writers is therefore to present their ideas in their own way. To this end, however, they will need to use the ideas of other people and for this purpose it will be necessary to say where the words and ideas are from.

Working with patterns, then, can be beneficial in raising student awareness of contextual factors and as a result, in enhancing their understanding of what lies behind the language choices evident on the page. It is very important for students to gain this insight into the extent and type of patterning found in written academic discourse, thus, the proposed model of this study for classifying EVs in academic writing can provide useful information for global professionals and advanced foreign language students and help them to write in a way which is not just grammatically correct, but also appropriate both for their specific purposes and within their disciplinary community. By examining the use of EVs, one may be able to assess better which types of sources play an important role in shaping the opinions of a particular culture or text. Thus, this study most of all, can help non-native speakers of English aiming to have their articles published in scholarly journals. Obviously, to this end, they need to observe the requirements of a good research article.

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# A Contrastive Study of Chinese and British English Request Modifications

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**Abstract**—This study is a contrastive one on the speech act of request in British English and Mandarin Chinese. It investigates the similarities and differences in request modifications used by native speakers of both languages on the bases of nine designed situations. The choice of modifications in each situation is determined to some degree by the social variables of power and distance. However, a deeper reason lies in the different cultural backgrounds of the two different languages.

**Index Terms**—request modifications, contrastive study, external modification, internal modification

## I. INTRODUCTION

With the rapid development of science and technology, people from different countries and cultural backgrounds are making more and more communications, and as a consequence, much attention has been paid to the politeness strategies in cross-cultural communication. Nowadays, politeness is also a very important subject of research in pragmatics and sociolinguistics.

This study investigates request strategies based on data from Mandarin Chinese and British English, identifying the similarities or differences between the understandings of politeness by native speakers of both languages. By studying the expression of politeness through the speech act of request, we try to find pre-conceived ideas of rudeness or politeness associated with certain cultures' linguistic behavior as well as their cultural roots.

A head act is the minimal unit which can realize a request. In other words, it is the core of the request sequence. For the realization of a request, the head act is important. However the success of the requests does not necessarily rely on the appropriateness of the head act. Modifiers within a request, play the decisive role (Sifianou, 1992) as well. The possible external and internal modifications function as a way of upgrading or intensifying and downgrading or softening the impact of the request. We will have a brief analysis of the types of request modification used in BE and CH throughout all nine situations.

### A. Purpose of the Study

The main objective of this study is to explore politeness by investigating the patterns of request speech acts produced by native speakers of Mandarin Chinese and British English under the influence of social factors, with the term 'native speaker' referring to the participants in the survey who speak Mandarin Chinese or British English as their mother tongue. Specifically speaking, this study focus on the choice of patterns in the use of internal modifications, and external modifications,

A speech act of request commonly involves a number of social, cultural, and situational factors which usually produces sensitivity in both interlocutors. The effects of social variables such as power status and familiarity are crucial for the realization of request speech acts, and these factors also determine how speakers from different cultures recognize and adapt to the realization patterns of requests (Brown and Levinson 1987). With a view to identifying the specific influences of the two social factors on the request speech act, this study also analyzes these speech acts in terms of power status and familiarity.

### B. Methodologies for Data Collection

The most commonly used data collection method in the study of cross-cultural communication or inter-language pragmatics is the written questionnaire, and DCT is the favored and most widespread instrument to obtain targeted speech acts. It has been employed by many researchers to examine the performance of the request speech act. DCT is efficient, because the short time-consumption required for material allows an experimenter to obtain large amounts of data, but as has been pointed out in the literature, including Blum-Kulka(1985), Blum-Kulka and Olshtain (1984), Hong (1998), and Lee-Wong (2000), there are many limitations involved in the use of questionnaires. It is difficult for participants to distinguish between an expression which they imagine they would use to respond in a given situation, and the actual speech produced in a real spoken situation. Written responses may not actually correspond with oral performance in real life. Furthermore, they may not reveal pragmatic features of spoken interactions.

Role-play has been used as a means of collecting spoken data in this study of cross-linguistic and inter-language pragmatics. Responses in role-play are recorded by audio taping, and are then transcribed. The role-play instrument

allows researchers to obtain more interactive data. Moreover, it allows participants sufficient time to respond; thus researchers can obtain more interactive data.

Role-play has been employed in two ways: closed role-play and open role-play. In closed role-play, one participant responds verbally to a given situation without a reply from the other. This study employs the means of open role-play which allows participants to interact, and offers more conversational features such as the sequences of an action, the process of negotiation, hesitation, turn-taking, or nonverbal items of speech production. Trosborg (1995) states that the data elicitation instrument of open role-play allows a full examination of the sequences of negotiation for achieving requests, which results in the realization of complete request interactions.

The open role-play was constructed in English and Chinese and performed by 16 native speakers of British English (9 males and 7 females) and 20 native speakers of Chinese (10 males and 10 females) respectively. All of the Chinese informants were university students doing their first degree in a subject not related to languages or linguistics. Most of them were between 18 and 25 years of age. The English participants were comprised of college teachers (5), university students (9), and office workers from some companies (2). Most of the English participants were between 18 and 33 years of age. For each situation, the participants were matched in pairs in random and their conversation was recorded for further analysis.

TABLE I  
REQUEST MODIFICATION IN THE NINE SITUATIONS (BE: BRITISH ENGLISH; CH: CHINESE)

Type size (pts.)	R1		R2		R3		R4		R5		R6		R7		R8		R9	
External modification	BE	CH	BE	CH	BE	CH	BE	CH	BE	CH	BE	CH	BE	CH	BE	CH	BE	CH
Preparator	11	10	8	9	12	5	8	6	4	9	10	13	9	3	4	1	3	4
Reason	11	13	15	14	12	8	5	12	15	10	13	15	14	9	8	6	2	0
Disarmer	9	4	6	4	5	0	7	5	9	7	4	1	6	1	2	3	1	0
Getting a precommitment	1	3	8	9	0	0	2	5	12	5	4	0	0	0	0	0	0	0
Promise of reward	0	1	1	3	0	1	0	2	1	4	5	8	0	0	5	2	0	0
Cost minimizer	5	6	0	2	0	0	3	7	1	0	0	0	0	6	1	2	0	0
Internal modification																		
Downtoner	7	5	10	6	9	13	5	6	9	8	6	15	8	9	6	11	9	15
Hedge	2	3	0	2	0	0	0	2	0	2	0	2	3	0	3	0	2	0
Politeness marker	5	2	4	1	4	0	3	1	6	3	2	1	5	1	3	0	0	0
Appealer	1	10	0	4	2	3	1	9	1	4	1	7	3	5	3	1	2	0
No. of requests	15	17	15	16	15	15	14	15	15	17	15	15	15	17	15	15	15	18

## II. EXTERNAL MODIFICATION (SUPPORTIVE MOVES)

External modification is also called supportive moves. It is not a part of head acts, but it often precedes or follows a head act. They are used to mitigate or aggravate a request act. The most frequent external modifiers found in the data in decreasing order are: reasons, preparators, disarmers, enquirers and getting pre-commitments, promise of reward, cost minimizer.

This type of modification is achieved through the use of optional clauses which either mitigate or emphasize the force of the whole request. Most external modifiers are means by which the speaker tries to get the addressee to support the actual request. Sometimes single external modifiers or a combination of them are used with the purpose of not uttering the request but allowing the addressee to offer.

### A. Reasons

Reasons or grounders as they have been usually called are clauses which can either precede and/or follow a request head act. They are the most preferred external modification. As illustrated by the term the speaker gives reasons or justifications to support his/her request. The following examples come from R1 and R6.

"I have many bills to pay and they are rather urgent. Could you give me my salary in advance or lend me some money?"

"这个项目实在太重要了，你那个假期呢，咱们能不能往后拖一拖?"

The use of reasons or grounders can be seen as a co-operative strategy towards harmonious exchanges since by giving reasons the speaker expects addressee to be more understanding and willing to co-operate. According to Brown and Levinson (1987) asking for and giving reasons for a speech act is a 'positive' politeness strategy in that it 'is a way of implying "I can help you" or "you can help me", and, assuming cooperation, a way of showing what help is needed'. It could be counter argued, however, that by giving reasons the speaker is showing consideration for the addressee, providing a 'good enough' stance from which to ask the addressee to his/her course of action in order to help the speaker. Thus the giving and asking for reasons could either be related to 'positive' and/or demonstrated in studies of other languages, stand out as the single most frequent supportive move.

### B. Preparators

Preparators, another type of supportive move, constitute the second most preferred external modification by speakers of both languages. They are used by the speaker in order to prepare the addressee for the ensuing request. The speaker usually announces that s/he will be making a request either by means of checking the addressee's availability for carrying out the request or by asking the addressee for permission to make the request. It should be noted that in doing so the speaker does not tell the addressee the content of the request and does not, necessarily, get a positive commitment from him/her.

"I need to ask you a really big favor. My car's just broken down and I need to pick my parents up from the airport. It's really desperate that I can't pick her up. Is it possible I could borrow your car just for a few, just half an hour?" (R2)

"我有个麻烦事需要您帮忙考虑一下，我目前的工作对我来说有些困难，您看，能不能您给我帮忙协调一下?" (R7)

### C. Disarmers

Disarmers are all the possible external modifying devices which 'disarm' addressees from the possibility of refusal. In other words, the speaker tries to remove any potential objections the addressee might raise upon being confronted with the request. Disarmers may include formulaic promises, complimenting phrases, and most specifically clauses that express the speaker's awareness and concern that the request might be deemed as an imposition on the addressee.

"I'm sorry to bother you. We don't know each other very well. I know we're neighbors and everything would it be possible for you to help me move my things out of my flat? Would that be OK? ..." (R5)

"不好意思，麻烦您一下，我就住在隔壁，你有没有时间帮我搬点东西?"

As shown in Table 6 there is almost a 50% difference in the use of the disarmers by British and Chinese informants. The Chinese show a very low incidence of the device. The device was used by the British in almost all the situations of the role-play. And the British use of the device does not seem to be motivated by differences in social status between the interlocutors.

### D. Getting Pre-commitments

According to Edmondson (1981), Getting pre-commitments fall into the group of what has been described as commitment-seeking devices (Edmondson, 1981). They are part of what he calls 'pre-exchanges' since the outcome of such an exchange will directly lead to the beginning of the head act. Although such pre-sequences do not oblige the hearer to give either a positive or a negative response, speakers do not tend to expect negative responses and sometimes not even a response at all. When an answer is given by the hearer it expresses the level of his/her commitment. Getting a pre-commitment helps the speaker feel s/he has a 'safer' ground for uttering his/her request. In terms of the frequency of use of this commitment-seeking device, it is interesting to note that the British employed it more often than the Chinese.

"I was wondering if you could do me a big favor. I was wondering whether I could borrow your car for about two hours." (R2)

The Chinese use a lot of pre-commitments in R1 than the British.

"你能帮我个忙吗？我最近经济状况很紧张，实在是没办法了，我来就是来看看您能不能让我预支一部分薪水，我会尽快补上的。"

### E. Promise of Reward

Promise of reward, another type of supportive move, is employed by speakers in order to increase the likelihood of the hearer's compliance. This strategy is achieved by announcing a reward which will be given to the addressee upon fulfillment of the request. As can be seen, the device has a low incidence in both languages. Whereas the British employed it in R5 and R7, more Chinese employed it in R1 and R6 which probably due to the situational factors, in that the addressee was asked to postpone or cancel his/her holiday and thus some kind of reward was considered necessary to get him/her to comply with the request. Here are some examples:

"I'm sorry to bother you. We don't know each other very well. I know we're neighbors and everything would it be possible for you to help me move my things out of my flat? Would that be OK? ... And obviously likewise in the future I'll be doing the same for you if ever you need me to." (R5)

"这个项目实在太重要了，你那个假期呢，咱们能不能往后拖一拖？等这阵儿忙完了，我给你多补几天假期!" (R6)

### F. Cost Minimizer

Cost minimizer is preferred by the speakers to minimize the hearer's cost of the request. This strategy has a high incidence in some situations, such as R1, R4 by both the British and Chinese participants, and situation 7 by Chinese participants, when the speaker attempts to reduce the burden of the request on the hearer. Here are some of the examples

"我明天就还你。" (R1)

"I will return it to you tomorrow." (R1)

“不是说马上就要换,这个可能就是说,我想征求一下您的意见,这个时间的话,看您来协调安排,我也会尽量不影响工作。”(R7)

### III. INTERNAL MODIFICATIONS

Internal modification is part of head acts, and plays a role in minimizing or intensifying the illocutionary force of a request act, as a downgrader or upgrader. Whereas external modification is achieved by intensifying or mitigating devices occurring in the immediate context of the speech act, internal modifications occur within the speech act itself. As with external modifications they can either soften or aggravate the force of the act (Faerch & Kasper, 1984). Blum-Kulka(1985) distinguish between two types of internal modifications: syntactic and lexical/phrasal downgraders. The former are choices between different grammatical structures, interrogative versus, imperative constructions, conditional constructions, negation and tenses. The latter comprise a large number of mitigating devices such as politeness markers, hedges, diminutives and the like. In this section we will only consider lexical and phrasal downgraders.

The most frequently used internal modifiers found in the data can be seen in Table 6. As can be seen in this table, British requests show a very high incidence of internal modifications overall compared to Chinese requests. Whereas more than 90% of British English requests are internally modified, only 45% of Chinese requests are. This greater preference for internally modified requests by the Britons makes their requests more tentative, showing more of an inclination towards considering the addressee's freedom of action. Below we will have a brief analysis of the different kinds of internal modifiers.

#### A. Downtoners

Downtoners are propositional modifiers used by the speaker with the purpose of modulating the impact his/her request is likely to have on the addressee. Examples of the use of the device can be seen in the following examples:

“I wonder if there is any possibility I could borrow your car to go and pick my parents up from the airport.”(R2)

“I was wondering if you could possibly postpone it, give the tickets back.”(R6)

“I was wondering if you could perhaps help me.” (R5)

As can be seen in Table 6, in English the use of downtoners is the most frequent internal modifier. The use of downtoners helps make the request more tentative, that is to say help to soften its impact. It could be said that downtoners belong to the realm of ‘negative’ politeness since they show the speaker does not either assume that the addressee will/has to comply with the request or coerce the addressee into complying with the request. The Chinese also use a lot of particles, such as *le*(了), *ne*(呢), *ba*(吧), *ma*(嘛), to minimize the impact of request.

“你那个假期呢, 还是往后拖一拖吧?”

#### B. Hedges

Hedges have been defined as adverbials used by speakers when they wish to avoid a precise propositional specification. According to Brown and Levinson (1987): a ‘hedge’ is a particle, word, or phrase that modifies the degree of membership of a predicate or noun phrase in a set; it says of the membership that it is partial, or true only in certain respects, or that is more true and complete than perhaps might be expected. Examples of hedges are the use of ‘somehow’, ‘kind of’, ‘sort of’ and ‘at all’ in requests. As can be seen in Table 6 they had a very low incidence in English and were also used little in Chinese.

The Chinese also use many vague expressions to tone down and avoid potential provocation of the request. For example, *dagai* (大概 ‘perhaps’), *sihu* (似乎 ‘seem’), *keneng* (可能 ‘possibly/probably’), *you keneng* (有可能 ‘possibly’).

#### C. Politeness Markers

Polite and respectful expressions are added to the request to seek cooperation from the hearer. We use it to describe the use of ‘please’ in English. While in Chinese, people usually use *qing* (请 ‘please’), *laojia* (劳驾 ‘excuse me’), *baituo* (拜托 ‘please’). Terms of address as politeness markers are also used. For example, *xiansheng* (先生 ‘Sir’), *xiaojie* (小姐 ‘Miss’). There is a higher incidence of the device in British English. However, the device was only employed nine times in Chinese. Conclusion thus can be derived from the data that the frequency of using this polite marker in Chinese request is much lower than that in English request. In Chinese, when “请”, this polite marker is added, the request is often practiced between speaker and addressee whose relationship is not intimate.

#### D. Appealer

Appealer is used a lot among Chinese participants, while it has a very low incidence in English. Appealer is used to appeal to the hearer's understanding and to elicit a response. It is used at the end of a sentence, often in the form of a tag question. For example, in Chinese, “*xing ma?* (... 行吗?)”, “*keyi ma?* (... 可以吗?)”, “*hao ma?* (... 好吗?)”, and “*xingbuxing?* (... 行不行?)”, all mean ‘...OK?’ in English.

“I'm sorry to bother you. We don't know each other very well. I know we're neighbors and everything would it be possible for you to help me move my things out of my flat? Would that be OK?”(R5)



“我借用一下你的电脑，可以吗？”(R3)

#### IV. CONCLUDING REMARKS

##### A. Internal Modifications

As can be seen from the above examples, British requests show a very high incidence of internal modifications overall compared to Chinese requests. Whereas more than 90% of British English requests are internally modified, only 40% of Chinese requests are. This greater preference for internally modified requests by the Britons makes their requests more tentative, showing more of an inclination towards considering the addressee's freedom of action.

The internal modifications that have been discussed in details include downtoners, appealer, politeness markers and hedges. Downtoners are the most frequent internal modifier in English especially when the interlocutors are not familiar with each other, regardless of the social power. Since Chinese speakers tend to use the direct strategy in some situations, they also have to use a lot of particles, such as *le*(了), *ne*(呢), *ba*(吧), *ma*(嘛), to minimize the impact of request. The Chinese also use many vague expressions to tone down and avoid potential provocation of the request. So the use of hedges has a high incidence in Chinese than in English. There is a higher incidence of the politeness markers in British English. In Chinese, when the polite marker “请” is added, the request is often practiced between speaker and addressee whose relationship is not intimate. Appealer is used a lot among Chinese participants, while it has a very low incidence in English. That's also because Chinese speakers prefer the direct strategy in many situations, they use a lot of tag questions such as “*xing ma?* (...行吗?), *hao ma?* (...好吗?)”, in order to minimize the impact of imposition. These results of study also show the impact of social variables on the choice of lexical modifications in both British English and Chinese.

##### B. External Modifications

According to the studies of Blum-Kulka & Olshtain (1984), both native English speakers and Chinese speakers tend to use more supportive moves in their requests when the imposition of the request is high. The reason is that supportive moves are employed to show politeness. Since request is itself an “impolite” act, so to minimize the degree of impoliteness turns out to be much important when requests are made. One way out is to use supportive moves to mitigate the face threatening impact.

According to Brown & Levinson's face theory, each person has a positive face and a negative face. Positive face refers to the need to be accepted and approved by others while negative face refers to the need not to be imposed by others, especially to have one's own freedom of action. To request somebody to do something means to impose the requested act on the hearer, so it would be a threat to the hearer's negative face. In order to show politeness and facilitate the requested act, requestors will usually adopt supportive moves.

According to Leech's politeness principles, people need to observe the tact maxim when making requests, i.e. to minimize the cost to others and maximize the benefit to others. There is also why people usually give promises of reward and minimize the imposition in their requests.

In the Chinese polite system,

politeness principles also explain why more supportive moves are used when the imposition of the requested act increases. According to Gu's “virtue-word-deed maxim”, “In action, efforts should be made to minimize the cost to other people, simultaneously, to maximize the benefit to other people. In language, to maximize the benefit other people give and to minimize the cost self pay.”

Out of the need of politeness, both native Chinese speakers and native English speakers will adopt supportive moves to minimize the cost to the addressee or to minimize the imposition on his/her freedom of action. The use of supportive moves consequently makes requests more polite and at the same time more effective. From this point of view, native Chinese and English speakers are the same. However, there are also many differences as to how to use supportive moves in the requests both in English and Chinese.

In the western society, people emphasize doing things by themselves and avoid imposing on others. Closely related to individualism is the value of equality, the freedom of individuals. To request others to do something means to impose and that will be an interference of other people's freedom. Hence, this harms the negative face of the addressee, which is very much stressed in English-speaking countries. In order to save the addressee's negative face, native English speakers will adopt supportive moves to reduce the impact of imposition. As we can see, westerners may care more about the negative face.

Out of the consideration of “face”, Chinese people tend to be more careful than native English speakers when making requests because the Chinese society is a collective one. Once one loses his/her face or causes others to lose face, it would be very hard for him/her to live in the community any more. Face is so important to the Chinese people that everyone in the society will try his/her best to save it and at the same time not to lose it. Chinese people loves their own face; they also respect other people's face and try to avoid harm other people's face. Otherwise, others will give them no face and that will be very embarrassing. We can find that in Chinese requests, there are usually more supportive moves than in English requests. Another reason why there are more supportive moves in Chinese requests is that

Chinese people like to use imperatives to make requests In order to reduce the abruptness and achieve politeness; supportive moves need to be adopted.

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# Assessing Speech Acts of Curses and Prayers in Persian

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**Abstract**—Speech acts are of great importance primarily within the bounds of semantics and should be on the basis of mutually shared background information between hearer and speaker. Curses and prayers are commonly used in everyday language. Whenever someone does a favour to us, we may say a prayer to God for him/her. We may curse at someone for making us angry or sad. By and large, we express our inner feelings and attitudes towards the hearer through saying prayers or curses; therefore, they are involved in expressive speech acts. The present article delivers a special classification of prayers and curses which are as follows: a) prayers and curses which are closely associated with our culture, tradition and religion; b) prayers and curses which have been progressed and produced gradually and no specific cultural root can be traced for them. This type of speech acts is itself classified into two categories: the first one is composed of prayers and curses which are frequently used by children in different contexts and the second category comprises those prayers and curses which English speakers have in common with Persian speakers.

**Index Terms**—speech act, expressive acts, prayer, curse

## I. INTRODUCTION

Semantics is one of the considerable topics of linguistics which in the past few years there has been a remarkable growth of research on it. It also covers the scope of the study of speech acts.

The contemporary use of speech acts goes back to J. L. Austin's introduction of this term in *How to Do Things with Words* published in 1962. Speech acts are mostly taken to include some acts such as ordering, promising, thanking and so forth which can be distinguished from each other through different aspects of the speaker's intention.

By and large, speech acts are communicative acts in which the content of communication is intended. For instance, declarative sentences are supposed to express the speaker's attitudes and emotions; directives cause the hearer to take a particular action and show the speaker's intention; apologizing also indicated the speaker's regret.

Due to the fact that we show our anger through curses and our satisfaction through prayers for somebody, curses and prayers can be considered as speech acts.

According to different dictionaries, there are lots of definitions for curses and prayers. For example, Dehkhoda Encyclopaedia defines them as follows:

Curse: a payer asking that God brings misfortune to someone; an imprecation; an execration; the opposite of a blessing; a denunciation; a remonstrance

To curse: asking that God brings misfortune to someone; to imprecate; to execrate; to stone somebody

Prayer: asking God for your needs to be fulfilled, the plural form of prayers in Arabic; a reverent petition made to God; imploring God; making a request of God to help us or others; an effort to communicate with God

Based on Nafisi Dictionary, these two words mean:

Curse: an appeal for misfortune to befall someone; damnation; hatred; abusiveness; reproach; blaming; ridicule

To curse: requesting for harm from God to come upon one; to keep away; being annoyed and furious by someone's offensive statements

Prayer: asking God for your needs; an invocation; an activity of religious worshipping; adoration; a devout petition to God; an earnest request of God for help with intense yearning; a sequence of words which has been derived from different prophets and helps to start a spiritual communication with God and people utter it when they want to be forgiven for their sins

Anvari Dictionary has presented the following definitions for the curse and the prayer:

Curse: a prayer for misfortune, injury, misery or death to befall someone

According to Moein Dictionary, prayer means reading some sequences of words at specific times which have been derived from different prophets and imams to be forgiven for their sins; an earnest request of God for their needs;

religious and spiritual communication with God; an enthusiastic praise unto God; giving compliments to God; imploring God; it also means asking God for misfortune to befall someone.

The present article discusses different classifications and functions of prayers and curses in various contexts. So, it aims to answer the following questions:

1. Which classifications of prayers and curses can be presented?
2. Is there any specific root associated with the existing prayers and curses in the society?
3. Is there any age restriction on the mentioned speech acts?
4. Are all prevailing prayers and curses culture-bound?

Owing to the fact that the issue of prayers and curses can be discussed under the title of speech acts, it is better to elaborate speech acts at first.

Speech acts have become popular through the posthumous publication of J. L. Austin's *How to do things with word* in 1962. O'Gray (2005, p. 304) states that according to Austin's theory, speech acts are consisting of three levels and can be analyzed based on these three functional units of communication: 1) prepositional or locutionary meaning, which is the literal meaning of what is said; 2) illocutionary meaning, which is the social function of what is said like an indirect request, refusal, praise or complaint; 3) perlocutionary meaning, which is the effect of what is said.

It seems that prayers and curses can be taken to include as perlocutionary acts, since they have some effects on the hearer.

Speech acts have subsequently become extremely influential, especially through the Searle's publication in 1976. He has set up the following classification of speech acts:

1. Commissives: they are speech acts which commit the speaker to doing something in the future, e.g. promising, vowing and threatening
2. Declarations: they are speech acts that alter the reality in accord with the proposition of the declaration
3. Directives: they are speech acts that make the hearer perform a particular action, e. g. requesting, ordering, inviting or suggesting
4. Expressives: they are speech acts that express the speaker's attitudes and feelings towards the proposition, e. g. excuses, complaints, thanks and congratulations
5. Assertives: they are speech acts which describe the situation and commit the speaker to the truth of the expressed proposition, e. g. assertions, claims and reports

Owing to the fact that few studies have been done providing data on the issue of prayers and curses, this article has been carried out.

## II. THE INVESTIGATION OF PRAYERS AND CURSES IN PERSIAN LANGUAGE

Prayers are also accompanied with a positive connotation. It is a request of God to help us or others and fulfill our needs. Through a prayer, someone asks God to bring fortune to a person but in a curse, God is asked to bring a misfortune to a person. As a matter of fact, someone appeals for agony, torment and misery to befall a person through a curse and in this way, they get their revenge on whom has harmed or offended them. A curse is actually a prayer but a negative one which keeps them away from merit, bliss and happiness. If a curse is opportune and proper, it may be answered and fulfilled by God.

In general, prayers and curses can be classified into the following groups:

A) Prayers and curses which are closely associated with a country's culture, traditions, customs and religion; they vary from one country to the other and seem meaningful just for the native speakers.

B) Prayers and curses which have been progressed and produced gradually and no specific cultural root can be traced for them. They are understood by both natives and non-natives who are aware enough of the country's culture and customs. This type of speech acts is classified into two categories:

1. Childlike speech acts

Prayers and curses which are simple and intelligible and are frequently used by children in different contexts, since they do not need a high knowledge of the country's culture or tradition, so they are even understood by children.

2. Non-culture-bound speech acts

Prayers and curses which can be understood without the same cultural background and they are universal and equal in different languages with dissimilar cultures. For example, prayers and curses which English speakers have in common with Persian speakers.

Some examples of the first group (A) will be presented below.

- 1) *I hope your glass of life is broken*

Glass of life is a mythological term which goes back to the legends in which the protagonist won the victory over devils and demons. In these myths, demons possessed a glass of life and the protagonist had to find and break it to overcome the battle. If someone uses this expression as a curse, he has made an analogy between that person and demons, so he asks God to bring death to that person.

- 2) *I hope your corpse is buried in different graves as you are lay dying*

There are some hadiths in Islam which refer to some angels- Naghale angels- who are responsible for moving a dead person after the burial to a better or worse place. This curse proves that the speaker has the hope of a restless and

agonizing life for the hearer after death. This curse has roots in the religion of Islam, so it may not be intelligible for other cultures and religions.

3) *I wish that the fire falls on your grave*

Muslims believe in two angels named Nakir and Munkar meaning the Denied and the Denier who are responsible for asking some basic questions apropos of Islam and test the faith of the dead on the first night of his death. If the deceased person cannot answer correctly, he will be chastised and his grave will be covered by the fire.

4) *May God rest his soul in peace*

Muslims believe that, after death, a person's soul will pass through another stage and they need to be forgiven. Based on Islam, this honour is only bestowed on the dead by God; therefore, Muslims say prayers for a dead person to be encompassed by the generosity of God. Such belief also exists in Christianity, but the difference is that Christians ask God for peace and not forgiveness.

5) *May you are lucky enough to have a blissful life*

Believing in good and bad luck goes back to the Iranian culture. We ask God to bring fortune to a person through this prayer.

6) *I wish that God does not forgive your faults*

In Islam, it is believed that at the Resurrection Day, all people will be restored and resurrected to the way they were before they died. They will be held accountable for their deeds and will be judged by God. Through this curse, the speaker asks God not to forgive the hearer when he is looking into their deeds. The opposite of this expression is "May God forgive your faults" which is considered as a prayer.

7) *May God preserve it for you*

God is the source of all our blessings and properties, so everything human beings possess is the result of his generosity and kindness. The speaker says a prayer for the preserve of the hearer's blessings.

8) *May God forgive me before death*

Muslims believe that if a person is forgiven and then he dies, he will be released from this world's agonies. So, through this prayer, a person makes a reverent request of God to forgive him before his death.

9) *I hope that God brings you health and healing*

The origin of this prayer can be found in one of the Prophet Muhammad's Hadith. According to this Hadith, God wipes off some of a Muslim's sins for every misfortune, illness, agony, pain, or hurt that afflicts him, even if the hurt has been caused by the pricking of a thorn in his hand. The speaker asks God for the hearer's health through saying this prayer.

10) *I hope that you sleep at night, and cannot wake up in the morning*

The religious etymology of this expression can clarify its meaning. In Hadith, it is explained that sleep is a king of temporary death. Through this curse, the speaker asks God to make this temporary death permanent. As a matter of fact, he desires for the hearer's death.

11) *May God make you the prophets' companion in Paradise*

It is mentioned in the Holy Quran that prophets and their companions will live in happiness at the seventh level of Paradise. The speaker makes a petition to God to have eternal mercy on the hearer.

12) *God help you*

God is human beings' refuge and helper and everybody needs him. Through this prayer, the speaker asks God to help the hearer. However, this prayer may have a negative connotation when someone has done something wrong. If the expression is used in such a situation, it means that God forgive you.

13) *Live long with each other as you grow old together*

This prayer has a positive connotation and means that the speaker says a prayer for a couple to live with each other until they are old and die. This expression may be accompanied with a negative meaning in other cultures, since aging and becoming older may have negative meaning.

14) *Hello and goodbye*

The word 'hello', which is also a sentence, is the sign of praying for someone to be healthy and delighted. In addition, through saying the word 'goodbye', the speaker requests God to protect the hearer from danger.

15) *Don't be tired in your heart*

This prayer is commonly said as an answer on 'don't be tired' when someone is working hard or someone who has just finished his work. Through this expression, the speaker asks God to keep the hearer away from pain, regret and hatred which can bother his heart.

16) *I wish that you will be answered by God*

This curse is used when someone has done something bad to the speaker. It means that the hearer will be retaliated by God and he will be punished. According to the Holy Quran, the smallest and biggest deeds can be seen and answered by God.

17) *Be in God's hand*

God's hand refers to the God's kindness and blessing to which all people need. Through this prayer, the speaker makes a request of God to help the hearer.

18) *Touch the soil, may God change it into the gold*

Alchemy has been recognized as a science which contributed to the development of modern chemistry. In the past, alchemists claimed to have the capability of turning soil into the noble gold. This prayer can be also meant as 'I hope you become rich'.

*19) I hope I eat your Halva*

Halva is an Iranian term which refers to a kind of sweet served for funerals or mourning ceremonies. This curse means that the speaker wishes the hearer dies, then he goes to his funeral and eats his Halva. It is a metaphor in which the speaker asks God to bring earlier death to the hearer.

*20) I hope you go and never come back*

In the past, there were lots of adversities in travelling. People could not travel as easy as today, so making a long journey was so perilous. Through this curse, the speaker appeals to God to bring misfortune to the hearer in a way he cannot return from his journey. This impossibility of returning can be the consequence of death or difficulties.

Here, some examples of the second group (B) will be mentioned. Second group is consisting of prayers and curses which have been progressed and produced gradually and no specific cultural root can be traced for them.

By and large, most people try to show their fury and rage through curses when they are unable to do anything. In this way, they ask God to take their revenge on tyrants and enemies.

Issues of death, destruction and inexistency can be seen in almost all curses. In fact, the speaker expresses his anger by asking God to bring death, misfortune, destruction and perdition to the hearer, since death is the end of life.

Through some curses, the speaker asks God to cause a physical damage to the hearer, e. g. he asks God to break the hearer's hand or back or get cancer. However, breaking the hand cannot be accepted as a curse in all cases unless the speaker has been physically hurt by the hearer and due to the fact that the speaker is incapable of taking revenge, he makes this request of God.

Due to the fact that these prayers and curses have been personally made, they do not have any specific cultural root. Some examples can be seen below.

*1) I wish that you have bad luck in whole your life. Bad luck is the same in different cultures.*

*2) I hope to see your death sooner*

*3) I hope to hear the message of your death*

*4) I hope to see your grave*

*5) I hope that you are cut off in the prime of your life*

*6) I hope that your hand is broken*

*7) I hope you die*

*8) I hope that you cannot enjoy your youth*

*9) I hope you go from riches to rags*

*10) I hope you cannot get any of your wishes*

*11) I hope your parents never stop grieving over your death*

*12) I hope you die and your mother mourn your death*

*13) I hope you get an incurable disease*

*14) I hope you become reduced to beggary*

*15) May God give you more money and blessings*

*16) I hope you live long*

*17) I hope God gives you whatever you desire*

*18) God damn you*

*Childlike speech acts*

These are prayers and curses which are simple and intelligible and are frequently used by children in different contexts. It should be pointed out that children do not have a clear perception of curses and mostly they just imitate adults around them without understanding the exact meaning of the curse. However, since these speech acts do not need a high knowledge of vocabulary, sentence structure, culture and tradition, they are sometimes easily understood by children. The following prayers and curses are considered as childlike speech acts.

*1) I hope your hand is burnt*

*2) Go to hell*

*3) I hope you die*

*4) I hope that God kills you*

*5) I hope you fail your exam*

*6) I hope that God changes you into a beetle*

*7) I hope your mom hits you*

*8) I hope a bee stings you*

*9) I hope your coloured pencils are lost*

As it is obvious, these speech acts' language is so simplistic and understandable for children. They may use them in different situations without any intention when they get angry.

*Non-culture-bound speech acts*

Owing to the fact that non-culture-bound prayers and curses are universal, they can be understood by people whose cultural backgrounds vary from each other. For example, prayers and curses which English speakers have in common with Persian speakers are belonged to this group.

It should be mentioned that although their origin is the same in these speech acts, they may be presented by various vocabularies and structures in different cultures.

This slight difference can be the consequence of dissimilar religions. For instance, in Islam, through the prayer 'May God forgive him' we ask God to forgive a deceased person, but the similar prayer which exists in Christianity is 'May God rest him in peace' which refers to the deceased's peace and repose that is different from forgiveness. There are some examples of this kind below.

1) *You reap what you sow*

This expression means everything that happens to you is the result of your own actions, and you cannot escape the consequences of your actions. So, if God punishes or rewards you, they are both the result of your deeds in this world.

2) *God bless you*

3) *May God rest him in peace*

4) *God damn him*

5) *Get out*

6) *Come to a bad end*

7) *It is not worth a damn*

8) *God damn you*

9) *Die early in life / Be cut off in the prime of your life*

10) *Bad luck to you*

11) *I hope you kill the goose that lays the golden egg*

12) *May God speed you*

### III. DISCUSSION AND CONCLUSION

As it was adverted in this article, speech acts are classified into various categories. One of these classifications has been set up by Searle. He has introduced five categories of speech acts which one of them is expressive speech act that expresses the speaker's attitudes and feelings towards the proposition. Prayers and curses are considered as expressive speech acts since they reveal the speaker's feelings.

