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# On the Usage of Sinhalese Differential Object Markers Object Marker /*wa*/ vs. Object Marker /*ta*/

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**Abstract**—Previous studies (Aisen, 2003; Kanduboda, 2011) on Sinhalese language have suggested that direct objects (i.e., accusative marked nouns) in active sentences can be marked by two distinctive case markers. In some sentences, accusative nouns can be denoted by the accusative case marker /*wa*/. In other sentences, the same nouns can again be denoted by the dative case marker /*ta*/. However, the verbs required by these accusatives were not investigated in the previous studies. Thus, the present study further conducted an investigation to observe whether these two types of case markings can occur with the same verbs. A free productivity task was conducted with 100 Sinhalese native speakers living in Sri Lanka. A comparison study was carried out using sentences with the verbs accompanying /*wa*/ accusatives and /*ta*/ accusatives. The results showed that, verbs accompanied by /*wa*/ case marker and verbs accompanied by /*ta*/ case marker are incongruent. Thus, this study concluded that Sinhalese active sentences consisting of transitive verbs are broadly divided into two patterns; those which take only /*wa*/ accusatives and those which take only /*ta*/ accusatives.

**Index Terms**—Sinhalese language, active sentences, transitive verbs, /*wa*/ accusatives, /*ta*/ accusatives

## I. INTRODUCTION

Sinhalese (also referred to as Sinhala, Singhala and Singhalese, (Englebreton & Carol, 2005)) is one of the major languages spoken in Sri Lanka. The history of Sinhalese goes back to two thousand years ago and more (Herath, et al., 1994). Its word order is said to be in the form of subject (S) object (O) and verb (V) (Dissanayaka, 2007; Pallathara & Weihene, 1966). Sinhalese has two distinctive forms: the written form and the spoken form. These two forms differ noticeably in their core grammatical structures (Englebreton & Carol, 2005; Miyagishi, 2005). Subject-verb agreement, for instance, can be pointed out as a main difference between the spoken and the written forms. In the written form, the subject must agree with the verb in gender (male/ female), number (singular/ plural) and person (1<sup>st</sup>/ 2<sup>nd</sup>/ 3<sup>rd</sup>) in order to make a grammatically correct sentence. The spoken form, however, does not require subject-verb agreement in that only one form of the verb can be used for all gender, number and persons. For example, an English sentence ‘Nimal hit Kamal’ in Sinhalese can have different morphological inflections on the verb such as *nimal kamala-ta gehuwa* (spoken) and *nimal kamala-ta gehuweaya* (written). The spoken form is mostly used in daily life and other kind of casual communication, whereas the written form is used for official purposes such as materials written on news papers and other formal documents. While the spoken form is very flexible in various syntactic aspects, the written form involves many grammatical rules (Dissanayaka, 2007). Although Sinhalese distinguishes many features from Indo Aryan languages, it also possesses some common features shared by other languages. Animacy, for instance, has been reported as a salient category in Indo-Aryan languages, and it also plays an important role in Sinhalese syntactic and semantic categories (Carmen, 2006; Garland, 2006; Henderson, 2006). In addition, comparative studies on Sinhalese (Noguchi, 1984; Miyagishi, 2003, 2005) have also reported that animacy playing a rather salient and unique role from the phrase level to sentence level. Usage of postpositions, for example, is said to be influenced by the animacy involvement (Chandralal, 2010; Dissanayaka, 2007).

Although Sinhalese possesses many postpositions, not all the nouns can be accompanied with them. A case in point, in active sentences, if the direct object is an animate noun, it always accompanies a postpositional marker to denote the case despite the nature of verbs as in *kamal niila-ta gehuwa* [φNOM, anim [ACC, anim [V+PST]]] meaning ‘Kamal hit Niila’/ *kamal niila-wa edda* [φNOM, anim [ACC, anim [V+PST]]] meaning ‘Kamal pulled Niila’. However, if the same position (ACC) is replaced by an inanimate noun, it may be denoted by a postpositional marker depending on the verb; *kamal measaya gattha* [φNOM, anim [φACC, inam [V+PST]]] meaning ‘Kamal bought a table’ / *kamal measaya-ta gehuwa* [φNOM, anim [ACC, inam [V+PST]]] meaning ‘Kamal hit the table’. Accordingly, it is clear that the role of animacy is rather crucial in Sinhalese syntax. This study is focused on animate nouns which evidently have a complex usage with relation to case markings.

A previous study done by Aisen (2003), has proposed that Sinhalese is a language where a phenomenon called *DOM* (differential object markings) exists. According to this proposal, Sinhalese direct objects (i.e., animate nouns) can be marked by two different case markers to denote the accusative case. Although this study has proposed the usage of

differential case markings in Sinhalese, it has not given further evidence on the verbs accompanied with them. The examples in the previous paragraph are evidential for the fact that, although the same animate noun can be subjected to the afore mentioned phenomenon, it is possible that these markers are accompanied by different verbs. Therefore, this study investigated this complex usage of two case markers of the Sinhalese language in active sentences consisting of transitive verbs.

In the following sections, I shall start with a brief description about the Sinhalese sentences types and case markings. Previous studies (Dissanayaka, 2007; Gunasekara 1999) have provided different categorizations of Sinhalese sentences both in semantic and syntactic perspectives which evidently have provided ample evidence on many complexities of Sinhalese sentences. However, since this study is only focused on simple sentences in the active voice, this section will categorize Sinhalese active sentences into a rather simple and argument based categorization. It is assumed that the present categorization might mask the potential complexities in the syntax, though, is not a significant factor for the later discussion. In addition, this section will also provide detailed information on the usage of case markers. Section 3 will discuss the nature of the *DOM* (*Differential Object Markings*) phenomenon with its uniqueness in the Sinhalese language in relation to the animacy involvement. Section 4 will deal with the data obtained from the native Sinhalese speakers and further categorize the verbs used in /wa/ and /ta/ accusatives. Finally, section 5 will provide an overall view of the *DOM* phenomenon in the Sinhalese language.

## II. SENTENCE TYPES AND NOUN PHRASE CASES IN SINHALESE

### A. Sentence Categorization and Syntactic Structure

As any other language in the world, Sinhalese also comprises different categories to mark different parts of the language such as nouns, verbs, sentences, etc. According to Gunasekara (1999), Sinhalese nouns are classified into two principle classes as *common nouns* and *proper nouns*, whereas, verbs are also classified into two principle classes; *transitive verbs* and *intransitive verbs*. Sentences, on the other hand, are divided into six kinds; *Simple Sentences*, *Complex Sentences*, *Contracted Sentences*, *Collateral Sentences*, *Compound Sentences* and *Elliptical Sentences*. This categorization involves both semantic and syntactic aspects in wide range. This study however, is focused only on the *simple sentences* in the active voice. Although Gunasekara (1999) has divided verbs into two basic classes (transitive and intransitive), this paper assumes that there should be another class to classify these verbs as analyzed below. Taking a view based on the predicate and its arguments Carnie (2007) has categorized sentences in terms of noun phrases (NPs) and prepositional phrases (PPs) for English. Although Sinhalese does not share the identical phrases as such in English, it is assumed that the same categorization can also be applied. According to this categorization, verbs in active sentences can be categorized into three patterns which in turn includes the two types mentioned in Gunasekara (1999) and one extra (*the ditransitive verbs*). Consider the examples below.

1) කපිල හිනාවුනා.

kapila hinawuna

Kapila (φNOM, anim) Smile (V + PAST)

Kapila smiled.

2) කපිල අමරව ඇද්ද.

kapila amara-wa edda

Kapila (φNOM, anim) Amara (ACC, anim) pull (V + PAST)

Kapila pulled Amara.

3) කපිල අමරට පොත දුන්න.

kapila amara-ta pota dunna

Kapila (φNOM, anim) Amara (DAT, anim) book (φACC, inam) give (V + PAST)

Kapila Gave the book to Amara.

The counterpart of English prepositional phrases in Sinhalese is postpositional phrases (Dissanayaka, 2007). Examples 1), 2), and 3) are active sentences. Example 1) is an active sentence consisting of an intransitive verb. The verb ‘smiled (*hinawuna*)’ requires only one obligatory argument *kapila* [<sub>NP</sub> φNOM]. 2) Exemplifies an active sentence consisting of a transitive verb where two obligatory arguments are required. The verb ‘pulled (*edda*)’ in Sinhalese language requires two NPs as agent *kapila* and patient *amara* [φNOM and ACC]. Finally, the active sentence in 3) exemplifies a ditransitive verb which in turn requires three arguments. The verb ‘gave (*dunna*)’ in Sinhalese language requires three NP arguments. First, the agent *kapila* [φNOM] precedes the patient *amara-ta* [DAT]. Then the theme *pota* [φACC] is placed before the verb *dunna*. These three types constitute three different hierarchical structures as illustrated in figure 1, 2 and 3.

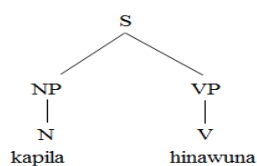


Figure 1. active sentence consisting of an intransitive verb

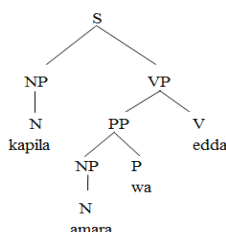


Figure 2. active sentence consisting of a transitive verb

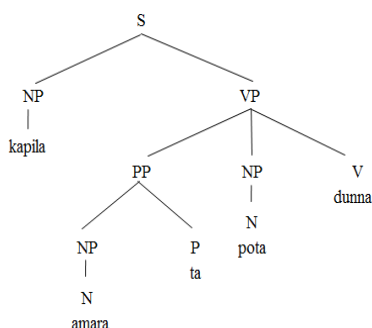


Figure 3. active sentence consisting of a ditransitive verb

### B. Noun Phrase Cases in Sinhalese

Sinhalese has a set of words called postpositions which are divided into eight different classes namely, case particles, predicate particles, highlighting particles, conjunctive particles, discourse particles, interrogative particles, quotative particles, and negative particles (Chandralal, 2010). It is assumed that these eight categories are based on either syntactic (e.g., case particles, predicate particles etc.) or semantic functions (discourse particles, negative particles etc.). However, this study divides Sinhalese postpositions into four main categories; case markers, case inflections, articles and particles. Sinhalese noun phrases are marked by two different parts; case markers or case inflections. Case markers are suffixes (as exemplified in 5) whereas case inflections are infixes (as exemplified in 6). Example 5 indicates a usage of case marker *-wa* (*samara-wa*), while example 6 indicates a usage of an inflectional marker *-ee* (*thappaya + ee = thappayee*). Accordingly, the main difference between case markers and case inflection is whether the case marked noun undergoes a morphological inflection or not. However, despite the morphological difference, both case markers and case inflections are used to denote the case in Sinhalese. Articles, on the other hand, support to define a given noun into definite or indefinite categories. The rest I categorize as particles. It should be noted that postpositions (as the name itself suggests) occur only at the end of nouns (either inside the NP as a morphological inflection or outside the NP). This study focuses on the usage of Sinhalese case markings. Sinhalese basically marks seven noun phrases; nominative (NOM), accusative (ACC), dative (DAT), genitive (GEN), locative (LOC), instrumental (INSTL) and ablative (ABL) (Garland, 2006). However, not all of them are accompanied with a case marker or case inflection to denote the properties (Noguchi, 1984).

4) තාපය කඩාවැටුණා.

thaapaya kadaawetunaa

wall (φNOM, inam) collapsed (V + PAST)

The wall collapsed.

Example 4) illustrates an active sentence consisting of an intransitive verb 'collapsed (*kadaawetuna*)'. The syntactic structure [<sub>NP</sub> φNOM, inam [<sub>VP</sub> V+PAST]] indicates that the nominative element is empty (φNOM). In other words, the nominate case is not denoted by a case marker or an inflectional marker. Recall that, example 1) also carries the identical structure of [<sub>NP</sub> φNOM, anim [<sub>VP</sub> V+PAST]]. Despite animacy (as a factor), both sentences show similarity of empty nominative case in active sentences consisting of intransitive verbs. Note that all the examples from 5) to 10) are

congruent in this regard. The nominative NP is not denoted by a case marker or an inflectional marker. Thus, it is evidential that active sentences consisting of either transitive or intransitive verbs in Sinhalese mark the nominative NP as empty despite the noun properties (namely, animate or inanimate).

5) අමර සමරට තල්ලුකරා.

amara samara-wa thallukara

Amara (φNOM, anim) Samara (ACC, anim) push (V + PAST)

Amara pushed Samara.

6) වාහනය තාප්පයේ ගැසුණා.

wahanaya thappaye hepuna

vehicle (φNOM, anim) wall (LOC, inam) hit (V + PAST)

The vehicle hit the wall.

The accusative marked noun ‘Samara’ in example 5) is denoted by the case marker /wa/, while in 6) the locative marked noun ‘wall’ is accompanied by an inflectional marker *-ee* (*thappaya + ee = thappayee*). Example 7) illustrates the usage of the dative case marker /ta/ with the noun ‘Amara’, while in example 8) the genitive case marker /ge/ is placed soon after the genitive noun ‘Niila’. Finally, in example 9) the instrumental noun ‘pencil’ is marked by an inflectional marker *-en* (*pensala + en = pensalen*), while in 10) the ablative marked noun ‘Samara’ is accompanied by the ablative marker *-gen*.

7) කපිල අමරට නිලව පෙන්වුවා.

kapila amara-ta niila-wa pennuwa

Kapila (φNOM, anim) Amara (DAT, anim) Niila (ACC, anim) show (V + PAST)

Kapila showed Niila to Amara.

8) නිලගෙ ලමය ගෙදර ආව.

niila-ge lamaya gedara aawa

Niila (GEN, anim) child (φNOM, anim) home (φACC, inam) come (V + PAST)

Niila's child came home.