In this study, first, prayers and curses were classified into the following groups: a) Prayers and curses which are closely associated with a country's culture, traditions, customs and religion; they vary from one country to the other and seem meaningful just for the native speakers. And b) Prayers and curses which have been progressed and produced gradually and no specific cultural root can be traced for them. This type of speech acts was itself classified into two other groups: 1) Childlike speech acts which are simple and intelligible and are frequently used by children in different contexts, and 2) Non-culture-bound speech acts which can be understood without the same cultural background and are universal in different languages with dissimilar cultures. For example, prayers and curses which English speakers have in common with Persian speakers. In the group (a), it was mentioned that some of prayers and curses are closely associated with Iranian culture, tradition and religion. In the group (b), some speech acts which are mostly used by children when they get angry were discussed. It was mentioned that these speech acts are not real curses or prayers due to the fact that children do not have a clear conception of them and they may just imitate adults through using these expressions. Then, some prayers and curses which are equal between English and Persian language have been explained. Therefore, prayers and curses can be found in all languages with some trivial differences which are the result of their various customs and cultures.

On the basis of what has been investigated in this study, it can be concluded that human beings utter some negative or positive statements at the time of happiness or sadness when they are unable to do anything else.

It should be pointed out that the number of these sentences is going to be gradually reduced due to their close association with superstition. According to the conducted interviews, the aforementioned prayers and curses have been mostly used by the aged whose beliefs have roots in the past.

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# Research on Statistical Mechanisms of Language Acquisition

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**Abstract**—What mechanisms underlie human language acquisition? Relevant evidence indicates that language learners, with infants included, have the ability to employ statistical properties of linguistic input to find language structure, such as sound patterns, vocabulary, and grammar. These abilities appear to be both powerful and constrained, so that a certain number of statistical patterns are more easily mastered and employed than others. Implications for the structure of human languages are to be discussed.

**Index Terms**—statistical properties, language acquisition, mechanisms

## I. INTRODUCTION

Suppose one is confronted with the following challenge: He must find the underlying pattern of a system that includes thousands of pieces, all generated by combing a small group of elements in different ways. These pieces, in turn, can be combined in an unlimited number of ways, although only a subset of those combinations is actually acceptable. However, the subset that is acceptable is itself infinite. He somehow should quickly find out the pattern of this system so that he can employ it correctly early in his childhood.

This system mentioned above definitely is human language. These elements are the sounds of language, and the larger pieces are the words, which in turn combine to form sentences. Considering the variety and complexity of human language, it seems impossible that children could ever discover its structure. The process of acquiring such a system seems to be almost as complex as the system itself, so it is not surprising to notice that the mechanisms underlying language acquisition are a matter of much debate. This debate focuses on the innate and environmental contributions to the process of language acquisition, and the degree to which these components draw on information and abilities that are also related to other domains of learning.

Particularly, there exists a fundamental conflict between theories of language acquisition in which learning plays an important role and theories in which learning is considered unimportant. A strong point of learning-oriented theories is that they use the increasing evidence suggesting that young humans possess powerful learning mechanisms. For example, infants can quickly use the statistical properties of their language environments, including the distributions of sounds in words and the orders of word types in sentences, to discover important elements of structure. Infants can track such statistical properties, for example, to find speech categories (e.g., native language consonant; e.g. Maye, & Gerken, 2002), word boundaries (e.g., Saffran, Aslin, & Newport, 2001b), and rudimentary syntax (Gomez & Gerken, 1999).

However, language acquisition theories believing that learning plays a crucial part attract much negative comments. One of the most prevalent negative comments against learning-oriented theories is that such accounts seem contradictory to one of the central observations about human languages. Although there are surface differences between the linguistic systems of the world, they share a lot of similarities. They vary in non-arbitrary ways. Theories of language acquisition that mainly focus on inborn knowledge of language do give a sufficient explanation for cross-linguistic similarities. The seminal work of Noam Chomsky is one of such theories, suggesting that universal grammar is pre-set in the children's linguistic endowment, and do not require specific learning. Such explanations lead to predictions about the types of patterns that should be observed cross-linguistically, and result in important claims regarding the evolution of a language ability that includes innate knowledge (Pinker & Bloom, 1990).

Can the learning-based theories also explain the existence of linguistic universal grammar? The answer to this question is the focus of current research. The constrained statistical learning framework indicates that learning is crucial to language acquisition, and that the fundamental nature of language learning accounts for the cross-linguistic similarities. The key point is that learning is constrained, and learners are not open-minded. Language learners calculate some statistics more easily than others. What interests researcher most is those constraints on learning that are related with similarities between human languages (Newport & Aslin, 2000). According to this framework, cross-linguistic similarities are indeed not accidental, as is suggested by the framework of Chomsky. But they are not the result of innate linguistic knowledge. Instead, human languages have been to some degree determined by human learning mechanisms (together with constraints on human perception, processing, and speech generation), and aspects of language that improve learnability are apt to persist in linguistic structure than those that do not. Consequently, according to that point of view, cross-linguistic similarities are not the result of innate knowledge, as is traditionally believed, but rather are the result of constraints on learning. Moreover, if human languages were not determined by

constraints on human learning mechanisms, it is likely that these learning mechanisms and their constraints were not modified only for language acquisition. Instead, learning in non-linguistic domains should be similarly constrained, as in fact seems to be the case.

A deeper understanding of these constraints may result in new connections between theories that concentrate on nature and theories that concentrate on nurture. Constrain-oriented learning mechanisms require both specific experiences to promote learning and pre-existing structures to get and manipulate those experiences.

## II. GRAMMAR AND LANGUAGES

A necessary preliminary distinction is between an 'I-language' (Internal) approach to grammar and an 'E-language' (External) approach, as Chomsky has termed it. An I-language approach concentrates on the knowledge of language stored in the mind of the individual—a system represented in the mind/brain of a particular individual; an I-language grammar tries to mirror this mental reality. An E-language approach on the other hand studies a collection of data separate from the speaker's mind; an E-language grammar describes the regularities and patterns found in the collection—a grammar is a collection of descriptive statements concerning the E-language. I-language grammars typically rely on example sentences; E-language grammars on transcripts of spoken language or written texts. The contrast is partly between a psychological approach that sees language as part of the individual mind and a sociological approach that sees it as part of the community. In a sense recent language teaching has concentrated on the E-language end—on 'behaviour' and 'ommunication'—rather than keeping a balance between I-language and E-language perspectives.

The grammar of a language is an account of the native speaker's knowledge of language. A speaker of English knows, for instance, that English declarative sentences usually have overt subjects and verb subject order; a native speaker of Spanish knows that such sentences need not have subjects and may have verb subject order as well as VS order. The language student is attempting to acquire some aspects of this knowledge. Hence the grammar plays some part in the description of what the student has to know, the syllabus.

To I-language theorists the grammar is also an account of what the native speaker has learnt. The language knowledge that is stored must have a source; syntax can be considered a description of what a human mind comes to know, given exposure to a human language. In the Universal Grammar theory, the description of language knowledge is in part an account of the principles of grammar that are already present in the mind waiting to be triggered; appropriate data pushes the child towards English, Spanish, or Chinese. Grammar is therefore needed as one strand in the student's acquisition of a new language.

The grammar is in addition a partial account of how the native speaker processes language. While grammar represents language in a static form, this representation is also related to the processes native speakers use in language comprehension and production. For example the Marcus parser (Marcus, 1980) and Augmented Transition Network parsers (Wanner and Maratsos, 1978) show how particular models of syntax can be used as models for language processing provided they are supplemented with plausible memory constraints on 'lookahead' or working memory. Inasmuch as language students are processing and learning to process language, such aspects of grammar are important both as their ultimate target and for immediate use in the classroom. Overall, grammar is important for language teaching as an account of part of the knowledge the students want to attain, and hence of what they have to learn, and as a partial account of the processes involved in language production and comprehension. This affects firstly the syllabus the teacher wants to use, which relates to the native speaker's knowledge; secondly the sequence for introducing elements the teacher adopts, which relates to the learning process; and thirdly the classroom techniques the teacher employs, which make use of language processes. Even if the overall goal of language teaching is confined to communication, grammar necessarily plays some part in each of these levels; applied linguists need to consider the relationship of current grammatical theories to each of them.

The definition of a grammar is central to most work in statistical linguistics and natural language processing. A grammar is a description of a language; generally it identifies the sentences in the language and describes them, e.g., by defining the phrases of a sentence, their relationships, and perhaps some aspects of their deep meanings. The formal framework, whether used in a generative grammar, or statistical linguistics is due to Chomsky.

If  $T$  is a finite set of symbols, let  $T^*$  be the set of all strings (i.e., finite sequences) of symbols of  $T$ , including the empty string, and let  $T^+$  be the set of all nonempty strings of symbols of  $T$ . A language is a subset of  $T^*$ . A rewrite grammar  $G$  is a quadruple  $G = (T, N, S, R)$ , where  $T$  and  $N$  are disjoint finite sets of symbols (called the terminal and non-terminal symbols respectively),  $S \in N$  is a distinguished non-terminal called the start symbol, and  $R$  is a finite set of productions. A production is a pair  $(\alpha, \beta)$  where  $\alpha \in N^+$  and  $\beta \in (N \cup T)^*$ ; productions are usually written  $\alpha \rightarrow \beta$ . Productions of the form  $\alpha \rightarrow \varepsilon$ , where  $\varepsilon$  is the empty string, are called epsilon productions.

A rewrite grammar  $G$  defines a rewriting relation  $\Rightarrow_G \subseteq (N \cup T)^* \times (N \cup T)^*$  over pairs of strings consisting of terminals and non-terminals as follows:  $\gamma\alpha\delta \Rightarrow \gamma\beta\delta$  iff  $\alpha \rightarrow \beta \in R$  and  $\gamma, \delta \in (N \cup T)^*$  (the subscript  $G$  is dropped when clear from the context). The reflexive, transitive closure of  $\Rightarrow$  is denoted  $\Rightarrow^*$ . Thus  $\Rightarrow^*$  is the rewriting relation using arbitrary finite sequences of productions. (It is called "reflexive" because the identity rewrite,  $\alpha \Rightarrow^* \alpha$ , is included). The language generated by  $G$ , denoted  $LG$ , is the set of all strings  $w \in T^+$  such that  $S \Rightarrow^* w$ .

A terminal or non-terminal  $X \in N \cup T$  is useless unless there are  $\gamma, \delta \in (N \cup T)^*$  and  $w \in T^*$  such that  $S \Rightarrow^* \gamma X \delta \Rightarrow^* w$ . A production  $\alpha \rightarrow \beta \in R$  is useless unless there are  $\gamma, \delta \in (N \cup T)^*$  and  $w \in T^*$  such that  $S \Rightarrow^* \gamma\alpha\delta \Rightarrow \gamma\beta\delta \Rightarrow^* w$ .

Informally, useless symbols or productions never appear in any sequence of productions rewriting the start symbol *S* to any sequence of terminal symbols, and the language generated by a grammar is not affected if useless symbols and productions are deleted from the grammar (Chomsky, 1957).

### III. STATISTICALLY-BASED LEARNING THE SOUNDS OF WORDS

In order to explore the nature of infants' learning mechanisms, my coworkers and I studied an aspect of language that we knew must surely be learned, namely, word segmentation, or the boundaries between words in fluent speech. This is much difficult for infants acquiring their first language, because speakers do not mark word boundaries with pauses, as is shown in Figure 1. Instead, infants must determine in where place one word ends and the next begins without access to obvious acoustic cues. Learning is required in this process because infants cannot innately know that, for example, *pretty* and *baby* are words, but *tyba* (spanning the boundary between *pretty* and *baby*) is not.

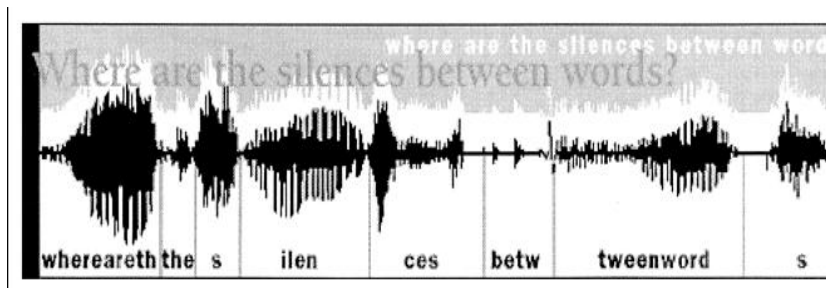


Figure 1. A speech waveform of the sentence "Where are the silences between words?"

In Figure 1, the height of the bars shows loudness, and the x-axis means time. This example demonstrates the shortage of consistent silences between word boundaries in fluent speech. The vertical gray lines stand for quiet points in the speech stream, some of which do not correspond to word boundaries. Some sounds are shown twice in the transcription below the waveform because of their continued persistence over time.

One source of information that may explain the existence of word boundaries is the statistical structure of the language in the infant's environment. In English, the syllable *pre* occurs before a small set of syllables, consisting of *ty*, *tend*, and *cedes*; in the speech stream, the probability that *pre* is followed by *ty* is thus greatly high (about 80% in speech to young infants). However, because the syllable *ty* occurs word finally, it can be followed by any syllable that can start an English word. Consequently, the probability that *ty* is followed by *ba*, as in *pretty baby*, is rather low (about 0.03% in speech to young infants). The difference in sequential probabilities proves that *pretty* is a word, and *tyba* is not. More generally, considering the statistical properties of the input language, the capacity to track sequential probabilities would be a useful tool for young learners.

To investigate whether human beings can use statistical learning to find word boundaries, we played adults, first graders, and 9-month-olds recordings of nonsense languages in which the only cues to word boundaries were the statistical properties of the sequential syllables. Listeners briefly heard a continuous sequence of syllables consisting of multisyllabic words from one of the languages (e.g., *golabupabikutut ibubabupugolabubabupu*...). Then, the listeners were tested to determine whether they could distinguish the words from the language from sequences spanning word boundaries. For example, we made a comparison between performance on words like *golabu* and *pabiku* with performance on sequences like *bupabi*, which spanned the word boundaries. To fulfill the task, listeners would have had to track the statistical properties of the input. The test results proved that human learners, including infants, can indeed use statistics as a tool to find word boundaries. Additionally, this capacity does not just belong to humans: Cotton-top tamarins, a monkey species, can also track statistics to find word boundaries.

These results immediately raised one question about the degree to which statistical learning is constrained to language-like stimuli. A large number of results indicate sequential statistical learning is quite general. For example, infants can track sequences of tones, finding "tone-word boundaries" using statistical cues (Saffran, 2003), and can acquire statistically-oriented visual structures (Kirkham, Slemmer, & Johnson, 2002); work in progress is extending these results to the field of events in human action sequences.

Considering that the ability to find units via their statistical coherence is not confined to language (or to human beings), one might ask whether the statistical learning results actually apply to language at all. To put it another way, do infants actually acquire the real-world language using statistical learning mechanisms? One way to approach this question is to ask what infants are actually learning in our segmentation task. Are infants learning statistics? Or are infants learning language via statistics? Our results show that when infants being exposed to English-speaking environment have segmented the sound strings, they treat these nonsensical patterns as English words. Statistical language learning in the laboratory thus seems to be integrated with other aspects of language acquisition. Relevant results suggest that 11-month-olds can first segment novel words and then find syntactic regularities relating the new words—all the same group of input. This would not be possible if the infants built mental pictures only of the sequential probabilities relating individual syllables, and no word-level pictures (Saffran & Wilson, 2003). These findings reveal a

constraint on statistical language learning: The mental representations produced in this process are not just groups of statistically-linked syllables, but new groups that are available to serve as the input to subsequent learning process.

Similarly, it is possible to examine constraints on language learning that probably influence the acquisition of the sound structure of human languages. The types of sound patterns that infants learn most easily may be more dominant in languages than are sound patterns that are not learnable by infants. We tested the hypothesis by asking whether infants discover some phonotactic regularities (constraints on where particular sounds can appear; e.g., /fs/ can appear at the end, but not the beginning, of syllables in English) easier to learn than others (Saffran & Thiessen, 2003). The results reveal that infants readily learn novel regularities that are similar to the types of patterns in the world's languages, but cannot learn regularities that are not consistent with natural language structure. For example, infants quickly learn new phonotactic regularities about generalizations across sounds that share a phonetic feature, while cannot learn regularities that disregard such features. Therefore, infants can more easily learn a group of patterns that group together /p/, /t/, and /k/, which are all voiceless, and that group together /b/, /d/, and /g/, which are voiced, than to learn a pattern that group together /d/, /p/, and /k/, but does not apply to /t/. Such studies may give an explanation for why languages show the types of sound patterning that they do; sound patterns that are hard for infants to learn may be unlikely to occur across the languages in the world.

#### IV. STATISTICAL LEARNING AND SYNTAX

Issues about learning versus innate knowledge are most dominant in the field of syntax. How could learning-based theories explain the acquisition of abstract structure (e.g., phrase boundaries) not obviously mirrored in the surface statistics of the input? Unlike explanations focused on innate linguistic knowledge, most learning-oriented theories do not give a clear account of the ubiquity of particular cross-linguistic structures. One way to approach these issues is to ask whether some nearly universal structural aspects of human languages may be the result of constraints on human learning (Morgan, Meier, & Newport, 1987). To test the hypothesis, we asked whether one such aspect of syntax, phrase structure (groups of types of words together into sub-groups, such as noun phrases and verb phrases), is the result of a constraint on learning: Do humans acquire sequential structures more readily when they are grouped into subunits such as phrases than when they are not? We discovered a statistical cue to phrase units, predictive dependencies (e.g., the presence of a preposition like *the* or *a* predicts a noun somewhere in the following part; the presence of a preposition predicts a noun phrase somewhere in the following part), and determined that learners can use this kind of cue to discover phrase boundaries (Saffran, 2001a).

To directly test of the theory that predictive dependencies improve learnability, we made a comparison between the acquisition of two nonsense languages, one with predictive dependencies as a cue to phrase structure, and one with no predictive dependencies (e.g., words like *the* could appear either with or without a noun, and a noun could appear either with or without words like *the*; neither type of word predicted the presence of the other). We found that listeners learned language better when they were exposed to languages with predictive dependencies than when they were exposed to languages with no predictive dependencies (Saffran, 2001b). Much to our interest, the same constraint on learning occurred in tasks using nonlinguistic materials (e.g., computer alert sounds and simultaneously presented shape arrays). These findings proved the claim that learning mechanisms not specifically designed for language learning may have determined to some degree the structure of human languages.

#### V. FUTURE RESEARCH

Results to date indicate that human language learners have powerful statistical learning abilities. These mechanisms are constrained at multiple levels; there are constraints on what information serves as input, which computations are performed over that input, and the pattern of the representations that occur as output. To better understand the contribution of statistical learning to language acquisition, it is necessary to determine the degree to which statistical learning explain given the complexities of the acquisition process. For example, how does statistical learning interact with other aspects of language acquisition? One solution to this question is to explore how infants weight statistical cues related to other cues to word segmentation early in life. The results of such studies give us an insight into the ways in which statistical learning may help infant learners to determine the relevance of the many cues inherent in language input. Similarly, we are studying how statistics meet up with meaning in the world (e.g., are in statistics defined "words" easier to learn as labels for novel objects than sound sequences spanning word boundaries?), and how infant learners in bilingual environments deal with multiple groups of statistics. Research on the interaction between statistical learning and the rest of language learning may give a better explanation of how various non-statistical aspects of language are acquired. Additionally, a better explanation of the learning mechanisms used successfully by typical language learners may help researchers better understand the types of processes that go awry when infants do not acquire languages as easily as their peers.

It is also crucial to find which statistics are available to children and whether these statistics are actually related to natural language structure. Researchers are divided in opinion on the role that statistical learning should play in acquisition theories. For example, they disagree about when learning is best explained as statistically based as opposed to rule based (i.e., using mechanisms that operate over algebraic variables to find abstract knowledge), and about

whether learning can still be regarded as statistical when the learning input is abstract. Debates over the proper role for statistical learning in language acquisition theories cannot be resolved in advance of the data. For example, though one can differ between statistical versus rule-based learning mechanisms, and statistical versus rule-based knowledge, the data are not yet enough to determine whether statistical learning renders rule-based knowledge structures, and whether abstract language knowledge can be statistically-based probabilistic. More empirical hypotheses will be required to resolve these relevant theoretical disagreements.

Moreover, more investigations into humans and other species may give more explanatory powers with respect to the relationship between statistical learning and human language. Present research is identifying species differences in statistical learning mechanisms (Newport, 2000). Considering that nonhumans and humans track different statistics, or track statistics over different units, learning mechanisms that do not seem to be human-specific may in fact generate human-specific results. Alternatively, what the human learning mechanisms and nonhuman learning mechanisms share may indicate that differences in statistical learning cannot explain cross-species differences in language-learning abilities.

## VI. CONCLUSION

Clearly enough, human language is a system of much complexity. Meanwhile, the use of statistical cues may be useful for language learners to find some of structures in language input. To what degree can the kinds of statistical structures accessible to language learners help in revealing the complexities of this system? Although the answer to this question is not known, it is possible that a mixture of innate constraints on the types of structures acquired by language learners, and the use of output from a certain level of learning as input to another, may be useful to account for why something complex is readily acquired by the humans. The language learning mechanisms may have played a crucial part in molding human language patterns.

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# A Post-structuralist Reading on Henry James's 'The Figure in the Carpet'

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**Abstract**—The present article discusses Henry James's "The Figure in the Carpet" (1895) mainly deconstructively. Structuralism, which claims can disclose the secret of literature, is firstly posed theoretically against deconstruction, which maintains that literature is a space of the impossibility of (any unitary) signification. After that, James's story is read as a "writerly" text, as a system of relations. Meaning is neither a relation between an object and a pre-existent concept (like in the Platonic world), nor is it a relation between an idea and an object (like in our real world). Meaning occurs in the text, is relational, and is the result of gap and difference. Like a game of "hide and seek," James's story structures a figure of impossibility. His text is a space of "plurisignation" also, because, as an illustration of "difference" and "supplementation," it also illustrates how narrative experience generates itself in a process of critical interpretation. In the last part, where James's story is read in the space of "post-classical narratology," it is analyzed as a tool for thinking and interpretation.

**Index Terms**—James, deconstruction, undecidability, plurisignation, post-classical narratology

## I. INTRODUCTION

This article intends to discuss Henry James's "The Figure in the Carpet" in the light of a post-structuralist mode of criticism. The discussion will be mainly deconstructivist. Meaning is neither a relation between an object and a pre-existent concept, nor a relation between an idea and an object in the real word.

Four main ideas will be discussed. The first is that like a game of hide and seek, James's story structures a figure of impossibility. It is illustrated as a space for the abortion of the previous systems of understanding and the emergence of new "modes of intelligibility." The reconstruction of meaning in this story is possible, to borrow from Jacques Derrida, through "supplementation" and "difference." The logic of the supplement promises the priority of the written sign over the oral, and the inevitable relation between presence and absence. The story provides a space for a game of presence-absence, and for the practice of difference. The sign is always differed and deferred, and the meaning is, consequently, suppressed or aborted. In the endless chain of signifiers, what comes next is not a signified but is always another signifier, so that the story presents an empty structure that although signifies no central or ultimate meaning, it stands as the spectrum of a number of different meanings.

The second idea is the differences of structuralism and deconstruction as applied to James's story. Read structurally, James's work is a space for thematizing narrativity, for hermeneutic maneuvers. Ambiguity is the main product of a structural reading of it due to which it is impossible to say which of its meanings is ultimate and truthful. However deconstruction renders, not the meaning of the story as impossible, but the story itself as unreadable. The opposite functions of foregrounding and backgrounding result in a "catachresis" as a figure of unreadability, because the story dismantles the traditional modes of reading and limitlessly re-structures itself so that it always remains unread.

The next idea is that James's story works through cancelling the searching project of the reader which enables it perpetually to hide its secret and abort its meaning. In this way, the story provides a space for the production of new meanings through interpretive readings. Among the techniques used in James's story for this purpose are (a) the employment of an unqualified narrator-character to review a story who can never accomplish his task, and (b) the application of death as a non-communication.

And the last idea is James's story as read in line with two models of "postclassical narratology" by which it is usually meant the post-2000-year models of narrative studies. Therefore, postclassical narratology is expected to be a more developed stage of (post-) structuralism. Instead of describing the grammar, the poetics, and/or the rhetorical features of the story, post-classical narratology evolves all of such considerations into interactive dimensions of a single program for narrative analysis.

In the first model, which has been provided by Emma Kafalenos, the events lose their eventness and only complete the verbal structure of the story. Verbal action is in the service of language and is interpreted, not from the perspective of the doer, but from that of the perceiver. The second model, which David Herman has formulated, discusses the stories as tools for thinking and interpretation. Narrative is an abstract structure, but its system helps us to devise patterns for our cognition and structure our experience. Reading narrative makes it possible for us to embed the external realities of our life in the abstract structure that we make of life.

## II. DISCUSSION

### A. *A Structure of Impossibility*

Like in Hugh Vereker's tale, a major feature of James's story, which is narrated in a limited point of view, is that its meaning is perpetually undecideable. A technique for producing this effect is the use of an un-qualified narrator to review Vereker's story who hardly can fulfil his job. Therefore, the rhetoric of communication in James's story is inadequate, and it is not a tale of presentation, but is a discourse of non-presentation.

For rendering its revelation impossible, the figure in the carpet of the story takes numerous shapes. When the reader feels he is at the threshold of untying the text, the meaning hides itself, and the reader is left alone to search for it. But what is more real about this story is that its reader's continuous search for an ultimate meaning is but futile. The death of George Corvick as the sole possessor of the secret of Vereker's story, the pertinacity of his wife on passing no information about the secret to the narrator, the death of Vereker and that of his wife, and the death of Gewdolen before saying anything to Daryton Deane (all) support this system of non-communication. Consequently, the narrator admits that he was "shut up in my obsession for ever," while "my gaolers had gone off with the key" (James, 1947, p. 212). After Vereker's death, Drayton Deane "wrote on a thousand subjects, but never on the subject of Vereker" (Ibid., p. 213). And the narrator is continually as if gone astray from the right path of signification.

The fact that the story negates any ultimate meaning is a guarantee of its plurisignation, for it illustrates, to speak with Roland Barthes, a "production without product, structuration without structure" (Barthes, 1990, p. 5), because it wants to ground many possible meanings at the same time. Unlike a traditional "readerly" work, the "infinite of the signifiers" in James's text makes it a mystery story with many significations that can be considered as right although opposite to each other they may however be. The loose and multi-directional movement of the sign in it, its multileveled ground of signification, a virtual space in it where the energy of an "as if" structure makes its things both real and unreal at the same time, and the existence in it of a number of secretive characters who can read their texts each time in a different way turn this text into a metafiction that is integrally plural and reversible, and frankly indeterminable in sound and sense.

James's text is a work of art the theme of which is but itself. We should read it, consider it, meditate on it, and develop its sense and feeling in our inward life. When we read it closely, we get involved with it not only physically but also intellectually and emotionally. Therefore, as we privately and penetratingly think about it, a decisive agent takes mission in us to support our lucid desire, we begin to find our way through James's oeuvre, and knowledge starts to get established in us. In this way, we witness the formation of an intruding insight in us, our curiosity gets deeper, and an unknown agent in our consciousness starts producing meaning. However, this story has perhaps no certain figure for deciphering. Instead, the figure is the work itself that is for reading and perusal. If we read it attentively enough, we refuse to get satisfied of our pellucid desire for more knowledge, but start to search for the main secret of its narrativity.

The narrator writes a review on Vereker's newly published story and publishes it in the journal "The Middle." However, when the novelist says the review is not more than "a usual twaddle," the narrator gets so deeply inflicted that he starts avoiding him. But although the novelist visits and relieves him, he frankly tells him that he has missed the point of his story "with inimitable assurance." Therefore, the narrator ardently asks him "what your 'little point' happen to be?" If "The Figure in the Carpet" is a tale about structuration in tale, it is perhaps the dramatization of the figure in the carpet of the last two phases of the fiction of James where the main task of the reader is to discover how the story cancels its own discourse.

### B. *A Space of Incompatibility*

Mas'ud Zavarzadeh argues that a large part of the contemporary fiction is meaningful but ill-formed. However, he claims that "In fact it is through their seeming ill-formedness (non-belonging) that innovative narratives challenge the existing modes of intelligibility and eventually modify them" (Zavarzadeh, 1985, p. 610). In such a context, a useful way to account for the meaningfulness of the modern narrative is reading it as a narrative rather than thinking about if it is ill-formed or well-formed. It can be suggested that "The Figure in the Carpet" is incompatible to the previous narrative forms before James, that is, it does not belong to the logics of literary understanding before him. A face of its incompatibility is its outstanding self-referencing. And its incompatibility leads to another opposition in the structure of this story with that of the traditional fiction in the second half of the 19<sup>th</sup> century: this story develops a sense of a perpetual searching for something which is always absent as the subject of the story. It does not lead the reader to any material theme external to itself but leads him only to the necessity of more searches. Therefore, a (post)structuralist mode of approaching this story is to read it as a highly metaphorical text which means what it highlights is always lacking.

However, a product of a deconstructive reading on it can be a new kind of analysis about its plot, characterization, situation-making, and suspense; for in the term of such considerations it leads us to different directions. The text shows that James was highly anxious about the vulgarity of Victorian literature and would suggest that the writers should contribute more attentively in the production of a more refined fiction. On the one hand, he wants the readers to develop new habits of reading by learning the literature before him. On the other hand, the last phase of his own fiction is much different from traditional fiction for it is highly metaphorical and inquisitive. And "The Figure in the Carpet" offers new fields of exploration to the modern writer and new styles of criticism to the reader. In some of its strategies and

techniques, in the application of causality for example, it goes counter to the Victorian fiction. Tzvetan Todorov argues that it is the effect, the purpose, of this story that causes something which can be considered as the cause; for the secret of James's story is, like that of Vereker's tale, an open-ended search for something that leads to the tale itself and that is always absent. Such a search is constitutional perhaps to the whole last style of the Jamesian fiction.

Thus, this story is a tell-tale search. Firstly there is a searching and then there is the tale. In it, we read the story of no usual search but read about how a story can structure itself in an act of searching. This means that this story is not a search-carrying tale but is a tale-making search. And the fact that the cause of the search is always absent or escaping, we can consider it as a typical example of the modern narrative that is incompatible with the previous laws of coherence. In addition, the numerous physical movements of its characters suggest that they cannot centralize their searching maneuvers. The searching movements in the story are spiral: always circular and expanding. And the story is like a broadcast: always intruding and reaching, and always unfaithful to the past and bent to the future.

In conflict also this tale is unique in nature and in degree. It is different from the typical story before James, and it does not fit to the prevailing models of intelligibility. Its conflict is not between man and man or between man and nature; it is between two styles of writing and reading literature. The narrator-character of Vereker's tale desires to find the secret of it, but like James's story, it perpetually hides what he searches. This conflict is powerful enough for the story to suggest a new mode of thought. In the traditional tale, the conflict is usually solved to the benefit of the protagonist as the better or stronger side. This agreement between the logic of traditional story and the interest of the average reader would provide poetic justice, and would fulfill the expectations of the romantic and bourgeois societies. But in James's story the conflict should remain unresolved, because if it is resolved, the movement of the sign is halted and the story will stop working. Thus, its conflict is extended beyond it, for by the time we have read the whole of it, the opposite energies that produce its conflict remain improbable to come to terms. Every one of these energies is equally contradictory to the other one. As the story expands, the conflict becomes wider and deeper, and the reader feels deeply uncertain.

### III. THE STORY AS NONREPRESENTATIONAL

Representational narrative creates a virtual world where unreal people do unreal things. Its unreality makes it quite ubiquitous and appealing to the imagination of the reader. So it is inclined to map out the ideals and dreams of the reader and control his ideology, and is imaginatively qualified to transfer its values to the reader and change him to a more cultured man and a better citizen. Although the reader knows that the story is fiction, he believes in it and in what the characters say and do in it. This is because the world of fiction intrudes into the consciousness of the reader, suspends his disbelief, and overshadows his own world. Such a submissive reader comes into full agreement with the discourse of the text and accepts the norms and values of the narrative. In such a situation, no two-way communication is established between the text and the reader, because the narrative discourse is intrusive while the reader is quite defenseless. Thus, it can be suggested that (reading) representational fiction gives us no more than a limited enlightenment. But the fiction of James in his last phase is not representational. It is not for naïve reading, but is for reproduction through critical interpretation. And "The Figure in the Carpet," which does not appeal to the disbelief of the reader, makes no clearly represented world, but its world is always ethereal and in a process of cancellation.

#### A. *Impossibility versus Unreadability*

James's story is not a "factive" narrative, but is wholesale fictitious. A structural reading on it is a hermeneutic gesture that is new, radical, and contradictory to all traditional reading modes. Such a reading is rebellious and centrifugal; and, to speak with Zavarzadeh again, is inclined to "eclipse the signified" (p. 621). This story is a meta-fiction, a self-reflexive art narrative the theme of which is (its) narrativity. Zavarzadeh admits that such reading sets up a "grammatological interrogation of intelligibility itself, especially the public intelligibility as appropriated and narrated in mimetic fiction" (p. 621). Meaning is not regarded as self-present or self-evident, it is rather pre-causal; and is always lucid, relative, absent, and even non-existent. It is not somewhere outside the discourse of the story, but is the sum total of the narrative.

And reading is a rivalry of text and history. It is an inspection for discovering the grounds of the authority of narrative, for invading its important strongholds and foregrounding its signification. However, backgrounding the signified by the text causes it to escape from the domain of signification and renders it intangible. This feature in the modern narrative increases to its remoteness, secrecy, and open-endedness; and makes it difficult for the reader to discover its patterns of signification. In deconstruction the text combats with reading to repeat itself through canceling signification. However, it is not the text, but the action of reading and its effects, that provides the main critical controversy. The echo of reading and the essence of combat animate the text and generate meaning. In the modern fiction, backgrounding always renders foregrounding as futile, and a totality of the signs makes a network which no reading can disable. Shoshana Felman admits that no reading can exhaust "The Turn of the Screw," for it always repeats itself in reading. In "Turning the Screw of Interpretation" we read,

The essence of the critical debate is thus a *repetition* of the scene dramatized in the text. The critical interpretation, in other words, not only elucidates the text but also reproduces it dramatically, unwittingly *participates in it*. Through its very reading, the text, so to speak, acts itself out (Felman, 1977, p. 101).



Such a dramatic tension between text and reading (between fiction and criticism) is perceived in "The Figure in the Carpet" also, because an important hermeneutic aspect of it is the development of our metaphoric understanding, since while we read it, our knowledge about it changes. On the one hand, it transfers us to a previously known world. On the other hand, our familiarity with it, is in a secret way destroyed. In reading a text, we not only trace or apply our own pre-suppositions in it, but also apply the text as to ourselves. The result of this self-application in the text is a process of self-education, self-realization.

On the other hand, in James's text the figure is integrated so closely with the carpet that separating the former spoils the latter itself. "Backgrounding the signified" is a feature of it, and it adds much, to speak for J. Hillis Miller, to its "Unreadability," "undecidability." It is the realm where "the figure and the ground constantly reverse." "Backgrounding the signified" is the name of a process through which, as Shlomith Rimmon-Kenan says, the narrative "renders choice impossible and frustrates the reader's expectations of a univocal, definitive meaning" (p. 186). In the modern narrative, this guarantees the textual relations and conspires to make a strange figure that is unknown and non-realistic. But Miller says the figure in James's text is "at once a name for the actual 'figures' or characters of the story, and at the same time it is the name for relation, for a design which emerges only from the retracting of 'the related state, to each other, of certain figures and things'" (Miller, 1980, pp. 110-111). Backgrounding the signified makes it possible for this story to limitlessly retell itself. Therefore, another poststructuralist reading on it is an exercise for solving the problem of the limitless; the problem that perpetually renews itself. Miller calls this figure of impossibility in James's story, and in fiction in general, "catachresis", which he says is

the name for that procedure whereby James uses all the realistic detail of his procedure as a novelist to name in figure, by a violent, forced, and abusive transfer, something else for which there is no literal name and therefore, within the convention of referentiality which the story as a realistic novel accepts, no existence. This something else is figure, design, the embroidered flower itself (Miller, 1980, p. 111).

Is this otherness or non-existence the figure of James's story? Does it suggest a process of centrifugal or spiral signification? Whatever it is, it is the outcome of the backgrounded signified, and it makes the story increasingly open-ended and the text inter-textual. It is a possibility for this text to dismantle the traditional modes of reading and to limitlessly restructure itself.

Although Rimmon-Kenan maintains that Miller only nominally "replaces my notion of ambiguity by a notion of undecidability or unreadability" (p. 186), what the former calls ambiguity in James's story is not the same as the latter's undecidability. Ambiguity is, For Rimmon-Kenan, "the conjunction of exclusive disjunctions, or—in less technical language—the co-existence of mutually exclusive readings" (p. 185). It is an element in the works of Henry James, Robbe-Grillet, and Thomas Pynchon for example that renders choice impossible. Rimmon-Kenan tentatively formulates ambiguity in this way: " $a \cap b$ ," when " $a$ " and " $b$ " stand for concepts or statements, and " $\cap$ " means "or" in a strong disjunction. It means that when two statements are strongly disjunctive, only one of them, but not both of them, is true. Her formula for conjunctive statements is " $a \cdot b$ ," when " $\cdot$ " means "and." This means that when two statements are conjunctive, both of them are true.

But for Miller unreadability or undecidability does not turn, while for Rimmon-Kenan it turns "from an impossibility of stating meaning to a statement of this impossibility as the meaning of this particular text" (p. 187). Rimmon-Kenan takes it for granted that the meanings of the story destroy each other so that it can have no ultimate meaning. But, Miller takes it as a feature of "The Figure in the Carpet" where "the figurative and the literal are like figure and ground reversing constantly" (Miller, 1980-1981, p. 191). By backgrounding the signified and foregrounding the signifier, the narrative produces a big store of energy by which it plays upon the reader and defers signification. Here also the text is metamorphosed into something like a painting that is a great landscape of vagueness. The constant reversion of ground and figure changes it to an unreadable product in the foreground and background where figures are limitlessly plural. Rimmon-Kenan believes in the impossibility of an ultimate meaning in James's story, but Miller finds a procedure of unnameability in it which is a dimension of the modern fiction in general. Miller's "catachresis" is therefore the name of an absence or otherness the representation of which is a real feature of the modern narrative.

Therefore, post-structuralism reflects a major difference with structuralism. The latter wants to analyze literature scientifically. It claims can achieve mastery over literature through demystifying it. Here the play of the sign leads to a hierarchy of significations, and the meaning of a literary work is textual rather than absolute and transcendental. Post-structuralism also believes in no transcendental signified. But it proves that literature is not scientifically approachable, for the signified is perpetually differed and deferred, which renders the meaning undecidable. In a reply to Rimmon-Kenan, Miller states "Deconstruction wants to show the impossibility of mastery" (Miller, 1980-1981, p. 190) over literature. Structuralists believe that in the modern literature the literal reference is subverted, for literature repeatedly refers to itself. However, deconstruction ascribes the absurdity of reference in literature not to its self-referentiality but to this catachresis, unnameability. The findings of Todorov and Miller in James signify another aspect of the difference between structuralism and deconstruction. For Todorov, although the absolute cause of James's fiction is always absent, it is in existence. However, Miller argues that the possibility of the cause may be not only absent, but non-existent also.

#### B. *The Abortion of Communication*

There is a strong desire in the narrator of Vereker's tale to realize the unavoidable secret of it. However, he will never resolve its secret, because it works like a riddle which nullifies our searches and renders signification impossible. The

tale employs an abundance of techniques for doing this, for what structures it is a search for a figure that is always hidden, since upon the discovery of it, the narrative stops working, and reading turns out to be absurd. A technique for postponing signification is the creation of loose and complex relations between ideas for the illustration of which he uses the priorities of a certain prose style.

Comparing the prose style of Samuel Johnson's *Rambler* with the second chapter of James's *The Ambassadors*, W. B. Short acknowledges that both of these works are replete with long, periodic, and complex sentences. However, if the complexity of the Johnsonian sentence is due to his complex ideas and sentence structures, that of the Jamesian sentence is, for Short, due to the loose and vague relations among his ideas for the illustration of which he uses loose conjunctions, vague parenthetical structures, pronouns with unclear references, etc. In "The Sentence Structure of Henry James," we read,

Obviously, then, although the sentences of James seem formidably long and complex, they are, in one sense, not so. The kind of complexity possessed by the Johnsonian sentence, that violent discharge of a mindful of ideas, the Jamesian sentence does not possess. By contrast, James's ideas are expressible in relatively small numbers of words, and the smaller word groups are loosely linked together, with many interjections and parentheses, to form a complexity that is not of *idea*, but of relationship between ideas; whereas a long sentence by Johnson expresses an idea in a complex grammatical structure, a long sentence by James throws into relationship a number of ideas, each of which may have, within the sentence, its own finite grammatical structure (Short, 1947, p. 73).

In James's story, it is the figure, the total relations, that gives meaning to the life of characters and puts the searching force to work; and it is the force of seeking that provides the needed energy for the hiding mechanism. This unknown figure is the principal 'actor' in the narrative. Thus it can be proposed that in quest of a more refined type of fiction, James's text searches to burlesque signification in the conventional (Victorian) English literature. The narrator eagerly puts all his energy into his project, but "shut up in my obsession forever" (James, 1947, p. 212), he is frustrated both in body and soul.

We read the last style of James, not for fun, but mainly for interpretation. "The Figure in the Carpet" is a searching mission which Corvick and Gwendolen intelligently undertake. The first desires to fulfil what the narrator fails to do. "The temple of Vishnu" is, Peter Lock says, "where the goddess is revealed" (p. 182). It is in the domain of this temple as a site of revelation that Corvick is able to put all the pieces of the critical riddle in their places and to provide an interpretive whole. Nonetheless, this does not mean that James's text will expose its life-giving figure to all readers, because there is a discursive element in it which challenges the current modes of understanding. The story also informs us about the death of three characters that have important communicative roles. Lock expresses this formula of non-communication in this way: "Vereker dies after transmitting the secret to Corvick, who dies after sharing it with Gwendolen; and the secret dies with her" (p. 173). Communication is conditional, problematic, procrastinated, even aborted. When a character knows a secret which the other ones do not know, and the knowing character is asked for revelation, he either remains silent or makes the revelation conditional. Hugh Vereker dies before revealing the secret of the story to any fellow. Corvick will transfer it only after he has it validated by Vereker and has got married to Gwendolen. But soon after transferring it to Gwendolen he also dies. When the narrator tries to extract the secret from Gwendolen, she also repulses his attempt. Therefore, with her death the secret of the story dies also, because she has shared it neither with the narrator nor with Drayton Dean her second husband.

In such a space of severe procrastination, the occasion is provided for initiative criticism to formulate the patterns of cognition and reflect on the literature of a whole period for structuring the ideology of the reader and stimulating the lucid and durable experiences of his life. But how can the reader of James's story possibly perceive its (whole) experience? However we read that the figure in the carpet of the story is concrete, the story will reveal it only to the reader who tackles the sign captured in its context. The function of the figure in this hypertext is like the function of our heart. By circulating the blood of meaning in the whole body of the text, the figure does two services: on the one hand, it guarantees the life and movement of the verbal sign, while on the other hand it makes it vulnerable to the initiative search. Vereker says the figure is not a secret of knowledge but is a secret of language, of art. It is not only a question of form, but is also a question of life; for it guarantees the very existence of the work. This means that for unravelling the secret of this story, we should study it but not on the basis of the conventional modes of criticism, because such criticisms do not often exceed the questions like the subject, the theme, the conflict, and the character of the typical literary text. Instead, we should read it to discover the grammar of it, that is, the function of its narrativity and the role of its language. Among other things, we should read this text to realize how the story in it is taken in the service of language for the creation of the desired effect of narrativity.

As Leo B. Levy quotes from F. O. Matthiessen, James's story "was designed as a plea for ... mature criticism" (p. 457). Part of Levy's article discusses the awkwardness of James's situation as a writer of fine and complex intentions who is faced with readers and critics that are unequipped for responding to any work of literature. But James's narrator embodies the numbness of the general sensibility of his own time. The critical history of this tale shows that many critics have had problem with reading it. In such a context, a question is how this structure of ambiguity was to ground the development of critical appreciations. James was unhappy with the current critical modes and was anxious to offer new approaches of literary analysis. But what role this story could play in this regard? And why the scholars were fully absorbed in it and widely reacted to it? Levy mentions R. P. Blackmur's opinion in this regard also: "it would seem

actually, as written, to mean no more than that there is a figure in the carpet if you can imagine it for yourself; it is not there to discover. ... Or it may be that the figure in the carpet is necessarily ineluctable; perhaps it only ought to be there" (p. 457). The question here is not about the function of the figure but is about the existence or the nature of it. Although the figure may be quite objective, it is equally subjective and personal, because it is the product of the imagination of the reader to which he appeals in an act of interpretive textual analysis. For Levy, the figure in James's story is both abstract and personal, the sum total of relations in its interior that make it into a systematic language product. Such a system is the marriage point of intention and design. The form of the story is not divisible from its content but is part of it.

The sum total of such innate qualities, added to James's idea that the figure in the carpet of his story is personal, provides the ground for the absurdity of any unitary and ultimate interpretation for it. The symbolic code frees both the text and the act of reading from the established norms, and transfers them to the domain of the plural, the lucid, and the liberal. A totality of internal relations is integral to the life of the text, and it structures a system that is potential to generate many subsystems. In this way, the fact that modern criticism admits of no ultimate interpretation, makes this work into a fantastic fiction that is always open to restructuring. Thus, this story shows James the grammarologist outrunning James the novelist.

This story searches for something and hides it at the same time, for its energies of hiding and searching, which necessarily create and nullify each other, originate from a same source. However, in the time of James such an emphatic relativity in experience seemed quite bizarre and incompatible to literary tastes and traditions, for knowledge and oblivion were not congruous in the under-structure, and truth was not identified with untruth. The figure symbolizes a "right combination" of all intricate elements of the work in the mind of the reader. This narrative is not the product of text, but is the product of reading and critical interpretation. Its structure is not something concrete which is already there in the text, but the text is something that structures itself in reading. And if its figure is concrete, it is the reader's mind that concretizes it, for out of his mind there is no figure, no structure. This claim is certified by the difference between the narrator who is a failure and Corvick who discovers the figure. The former does not have enough love and courage to carry out his job, but the latter loves structure and life and communication for which he sincerely searches. With his achievement, literary imagination becomes authorized to inspect many regions of life that have always been closed to us. Therefore, if Levy is right when he says the figure is a pattern of "psychic impotence" (p. 457), what Corvick does typifies a structure-making diagnosis which is confirmed by the use of story in the service of language.

#### IV. STORY FOR THINKING AND INTERPRETATION

With the beginning of the third millennium, narratology started to develop into a big subject of research. In the profusion of all the models of narrative analysis, which David Herman calls "postclassical narratologies," narrative is discussed from many perspectives including as a field of interpretation. These models seem rather personal and quite diversified. The remaining part of this article discusses two such models and applies them to James's story as a field of interactive thinking.

Structuralist narrative studies developed mainly out of the Saussurian linguistics while "postclassical narratologies" have been formulated on the structuralist narratology. However, by "postclassical narratologies" Herman means something more than from an expansion of linguistic analysis of literature. "Postclassical narratologies" show the limits and deficiencies of the post-structuralist approaches also. To formulate new modes of reading, postclassical narratology re-thinks about and re-evaluates structuralist methods and norms of literary analysis. In structuralist narratology, the researcher would attempt to describe the grammar, the poetics, or the rhetorical features of a literary text. In the grammatical model (like in the works of Vladimir Propp, A. J. Greimas, Claude Lévi-Strauss, Tzvetan Todorov, and Roland Barthes) he would search for the langue of it, while in the poetical model (like in the works of Wayne Booth and Gerard Genette) he would search for the techniques of fictional representation, and in the rhetorical model (like in the works of Roman Jakobson and in Anglo-American New Criticism) he would search for the function of the linguistic meditation in extracting the meaning and effect of the work.

But the recent developments in cognitive science, linguistic pragmatics, and discourse analysis have helped these classical models of narratology evolve into interactive dimensions of a single program for narrative analysis under the general title of "postclassical narratology" that is much wider than the classical and includes more critico-theoretical trends. For example, what in the Greimas model comes under the term "actant," which he assumes for characters, in the postclassical model is examined as the role of a behavioural perspective in a socio-cultural context. Also, postclassical narratology pays much attention to the response of the perceiver of the work while in the 'classical' models this function is rather disregarded.

To provide postclassical methods for analyzing stories, Emma Kafalenos does a research in which Herman says "function analysis" (Herman, 1997, p. 14) plays an important role. She focuses on the "event" and "sequence" in the narratives to describe how they are different from other kinds of discourse like arguments or descriptions. A description is a sequence of propositions which recount no event, but a story is a sequence of propositions used to recount events which occur in a particular temporal sequence. In this position, James's story can be analyzed as a tool for thinking, because it repeatedly defers the information that it promises to deliver in its opening chapters. By suppressing information, the story grounds the receiver's interpretation about the represented events. Such an event is represented in

a way that it loses its eventness and becomes “a function of the sequence in which it inheres and the sequence taking its identity from the events that constitute it” (Herman, 1997, p. 14). The event is mainly verbal, for it does not complement the action of the narrative but necessarily completes its lingual structure. In addition, by “sequence” Kafalenos means both the sequence of actions and a sequence of interpretation that is attached to the primary event-sequence. Such an opaque language event, disjunctured with its primary function as it is, signals further developments in the postclassical poetics of narrative. The narrative action is analyzed mainly as in the service of language. The action is interpreted from the perspective not of the doer but of the perceiver, and the story is considered not for exploring a certain theme or meaning but as a material for reading and interpretation, that is, as a tool for thinking. The purpose of Kafalenos is, like that of Barthes in *S/Z*, “to remain attentive to the plural as a means to subvert univocal readings” (Kafalenos, 1977, p. 33). She intends to elude epistemological closure and reward the reader of prose fiction for his critical endeavours.

Another aspect of Kafalenos’ model of narratology is a discussion about “sjuzhet” and “fabula.” In traditional models, in Russian formalisms for example, or in early structuralisms, fabula is the entirety of events in their logical or chronological order, and sjuzhet is the wholeness of the same events in the order of their representation. The former is the basic story stuff and the latter the representation of it. But Kafalenos defines fabula as a “construct that the reader makes from a sjuzhet” (p. 37). She ascribes the construction of the fabula not to the giver of the narrative but to the perceiver of it. And she admits that the displacement changes the focus of attention, “from the Formalists’ issues, ... to epistemological issues that can fruitfully be pursued” (p. 37).

She draws upon Propp’s discussion about the structure of the Russian fairy tales in *Morphology of the Folktales* (1968), as well as on Todorov’s cyclical pattern of movement in the story in *Poetics of Prose* (1977) where he defines story as a move from equilibrium to imbalance and back to equilibrium again. However, her model involves considerable adaptations to the models of the Russian and Franco-Bulgarian theorists. Of Propp’s 31 functions, Kafalenos selects only 11 which “name stages in the segment of the cycle that extends from imbalance to equilibrium” (pp. 40-41). She argues that her selected functions provide a vocabulary for talking about interpretations of causality. In America, for example, the people are taught that the colors of the rainbow are red, orange, yellow, green, blue, and violet. These names allow them to look at an object and interpret its color as orange, yellow, etc. But without such names for colors, one would not be able to speak about them. Similarly, a list of functions provides the language that we need to interpret a particular event. In this sense, stories provide us with language spaces where we can express and interpret our beings.

As to the pattern of Todorov, although she believes it helps the analyst to determine to which extent the plot of a narrative is complete, it has no value in determining the shape of the story. Instead, she interprets the narrative events retrospectively, for she defines them according to their consequences and in relation with other events in the configuration. She assigns the act of interpretation not to the author but to the reader, to the characters through whose participations the reader views the narrative world, and to the people who interpret the events in our world.

Kafalenos draws also upon Rimón-Kenan’s analysis of ambiguity in James’s “The Turn of the Screw.” The latter considers two reasons for ambiguity in that story. One reason is our inability to confirm the reliability of the character-narrator’s perceptions and conceptions, what the narrator says is not independently confirmed. Another one is that the story shows both “singly directed clues” and “doubly directed clues,” while the first kind of clues support only one hypothesis and contradict the alternative, but the second kind of them support both alternatives. After acknowledging the validity of Rimón-Kenan’s analysis, Kafalenos suggests a third reason for ambiguity in James’s story: the “permanently suppressed pieces of information that the introductory framing section has given us reason to assume will be revealed” (pp. 45-46). The fabula contains some deferred information which includes the gaps that the reader will fill in later on when the narrative provides them. But the gaps also contain the suppressed information that the narrative will never provide. Kafalenos focuses on the epistemological effects of such missing information in this story. Deferring fictional information has certain unavoidable outcomes: (1) the resulting gap provides a window through which the receiver interprets the represented events, and (2) the missing information makes the receiver’s interpretations differ from when no information is missing. It also affects the structure of the narrative provided in the consciousness of the receiver. Such structural ambiguities ground the configuration of the story by the reader, for depending on which configuration she makes, her interpretation will also change.

What is represented in a narrative shapes the reader’s configurations, and what the reader configures, shapes her interpretations of it. The beginning chapters of “The Figure in the Carpet” change it to a tool for critical thinking, for they promise to reveal some information, but as they perpetually postpone delivering them, the situation is provided for the reader to think more excitedly for historicizing the text by revising it in her own way. Therefore, as we read the story and configure the fabula, we also interpret the events in relation to our configurations. In the course of reading, the fabula grows moment by moment, and the sequence in which events are revealed affects our experience of reading.

Also, the element of suspense, which originates from a permanent gap, arouses our desire, withholds our satisfaction, and grounds our diversified interpretations. Contrary to the classical narratology, where the reader would construct the fabula by arranging a chronological sequence of all the textual events, in postclassical narratology we interpret events as functions in relation to the configurations we have established at the moments of revelation. In this way, a story is not only sequence of events, but also a sequence of interpretations indexed to the primary event-sequence.

The second model of postclassical narratology has been provided by David Herman himself. In "Stories for Thinking," he claims that the action of telling and reading stories helps us to make sense of our world. In this sense, stories are tools or spaces for thinking and understanding. The abstract cognitive structure of the story, and the material trace of that structure left in writing, speech, sign-language, ... make it possible for the reader to adjust and create reality through talking it out. We humans experience the things in random and uncontrollable ways. But the system of narrative helps us to devise patterns for our cognition, and structure our experiences. Narrative makes it possible for the external realities of life to be embedded in the abstract structure that the reader makes of it. It structures our consciousness and gives shape to it. Herman makes an analogy between the text of a story and a board of chess. In a game of chess, each chessman is a representational tool by which the player breaks the stream of experience into limited sections each of which is with useable structures and is thus cognizable. Likewise, stories help us to organize our experiences by selecting from among a set of sequentially and concurrently available inputs, to process those inputs into divided chunks of experience with beginning, middle, and end; and then to base our further cognitive operations on these newly acquired experiences.

We establish our identities through telling and reading stories. As producers and interpreters of narrative, we use a causal order to model the happenings of the story world on the changes in nature or appearances of the recounted participants and events. By representing a chronological sequence, in which the later events originate from the earlier ones, the story establishes our identities over time. Out of story, the data of life are chaotic, disturbed, and meaningless. But within the story they are structured into "causal-chronological wholes" (Herman, 2003, p. 176). Fiction delivers such data in the form of causal networks of which the components are systematically interrelated. It also inaugurates a sense of heuristic judgement in us by which we can detect the causal relations among the things of our world and cluster them in meaningful structures. Such an insight has some additional uses also: it helps the story teller to safely leave the things unstated that take too much time and effort to spell out, and it helps him to learn how to make logical inferences of stories as elliptical and opaque constructions. Narratives provide models for our behaviour in the virtual world they decode; that is, they introduce thought processes by which things and events are mentally modelled as being located somewhere in the world.

A further aspect of stories as tools for thinking and understanding is that they help us to connect the strange with the familiar. In this sense, a story is the domain where we set rhythm for reality, define patterns for it, typify it, and through typification, recognize it, and deal with it in better ways. Reading stories helps us to develop reasonable expectations of the outcomes of our life, for in the failure of our expectations, we learn to re-typify our criteria of coherence and reorient ourselves with new standards. In addition, the face-to-face communicative interaction that the story provides for the readers (and characters) helps them to control their behaviours. Stories enable participants in conversation to contribute for the accomplishment of an expansive network of mutual understanding. Each time a party in a conversation turns her talk to the due of the talk of the other party, she provides the backgrounds of interactive understanding. In this way, the story facilitates the creation of carefully structured and pre-planned discourses. The participants in a narrative conversation reflect on and evaluate the previous, the ongoing, or the possible experiences.

## V. CONCLUSION

The present article has taken to discuss "The Figure in the Carpet" (a) as a space of plurisignation via providing the means of an active impossibility, (b) as a realm for the emergence of relative experiences through the suppression of any ultimate and truthful meaning, and (c) as a tool for the establishment of our identities via thinking and interpretation. Read structurally, it suggests that the meaning is neither incorporated into the text by the author nor integrally inherent to the language. It suggests that the meaning is structural, that it is the result of relations of the language signs, and that it is revealed in a process of critical reading. However, read deconstructively, James's text illustrates how the oppositional functions of foregrounding and backgrounding change it to a space of undecidability and render meaning indeterminable. Thus, the theme of the story is its narrativity. In the movement of the text what comes next is not a signified but is always another signifier, so that its meaning is always aborted. Thus, we read James's story as a modern narrative text not for discovering an ultimate and absolute signification, but for understanding how it cancels its own discourse for the nullification of any truthful signification.

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# Shakespeare Reception in China

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**Abstract**—Since the name of Shakespeare was first introduced into China, Shakespeare in China has witnessed several different development phases in the fields of translating, performing and criticism. In whichever phase the characteristic of Shakespearean studies in China was closely associated with the historical, cultural and political situation at that time, the complete disappearance from the Chinese public life during the Cultural Revolution, for instance. Thereupon, some scholar has asserted that the Chinese have misunderstood Shakespeare, even appropriated him for their own purposes. Although the political element did play an important leading role in China's reception of Shakespeare, it is doubtless that any literature must have its potential social function, no matter in terms of artistic or social value. So is the case with Shakespeare in China. The history of Shakespeare reception in China has completely mirrored the Chinese's seeking after truth from western literature at different historical stages.

**Index Terms**—Shakespeare reception, China, historical phases, seeking after truth

Different from any other country with regard to importing Shakespeare, China “followed neither the nationalist model established in central Europe in the eighteenth century, nor the imperialist model of the nineteenth and early twentieth centuries. Instead it followed almost directly the political condition and changing circumstances of the country.” (Kennedy, 1993) Strictly speaking, the beginning of China's reception of Shakespeare was carried out under the threat of gunboat diplomacy from Great Britain, as Takeuchi Yoshimi contended: “The modern Orient was born only when it was invaded, defeated, and exploited by the West.” (Huang, 2004) Over the course of more than one hundred years of exposure to the playwright, the Chinese have changed their attitudes towards him and his works, from rejecting him as a cultural agent of Western imperialism to welcoming him as a popular playwright and poet in the world and finally to integrating him and his works into Chinese culture, albeit influenced by certain historical factors, including politics, economy, culture, and society.

The whole process of acceptance can be divided into eight phases and will be analyzed in detail in the following parts. In fact, the ebb and flow of Shakespearean reception in China mirrors the development of Chinese attitudes in adapting Western culture to Chinese society and culture.

## I. INITIAL PHASE (FROM MID-19<sup>TH</sup> CENTURY TO THE TURN OF 20<sup>TH</sup> CENTURY)

Meng Xianqiang has noted, “[t]he first man who translated the name of Shakespeare into Chinese was Lin Zexu (1785-1850), a politician and senior official (Governor of Hu-Guang province) in the late Qing dynasty (1640-1911).” (Meng, 2002)

Lin Zexu was a national hero in the Sino-British Opium War (1840-1842). Entrusted by the Emperor of the Qing dynasty, Lin went to Hunan and Guangdong provinces to ban the illegal British opium trade which not only cost China enormous sums of money but also brought harm to the health and moral quality of those Chinese who were addicted to the drug. In addition, after realizing the Qing government had completely isolated itself from the rest of the world, Lin organized his people to translate Western books and newspapers, in order to counteract the invasion of Western countries through acquiring a better understanding of their politics, history, geography and technology. At this time, however, Shakespeare appeared as one of the Elizabethan poets in Lin's translation of Hugh Murray's (1789-1845) *Cyclopedia of Geography* (1836), which was published in 1839 under the title *Annals of Four Continents*.

The Opium War forced China, a country with its own history of more than two thousand years of feudal society, to open her doors to the West. The War, followed by a series of unequal treaties between China and Western countries, marked China's great change from a feudal kingdom to a semi-colonial and semi-feudal country in her history.

After the 1850s English and American missionaries came to China and many missionary schools were established as a way to introduce Western civilization to China. The name of Shakespeare was often mentioned as a great poet and dramatist of the Elizabethan age in regard to the translations of various books on culture, geography and history done by the missionaries. (Li, 1991)

Having learned its lesson from being defeated in the Sino-British Opium War, the Qing government took measures to strengthen its military force, for example, by bringing several battleships from foreign countries and building factories producing weapons. In the meantime, the government sent groups of students and scholars to Europe and Japan to study science and technology. After coming back to China, these scholars with enlightened thought devoted their time to translating Western works of philosophy, ethics and economics. Yan Fu (1853-1921) was one of them: he had studied in England for a few years. In his 1895 translation of English philosophical, political and economic classics, Thomas

Huxley's (1825-1895) *Evolution and Ethics and Other Essays* (1893) for instance, he mentioned Shakespeare's plays and characters. Instead of introducing the playwright and his works to China, Yan Fu's mention of Shakespeare was to illustrate Western ideas:

Shakespeare wrote a play recounting the murder of Caesar. When Antony delivers a speech to the citizens while showing the body of Caesar to the public, he uses logic to stir up the citizens cleverly because Brutus warned him that he would not be allowed to redress a grievance for Caesar and blame the murderers. The citizens are greatly agitated by the speech and their resentment against Brutus and his comrades is running high. We should attribute Antony's success to the function of logic! (Zhang, 1996)

During the initial phase, the Chinese knew nothing about Shakespeare other than his reputation as a poet and playwright in England. In a word, Shakespeare and his works were ignored at the very early stage in the history, regarded as "a cultural agent of Western imperialism" (Berry, 1998). The main reasons can be summarised as follows: on the one hand, from the Chinese point of view, China's self-sufficient natural economy was destroyed by the English invasion during the Opium War and the Chinese began to suffer humiliation from a series of unequal treaties afterwards. Accordingly, the patriotic Chinese strongly resisted the introduction of Western culture, regarding it as a cultural invasion following the military invasion; on the other hand, England was the first Western country to force China to open her doors to the West through importing illegal opium into China. Undoubtedly, as a result of having been invaded, and with the aim of "learning the advanced techniques of foreign countries in order to resist them", as stated by Wei Yuan (1794-1857) in the late period of the Qing dynasty, the Chinese were only interested in learning from Westerners about their technology, economics and geography. The name of Shakespeare was introduced to China only among some translations of English history and geography. Consequently, the first reception phase of Shakespeare in China was completely outside the field of art and literature.

By the way, during the first phase of Shakespearean reception in China, the name of Shakespeare was transliterated in various ways, such as *Shashibia* by Lin Zexu, *Shekesibi* by William Muirhead (1822-1900), *Shaisibier* by Joseph Edkins (1823-1905), and *Shasipier* by Devello Z. Sheffield (1841-1913), an American priest. It was only in 1902 that Liang Qichao (1873-1929) fixed transliterating Shakespeare as *Shashibiya* in his *On Poetry*, which was published in *New Citizens' Journal*. (Meng, 1994)

## II. TRANSITIONAL PHASE (FROM 1903 TO 1920)

Some Chinese scholars are of the opinion that the real acceptance of Shakespeare in China did not begin until the year 1903 when the first Chinese translation of Shakespeare was in print, for the previous references to Shakespeare by English and American missionaries as well as Chinese scholars simply introduced his name without describing his plays or poems in detail. They are not wrong in terms of art and literature, nevertheless, the name of Shakespeare became known to the Chinese during the Opium War, even though only to a small circle and accordingly, from the historical viewpoint it is reasonable to look back on the history of Shakespearean reception in China as from Lin Zexu's rendering Western military, technical and geographical works in the period of his banning British opium trade in Guangdong province.

At the beginning of the twentieth century, Chinese intellectuals advocated studying Western culture in order to integrate "the Chinese philosophy of life and Western standards of precision and efficiency" (Li, 1991). Shakespeare gradually came to be known by more and more Chinese. During this period a number of scholars tried to translate his plays into Chinese and consequently the Chinese audience and reader had the opportunity to appreciate his works rather than only know his name.

Strictly speaking, during the early years of the twentieth century the Chinese reader did not have access to Shakespeare's plays apart from through a collection of *Tales from Shakespeare* (1807) by Charles and Mary Lamb. Shakespeare was received at that time in China not as a poet or playwright but as a fiction writer and story-teller, inasmuch as the translations gave some general ideas about plots, characters and themes. The first translation of this collection was published anonymously under the title of *Strange Tales from Overseas* in 1903, but it included only ten of the tales and arranged them as ten chapters of a novel. One year later (1904), Lin Shu (1852-1924), who was a famous writer and translator but had no knowledge of foreign languages at all, cooperated with Wei Yi, a translator and master of several foreign languages, in translating the complete *Tales from Shakespeare* into Chinese under the title *The Mysterious Stories of the English Poet*. Then in 1916 with the help of Chen Jialin, Lin Shu retold five of Shakespeare's original plays, namely, *Richard II*, *Henry IV*, *Henry V*, *Henry VI* and *Julius Caesar*. Unfortunately, he translated these plays once again in classical Chinese prose instead of the form of drama. Lin's *Mysterious Stories of the English Poet* offered scripts for new drama – the early drama in China and once popular in Shanghai at the beginning of the twentieth century.

Though not complete, the earliest Chinese rendition of a Shakespearean original play appeared about 1910. After watching Gounod's opera *Romeo and Juliet* in New York performed by Amelita Galli-Curci, Chang Chen-hsien claimed, Deng Yizhe was excited by the play and translated the balcony scene into a rhymed ballad. Unfortunately, "one who cannot read the original text can never understand what Deng says. One who can will discover, after taking all the trouble to trace a line by line comparison, that much of the translation does not make any sense at all." (Chang, 1953)



During this period Western works were all translated into classical Chinese. “With the gradual introduction of Western science and art, Chinese intellectuals at the beginning of the twentieth century felt a pressing need to replace classical Chinese with the vernacular for general communication and even for intellectual discourse and literature.” (He, 1986) The New Cultural Movement started in 1917 under the guidance of Hu Shi (1891-1962), who promoted the use of vernacular and called for the total removal of the classical language. Resulting from this Literary Revolution, translations of Western works began to appear in modern Chinese language. Accompanied by other Western literature, parts of Shakespeare’s plays were for the first time introduced in dramatic form to China.

### III. REAL BEGINNINGS OF CHINESE SHAKESPEARE (FROM 1921 TO 1949)

In 1921 Tian Han (1898-1968), a playwright and translator, ambitiously attempted to translate ten plays of Shakespeare within three or four years – in fact, he did the first complete Chinese translation of Shakespeare, that of *Hamlet*, which was published by the China Publishing House in 1922, and afterwards of *Romeo and Juliet* in 1924. He was the first to translate a complete Shakespeare play in its original dramatic form into modern Chinese. Apart from Tian’s renditions of Shakespeare before 1949, many scholars have been involved in translating Shakespearean dramas and sonnets into modern Chinese. Two of them are worth mentioning: one is Liang Shiqiu (1902-1987) from Taiwan and the other is Zhu Shenghao (1912-1944) from mainland China. They both have greatly contributed to the translation of the dramatist’s complete plays.

Liang Shiqiu began his translation of Shakespeare in 1931 when he was on the mainland and translated eight of the dramatist’s plays in this decade. He did not finish the rest until 1967, eighteen years after he moved to Taiwan. His translations of Shakespeare’s complete plays were published by the Far East Publishing Company in Taiwan. Zhu Shenghao, at the encouragement from his colleague Zhan Wenhui (1905-1973) against the historical background that there had never been a translation of a foreign writer’s complete works, started in the year 1935 with his ambitious plan to finish translating Shakespeare’s complete works within two years. Zhu first finished rendering *The Tempest* in 1936. His failure to carry out his plan on schedule resulted from two facts. On the one hand, his manuscripts were destroyed twice during the Japanese invasion and he had to retranslate them. On the other hand, unfortunately, he died of illness and from poverty at an early age of thirty-two after he had finished rendering thirty-one and a half of Shakespeare’s plays. Twenty-seven of his translations were first published by the Shanghai World Publishing House in 1947.

Between 1921 and 1949 many Chinese scholars chose their favourite Shakespearean dramas to be translated and rendered the plays in their own style. As a result, there were several versions of the same play at the same time. Meanwhile, the scholars aimed to offer scripts for stage presentation. For example, in 1930 the Shanghai Drama Association – on the basis of the translation of Gu Zhongyi (1903-1965) – performed *The Merchant of Venice*, the first performance of a full-length Shakespearean drama on the Chinese stage. During this phase the theatrical participants tried to perform Shakespeare’s plays on the Chinese stage in the Western dramatic style, following the Western scenes and dressing up like Westerners with high noses and blue eyes. However, because most Shakespearean plays did not suit the taste and need of the time, the attempt to stage Shakespeare in China was not successful.

In terms of Shakespearean criticism, the relatively late introduction to, and appreciation of, Shakespeare in China compared to other countries in the world, resulted in a lack of Chinese critical works on Shakespeare. The Chinese Shakespearean scholars embarked on Shakespearean criticism by introducing Western criticism of Shakespeare in the 1930s. Between 1934 and 1936 six essays on Shakespeare and his works were printed in *Translations*, with *Today Shakespeare* by an Englishman, *Germans and Shakespeare* by Japanese, and the rest by the Soviet scholars.

Although academic scholars and students made a great effort to render his works into Chinese, which was positive inasmuch as Shakespeare was no longer on the margin, he was nevertheless still beyond the common Chinese reader, who was not enthusiastic about Western culture, because “anti-foreign feeling, constant warfare and momentous social changes in the first half of this century diverted the attention of the Chinese people from even an introductory study of Shakespearean drama.” (He, 1986)

### IV. DAWNING OF CHINESE SHAKESPEAREAN CRITICISM (IN THE 1950s)

After the founding of the People’s Republic of China in 1949, the relationship between China and the Soviet Union as allies became much closer than before. Indiscriminately China followed her “Elder Brother”, the Soviet Union, in every aspect ranging from political and economic orders to cultural appreciations, for “the good experience of foreign countries, especially Soviet experience, can serve as our guide” (Mao, 1942). Shakespeare was regarded as an important Western writer for Soviet critics and Soviet theatre; accordingly, more and more Chinese academics were encouraged to study Shakespeare and his works. Meanwhile Marx’s and Engels’s interest in Shakespearean works has particularly inspired Chinese Marxists to interpret the dramatist and his plays. In a letter to the German socialist Ferdinand Lassalle (1825-1862) dated May 18 of 1859, Engels championed Shakespeare:

The realistic should not be neglected in favor of the intellectual elements, not Shakespeare in favor of Schiller [...] What wonderfully distinctive character portraits are to be found during this period of the breakdown of feudalism – penniless ruling kings, impoverished hireling soldiers and adventurers of all sorts – a Falstaffian background that, in an historical play of *this* type, would be much more effective than in Shakespeare! (Huang, 2004)

Under such political and social circumstances, Chinese interest in Shakespeare and his plays was awakened and Shakespearean studies, for the first time, reached a peak in the 1950s in the fields of translating, performing, cinema and literary criticism.

In 1954, Zhu Shenghao's translations of Shakespeare were published in twelve volumes by the Beijing's Author's Press, and this time his complete translations were included in this collection. The 1954 edition was reprinted in 1958 and 1962 respectively. At the same time other translators' renderings of Shakespeare also came into print, such as Cao Yu's (1910-1996) *Romeo and Juliet* and Bian Zhilin's *Hamlet*, and Fang Ping's *Venus and Adonis*, all of which made a great contribution to Shakespearean studies and translations in China.