9) ලමයා පැන්සලෙන් අකුරු ලිව්වා.

lamaya pensalen akuru liwwa

child (φNOM, anim) pencil (φINST, inam) letters (φACC, inam) write (V + PAST)

The child wrote letter with pencil.

10) අමර සමරගෙන් ඇත්වුණා.

amara samara-gen eethwuna

Amara (φNOM, anim) Samara (ABL, anim) apart (V + PAST)

Amara apated Samara.

There are two major points on the Sinhalese case markings. One, it is evidential that noun phrase cases are not only marked by case markers (suffixes), but also by case inflections (infixes). Second, as previous studies also suggest (Miyagishi 2003; Noguchi, 1984) the nominative NP is always marked empty regardless of the animacy (animate or inanimate). Furthermore, there is also another different usage of case markers especially where animacy is factored. The next section will elaborate this usage in-depth.

### III. DUAL NATURE OF DOM PHENOMENON

The previous section explained that the Sinhalese dative marked nouns are denoted by the case marker /ta/. However, according to some studies (Miyagishi, 2003, 2005; Noguchi, 1984), the dative /ta/ is not used only to mark the dative element in the Sinhalese sentences. It also has another usage in active sentences consisting of transitive verbs. Consider the examples below.

11) අමර සමරට ගැසුව.

amara samara-ta gehuwa

Amara (φNOM, anim) Samara (ACC, anim) hit (V + PAST)

Amara hit Samara.

## 12) අමර සමරට බැන්න.

amara samara-ta benna

Amara (φNOM, anim) Samara (ACC, anim) scold (V + PAST)

Amara scolded Samara.

Both 11) and 12) are active sentences consisting of transitive verbs. The syntactic structures of both sentences are identical [<sub>NP</sub> φNOM [<sub>VP</sub> ACC [V+PAST]]]. It is evident that the usage of dative case marker /ta/ is somewhat different from the /ta/ mentioned in the previous section. That is, /ta/ is used to denote the dative elements (in active sentences consisting of ditransitive verbs as exemplified in 7). However, here /ta/ is also used to denote the accusative elements in the same regard, which in turn suggest that the Sinhalese language possesses two different markers to denote accusative cases (/wa/ and /ta/). A previous study conducted by Aisen (2003) proposes that Sinhalese is a language where *DOM* (*Differential Object Marking*) can be noticeable in active sentences. For example, the accusative marked nouns (i.e., direct objects) in active sentences consisting of transitive verbs can have two different case markers depending on the animacy of given nouns. On one hand, accusative marked nouns (only animate objects) can be denoted by the accusative case marker /wa/. On the other hand, the same nouns can also be denoted by the dative case marker /ta/ (compare example 5 and 11).

The *DOM* phenomenon in Sinhalese is unique in three aspects. First, it can only be seen in active sentences consisting of transitive verbs. Note that in the other two types mentioned in section 2.1 (active sentences consisting either intransitive or ditransitive verbs), we do not see this phenomenon. In active sentences consisting of intransitive verbs usually do not accompany case markers as only one argument is required (φNOM-V), while active sentences consisting of ditransitive verbs always require three arguments (φNOM-DAT-ACC-V). Second, the phenomenon can be seen only with the accusative marked nouns (i.e., accusative cases), but not with any other cases mentioned in the previous section. Third, the phenomenon only exists in sentences where an animate noun is placed in the accusative position. It should be noted that, when an inanimate noun is used in the accusative position, only /ta/ is used as a case marker (e.g., 13). If /wa/ is used after inanimate accusative noun, the sentence is considered grammatically ill-formed as depicted in 14).

## 13) අමර මේසයට ගැහුව.

amara measaya-ta gehuwa

Amara (φNOM, anim) table (ACC, inam) hit (V + PAST)

Amara hit the table.

## 14) \*අමර මේසයට තල්ලුකරා.

amara measaya-wa thallukara

Amara (φNOM, anim) measaya (ACC, inam) push (V + PAST)

Amara pushed the table.

Example 14) is derived from example 5). Besides animacy, both 13) and 14) fundamentally carry the identical structure of [<sub>NP</sub> φNOM [<sub>VP</sub> ACC [V+PAST]]]. However, 14) is considered grammatically ill-formed since /wa/ is placed after the inanimate accusative marked noun. In Sinhalese, these nouns are used with either /ta/; *amara measaya-ta gehuwa* [<sub>NP</sub> φNOM, anim [<sub>VP</sub> ACC, inam [V+PAST]]] ‘Amara hit the table’ or, without a case marker; *amara measaya thallukara* [<sub>NP</sub> φNOM, anim [<sub>VP</sub> φACC, inam [V+PAST]]] ‘Amara pushed the table’.

## IV. /WA/ ACCUSATIVES VS. /TA/ ACCUSATIVES IN SINHALESE

Since the *DOM* suggests Sinhalese has two different markers to denote the accusative nouns, it is assumed that accusative cases in Sinhalese can be divided into two types; /wa/ accusatives and /ta/ accusatives. Thus, these accusatives may accompany different verbs. Therefore, this study conducted a survey in order to investigate whether the verbs are identical in both patterns.

## A. Data Collection

The data was collected from 100 high school students (57 females and 43 males) staying in Colombo, Sri Lanka (average age been 16 years and 3 months). A free productivity task<sup>1</sup> was done to collect the data. Participants were asked to write 20 active sentences consisting of transitive verbs using /wa/ and /ta/ case markers (10 of each). Overall, 2000 sentences (1000 each) were collected.

<sup>1</sup> In this task, the participants were asked to write active sentences consisting of transitive verbs, thus the sentences were in the form of Subject+ Object+ Verb.

## B. Analysis and Results

Sentences in both accusative types were analyzed separately. All the verbs used in /*wa*/ accusatives and /*ta*/ accusatives are presented in appendixes A, B, C, and D (not that English gloss is presented in the present tense, whilst Sinhalese is presented in the past tense). These appendixes are organized according to the descending order of the occurring frequency. Number of verbs and their occurring frequency is presented in table 1.

Table 1. Number of verbs and the occurring frequency

	/wa/ accusatives	Frequency	/ta/ accusatives	Frequency
Simple verbs	16	0.37	13	0.35
Compound verbs	30	0.50	25	0.54
Extra verbs	5	0.13	5	0.11
Total	71	1.00	43	1.00

Note: \* Frequency shows the usage percentage of the verbs

The analysis showed that verbs used in both patterns are not identical (despite extra 5 verbs). A total of 46 different verbs were found in /*wa*/ accusatives, whereas, /*ta*/ accusatives were used with a total of 38 verbs. Both patterns showed to have two basic types of verbs; simple verbs and compound verbs as shown in table 1. In the sentences where /*wa*/ accusatives are accompanied with verbs, there were 16 simple verbs; whilst in the sentences where /*ta*/ accusatives are accompanied had only 13 simple verbs. Compound verbs, on the other hand, again subcategorized into different types according to the root verbs. However, both accusatives had same number of compound verb types (10 each), /*wa*/ accusatives; *gattha*, *kala*, *giya*, *geawa*, *gehuwa*, *heriya*, *benda*, *keawa*, *keawa*, *dunna*, *demma*: /*ta*/ accusatives; *kala*, *gehuwa*, *pethuwa*, *thibba*, *dunna*, *kiwwa*, *desuwa*, *benda*, *beawa*, *elluwa*. Gunasekara (1999) has given two basic categorizations for the Sinhalese compound verbs; those which composed of Elu words (verbs of Sinhalese origin) only & those made up by imported words and an Elu word (the more extensive class). The compound verb types found in the present study included both classes. Previous studies (Englebreton & Carol, 2005; Gunasekara, 1999) also suggest that Sinhalese verb morphology is complex, in that it consists of a number of inflectional classes. According to Dissanayaka (2008), Sinhalese verbs have four kinds of morphological inflections; ‘*a*’ type [□], ‘*i*’ type [i], ‘*e*’ type [e], and ‘*exclusive*’ type which the rest of all are included. In written Sinhalese, verbs usually undergo morphological inflections for tense, person, number and voice. However, this study is conducted with the spoken form of Sinhalese language. As mentioned in the introduction, the morphological inflections of the spoken form of verbs are less distinctive since the same form of a verb can be used for the number, person and gender. Nevertheless, all the verbs used in the present study were in the past tense. Thus, they all belong to the first type inflections ‘*a*’ (i.e., *kal* + *a* = *kala*, *kiw* + *a* = *kiwwa*, *dun* + *a* = *dunna* etc).

### 1. Cluster classification on the usage

Since different types of verbs were involved in both accusatives, a cluster analysis was conducted using dendrograms. Figure 4 represents 3 clusters for the simple verbs used with /*ta*/ accusatives (a total of 13 verbs). According to the descending order of the usage, cluster 3 shows 17.20% usage, whilst cluster 2 shows 12.80% usage. Finally, cluster 1 shows 4.80% usage. Based on this result, verbs in cluster 3, 2 and 1 can be considered the high (3 verbs), middle (6 verbs) and low (4 verbs) usage with /*ta*/ accusatives. Also figure 4.1 represents 3 clusters for the compound verbs used with /*ta*/ accusatives (a total of 25 verbs). According to the descending order of the usage, cluster 3 shows 24.70% usage, whilst cluster 1 shows 16.60% usage. Finally, cluster 2 shows 13.10% usage. Based on this result, verbs in cluster 3, 1 and 2 can be considered the high (9 verbs), middle (13 verbs) and low (3 verbs) usage with /*ta*/ accusatives.

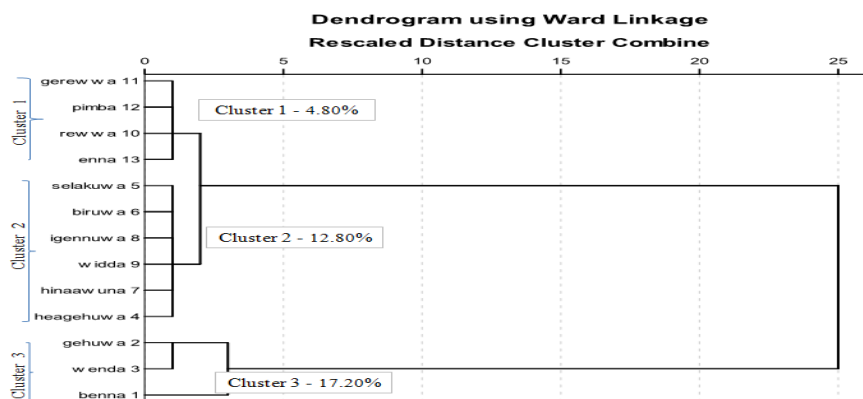


Fig 4. Dendrogram predicted by cluster analysis for the simple verbs used with /*ta*/ accusatives



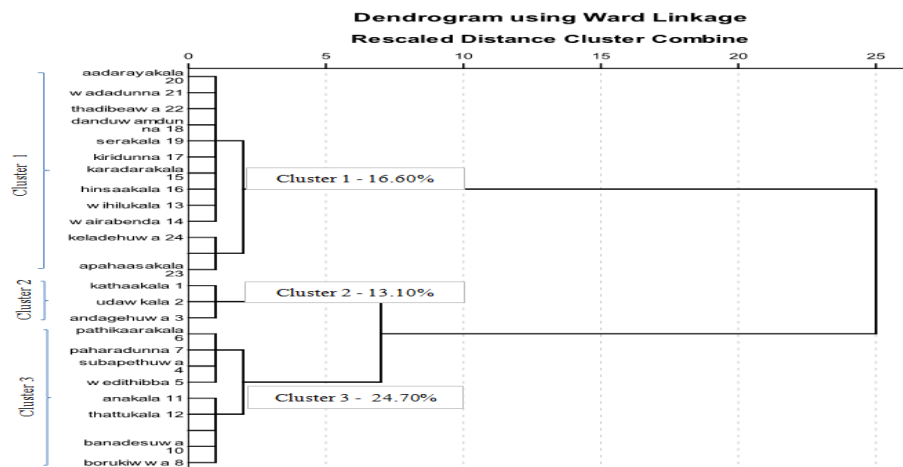


Fig 4.1 Dendrogram predicted by cluster analysis for the compound verbs used with /ta/ accusatives

Following, figure 5 represents 3 clusters for the simple verbs used with /wa/ accusatives (a total of 16 verbs). According to the descending order of the usage, cluster 3 shows 23.30% usage, whilst cluster 2 shows 10.30% usage. Finally, cluster 1 shows 3.30% usage. Based on this result, verbs in cluster 3, 2 and 1 can be considered the high (6 verbs), middle (5 verbs) and low (5 verbs) usage with /wa/ accusatives.

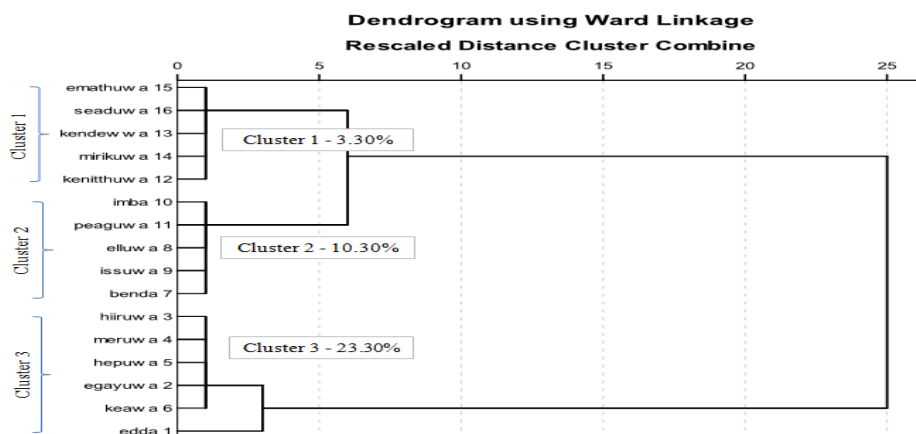


Fig 5. Dendrogram predicted by cluster analysis for the simple verbs used with /wa/ accusatives

Lastly, figure 5.1 represents 4 clusters for the compound verbs used with /wa/ accusatives (a total of 30 verbs). The descending order according to the usage is, cluster 4 (18.40% usage), cluster 2 (16.60% usage), cluster 3 (12.20% usage) and cluster 4 (2.80% usage). Based on this result, verbs in cluster 4, 3, 2 and 1 can be considered as the high (5 verbs), middle (13 verbs), lower middle (6 verbs), and low (6 verbs) usage with /wa/ accusatives.