Meanwhile, the Chinese continued attempting to perform Shakespeare and his plays. Three institutions – the Central Academy of Drama in Beijing, the Shanghai Theater Academy, and the Beijing Film Academy – were set up to follow the Stanislavsky model and Soviet directors, Yevgeniya Konstantinovna Lipkovskaya (1902-1990) as an example, were invited by the Chinese Communist Party to work as drama teachers at these institutions. He Qixin has stated that in 1956 graduates of a Chinese actors' training school performed *Romeo and Juliet* in Beijing in the modern Chinese dramatic form – a form which resembles the Western-style drama and which was initiated by a group of Chinese students studying in Japan in 1907. On the other hand, under the guidance of the Soviet experts in directing and acting, Stanislavsky's concept of "starting from the self of the actor" was theorized in demonstrating a realistic representation of life on the Chinese stage. For instance, while directing Shakespeare's *Much Ado About Nothing* in Shanghai in 1957, Lipkovskaya required her Chinese students to wear costumes in rehearsals, to write autobiographies of the characters and to ask themselves many "if" questions in order to strengthen their imagination that they lived in "Merry England" – words by Engels in his *The Conditions of the Working Class in England*, as Stanislavsky claimed: "If acts as a lever to lift the world of actuality into the realm of imagination" (Li, 2003). During the 1950s, Shakespeare's *Much Ado about Nothing* and *Twelfth Night* were frequently adapted for the Chinese stage on the basis of Zhu Shenghao's version.

Throughout the decade, film versions of Shakespeare's plays began to be shown in the cinema either with Chinese dubbing or captions. The earliest screened in China was the well-known film *Hamlet* with Laurence Olivier. Its Chinese title was *The Story of the Prince's Revenge* and dubbed in 1958 on the basis of Bian Zhilin's translation. Sun Daolin (1921-2007), who was good at English and a famous actor and director in China, gave the dubbing of the protagonist Hamlet. His familiarity with the English language and his perfect dubbing skills won him a good reputation and meanwhile attracted more and more Chinese audiences to watch the film.

This phase plays rather an important role in the history of Chinese reception of Shakespeare: Chinese Shakespearean criticism was dawning. In other words, in addition to translating and staging Shakespearean works, Chinese scholars began to state their understanding of Shakespearean plays through critical essays in journals. Resulting from the close political relationship between China and the Soviet Union and also the relatively late beginning of Shakespearean studies in China compared to other countries, Chinese Shakespearean scholars followed their elder brother's steps without any hesitation. Many Russian critical essays – two of them are worth mentioning for their frequent appearance in Chinese translations: *Shakespeare in the Soviet Union* by Mikhail Mikhailovich Morozov (1897-1952), published in China in 1953 with two Chinese translations: one by Wu Ningkun (1921-) and the other by Wu Yishan, and Alexander Anikst's *Shakespeare and His Plays* published in China in 1957 – were translated into the Chinese language so that Chinese critics could appreciate Russian attitudes towards and opinions about Shakespeare and his plays, to the extent of being indispensable as reference books for teaching foreign literature and Shakespeare's plays at the department of the Chinese Language and Foreign Languages. Under the strong influence of established research paradigms from the Soviet Union – Marxist criticism of Shakespeare, the Chinese critics concentrated on discussing the historical background of Shakespearean works, social conflicts and class relations expressed in them, regarding the plays as representatives of realism and approving Shakespeare's humanism in them. (Meng, 1994) In point of fact, the popularization of analyzing Shakespeare and his works in China from the viewpoint of class was partially due to Mao Zedong's call "to never forget class struggle" in the 1950s, which was first mentioned in his talks in 1942:

The writers and artists should study society, that is to say, they should research into every class in society, into their mutual relationship and their individual situation, into their physiognomy and psychology. Only when we fully understand all these, can we have a literature and art that is rich in content and correct in direction. (Mao, 1942)

No matter which social class William Shakespeare stood for – ironically, there was no working class or proletariat in Shakespeare's time – and how Chinese scholars followed the established research paradigms in the Soviet Union, it was undeniable that Shakespearean criticism came into its own in China in the 1950s.

## V. A HALT TO SHAKESPEAREAN STUDIES (DURING THE CULTURAL REVOLUTION OF 1966 TO 1976)

The period of the Cultural Revolution was a big disaster in Chinese history. Ultra-leftists purified the Party by purging the so-called "bourgeois" and anti-socialist tendencies. They attacked all traditional values and strongly objected to foreign literature, considering that Western culture and bourgeois things could corrupt proletarian ideas and socialist ideology. Instead, the celebration and eulogy of workers, peasants and soldiers became the core idea in art and literature. The prevailing political instability had a great impact on Chinese economic growth, social stability, educational progress and diplomatic policy. China was once again shut off from the outside world and Shakespeare disappeared completely from the lips and pens of the Chinese.

Every day the Chinese were asked to recite and memorize *Quotations from Chairman Mao*, which were collected in a pocket-size book with a red plastic cover, known as “Little Red Book”. Almost every Chinese person had such a Red Book in his or her pocket. In addition, in bookstores and libraries *Quotations from Chairman Mao* and so-called new proletarian literature took the place of any other book and newspaper, including all foreign literature which was labelled as “feudal, bourgeois or revisionist” and was then banned. Those scholars and teachers who had studied Western works were cruelly denounced in public by the Red Guards. The only plays performed on the stage were eight so-called “model dramas”, different from either typical Chinese theatre or Western dramatic style, to sing the praises of Chairman Mao and the “red” proletarian ideas. Without exception, under the propaganda that all literature and art should serve socialism and Chinese writers should address workers, peasants and soldiers, everything about Shakespeare and his works in China was completely removed from bookstores, libraries, stages, cinemas and any other public place, although some Chinese intellectuals carried on reading Shakespeare in private. The boom of Chinese Shakespearean studies that had been awakened in the 1950s came regrettably to a halt.

## VI. RESUSCITATION OF SHAKESPEAREAN STUDIES (AFTER THE CULTURAL REVOLUTION)

After the end of the disastrous Cultural Revolution in 1976, Shakespeare and his works came back to the Chinese along with other Western literature. Obviously, suffering from being banned as “feudal, bourgeois or revisionist” by the ultra-left members of the Chinese Communist Party during the Cultural Revolution for ten years, Shakespearean studies in China needed time to resuscitate themselves. During this period, the noticeable characteristic was that the strong influence of Marxist proletariat literary criticism upon interpretations and appreciations of the English playwright still dominated the Shakespeare scholarship in China.

In the late 1970s two great events encouraged Chinese scholars to take up Shakespearean studies again. One was the British Old Vic Company’s performances in China and the other was the publishing of *The Complete Works of Shakespeare*. This collection included a revised version of Zhu Shenghao’s complete translations of thirty-one plays together with renditions of the other six plays and was printed in 1978, a schedule originally for celebrating the 400<sup>th</sup> anniversary of Shakespeare’s birth in 1664, which was delayed by the Cultural Revolution. The revision was carried out by Fang Ping, Fang Zhong and Wu Xinghua (1921-1966), following the principle of trying to preserve the characteristics of the original translation and improving the quality of the old version by correcting mistakes as carefully as possible and supplementing what had been deleted. In addition to Zhu Shenghao’s complete rendition of Shakespeare, translations of history plays including that of *Henry V* by Fang Ping, *Henry VI* (part 1, 2, 3) by Zhang Yi (1901-1986), *Henry VIII* by Yang Zhouhan and *Richard III* by Fang Zhong were all added to *The Complete Works*, together with Yang Deyu’s *The Rape of Lucrece*, Zhang Guruo’s (1903-1994) *Venus and Adonis*, Huang Yushi’s *A Lover’s Complaint* and Liang Zongdai’s (1903-1983) *The Sonnets*. The publishing of *The Complete Works of Shakespeare* marked the very beginning of Chinese translations of a foreign writer’s complete works and has had a great significance in the history of Chinese literature. One year later, the British Old Vic Company with Derek Jacobi brought Shakespeare’s *Hamlet* to Chinese audiences. The performances were carried out in Beijing and Shanghai respectively. Unfortunately, many spectators could not understand English well and had to depend on the Chinese translation through earphones.

*Much Ado about Nothing* staged by the Shanghai Youth *Huaju* Theatre Company in 1978 was the beginning of Shakespearean performance in China after the Cultural Revolution, being called “a swallow informing the coming of spring”. (Meng, 1994)

At the same time, some critical essays on Shakespearean plays were published in many resumed and newly started journals. However, in the late 1970s Chinese Shakespearean critics were not able to cut out the influence of the Cultural Revolution’s class struggle and analysis, for “there was no official denouncement of this political upheaval and a number of political and ideological issues remained unresolved.” (He, 1986) They still adhered to the Marxist approach and Mao Zedong’s political criteria for literary criticism, claiming that there was no literature that could climb above social classes and accordingly every author wrote for a particular class. For example, the aforementioned Yang Zhouhan held that the British playwright and poet Shakespeare was a bourgeois writer and “was writing for the emerging bourgeois class although he himself might not have been aware of this fact” (He, 1986).

## VII. THE FLOWERING OF SHAKESPEAREAN STUDIES (FROM THE 1980S TO THE END OF 20TH CENTURY)

After coming into power in 1981, Deng Xiaoping (1904-1997) advocated opening China’s doors to the world and initiated economic reforms, pioneering socialism with Chinese characteristics by saying “regardless of whether it is a white or black cat, it is a good cat if it can succeed in catching mice”. Consequently, the Chinese witnessed monumental social, economic and political changes, which simultaneously ensured immense enthusiasm in the Chinese reception of Shakespeare, finally bringing a promising flowering in the history of Chinese appreciation and interpretation of Shakespeare. Against a new historical, social and cultural background, Chinese scholars approached Shakespeare from the aspect of new ideologies, values and aesthetic tastes.

On the stage, Chinese directors and adaptors made great efforts to perform Shakespearean dramas either in English or Chinese in two forms: as spoken drama and/or as traditional Chinese theatre. Ying Ruocheng (1929-2003), a

well-known translator, actor and director, adapted and directed *Measure for Measure* with the help of the visiting director Toby Robertson, which was a successful adaptation of Shakespearean play on the Chinese stage. In the same year 1981, a group of students from Tibet performed *Romeo and Juliet* in the Tibetan language at the Shanghai Drama Institute in order to “broaden the horizon of the staging of Shakespeare in China” (He, 1986). Apart from the new dramatic form of spoken drama, during this period many Shakespearean plays were also adapted for the traditional Chinese stage, the Beijing opera of *Othello* in Beijing in 1983, for instance. What is more, Shakespeare was transplanted onto the Chinese stage in various traditional theatrical forms during the first Chinese Shakespeare Festival celebrated in 1986, ranging from Beijing opera, *kunju* opera, Shaoxing opera, *yueju* opera, to *huangmei* opera.

In the field of translating, many Chinese renditions of Shakespearean works came into print, for example, Bian Zhilin, Sun Dayu (1905-1997) and Yang Lie respectively published their poetic versions of Shakespeare’s *Four Great Tragedies*. Even more popular was the introduction of Liang Shiqiu’s *The Complete Plays of Shakespeare* to mainland China for the first time in 1996. Two years later, experts on English literature and drama such as Qiu Kean, He Qixin, Shen Lin and Gu Zhengkun were invited to revise Zhu Shenghao’s rendition of Shakespeare published in 1978 and then the Yilin Publishing House printed the revised version of *The Complete Works of Shakespeare* (supplement) with the help of Suo Tianzhang, Sun Fali, Liu Bingshan and Gu Zhengkun in retranslating and enlarging Shakespeare with the newly found *The Two Noble Kinsmen* and *Edward III*. So far the supplement collects the most complete works of Shakespeare in China.

Besides translating, Chinese academics have actively published their studies of, and research into Shakespeare, as Meng Xianqiang estimated that “during the last two decades, they produced five Shakespearean monographs, eighteen collections of essays on Shakespeare, and five various types of Shakespeare dictionaries”, (Meng, 2002) for example, Fang Ping’s *Making Friends with Shakespeare*, including his seventeen essays on Shakespeare between the late 1970s and early 1980s. In these critical essays on Shakespeare and his works, “Chinese scholars have done [with] polemical discussions and challenged Russian and traditional Western critical assertions” (Meng, 2002) so as to respond to Cao Yu’s, the previous president of the Chinese Shakespeare Society, call for Shakespearean studies with Chinese characteristics. In his *Learning from Shakespeare* printed in the *People’s Daily* in 1983, Cao Yu remarked that “our studies of Shakespeare are conditioned differently from our Western counterparts. We have a long cultural tradition.... We approach Shakespeare and admire the ‘world giant’ with Chinese eyes of a new historical phase.” (Meng, 2002) Subsequently, trying to establish a Chinese style of Shakespearean criticism, scholars and critics no longer followed the traditions of literary criticism of other countries, say, Russian Shakespearean criticism; what is more, instead of criticizing the playwright and his works from the political viewpoint of class struggle – Mao Zedong’s guideline for art and literary criticism, they attempted to adopt an artistic approach to appreciate and interpret the humanistic ideas and aesthetic values in his plays and poems. Relatively freed from any political persecution, the Chinese academics increased their interest in the Shakespeare scholarship. Their enthusiasm and devotion were reflected in a series of significant events of Shakespearean studies in modern China.

The *Shakespeare Studies*, remarked He Qixin, was the first and, so far, the only Chinese journal devoted to a man of letters outside China and the first issue was published in March 1983. In this journal Chinese scholars evaluated Shakespearean dramas from the aspect of humanism while maintaining a Chinese sensibility, that is, Shakespeare’s works were interpreted by the Chinese from the perspective of human nature and human rights embedded in the plays, closely combined with the social and political issues in contemporary China. Instead of analyzing the theme of Shakespearean dramas, the Chinese tended to appreciate characters with passion, awakening self-consciousness, desire for freedom and competitive individualism, which inspired emancipation from spiritual fetters and demanded human rights and dignity. Some radical Chinese critics related particular social issues in Shakespeare’s dramas to those of contemporary China, for example, the power struggles in the playwright’s plays were used to mock the political situation in China.

In the following year 1984, the Chinese Shakespeare Society was founded in the Shanghai Theatre Academy and Cao Yu, a distinguished playwright, was elected president. The first decision made at the inaugural conference of the Society was to establish the journal *Shakespeare Studies* and to sponsor a Chinese Shakespeare Festival. Accordingly, in April of 1986, the first Shakespeare Festival was held simultaneously in Shanghai and Beijing. This was a significant event in the history of Chinese reception of Shakespeare, showing that Chinese Shakespearean studies reached an unprecedented phase; what is more important, Shakespeare, previously rejected as a cultural agent of Western imperialism by the Chinese, began to be integrated into Chinese society and culture. At the Festival two dozen different companies staged twenty-five plays by Shakespeare within fourteen days. Only two of them were in English and the plays were performed either in spoken drama or in Chinese local style referred to as “Shakespeare in Chinese costumes” (Sun, 2002), ranging from Beijing opera, *kunju* opera, Shaoxing opera, *yueju* to *huangmei* opera. The success of the Festival attracted and encouraged Chinese enthusiasm for Shakespearean studies. In looking back on the Chinese Shakespeare Festival of 1986, Philip Brockbank called it a Shakespeare renaissance in China: while it was winter for Shakespeare in England it appeared to be spring in China. (Brockbank, 1988) After the first Festival, *Bloody Hands*, the *kunju Macbeth*, was invited to attend the Edinburgh International Theatre Festival in 1987 and welcomed by the Western audience.

Chinese Shakespearean scholars have positively taken every opportunity to associate themselves with international Shakespearean studies and fortunately they have gained international recognition from the world of Shakespeare. In 1980 Lin Tongji (1906-1980) of Fudan University attended the Nineteenth International Shakespeare Conference as the first Chinese scholar with his paper "Sullied is the Word: A Note in *Hamlet* Criticism". Another example is that at the Twentieth International Shakespeare Conference (1982), Lu Gusun presented his own interpretation from the Chinese perspective in his paper "*Hamlet* Across Space and Time", which was published in the *Shakespeare Survey*.

The flourishing reception of Shakespeare in China advanced steadily throughout the 1990s. In 1994, the Chinese Shakespeare Society held the 1994 Shanghai International Shakespeare Festival, attracting three drama companies from Germany, England and Scotland. In addition, the link between Chinese and international Shakespearean studies has been strengthened by China's sending, for the first time, a delegation of twelve professors and scholars to the Sixth Congress of the International Shakespeare Association held in Los Angeles in 1996, and translator Fang Ping's, as the first Chinese, being appointed as a member of the Executive Committee of this international organization. At the end of the twentieth century, the 1998 International Shakespeare Conference was co-organized by the Shanghai Theatre Academy and the Chinese Shakespeare Society in association with the Hong Kong Shakespeare Society and Australian Shakespeare Society. A promising new century of Chinese reception of Shakespeare began.

#### VIII. A PROMISING FUTURE OF CHINESE SHAKESPEARE (THE 21ST CENTURY)

Although since the two celebrations in the late twentieth century the Chinese Shakespeare Festival was not carried out on schedule – originally planned once every four years, Shakespearean studies in China made great contributions to translating, performing, teaching and criticism of Shakespeare, which could be seen in the reports of two important conferences: Forum of Chinese Shakespeare in Hangzhou in 2002 as well as Shakespeare and China: Retrospect and Prospect at Fudan University in 2004.

In 2000, a new translation of *The Complete Works of Shakespeare* in poetic form – the first time in the history of Shakespearean translation – was edited under Fang Ping's guidance. Besides, the Chinese received three versions of Shakespeare's *Sonnets* between 2003 and 2004, including Wang Yu's *Shakespeare's Sonnets*, Jin Fayan's *Collection of Shakespeare's Sonnets* and Ai Mei's *Sonnets*. In the meantime, many works on Shakespeare came into print, such as Liu Bingshan's *A Shakespeare Dictionary for Chinese Students* in 2001, Zhang Chong's *Topics on Shakespeare* in the year 2004 and others.

Even without the professional Shakespeare Festival, performances of Shakespeare have not stopped at universities – for instance, the Foreign Languages Institute of Shanghai held several Shakespeare Culture Festivals. The amateur performances of Shakespeare have become popular among universities; for example, the first Competition of Shakespearean Performances at Chinese Universities was given in January of 2005, with more than twenty universities participating in the English contest, including Beijing University, Fudan University, Chinese University of Hong Kong, and Macao University.

What's most striking in this phase was the great development of Chinese Shakespeare criticism. Along with frequent cultural exchange between China and the West, literary and art theories in the West brought to the Chinese new research approaches, broadening Chinese Shakespeare studies and particularly Shakespearean criticism. Among these various methods of researching Shakespeare and his plays, including image study, psychoanalysis, archetypal study, feminism study, religion study, anthropological study, post-colonialism, and deconstruction, cultural studies was the most popular in the Chinese criticism of Shakespeare. The playwright has been compared with Chinese and foreign writers in terms of writing style, theme, plot, characterization and structure. On the other hand, from the dramatic perspective, similarities and differences between Shakespeare's plays and Chinese dramas show the comprehensibility and compatibility of the two cultures, encouraging more adaptations and receptions of Shakespeare on the Chinese stage in the future.

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# On the Relationship between Self-regulated Learning Components and L2 Vocabulary Knowledge and Reading Comprehension

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**Abstract**—In the past two decades, self-regulation has been the center of heated debate in educational psychology. The present study attempted to investigate the relationship between Iranian EFL learners' self-regulated learning components and vocabulary knowledge and reading comprehension. To fulfill this objective, a 60-item vocabulary and reading comprehension TOEFL test was administered to a sample of 250 male and female college students majoring in English Teaching, English Language Translation, and English Literature. The Persian version of "Self-regulation Trait Questionnaire" was administered to the same participants. Pearson correlation procedure was used to analyze data. Results indicated that the correlation between self-regulated learning components: planning, self-checking, effort and self-efficacy gave mixed results. That is to say, two of the correlation coefficients, self-checking and effort were significant while the other two, planning and self-efficacy, were non-significant.

**Index Terms**—EFL, self-regulated learning, vocabulary, reading comprehension

## I. INTRODUCTION

In the past 20 years, many studies have been conducted on self-regulated learning theories and its components. Self-regulated learning (SRL) has been known as an appreciated topic in academic psychology for two decades. Moreover, a strong desire among researchers has also led to the development of an appropriate theory of self-regulated learning.

During the recent years, many interesting studies have been done on the foundation, nature, and improvement of how learners can regulate their own learning to facilitate the learning process, yet the psychological mechanisms engaged in self-regulation have remained incompletely understood. Boekaerts (1996) believes that many studies have shown an interest in developing a self-regulated learning theory and considerable research has been generated, but the concept is defined too broadly and its basic foundation poorly understood up to now.

Examination of our current understanding of the relationship between self-regulation and vocabulary knowledge and reading comprehension generated from prior studies indicate a need for a profound understanding of this relation. Although this important concept has been found to be effective in academic attainment, research has not provided sufficient evidence to establish unambiguous relationship between it and language components. The main objective of this study is, therefore, to investigate the relationship between self-regulation and vocabulary knowledge and reading comprehension. It aims to answer the following questions:

1. Is there any relationship between self-regulated learning components and vocabulary knowledge in Iranian EFL context?
2. Is there any relationship between self-regulated learning components and reading comprehension in Iranian EFL context?

## II. REVIEW OF RELATED LITERATURE

Based on Zimmerman and Bandura (1994), self-regulation is a concept that refers to learners' self-generated ideas, actions and feelings which are oriented systematically toward achievement of educational goals. Zimmerman (2000) states that "self-regulated learning engages students' active participation in learning from the metacognitive, motivational and behavioral point of view" (p.66).

Baumeister and Vohs (2008) state that self-regulation refers to a person's ability to change his/her behavior. The quality and existence of these actions would alter in relation to some goals, ideals and norms no matter whether their stem would have public or internal anticipation. In general, human behavior flexibility and adaptability will increase during self-regulation process. This flexibility enables learners to regulate their performance to a broad range of

situational or public requirements they encounter in their daily life experience. Self-regulation is promoted through effects of goals on motivation, learning, self-efficacy, and self-evaluations of progress (Bandura, 1997).

Zimmerman (1989) argues that studies on learning strategies show developmental analyses of learners' use of strategies. In general, self-regulation is used more effectively by adolescents than by children, and is more obvious among higher achieving than lower achieving learners.

Boekaerts (1996) asserts that there are also two important parallel aspects regarding self-regulation of the components of motivational and cognitive repertoire with a reciprocal relationship between them. These aspects focus on three levels: 'goals, strategy use and domain specific knowledge'.

Bandura (1986) believes that competent self-regulative behavior is not attained by an 'act of will'. It demands special abilities in self-leading and self-motivation. Some researchers have conducted research on students' use of self-regulatory processes and its quality and quantity has shown a high correlation with academic attainment as well as with standardized test scores. (Zimmerman & Pons, 1986).

Schunk and Zimmerman (2003) claim that like other processes, self-regulation (or self-regulated learning) changes across the life span. A weak spot about self-regulated learning (SRL) is that little research has been conducted on learners after they leave their formal schooling, yet the available data does not seem to be inadequate follow up. There are some questions about how individuals regulate their family life, finances, work schedules, and so on. A fruitful area to investigate and one which has attracted much attention is how grownups use self-regulation to balance their professional and personal lives, how they use goal setting, self-evaluation of the process, monitoring of time spent, and other methods and skills; and which ways are most efficient to teach these strategies.

Zimmerman (1998) defines self-regulation processes as a kind of self-directed feelings, thoughts and behaviors for achieving academic goals. He continues that, self-regulated learning involves goal-directed actions that students modify, sustain and instigate. He also believes that learners can practice this strategy for their academic studies.

Zimmerman (2002, p.67) organized self-regulated processes under three '*cyclical phases*', namely, '*forethought phase*', '*performance phase*', and '*self-reflection phase*'. '*Forethought phase*, or proactive phase, pertains to beliefs and processes that occur before learners' attempts to learn; it involves two main levels: 'task analysis', which by itself consists of goal setting and strategic planning, and 'self-motivation', which is rooted in students' perceptions and learning beliefs. The 'performance phase' also contains two sub-phases. 'self-control' refers to choosing methods during forethought phase, and 'self-observation' is the 'self-record' of personal events or self-experimentation to finding the cause of such events. The 'self-reflection phase' consists of two major stages: 'self-judgment' and 'self-evaluation'. These levels refer to comparing one's self presentation against some principles and rules.

According to Zimmerman (2002), self-regulated learning is an activity that learners make for themselves in a proactive manner not a hidden event that occurs to them in response to teaching. In other words, it is a self-generated process in which students can change their own mental capability into educational aims. So, it cannot be an academic performance skill or a mental ability. In this situation 'proactively' can be defined as the awareness of student's own limitations and strengths.

Based on Boekaerts' (1999) model, 'self-regulated learning' has a powerful construction that allows researchers:

Firstly, to describe the various components that are part of successful learning; secondly, to explain the reciprocal and recurrent interactions that accrue among the different components, and thirdly to relate learning and achievement directly to the self, that is to a person's good structure (P.447)

Boekaert's (1999) three layer model of SRL in its innermost layer provides some information about the typical way in which students learn and describe the importance of their self-regulation process and its quality. The middle layer represents how the learners regulate learning processes based on their own knowledge and ability. The outermost layer deals with regulation of the self; this contains students' ability to define ongoing and upcoming actions in the light of their own needs, expectations and wishes.

It is generally believed that self-regulation strategies can be learned, taught and controlled. In general, the learners who are engaged in the self-regulated process must have some qualities that others lack. In fact, studies have revealed that such characteristics differentiate self-regulated learners from those who do not have such qualities (Zimmerman, 1998, 2002; Winne, 1995; Oettiengen, et al., 2000; Perry & Vandekamp (2000).

A number of studies have investigated self regulated learning. Magno (2011) examined the predictive validity of the academic self-regulated learning scale (A-SRL-S). In his study, Grade Point Average (GPA) was used as the orientation and was found to be significantly related to each of the A-SRL-S factors. The participants of the study were 2052 Filipino College students in the Philippines, whose age range was from 16 to 20 years. The study emphasized the importance of developing students' use of self-regulatory strategies as part of instruction to help students achieve better performances.

Kozlowski and Bell (2006) examined the integrated and independent effects of goal setting and attainment orientation views on learners' self-regulatory activity. The participants of this study were 524 students. The result showed that goal content, goal proximity activities and goal frame have a significant influence on self-regulation. It was also revealed that goal content has the highest impact. The compatible learning and content relative to congruent performance frame and content was very helpful to learners' self-regulatory activity, incongruent combinations of goal



frame and content were better than frames and content and congruent performance, and the impact on incongruent grouping was asymmetrical.

Cleary and Zimmerman (2001) studied 43 adolescent male students to see how much their level of skill in playing basketball affects their self-regulatory forethought, the sense of satisfaction and self-reflection processes regarding their free-shooting practice. Their findings confirm that inefficient choice of learning strategies and nonspecific goals of learning strategies and non-experts' lower self-efficacy insights hinder their promotion as free-throw shooters.

Young (2005) provided experimental evidence for the theoretical relationships among cognitive evaluation theory and achievement goal theory and self-regulated learning strategies in the classroom environment. The participants were a sample of 257 learners who responded to a four-page self-report questionnaire. Each of the major variables had a scale along with individual items ordered randomly within the scale. The results showed that artificial learning tactics were linked to extrinsic motivation, but intrinsic motivation showed a deeper cognitive and metacognitive strategy usage.

An exploratory research was done by Endedijk, Vermunt, Brekelmans and Broke (2006) to measure self-regulated learning by the quality of instruments in a complex learning environment. They used four developmental instruments, portfolio interview, and task-based questionnaire. The results showed that promoted task based questionnaire was an efficient instrument for use for measuring self-regulated learning in the context of teacher education. Another finding was that portfolio interview and portfolio cannot measure every aspect of self-regulated learning.

A study conducted by Hong, Peng and Rowell (2009) tested the differences in the reported homework by learners' incentive, homework value and metacognitive strategy use during completing homework among two grades, gender and three attainment levels. It also examined six homework self-regulation constructs (intrinsic value, persistence, utility value, planning, self-checking and effort). The participants were 407 eleventh and 330 seventh graders from a metropolitan city in china. Results showed a decline in homework self-regulation from middle to high school although the learners' rate of utility value and effort were high, self-checking and self-regulation were low. The study also showed that homework experiences are positively related to learners' use of learning strategies and to their responsibility for their educational outcome.

The above-mentioned studies have shed some light on the little explored area of self-regulation. However, there are still many gaps that remain to be filled. In an attempt to partially fill the existing gap, the present studies explores the relationships between self-regulation and L2 vocabulary and reading comprehension ability.

### III. METHOD

#### participants

In the present study, a sample of 250 college students majoring in TEFL, English Language Translation, and English Literature at Alborz University, Imam Khomeini International University, Kar University, and I Takestan slamic Azad University, Qazvin, Iran were selected. The initial number of participants was then reduced to 211 after the administration of the TOFEL Test and self-regulation questionnaires, 39 participants were excluded because they did not answer all three tests.

#### Instrumentation

In this research, the "Self-regulation Trait Questionnaire" developed by O'Neil and Herl (1998), was administered to participants. It consisted of 32 items and every 8 items measured a different construct: Planning, Self-checking, Effort and self-efficacy. In order to facilitate students' understanding, the translated version was utilized. To measure the participants' vocabulary and reading comprehension knowledge, two already established vocabulary and reading comprehension subtests of TOFEL were used.

#### Procedures

In order to correlate the participants' self-regulations with their vocabulary and reading comprehension knowledge, the following procedures were followed: first, the TOEFL vocabulary and reading comprehension subtests were administered to the participants to measure their vocabulary and reading comprehension knowledge. The test contained 30 vocabulary and 30 reading comprehension items. Then, the Self-regulation Trait Questionnaire was given. In this Questionnaire, Likert Scale was used and the participants were asked to choose from among five alternatives: 1) almost never 2) Seldom 3) Sometimes 4) often 5) Almost always. Finally, the correlations between these variables were checked. Because this questionnaire was used for the first time in Iran by Dehghan, Mirhassani and Akbari (2006), the researchers translated "Self-regulation Trait Questionnaire" into Persian. They checked the reliability of the Questionnaire using cronbach alpha, the results showed  $\alpha = .79$ . To check the construct validity of all the 32 items of the Persian version of the mentioned Questionnaire, they also did a factor analysis using principal axis factoring. 28 of 32 items fulfilled the criteria mentioned in Salimi (2001, P.42). According to salimi, "the criteria for including an item in a factor are that its loading on that factor be greater than .25 and greater than its loading on either of the other factors". So, they omitted the items that failed to load on the relevant factors for the main research. It was, therefore, assumed that the Persian version of Self-regulation questionnaire enjoys satisfactory reliability and validity. The obtained data were analyzed using the Pearson Correlation procedure.

### IV. RESULTS

The first research question sought to investigate if there was any significant relationship between vocabulary knowledge and self-regulated components: Planning, Self-Check, Effort and Self-Efficacy. In order to answer to this question, the Pearson correlation procedure was used. The results are summarized in Table 1.

TABLE 1.  
CORRELATION BETWEEN SELF-REGULATED LEARNING COMPONENTS AND VOCABULARY

		Planning	Self-Check	Effort	Self-Efficacy
Vocabulary	Pearson Correlation	.00	.03	.01	.09
	Sig. (2-tailed)	.97	.63	.86	.18
	N	21	21	21	21

Table 1 shows that there is no significant relationship between vocabulary and planning ( $R(209) = .00$ ,  $P = .97 > .05$ ). There is also no significant relationship between vocabulary and self-check ( $R(209) = .03$ ,  $P = .63 > .05$ ). The relationships between vocabulary and effort ( $R(209) = .01$ ,  $P = .86 > .05$ ) and vocabulary and self-efficacy ( $R(209) = .09$ ,  $P = .18 > .05$ ) are not significant either.

Another Pearson correlation was used to investigate relationships between reading and self-regulated components: planning, self-check, effort and self-efficacy. The results are summarized in Table 2.

TABLE 2.  
CORRELATION BETWEEN SELF-REGULATED LEARNING COMPONENTS AND VOCABULARY KNOWLEDGE

		Planning	Self-Check	Effort	Self-Efficacy
Reading	Pearson Correlation	.10	.14*	.17*	.08
	Sig. (2-tailed)	.14	.04	.01	.24
	N	211	211	211	211

\*. Correlation is significant at the 0.05 level (2-tailed).

As it can be seen from Table 2, there is no significant relationship between reading and planning ( $R(209) = .10$ ,  $P = .14 > .05$ ), but there is a significant positive relationship between reading and self-check ( $R(209) = .14$ ,  $P = .04 < .05$ ). There is also a significant relationship between reading and effort ( $R(209) = .17$ ,  $P = .01 < .05$ ), whereas the relationship between reading and self-efficacy ( $R(209) = .08$ ,  $P = .24 > .05$ ) is not significant.

## V. DISCUSSION

It may be surprising that the findings of this study are not in line with many previous studies (e.g., Magno, 2011; Kistantas, Steen, Huie, 2009; Kozlowski, & Bell, 2011; Oettingen, Honig, & Collwitzer, 2000; Young, 2005; Hong, Pang & Rowell, 2009). Although they did not investigate the relationship between self-regulated learning strategies and vocabulary and reading comprehension specifically, their findings reveal that there is a significant positive relationship between self-regulated learning strategies and learners' attainment. The important point is that reading comprehension and vocabulary knowledge are two major language components. So, we can conclude that if there is a positive relationship between self-regulated learning strategies and language proficiency, the self-regulated learning strategies ought to have a direct relationship with reading comprehension and vocabulary knowledge.

Some other studies have been done on students' self-regulated learning strategies and English reading comprehension. One such study conducted by Pratontep and Chinvonno (2008) aimed to investigate learners' self-regulated learning strategies in an Extensive Reading program. Findings revealed that there were significant differences between learners' reading mean scores after 10 weeks of training in self-regulated strategies. Another study conducted by Mirhassani, et al., (2007) on the relationship between self-regulated components and language proficiency demonstrated that there was a significant relationship between language proficiency and self-regulatory components. In addition, Shang (2010) provided empirical support for a significant positive relationship between perceived self-efficacy and using reading strategies although there was no significant relationship between reading strategies and reading attainment.

A number of factors might have contributed to the results obtained in this study. These factors might make the results of the study different from the ones mentioned above. One factor may be the learning context; unlike this study that was conducted in EFL context and with intermediate level learners, majoring in English language literature, English language translation, and English language teaching, they were conducted either in ESL or first language contexts. Furthermore, some of the afore-mentioned studies considered gender as a variable, while it was not taken into consideration in this study. Some other differences may be attributable to the following factors:

One of the possible reasons for such differences may be partially attributable to the cultural differences leading to different abilities of the participants. Our participants included the combination of Persian and Turkish students. Alagozlu (2007) claims that Turkish EFL students are not strong enough to express their feelings and thoughts, especially in a foreign language context. They refuse expressing their thoughts, because they are afraid that their ideas may not be appreciated. This problem originates from the system of conventional education, which provides ready-made information without any questions. In such contexts, students prefer to be quiet than lose their face. The Iranian context, by culture and attitude, falls into the same category.

There are some other reasons for such differences; for example, some people feel like what they achieve is never quite good enough. They often feel they have to achieve more than 100 percent in everything they do, otherwise, they

feel bad about themselves and see themselves as a failure. Perfectionists spend all their time trying to do their best but end up feeling that they never quite succeed. So they might feel whatever they did was not good enough even though it was! Maybe we need to consider each group with their levels of expectation to analyze their answers on the survey.

For many, it is more desirable to have better answers and look good, they could be called euphemistic. By answering each positive characteristic that could make one believe that they truly are what they want to be. People may avoid saying negative things about themselves. It always feels better to confess being organized than being messy, for instance. Sometimes their answers relate to their perceptions about who they are. They are less likely to believe their negative habits are real.

In addition to that, sometimes people are trapped in a situation where there is no reward and they just carelessly answer multiple choice questions without thinking about the concept, or they are in a hurry and simply do not care.

## VI. CONCLUSION

Based on the findings of the present study, it may be concluded that there is no significant relationship between self-regulated components and vocabulary knowledge, but the relationships between the same components and reading comprehension knowledge of Iranian EFL learners were mixed.

The findings of the present study may have implications for teachers, learners, and materials developers. A clear understanding of the nature of the relationships between vocabulary and reading comprehension on the one hand, and the components of self-regulated learning, on the other may change teachers' and students' views toward the importance of teaching and learning self-regulation skills and their use in every domain of daily life. Teachers must provide learners with the domain, instrumental support and strategy knowledge they need to operate independently. Students can benefit from learning self-regulated skills by incorporating them into their learning processes, which may help them, become independent and responsible in their own learning.