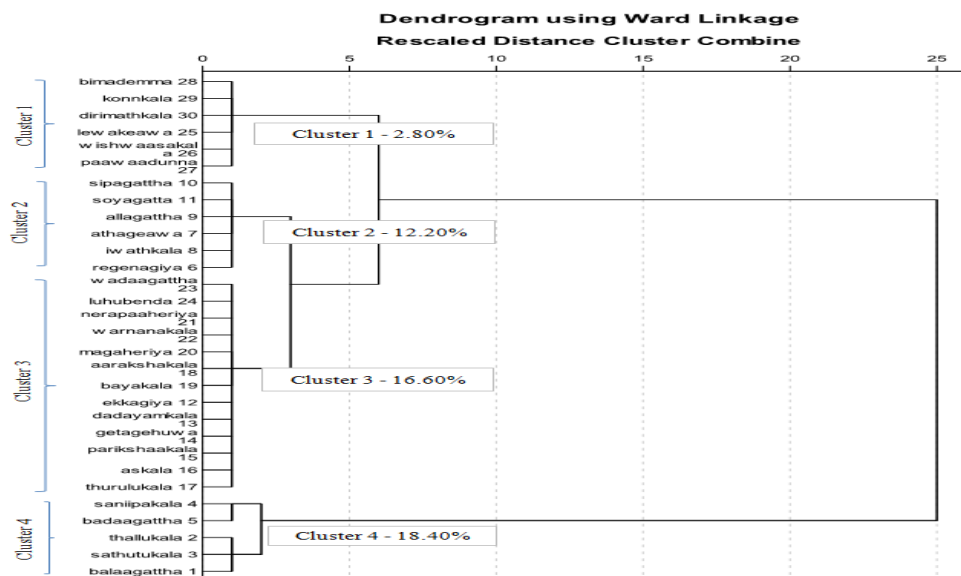


Fig 5.1 Dendrogram predicted by cluster analysis for the compound verbs used with /wa/ accusatives

Note that, all the verbs classified into clusters do not always match with the descending order of the usage. Furthermore, both /wa/ and /ta/ accusatives consisted of some compound verbs where the root verbs are identical, in that 4 root verbs happen to occur in both patterns. For example, *gehuwa* as in *sunil kamal-ta andagehuwa* (Sunil called Kamal) versus *sunil kamal-wa pelagehuwa* (Sunil lined Kamal), *kalaa* as in *sunil kamal-ta kathaakala* (Sunil summoned Kamal) versus *sunil kamal-wa konkala* (Sunil ignored Kamal), *dunna* as in *sunil kamal-ta athadunna* (Sunil helped Kamal) versus *sunil kamal-wa adunnaladunna* (Sunil introduced Kamal) and *benda* as in *sunil kamal-wa benda* (Sunil tied Kamal) versus *sunil kamal-ta wairabenda* (Sunil hated Kamal). Note that although these root verbs are identical, when they are used with additional parts (nouns or adjectives) these verbs vary in meaning, and are considered not a significant factor to be considered in the same class.

The present analysis showed that Sinhalese active sentences consisting of transitive verbs can be categorized into two classes; verbs accompany case marker /wa/ and verbs accompany the case marker /ta/ in order to denote the accusative case in the same regard. Furthermore, according to the verbs used in the production task, the traditional accusative marker /wa/ showed rather high usage compared to the traditional dative marker /ta/. However, there were some five exceptional verbs which being used in both accusative types. One simple verb (-wa /ta ridduwa root meaning of 'hurt') and four compound verbs (-wa/ta tharawatukala root meaning of 'reprimand', -wa/ta thuwaalakala root meaning of 'hurt', -wa/ta dashtakala root meaning of 'bit', -wa/ta pashanshakala root meaning of 'praise') showed complexity in the usage by native speakers. These verbs may need further investigation in order to clarify the hidden significance of the usage.

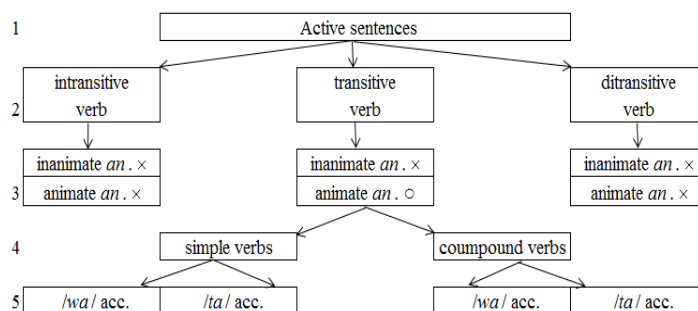
## V. CONCLUSION

The present study conducted a survey analysis on the usage of two case markers in Sinhalese sentences; accusative /wa/ and dative /ta/. According to Aisen, (2003) and Kanduboda, (2011), Sinhalese is a language with *differential object markings*, meaning that the accusative nouns in the active sentences can have two different markers (/wa/ or /ta/), on the condition of animate nouns. However, the verbs were not taken into account in the previous studies. Although the same accusative noun (i.e., direct object) can take two different markers, the accompanying verbs can be different. Therefore, an investigation was conducted to observe whether /wa/ accusatives and /ta/ accusatives are accompanied by identical verbs.

In this study, Sinhalese active sentences were categorized into three types; active sentences consisting of intransitive verbs, active sentences consisting of transitive verbs and active sentences consisting of ditransitive verbs. Noun phrases in intransitive sentences usually do not accompany case markers (patterns concerned in this study). Ditransitive sentences, on the other hand, require three arguments (nominative, dative and accusative). Thus, in these sentences dative case marker does not occur twice in the same context. However, transitive sentences remain doubtful leaving a possibility for the *DOM* phenomenon. Furthermore, albeit Sinhalese possesses a number of case markers, only dative case marker appear to have a complex usage especially in active sentences where an accusative element is presented with an animate noun. Therefore, first, active sentences with transitive verbs were observed with the dual nature of *DOM* phenomenon. As suggested in the previous studies (Aisen, 2003), the data reconfirmed that animacy is a salient factor; only animate nouns in the accusative case may take two case markers where as inanimate nouns are either accompanied by the dative case marker /ta/ or left empty.



The data (verbs) collected from the native speakers were analyzed in two arrays; verbs accompanying /wa/ and verbs accompanying /ta/. First, the verbs in both types were categorized into two basic classes; simple verbs and compound verbs. The simple verbs showed that they occur in one pattern, either /wa/ or /ta/. Although some types of compound verbs in both patterns were identical (they both end with the same root verbs), the nouns and the verbs adjoining them were different (refer to appendix C & D). Thus, the meaning and the usage are considered to be different. The overall picture of the Sinhalese *DOM* phenomenon is depicted in figure 6. Previous studies have claimed up to 3<sup>rd</sup> point (left side of the figure) on the usage of differential object markers in Sinhalese language. However, a detailed study has not been carried out since then. Thus, this study conducted further two parts (number 4 & 5) in order to reveal the remaining of this phenomenon. According to this study, active sentences consisting of transitive verbs (both simple and compound) in the Sinhalese language can be divided into two basic patterns; verbs which take only /wa/ accusatives and verbs which take only /ta/ accusatives. However, there were five other exceptional examples which this study does not cover. These four verbs remain doubtful as they occurred with both /wa/ and /ta/ accusatives. Hence, a further survey would be necessary to explore the cause of these hidden factors in the Sinhalese language.



**Figure 6. Overall of *DOM* in the Sinhalese Sentences**

Note: *an.* refers to accusative noun

*acc.* refers to accusative marker

○ shows the situation where *DOM* exists

× shows the the situations where *DOM* does not exist

#### Appendix A. Simple verbs used in /wa/ accusatives

Sinhalese	Pronunciation	Gloss
1 ඇද්ද	edda	Pull
2 අගයුව	egayuwa	Praise
3 හිරුව	hiruwa	Scratch
4 මැරුව	meruwa	Kill
5 හැපුව	hepuwa	Bit
6 කෑව	keawa	Eat
7 බැන්ද	benda	Tie/Marry
8 ඇල්ලුව	elluwa	Catch
9 ඉස්සුව	issuwa	Lift
10 ඉම්බ	imba	Kiss
11 පැලුව	peaguwa	Trample
12 කෙහිත්තුව	kenitthuwa	Hitch
13 කැඳෙව්ව	kendewwa	Call upon
14 මිරිකුව	mirikuwa	Grasp
15 ඇමිකුව	emathuwa	Call
16 සේදුව	seaduwa	Wash

Appendix B. Simple verbs used in /ta/ accusatives

	Sinhalese	Pronunciation	Gloss
1	බැන්න	benna	Scold
2	ගැහුව	gehuwa	Hit
3	වැන්ද	wenda	Worship
4	කැගැහුව	heagehuwa	Scream
5	සැළකුව	selakuwa	Host
6	බිඳුව	biruwa	Bark
7	හිනාවුණා	hinaawuna	Laugh
8	ඉගැන්වුව	igenmuwa	Teach
9	විද්ද	widda	Bit
10	රැව	rewwa	Stare
11	ගෙරෙව	gerewwa	Yawn
12	පිම්බ	pimba	Blow
13	ලැන්න	enna	Hit

Appendix C. Compound verbs used in /wa/ accusatives

	Sinhalese	Pronunciation	Gloss
1	බලාගන්න	balaagattha	Take care
2	තල්ලුකළා	thalukala	Push
3	සතුටුකළා	sathutukala	(Make) happy
4	සනීපකළා	saniipakala	Cure
5	බදාගන්න	badaagattha	Hug
6	රැගෙනගියා	regenagiya	Take with
7	අතගැව	athageawa	Stroke
8	ඉවත්කළා	iwathkala	Clean/Sack
9	අල්ලගන්න	allagattha	Catch
10	සිපගන්න	sipagattha	Kiss
11	සොයාගන්න	soyagatta	Find
12	එක්කගියා	ekkgagiya	Take (with)
13	දඩයම්කළා	dadayamkala	Hunt
14	ගැටගැහුව	getagehuwa	Tie
15	පරීක්ෂාකළා	parikshaakala	Check
16	අස්කළා	askala	Sack
17	තුරුලුකළා	thurulukala	Warm
18	ආරක්ෂාකළා	aarakshakala	Protect
19	භයකළා	bayakala	Frighten
20	මගහැරිය	magaheriya	Avoid
21	නෙරපාහැරිය	nerapaaheriya	Sack
22	වර්ණනාකළා	warnanakala	Prais
23	වඩාගන්න	wadaagattha	Carry
24	ලුහුබැන්ද	huhubenda	Chas
25	ලෙවකුව	lewakeawa	Lick
26	විශ්වාසකළා	wishwaasakala	Trust
27	පාවාදුන්න	paawaadunna	Betray
28	බිමදැමීම	bimademma	Drop
29	කොන්කළා	konnkala	Teas
30	දිරිමන්කළා	dirimathkala	Praise

Appendix D. Compound verbs used in /ta/ accusatives

	Sinhalese	Pronunciation	Gloss
1	කතාකළා	kathaakala	Call
2	උදව්කළා	udawkala	Help
3	අඬගැහුව	andagehuwa	Call
4	සුභපැතු	subapethuwa	Wish
5	වෙඩිබිඳි	weditibba	Shoot
6	පතිකාරකළා	pathikaarakala	Treat
7	පහරදුන්න	paharadunna	Hit
8	බොරැකිව	borukiwva	Lie
9	අවවාදකළා	awawaadakala	Advise
10	බණ්ණෙසුව	banadesuwa	Doctrine
11	අණකළා	anakala	Order
12	තට්ටුකළා	thattukala	Tap
13	විහිලුකළා	wihukala	Joke
14	වෙරෙහිබැඳ	wairabenda	Hate
15	කරදරකළා	karadarakala	Disturb
16	හිංසාකළා	hinsaakala	Hurt
17	කිරිදුන්න	kiridunna	Milk
18	දඬුවම්දුන්න	danduwamduunna	Punish
19	සැරකළා	serakala	Violent
20	පාදරයකළා	aadarayakala	Love
21	වදාදුන්න	wadadunna	Punish/rebuke
22	තඩිබැව	thadibeawa	Hit
23	අපහාසකළා	apahaasakala	Embarrass
24	කෙලඟැහුව	keladehuwa	Spit
25	කුරුමාණම්බල්ලුව	kurumaanamelluwa	Target

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# Adaptations in Controlled Cultural Writing for Effective Machine Translation: A Register-specific Probe

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**Abstract**—Machine translation (MT) serves as a fast way of transmitting web information across countries and MT performance can be highly improved by adapting the source text using a controlled language (CL). Drawing on Halliday's register-specific accounts as the theoretical framework, this paper investigates multi-faceted adaptations that undergo in the controlled cultural writing (CCW) considering the three dimensions of a language activity, such as field, tenor and mode. By analyzing 296 controlled sentences adapted from 22 folk cultural texts of online *Encyclopedia of Taiwan*, along with their corresponding good/excellent-level English machine translations, as a case study, this paper identifies some register-specific rules for adaptations. The findings show that variation in grammatical adaptations in CCW, related to the linguistic differences between English and Chinese, supports the mode of online MT application. The paraphrasing of all cultural references for clear transmission of cultural information helps achieve the function of intercultural communication (field), and the conversion from a heavy into lighter context meets western audiences' pragmatic expectations (tenor). Above all, the MT-driven adaptations in CCW are performed within a context where the interplay of complex factors, such as the function of intercultural communication, cultural inadequacy of western audiences, and MT operational constraints, are taken into account for the creation of readable, scannable cultural machine translations to serve western audiences.

**Index Terms**—controlled cultural writing, machine translation, adaptation, tenor, mode, field

## I. INTRODUCTION

Effective intercultural communication across countries depends on the adequate understanding of the cultures of foreign countries. Thanks to modern computer technology, web cultural texts provide an easy and convenient access to the information of foreign cultures. Web cultural texts inform diverse religious beliefs and attitudes towards family, fame, wealth, power, education, marriage, death and others. Knowing the thinking of different people and how they live helps reduce bias, misunderstanding and conflicts between countries. However, the information of foreign cultures cannot be easily understood without breaking language barriers through translation. Translation *per se* involves not only code-switching between source language (SL) and target language (TL) but also mediation between source and target cultural values. Thus, different degrees of adaptations must be involved in cultural translation. Diverse degrees of adaptations are exhibited by using diverse strategies for achieving different purposes in the translation process.

In investigating appropriate strategies for rendering cultural texts, some scholars (e.g., Zhang & Huang, 2007; Mo, 2003; Pang & Zhu, 2008) agree on using the foreignizing strategy for translating cultural references, but others (Peng & Wang, 2008; Faiq, 2008; Li, 2005) propose the use of the domesticating translation or manipulated intercultural representations for effective cultural communication. With an alternative focus, this paper conducts a register-specific investigation into multifaceted adaptations that undergo in the process of controlling cultural texts to create a satisfying machine translation (MT). Set within the framework of Halliday's (1964, 1978) register theory, this paper investigates how web textual adaptations are governed by some factors such as the field in which cultural information is used or scanned, the global audiences who access the online translation, and the mode that conveys the translation. The interactive relations among tenor, field and mode govern the way of adapting web cultural texts for MT application. Figure 1 shows the interaction of the relevant factors.

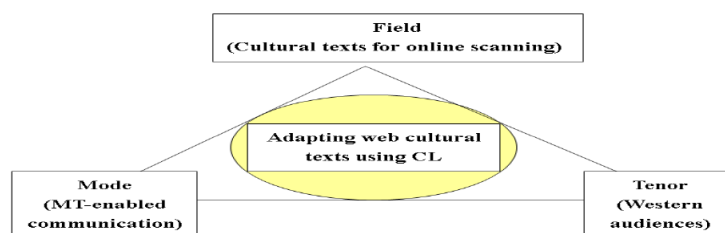


Figure 1 Adaptation under the governance of tenor, field and mode

The way of transmitting translation has changed on the web with the help of the MT tool, and so does the way of presenting the web source text. To allow Indo-European international audiences to get web information in their languages through MT application, the source cultural text must be revised using the controlled language (CL). In discussing the way of adapting the source text or, specifically described, the controlled cultural writing (CCW), we have to consider the linguistic difference between SL (eg., Chinese) and TL (e.g., English). However, the constraints of some extra-linguistic factors, such as field, tenor and mode, must be considered as well. By analyzing 296 controlled sentences collected from 22 Chinese folk cultural texts of online *Encyclopedia of Taiwan*, along with their corresponding good/excellent-level English machine translations, as a case study, this paper aims to identify some rules for adaptation at grammatical, lexical and contextual levels within Halliday's register theoretical framework. Additionally, the implications of the MT-enabled intercultural communication on the web will be explored. To achieve these two objectives, three research questions (RQ) are raised for investigation.

RQ1: How are grammar/lexicon-specific adaptations in CCW governed by the media of cultural transmission, i.e., MT application (mode)?

RQ2: How are contextual adaptations in CCW affected by western audiences (tenor)?

RQ3: How are overall adaptations in CCW related to the translation function of efficient intercultural communication on the web (field)?

RQ1 handles the relevance of grammar/lexicon-specific adaptations to the way of transmitting cultural information on the web through MT application; RQ2 addresses the contextual adaptations in relation to western audiences' cultural inadequacy and stylistic preferences. RQ3 emphasizes the relevance of overall textual adaptation to the purpose of intercultural communication on the web. In short, this paper explores how adaptations in MT-driven CCW are undertaken considering the linguistic differences between SL (eg., Chinese) and TL (e.g., English), and extra-linguistic, contextual factors such as online transmission, western audiences, web reading styles, MT operational constraints and relevant others.

## II. THEORETICAL REVIEW

In this section, Halliday's register-specific concepts will be introduced because this paper draws on them as the theoretical framework to support some arguments for multifaceted adaptations in CCW. Additionally, some concepts in relation to adaptation, CL and MT are necessarily discussed at some length.

### The Register Theory

This paper investigates how the adaptation of web cultural texts using the CL for online machine translation is governed by some register-specific factors. The concept of register is used to distinguish the variety in language use in different situations within the user-use framework developed by Halliday *et al.* (1964). When a language activity takes place in various contexts, there are some differences between "the types of languages selected as appropriate to different types of situation" (Hatim & Mason, 1990, p. 46). From Halliday's (1978, p. 111) point of view, register refers to "the configuration of semantic resources that the member of the culture associates with a situational type" (qtd. in Martin, 1992, p. 498). It also means "the meaning potential that is accessible in a given social context" (qtd. in Martin, 1992, p. 498). This argument suggests that the meaning of an utterance is created through the use of linguistic codes that are specific to a given social situation. Simply put, the concept of register is used to decide what people do to whom in what linguistic format or in what style of writing that is specific to a given situation and a specific function.

Register is often identified as the three dimensions of language use: field, mode and tenor. Field means what is going on; mode, the way of presenting the message; and tenor, the receptors of the textual message or the style appropriate to specific target audiences. Viewed in an alternative way, field means "the purposive role" (Gregory & Carroll, 1978; qtd. in Hatim & Mason, 1990, p. 48) of the language use or social function of the text. The content of the text reflects some happenings in a society for a specific purpose. Mode refers to the medium in which a language activity is performed and it is "the manifestation of the nature of the language code being used" (Hatim & Mason, 1990, p. 49). For examples, there is a distinction between writing and speaking when the same message is presented. The linguistic features between writing and speaking are overtly different. Another factor, tenor, denotes "the relationship between the addresser and the addressee" (Hatim & Mason, 1990, p. 50) and it can be identified by distinguishing between the formal and informal ways of presentation. Close, intimate or distant, indifferent relations between addressers and addressees can govern the style of language use.

In Halliday's (1989) description, field refers to "social action"; namely, "what is actually taking place" and "what is happening" (qtd. in Martin, 1992, p. 499). It also means what the participants are engaged in. Tenor refers to "who is taking part, to the nature of the participants, their statuses and roles" (Halliday, 1989; qtd. in Martin, 1992, p. 499). The relationship among the participants is considered. Mode refers to "what part language is playing, what is it that the participants are expecting the language to do for them in the situation" (Halliday, 1989; qtd. in Martin, 1992, p. 500). In this regard, the channel of communication, either speaking or writing or a mixture of them, plays a crucial role to achieve an intended purpose, say, persuasive, informative, affective, expository or didactic function and the like. Above all, the points at issue are content/information (what), the audience (who) and the style/form of presentation (how), which constitute the three aspects of discourse in the register theory. Normally, an interplay of the complex factors such as field, mode and tenor outlines how a language activity is performed or how a language behavior is enacted in a given

situation to successfully achieve a specific function to the target audience.

In light of the register theory, language use is governed by what the target audience expects to get using a specific medium in a specific situation. Some linguistic utterances that are appropriate to situation A and group A possibly violate the linguistic and pragmatic conventions that are specific to situation B and group B so that the utterances, when translated from language A to language B, must be adapted to meet situation B for group B. Thus, adapting or rewriting web cultural texts, in the areas of lexicon, grammar and context, must consider the media of creating and transmitting the translation, the expectations of the target audience, and the target linguistic and cultural conventions.

### **Adaptation, Controlled Language and Machine Translation**

Adaptation, an inevitable strategy in the translation process, is the main issue in this research and needs to be introduced in brief. According to Bastin (1998), adaptation is often performed at the local level due to some linguistic differences between SL and TL, and also at the global level to achieve a specific function. The former is viewed as obligatory modification and the latter, optional modification. Normally, human translation can easily achieve the tasks of local or global adaptation by directly modifying the SL text in the translation, but in the machine-enabled translation, the source text must be adapted before it is submitted to the machine to improve the MT performance. For example, human translator can directly adapt and translate the Taiwanese slang, 吃飯配菜脯 (lit: eat meal accompanied by pickles), as “eat like a beggar”, but for MT application, the phrase must be adapted as 吃像一乞丐 (lit: eat like a beggar) so that its English machine translation [eat like a beggar] can be semantically clear to western audiences. In this respect, we notice that adaptation is necessary for effective MT application, and this adaptation refers to rewriting a source cultural text in a CL.

A CL is often identified as a sub-language or an artificial language. As Arnold et al. (1994, p. 211) have put, the CL means “a specially simplified version of a language”. This language is “a subset of natural language with an artificially restricted vocabulary, grammar and style” (Kaji, 1999, p. 37). For example, controlled English, one type of CL, is characterized by “the high frequency of specialized terminology and often also by a restricted set of grammatical patterns” (Arnold, et al., 1994, p. 216). Shuttleworth and Cowie (1997) claim that a CL is essentially a “variant of SL in which texts are composed according to a set of rules designed to enhance the clarity and readability of what is said” (29; qtd. in Shih, 2006, p. 129). Some renowned corporations, such as Boeing, Caterpillar and others in Western countries, have authored technical texts, user’s manuals, and product instructions in controlled English (CE) for effective multilingual machine translations. Some evaluations on the MT performance (Roturier, 2004; Cardey, Greenfield & Wu, 2004) have confirmed the cost-effective benefits of using CE to save time and efforts for post-MT editing.

When using controlled English, a set of rules can be followed, including “avoidance of the gerund and noun clusters of more than three nouns, the use of an article (*the*, *a*, *an*) or a demonstrative adjective (*this*, *these*) before a noun, the use of specific instructions, use of approved words from the dictionary and use of relative pronouns (“who”, “which” or “that”)” (O’Brien, 2003, p. 110). In the present research, web cultural adaptation using controlled Chinese (CC) has greatly improved its English machine translation. To create satisfying MTs in Indo-European languages, the CC can imitate the grammar of English and use plain words, common expressions and short, simple sentences. The idiomatic or local attributes of lexicons and sentence structures must be adapted so that machine translations can be semantically clear and grammatically correct. The following gives a general introduction to MT.

MT is here referred to as a translated text that is automatically created by a machine/computer from a source text within seconds. Early rule-based MT systems create a translation through analysis, transfer and generation with an unsatisfying result. In contrast, contemporary statistics/corpus-based MT systems greatly improve the performance by stringing up the statistically most likely segments selected from various candidate translations. Google Translate is one of free online statistics/corpus-based MT systems, and is here used to test the English machine translations of controlled web cultural texts. Google Translate allows users to correct suggested translations and submit them back, so that its corpus size can be enlarged as time goes by. A bigger corpus is definitely helpful to improve the MT performance. Yet, at the present time, as a tentative solution, we can control the input data by adapting them using the CL and their machine translations have highly promoted the target audience’s comprehension.

## **III. METHODOLOGY**

This paper investigates how we adapt web cultural texts using the CL by following some rules in the areas of lexicon, grammar, context and style from the register-related perspective. The rules are subject to the constraints of tenor, field and mode. The method of analyzing the controlled cultural texts and their corresponding comprehensible English MTs is used to complete the investigation. This section introduces the analyzed web cultural texts, some criteria for assessing readable English MT and some adaptation rules.

### **Web Cultural Texts**

There are controlled 296 sentences, adapted from 22 web cultural texts of online *Encyclopedia of Taiwan*, for analysis. These texts describe some cultural practices in the five stages of human life, including birth, adulthood, marriage, pregnancy/childbirth and death. Table 1 shows the textual titles and Appendix 1 provides detailed information.

TABLE 1  
THE TITLES OF COLLECTED CULTURAL TEXTS

Cultural Themes	Text Titles
<b>Birth</b>	1.Rite of the first birthday, 2.Rite of hair-cutting, 3.Bed Goddess cult, 4.Long-life chain/lock, 5.Naming, 6.Reporting the news of child-birth
<b>Adulthood</b>	1. Coming-of-age ceremony, 2. A thank-heavenly-lord rite
<b>Marriage</b>	1. Crying for good life, 2.Spiritual Marriage, 3.No marriage between two persons carrying the same family name, 4. Marrying a concubine, 5. Pre-marital spying; 6. Marriage within 100 days after parental death; 7.Visiting the bride's natal family, 8.Child bride
<b>Pregnancy/childbirth</b>	1. Praying for a child, 2. Women's postnatal care, 3. Rite of belly-change,
<b>Death</b>	1. Guarding the corpse, 2. Guiding the dead soul, 3. Worshipping memorial tablets of ancestors

By reading the cultural texts as illustrated in Table 1, foreigners can understand well some concepts about Taiwanese life and culture, including: 1) continuing the ancestral line, 2) outweighing men over women; 3) remembering ancestors; 4) fulfilling one's marital duty; 5) asking for God's protection; 6) respecting the deceased; 7) emphasizing filial duty, and 8) choosing spouses based on similar family backgrounds.