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# An Approach to the Translation of Brand Names

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**Abstract**—Brand name is an important part of the advertisement of a commodity. It is the symbol of the quality, characteristic and specification of the commodity. Brand names play an important part in the sales promotion of commodities. As a special intercultural activity, the translation of Brand names plays a more and more important part in international market competition. Yet it is no easy thing to transform brand names from one language to another one keeping the original style, charm and connotation. The translation of brand names is not only a process to find a counterpart in the target language, but also a process of re-creation, because different countries and nations have different cultural background. Based on many convincing examples, this paper introduces the characteristics and functions of brand names, states the principles of the translation of brand names, and offers the available and useful methods for the translation of brand names.

**Index Terms**—brand name, translation, principles, methods

## I. INTRODUCTION

In the development of human society, the emergence of commodities gives rise to the birth of brand names. Brand names are the result of highly developed commodity economy. They form an important aspect of modern economic life. A brand name is the most prominent mark of a commodity, a good brand name can leave deep impression upon the mind of shoppers and can arouse their desires to buy the related commodity.

The import and export of commodities gives rise to the birth of translation of brand names. Nowadays, because of the globalization national boundaries are being surmounted, international cooperation and communication, especially business cooperation, import and export of commodities are strengthened. Whether the commodities can have a firm footing in the foreign market and be accepted by the consumers, thus building up good brand image lies in the qualified translation of brand names. In a sense, we can say that brand name means reputation. Because the translation of brand names is the re-entitlement of the commodity, it is very important for the sales of the goods.

Due to the acceleration of economy globalization and china's WTO membership, the interchanging of goods between China and other countries is becoming extensive. Companies, both domestic and abroad are busying adjusting their management strategy and market orientation in order to win the competition and occupy more international market. All of them face a problem in the competition, that is, how to introduce their own products better to the consumers in the target market. In the era of brand competition, the importance of brand name is outstanding. If China's corporations want to remain powerful in the international market, they should bringing brand strategy into effect, using the arms of brand names to exploit and occupy the market. A good brand name would have great but invisible influence on consumers, stimulate their purchasing desire and have unbelievable effect on sales promotion. If a commodity has a wonderful translation of brand name, then customers would be well-disposed towards it and consequently have a desire to buy it. While an unsuccessful translated brand name would not only bring economic loss to the company, but also damage the image of the company.

Thus, it is valuable to have a research on how to translate brand names properly. In this paper, following the introduction of the characteristics and functions of brand names, methods and principles that should be followed in the translation of brand names will be offered. Besides, problems arising in the process of translation of brand names will be analyzed and the solutions will be provided.

## II. CHARACTERISTICS AND FUNCTIONS OF BRAND NAMES

### A. The Characteristics of Brand Names

Firstly, Brand name is the symbol of a product, so it usually suggests the attributes of a product or a commodity. For example, When we see the brand name “巧手”(literally means “deft hand”), we guess it might be related to washing powder, “五粮液”(literally means the “essence of five grains”) makes people think of the wine that is brewed from grain; while “蒙牛”(literally means “Mongolian cows”) can be associated with the milk from Inner Mongolia.

Secondly, as commodities are to be sold to consumers, their brand names should be common, popular, concise and easy to understand and remember. Therefore, there are many common words both in English and Chinese brand names, such as, “Camel, Tide, Stone, Bird, 将军, 金鸡, 小鸭” and so on (Chen, 1995, p.5-6).

Thirdly, Brand names are usually attractive in meaning so that when people read them beautiful images would come

into their minds (Wei, 1997). For example, the well-known beverage' brand name “可口可乐”(Coca Cola), “百事可乐”(Pepsi Cola), “雪碧”(Sprite); Cars' brand names “奔驰”(Benz), “皇冠”(Crown). The well-known washing machine manufactured by The Company of Panasonic is given a Chinese brand name “爱妻”(cherishing one's wife).

Fourthly, Brand names implies regional flavor. Some commodities' brand names bear the marks of the regions in which they are produced so as to raise the celebrity of the concerned places. For example, the two famous beer brand names implying the manufacturing places in China are “青岛啤酒”(Tsing Tao Beer) and “燕京啤酒”(Yangjing Beer).

### B. *The Functions of Brand Names*

Brand Name is used to identify and distinguish a company's goods from those produced by others, so it has the feature of exclusiveness (Arnold, 1979). It belongs to the company's patent. When seeing the brand name, consumers can think of the producer. The goods that bears the same brand name are customarily regarded as coming from the same company. Identification is the basic function of brand name (Chen, 2000). The second function of brand name is to guarantee and supervise the quality of products. It is easier for administrative department and consumers to supervise the quality of the goods by means of checking the brand names. In order to maintain their own credit standing, producers would supervise each other through brand names, avoiding counterfeit products' turning up. Promoting sales is the third function of brand names. Brand name can give publicity to products' quality, function and reputation. Consumers get used to identifying goods by seeing brand names. The first impression of brand name has tempting effect or function. Brand name also has the function of legal protection. Usually brand names should be registered in trademark administrative department. Then the concerned company has the proprietary of the brand name. Any individual or company usurping the brand name without the permission of the proprietor will be charged with tort. Conclusively, using Brand names lawfully can avoid counterfeit products' turning up, protect corporations' rights, and promote the development of commodity economy (Chen, 2002)..

## III. PROBLEMS DESERVING ATTENTION IN THE TRANSLATION OF BRAND NAMES

Firstly, some translated brand names do not conform to the aesthetic culture pertaining to target language and should be shunned (Dai, 2000). In any culture there have some taboos, and if we do not sense this point and violate such taboo rules in translating brand names, the sales of the concerned commodities would be affected. For example, In Chinese culture, dragon is the symbol of imperial power and nobility, so many brand names in China contain the character that means “dragon”; while in English culture dragon is an evil imaginary animal, and it arouse terror and aversion in people's mind. In traditional Chinese culture, “蝠” and “福” are a pair of homophones, so “蝙蝠”(bat) is considered as a symbol of good luck, and some products would use “蝙蝠” as their brand name. Yet in the western culture, “bat” is thought to be a kind of crazy and blind bloodsucker, having nothing to do with luck (Li, 1990). So commodities bearing such a Chinese brand name are unpopular in Britain. So, if we want to translate brand names properly to promote the sales of commodities in the international market, we should be familiar with the cultural differences between the original country and the target country.

Secondly, some translations of brand names bear political implications and should be avoided. For example, the brand name “大鹏” of Chinese canvas shoes is translated as ROC. It is without question that “大鹏”(roc) is regarded as a kind of holy bird both in Chinese and English myth, yet the capitalized English version “ROC” means the same with the abbreviated English form of “中华民国” (in English it is abbreviated as “ROC”), and such a translation is not allowed in terms of political perspective. The Chinese brand name “白熊” sometimes is habitually translated as “polar bear”, in such a case, the political implication of the English version is ignored. The appropriate translation of this brand name should be the plain version “White Bear” which can avoid political association.

Thirdly, some translated brand names are inelegant from the English cultural angle and should be guarded against. For example, a clock brand name “金鸡牌闹钟”, which is originated from the Chinese saying “雄鸡报晓” meaning that cock heralds the break of a day, was once translated as “Golden Cock Alarming Clock”. However, “cock” in English also refers to male reproductive organ and is regarded as a taboo word. Therefore, the above –said English translation of the brand name is not acceptable to English culture. The appropriate translation should be “Golden Rooster Brand Alarming clock”.

## IV. PRINCIPLES FOR THE TRANSLATION OF BRAND NAMES

The purpose of brand names is to give publicity to commodities, stimulate consumption and boost the celebrity of the brand of the goods. In order to promote the sales of commodities, the translation of brand names should abide by the following principles.

Firstly, since all brand names have the common purpose of advising people to buy the goods through the introduction of them, the translation of brand names should be adequate in diction for the representation of the commodity's characteristics and functions (Tang, 2002). For example, the Germanic auto “Benz” was translated as “朋驰” or “本茨” in Taiwan, although this version is homophonic to the original name “Benz”, it sounds dull and lack of implied meaning. The present version of it in the mainland is “奔驰”, which is not only similar to the original pronunciation, but also

suggestive of the heroic flavor of this brand auto, thus impressing the buyers with the excellent performance of such cars.

Secondly, brand names translation should imply the use of the product. Whether the translated name can imply the use of the goods has an influence on the sales of the goods. The word “*Tide*” (a brand name for washing powder) literally means “trend”. However, translators translate it to “汰渍” creatively according to the use of the product, being consistent to its advertising slogan “污渍汗渍不留痕迹”(using “Tide” can ensure the complete disappearance of dirt and sweat stain). The translation skillfully implies the use of the product, and publicizes it successfully. Another example is “*Peak*” sports shoes. “Peak” can be literally translated as “巅峰”, “顶峰”. But translators transliterate it as “匹克”, which can remind people of “奥林匹克”(Olympic) (Liang,1997), and naturally, the transliterated version is more impressive to consumers.

Thirdly, brand names translation should keep the original aesthetic value. A successful translated brand name can put a reader into a splendid artistic realm to arouse his/her interest (Wang, 2003). When translating brand names, translators should try their best to ensure the reappearance of the graceful artistic image of the original names. The original and the version are required to be not only similar in sound, but also similar in spirit. “*Diamond*” (a brand name of jewelry) has a Chinese name “戴梦得”. This name is transliterated from “*Diamond*”, and bears the meaning of “您梦寐以求的珠宝从这儿就可得到” (Here you can get the jewelry you have dreamed of.)

Another example is “Haier”. “Haier” is transliterated from “海尔” and is homophonous with “higher”. This translated brand name is easily associated with the advertisement of “Haier”: “*Haier; higher and higher*”.

Fourthly, the translation of brand names should accord with the target consumers’ cultural habit, including fashion, community psychology, public consciousness, moral criterion, religious tradition and so on. Different countries and areas have great differences in culture. Translators should pay more attention to cultural differences, avoiding misapprehension and antipathy. Many brand names have certain cultural connotations. People with different cultural backgrounds have different ideas about the same things because of the different moral criteria, religions, beliefs, and modes of thinking. As for the same color, plant, animal, maybe some countries prefer, while some not. If we leave this factor out of consideration, it would produce unexpected negative reaction. Shanghai “大白兔” milk candy is popular in China, but if it is literally translated as “White Rabbit” and sold to Australia, then it would receive negative reaction. As is known to all, Australia is famous for its livestock raising industry, but large number of rabbits draw holes all round, destroying grassland and rob food from flocks and herds. They are so disgusting there. So the translation of the brand name “White Rabbit” will not be popular there.

## V. METHODS FOR THE TRANSLATION OF BRAND NAMES

### A. Transliteration

Just as its name implies, transliteration means to find the translated name that has the nearest similar pronunciation to that of the original one in the target language (Huang, 2003). This method is used mostly in the translation of the brand names named after the names of people and places, because it is hard to find the denotative counterparts for these names in the target language, or the seemingly denotative counterparts are far less popular than the original ones. Transliteration method can be divided into three types:

Firstly, “sound to sound” pattern. In this case the original name is only regarded as the symbol of sound and shape and has no more deeper meaning, and the translated name just takes after the pronunciation of the original name and has no deeper meaning either, and usually the simulation of the original pronunciation is to impress the consumers with exotic flavor so as to arouse their curiosity and interest, thus stimulating their purchasing desire. For example, “*Christian Dior*” is translated as “克里斯第安迪奥” (brand name for woman toiletry), “*McDonald’s*” is translated as “麦当劳” (brand name for snack bar), and *Elizabeth* as “爱丽碧丝” (brand name for toiletry) (Ke, 2002).

Secondly, “sound to the combination of sound and meaning” pattern. In this case, the translator would choose the words for the translated name carefully to make it creative and attractive. But the pronunciation should have a similar pronunciation to the original one. If you are mindful, you may have noticed the Chinese version of the shampoo “*Top*”. Top means “顶”, but if it is translated as such Chinese consumers will feel strange. Then it is changed to “脱普”, which means transcendence. *Effetual* (brand name for face washing cream) is translated as “逸肤雪” (cream caressing you skin), *Tjoy* (brand name for face washing lotion) is translated as “丁家宜”. *Johnson* (brand name for baby lotion) as 强生 (healthy life), *Tylenole* (brand name for a Western medicine) as 泰诺 (ensuring your health), *Tick-Tock* (brand name for baby garment) as 淘淘 (lovely baby) and so on. The above translated brand names have the similarity both in pronunciation and meaning to the original ones.

Thirdly, “meaning to sound” pattern. In this case, the original brand names are words or phrases with actual meaning, but the translation just imitate the original sound in an acceptable way and discard the original meaning. “*Triumph*” (women underwear) and “*Sportsman*” (sports wear) are translated as “黛安芬” and “斯波兹曼” in the market.

### B. Meaning –based Translation

Meaning–based translation means to find the appropriate and natural counterpart in the target language for the

translation according to the meaning of the original name to deliver the information to the consumers. This method is preferably used in the translation of brand names named after common words. Take the brand name “Pioneer” (先锋) as an example. The company uses it to show that it is the forerunner in the field of stereo instruments. And “先锋” in Chinese means a military official that leads others in march or fight. The original and the version have the same meaning, and give readers the same feeling. Meaning-based translation is also used when transliteration would bring misunderstanding. E.g., If “芳草” is transliterated as “Fangcao”, it would bring antipathy to target readers, because “fang” in English means venomous tooth of a snake and “cao” sounds like “chaos.”, so “Fragrance Grass” should be a better translation for this brand name. Some brand names can be translated both by transliteration method and free translation method, but we usually choose free translation method if it can bring consumers wonderful impression. “天使” can be translated as “Angel” rather than “Tianshi”, as “angel” is a familiar laudatory term in western countries, so do “凯歌”牌 (Triumphant) and “光明”牌 (Bright). In addition, the translation of many brand names named after flowers, animals or precious articles usually adopts free translation method, for instance, “葵花” (Sunflower), “百灵” (Lark), “海鸥” (Seagull), “熊猫” (Panda), “凤凰” (Phoenix), “钻石” (Diamond) and “小鸭” (Little swan) (Wang, 1997).

### C. Combination of Transliteration and Free Translation

This method is a bit more difficult for translators to master and challenges their creative ability. It requires that the pronunciation of the translated name should be the same or close to the original one and its meaning can indicate the characteristic and function of the product (Dai, 2000). Consumers can have nice association from the pronunciation and meaning of the translated brand name. Combination of transliteration and free translation can display translators’ skill most. For example, “Coca-Cola” is translated as “可口可乐”. According to its pronunciation “Coca” can be translated to “口科”, “口可” and so on. While as for beverage, people would attach importance to the feeling of the taste. So the translator grasped the characteristic of people’s psychology, and by using free translation method translate it as “可口” which means “very pleasant to people’s taste”. The second part is transliterated as “可乐”. The version “可口可乐” is very appropriate and natural. It sufficiently implies the characteristic and function of the beverage: it sure can give you nice flavor and pleasure. The brand name of a TV series called “美乐” is translated as “Melody” (fair-sounding music) which shows the euphonic sound of the TV thoroughly. It is really a perfect translation. Many brand names which were once translated with transliteration or literal translation method are now replaced with names translated by combination of transliteration and free translation. The world famous producer of electronic apparatus and notebook computers, Hewlett Packard Co’s brand name is “Hewlett Packard”, which is abbreviated to “HP”. Its old translated name is “休利特—帕卡德”, but it was finally replaced by the brief version “惠普”. And “惠普” brings the association of “惠益普及” (the benefit extends to the populace) (Zhu, 2002). The widely-known sports shoes of “Nike” brand give the original native consumers the feeling of gracefulness and victory, because “Nike” is the goddess of victory in Greek mythology. While its Chinese version “耐克” as the result of combination of transliteration and free translation not only simulate the original pronunciation but also endue the brand a novel commendatory sense which implies that this brand shoes are wear-proof and durable. Other examples of this type are as follows:

“KODAK” (柯达) (film), “JSDA” (金时达) (timekeeper), “XEROX” (施乐) (electric appliance), “RIGOH” (理光) (multi-functional digital camera), “SAMPO” (新宝) (washing machine), it sounds like SHAMPOO (洗发水) (Xu, 2002). There are plenty of such coined trademarks, and more often than not they can not be found in bilingual dictionaries.

## VI. CONCLUSION

As the international competition is becoming more and more intense, whether a brand name can be accepted by consumers and occupy the international market decides the fate of a company. We can not deny that advertisements play an important part in the sales promotion of the goods. Brand name is an important part of advertisement. Novel, particular, creative brand names can attract consumers quickly, and achieve unbelievable effect (Li, 2000). It will never be a easy mark to change brand names from one language to another and keep the original style, charm and connotation. The translation of brand names is not only a process to find a counterpart in the target language, but also a process of re-creation, because different countries and nations have different cultural backgrounds Translators should not only understand the literal meanings of the original brand names precisely, sometimes they should also get rid of the hidebound conception of mechanical equivalence and translate the brand names creatively to attract more consumers. Therefore, the brand name translators should not only gain good command of the knowledge of the two languages and translation techniques, but should also improve their cultural awareness such as enterprises’ cultural awareness and national cultural awareness, and master the relevant laws to do the work better.

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# Teaching Persian Subjunctive Mood to Non-Persian Students Based on Cognitive Linguistics (Mental Spaces Theory)

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**Abstract**—It's a long time that teaching Persian to foreigners has established its status as a technical major among other academic fields and in this regard various educational sources have been compiled and developed and Persian teachers apply new principles and methods of foreign language teaching in their classrooms. Meanwhile, findings of linguistics have undoubtedly had a significant influence on the development of teaching methods. One of the new linguistic approaches is cognitive approach. This article tries to examine the use of one of linguistic theories, i.e. mental spaces, in teaching Persian subjunctive mood. Foreign students of Shahed University were chosen in order to explore the effect of this concept on the learning and correct application of subjunctive mood. These students, in two groups of engineering and medicine, were studying Persian as their general course at Shahed University. The results of the study revealed that the use of mental spaces concept is effective and efficient for teaching subjunctive mood.

**Index Terms**—cognitive linguistics, second/foreign language instruction, Persian language teaching, subjunctive mood

## I. INTRODUCTION

Unfortunately, no research has been conducted on teaching Persian to non-native speakers using cognitive linguistic theories. With a short glance at the existing sources and methods of teaching Persian language, this article tries to introduce and investigate the application of cognitive linguistics in teaching subjunctive mood. Teaching subjunctive mood was chosen because writing and speaking skills of Persian learners, even those in advanced levels of language proficiency, show that they have difficulty in the comprehension and correct use of this mood.

## II. REVIEW OF LITERATURE

### A. Cognitive Linguistics and Second/Foreign Language Teaching

So far, extensive researches have been conducted regarding the effect of cognitive linguistics on second/foreign language teaching, and various books and articles have been published in this way, including Achard and Niemeier (2004), Dirven and Verspoor (2004), Putz, Niemeier and Dirven (2001). Moreover, regarding cognitive approach to second language teaching, Ellis and Robinson (2008, p. 4-8) contend that based on cognitive linguistics, language is learned through usage.

Rod Ellis regards language teaching generally as a mental process and explains this subject in details (Ellis, 2008 a, p. 405). Many researches have also been conducted on the cognitive processes and strategies in learning and acquisition of second/foreign language (Oxford, 1990) Schmidt (1994), Tomlin & Villa (1996), VanPatten (1996), Eysenck (2001), Gass (1997), Ellis & Robinson (2008 b).

Stating that the difference in form is used for showing the difference in function, and that form and function are interrelated, Gass and Selinker (2008, p. 206) have raised this question that how do language learners realize to use appropriate morphological markers with related verb? Then, referring to researches conducted on learning morphological markers, tense and aspects of verbs, they have come to the conclusion that first and second language learners are influenced mostly by semantic aspect of verbs or propositions, and that focus on meaning and impact of semantic meaning are very important in second language acquisition.

### B. Modality and Subjunctive Mood

Every verb possesses features including tense, person, mood, aspect and voice. Each of these features has specific formal and semantic markers which explain their nature and function (Shafaei, 1984).

Mirza Habib Isfahani (1308 A.H, p. 62), Abdol Azim Khan Qarib (1955, p. 115-116), Yasemi *et.al* (1994, p.140), Khayampour (1996, p84), Homayoun Farrokh (1985, p.482), Natel Khanlari (1987, p.30), Ahmad Giwi (2001, vol. 2: p.19-12), Farshidvard (1969, p.120; and 2003, p. 381), Ali Ashraf Sadeghi and Gholam Reza Arzhang (1982, p. 6-7), Vahidian Kamyar and Omrani (2002, p. 54-55) all have studied mood, and categorized it into three to six types which consist of indicative, subjunctive, conditional, imperative, participial and infinitive. The three moods of indicative, subjunctive and imperative are shared by the above mentioned works. Subjunctive mood, therefore, is the common mood among these grammarians, for which they have mentioned the meaning of doubt and hesitation, probability, wish, desire, hope, prediction, assumption, command, recommendation and request.

Shafae (1984, p. 88-91) as well regards subjunctive mood as speaker's or writer's interactions, expressed through verb in the form of obligation, wish, doubt and hesitation. He believes that speaker's interactions are the main factors in the determination of moods, and summarizes interactions of subjunctive mood in two major concepts of desire and hesitation. He also believes that the concept of desire mostly appears in subjunctive present, because wishes and desires of human beings are often in relation to the future. The concept of hesitation appears more in subjunctive past, since people often become hesitant and doubtful about actions and events which have been done and occurred in the past.

According to English grammar books (Chalker, 1995; Fowler, 1926; Hardie, 1990), subjunctive mood are used to express wish, conception, goals, doubt and assumptions, and conditional sentences. Regarding this, John Saeed (1997) states that subjunctive mood is defined differently in different languages, but it has mainly two dimensions of usage: the syntactic usage, which shows the boundness of the sentence, and in this case subjunctive mood is used with the verb in the bound clause, and the semantic usage, in which subjunctive mood shows the counterfactual mood and is used to express wishes, believes, commands and requests. This mood is the opposite of indicative mood which describes factual realities.

Mortelmans (2007, p. 868-890) has investigated modality in cognitive linguistics and contends that research on modality and moods has a long history, and that linguists, philosophers and logicians have worked on this subject. More than two thousand years ago, Aristotle referred to the rational relationship between probability and modality. In the second half of the 20<sup>th</sup> century, with the spread of modern linguistics, modality attracted the attention of linguistic schools, and traditional grammar, semantics, generative grammar, pragmatics, semiology, systemic-functional grammar and cognitive grammar have all dealt with this subject (Mortelmans, 2007). According to Lyons (1977, p. 541), modality is concerned with people's attitude and their beliefs regarding stated propositions and also with the optional particles described by these propositions. Quirk (1985, p.219) considers modality as the speaker's judgment about validity and truth of propositions. Palmer (1986, p.16) believes that modality is the grammaticalization of mental attitudes and believes of the speaker, and Jian Li (1999, p.21) views modality as degrees between correct and incorrect. Systemic-functional grammar, introduced by Halliday (1985, 1994 and Halliday and Matthiessen 2004), is based on function. Halliday has studied modality and subjunctive mood in details and rejects the idea that modality is often reflected by modal verbs (like what is expressed in traditional grammar). Introducing experimental, interpersonal, and textual metafunctions, he claims that mood and modality are important issues in interpersonal metafunction. Lampart and Lampart (2000, p.296) have also assumed modality as a theoretically important category and declared that modality assigns a single semantic label to a formal category of modal verbs. From cognitive linguistics viewpoint, modal expressions include adjectives, adverbs, mental propositions, connotative markers and lexical verbs as well.

### C. Teaching Persian Subjunctive Mood to Foreigners

In different sources of Persian teaching, subjunctive mood has been taught to foreigners within separate sentences which consist of modal verbs such as *xāstan* (want), *tavānestan* (can), *dust dāstan* (like), *bāyad* (must), *sāyad* (may be) etc. These sources have just merely discussed the formal differences between subjunctive mood and indicative mood, and the lexical meaning of modal verb used in the sentence. In these sources, imperative, compound and conditional sentences are taught separately and here too just the formal construction of protasis, apodosis, main clause and bound clause has been aimed at. In none of the sources, the attitude of the speaker of the sentence regarding the probability of occurrence of the verb, and effect of this attitude on mood choice is discussed. Moreover, since different kinds of compound sentences are taught separately and gradually, the meaningful relationship of mood choice in such sentences is ignored.

Persian teaching sources have dealt with the traditional teaching of moods, and have gradually taught subjunctive mood usage in simple and compound sentences. The relationship between such usages has been disregarded in all this sources.

In this article, major educational sources applied in different educational centers inside and outside Iran are examined. Since indicative mood has appeared gradually and in various units, and as the main topic of the article is devoted to teaching subjunctive mood, therefore, the subjunctive and imperative moods in sources are just dealt with. No article or research having specifically investigated this subject was found.

#### **Saffar Moghadam**

In General Persian (1) Main Structures (2003), Saffar Moghadam has presented subjunctive mood and present and past subjunctive in comparison to present indicative and with the use of modal verbs, and he has taught the use of this mood in compound and conditional sentences in later units. This method also appears exactly in four-volume series of

Teaching Persian Language (2007). In both works, imperative verb is assumed to be constructed from the combination of prefix "be" and present stem.

#### **Zarghamian**

In the book titled *Fast-to-Learn Persian language* (2002) and three-volume series of *Persian Language Teaching* (2003), Zarghamian has taught constructing imperative mood by comparing present verb, (for example, to mixori (you sing. eat, indicative) → boxor (Eat!, imperative), shoma mixorid (you plu. eat, indicative) → boxorid (Eat!)) and in *General Series of Persian Language, Basic Level*, he has taught construction of the imperative verb through subjunctive mood (for example, bāyad boxori (you sing. should eat) → boxor (Eat!), bāyad boxorid (you plu. should eat) → boxorid (Eat!)).

In *Fast-to-Learn Persian language*, subjunctive mood, like all the other structures, is taught through dialogues and short questions and answers, and its morphological analysis is not discussed. In the three-volume series this trend is followed as well, and the morphological analysis of subjunctive present is also presented.

In *General Series of Persian Language, Basic Level* (2010), in addition to above-mentioned points, it is shown that subjunctive mood is used to express possibility, or probability, or desire for doing something.

#### **Pournamdarian**

Pournamdarian (2007) has taught present subjunctive in unit six and unit eight, section three as well, past subjunctive in unit nine, section three, conditional sentences in unit ten, section three and imperative verb in unit twenty, section two. Concerning imperative verb, present and past subjunctive, he works on verb analysis. Pournamdarian believes imperative verb is the result of combining prefix "be" and present stem. He repeats this point exactly for present subjunctive, and views it as the outcome of the combination of prefix "be" and present stem, without referring to the differences and similarities between these two. He also considers past subjunctive as the combination of past participle and present subjunctive of the verb "budan (to be)". Providing no explanation about meaning or usage of mentioned moods, he introduces decontextualized examples in the form of separate sentences; at the end, some exercises have been given. This pattern is followed for teaching all grammatical structures.

#### **Samareh**

In his five-volume book, titled "AZFA", to teach subjunctive present and past, Samareh (1993), like Pournamdarian depends on morphological analysis and considers constructing subjunctive present as the combination of prefix "be" + present stem + personal ending, and he regards subjunctive past as past participle of the main verb+ the subjunctive present of "budan (be)" verb, and he views imperative mood as "be" + present stem. In "AZFA" too, examples and exercises, followed by some practices are presented in individual and decontextualized sentences.

#### **Ebrahimi**

Ebrahimi (2009), in his "advanced writing (for non-Iranian language learners)," teaches various types of compound sentences, explaining how to combine two simple sentences with different conjunctions to construct new compound sentence, and he also describes the way to represent verb mood in various compound sentences. The point which was ignored by Ebrahimi and others is that this representation of moods in different sentences is regular. Through the gradual and separate presentation of compound sentences this regularity is disregarded.

### III. THEORETICAL FOUNDATIONS

#### *A. Mental Spaces*

One of the main theories proposed by cognitive linguists, especially Fauconnier (1985; 1994); Fauconnier & Sweetser (1996); Fauconnier & Turner (2002) is mental spaces theory. This theory is in fact parallel to possible worlds, which had been introduced by Leibnitz before. Recognition occurs through mental spaces in comparison to existing spaces in the real world, and a significant part of our cognition seems to materialize through comparison between mental spaces.

Mental spaces are very partial assemblies constructed as we think and talk, for purposes of local understanding and action. They contain in elements and are structured by frames and cognitive models. Mental spaces are constructed and modified as thought and discourse unfolds and are connected to each other by various kinds of mappings, in particular identity and analogy mappings. It has been hypothesized that at the neural level, mental spaces are sets of activated neuronal assemblies and that the connections between elements correspond to coactivation-bindings .

Under the mental space view, language comprehension and production involves the construction of hierarchically organized and interconnected cognitive domains, domains which are independent of language but which language depends on for the interpretation of meaning. Language is the superficial manifestation of these underlying, highly abstract cognitive constructions. Sentences give partial and underdetermined instructions for: the construction of domains; the subdivision or partitioning of information into different domains; the internal structuring of elements and relations within each domain; and the construction of connections between elements in different domains and connections between the domains themselves. These domains are referred to as mental spaces (Fauconnier 1985).

Mental spaces correspond to "understandings" of a sentence within a context (Ibid). Mental spaces are very partial structures which may represent pictures, beliefs, hopes, stories, propositional attitudes, hypothetical realities, thematically or topically defined domains, quantified domains, situations located in time or space, etc...

Each space is a partial representation of "some logically coherent situation or potential reality, in which various propositions are treated as true, objects are assumed to exist, and relations between objects are supposed to hold" (Dinsmore 1991:49).

As discourse is processed, new mental spaces may be built as a result of cues provided by space-builders, by grammatical markers such as tense and mood, or by pragmatic information. 'Space-builders' may take a variety of grammatical forms: prepositional phrases, connectives, complement taking clauses, etc... (for example: in the picture, in 1989, at school, from her point of view, if \_\_\_\_, Roger said \_\_\_\_, John believes \_\_\_\_, Mary hopes \_\_\_\_). In the absence of more explicit space-builders, tense and mood may cue construction of spaces. Spaces may also be built on the basis of implicit pragmatic cues. For example, a speech situation may implicitly set up a space for what is to be communicated between speaker and hearer. A space for the speaker's conception of reality, space R, is always constructed by default. Note that a space-building expression may also serve simply to relocate a space already constructed from the preceding discourse, in which case no new space is constructed (Cutrer, 1994 p.49-50). Fauconnier (1985, p.130) believes that one kind of space-builders is modal verbs.

According to mental spaces theory, three mental spaces can be thought of for choosing mood: the first is the one in which, from speaker's viewpoint, verb occurrence is inevitable, the second one is the one in which verb occurrence is not inevitable and speaker doesn't assure the listener about occurrence of the verb, and in the third mental space the speaker is sure that the verb occurrence is impossible and improbable. These three spaces can be called indicative/inevitable spaces, subjunctive/possible spaces, and counterfactual/ impossible spaces respectively. In indicative space, indicative mood (different future tenses, indicative present, present continuous and different kinds of past (simple, continuous, perfect, present perfect) is used. In subjunctive space, subjunctive present and past tenses, and in improbable space, past continuous and past perfect are used. Therefore, "probability of occurrence" can be considered as the shared meaning of moods, and according to this shared meaning different mental spaces can be built.

#### *B. A New Look at the Subjunctive Mood in Persian Language*

By investigating Persian grammar sources, and construction and use of subjunctive mood, it can be stated that the use of subjunctive mood in Persian language is in fact speaker-based, and the speaker uses subjunctive mood when he thinks the probability of verb occurrence is not inevitable. This lack of inevitability in verb occurrence is shown by modal verbs and adverbs such as *xāstan* (want), *tavānestan* (can), *dust dāstan* (like), *bāyad* (should), *šāyad* (maybe) etc..., but these markers don't exist in all sentences. The formal marker of the subjunctive mood in present subjunctive tense is the verbal prefix of "be", and for present indicative the prefix "mi" is used.

- Ali be širāz mi(indicative prefix) ravad.  
Ali to Shiraz go (present indicative).
- Ali šāyad be širāz be(subjunctive prefix) ravad.  
Ali maybe to Shiraz go (present subjunctive).

Subjunctive past tense is made of past participle of the verb plus present subjunctive of "budan (to be)" verb and indicates that speaker, before uttering the sentence, is doubtful about verb occurrence.

- Ali be širāz rafte ast. (Ali has gone to Shiraz)  
Ali to Shiraz gone is (indicative).
- Ali šāyad be širāz rafte bashad. (Ali may have gone to Shiraz)  
Ali maybe to Shiraz gone is (subjunctive).

The speaker's lack of inevitability about verb occurrence in present and future tense is expressed by subjunctive present tense, and before uttering the sentence is expressed by subjunctive past. In short, the usage of present and past subjunctive can be classified as the following (it should be noted that in all the examples in which subjunctive mode is used, the speaker has constructed the sentence in the subjunctive mental space and is not sure about verb occurrence):

#### **Subjunctive present tense:**

The subjunctive present tense is used:

1. To express something as a recommendation or advice:
  - Behtar ast be pezešk morāje'e bekonid (present subjunctive tense).  
better is to a doctor refer. (You'd better see a doctor)

In this sentence the phrase "behtar ast" acts as the space-builder and forms a subjunctive space in which occurrence of the verb "morāje'e konid" is not inevitable. If occurrence of the verb was inevitable, this sentence would be used: "šomā be pezešk morāje'e mikonid (you see a doctor)".

2. To make a suggestion:

- Miāy berim sinema?  
come (you) go (we) (present subjunctive) cinema? (Shall we go to cinema?)

3. Subjunctive present verb in the form of third person singular and plural in independent sentence indicates command or prohibition. In this kind of imperative sentence, the speaker assumes the high improbability of the listener not to obey his command and from speaker's opinion verb occurrence is not inevitable/ definite.

- Ali fardā be madrese naravad.  
Ali tomorrow to school doesn't go (present subjunctive). (Ali, doesn't go to school tomorrow)

## 4. To express wish, hope or curse:

- Xodā šomā rā hefz konad.  
God you (accusative marker) protect (present subjunctive). (May God protect you.)

- Kāš biāyad!  
wish come (s/he) (present subjunctive). (I wish s/he would come.)

## 5. To accept a suggestion, to make concession and to accept the opposite of something which was expected:

- -Berim sinemā?  
go (we) (present subjunctive) cinema. (Shall we go to cinema?)
- -Bāše berim, man movāfeqam.  
ok go (we) (present subjunctive). I agree am. (Ok, let's go, I agree.)

## 6. To express anger or refusal:

- Man begorizam!  
I run (I) (present subjunctive). (I'm running away!)

## 7. To express hesitation, being in limbo or anxiety:

- Će konam?  
what do (I) (present subjunctive)? (What should I do?)

## 8. In bound clause of compound sentences:

- Lāzem bud ke u be injā biāyad. (obligation)  
necessary was that s/he to here come (present subjunctive). (It was necessary for him/her to come here.)
- Bāvar nemikonam ke u beravad.  
don't believe (I) that s/he go (present subjunctive). (I can't believe that he leaves here.)
- U mitarsad ke in kār ra anjām dahad.  
he afraid that this work do(present subjunctive). (He is afraid of doing this.)
- Ānhā haq nadārand in kār ra bedoune ejažeye ma anjām dahand.  
They aren't allow this work without permission our do(present subjunctive). (They aren't allowed to do this without our permission.)
- Ārezu-ye man in ast ke xošbaxt šavi.  
wish my this is that prosperous become (you) (present subjunctive). (I wish that you would be prosperous.)
- Ānče ra bekārid, dero xāhid kard.  
what plant (you) (present subjunctive), will reap (you) (present indicative). (you would reap what you plant.)
- Injā bemānid, tā man bargardam.  
here stay (you) (present subjunctive), until I come back (present subjunctive). (Stay here till I come back.)
- Piš az ānke u beresad, az injā miravam.  
before he arrive (present subjunctive), from here go (I) (present indicative). (I'll leave here before he arrives.)
- Kār kon, ta movafāq šavi.  
work (you) (imperative), so succeed (you) (present subjunctive). (Try, so that you succeed.)
- Hasan dar xāne mānd, ta kārāš ra tamām konad.  
Hasan in home stayed (present indicative), until work his finish (present subjunctive). (Hasan stayed at home to finish his work.)

## 9. In probable conditional sentences the verb of conditional clause (protasis) is in most cases in the subjunctive present:

- Agar dar qor'ekeši barande shavi, Će mikoni?  
if in lottery win (you) (present subjunctive), what do (you) (present indicative)? (What will you do if you win a lottery?)

**Subjunctive past tense**

## 1. Past subjunctive is used in the conditional clause of conditional sentences:

- Agar u mariz šode bāšad, to hič komaki nemitavāni be u bekoni.  
if he sick is(past subjunctive), you nothing help cannot to him do(present subjunctive). (if he is sick, you can do nothing for him.)

## 2. In bound sentences

- Momken ast diruz Ali ānhā rā dide bāšad.  
possible is yesterday Ali them see (past subjunctive). (Ali may have seen them yesterday.)
- Mādar tavaqo' dāšt ke Nāder be Esfahān reside bāšad.  
Mother expected that Nader to Esfahan arrived (past subjunctive). (Mother expected that Nader had arrived Esfahan.)
- Ānhā ehtemāl midahand ke bače-hā sorxak gerefte bāšand.  
They probability give that children measles inflicted (past subjunctive). (They think it's probable that the children have been inflicted with measles.)
- Fekr mikonid ke u hālā digar reside bāšad?  
think (you) that he by now arrive (past subjunctive)? (Do you think he has arrived by now?)

As it is seen in the examples, in all the sentences, modal verbs, which are a sign of using subjunctive mood of the main verb, aren't used. It is in such sentences that most language learners have problem in choosing mood. Subjunctive mood in different compound and simple sentences can be justified by the use of mental space concept. In general, Persian speaker assumes three mental spaces: indicative/inevitable, subjunctive/possible, and counterfactual/impossible mental space. In indicative mental space, the speaker believes that the verb of the sentence will occur and therefore he uses indicative mood. In the second mental space, the subjunctive space, the speaker believes that occurrence of the verb is not certain, thus applies subjunctive mood. In this space, there may be space-builders like modal verbs, the existence of which in the sentence helps the learner to correctly use the verb of the sentence in subjunctive form; But, as the examples show, not in all cases modal verbs are used in the sentences. The third mental space called counterfactual space, is the one in which the speaker is sure that the verb won't occur, so he applies two tenses of past continuous and past perfect such as

- Ey kâš fardā bā mā be širāz miāmadi.  
wish tomorrow with us to shiraz went (you past continuous). (I wish you would come to shiraz with us tomorrow.)
- Ey kâš diruz bā mā be shiraz amade budi.  
wish yesterday with us to shiraz went (you past perfect). (I wish you would have come to shiraz with us yesterday.)

### C. The Experience of Teaching Subjunctive Mood to Persian Learners

As the researcher's experience of several years of teaching, and also research on learning subjunctive mood in foreign students in Iran show, learning this mood is too difficult for language learners. Most Persian learners have problem in choosing suitable mood for the sentence, particularly when there is no specific makers, like modal verbs as the maker of mood and grammatical tense, in the sentence.

For example, in completing a sentence like

“Ānhā bāyad fardā dar emtahān . . . (šerkat kardan)”

They should tomorrow in exam. . . . . (take part) (They should. . . in the exam tomorrow. (to take part))

language learners make use of the modal verb “bāyad (should)” as a marker for using subjunctive mood, and the adverb “fardā (tomorrow)” as a marker for using present tense, and therefore they apply present subjunctive (šerkat konand (to take part)). However, they often have problem in completing a sentence like “emrooz ba'dazzohr miaee baham be cinema . . . (raftan (to go)),”

and, instead of present subjunctive (beravim (we go)), they usually use present indicative (miravim (we go)). This problem stems from the fact that moods and grammatical tenses of verb and usages of verb in different situations and contexts are presented gradually in textbooks and sources of Persian language teaching, in a way that the regularities of verb moods choice is ignored by teachers and language learners. Therefore, language learners face different kinds of compound sentences, in some of which indicative mood and in some others subjunctive mood is used, but the common point of these sentences is ignored by language learners, so they have to memorize various cases without finding a specific justification for them.

In the present study, subjunctive mood was taught to 30 foreign students (Arab speakers) of Shahed University. These participants were in two classes composed of 15 students (of medicine and engineering), and they were taking four-credit course of General Persian. Their language proficiency level was intermediate. At the beginning of the teaching, a pretest was given to the students. This test composed of two speaking and two writing passages with twenty blank spaces. With regard to the given infinitive, the participants were required to conjugate the verb and fill in the blanks. Ten verbs with indicative mood and ten others with subjunctive mood had to be inserted in the blanks.

The results of the pretest showed that language learners had guessed 89 percent of the indicative verbs correctly, but responses related to subjunctive mood revealed that the subjects of the study had problem in the comprehension and application of this mood and that just 23 percent of responses were correct. No significance differences were discerned between the results of the two classes.

After this stage, teaching subjunctive mood to the two classes started. A class was chosen as the experimental group (henceforth class no.1), and the other class as control group (henceforth class no.2). Using the concept of mental spaces and space-builder, the subjunctive mood in sentences with modal verb, in imperative sentences, and in probable conditional sentences were taught to the subjects during two sessions. In the following session, the use of subjunctive mood in sentences expressing a request or a suggestion was taught and then the use of subjunctive mood in compound sentences was illustrated in three sessions. In the same vein, above-mentioned sentences were taught to the subjects of the control group. For this group, however, educational content existing in different textbooks was chosen and, like educational sources, focus was more on the formal construction. All the sentences were presented to the language learners in the context of speech or written text. An example of the use of mental spaces in the sentences is given here:

1. lāzem ast ke xānom-e Pārsā ham be injā mi-āyad.

necessary is that Mrs Parsa too to here come (present indicative). (It is necessary that Mrs. Parsa come here.)

2. lāzem ast ke āqā-ye Nāderi ham be injā bi-āyad.

(necessary is that Mr Nāderi too to here come (present subjunctive). It is necessary that Mr. Naderi come here as well.)

3. lāzem bud ke āqā-ye Nuri ham be injā mi-āmad.

necessary was that Mr Nuri too to here come (past progressive (impossible)). (It was necessary that Mr. Nuri come here.)

These three sentences are instances of subjective compound clauses in which bound clause plays the role of the subject of the main clause. Main clause "lāzem ast" (It is necessary) be considered as a space-builder which builds a new space. This space-builder can form three types of spaces:

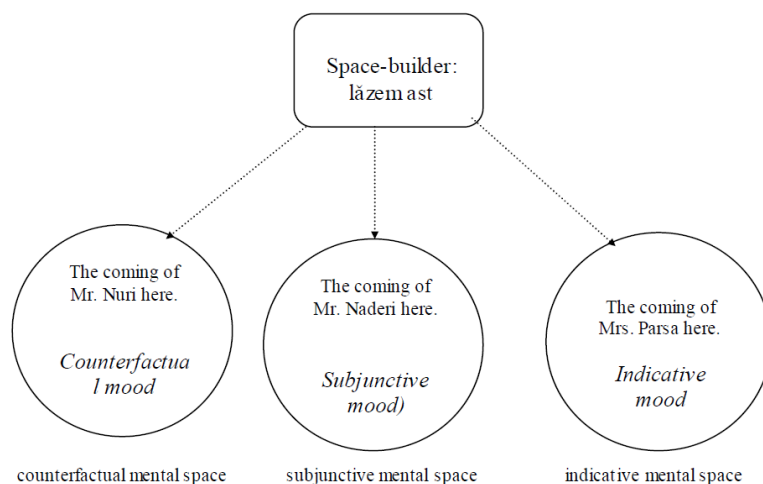
- \* Indicative space
- \* Subjunctive space
- \* Counterfactual space

Indicative space represents a definite scenario in which the speaker is sure about occurrence of the verb and shows this certainty through indicative mood. Subjunctive mood shows a probable scenario and in this space the speaker believes that the verb would probably occur. In counterfactual space, the speaker represents failed scenario, and by applying impossible mood (grammatical tenses of past progressive and past perfect) shows that there is no possibility for the verb occurrence. These three spaces are recognizable in sentences 1-3 above.

In sentence (1) the verb "mi-āyad" possesses indicative mood and shows that speaker is sure about the occurrence of Mrs. Parsa's coming.

In the sentence(2) the verb "bi-āyad" has a subjunctive mood, is in present tense and shows that the speaker considers "Mr. Naderi's coming" as a probable occurrence.

Sentence (3) indicates impossibility of "Mr. Nuri's coming" and this failed scenario has been displayed by past continuous tense. This usage of past continuous is called impossible/counterfactual by the author. These points can be shown as the following:



Elements inside spaces			
verb	To come (indicative)	To come (subjunctive)	To come (impossible)
person	Mrs. Parsa	Mr. Naderi	Mr. Nuri
place	here	here	here

As it is shown, in these three spaces, mood is the indicator of space type, and a space-builder can form different spaces: indicative space in which the possibility of verb occurrence is inevitable, subjunctive space which shows that verb occurrence is probable, and impossible/counterfactual space which shows that verb occurrence is unlikely. In each of these spaces moods act as a meaningful grammatical category, and indicative space, subjunctive space and counterfactual space are represented by indicative, subjunctive and impossible moods respectively.

The sentences were given to the students within a speaking text. In this text which was about an official meeting, a clerk was talking with his boss about the presence of three of the participants in the meeting. By using these three sentences in the speaking context, the teacher explains that the first sentence shows the indicative mental space of the speaker; Because he is sure about Mrs. Parsa's coming, and in response to the question "why is Mrs. Parsa coming to the meeting?" he says: "it is necessary that she is coming". Speaker's assurance of verb occurrence is shown by indicative mood.

In the second sentence, the speaker believes that Mr. Naderi's coming is not definite; therefore, his mental space is the possible space in which he applies subjunctive mood. In the third sentence, the speaker is sure that Mr. Nuri won't take part in the meeting, but assumes his presence as necessary. Hence the speaker means to express impossibility of Mr. Nuri's coming. This sense is represented in impossible space and with past progressive tense.

Language learners learn the subjunctive mood usage through comparing these spaces, the elements inside them and identity connections between elements, and also through representing different moods in the spaces.



In the control group, subjunctive mood in different sentences and texts was taught without presenting the concept of mental spaces. After teaching and giving different spoken and written practices, both groups received a post-test about tense and moods of the verbs in Persian language, and the results regarding subjunctive mood were examined.

The post-test consisted of a writing text with ten blank spaces, two dialogues, each having five blanks, ten multiple-choice questions and ten incomplete compound sentences. Language learners were supposed to fill in the blanks with appropriate mood and tense, and complete the compound sentences according to the given infinitive. In general, language learners were required to choose or conjugate 40 verbs. In ten cases of these verbs, modal verbs were used in the sentences. Since, modal verb helps the learner to use subjunctive mood appropriately, no significant differences were discerned between experimental and control group. The experimental group answered 94.6 percent of the sentences correctly and the control group 86.6 percent thereof. The experimental group had 142 correct answers, i.e. 94.6 percent, and the control group had 129 correct answers, i.e. 86 percent of 150 questions.

The frequency table (Table.1) and percentage table (Table.2) relating to sentences with modal verbs is presented below:

TABLE.1

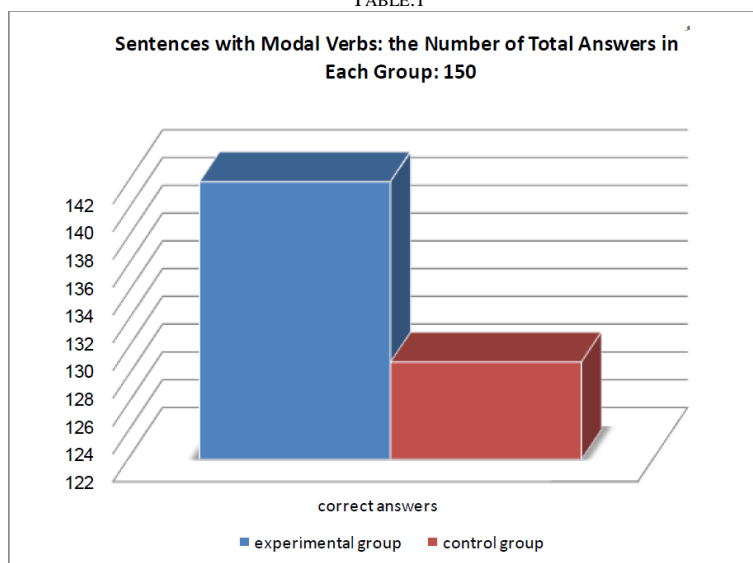
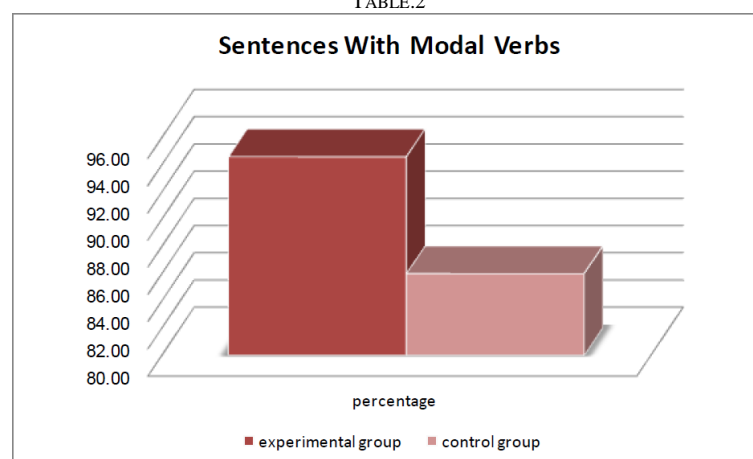


TABLE.2



In the rest thirty cases, which included twenty-two various compound sentences and eight simple sentences indicating a suggestion or accepting a suggestion, wish, blessing, being in limbo and hesitation, subjects of the two groups answered rather differently. In general, experimental group answered correctly to 89.3 percent (402 correct answers out of 450 questions) and 70.4 percent (317 correct answers out of 450 questions) of the questions were answered correctly by the control group.

The frequency table (Table.3) and percentage table (Table.4) relating to sentences without modal verbs are presented below:

TABLE.3

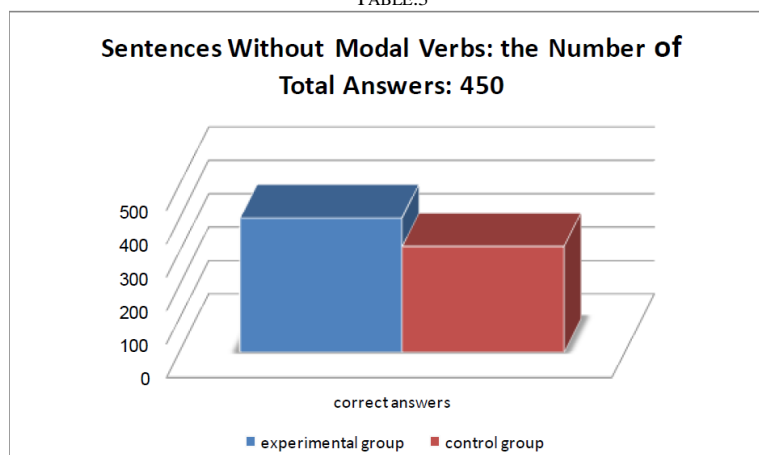
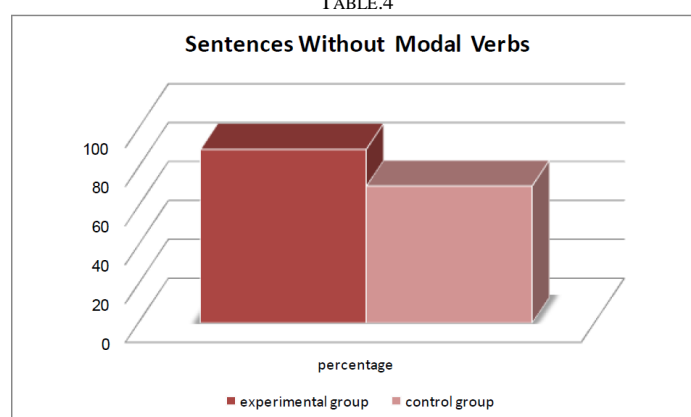


TABLE.4



This difference between correct answers shows the positive effect of applying mental spaces theory in teaching subjunctive mood in Persian language. This is because of the fact that language learners familiar with mental spaces better understood the concept of mood in general (speaker's attitude to the soundness and truth of the speech), and mood usage in different sentences, and were better able to choose mood in various sentences. This result could be discerned in speaking skill of the students, because the experimental group outperformed control group in appropriate use of subjunctive mood and faced less problems in constructing compound sentences.

#### IV. CONCLUSION

Learning subjunctive mood is usually problematic for non-native Persian learners. Even advanced learners have difficulty in applying subjunctive mood. The present article dealt with mood choice in compound and simple sentences according to mental spaces theory, and with teaching mood based on mental spaces. The participants of the study consisted of students of Shahed University of Tehran, who all had the same mother tongue (Arabic) and their language proficiency were considered as intermediate. After administration of the pretest and getting equal results, during six sessions, subjunctive mood was taught to the experimental group using mental spaces theory and to the control group without using this theory. Throughout these sessions language learners got familiar with subjunctive mood usage in various simple and compound sentences.

The results showed that those language learners who learned subjunctive mood by using the concept of mental spaces of the space-builders, and the probability of occurrence (as the central meaning of different moods), had a better performance in realizing and applying appropriate mood in various sentences. This demonstrates the positive effect of cognitive linguistics concepts and its theories on second language teaching. Moreover, Persian learners of the control group were better able to produce sentences the verbs of which expressed an impossible action (what the author calls impossible mood). Accordingly, by using this theory, the teacher can show the regularity of mood choice in various compound sentences in Persian language, and present a documentary justification for each choice, thus, learners can realize mood in Persian language with less probability of error.

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# A Case Study of the Application of a Blended Learning Approach to Web-based College English Teaching Platform in a Medical University in Eastern China

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**Abstract**—This study adopted an empirical study to examine the application of the blended learning approach to Web-based College English Teaching Platform (WCETP) in a medical university in eastern China. The study was conducted on 40 students majoring in Clinical Medicine from two classes and raised two questions: (1) Is there a significant difference between the blended learning approach and the traditional classroom learning approach in terms of students' attitudes and satisfaction? (2) Is there a significant difference between the blended learning approach and the traditional classroom learning approach in terms of students' academic achievement? By analyzing and discussing the resultant statistics, the author drew the conclusion that compared with the traditional teaching approach, participants held more positive attitudes towards the blended learning model. Besides, participants preferred to this new blended learning model, which could better stimulate their interest, foster their autonomous learning and collaborative learning and prompt their confidence. What is more, the quantitative research with the comparisons of language learning achievement between the experimental group and the control group revealed that there was a significant difference in terms of students' academic achievement between the traditional classroom learning approach and the blended learning approach. Furthermore, students performed better in language learning under the blended learning model than those under the traditional model. The findings of the study indicate that as the brand-new learning approach, the blended learning approach which integrates the advantages of online learning and face-to-face classroom teaching could enhance students' comprehensive language skills, improve students' self-confidence in learning English, and cultivate the learners' ability of self-learning. Therefore, study on the application of blended learning for college English learning has an important reference value and practical significance for the reform of College English Education.

**Index Terms**—blended learning approach, college English teaching, web-based college English teaching platform

## I. INTRODUCTION

### A. Research Background

With the rapid development of the globalization, English is playing an increasingly important role in the whole world. College English Course is being under attention in all Chinese colleges and universities. Although college English teaching has gained notable achievements, there are many problems. Since the dominant teaching model in China is still traditional face-to-face teaching approach, which is unable to meet students' individualized needs, the teacher mainly gives the same instructions for the whole class to follow. With fewer chances of communication or practice, students under this teaching approach are frequently passive, dependent and lacking in initiative.

The problems of this teacher-centered approach have been noticed by many researchers and scholars in the field of English teaching. In response to deepen teaching reform, improve teaching quality, and meet the needs of the society for qualified personnel, *College English Curriculum Requirements* has been drawn up and college English teaching reform is in full swing. In the new *College English Curriculum Requirements (CECR, 2007)*, the Ministry of Education dictates that the new teaching model should be built on modern information technology, particularly network technology, so that English language teaching and learning will be, to a certain extent, free from the constraints of time or place and geared up for students' individualized and autonomous learning. The new requirements emphasize that this new model should integrate the strengths of the traditional classroom teaching with the advantages of E-learning while fully employing modern information technology.

In view of the problems of the traditional English teaching and the advantages of the E-learning, a blending of the two learning approaches is now being considered. Blended learning, which integrates the face-to-face teaching model with the Web-based learning model, is now drawing great attention. In the blended learning model, students can both take advantage of the teachers' lectures and be assisted by the Internet in choosing the appropriate content of learning materials according to their specific needs, and arranging self-paced study with the guidance of teachers, so that their all-round ability to use English could be improved and the best effects of learning could be achieved. So studying the application of the blended learning approach in college English teaching has important reference values and practical significance for actively carrying out college English teaching reform in China.

### *B. Purpose of the Study*

In accordance with the new trend of college English teaching approach, many colleges and universities have built up Web-based teaching platform to apply the blended learning approach. Web-based College English Teaching Platform was built up in this medical university. This study started the application of the blended learning approach to Web-based College English Teaching Platform in the medical university in 2009. This study aims to 1) examine the differences in students' attitudes towards and satisfaction with the blended learning model based on Web-based College English Teaching Platform and the traditional classroom learning model; 2) investigate the differences in academic achievement between the students from the traditional classroom learning environment and the students from the blended learning environment. The results of the study may help instructors to better understand whether the instruction of blended learning is more effective in terms of attitudes, satisfaction and learning performance than traditional face-to-face teaching.

### *C. Significance of the Study*

It is expected that the study will contribute to the following aspects:

1. The study will give an insight into the application of the blended learning approach in language teaching and learning.
2. The study has a potential influence on the practice of the blended learning approach in teaching college English especially in A medical university.
3. The study may help educators and researchers to better utilize the facilities of online recourses and communication technology in language teaching and learning.

## II. LITERATURE REVIEW

### *A. Blended Learning*

The term 'Blended Learning' has been used with increased frequency in both academic and corporation circles. In 2003, American Society for Training and Development identified Blended Learning as one of the top ten trends to emerge in the knowledge delivery industry (Rooney, 2003). In fact, the concept of blending is not new. In the past, the ingredients of blending were limited to physical classroom formats (lectures, labs, etc.), books or handouts. However, now with the development of high technology, various learning approaches are integrated into learning. And this kind of change not only alters learning effect, but also attracts scholars' attention, and brings Blended Learning new meanings, especially after 2001 when people reconsider the advantages and disadvantages of E-learning.

Though the term 'Blended Learning' has gained considerable currency in recent years as a description of particular forms of teaching with technology, it is such a flexible term and means different things to different people (Clark, 2003) that scholars define it in varied ways. And till now there is no authoritative definition. What is more, they hold quite different attitudes toward this term. The following are various definitions given by scholars at home and abroad with different attitudes.

### *B. Definitions of Blended Learning*

In Webster's Online Dictionary, 'blend' is defined as 'harmonizing', 'mixing together two elements' and the 'act of combining into one'. In order to construct real blending environment, the structure of the course must be carefully evaluated to determine which instructional objectives can best be met in a Web-based environment and which are better suited for a traditional classroom environment.

Blended learning has been defined in many different ways. First, Osguthorpe and Graham (2003, p. 227) pointed that the term 'blended learning' was being used with increased frequency in academic journals and conferences as well as industry trade shows and magazines.

While Garnham et al. (2002, p. 1) defined blended learning as '... courses in which significant portion of the learning activities have been moved online, and time traditionally spent in the classroom is reduced but not eliminated.'

According to Thorne,

'Blended learning is the most logical and natural evolution of our learning agenda. It suggests an elegant solution to the challenges of tailoring learning and development to the needs of individuals. It represents an opportunity to integrate the innovative and technological advances offered by online learning with the interaction and participation offered in the best of traditional learning. It can be supported and enhanced by using the wisdom and one-to-one contact of

personal coaches .' (Thome, 2003, p. 16)

According to the review, the blended learning model should combine the learning pattern that occurs in the traditional classroom with the Web-based learning on the Internet, just as Dziuban, Hartman and Moskal (2004, p. 3) mentioned that "blended learning should be viewed as a pedagogical approach that combines the effectiveness and socialization opportunities of the classroom with the technologically enhanced active learning possibilities of the online environment, rather than a ratio of delivery modalities."

Compared with the overseas study, research on Blended Learning in China started later. It was first brought in by He Kekang at Global Chinese Conference on Computers in Education in December, 2003. After summarizing knowledge about Blended Learning in foreign scholars' reports, he proposed his own understanding and definition of Blended Learning. He stated that Blending Learning was to combine the advantages of traditional learning methods with E-learning model (Digital or online learning). In other words, it not only gives full play to teachers' leading role, such as guiding, enlightening, controlling teaching process, but also embodies students' central position by arousing students' enthusiasm, initiative and creativeness in the learning process. He pointed out that at present, international education field reached the consensus that only by combining the two together could they complement each other and achieve the optimal learning outcomes (He, 2004).

Li Kedong (2004), head of Educational Technology Department in Shanghai Normal University, points out that the so-called 'integrated learning' refers to the optimized selection and combination of all the elements of teaching to achieve the educational goal.

Li Kedong and Zhao Jianhua (2004) take Blended Learning as an organic integration of face-to-face classroom learning and E-learning. They think the core idea of Blended Learning is to apply different methods to solve problems with different requirements; in teaching, Blended Learning is to utilize different media and ways of transforming information. Such ways of settling the problems are required to achieve the best results with the least cost.

Taking all the definitions at home and abroad into consideration, it can be seen that the concept of Blended Learning is rooted in the idea that learning is a continuous process and blending provides more various benefits than using any single learning delivery type alone.

### C. *Blended Learning and Its Development in Language Studies*

Since the World Wide Web was invented in 1989, there have been revolutionary changes in our way of life. The Internet extends its impact on the areas from business, science and technology to education. Blended learning has been adopted widely in many developed countries. Blended learning, which supports self-motivated and self-paced learning, is characterized by integrating online learning with traditional face-to-face learning.

Among all those academic and vocational subjects, language studies are probably the most challenging field, since overall language ability does not mean one single skill but a collection of literary and communicational skills. A good language learning approach requires both incidental and intentional learning. Blended learning meets both requirement as the incidental learning through the Web-based learning model and the intentional learning through the face-to-face learning model.

## III. METHODOLOGY

### A. *Research Questions*

The objective of this study is to compare students' attitudes, satisfaction and their corresponding academic performance between the blended learning environment and the face-to-face learning environment. Since questionnaires, interviews, and tests are implemented in the course of the study, qualitative and quantitative analysis are adopted to describe the interviews conducted in the study and analyze the data collected from the questionnaires and test scores.

To meet the purpose of the study, the research questions for the study were constructed as follows:

1. Is there a significant difference between the blended learning approach and the traditional classroom learning approach in terms of students' attitudes and satisfaction?
2. Is there a significant difference between the blended learning approach and the traditional classroom learning approach in terms of students' academic achievement?

### B. *Research Design*

Research design is a systematic planning of research. In order to ensure that the selected participants may best represent the real quality of the target population, the participants in this study are statistically controlled.

#### 1. *Participants of the Study*

This study was conducted in a medical university in the second semester of the 2009-2010 academic year. The gradation teaching of College English has been implemented since 2005. Students are divided into two levels, Level A and Level B, according to their scores of College Entrance English Examination. Level A Class consists of high English level students, accounting for 20% of total students. Level B Class mainly includes the students of middle and low English level students, accounting for 80% of total students. Participants of this study are all from Level B Class, majoring in Clinical Medicine. A total of 40 students from two classes, Class 12 and Class 14, were chosen as the sample, because their average scores of College Entrance English Examination were 70.45 and 70.70, and their English

levels were of no significant difference, and this was the main reason why they were chosen. The students were assigned to the control group and the experimental group purposely according to their response to the questionnaire. Class 12 was the control group while Class 14 was the experimental group, in which students have better computer skills and willingness to cooperate. Participants both in the control group and the experimental group have never experienced Web-based learning before, so drawbacks and achievement received by students can be attributed to learner factors. Table 3.1 is the general information about the participants.

TABLE 3.1  
GENERAL INFORMATION ABOUT THE PARTICIPANTS

Items	The control group	The experimental group
Time of enrollment in College English Course	2009	2009
Average scores in College Entrance English Examination	70.45	70.70
Number of participants	20	20
Major	Clinical Medicine	Clinical Medicine
Teaching materials	New Horizon College English (Second Edition)	New Horizon College English (Second Edition)

## 2. Instruments of the Study

Three data collection instruments were used in the research: questionnaires, interviews and tests.

### Questionnaires

To discover what students' attitudes and satisfactions are towards the blended learning approach and the traditional learning approach, two questionnaires are conducted both before and after the experiment.

Before the experiment, one questionnaire, consisting of 35 items, was designed to explore students' mastery of computer skills, their willingness of cooperation, and their general attitudes towards traditional classroom learning.

After the experiment, at the end of the second term, the second questionnaire was conducted among the experimental group to collect the data and information about their attitudes towards and satisfaction with blended learning.

### Interviews

Two interviews were conducted. The first one was mainly about participants' attitudes towards the traditional teaching approach. After the experiment, the researchers interviewed only the experimental group to get to know their problems while learning and their attitudes, practices and suggestions towards blended learning. Some students were also interviewed about their learning autonomy.

### Tests

In order to explore the differences between the blended learning approach and the traditional classroom learning approach in terms of students' academic achievement, students in the experimental group were taught in the blended learning environment, while students in the control group were taught mainly in the traditional classroom setting. Two English final examination outcomes were traced to make comparisons between the experimental group and the control group to evaluate their academic achievement.

## 3. Tasks and Activities

The experimental group adopted the blended learning mode. This consisted of two parallel layers that were performed together: face-to-face teaching portion was mainly teacher-centered and the on-line portion was mainly based on WCETP. The face-to-face teaching was carried out twice a week, 100 minutes every time. Classroom learning process mainly included teacher's lecture, accounting for half of the class time, and some class activities, such as students' role playing, oral presentations and group discussions, aiming to create an environment that could foster critical thinking, problem solving and the development of self-regulation abilities. In order to help the experimental group students get better involved in blended learning, they were also trained to improve their autonomous learning awareness and learner autonomy before the experiment. At the same time, the on-line learning activities based on WCETP mainly focused on content delivery, course management, and extension of the classroom discussion to the Web. The on-line component consisted of PowerPoint presentations with a corresponding note sheet, homework assignment, related reading tasks, discussions on the forum and quiz per week.

The control group adopted only the traditional face-to-face classroom learning mode. The on-line learning activities were not offered to them. However, their English course was conducted by the same English teacher with the experimental group, thus the teacher variable is under control. Besides, schedule of the course, teaching materials and the content of final tests were all the same with the experimental group.

### C. Procedures of the Study and Data Collection

The formal study was carried out in the second semester of the 2009-2010 academic year, which went as follows:

1. Participants were selected based on their performance in College Entrance English Examination;
2. Participants' final English scores of last semester were collected and compared;
3. The first questionnaire was conducted among all the participants;
4. Participants were grouped according to their response to the first questionnaire;
5. Students in the experimental group were trained on their basic skills for Web-based autonomous learning. At the same time, they were exposed to the blended learning environment and participated in blended learning activities on WCETP;



6. The control group had their English Intensive Reading Course in the classroom and Listening and Speaking Course in audio-visual language labs without access to the Internet;
7. Participants of both groups' English final scores were collected and compared;
8. The experimental group responded to the questionnaire on their attitudes towards and satisfaction with blended learning approach, as well as interviews;
9. Analyze the data by using proper data analysis techniques and report the findings.

#### *D. Data Analysis*

Statistical software package SPSS 11.0 for Windows was used to analyze the collected data. SPSS is a comprehensive and flexible statistical analysis and data management system which is, however, easy to manipulate. Many tasks can be accomplished simply by pointing and clicking the mouse.

The results of the pre-test and post-test were input into computers, and analyzed by SPSS 11.0. SPSS 11.0 was also used to compare the data collected by questionnaires.

The qualitative data of interview was analyzed by organizing and summarizing so as to arrive at the results and conclusions of the research.

#### *E. Pilot Study*

A pilot study is "a preliminary study that informs a future effort by systematically examining specific facets of the eventual design" (Light et al., p. 214)

Participants for the pilot study were Level A Class students majoring in Clinical Medicine in the medical university during the first semester of 2009-2010 academic year. Students of Level A were assigned to learn English by using WCETP and in the classroom setting. A questionnaire that surveyed their attitudes towards blended learning was administered to 20 students of them after four-week blended learning. Data from 20 valid returned questionnaires were entered into SPSS 11.0 for Windows for testing the scale.

Most students who were surveyed showed positive attitudes towards blended learning approach. Based on the test results of the scale, wording issues and formatting issues were further revised. The results of the pilot study lay a foundation for revising the surveys used in the formal study.

#### *F. Reliability and Validity*

Reliability refers to the consistency of the research results (He, 2002). Reliability "describes the extent to which two sets of measurements of the same characteristics on the same people duplicate each other" (Light, Singer, & Willett, 1990, p. 165).

For the questionnaires, internal consistency that assesses the consistency of the entire scale was tested. Cronbach's alpha is the most widely used measure of reliability because it diagnoses the overall consistency of the test. According to Aron and Aron (2002), a Cronbach's alpha of at least .6 or .7 and preferably closer to .9 is considered useful in the social and behavioral sciences.

Internal consistency of the scale and its subscales of the study were calculated for coefficient alpha. Reliability Statistics analyzed by SPSS 11.0 showed that Cronbach's Alpha of pre-questionnaire was 0.804, which was acceptable. For the post-questionnaire, the scale yielded reliability (Cronbach's alpha) of 0.857, which was also acceptable.

Validity refers to "the degree to which a study and its results correctly lead to, or support, exactly what is claimed" (Brown, 2001, p. 29). Validity may dramatically affect the results if the researcher has not considered and controlled for all the relevant variables in a research.

In this study, the potential threats to experimental validity were minimized by taking the relevant variables into consideration.

### IV. RESULTS AND DISCUSSIONS

#### *A. Sample Demographics*

Of the samples (n=40), 57.5% are males and 42.5% are females. They range in age from 19 to 21 years with an average age of 20.3 years. All of the samples are sophomores, majoring in Clinical Medicine. Overall, they could be representative of the targeted population across the university.

Regarding the use of computer, 72.5% students surf on the Internet very often; 98.5% students have their own e-mail accounts but only 40% of them frequently send e-mails to contact others; 95% students know how to search for information and download what they need from the Internet. From the data, their abilities in applying computers and the Internet nowadays for students are growing into a higher level. This computer factor is of great importance for the application of the blended learning approach. Whether students can handle it well or not may affect students' interest and enthusiasm in learning online. Therefore, it is also necessary to give students some guidance before using the WCETP, so that they can get a better benefit from blended learning.

One finding that should be noticed in the questionnaire is that although 82.5% students spend at least three or four hours on the Internet every week, only 20% among them often study English through the Internet. Most students are not used to learning English on their own through the Internet. Therefore, it is significant to train students' online learning

awareness and learning autonomy.

In terms of willingness to cooperate, 62.5% students show an interest in adopting new learning mode; 77.5% students show a desire to improve their autonomy study; 75% students would like to spend one or two hours per day on online English learning; 25% students, maybe affected by their inability to handle computers and lack of self-restraint, would not like to accept the idea of Web-based English learning. So generally speaking, students are willing to try this new, different learning style and computers give them a brand new experience of learning.

### B. Results of the Questionnaires

In this study, pre-and post-questionnaires were adopted to investigate the differences in terms of students' attitudes towards and satisfaction with the blended learning approach and the traditional classroom learning approach. The pre-questionnaire, which consisted of 35 items, aimed to know about students' computer skills, willingness of cooperation and their opinions about traditional classroom learning. The post-questionnaire was only conducted in the experimental group with the purpose of finding out students' perspectives on the application of a blended learning approach to Web-based College English Teaching Platform.