### Criteria for MT Assessment

For effective intercultural communication, MT performance must meet some expectations or standards. The four-level criteria proposed by O'Brien and Roturier (2007) are used to assess the English machine translations of 296 sentences. The excellent level means that the machine translation does not need to be edited, and the target audience can easily understand it without having to cross-refer to the SL text. The good level means that the machine translation is acceptable and readable even though it has some grammatical or lexical errors. Table 2 gives one example to illustrate the four-level machine translations created by Google Translate. ST=source text. The word-for-word glossing of the ST is given for reference.

TABLE 2  
FOUR-LEVEL MT PERFORMANCE

Levels	Assessment Criteria	English Machine Translations and ST
<b>Excellent</b>	The MT output is perfect and does not need to be edited. The end-user does not have to cross-refer to the SL text and could understand the MT output easily.	In Taiwan, before the wedding, a feast is often held for the bride and her sisters. This feast means separation from her family and her sisters' congratulations. [ST: 在台灣，在結婚前，一宴席經常被舉行為新娘與她的姐妹們。這宴席意指分離於家人及她的姐妹們的祝賀。] [Lit: In Taiwan, before marriage, a feast is often held for the bride and her sisters. This feast means separation from family and her sisters' congratulations.]
<b>Good</b>	The MT output is acceptable and readable though it has some minor grammatical or lexical mistakes. The end-user can still understand the MT output without consulting the SL text.	According to Taiwan's traditional practices, before marriage, a woman will eat together with her sisters. This feast means the bride and her sisters will say goodbye to each other, and this is the blessing of <u>the</u> sisters. [ST: 根據台灣的傳統習俗，在結婚前，一女子將一起吃飯與她姊妹們。這盛宴意謂著新娘與她的姐妹將會互相道別，且這是姐妹們的祝福。] [Lit: According to Taiwan's conventional custom, before marriage, a girl would eat a meal together with her sisters. This banquet means the bride and her sister would say good-bye to each other, and this is her sisters' blessing.]
<b>Mediocre</b>	The MT output has significant errors and the end-user can simply get the gist of the MT output without referring to the SL text	Wedding customs in Taiwan, when the girls get married that day, she and <u>the sisters</u> dinner, which is the <u>bride with her sisters</u> farewell feast, but also a feast for <u>sisters congratulations bride</u> . [ST: 台灣的婚禮習俗裡，當女生出嫁那天，她會與姊妹們一起吃飯，這是新娘與她姐妹們離別的盛宴，同時也是一場筵席讓姊妹們祝賀新娘。] [Lit: In Taiwan's wedding custom, on the day when a girl marries, she would eat a meal with her sisters together; this is the farewell banquet for the bride and her sisters, simultaneously is also a feast for her sisters to congratulate the bride.]
<b>Poor</b>	The MT output is unreadable and incomprehensible. It contains serious errors. The end-user is unable to catch any message from the MT output without reading the SL text.	<u>Taiwan's traditional practices, the girls married the same day, out the door to dinner with her sisters</u> , commonly known as the Sisters table, which is the <u>bride with her sisters</u> farewell feast, the bride's sisters <u>congratulated feast</u> . [ST: 台灣的傳統習俗裡，女生出嫁當天，出門前要與她的姐妹們一起吃飯，俗稱姐妹桌，這是新娘與她姐妹們離別的盛宴，也是姐妹們祝賀新娘的筵席。] [Lit: In Taiwan's conventional custom, on the day when a girl marries, she must eat a meal with her sisters before leaving home, conventionally called "sister table"; this is the farewell banquet for the bride and her sisters, also is the feast for sisters to congratulate the bride.]

The example above shows that the shorter the source sentence is, the better performance the machine creates.



Additionally, some supplementary and specific rules can be followed to create good-level and excellent-level machine translations in terms of lexical, grammatical, syntactic accuracy and pragmatic appropriateness. All the collected English MTs in this research are identified as reaching the excellent level or good level.

### Rules for Multi-faceted Adaptations in MT-driven CCW

Some grammatical, lexical and contextual adaptations must be performed to create the excellent-level and good-level English machine translations. Once when the English MT has a good quality, its transfer into other Indo-European languages has a higher percentage of good-level or excellent-level performance than the machine renditions from unacceptable, mediocre or/and poor-level English MT. In the following section, some rules for adaptation in the areas of lexicon, grammar and context are introduced with supportive examples.

### Rules for Grammatical Adaptation

A host of rules for grammatical adaptation in CCW, to cite most important ones, include: 1) use of a subject (or/and an object) for the SVO structure; 2) use of an article such as *-yi* (lit: a) or a demonstrative pronoun, such as *-zhe/gai/ na* (lit: this/the/that); 3) use of a connective to join two clauses; 4) use of a preposition marker *-zai*; 5) use of a possessive adjective such as *-ta de* (lit: hers) to link a noun; 6) use of a post-noun modifier, not a pre-noun modifier; 7) use of a passive voice, not an active voice, and 8) use of a time/place-specific prepositional phrase at the initial or final position of a sentence.

The lack of a subject or object or an article or a possessive adjective tends to create a grammatically incorrect English machine translation. Thus, the uncontrolled Chinese sentence, 離開前，會與姊妹們吃飯。[lit: before leaving, will eat meal with sisters], must be adapted as 離開前，該新娘將會吃一飯與她的姊妹們。 and then its English MT is correct as *Before leaving, the bride will eat a meal with her sisters*. It is also noted that a Chinese sentence tends to use a comma, not a conjunction, to connect two clauses, and therefore its English MT is grammatically incorrect. Thus, the sentence 新娘不哭泣，她會被視為不夠孝順。[lit: Bride does not cry, she will *bei* regarded as inadequately filial] must be modified as 若是新娘不哭泣，她會被視為不夠孝順 and its English MT is grammatically correct as *If the bride does not cry, she will be deemed not filial*.

### Rules for Lexical Adaptation

In addition to grammar-specific rules, some lexicon-specific rules for adaptation are identified, including: 1) modifying fixed phrases into explanatory expressions, 2) replacing idiomatic terms with common words, and 3) directly using well-established English names for proper nouns. Some examples are given as follows. 嫁香煙 [lit: marry cigarette] is adapted as 去結婚爲了下一代 [lit: to marry for the next generation]; 探門風 [lit: explore door style] as 婚前調查 [lit: premarital investigation]; 三界神明 [lit: three zone god] as 三個神明，以掌管陸地、海洋及天空 [lit: three gods, to control land, ocean and sky], and 四方金 [lit: four square gold] as 紙錢 [lit: paper money]. Western audiences do not know source cultural information, so local cultural references or proper nouns should be paraphrased to explicate the implicit meanings in the controlled texts. Thus, the MT outputs of paraphrased cultural references are semantically clear and the target audiences would easily understand them.

### Rules for Contextual Adaptation

More importantly, a majority of western audiences favor the low context so that specific details must be condensed, and overlapping, redundant information can be deleted. These context-specific adaptation rules are followed to reduce contextual density and help the target audiences easily read and clearly understand the message of the MT output.

## IV. FINDINGS & DISCUSSIONS

After some specific rules are identified, Chinese-to-English machine translations of 296 sentences are analyzed to identify which rule takes up a higher or lower frequency, and the implications of the findings will be discussed within the register-specific theoretical framework.

### Grammar/Lexicon-specific Adaptations in CCW

In response to RQ1, the findings show that the mode of MT application has governed the adaptation of web cultural texts in the lexical and grammatical areas. All the English machine translations evaluated as good and excellent levels have followed eight grammar-specific rules. Since the statistics/corpus-based Google Translate cannot automatically change the original wording and word sequence, grammatical and lexical adaptations are needed to make the source text similar to the grammatical and lexical forms of English. In this respect, if a linguistic feature in Chinese shows a greater difference from its counterpart in English, a higher degree of adaptation is required. This phenomenon supports that variation in the use of eight grammar-specific rules is highly related to the linguistic differences between Chinese and English. The top three grammar-specific rules are: 1) adding a subject or an object or a verb (69 occurrences; 69/296=23.31%), 2) adding an article or a demonstrative pronoun (68 occurrences; 68/296=22.97%), and 3) adding a connective (52 occurrences; 52/296=17.56%). The bottom three grammatical rules are 1) adding a prepositional marker (8 occurrences; 8/296=0.27%), 2) adding a possessive adjective (12 occurrences; 12/296=4.05%) and 3) moving a preposition-led temporal or locative phrase to the final position of a clause or a sentence (18 occurrences; 18/296=6.08%). The other two rules that lie in between are changing active voice into passive voice (48 occurrences; 48/296=16.21%) and changing a pre-noun modifier into a post-noun modifier (21 occurrences; 21/296=7.09%). Figure 2 shows varied frequencies of using eight grammar-specific adaptation rules.

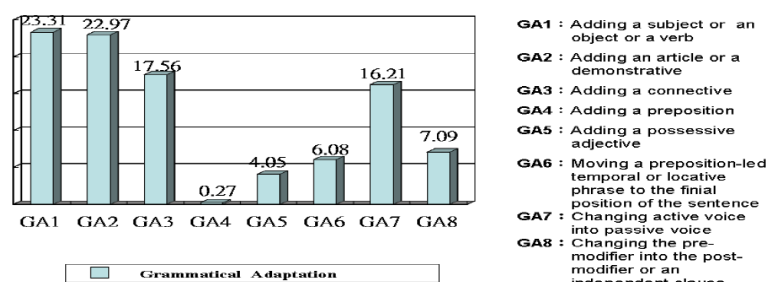


Figure 2 Frequencies of using eight grammar-specific adaptation rules

Adding a subject ranks first and adding an article/demonstrative pronoun ranks second. One inference is that these two grammatical features are distinctively different between English and Chinese, so controlled cultural writing must undergo adaptation when these differences show up. Normally, Chinese sentences use the topic-comment structure so the clauses often have no subjects, but English sentences use the SVO structure and are grammatically incorrect without subjects. In addition, Chinese sentences rarely use an article before a noun, but native Chinese readers can understand the message. However, an English sentence without an article or a demonstrative pronoun is grammatically incorrect. Adding a connective ranks third because Chinese sentences tend to use commas to connect two clauses but English uses connectives to show diverse intra-sentential relations. By imitating English sentence structure, connectives must be added in controlled Chinese cultural writing.

Adding a preposition marker shows the lowest frequency and this can be attributed to the fact that the prepositional marker such as *-yu* or *-zai* is often used by native Chinese in describing a date or a location. Only few sentences do not use it. The second lowest frequency of adaptation is found in adding a possessive adjective, because machine translations of both nouns with and without possessive adjectives are equally comprehensible. For example, two machine translations, such as *Ghost/Spiritual marriage can reduce the anxiety of her family* and *Ghost/Spiritual marriage can reduce the anxiety of the family*, are equally understandable to western audiences.

On the other hand, the MT application cannot handle well cultural references so that lexical adaptations are needed. The statistical result shows that eight out of fifteen fixed phrases must be modified with explanatory accounts, taking up 53.33% (8/15). Among twenty-one idioms, fifteen must be represented with common expressions, holding 71.42% (15/21), and of twenty proper nouns, twelve must be paraphrased, holding 60% (12/20). These findings suggest that more than half of cultural references have to be adapted or modified using the CC to create comprehensible machine-enabled translations. Figure 3 shows the frequencies of three types of lexical adaptation.

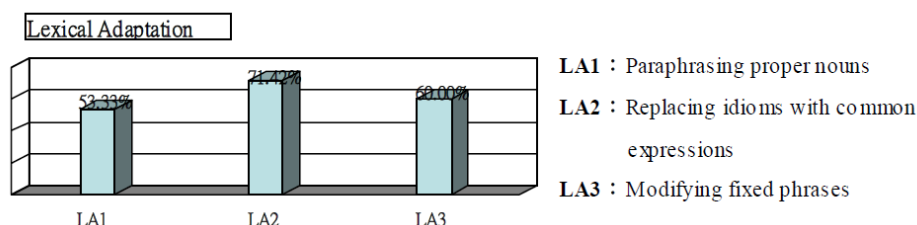


Figure 3 Varied frequencies of three types of lexical adaptation

Adaptation of idioms shows a higher frequency. One inference is that the idioms describe cultural rites and practices, and their genuine meanings cannot be clearly presented based on the combination of surface meanings of the words together. For example, the term 換肚 [lit: change belly] suggests that a married woman is eager to be pregnant, not really converting her belly. Its literal translation will be misleading to western audiences, so it is paraphrased as 去改變一婦女的肚子，使她懷孕，且會生出一男孩子 [lit: to change a woman's belly, make her pregnant and will produce a boy] and its English machine translation "to change a women's belly, so that she is pregnant and will give birth to a boy" is semantically clear and grammatically correct. Furthermore, the idiomatic expressions, such as 坐月子 [lit: rest for one month] cannot be appropriately translated by the machine, so it must be adapted as 產後照顧 [lit: care after giving birth], and its machine translation "post-natal care" is semantically accurate.

Adapting proper nouns holds the second high because the names of some Gods, such as 玉皇大帝、觀世音、七娘媽、媽祖, can be correctly translated by the machine as "Jade Emperor", "Guanyin", "Qiniangma" and "Matsu", and thereby they do not need any adaptation. In contrast, the names of some gods such as 註生娘娘 [lit: registering birth Goddess]、床母 [lit: bed mother] and 臨水夫人 [lit: close-to-water Madame] cannot be appropriately translated, so they have to be paraphrased, and their English machine translations, such as "fertility Goddess", "bed Goddess" and "Lady Linshui", are pragmatically appropriate. Furthermore, the names of some plants, such as banana flowers and pomegranate, and the name of the festival, such as the Lantern Festival, do not need to be adapted because their English machine translations are correct. However, some fixed phrases, such as 養生送死 [lit: raise living persons, send away

dead persons]、婚喪喜慶 [lit: weddings, funerals, joyful celebrations]、門當戶對[lit: Door styles of houses match], cannot correctly present the implications based on the surface meanings. In contrast, other fixed phrases, such as 奉父母之命 [lit: follow parents' commands] or 重男輕女 [lit: value men, belittle women] or 死不瞑目 [lit: do not close eyes after death] embody the general meanings and thereby their English machine translations are semantically clear without any adaptation.