#### 1. Students' Attitudes towards the Traditional Teaching Approach

Participants were asked to fill in a questionnaire related to their attitudes towards the traditional English teaching approach before blended learning was implemented. Each table shows students' attitudes to each statement, using mean score and standard deviation. The higher mean scores indicate the more positive opinions on the statement asked.

The data collected from the questionnaire show that students' attitudes towards their involvement in traditional classroom learning activities are not so positive mainly because they have fewer chances to express themselves or communicate with teachers and classmates. Most students believed that they could follow the teacher in class (Mean=4.05) and focus their concentration (Mean= 3.40) (see Table 4.1).

TABLE 4.1  
DESCRIPTIVE STATISTICS OF STUDENTS' PERSPECTIVES

Statements	Mean	Std. Deviation
1. In the traditional classroom learning setting, I feel studying English is enjoyable.	2.8500	1.03999
2. In the traditional classroom learning setting, I could well communicate with my teacher.	2.6500	.93330
3. In the traditional classroom learning setting, I have many chances to express myself.	2.1000	.91191
4. In the traditional classroom learning setting, I could follow my teacher.	4.0500	.51042
5. In the traditional classroom learning setting, I have many chances to discuss with my classmates.	2.7500	1.25132
6. In the traditional classroom learning setting, I could focus my attention.	3.4000	.82078

In this questionnaire, questions 7 to 10 are about whether the traditional teaching approach could improve students' English language ability, such as listening, speaking, reading and writing ability. According to the collected data, in students' perspective, reading and writing could be better improved through the traditional teaching approach while listening and speaking are often neglected (see Table 4.2).

TABLE 4.2  
DESCRIPTIVE STATISTICS OF STUDENTS' PERSPECTIVES

Statement	Mean	Std. Deviation
7. The traditional teaching approach helps to improve my listening ability.	2.7500	.78640
8. The traditional teaching approach helps to improve my speaking ability.	2.4000	1.04630
9. The traditional teaching approach helps to improve my reading ability.	2.8000	.83351
10. The traditional teaching approach helps to improve my writing ability.	3.3000	.92338

#### 2. Students' Attitudes towards the Blended Learning Approach

In the post-questionnaire, students were asked to state their overall attitudes towards the blended learning approach, E-learning process on the WCETP, face-to-face learning process in the classroom, and their opinions about the influence of blended learning on their personal development.

According to the data in Table 4.3, most students show more positive attitudes toward this blended learning model than traditional teaching approach.

TABLE 4.3  
COMPARISONS OF STUDENTS' ATTITUDES TOWARDS THE BLENDED LEARNING APPROACH AND THE TRADITIONAL TEACHING APPROACH

Statements	Mean	
	the traditional teaching approach	the blended learning approach
1. This teaching approach could stimulate my interests in learning English.	2.6000	4.3000
2. This teaching approach is helpful for my English study.	3.9000	4.3000
3. I could be accustomed to this teaching approach.	3.8500	4.4500
4. I feel studying English is enjoyable.	2.8500	4.5500

In terms of students' attitudes towards whether these teaching approaches could benefit for their personal development. Data in Table 4.4 show that many students think that compared with the traditional teaching approach, blended learning is better to raise their self-confidence, foster their learning autonomy, the ability of collaborative

learning and communication skills.

TABLE 4.4  
DESCRIPTIVE STATISTICS OF STUDENTS' PERSPECTIVES

Statements	Mean	
	the traditional teaching approach	the blended learning approach
This teaching approach helps to foster learning autonomy.	2.7500	4.1500
This teaching approach helps to improve my ability of collaborative learning.	2.9000	4.1000
This teaching approach helps to raise my ability of communicating with others.	3.0000	4.3000
This teaching approach helps to develop my self-confidence.	3.1500	4.4500

#### a. Students' Perspectives on the On-line Learning Based on WCETP

Generally speaking, students are interested in and satisfied with the online learning part based on WCETP. Students think the design of WCETP is rational and easy to operate (mean score of 4.45). With the help of WCETP, students find it possible for them to select learning materials based on their own English level (mean score of 4.60). What is more, they are clearer about learning objectives via WCETP (mean score of 4.05). Students believe that the discussion forum is very useful for them to communicate with their peers and their teacher (mean score of 4.25). Besides, the assessment system on WCETP is helpful to offer feedback in time for their English study (mean score of 4.55).

In terms of communication function, students give a positive evaluation. They think through WCETP they could communicate well both with their classmates (mean score of 3.95) and their teacher (mean score of 4.30).

#### b. Students' Perspectives on Face-to-Face Classroom Learning

Compared with traditional classroom teaching, students find that the classroom learning portion in blended learning is more interesting, which could better activate their enthusiasm (mean score of 4.60). In face-to-face classroom learning, students think they have more chances to interact with teachers and communicate with other students (mean score of 4.35). Besides, in face-to-face classroom learning, they could make practical use of what they have learned from WCETP (mean score of 4.10).

Obviously, in this way, students are more interested in English learning, which is also one of the goals of the new College English Curriculum Requirements.

From the above discussion, we can see that students' overall attitudes towards and satisfaction with blended learning is good. Most students hold positive perspectives on this new teaching model, which could help them to become autonomous learners and achieve better learning performance.

#### C. Results of the Interview

The first interview was carried out among both the control group and the experimental group before the experiment. From the interview, most students have studied English for more than seven years in the traditional face-to-face learning environment, so they are quite used to this teaching approach.

However, oral English and communication skills remain to be the most difficult part in their English learning since they are given fewer chances to speak or communicate in English in the traditional English learning setting. They show a strong desire to gain more opportunities to communicate in English with both their teacher and classmates. When asked whether the traditional teaching mode should be reformed, most of them (92.5%) gave a positive answer.

At the end of the experiment, another interview was conducted only among the experimental group. They were interviewed in a relatively leisure atmosphere, where they tended to be free to express themselves. Questions in the interview were mainly about their opinions about and attitudes towards the implementation of the blended learning approach on the WCETP in order to find out as much as possible information that could not be revealed in the questionnaire. In addition, suggested improvements and their thoughts about autonomy learning were also gathered.

Almost all the participants interviewed had positive attitudes towards the blended learning approach. Some students said they liked the flexible and interactive features of the new learning mode, which could stimulate their interests at best. Some said they preferred this self-paced study and they could review what they might miss in the classroom in time. Some students believed that they had established a closer relationship with their classmates through participating in blended learning activities.

As for the autonomy learning, most students admitted that blended learning was a good way to improve their autonomous learning ability and their autonomous learning awareness was also enhanced through studying on WCETP. However, there were three students who expressed that they were not so used to learning on their own in the online autonomous environment, because they were often distracted from their learning by so many temptations on the Internet. These students were more accustomed to the traditional mode of lecture delivery and they needed more supervision and guidance while learning online. Therefore, training their autonomous learning awareness and ability is especially important for these students.

When talked about their difficulties they came across in their blended learning, most of the participants hoped to have more time for online English learning with the help of their teacher. Several students reported the pressure they faced since they had to devote themselves to both the online environment and the classroom environment and they had to spend much more time on English learning, which was stressful for them.

#### D. Results of the Tests

Scores of the participants' College Entrance English Examination were adopted for the selection of the research sample. The scores of the examination of the first semester (pre-test) were collected before blended learning approach was implemented. The scores of the examination of the second semester (post-test) were also collected after blended learning approach was implemented in the experimental group.

TABLE 4.6  
DESCRIPTIVE STATISTICS OF ALL PARTICIPANTS' ACHIEVEMENT IN THE THREE TESTS

Test	Group	No.	Mean	Std. Deviation
College Entrance English Examination	the control group	20	70.4500	4.92550
	the experimental group	20	70.7000	4.41409
The examination of the first semester (pre-test)	the control group	20	73.6000	5.46183
	the experimental group	20	74.3500	5.44072
The examination of the second semester (post-test)	the control group	20	78.0500	6.04784
	the experimental group	20	82.2000	5.22591

From the data in Table 4.6, we can see that the average score of their College Entrance English Examination of the control group was 70.45, while the average score of the same examination of the experimental group was 70.70. The standard deviations of these two groups are 4.92550 and 4.41409. According to the statistics, the two groups have a similar mean and standard deviation, which indicates that the English levels of the participants in these two groups are very similar. In other words, their scores are not significantly different, which means they are almost at the same English level.

Participants' scores of the pre-test showed no significant difference compared with their College Entrance English Examination. The average score of the control group was 73.60 and the experimental group was 74.35, and the standard deviations were 5.46183 and 5.44072 respectively.

The examination of the post-test was taken after the blended learning approach was implemented in the experimental group. In order to further determine whether there is a significant difference between the control group and the experimental group in terms of academic achievements during pre- and post-tests, an independent samples T test was conducted using  $p < 0.05$  level of significance.

TABLE 4.7  
INDEPENDENT T-TEST OF TOTAL SCORES IN PRE-TEST AND POST-TEST

		N	Mean	Std. Deviation	Std. Error Mean
Pre-test of groups	the control group	20	73.6000	5.46183	.58079
	the experimental group	20	74.3500	5.44072	.62404
Post-test of groups	the control group	20	78.0500	6.04784	.70749
	the experimental group	20	82.2000	5.22591	.52523

TABLE 4.8  
INDEPENDENT SAMPLES TEST IN PRE-TEST AND POST-TEST

		Independent Samples Test							
		Levene's Test for Equality of Variances		t-test for Equality of Means					
		F	Sig.	t	df	Sig. (2-tailed)	Mean Difference	Std. Error Difference	95% Confidence Interval of the Difference
pre-test of groups	Equal variances assumed	.082	.776	.078	58	.938	.0667	.85249	-1.63978 1.77312
	Equal variances not assumed			.078	57.703	.938	.0667	.85249	-1.63997 1.77330
post-test of groups	Equal variances assumed	5.674	.021	-2.118	58	.038	-1.8667	.88113	-3.63045 -.10288
	Equal variances not assumed			-2.118	53.518	.039	-1.8667	.88113	-3.63360 -.09973

Table 4.7 showed the mean scores and the standard deviations of two groups in the pre-test and post-test. From the table, we could learn that the mean scores of the experimental group have improved a lot. From Table 4.8, we can see that in pre-test Sig. (2-tailed) = 0.938 > 0.05, and because zero belongs to 95% Confidence Interval of the Difference (-1.63997 ~ 1.77330), the significance of difference does not exist between the control group and the experimental group, which indicates there is no big difference on their achievement between the two groups. However in the post-test, Sig. (2-tailed) = 0.038 < 0.05, and zero does not belong to 95% Confidence Interval of the Difference (-3.63045 ~ -.10288), which means the significance of difference does exist between the control group and the experimental group. Therefore, it could be concluded that the participants in the experimental group have a higher English achievement than that of the participants in the control group.

From the results of the tests, the conclusion could be drawn that the application of the blended learning approach to WCETP may have a positive effect on students' academic achievement. The advantages of integrating online learning with face-to-face learning contribute to the improvement of students' performance in language study.

## V. CONCLUSIONS AND RECOMMENDATIONS

### A. *Summary of the Study*

Along with the exponential growth of the Internet and the World Wide Web, more and more educational institutes are experiencing the shift in instructional platforms to enrich teaching and learning setting for a variety of needs and demands. The application of the blended learning approach, which integrates the advantages of traditional teaching with online learning, has drawn great attention of language teaching instructors and researchers.

This study was designed to investigate the differences of students' attitudes towards and satisfaction with two different learning approaches: the traditional face-to-face teaching approach and the blended learning approach based on WCETP, as well as their learning effectiveness of college English under the blended learning environment.

From the discussion in Chapter Four, it could be determined that compared with the traditional teaching approach, participants hold more positive attitudes towards the blended learning approach based on WCETP. In participants' view, WCETP is a powerful and useful Web-based learning platform, which could enable them to get access to substantial English learning materials, discuss with their peers online, contact with their teachers by e-mail, and self-assess their learning and monitor their progress. Compared with the traditional face-to-face learning model, participants prefer to this new blended learning model, which could better stimulate their interest, foster their autonomous learning and collaborative learning, and prompt their confidence.

What is more, the quantitative research with the comparisons of language learning achievement between the experimental group and the control group revealed that students performed better in language learning under the blended learning model than under the traditional learning model.

Meanwhile, the study offers some useful implications and recommendations for college English teaching reform.

### B. *Limitations of the Study*

The present study has the following limitations that might invite challenges.

1. One limitation is that small number of participants selected in this study and all of them are students majoring in Clinical Medicine in a medical university in eastern China, so whether the results of this study could represent general learners in China is doubtful.

2. Due to various constraints for both participants and the researcher, the duration of this study lasted only for one semester (three months), which may not be long enough for a new learning approach to be better implemented or testified or for the researcher to see the effects that could be made by the participants in this new learning environment. So if the experiment could last longer, it would be more convincing.

### C. *Pedagogical Implications*

The findings of this study have implications for both college English teachers and students.

Firstly, there is a great change in roles of both teachers and the learners in this blended learning approach. In the blended learning environment, teachers should not be the authority or center of learning but act as an organizer, developer, manager, administrator and a promoter to maximize the activeness, initiative and creativeness of students with the elements of contexts, collaboration and conversations to help students achieve the meaning construction of the knowledge they are learning.

Consequently, combining with the features of blended learning, students will become the planner (of his or her own learning), assessor (of self and others), evaluator of autonomous language learning, motivator (of self), administrator (of own learning), organizer (of own learning), advisor (to other learners) (Gardener & Miller, 1999).

Secondly, it is essential for teachers to help students foster learning autonomy. Following the most generally accepted definition of autonomy as "the ability to take charge of one's own directed learning" (Holec, 1981, p. 3), learners have to develop special skills for determining their own needs, goals, ways of learning and evaluation. It is not something people are born with—the learners have to be taught how to help themselves, and how to manage their own learning. Sinclair (1999) points out that without an explicit and conscious awareness of the processes involved in learning a language, learners would not be in a position to make informed decisions about their own learning. Therefore, cultivating learner's autonomy or independence should be regarded as the end goal teachers and educators pursue.

### D. *Recommendations for Future Research*

The findings of the study revealed a need for further research:

How to design and develop the modules of the Web-based Teaching Platform, that could be better utilized to provide virtual learning environment for assisting College English teaching and learning.

How to organize and manage online resources that can be integrated in existing college English Curriculum for effective autonomous learning and collaborative interaction to maximize students' English learning in the blended environment.

How to provide learning strategy training and constant technical support, that could help students be better accustomed to this new learning model.

The application of blended learning to the current language learning and teaching has been the mainstream of language education reform in China; thereby we should catch the good opportunity to make more in-depth research so

as to gain more fruitful achievements in China's foreign language education.

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# The Effect of Student Teams Achievement Division Technique on English Achievement of Iranian EFL Learners

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**Abstract**—An approach called Student Teams Achievement Division (STAD) has been developed based on Cooperative Learning (CL) tenets. STAD emphasizes having team goals and success dependent on the learning of all group members. The purpose of the present study was to investigate the effects of STAD on the English achievement of Iranian third grade junior high school students. 60 third grade junior high school students (consisting of 2 classes, experimental and control) were chosen. Before the intervention took place, they had studied 2 lessons (1 & 2) of third grade junior high school book (English III) in one and a half months. For a period of 2 months, in the experimental class the teacher with the help of the researcher implemented STAD technique, and in the control group the teacher used the same traditional method. Two lessons (3 & 4) were taught during these 2 months. The materials of this study consisted of 2 teacher-made English achievement tests, and a questionnaire measuring their learning style preferences. The data was analyzed using paired and independent *t* tests. The results showed that the difference between the 2 classes was significant, and the experimental group was superior to the control group in terms of English achievement.

**Index Terms**—student teams achievement division, cooperative learning, traditional method, English achievement

## I. INTRODUCTION

Cooperative Learning (CL) is an approach based on group learning activity that beholds learning attached to social interchange of information between learners and in which each learner is responsible for his or her own learning and is instigated to help boost achievement of others (Jonassen, 1991). It is regarded as one of the most important circles of theory, research, and practice in pedagogy. It is mentioned that CL is one of the best option for all students CL highlights vibrant communication of learners with dissimilar competences and capabilities (Ghaith, 2003). It is also believed this approach can facilitate highly acceptable results when it comes to student outcomes in academic improvement, social conducts, and affective maturity (Tsai, 1998). The significance of student-centered learning has also been highlighted in recent theories of L2 learning where peer collaboration is key in the learning process.

Student Teams Achievement Division (STAD) is a type of CL developed by Slavin and his colleagues. STAD is one of the most significant CL approaches, which has been influential in bringing about positive effects in multiple grades and subjects. There has, however, been little research on the effectiveness of STAD in English as a Foreign Language (EFL) environment.

Slavin (1995) enumerated three main concepts of STAD as team rewards, individual accountability, and equal opportunities for success. Team rewards are certificates or other awards which are given if a STAD group achieves higher than a predetermined level. In this way the spirit of positive competition is reinforced and all or none of the groups would be rewarded based on how they score. In terms of individual accountability the individual learning of each of the group members determines the success of the teams. Students tutor one another ensuring that all group members are ready for the quizzes that students take individually. As for equal opportunities for success individual improvement of the students specifies their contributions to the group. In this way it is guaranteed that all group members with different levels are equally motivated to do their best.

CL strategies like STAD are supported by a multiplicity of theories from a variety of academic disciplines including psychological theories of motivation, social cohesion, individual, and cognitive development as well as sociocultural theory, cognitive apprenticeship, and situated cognition (Slavin, 1995).

Slavin (1994, 1995) mentions four steps of STAD for implementation in the classroom. First, teaching in which the teacher introduces new material through a lecture, class discussion, or some form of a teacher presentation. Second, team study in which heterogeneous team members cooperate on worksheets designed to extend and help boost the material taught by the teacher. Third, tests are individual quizzes students take on the assigned materials. Teammates are not allowed to help one another during these quizzes. And finally team Recognition stage where quiz scores are juxtaposed to past averages; points are given based on improvement from past performance. High-scoring teams are awarded by gifts or putting their names on bulletin board or by granting certificates to them.

Newman (1982) stated that well-structured cooperative learning techniques like STAD can ensure that all group members participate in the learning process actively. STAD has taken into consideration one of the key components of any teaching method which is motivation. According to Slavin (1992), by rewarding top teams both intrinsic and extrinsic motivation are reinforced. Newman (1982) count group work as an essential teaching strategy and also an important learning style. In STAD students foster collaboration when they work together to achieve a common goal or solve problems. Also in STAD groups, students are given more opportunities to practice English in real-life situation.

STAD can be applied to a wide range of situations. According to Slavin (1994) although STAD is not a comprehensive teaching method it can administered to organize classes which can in turn precipitate the success of all students. The major principle behind this approach is that learners cooperate to learn and be held accountable with respect to their teammates and their own achievements.

Slavin (1995) considers STAD as one of the most researched of all the cooperative learning methods. According to him the median effect size for all the studies was  $+0.32$  on all tests and  $+0.21$  on standardized measures. Significantly higher achievement was gained for this method than for traditional instruction in 17 out of 22 studies of STAD in grades 3 through 12.

Karweit and Lavin (1981) applied this method in a ninth grade class and found significant improvement on performance of students in standardized tests. The importance of recognition of achievement of individual learners has been highlighted in the literature. An effect size of  $+0.32$  was reported when individual accountability was taken into consideration in STAD groups. When group goals and individual responsibility were not considered the effect size of just  $+0.07$  across 25 studies have been reported (Slavin, 1995). Bradshaw et al. (2003) juxtaposed traditional groups (lacking group goals and individual accountability) with STAD groups and came to the result that the STAD group performed significantly better. Madden and Slavin (1983) found significantly higher general self-esteem in STAD groups than in control groups. So self-esteem can be mentioned as an important psychological outcome of cooperative learning methods like STAD.

According to what has so far been mentioned, the following question was posed to be answered in this study: does STAD technique facilitate English achievement of Iranian EFL third grade junior high school students?

## II. METHODOLOGY

### A. Participants

The sample of this study consisted of 60 female third grade junior high school students in a private school in Isfahan, Iran. The researcher had access to female third graders. The sampling was done by chance. One class (30 students) was the experimental group and the other class (30 students) the control group. In the experimental group, STAD technique was used. In this class, the participants were divided into six heterogeneous groups. Each group had five students. Heterogeneous groups were selected according to the results of a Learning Style Preference Questionnaire and the grades of an English achievement test. Intervention in the experimental group was taken place one and a half months after the beginning of the semester.

### B. Instruments

Perceptual Learning Style Preference Questionnaire: In order to understand the learning style preferences of the participants for the purpose of heterogeneous grouping in the experimental group, a questionnaire from Reid (1990), which was translated into Persian, was given to the participants before the study. The original English version was translated into Persian by the researcher and crosschecked for content validity by two English teachers from junior high school. The result from this questionnaire was used as part of the criteria for heterogeneous grouping in the experimental group. The grouping strategy for the experimental group was that each group should have members of different learning styles, instead of putting the participants of the same learning style together in the same group.

English Achievement Tests: The last instruments included the two English achievement tests. The first examination tested the participants on the materials from Lesson One and Lesson Two of book III of junior high school. And, the content of the second examination covered Lesson Three and Lesson Four.

### C. Procedures

The teaching materials that the participants studied were from the junior high school textbook, Book III, for both groups. The instructional design presented in this section includes the teaching procedures in the control group and those in the experimental group. The teaching procedures and activities in the control group belonged to the traditional methods, which involved mainly the Grammar Translation Method (GTM) and some of the Audio-Lingual Method (ALM). In addition to the use of the GTM with a little ALM, the traditional teaching method in this study also included isolated learning context, as opposed to that of the CL in the experimental group.

Control Group: There were three major sections in the junior high school textbook, Book III: (1) vocabulary, (2) dialogue, and (3) sentence structure. The method of teaching each of the four components would be described in the subsequent sections:

Vocabulary: A typical way to start a new lesson in the textbook was by introducing the vocabulary first. The common way to introduce the vocabulary was to write the words on the blackboard and ask the participants to repeat.



Then, the teacher explained the parts of speech, grammatical functions, collocations, and word usage. The participants spent most of the class time listening to the teacher's analysis of the grammar, mostly in Persian, and sometimes practicing making sentences. Once in a while, two or three of the participants were assigned to answer some of the questions the teacher asked during her lecture.

**Dialogue:** As for the dialogue, the teacher explained the meaning of the content, first, in Persian, and then, asked the participants to repeat after her. Sometimes, they listened to the cassette and repeated after the tape for two or three times, as the ALM suggested. Then, two or more of the participants were randomly appointed to role-play the dialogue on the stage, while the rest of the class watched and listened to their performance. There were two or three pairs at most selected to practice the dialogue in front of the class during one class period. Most of the participants listened passively and quietly while the selected pairs were practicing on the stage.

**Sentence Structure:** The part on sentence structure was mainly taught through the explanation of grammatical terms translated into Persian. The sentence structure in each lesson was usually broken into discrete elements of grammatical function, such as nouns, the verb "to be," adjectives, gerunds, infinitives, pronouns, etc., and then the relationship between the grammatical elements was analyzed. In such a traditional learning context, the participants listened passively to their teacher's lecture without much student-student interaction for maximal practice of the L2.

**Experimental Group:** The experimental group consisted of one class of third grade students (30 students). The class was divided into six heterogeneous groups—each group having five participants. Heterogeneous groups were formed according to the results of a learning style preference questionnaire and the grades of the first achievement test. Each team was assigned a letter from A-G and asked to create a unique team name. Each team had their photos taken, and these photos were later used as team rewards, where they were publicly displayed whenever any teams achieved Super Team status (a team score of 25-30 points).

The participants studied English for two 90-minute classes each week, with both the English teacher and the researcher. The participants had completed lessons one and two of the textbooks in one and a half months before intervention took place. In the two-month period of the treatment, they completed the third and fourth lessons. A practice quiz was given in every session to each group containing about 20 questions (from the parts just learned). The participants were regularly reminded of how to work together in their groups and the importance of helping each other. Whenever possible, they were encouraged to engage in group processing at the end of the class so as to reflect on how well they worked together and how they could improve next time.

While working on the practice quizzes, the participants in the STAD groups were encouraged to work with a partner of a different level to teach and quiz each other. They were also allowed to work together as a whole team if they preferred. The most important thing was for them to ensure that all the participants in the group knew how to answer the questions. At the end of every two weeks, the participants were instructed to turn their desks to sit in rows and were given a quiz. At this stage, the participants were not allowed to help or speak to each other. After completion, the quizzes were graded by the researcher. The teams were given back their quizzes, and improvement and team scores were calculated. The teacher made an attempt to provide extra praise to the participants and the teams that showed improvement (particularly low performing participants and teams) to influence self-esteem and motivation. Immediately following the class, all Super Teams had their team photos displayed on the Super Team bulletin board till the next STAD quiz.

The major sections of the textbook (i.e., vocabulary, dialogue, and sentence structure were presented in the following details (step one):

**Vocabulary:** Vocabulary is usually taught through the five steps below (Nation, 2001):

**Pronunciation:** Pronunciation is the first step. Here all students must be involved in saying the word together a number of times. Even for difficult words separate syllables can be emphasized. **Explanation:** Here a link has to be made between the new lexical item and students' previous knowledge. **Example provision:** Students will usually need, at least, two or three examples of a new term to firmly grasp the meaning. It is an important that examples be drawn from tangible contexts. **Elaboration:** Students should be given chances to produce their visual representations and additional examples **Assessment:** Informal assessment should be included in the program.

**Dialogue:** The participants should have been ready for the conversation. They should have listened to the CD completely at home and checked the words. At first, the teacher asked them some questions related to the topic to raise interest or sometimes wrote a couple of questions in key words and asked the participants those questions. Then, they listened to the CD. From the picture prop of the conversation, they asked general questions, and some other participants answered. Then, the participants listened to the CD again and repeated the content. After that, they asked detailed questions about the conversation; other participants answered. The teacher wrote the conversation in key words on the board. Next, the participants practiced the conversation in twos or in groups. After that, volunteers said the conversation (with the help of key words). Then, they asked some questions about themselves related to the topic of the conversation from each other. For the next session, every two students made a new conversation about the same topic.

**Structure:** In teaching structure, it is important to show what the structure is, what it means, and how it is formed. For the warm-up, the teacher started with a previous related grammar topic, then he wrote a sentence on the board (related to the grammatical point) and read it out. The teacher clarified the topic through demonstration or dramatization (showing the meaning through a situation) or contrastive examples. After that, they had repetition, substitution, and

transformation. Then, the participants made sentences (sometimes in the form of questions and answers) and practiced with their partners. Next, they asked some communicative questions.

### III. DATA ANALYSIS AND RESULTS

The first comparison of English achievement was on the intragroup analysis in the experimental group. As shown in Table I the experimental group gained significant improvement in their L2 learning in terms of English achievement after the intervention of STAD for two months. As a contrast to the significant gain in the experimental group, there was no significant difference identified in the control group in terms of English achievement, as shown in Table I:

TABLE I.  
PAIRED SAMPLES TEST OF ENGLISH ACHIEVEMENT

Groups	Pretest	Posttest	n	MD	t	p
Experimental	14	16.55	30	2.55	5.766	.000
Control	14.15	13.96	30	.19	.416	.681

The independent samples test was performed to compare the intergroup difference in the students' English achievement. As Table II indicates, there was no significant difference between the two groups of students toward learning English in the pretest of the achievement tests. But there was a significant difference between the two groups in the posttest on their test results:

TABLE II.  
INDEPENDENT SAMPLES TEST OF ENGLISH ACHIEVEMENT

Tests	Experimental	Control	n	MD	t	p
Pre	14	14.15	30	.15	.182	.856
Post	16.55	13.96	30	2.58	3.400	.001

According to Table (4.2), the mean score of the pre test of the English achievement of the experimental group was 14, and that of the control group was 14.15. The mean difference between the two groups was not statistically significant ( $p = .8$ ). After the intervention of STAD for two months, the mean difference between the two groups in the post test was 2.58, as shown in Table (4.2), Such a mean difference was statistically significant ( $p = .001$ ).

In sum, the results of the intergroup and the intragroup comparisons of the English tests indicated that the experimental group gained significantly in terms of their achievement toward learning English as a foreign language.

### IV. DISCUSSION

The significant gains of the experimental group on the achievement tests supported Lave and Wenger (1990) in considering STAD a practice that can improve L2 learning. Due to the socially oriented lessons taught and learned through small group interaction, the participants in the experimental group were able to demonstrate significantly better English achievement than the control group.

The possible reasons to account for the significant gains in the experimental group could be synthesized into the following categories: 1) the expansion of engagement of students in the lesson through comprehensible input, interaction, and output, 2) the stimulating patterns of positive reinforcement, and 3) the complementary communicatory learning context. These three components of STAD seemed to contribute to the participants' academic achievement, as demonstrated in the results of this study.

Accomplishment of team-mates can have an effect on one's well-being so students become concerned with the common good. In the experimental group efforts were made to fulfill the tasks which can be attributed to characteristic value of liability to the shared objectives. It seems that students in the experimental groups had attained cooperative dexterities that encouraged them to advocate, expedite, and boost the achievement of others.

### V. CONCLUSION

Results of this study indicate that putting students in groups unreservedly may not be that helpful. The key concepts of CL are called for in which participants come to the insight to be effective contributors not only to their teams but also to the whole class. Heterogeneous classes are a major problem of EFL teachers in Iran. STAD views this heterogeneity as an opportunity by inspiring participants to learn from their more or less knowledgeable classmates. By promoting apprehension and acceptance of each and every individual member of the class social skills of the learners can also be improved.

Although students working in STAD groups had a significantly higher achievement compared to the students working in traditional methods it is not implied that participants should do everything in groups; individual work and whole class instruction have their righteous place in education. According to Johnson and Johnson (1994b) there are always students who choose to work alone. These students need to be instructed on communicative skills such as how to listen, help, and give opinion. In order to have successful teams participants need to get familiar to each other and try

to create the atmosphere of confidence, fair interaction, collegiality, and constructiveness amongst themselves (Johnson et al, 1995a).

This study was conducted for a period of just two months (about eight weeks) in an environment where the participants received English classes for just two 90-minute classes each week. This time frame may be acceptable for our purpose of research but it is definitely more helpful in case participants be allotted extensive programs using this approach e.g., application of STAD in a full academic year. Another solution is insertion of techniques like STAD into the whole educational curriculum (all subjects and not English alone) in order to make it more known to the stakeholders. If STAD is just implemented for English and in others subjects there would still be teacher-centeredness and destructive competition this technique would become much harder to be accepted.

Finally it is necessary for stakeholders to become familiar with the tenets of approaches like STAD before inserting it to the educational arena. During the course of this study the researcher and the teacher had cooperation to ensure its precise implementation. It goes without saying that provision of resources such as materials and complementary networks can facilitate stakeholders to make use of this approach in pedagogy. Especially in contexts such as Iran with rather nonflexible conventions there should be a call on the part of curriculum makers to be lenient enough for exerting these innovatory practices without which their programs are doomed to failure.

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# Tolkien's Fantasy World\*

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**Abstract**—*On Fairy Stories* is one of the most important works written by Tolkien to elucidate his theory on fantasy literature. He invented the words—"fairy stories" to show its difference from "fairy tales", which is the literary form mainly for children. This article examines the features of his fantasy and secondary world created by Tolkien.

**Index Terms**—Tolkien, fantasy world, *On Fairy Stories*, Secondary World

Tolkien's fantasy works--*The Lord of the Rings* has been wildly popular among readers since its first publication. In a 1997 survey conducted by British Television Channel Four and Waterstones', a prominent British bookseller, *The Lord of the Rings* was chosen as "the greatest book of the century" by British readers. At the same time, the criticism over the artistic values of Tolkien's works arose. One of the most common criticisms was that Tolkien's works was so idealistic that it would only cater to children and those who intended to escape from reality. The Australian feminist writer, Germaine Greer, wrote in Waterstone's own magazine that it had been her "nightmare" that readers would deem Tolkien as the "most influential writer of the twentieth century," and now, "the bad dream has materialized." (Greer, G, 1997, p. 6) She further sneers, "Novels don't come more fictional than that...The books that come from Tolkien's train are more or less what you would expect; flight from reality is their dominating characteristic." (Greer, G, 1997, p. 2)

In response to the criticism from these literary establishments, Rogers Sale defended on Tolkien's behalf. He stated Tolkien didn't "single-handedly transform public taste and publishing practice; but his work is so outstanding and his influence so conspicuous that his name stands first: Tolkien and twentieth-century fantasy, like Shakespeare and Elizabethan drama". (Sale, R, 1973, preface) The poet and literary critic W. H. Auden once declared of Tolkien's fairy stories, "If someone dislikes it, I shall never trust their literary judgment about anything again." (Auden, W.H, 1968, p. 45) No matter what the criticisms are, the very fact that Tolkien is one of the most influential writers in the twenty century and has great influence on those fantasy writers thereafter can not be denied.

## I. INTRODUCTION TO J. J. R. TOLKIEN

John Ronald Reuel Tolkien was born January 3, 1892 in South Africa. His mother moved him away from there when he was about three. His father died on February 15, 1896 when he was four in South Africa. Tolkien's mother converted to Catholicism in 1900, being a Protestant before. This influenced his writing and his stories took on a Catholic view. From an early age Tolkien had a love for languages and had a good knowledge of Middle English, Old English, Old Norse, Welsh and Finnish. In later life he started making one up called Quenya which he used in *The Lord of the Rings*. One of his first jobs was helping compile the New English Dictionary. He was also a famous philologist, whose academic career spanned 39 years. In 1920 he was appointed as Reader in English Language at Leeds University. He became the Rawlinson and Bosworth Professor of Anglo-Saxon at Oxford University in 1925, and held the prestigious Merton Professor of English position at Oxford from 1945 until his retirement in 1959. His first novel, *The Hobbit*, was published in 1937. His *Lord of the Rings* trilogy was published in 1954 and 1955. Tolkien led the way to change using transformational leadership. His books changed what people thought about fantasy literature. Tolkien died on September 2nd, 1973. His another fantasy works—*Silmarillion* was published posthumously by his son Christopher Tolkien. Tolkien's legacy still lives on in his books, which are loved by millions.

Tolkien thought of the *Silmarillion*, which focuses on good and evil, as his most important book. *Silmarillion* gives account of the First Age of Tolkien fantasy world though published after his death. Feanor, the most gifted of the Noldor creates the three Silmarils, in which he captures the light of the Two Trees of Valinor. Later the Trees are destroyed by Melkor, and the three jewels are stolen by him. He flees the Undying Lands, and entrenches himself in Angband. Against the will of the Valar, the Noldor return to Middle-earth, swearing to make war on Melkor until they recover the Silmarils.

In *The Hobbit*, Bilbo Baggins who is a comfort-loving and provincial guy is persuaded by the Wizard Gandalf to set out on an adventure of treasure recovery with the company of thirteen dwarves. On their road, they encounter trolls, goblins, wargs, and many other perils; but they are also helped by friendly creatures like Eagles, or Beorn. When wandering through a tunnel, Bilbo finds a golden ring and meets Gollum who wants to eat him. Bilbo outwits Gollum by riddle game and gets away with the Ring which will introduce the stories of *the Lord of the Rings* trilogy.

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*The Lord of the Rings* is a recounted story in the Second Age of the Middle Earth. The Elven smiths of Noldor are directed by the Dark Lord Sauron to forge three rings for elves, seven for Orcs and nine for human beings. Sauron creates the One Ring by filling his own power in it in order to rule the world. The Ring is so powerful that it could make the bearer invisible, immortal and corrupted. But the One Ring is taken from him by Isildur in the battle, and later lost in the River Anduin and recovered by a hobbit called Gollum. Eventually, he loses the Ring which, is found by Bilbo Baggins. Meanwhile, Sauron takes a new physical form and reoccupies his old realm. He sends his servants to seize the Ring. Frodo Baggins inherits the Ring from Bilbo, his cousin and guardian. Both are unaware of its origin, but Gandalf, a wizard and old friend of Bilbo, suspects the Ring's identity. When he becomes certain, he advises Frodo to take it away from the Shire. So Frodo sets out to the journey of Mount Doom to destroy the Ring.