In general, cultural references have distinctive linguistic features and special implications, so that they must be adapted into general expressions. The modified expressions not only provide a commonly shared cultural background to foreign audiences, but also improve the semantic clarity and pragmatic appropriateness of their machine translations. Today, the data of the corpus of Google Translate remain insufficient, particularly the translations of idioms and proper nouns. The idioms and proper nouns in cultural texts must be adapted for effective MT application. Above all, lexical and grammatical adaptation concurs with the register-specific argument that language activity must be adjusted to meet the need of using a special way of presentation in a new situation, and meet western audiences' expectations for successful cultural acquisition by scanning the understandable machine translations of cultural texts on the web.

### Contextual Adaptations in CCW

In response to RQ2, the finding shows that contextual adaptations through omission, condensation and division are needed, so the MT output can meet western audiences' preferences for the light context and concise writing style. However, in the collected data, no many contextual adaptations are identified in controlled cultural writing, and therefore the statistical result is not significantly meaningful. For this reason, only some examples are given here to support the three types of contextual adaptations. With regard to omission, all the redundant, overlapping and unnecessary segments are omitted. One example can be found with the sentence, 並請道士誦經超度亡魂（路旁屍，溺斃海中者，車禍死者等即是）然後再引魂至喪家。[lit: ask Taoist priest to chant scripture to lead the dead souls (the road-side corpse, the person drowned to death in the person dying in an accident) to return home]. The information in the parenthesis is redundant because the audience has known that the dead souls refer to the persons who die in some accidents based on the context. Thus, to reduce the target audience's reading load, the segment in the parenthesis is omitted without hindering the communication of the message. Furthermore, one sentence that depicts a superstitious practice that *a bride cries to avoid being abducted by the ghost* is omitted because it lacks evidence and a scientific basis although western audiences have some similar, but different beliefs and practices in their own cultures. Finally, a sentence that depicts the procedures of a spirit/ghost marriage is also omitted because western audiences would not practice it. In most cases, omission helps the machine translation create a concise style to meet the expectations of western audiences.

Division is another strategy for adapting texts. By dividing a long sentence into two or three shorter ones, its machine translation can reduce the audience's interpreting efforts and optimize the communication effect. For example, there is a long sentence, 民間俗信拜床母的時間不能太久，主要是怕床母會寵孩子，導致小孩賴床；另一說是要讓床母吃快點，才會勤勞照顧小孩。[lit: Traditionally, people believe that the time for worshipping the Bed Goddess cannot be too long, the main reason is that they fear that the Bed Goddess would spoil children, and children do not want to get up; another reason is that if the Bed Goddess eats faster, she can take good care of children. ]. We can divide it into two shorter ones, such as 這個儀式不能進行太久，因為 Bed Goddess[床女神]會允許小孩待在床上太久。[lit: This ritual cannot proceed too long, because Bed Goddess will allow the child to stay in bed too long.] and 此外，Bed Goddess 必須吃快點，故她能照顧小孩早些。[lit: In addition, Bed Goddess must eat faster, so she can take care of the child earlier]. In this way, the machine translations of the two shorter sentences are correct as “This ceremony is not too long, because Bed Goddess [bed goddess] will allow children to stay in bed too long” and “In addition, Bed Goddess must eat quickly, so she can take care of the children earlier.” At this point, we know that the strategy of division not only improves the grammatical accuracy of the machine translation, but also highlights the implicit and logical relationships for semantic clarity.

One more strategy, condensation, aims to create a concise text by condensing overlapping messages. Table 3 shows two examples in a contrastive form of pre-condensation and post-condensation with their English translations. CW=controlled writing; UCW=uncontrolled writing.

TABLE 3  
PRE/POST-CONDENSATION AND THEIR ENGLISH MTs

Pre-condensation & English MT	Post-condensation & English MT
由於傳統農業社會生活比較貧困，好吃的、營養的食物多給需要勞力耕田的男性吃，女性吃的較不營養，以致於多有營養不足的現象。 [Lit: Because people's living is generally poor in the traditional agricultural society, tasty and nutritious food is often eaten by men who need the energy for farming, and women eat inadequate food and become undernourished] <u>English MT (erroneous)</u> Traditional agricultural society life poorer, delicious, nutritious food and more to need to labor to plow the men eat, women eat less nutritious, and that lack of nutritious phenomenon.	許多女子是營養不足的在古代農業社會。有限的食物被留下給男子，因為他們必須做粗重農事。 [lit: Many women are undernourished in ancient agricultural society. Limited amount of food is left for men because they must do heavy farming tasks] <u>English MT (appropriate)</u> Many women are undernourished in ancient agricultural society. Limited food is left to men, because they have to do heavy farm work. (22 words)
以往台灣社會多以務農為主，生活並不富裕，每天除了工作，並無太多娛樂消遣，晚上沒事就從事生育，加上避孕常識不足，孩子的數目是很可觀的，一般的家庭負擔不起，權衡之計便是分給家境優渥的人家認養。 [lit: In the past, Taiwan was agriculture-oriented society; people were poor; <u>except daily work, there was no much entertainment, so they produced children at night. Furthermore, the knowledge of birth control was inadequate, so the number of children was very high; people in general could not afford raising many children, and a good solution was to have their children adopted by the rich family.</u> ] <u>English MT (erroneous)</u> Taiwan society in the past mainly farming life is not richer every day in addition to the work, there was not much entertainment at night nothing in fertility, coupled with lack of contraception and the number of children is very considerable, family burden can not afford to weigh the plan is to give to his family was well off families adopt.	在過去，台灣是一農業社會，且許多人當時是很窮。所以，他們的孩子被領養。 [lit: In old days, Taiwan was an agricultural society, and many people were at that time not rich. So their children were adopted.] <u>English MT (appropriate)</u> In the past, Taiwan was an agricultural society, and many people were very poor. So, their children were adopted.

The two examples above show that information condensation in the CCW results in the concise, clear English translation created by Google Translate, whereas the uncontrolled text leads to the erroneous and vague English machine translation. In short, contextual adaptation, along with lexical and grammatical adaptation, supports the register-specific argument that textual re/presentation must be appropriate to the given situation, the textual function, the target audience and the mode of transmitting the translation.

#### MT-driven Adaptations for Intercultural Communication

In response to RQ3, the findings denote that re-contextualizing and re-presenting web cultural texts through multifaceted adaptations helps achieve the function of intercultural communication on the web, not for rhetorical/linguistic appreciation. Today, for international audiences, acquiring web cultural information is more important than appreciating the distinct linguistic traits of the source text. Most of western audiences want to know certain rituals and cultural practices in each folk culture, so these data have to be appropriately and accurately translated into English or other Indo-European languages. Actually, western audiences would not practice the source cultural rituals, and some of them are gradually dying out, so the trivial details of ritual procedures can be adapted by condensing or omitting redundant information. And shortening sentences/passages not only helps improve MT performance, but also makes western audiences easily and quickly catch the cultural message within a short timeframe.

Since web cultural texts serve as an easily accessible means of providing cultural information to a global audience, they are a valuable avenue for intercultural communication and local cultural promotion. Understanding foreign cultural practices helps one accept diverse ways of handling the same issue and tolerate different cultural concepts. However, to improve MT performance, we have to adapt the source text lexically, grammatically and contextually. Textual adaptation must clearly convey core messages to optimize the communication effect, and emphasize the factual reality by deleting un-rooted rumors or/and groundless information. After source cultural texts are properly adapted, the improved multilingual machine translations will help achieve the goal of effective intercultural communication.

#### V. CONCLUSION

In this paper, the findings of investigation support that adaptation for MT-enabled communication must consider field (web cultural translation for intercultural communication and information acquisition on the web), tenor (international web audiences) and mode (MT application for online real-time information transmission). Being constrained by the operational function of corpus/statistic-based MT system, adaptation has to notice the linguistic differences between English and Chinese, and follow some grammar-specific rules to close up the differences. In addition, all idiomatic expressions or proper nouns have to be adapted to make the machine translations culturally relevant to the target audiences' situation. Still importantly, to comply with the pragmatic and socio-cultural conventions of western audiences, contextual condensation, omission and syntactic division are adopted. Contextual restructuring also facilitates the ease of web scanning. Overall, the register-specific probe helps us identify how web cultural texts must be adapted following a set of rules under the governance of MT operation, intercultural communication purpose and western audiences' stylistic preferences, all of which dialectically interact with each other.

Web textual adaptation for MT-enabled intercultural communication has shed light on the significance of multiculturalism. Textual representation and contextual reconstruction using the CL helps transmit local cultural information to foreign countries through multilingual machine translations. This research is irrelevant to power control and ideological manipulation. Instead, it emphasizes how the local cultural identity, whatever it represents, can be equally recognized on the Internet through MT-enabled intercultural communication. Above all, this research supports how linguistic behavior in the technological world can be adjusted to facilitate multilingual and multicultural communication by re-presenting and reconstructing web cultural texts using the CL for successful MT application.

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#### APPENDIX: TWENTY CULTURAL TEXTS FOR ADAPTATION (EXTRACTED FROM ONLINE ENCYCLOPEDIA OF TAIWAN)

No.	Authors	Text Titles	Copyright Dates and URLs
1	Fongming Lee & Liling Xu	Rite of the first birthday	2011 <a href="http://taiwanpedia.culture.tw/web/content?ID=1996">http://taiwanpedia.culture.tw/web/content?ID=1996</a>
2	Ruiyi Tu	Rite of hair-cutting	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11521">http://taiwanpedia.culture.tw/web/content?ID=11521</a>
3	Fongming Lee & Liling Xu	Bed goddess cult	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=1997">http://taiwanpedia.culture.tw/web/content?ID=1997</a>
4	Ruiyi Tu	Long-life chain/lock	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11520">http://taiwanpedia.culture.tw/web/content?ID=11520</a>
5	Fongming Lee & Liling Xu	Naming	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=1995">http://taiwanpedia.culture.tw/web/content?ID=1995</a>
6	Zheting Xu	Reporting the child-birth news	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11537">http://taiwanpedia.culture.tw/web/content?ID=11537</a>
7	Fengmao Lee	Coming-of-age ceremony	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=1998">http://taiwanpedia.culture.tw/web/content?ID=1998</a>
8	Huiying Cai	A thank-heavenly-lord rite	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11557">http://taiwanpedia.culture.tw/web/content?ID=11557</a>
9	Yiping Xin	Crying for good life	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11463">http://taiwanpedia.culture.tw/web/content?ID=11463</a>
10	Wenxian Li	Spiritual marriage	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=2018">http://taiwanpedia.culture.tw/web/content?ID=2018</a>
11	Jiaming Zhuang	No marriage between two persons carrying the same family name	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11443">http://taiwanpedia.culture.tw/web/content?ID=11443</a>
12	Fusheng Xu	Marrying a concubine	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11470">http://taiwanpedia.culture.tw/web/content?ID=11470</a>
13	Yujin Dai	Pre-marital spying	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11473">http://taiwanpedia.culture.tw/web/content?ID=11473</a>
14	Yucheng Zhu	Marriage within 100 days after parental death	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11447">http://taiwanpedia.culture.tw/web/content?ID=11447</a>
15	Wenxia Lin	Visiting the bride's natal family	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=2011">http://taiwanpedia.culture.tw/web/content?ID=2011</a>
16	Pinyao Wu	Child bride	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11479">http://taiwanpedia.culture.tw/web/content?ID=11479</a>
17	Fongming Lee & Liling Xu	Praying for a child	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=1991">http://taiwanpedia.culture.tw/web/content?ID=1991</a>
18	Yanrou Zhu	Women's Postnatal Care	2012 <a href="http://taiwanpedia.culture.tw/web/content?ID=100144">http://taiwanpedia.culture.tw/web/content?ID=100144</a>
19	Xiaoyun Wei	Rite of belly-change	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11538">http://taiwanpedia.culture.tw/web/content?ID=11538</a>
20	Yanfang Zhuang	Guarding the corpse	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11579">http://taiwanpedia.culture.tw/web/content?ID=11579</a>
21	Fangyi Zeng	Guiding the dead soul	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11569">http://taiwanpedia.culture.tw/web/content?ID=11569</a>
22	Wenqing Wu	Worshipping memorial tables of the ancestors	2009 <a href="http://taiwanpedia.culture.tw/web/content?ID=11606">http://taiwanpedia.culture.tw/web/content?ID=11606</a>

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# A Semiotic Reading of the Symbols of Yoruba Traditional Marriage

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**Abstract**—Communication as a means of establishing social interaction is multimodal. It entails the use of the verbal and the non-verbal means of communication. This suggests that understanding messages involves unravelling the different modes involved in communication. This fact necessitates the investigation of language at different levels and as used in many contexts. Also, the fact that language is connected to the culture of its users makes language investigation in cultural practices particularly interesting. This paper seeks to do a semiotic reading of the items used in Yoruba traditional marriage. It seeks to unravel the meaning of the elements of culture in traditional marriage ceremony and unravel the meaning of the signs (objects) used in it. Halliday's meta-functions and Pierces conception of signs are used as the theoretical framework. The paper justifies the assertion that communication is multimodal and is a system of interpreting verbal and non-verbal signs.

**Index Terms**—multimodal, semiotic, verbal, non-verbal, marriage, signs

## I. INTRODUCTION

The wisdom of a race lies in the way they relate with the world they live in. Most often, the language of a people reveals the richness of their heritage and tradition. The Yoruba language as an aspect of the Yoruba culture has been described as rich and condensed. The Yoruba people are seen as a group that has beautiful and vast communication skills. The usual verbal communication among the Yoruba people is embellished with such figures of speech as irony, metaphor, and so on with many instances of proverbs and idioms. Apart from the verbal aspects of the Yoruba language, it is common practice for the Yoruba people to use non-verbal means of communication such as eye movement, tapping of the feet, silence etc. It is cultural for the people to understand, decode and respond appropriately to such non-verbal messages. A person who decodes the non-verbal gestures and act accordingly is said to be well trained while a person who does otherwise is said to lack proper training. Therefore, to become a 'complete' member of the Yoruba speech community, it is expected that one understands the various codes in the Yoruba modes of communication. This is why every instance of language use provides the member of the speech community with opportunities to associate appropriate meanings with different codes.

Many communicative events in the Yoruba culture are done through these codes. Therefore, communicative events are avenues for making meaning through the creation and interpretation of signs. Chandler (2011) states that 'signs take the form of words, images, sounds, odours, flavours, acts or objects' (P. 1), therefore, items used for traditional marriage ceremony in the Yoruba culture can be regarded as signs. These signs can be seen as tools to achieve some communicative principles. Mey (2001) identifies some of these principles and particularly describes the principle of economy as 'the human propensity towards achieving maximum effect with least possible effort' (P. 180). The items used in marriage ceremony among the Yoruba people have voices. They signal the world view of the users with respect to the context in which they are used. They are also used as tools to bear the mind of the parties involved in the ceremony to one another and to the society at large. Therefore, the signs become an 'economic' way of communicating so much with so little. It is also culturally expected that the signs will be very effective in communicating the parties' intention. The items are required by the bride's family as symbols of proper request for betrothal and they are used in praying for the new couple. How do the items required communicate adequately the intention of the parties involved in the marriage, what do these symbols mean and how do they expose the ideology of the Yoruba people about marriage? These are the concerns of this paper. It is intended that this paper will reveal the Yoruba's conception of marriage through the items used in traditional marriage ceremony and state precisely the function of each sign in this social event.

## II. LITERATURE REVIEW

### A. Language and Social Semiotics

As far as the human race is concerned, language is a distinctive and essential tool for socialisation. Many researchers, especially in the sciences have described human as social animals. This suggests that one of the things that make humans who they are is their ability to socialise. Aristotle is quoted as saying "Man is by nature a social animal; an individual who is unsocial naturally and not accidentally is either beneath our notice or more than human" (Catt, 1962, p. 20). This is reinforced by the argument that human needs human to survive. For the scientist, man is born in the

society, lives in the society and dies in the society. While linguists assert this, they however stress language as an essential tool for socialisation. To relate with human beings and establish relationships, one will need to communicate and the only means of communication is the use of language either verbal or non-verbal. Halliday is a proponent of the study of language as social semiotic. According to Halliday (1978),

language is the main channel through which the patterns of living are transmitted to him (a child) through which he learns to act as members of a society in and through the various social groups, the family, the neighbourhood and so on- and to adopt its culture, its mode of thought and action, its beliefs and values. (P. 13)

This establishes the fact that language performs a number of functions in the human society. Apart from being an instrument of socialisation, it interprets our experiences and participation in social events. Also language becomes social because it is used in social contexts thereby performing social functions. To interpret language use, language has to be situated in particular contexts. When this is done, language becomes a system of meaning. Everything employed in communicative events can be said to have a voice which it lends to the interpretation of the social events. Halliday (1978) says that 'the context plays a part in what we say and what we say plays a part in determining the context' (P. 3). Since language can be verbal and non-verbal and both can be employed in social events for meaning making, language becomes a system of social signs. It is a system because it is a network of social signs which are harnessed to make meaning. If language is a system of social signs, and the study of signs is semiotics, language can be regarded as social semiotics. This is drawn from the social interpretation of language propounded by M.A.K Halliday.

The social interpretation of language entails unravelling the meaning of language, as used in social situations, and stating its functions. Van Leeuwen (2005) describes all elements of communication (verbal and non-verbal) as semiotic resources. He referred to them as

the actions and artefacts we use to communicate, whether they are produced physiologically – with our vocal apparatus; with the muscles we use to create facial expressions and gestures, etc. – or by means of technologies – with pen, ink and paper; with computer hardware and software; with fabrics, scissors and sewing machines, etc. (P. 3)

Since all elements of communication are social resources, they can as well be termed as input for language interpretation. He also states that

social semiotics resources are signifiers, observable actions and objects that have been drawn into the domain of social communication and that have a *theoretical* semiotic potential constituted by all their past uses and all their potential uses and an *actual* semiotic potential constituted by those past uses that are known to and considered relevant by the users of the resource, and by such potential uses as might be uncovered by the users on the basis of their specific needs and interests. (P. 4)

The quotation above suggests every input communication involves the use of signs which are signifiers. This establishes the fact that the interpretation of language is a semiotic process i.e. interpretation of signs. Also, it is established that signifiers are observable in every communicative event. People employ specific mode of communication because of the noticeable effectiveness and acceptability of such strategies in the particular discursive event.

It is also clear that from Van Leeuwen (2005)

Studying the semiotic potential of a given semiotic resource is studying how that resource has been, is, and can be used for purposes of communication, it is drawing up an inventory of past and present and maybe also future resources and their uses (P. 5).

Bezemer and Kress (2008), describe signs as 'elements in which meaning and form have been brought together in a relation motivated by the interest of the sign maker' (170). This further reinforces the fact that every element of language is a sign whether, letters or symbols. The concern of this paper is to decode the voice(s) of signs, a form of non-verbal, language, as used in the traditional marriage ceremony of the Yoruba people in Oyo State.

### B. Signs and Semiotics.

Communication is an integral part of human life. Every activity of man on earth can be said to communicate one message or the other. This ranges from the usual verbal communication to non-verbal communication such as gestures, looks and dispositions, sign languages such as symbols, icons and indexes etc. to communicate. As far as Hawkes (2003) is concerned, "Man's role in the world is quintessentially one of communication (P.102). He is, as Greimas argues, a receiver and sender of messages: he gathers and disseminates information". This suggests that man's activities in the world are built around communication. Human beings attempt to make meaning of their existence by communicating with themselves and to the world around them through verbal and non-verbal means. The fact that human beings communicate by non-verbal means is reinforced by Hawkes, (2003) argument that:

Language clearly plays a commanding role and is generally taken to be the predominant means of communication. But it is also clear that human beings communicate by non-verbal means and in ways which must consequently be said to be either non-linguistic... (P. 101).

The interpretation of signs as used in non-verbal communication is the concern of semiotics. According to Cobley and Jansz (1999), "the word semiotics comes from the Greek root, *seme*, as in *semeiotikos*, meaning an interpreter of signs". Also, they define semiotics as a discipline concerned simply with the analysis of signs or the study of the functioning of sign systems" (P. 4). This description establishes semiotics as a field where messages through signs can be interpreted. For Julia Kristeva semiotics interprets social practices as signifiers. This means that every social event



stands for something and as such is capable of encoding messages. Berger (2010), states that “one of the most important things that semioticians do is to decode various aspects of a culture whether it be signs found in advertisements, rituals, food practices or fashion” (P. 25). It is clear from this quotation that semioticians concern themselves with the interpretation of signs in accordance with the meaning associated with them in each culture.

Signs are defined as the “unity of word-object known as signifier with a corresponding culturally prescribed content or meaning known as a signified” (Berger, 2010, P.3). Hawkes (2003) quotes Pierces conception of sign thus, a sign or *representamen* is ‘something which stands to somebody for something in some respect or capacity’ ... it is ‘anything which determines something else (it’s *interpretant*) to refer to an object to which itself refers (its *object*)’ (P.103). From this quotation, it can be said that anything that depicts something else can be called a sign. If a look suggests a warning, it becomes a sign, and if an object is used to communicate a particular message, the object is also a sign which is also referred to as *representamen*. Apart from standing for something, Hawkes also explains that it can stand for something to somebody. So, the person to whom the object stands for something is the *interpretant*. Also, he avers that signs can only stand for something to someone in some respects and this he referred to as the *ground*. According to him, the relationship between the *representamen*, the *interpretant* and the *ground* determines the precise nature of the process of *semiosis*.

Van Leeuwen (2005) says that ‘semiotic resources are not limited to writing and picture making but as almost everything we do’ (P.4). For him social events can articulate different social and cultural meanings. His assertion is reinforced by Danesi (2004)’s view that “a sign is anything- a colour, a gesture, a wink, an object, a mathematical equation, etc. that stands for something other than itself”. He further establishes that a semiotician’s work is to focus on the concepts the signs elicit while attempting to unravel what it entails culturally and personally. (P. 6).

For Hall (2007), signs are everywhere... they are formed through the society that creates them, by the structures they employ and through the sources they use. Also for him, signs are always produced and consumed in the context of a specific society (P. 1). This idea is connected with Hawkes (2003) concept- *ground*. This refers to the social condition that necessitates the particular interpretation associated with the sign.

In line with Pierces classification of signs, Hall, (2007) states that icon, index and symbols are the basic building blocks for meaning-making. Also, he reinforces the idea that signs are comprises two inseparable elements which are the signifier and the signified whose relationship is said to be arbitrary. Therefore, the interpretation of signs is based on the generally acceptable association of the signifier and the signified. Danesi (2004), expresses the association between the signifier and the signified thus:

The brain’s capacity to produce and understand signs is called *semiosis*, while the knowledge-making activity this capacity allows all human beings to carry out is known as *representation*. The latter can be defined more precisely as the use of signs (pictures, sounds, etc.) to relate, depict, portray, or reproduce something perceived, sensed, imagined, or felt in some physical form (P.16).

The assertion above establishes the fact that there is a cognitive aspect of sign interpretation and this involves associating signs with meaning. This is essentially dependent on the acceptable mode of interpretation across cultures.

### C. Social Semiotics and Culture.

There is a specific kind of connection between semiotics and culture. Since semiotics deals with signs and it has been established that anything can be referred to as signs, it means that our understanding of the world is in a way semiotic. The natural world and the world we create for ourselves are filled with different signs ranging from nature to social activities humans engage in. These ‘worlds’ of ours are interpreted based on the opinions we have formed or which we have come to learn over a period of time. Hence, our ways of life, values, customs etc - our culture, are products of our interpretation of the world we live in. As far as the Whorfian hypothesis is concerned language conditions our world view. The hypothesis in its strong form holds that the way people view the world is determined by the features of the language they speak. This view of the world encompasses the belief system and the culture of a people. Whorf is quoted as asserting that “language conditions our world view and that different speakers view the world along the different lines laid down by their respective languages” (Akindele and Adegbite, 1999, P. 6). The different lines laid down by languages can be interpreted as signs- verbal and non-verbal. This affirms that people use the social signs around them to determine or condition their ways of life. It can also be said that such ways of life contributes to further interpretation of the world. Such that it is plausible to say that semiotics or social semiotics and culture have a dialectical relationship. This means that the elements in such relationship are “different elements but not discrete, fully separate, elements Fairclough, (2005).

Danesi, (2004) expresses the relationship between signs on the one hand and body, mind and culture on the other hand as the “conceptual glue” that interconnects their body, their mind, and the world around them in a holistic fashion” while referring to the way children make sense of the world around them. He also asserts that Once the child discovers that “signs are effective tools for thinking, planning, and negotiating meaning with others in certain situations, he or she gains access to the knowledge domain of his or her culture” (P.17). His argument also establishes the relationship between signs- the concerns of semiotics and culture. From this argument, signs are established as important tools that give meaning to the culture of a people. He further states that our understanding of the world is thus not a direct sensory one. It is mediated by signs and, thus, by the images that they elicit within our minds space.

From the literatures reviewed, it has been established that, meaning making in semiotics is culture bound and culture serves as a means through which signs are distributed as acceptable means of communication. Also, it is established that culture preserves signs and makes them continually relevant in communication. Elements of culture are therefore to be decoded so as to discover the meanings and feelings attached to them. This will give access to heart of every culture and by so doing; one will be able to understand the people in terms of their behaviour and value system. This is the concern of this paper. It seeks to unravel the meaning of the elements of culture in traditional marriage ceremony among the Yoruba people and unravel the meaning of the signs (objects) used in it. This will enable the researcher expose the ideology of the people about marriage and their behaviour in this particular context.

### III. METHODOLOGY

Language is seen as multimodal from social semiotics perspective and this suggests that there are many modes that can enhance the interpretation of language since they are in a way components of the language. As far as this paper is concerned, the signs will be interpreted based on the meta-functions of language as proposed by Halliday (1978) while taking into consideration Pierces' triadic nature of signs as used in the social event. Meanwhile, it is important to establish the fact that the items in the marriage ceremony are part of the modes used. Since 'a mode is a socially and culturally shaped resource for making meaning' (Bezemer and Kress, 2008, p. 171), it is safe to say that those resources are modes because they are specifically selected to communicate particular meanings in the marriage ceremony.

### IV. ANALYSIS AND DISCUSSION OF FINDINGS

#### *Interpreting cultural signs*

The traditional marriage among the Yoruba people has undergone a lot of transformation and improvement from its earliest forms where parents choose partners for their children to the modern version where children find for themselves suitable partners and inform their parents about it. Through the different stages of developments, some practices have remained unchanged. This can be traced to the fact that those practices are seen as germane to the marriage culture. The marriage culture has legalised a lot of such practices such that the marriage ceremony is not seen as complete if they are not involved. This includes the use of items for prayers during the ceremony, investigating about the other family involved and so on. The items requested by the bride's family are important in the Yoruba society as signs of proper proposal and acceptance of the proposal. Many of them are also used for naming ceremonies. Usually, a particular quality of the items is used to pray for the child. This is also true of the Yoruba traditional marriage. Apart from the fact that those items are signs of proper request for betrothal by the groom's family, they also embody the Yoruba ideology and belief about marriage and what a family should be.