## II. THE FAIRY STORIES DEFINED

Tolkien was referring here to his approach to the creation of fantasy stories. In 1938, years before the release of *The Lord of the Rings*, Tolkien delivered a lecture at the University of St. Andrews, which was later published under the title, *On Fairy Stories*. In it he addresses his own theories regarding the origin, the imagination and the functions of fairy stories. He also defines the fantasy on his part and invents the words “fairy story” in order to differentiate it from the term “fairy tale” applied to the traditional genre for children. According to *Oxford English Dictionary*, the “fairy tale” is defined as “a tale about fairies, or generally a fairy legend; with developed senses”. Tolkien believes that this definition is too narrow to make too much sense in actual usage. He also provides some examples to deny the idea that a fairy must be included in a traditional fairy tale. For Tolkien, fantastic elements are crucial to make up a good fairy story. He defines “fairy story” in his own way. “A ‘fairy-story’ is one which touches on or uses Faerie, whatever its own main purpose may be: satire, adventure, morality, fantasy. Faerie itself may perhaps most nearly be translated by Magic—but it is magic of a peculiar mood and power, at the furthest pole from the vulgar devices of the laborious, scientific, magician. There is one proviso: if there is any satire present in the tale, one thing must not be made fun of, the magic itself. That must in that story be taken seriously, neither laughed at nor explained away.” (Tolkien, J. R. R., 1966, p. 39)

As for Tolkien, fairy-stories are not necessarily stories about fairies, but “stories about Fairy, that is Faerie, the realm or state in which fairies have their being. Faerie contains many things besides elves and fays, and besides dwarfs, witches, trolls, giants, or dragons: it holds the sea, the sun, the moon, the sky; and the earth, and all things that are in it: tree and bird, water and stone, wine and bread, and ourselves, mortal men, when we are enchanted.” (Tolkien, J. R. R., 1966, p. 38)

Despite the great success of Tolkien's the Lord of the Rings trilogy among readers, the criticisms of juvenility have been targeted against Tolkien's books. The criticisms from the literary establishment decry his books as “prose of the nursery room...Winnie the Pooh posing as epic”. In response to these criticisms, Tolkien believes that they revealed an unfortunate, but all too common, ignorance of the true nature and value of fairy story. Unlike his critics, Tolkien believed that fairy-stories had many “permanent and fundamental things to talk about” and were of tremendous value to adults as well as to society as a whole. For him, fairy-story was one of the highest forms of literature, and quite erroneously associated with children. Tolkien believes that it is erroneous to associate “fairy stories” only with children and the genre is also inextricably linked with adults. As Tolkien points out, “the association of children and fairy stories is an accident of our domestic history. Fairy-stories have in the modern lettered world been relegated to the ‘nursery’, as shabby or old-fashioned furniture is relegated to the play-room, primarily because the adults do not want it, and do not mind if it is misused.” (Tolkien, J. R. R., 1966, p. 58)

He likens fairy-stories to a pot of soup into which mythology, romance, history, hagiography, folk tales, and literary creations have all been tossed together and left to simmer through the centuries. Each storyteller dips into this soup when writing or recounting magical tales—the best of which have slipped right back into the collective pot. Shakespeare added to the soup with *The Tempest* and *A Midsummer Night's Dream*, as did Chaucer, Mallory, Spenser, Pope, Milton, Blake, Keats, Yeats, and numerous other writers whose works were never intended for children.

## III. THE SECONDARY WORLD CREATED

Tolkien states that Fantasy is “the making or glimpsing of other worlds”. In his fantasy world, Tolkien intends to create by using human imagination a Secondary World, where the magic language is appropriated and the inner consistency of reality is achieved. According to Tolkien, this Secondary world is not imaginary and visional, but to some extent another Reality paralleled with the reality where people live. In regard to the creation of Secondary World in literature, Auden points out that people usually have two desires for their lives and literary creation, one is the desire to know the Truth of the real world they live and the other is the desire to create a Secondary World and share with others. (Auden, W. H., 1968, p. 112) The latter is usually reflected in the fantasy literature and in the subjectivity of the writer.

Tolkien posits that fairy stories are the magic of language which can be used to describe what doesn't exist when the language is used creatively.

“The human mind, endowed with the powers of generalization and abstraction, sees not only green-grass, discriminating it from other things (and finding it fair to look upon), but sees that it is green as well as being grass. But

how powerful, how stimulating to the very faculty that produced it, was the invention of the adjective: no spell or incantation in Faerie is more potent. And that is not surprising: such incantations might indeed be said to be only another view of adjectives, a part of speech in a mythical grammar. The mind that thought of light, heavy, grey, yellow, still, swift, also conceived of magic that would make heavy things light and able to fly, turn grey lead into yellow gold, and the still rock into swift water. If it could do the one, it could do the other; it inevitably did both. When we can take green from grass, blue from heaven, and red from blood, we have already an enchanter's power—upon one plane; and the desire to wield that power in the world external to our minds awakes.” (Tolkien, J. R. R., 1966, p. 48)

Sub-creation is an artistic act, usually literary, in which a person fashions a fictional setting in some way unlike the real world. This fictional setting, or Secondary World, may then be imaginatively entered by the reader. If the Secondary World is skillfully constructed, it will produce in the reader what Tolkien calls Secondary Belief. He also explains in that essay that a fantasy writer creates a Secondary World and thus you try to create Secondary Belief. Critics often speak of “the willing suspension of disbelief” --a term used to mean that a work is believable enough that a reader is willing to put aside any disbelief and enjoy the story for what it is. Tolkien thought the term was unhelpful. Rather, he says,

“What really happens is that the story-maker proves a successful ‘sub-creator’. He makes a Secondary World which your mind can enter. Inside it, what he relates is ‘true’: it accords with the laws of that world. You therefore believe it, while you are, as it were, inside. The moment disbelief arises, the spell is broken; the magic, or rather art, has failed. You are then out in the Primary World again, looking at the little abortive Secondary World from outside. If you are obliged, by kindness or circumstance, to stay. Then disbelief must be suspended (or stifled), otherwise listening and looking would become intolerable. (Tolkien, J. R. R., 1966, p. 60-61)

Fantasy writers usually create a Secondary World in their literature so that readers can enter and get themselves lost in it. When their minds and imaginations can let go of the world they know and become completely absorbed in the fantasy world. However, no matter how imaginative the secondary world is, it must be founded on universal principles of reason and logic in order to ensure a consistent, coherent, and credible reality. It must also contain certain elements, such as characters, settings, and themes, which are so easily recognizable that readers can navigate in the unfamiliar world.

Tolkien's Middle-Earth is a prime example of a believable secondary world. In order to make Middle-Earth consistent and credible, Tolkien invents maps, languages, folklore, and histories. There is a detailed explanation to the languages and the letters of the Middle-Earth in *The Hobbits*. The first chapter begins with a detailed description of hobbits in general and Bilbo Baggins in particular.

The names and phrases on Tolkien's maps usually remain readers of similar landscapes that have been seen before. In order to give comforting and familiar touches to a world which might otherwise seem too strange, remote, wild and frightening, Tolkien makes constant use of commonplace objects and activities. However, not all of the characters and objects that appear in *The Hobbit* are ordinary, and not everything that happens is normal – that is, according to this world's standards. Tolkien's stories, after all, are not merely fiction but high fantasy. Middle-Earth contains its own special brand of magic. There are characters who can wield the magic, such as Gandalf, or who are magical in essence, such as Beorn. Other characters are mythical creatures (dragons, goblins) or animals that exhibit human qualities (lordly eagles, evil spiders, wise thrushes). Some objects are also invested with magic and power. The trolls' purse squeaks when someone tries to steal it. Bilbo's ring can make the bearer invisible. All these demonstrate a fantasy world with a familiar touch and common objects and activities, but at the same time magic and marvel are introduced so that the imagination and interest are aroused among readers.

#### IV. THE FUNCTIONS OF FAIRY STORIES

Of the many functions of fairy-story, Tolkien believed that the most valuable was its ability to elucidate certain universal truths that are rarely seen clearly in everyday life. Tolkien wrote that fairy-stories contain in solution moral and religious truth, but not explicit, and reveal some aspects of truth “that can only be received in this mode.” For Tolkien, fairy stories can serve three purposes: escape, recovery and consolation.

According to Tolkien, “escape” is the main function of fairy stories, but nevertheless it is often misused by people. In people's mind, fantasy has often been accused of being escapist. In “*On Fairy Stories*”, Tolkien denies the claim that fantasy is ‘mere escapism’ and rhetorically asks,

“Why should a man be scorned, if, finding himself in prison, he tries to get out and go home? Of if, when he cannot do so, he thinks and talks about other topics than jailers and prison-walls? The world outside has not become less real because the prisoner cannot see it. In using escape this way, the critics who accuse fantasy of being escapist have chosen the wrong word, and, what's more, they are confusing, not always by sincere error, the Escape of the Prisoner' with ‘The Flight of the Deserter.’” (Tolkien, J. R. R., 1966, p. 79)

Twenty century sees a rapid development in mass production and scientific power and two great World Wars that shatter people's dreams and worldviews. It may say that World War I unfolds the modern age. At the same time, it also begins a process of disenchantment with the modernization. Tolkien witnesses the World Wars I and suffers from grief and loss of his friends. He takes a negative attitude toward the war and the industrialization, believing that they are the hostile forces of modern life. In response to the modern crisis, Tolkien feels the great need to create an alternative

reality because he thinks the modern reality is not realistic enough. Not only Tolkien, but other writers like Ursula LeGuin, William Golding, George Orwell, Aldous Huxley, J.K. Rowling, C.S. Lewis, or Kurt Vonnegut use their works as a fight-back to the modern crisis. No wonder Tom Shippey points out that “The dominant literary mode of the twentieth century has been the fantastic.” For Tolkien, fairy stories reflect the human desires to escape from pain, poverty, sorrow, injustice and death – into a homeland hospitable to the human mind, heart and imagination in order to be no longer “out of touch with the life of nature and of human nature as well” (Tolkien, J. R. R., 1964, p. 56)

Tolkien defines “recovery” as a regaining of a clear view. All along, fantasy finds its material in the primary world, only to enable us to see those elements “otherwise”. Viewing the world in this manner allows us to see the simple, most fundamental things in our world with a renewed vision. For Tolkien fairy stories had this ability to recapture the sacramental vision. “It was in fairy-stories that I first divined the potency of the words, and the wonder of things, such as stone, and wood, and iron; tree and grass; house and fire; bread and wine.” (Tolkien, J. R. R., 1966, p. 78) What Tolkien means is that we appropriate our world through language acquisition and familiarity, and we lose a sense of total participation in the natural world. Fantasy, by its subversiveness, allows us to view the world in a new and unfamiliar sacramental manner, as a reflection of the numinous. As Tolkien states, it allows us to view the world “freed from the drab blur of triteness or familiarity---from possessiveness.” (Tolkien, J. R. R., 1966, p. 75)

The world is revised or recovered in a sacramental manner. Fantasy offers certain consolations, which is the third area of concern for Tolkien “Fairy tales offer consolation from this world’s suffering through tapping into desires we have, such as the desire to visit far off places, ...to survey the depths of space and time. Another is ... to hold communion with living things.”

The main consolation is seen in all fairy tales: It is the happy ending. Tolkien calls this the “Eucatastrophe”, a word he invented, drawing on the word catastrophe (a sudden calamity or disaster) to mean a sudden, unexpected turn of events from sorry to happiness. When we experience a Eucatastrophe, we feel a deep, piercing joy. The gospels, according to Tolkien, are like a fairy story, marvelously artistic, yet true, not fictitious. The incarnation and resurrection are both Eucatastrophes.

In a letter to his son Christopher, Tolkien describes hearing a true story that had a happy, unexpected ending:

“I was deeply moved and had that peculiar emotion we all have – though not often. It is quite unlike any other sensation. And all of a sudden I realized what it was: the very thing that I have been trying to write about and explain – in that fairy-story essay that I so much wish you had read that I think I shall send it to you. For it I coined the word ‘eucatastrophe’: the sudden happy turn in a story which pierces you with a joy that brings tears (which I argued it is the highest function of fairy-stories to produce). And I was there led to the view that it produces its peculiar effect because it is a sudden glimpse of Truth, your whole nature chained in material cause and effect, the chain of death, feels a sudden relief as if a major limb out of joint had suddenly snapped back.” (Carpenter, Humphrey, 1981, p. 100)

Ding Di states in his Chinese translation of the Lord of the Rings in such a physically abundant post-modern world, people are still wandering mentally. So they have the impulse to mend the sky with their hands, which can not be realized through traditional literature and modern literature. (Tolkien, J. R. R., 2001, preface 7) It is out of this fact that Tolkien uses his imagination to create his own fantasy world.

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# Feminist Criticism of the Story of Homay Chehrzad's Kingdom in Shahnameh

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**Abstract**—Feminism is a movement for the defense of women's rights and eliminating racial discrimination of all kinds and also it causes the women to be present in community like men. The aim of this kind of critique is that women present a definition of their own state and save themselves from the dominance of men. Also, this critique engages in women's issues in literary texts and studies a literary work either in terms of its author's sex or female characters existing in that work. In this paper, we try to study the feminist critique of Homay Chehrzad Kingdom story in Shahnameh Ferdowsi in terms of female characters created in the story. The results of this study are obtained according to the content analysis. The conducted results show that although women have been respected in the story but there is still cases of oppression and humiliation of men towards them. On the other hand, existence of the second wave of feminism which emphasizes on the masculine traits and characteristics and examples of the third wave, which is the incidence of maternal sentiment, is evident in this story.

**Index Terms**—Ferdowsi, Shahnameh, Homay Chehrzad, feminism, feminist criticism

## I. INTRODUCTION

Feminism is a school which considers feminine characteristics superior to those of men, and introduces males as the factor blamed for the inferiority of women. Feminist criticism is a method which studies literary texts, its duty being the examination of how women are represented in literature (meqdadi, 1999, p. 554). Guerin argues that A feminist critique believes that previous criticisms should be revised since they have been based on the masculine views of affairs. It accredits literary criticism only if it includes feminine awareness (Guerin *al*, 2006, P. 243).

In this study, the story of Homay's reign, among others, is chosen for feminist criticism, introducing feminism briefly, then critiquing the story from a feminist point of view. A work is examined on the basis of the author, i.e. whether they are male or female, or the characters in feminist criticism. The story has been studied from the aspect of the female characters since the author is a man, deprived of a feminine written language. The anti-feminist cases in the text, first, have been mentioned then the ones in line with feminist ideas. Mehry Talkhabi's *Shahnameh and Feminism* is among one of the most important works in the field in which a feminist criticism of Shahnameh has been presented as well as feminist ideas, and a patriarchal and matriarchal government. It should be mentioned that the fifth chapter of Shahnameh, Khaleghi's version is the basis for the study.

## II. FEMINISM

Feminism is a French term which has been rendered in Persian as 'zangerayi' (womanism), denoting, in particular, to all the theoretical and practical activities done so far since the 19<sup>th</sup> century in European-American countries for the women's rights (rasekh, 2000, P. 108)

Feminist criticism tries to bring into spotlight the women who have played a key role in human life and its development, but who have been ignored in patriarchal literature (talkhabi, 2005, P. 90).

The pioneer in feminist criticism is Virginia Woolf who, in *A Room of One's Own*, attempted to disclose the cultural, economic, and educational inabilities of a patriarchal society which suppresses women's creative abilities. That is why the work is deemed as the point of departure for feminist criticism (emami, 1998, P. 285).

### Feminism History



Human Rights, a movement whose ideas included providing support for the inalienable rights of human beings, emerged since the 17<sup>th</sup> century. Until the 19<sup>th</sup> century most of its ideas revolved around the secondary view of women (tohidi, 2000, P. 82), after which new thoughts about the rights of humans, especially those of women, bringing a three-main-stage movement called 'Feminism' into the fore:

The first wave of feminist criticism was formed due to women's demand for economic, social, and political reforms, and their right to vote inspired by civil rights movements which considered men to be beings opposed to women, and males and family the factors responsible for all the calamities cast upon women (selden and videson, 1998, P. 257).

Focusing excessively on social and political participation, the second wave of feminism followed the extremism of the first in bringing up the issue of women's freedom, on the basis of which women were required to show manly traits in order to express themselves. As opposed to these movements, i.e. the first and the second one, an anti-feminist movement was formed with the aim of battling against the ones who believe the women should have masculine identity, insisting on women's traditional roles and the maternal sanctity. Feminism was criticized as a movement opposed to this holy role, leading to the fact that women felt the dominant feminism not representing their interests and demands. This, on the one hand, could pave the way for the advent of a range of feminists, and on the other hand, lead a part of feminism which puts the blame for its weak social status on the male verbal domination into trying to demolish male-oriented speech. This, in turn, raised the third feminist wave (moshirzadeh, 2002, Pp. 341-348) which tried to give women a dignity in harmony with their human nature bringing up the importance of motherhood and emotional behavior expression.

The three feminist waves, therefore, can be summarized as follows: the first waves believes in the equality of men and women, the second one is extremist, and have faith only in women, and the third totally denies the separation of men and women (meqdadi, 1999, P. 556).

### III. WOMEN'S ROLES IN SHAHNAMEH

Women in Shahnameh fall into two categories: the women who have not taken any responsibilities outside home, taking such roles as mothers, wives, etc., and the ones assuming responsibilities as queens, generalissimos, treasurers, nursemaids, etc (sarami, 1994, P. 835). into which Homay can be included.

In Shahnameh, essentially, the status and dignity of those women are valued who are in harmony with social norms, and who adhere to the faith and rites of the time criticizing, on the contrary, the ones whose thoughts and acts are in contrast to the society's natural course of affairs, and the those who break the norms and disagree with the moral and religious principles of society (mohazzab, 1995, Pp. 19-20).

As to the wives of the plutocrats and the kings in the historical era of Shahnameh to which Homay belongs, they enjoy perfect rights, while the women belonging to the other social classes, especially women within the community are deprived of opportunities having few rights (ibid, p. 17).

#### Homay in Shahnameh and Other Works

Homay is the name of the Kianian Queen. She was the daughter, wife, and the princess of Esfandiar's son, Bahman, who was put on the throne according to her father's will, promoting justice. Giving birth to a boy, she pretended that her baby was dead for fear of losing the throne, gave him to a nursemaid to be take care of, putting him and letting him go on the Euphrates River in a wooden box together with gold and ruby after he was eight months old. A washerman who had recently lost his child took the box out of the water to his house. He and his wife named the child Darab, meaning the one who has been taken from water. Darab grew up. He was fairly fond of riding and archery. The washerman used the jewels inside the box to raise him. Becoming a sturdy young man, he made his parents, i.e. the washerman and his wife, tell him who his real parents were.

Intimidated by Darab, the washerman's wife narrates the story of the box, making him prepare a sword, a shield, and a horse, at the service of the region's border guard. Invading Iran borders by Romans, Homay makes Reshnavad in charge of the army preparation. Darab joins the army as well. The battle brings victory for Iran by his valor. Reshnavad seeks the truth about Darab, discovers it in what the washerman and his wife reveal, and presents it to Homay who calls Darab to the court, puts him on the throne on a special day, and shows regret as to her past deeds (dabirsiyaqi, 1991, Pp. 54-57).

Homay's story has been narrated in such works as *Bondaheshn*, *DarabNameh*, *TarikheBal'ami*, *BahmanNameh*, etc. in different accounts, as well as in Shahnameh. For instance, "in *TarikheBal'ami* the same story has been cited with a little difference, in which Homay puts the baby in a coffin, and let it go on a river until it reaches a miller who fosters him. Homay, some years later, becomes aware of the fact and calls the miller, giving him presents" (rastgarfasayi, 1990, p. 375) or in *BahmanNameh*, in which Homay is portrayed as the king of Egypt's daughter and Bahman's wife. In *Creation and History* by Moghaddasi, the small difference with that of Shahnameh is that Homay gives the baby to a flock of seamen, but the ship sinks and the baby is the only one who survives. A washerman takes the baby out of water fostering him (ibid, p. 374).

### IV. FEMINIST CRITICISM OF THE STORY OF HOMAY CHEHRZAD'S KINGDOM

In the story of Hōmay's reign, which we are going to critique here, women's presence is stronger to the extent which the pivotal role is assumed by a woman since their role is a minor one in the literature of the past. It should be noted, that women are on focus and worthwhile sometimes, though humiliated and unfairly treated at other times in the story. In the feminist criticism of the story we are first to cite the misogynistic cases, then to mention the feminist ones critiquing them.

Women were refrained from education and participation in social and economic issues since they were considered inferior and the second sex in the ancient past. They had no will of their own, in a way that the decision on marriage was solely in the hands of a girl's parents, as is the case when Esfandiar's father, Bahman, marries his own daughter at will:

پدر در پذیرفتش از نیکویی      بر آن دین که خوانی همی پهلوی  
همای دل افروز تابنده ماه      چنان بد که آستن آمد ز شاه  
(فردوسی، 1386، 483)

Hōmay's father, Bahman, married Hōmay, because of her beauty on the basis of Pahlavi faith

Ironically, cute, pretty Hōmay got pregnant by the King (her father)

(ferdowsi, 2007, P. 483)

These lines, especially the first one, show that Bahman marries his own daughter for her beauty, but no word is seen as to Hōmay's consent or dissent. As it was mentioned, there are different accounts of Hōmay, some of which denote her dissent against marrying her father. Feminists think of men as beings against women, and consider them as the causes of the whole misfortunes cast upon women (pakniya and mardaha, 2009, P. 86). It is also cited in *Gender Dominance* that feminists considered paternal power and patriarchal system as the greatest factor for women's inferiority which might explain why Hōmay turns out to be Bahman's wife. According to what follows below, thus, Bahman's marrying Hōmay is a case of unfair treatment of a woman:

چنین گفت این پاک تن چهر زاد      به گیتی فراوان نبودست شاد  
(فردوسی، 1386، 483)

Bahman said that Hōmay the pretty had not been happy in her life (her life had not been successful)

(ferdowsi, 2007, P. 483)

Referring, also, to what comes in *DarabNameh*, Hōmay "felt nostalgic one night. The nursemaid turned her face saying 'Why do you look nostalgic?' 'My father injured me, removing the seal [between my legs]' said Hōmay, 'Nobody knows the secret affair but God. I'm afraid of conceiving a child since it's been a month I've not seen my menstruation. I fear people's sarcasm and intimidation. They might be suspicious saying how an unmarried girl can give birth to a boy (tarsusi, 1975, P. 10).' Hōmay, apparently, was forced to sleep with her own father, having no will and choice of her own. But as to her marrying her own father in *Shahnameh*, the marriage "is of an incestuous one to which grandees were inclined in order to retain race and remain pure" (hejazi, 1992, P. 214), something being practiced as a Pahlavi custom even if it were against a girl's will.

The humiliating attitude of the time toward women, and forcing them as to marriage, in particular, even caused some women in *Shahnameh* to consider themselves humble and a being dependent on men whom they thought as superior as well. The following lines attest this in which more stress is put on having a son. It is the father's death that brings humiliation to children, not the mother's:

که یزدان پسر داد و نشناختم      به آب فرات اندر انداختم  
به بازوش بر بستم این هم گهر      پسر خوار شد چون بمرشد پدر  
(فردوسی، 1386، 508)

God has granted me a son, and I did not appreciate him, letting him go on the Euphrates River, with a gem fastened on his arm. A boy is humiliated when his father dies

(ferdowsi, 2007, P. 508)

Also, "Crowning her son, Darab, Hōmay apologizes to him since she has refused him her motherly affection, letting him go alone on the water since his first months of life" (sarami, 1994, P. 695).

پدر مرده و شاه بی رای زن      جوانی و گنج آمد و رای زن  
که جز تخت هرگز میادت نشست      اگر بد کند زو مگیر آن به دست  
(فردوسی، 1386: 510)

Hōmay said to Darab "I was young and I had imperfect logic of women. The temptation for throne had deceived me. Your father had died, and the king had no counselor,

Do not blame me if I was wrong. Kingdom only deserves you"

(ferdowsi, 2007, P. 510)

Women were humiliated by men, and even by their own children as well as the humble attitude they had of themselves. Darab intimidates the washerman's wife by sword and humiliates her to tell the truth in spite of all the years of toil she had tolerated for his bringing up as a mother:

چنان بد که یک روز گازر برفت      به خانه سویی رود یازید و تفت  
در خانه را تنگ دارا بیست      بیامد به شمشیر یازید دست  
به زن گفت کژی و تاروی مجوی      هر آنچست بر رسم سخن راست گوی  
(همان: 510)

One day the washerman headed for the river.

Darab closed the door of the house tightly, took his sword,  
intimidating the washerman's wife into telling him the truth about his real parents.  
(ibid, p. 510)

The above lines show that the women of lower social ranks enjoyed lower esteem and were humiliated in this period according to the cultural set of the society. The same attitude is seen even in the royal court where court women enjoyed more esteem than those of the rest of the society. Bahman's son, Sasan, considers Hoday's reign shameful and leaves the country since he cannot stand her supremacy over himself:

چو ساسان شنید این سخن خیره شد      ز گفتار بهمن دلش تیره شد  
به سه روز و دو شب به سان پلنگ      از ایران به مرزی دگر شد ز ننگ  
(همان: 484)

When Bahman said that Hoday was the queen-to-be, Hoday's brother, Sasan, was sullen with his father's statement, leaving the country in three days in a rush.  
(ibid, p. 484)

It should be mentioned, however, that the feminist aspect of the event (Hoday's supremacy over Sasan for ruling the country) overarches the misogynistic one, i.e. humiliating women and considering their reign shameful.

According to the fact that the image of women, i.e. whether their roles are primary or secondary, is of great importance in feminist criticism, we face three female characters: the nursemaid, the washerman's wife, and Hoday. There can be seen no name of the nursemaid except in few lines. Washerwoman has no specific name and is present in the whole story under the same title, likely because she belongs to the ordinary women of the society, hence enjoying few rights compared to the royal ones and plutocrats. Her minor role in the story may be another reason for that. A name is, however, assigned to Hoday in spite of the fact that she is of plutocrats and plays the major role in the story.

Shahnameh's stories have taken place in different societies and eras, having different values as to, and attitudes toward women. Some women enjoy liberty and power, which indicates their high value and status, whereas those of non-plutocratic ranks have different lives, views, and values. While Ferdowsi deems women worthy of esteem, he also makes men superior in some cases (motamedi, 2009, P. 83) like the following line in which he equates having a son with happiness and goodness:

نهانی پسر زاد و با کس نگفت      همی داشت آن نیکویی در نهفت  
(فردوسی، 1386: 488)

Hoday gave birth to a boy in secret, hiding this happy event (having a son) from other people.  
(ferdowsi, 2007, P. 488)

Our purpose, here, is not to portray Ferdowsi as feminist or misogynist. Pessimistic views of women are not typical of the epic poem or Ferdowsi's will. Instead, it was the culture of the past which affected the way he saw women (sarami, 1994, p. 699). He, as a sage, a genius, and a liberal in a patriarchal society to which he had to adapt himself, would not have contained these women and the feminist view of them in Shahnameh if he had not had the liberty typical of him (talkhabi, 2005, P. 94).

The cases mentioned are mostly misogynistic, not being much in line with feminist aims, since feminism seeks equality between men and women, or in some cases the superiority of women over men. In contrast to feminist views, it has been seen, in the cases identified, that men are superior to women. Men have women under their control in most cases, and treat them however they like. Later in the paper, however, it has been attempted to deal with the lines in which feminist ideas are reflected.

In the feminist criticism of the story, Bahman's giving throne to Hoday while having a son, Sasan, indicates the preference of women over men, which is a feminist principle, as well as Bahman's intense love for Hoday. It is obvious that "feminism tries to change the humiliating views toward women in a way that all women find themselves not 'unimportant Others', but worthwhile human beings who have the same rights as men do. Feminists believe that women should have a definition of themselves, challenging for their right to express themselves in politics, society, education, and art" (bressler, 2007, P. 200), as it is the case with the following lines in which a woman's reign, the equal rights between men and women, and women's presence in politics and society are shown:

همای آمد و تاج بر سر نهاد      یکی راه و آیین دیگر نهاد  
سپه را همه سر به سر بار داد      در گنج بگشاد و دینار داد  
(فردوسی، 1386: 487)

Hoday changed the manner when she became the queen. She gave all the troops time to visit her, and granted them money and presents profusely  
(ferdowsi, 2007, P. 487)

This equality, of course, is seen in different places in the story:

سپر دم بدو تاج و تخت بلند      همان لشکر و گنج با ارجمند  
ولیعهد من او بود در جهان      همان کس کزو زاید اندر نهان  
اگر دختر آید برش گر پسر      ورا باشد این تاج و تخت و کمر  
(همان: 484-483)

Bahman said "I gave the throne to Hoday.

She is the queen after me, but the throne belongs to her future child, whether a boy or a girl".

(ibid, pp. 483-484)

In these lines the equality between men and women is perfectly evident since Bahman deems his children worthy of throne, whether male or female.

The second wave of feminism which entailed women to show manly traits and give up the feminine capabilities and emotions is seen in the story to the extent that giving up her motherly affection, Homay lets her baby go on the water and claims that he is dead:

چنان شاه شاخ برومند را	نهائي بدو داد فرزند را
چنين گفت کان پاك زاده بمرد	كسي كو ز فرزند او نام برد
همي بود بر تخت پيروز و شاد	همان تاج شاهي به سر بر نهاد

(همان: 488)

Homay gave Darab to a nursemaid in secret,  
telling everyone who asked him about her baby that he was dead.

Then she sat on the throne feeling happy and successful.

(ibid, p. 488)

Another case of this wave is to use manly tongue and demeanor by women, which is seen in some places in the story. The most prominent example of this language is Homay's tone in commanding as a queen which is totally manly and decisive, in a way that the reader of the lines assumes the commands to be given by a man if s/he knows nothing of the course of events beforehand:

دل بدسگالان ما كنده باد	كه اين تاج و اين تخت فرخنده باد
مبيناد كس رنج و تيمار ما!	همه نيکويي باد كردار ما
نيازش به رنج تن خویش بود	توانگر كنيم آنكه درویش بود
نداريم از آن نيکويها به رنج!	مهان جهان را كه دارند گنج

(همان: 488-478)

Homay told the gathering "Happy this ruling! May our enemies be defeated,  
our acts be all good, our harm inflict no one.

We will make the poor wealthy,  
and run not the well-off into trouble".

(ibid, pp. 478-488)

As to demeanor, Homay behaves like a man in some cases, and performs successfully the acts related to her ruling just as firmly as a man does, a sign of which is manifested where Homay steps out of the palace, stands at a place where troops march before her, and deals with the country affairs in a manly grandeur, competence and contrivance:

خود و مرزبانان پاكيزه راي	بيامد ز كاخ همايون هماي
تن و نام ديوانها بشمرد	بدان تا سپه پيش او بگذرد

(همان: 498)

Homay stepped out of the palace with her entourage,  
standing on a place so that the troops could march before her, and handle the country affairs.

(ibid, p. 498)

Given the above lines, we can see that in spite of the misogynistic view according to which "women are less logical and more sentimental they are, thus, made just for such domestic chores as caring for their husbands and children; therefore, drawing them to the social life arena and its management which require reason and decisiveness and making them away from their main responsibilities at home is against to the law of nature" (pakniya and mardih, 2009, P. 34), women, also, can enter into politics and efficiently and successfully handle the responsibilities. They even can overcome their emotions to such an extent that they can ignore motherly affections in order to achieve noble aims (e.g. ruling), just like the way Homay, setting aside her emotions, lets her baby go on the water.

But the feminist criticism of the story stresses the third wave, i.e. showing feminine emotions and capabilities as well as the second wave. All three female characters of the story possess motherly affection which has been depicted in different ways, such as the mother's affection as producing milk in her breasts, the affection of the washerman's wife to Darab realized in the attempts she makes to bring him up like a competent and sympathetic nurse, and the scene when Homay sees her son, in which profuse motherly affection exists:

ز پستان مادر ببالود شير	چو ديد آن بر و چهره ي دلپذير
(فردوسي، 1386: 498)	
سرشكش ز مژگان به رخ برچكيد	چو آن نامه برخواند و گوهر ببيد
(همان: 508)	
هماي آمد از دور و بردش نماز	چو آمد به نزديك ايوان فراز
فروريخت از ديده خون بر كنار	برافشانند آن گوهر شاهوار
ببوسيد و ببوسد رويش به چنگ	مرو را گرفتش در آغوش تنگ
(همان: 509)	
بيرورد چنان كه فرزند خویش	زن گازر او را چو پيوند خویش
(همان: 492)	

Seeing her handsome son after many years again, Hoday produced milk in her breasts because of the affection she felt as a mother.

(ferdowsi, 2007, P. 497)

Hoday burst into tears when she received the letter from Rashnavad (the commander of her army) together with the gem fastened on his son's arm.

(ibid, p. 508)

Hoday bowed before Darab when he came to the royal court. Throwing jewels on him, she was moved to bloody tears. She took him in her arms kissing.

(ibid, p. 509)

The washerman's wife loved and raised Darab as if he was her real child

(ibid, p. 492)

A woman knows better than a man how to love since God has placed love and affection in her very existence. The universe is run by affection as well because love is more efficient than hate (maknon and sanepoor, 1995, P. 12). A woman's job is to love, give hope, educate, tolerate, and be patient. In feminists' view showing motherly affection, also, is the best way for a woman's representation in the society.

There have been many authors producing significant works. Female writers, basically, have defended women's rights by nature whereas male authors have often humiliated them. Some men, however, have deemed them worthy of esteem though they have, sometimes, considered women inferior to men, among whom is Ferdowsi, who depicts many women possessing special ranks and status in *Shahnameh* though he displays some women as hateful.

*Shahnameh's* women are grouped into white, black, and grey ones in *Shahnameh and Feminism*. The first group contains women who defend and support their families and children, are at their husbands' service, and live the way the society expects of them. Black women are in contrast to the white ones, and represent evil. The last group, containing the most important women in *Shahnameh*, comprises the ones who are human more than they are women. They do not insult women's characters, and are true display of a woman; feminism, therefore, stresses them as much as it can (talkhabi, 2005, Pp. 103-104). Hoday, who is placed in the gray women's group "is a woman of excellence. She does not forget herself for the love of her son. She tries not to deceive herself because of her womanhood. She is frank with herself" (ibid, p. 207).

Ferdowsi, consciously, wisely, and decisively, considers women superior and worthy of praise. *Shahnameh's* women love the culture of their country. They are brave in expressing their thoughts and behaving the way in which they believe, are dedicated, loyal to their husbands, provident, aware, and thoughtful (kusakabe, 2003, P. 171) just like the way the washerman's wife is depicted with innocence and providence in the following lines:

سخن گفت هرگونه با کدخدای	چنان بد که روزی زن پاک رای
که باشد بدین دانشت رهنمون؟	که این گویان را چه سازی کنون؟
(فردوسی، 1386: 492)	
یکی پاک با شرم پر مایه ای	بیایورد آزاده تر دایه ای
(همان: 488)	

One day, the washerman's thoughtful wife told her husband "What are you going to do with these jewels? Whom are you going to ask for advice?"

(ferdowsi, 2007, P. 492)

Hoday ordered that an innocent, modest, and liberal nursemaid, one of a noble of family be responsible for raising her child.

(ibid, p. 488)

## V. CONCLUSION

In the feminist criticism of the story of Hoday, we encounter three female characters, i.e. Hoday, who is the main character and of plutocrats, the washerman's wife who is placed at low levels of the society, and the nursemaid whose presence is much vaguer than the other two.

In the story of Hoday's reign, in which the main role is given to a woman, Ferdowsi has placed men superior to women in some cases though he deeply respects women, the reason of which may be either the effect of the dominant culture of the society on him, or Ferdowsi's adherence to what has happened in narrating the course of events since the story belongs to the historic era of *Shahnameh*.

The second wave of feminism according to which women were required to give up their feminine capabilities, adopting masculine traits is fully represented in the central character of the story, Hoday, who casts her child off in order to maintain power. Some signs of the third wave – according to which motherly affection and feminine feelings are a need – can be seen at the end of the story, however, where Hoday visits Darab. As to the other characters, the third wave dominates, especially about the washerman's wife who fosters Darab like her own child.

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