According to Pierce's theory of signs, the triadic nature of semiotics represents the three stages involved in sign representation. The first level which is termed firstness refers to the quality of a sign that makes it appropriate to be the signifier i.e. the sign vehicle. This is called the signifying element. For pierce, a sign does not signify in all respect but a particular quality or attribute of it makes it appropriate for the particular context. This is also called representamen or qualisign. In the Yoruba culture, an item is selected as a sign because of an attribute or quality it has. This is evident in the marriage items. Items such as honey, alligator pepper, and fish and so on are used to pray while drawing particularly on an aspect of the qualities of the items. According to Danessi, (2004) "the type of representamen used to portray the object also shapes the meaning" (p.17). In Yoruba marriage, the fact that a fish swims with the head is used to represent the fact that the couple will be supported by their 'head' to scale through whatever difficulty they have. The head in the Yoruba culture represents the essence of a person. Since the fish also makes headway with the head literally, it is assumed that anyone prayed for in that manner will make a progress as the fish does. A table of the items and their interpretations is presented below based on Pierces' level of interpretation of signs.

Firstness	Secondness Associating signs with the object of sign.	Cultural application Thirdness
Quality of Oyin (Honey)	1. Pleasantness 2. Acceptance	Didun didun laaba ile oloyin, aye oko ati aya a ma dun. Ai fi oyin senu ka tuto, omo araye a ma feran ati oko ati aya. Translation: it is only sweetness that is seen in the house of someone with honey, the lives of the husband and the wife will be sweet. 2. No one puts honey in the mouth and spits, people will always love the couple.
Quality of Aadun (powdered corn cake)	Sweetness	Aaye ati oko ati aya a dun a laarinrin Translation: the lives of the couple will be sweet any full of fun.
Quality of Ireke (sugar cane)	1. Uniqueness 2. Sweetness	Gbigbin laa gbin ogede, lilo ni aa lo ireke, nkan won yio ma yato lawujo, aye won yoo dun bi omi ireke. Translation: plantains are usually planted while sugar canes are planted, their things will be different (positively). Their lives will be as sweet as the liquid from sugar cane
Quality of Ataare (alligator pepper)	Fruitfulness	Ataare kii di tire ni ai kun oke, won a finu soyun won o ni bi abiku omo. Translation: Alligator pepper does not pack half seeds, they will be fruitful, and they will not have still birth.
Quality of Orogbo (bitter kola)	Long life	Orogbo ni gbo ni saye, ati oko ati aya ni a gbo, won a si to. Translation: Bitter kola makes one live long on earth, the couple will live nong
Quality of Obi (cola nut)	Repelling evil	Obi ni bi ibi danu, ibi kan ko ni sele siwon. Translation: cola nut repels evil, no evil will befall them.
Qualities of Oti (wine)	Continuous relevance	Oti kii ti ni awujo, won o ni ti. Wine never gets obsolete, may they will not become obsolete.
Qualities of Iyo (salt)	1. Indispensable 2. Attracts goodness	Lai si iyo, obe ko le dun, araye yio ma fi oun rere wa oko ati aya kiri. Bi iyo tin mu obe dun ni won o ma mu awujo won dun. Translation: without salt, soup cannot be sweet; people will locate the couple with good things. Just as salt makes the soup sweet, they will add sweetness to their environment
Attribute of Eja (fish)	Victorious	Ori ni eja fin la ibu ja, ori won ko ni pada leyin won The fish uses its head to swim through water; their head will not abandon them.
Quality of Isu (yam)	Abundance	Iyan ni ounje, oka ni oogun, airi rara lan jeko, kenu ma dile ni ti guguru, ebi oni pawon, ile won yoo kun fun ounje. Translation: pounded yam is food, yam flour is medicine, it is only when there is none that pap ( a meal made from corn which is peculiar to the Yoruba people) is taken, popcorn is taken to keep the mouth busy, their home will be filled with food.

Adapted from Asa ati Orisa ile Yoruba by Daramola O and Adebayo J. (1975)

According to Halliday, there are three meta-functions of language. These are: the ideational, the interpersonal and the textual meta-function.

#### A. *The Ideational Meta-function of Signs*

The ideational comprises the experiential and the logical function. Butler (1985) describes the ideational component as 'serving for the expression of content' (p.47), while Halliday and Matthiessen, (2004) describe it as the grammar resources for constructing our experiences of the world around us and inside us (P. 13). The experiential component describes the content while the logical component describes the linguistic system by the fact that it is expressed through recursive structures.

The items used in the marriage ceremony encode the view of the Yoruba people about marriage. From the table above, it can be deduced that the Yoruba people have a positive conception of marriage. The qualities of the items used are the positive ones. For example, the sweetness of honey is used to express the wish that the couple experience sweetness in the marriage. Also, since yam is seen as the main food among the Yoruba people, it is used to represent and pray for abundance for the couple. In addition to this, other items express the desire such as fruitfulness which is seen as core to a Yoruba marriage, victory, long life and so on.

When items are placed together, they become a text because they communicate together at a certain level of understanding. In a way, there is a logical relationship between the items used. A critical examination of the signifiers reveals that there is a relationship of positivity among the items. So, in terms of polarity, there is the positive as against a negative image of marriage among the Yoruba people. Together they can be referred to as a text that embodies the positive image of marriage in the heart of the Yoruba people. There is cohesion in the text. This is because there is no item that contradicts the others by suggesting a negative opinion. This explains the logical function of this items used in expressing meaning. It is also possible to interpret the language of traditional marriage among the Yoruba people in terms of transitivity. Transitivity generally deals with processes. There is the material, verbal, mental, relational and circumstantial processes. The one that is easily associable to this analysis is the attributive process which is a sub-class of relational processes. The attributive process ascribes an attribute to an entity.

The attributes of the signs used are the particular qualities associated with the signifiers and that are found useful for the joining process in marriage. A very peculiar nature of the object from which the object of sign is derived in the culture is the pronunciation. It is discovered that there is a particular rhyme between the pronunciation of some words

and the quality of the signs. A syllable of the word which is found appropriate for the intended prayer is used. The polysemous nature of Yoruba words and syllables is drawn upon in the praying process. One is used to mean another so as to fulfil the intention of the user. For example:

Aadun (powdered corn cake), has as its last syllable 'dun' which means sweet and that is what is drawn upon in the process of praying for the couple. Also, for Orogbó (bitter kola), the last syllable which is 'gbo' (mature) is drawn upon to emphasise the prayer that the couple will live long. In addition to this, the last syllable of the words- 'Oti' (wine) – 'ti' (irrelevance) and 'Obi' (colanut) – 'bi' (repel) is used to pray for the couple. These syllables in contrast to the first two are negative and so are used to emphasise that the quality will never be associated with the couple.

Other qualities of items can also be used to pray for the couple in the marriage ceremony. The function of salt among people of the world is drawn upon to pray for the couple. It is believed that salt is indispensable, and so the couples are prayed for that they will be indispensable. For yam, it is believed that it is the 'king' of food in the Yoruba setting and so it is used to pray for the couple that they will not lack food in their home. It is important to note that these items are provided by the groom's family and this signifies that the man will always provide for his home. Also, the items are not used to pray for the couple as individuals but as a unified whole. This suggests that the Yoruba sees the family as an entity that deserves goodness in all sense of it. Since the family makes up the society, they believe that a family has to be properly structured so as to build a unified and sane society. This is the reason why the society believes that the family deserves all the goodness it can get from the society.

### B. *The Interpersonal Meta-function*

The interpersonal function describes the interaction between the participants in a conversation. It deals with the analysis of the structural relations of the clause which is concerned with the mood (Bloor and Bloor, 1995, P.29).

The mood of the items used can be said to be declarative. The objects are not used to suggest that the particular qualities used in them may be associated with the couple; they are used to declare what will happen or what the wishes of the participants are for the marriage and the couple. Since, the items are predominantly used to pray and prayers are usually declarative, it is justifiable that the mood is declarative. In some of the prayers, the declarations are modulated through the use of modal auxiliaries.

### C. *The Textual Meta-function of Signs*

The textual meta-function describes the resources needed in presenting the ideational and the interpersonal meta-functions. It relates to how topics are developed and projected. It involves transition in the development of text (conjunctive relation) (Halliday and Matthiessen, 2004, P. 21). Since the data is primarily a non-verbal means of communication, it is a little difficult to analyse the thematic structure. However, the information structure can be analysed based on the given and new information. According to Bloor and Bloor (1995), "we instinctively try to organise what we say in a way that will make it easier for the hearer or reader to understand" (P.65). The hearer must be able to situate the information in a way in his own wealth of experiences. This suggests that information usually should move from the simpler to more complex even though this is not always so and the assertion cannot be prescriptive since most spoken discourse are not planned. By implication, information should move from given to new information. In SFL language, given information refers to the shared knowledge between the participants in a social event while new information refers to the focus of the speaker's information. In the data under consideration, the given information is the shared knowledge about the qualisign i.e the particular quality of the sign that makes it appropriate to serve as the signifier. Hence, the sweetness of honey, the fact that the fish swims with the head, the fact that yam is a major food among the Yoruba and so on is given information. The new information therefore is the application of the quality to the social event in this case the marriage ceremony and particularly praying for the couple. For instance, it is given information that orogbo (bitter cola) ends with the 'gbo' syllable which can also be interpreted as mature. The new information is the application of the meaning of gbo (mature) to the life of the couple. This type of analysis goes for all the items used in the traditional marriage ceremony.

## V. CONCLUSION

Language has been justified as social semiotics and communication as a system of interpreting signs. These signs cannot be isolated but are culture-bound in interpretation. This is reflected in the analysis of the signs in the Yoruba traditional marriage ceremony. It is also clear from this analysis that both verbal and non-verbal languages have meta-functions. Also, Chandler's assertion that anything can be a sign as long as someone interprets it as 'signifying' something - referring to or *standing for* something other than itself is justified in the analysis. It can be drawn from the analysis that the Yoruba traditional marriage ceremony encodes the culture of the people about marriage and therefore expresses their ideology about marriage.

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# English for Specific Purposes in Palestinian Context: Determining EFL Cadets' Needs at Al Istiqlal University

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**Abstract**—This study aimed at determining EFL cadets' needs at Al-Istiqlal University in Palestine. In addition, the study sought to reveal how cadets rated their own competence in particular skills in EFL, and what they really need from their EFL course. The study was conducted on a random sample of 91 cadets. The findings showed that Al-Istiqlal University cadets' level in EFL is intermediate as the total score mean was 3.4 (68.0 %). Also, results showed that cadets' needs of EFL gained a very important level where its mean was 3.67 (73.4 %). Moreover, results indicated that the most serious difficulty which faces the cadets, as they perceive future workplace, in learning EFL is *following English conversations*. In addition, results revealed that there were significant differences in AU cadets EFL needs on all domains in favor of Police Sciences, Military Sciences, and MIS over the Psychology Security due to major variable.

**Index Terms**—EFL, needs analysis, ESP, cadets, major

## I. INTRODUCTION

Developing language skills and curriculum especially in English for Specific Purposes (ESP) context often begins with identifying how syllabus design can address the specific needs of learners (Ali and Salih, 2013; Basturkmen, 2006; Bedjaoui and Allal, 2012; Brown, 1995; Boshier & Smalkowski, 2002; Chan, 2001; Chaudron et al., 2005; Chostelidou, 2010; Cowling, 2007; Gatehouse, 2001; Martinez-Pons, 2001; Singh, 2005; Soruc, 2012; Valdez, 1999). Learners are the ones who are directly involved in the teaching- learning process and who also play crucial roles in shaping the outcomes and contents of the course. As such, their perceptions of their needs can provide valuable information for programs directors and planners to shape the curriculum development that bases the content of language courses on the communication needs, wants and interests of the learners (Akyela and Ozeka, 2010; Igawa, 2007; Kusumoto, 2008; Long, 2005; Spence and Liu, 2013; Tsao, 2011). The learners are often viewed as the best judges of their own needs because they know what they can and cannot do with the target language; and what language skills are most essential especially when they are going to work in security agencies or peacekeeping forces as the case of the Palestinian service men and women who study at Al Istiqlal University. No study has been conducted to determine or to respond to the cadets EFL needs and to decide the content of the English programs that are relevant to the cadets' academic study and future careers. So as to identify the English language needs of Al Istiqlal University cadets and to inform the syllabus rationalization and curriculum renewal of the English language courses, such study was necessitated investigation.

The problem of the study sufficed as at all universities in Palestine, EFL has been studied as a General English (GE) course. There is no university across Palestine which is interested in teaching English for Special Purposes (ESP) especially English for security purposes. Al- Istiqlal University teaches one English course, and no study has been conducted since the establishment of the university to determine the cadets' needs of learning EFL or developing further ESP courses. The present study, therefore, emanates from the need to investigate the English language needs of Al Istiqlal University cadets who are going to be officers serving in the various sectors of the Ministry of the Interior in Palestine. However, hardly any studies on Palestinian cadets' needs of EFL have been conducted. The current study tried to address the following questions:

1. What is the perceived current level of English as Foreign Language of Al-Istiqlal University cadets?
2. To what extent are English language basic skills (listening, speaking, reading and writing) needed in cadets' future workplace?
3. What are the cadets' needs of English language in the workplace: aspects of difficulties?
4. What is the importance of English for job performance, promotion, and personal life?

The present study tested the following hypothesis:

*There are no significant differences in Al- Istiqlal University cadets' needs of EFL due to major variable.*

This study was limited to the cadets at Al Istiqlal University in the academic year 2012. The significance of the study is mainly concerned with *cadets* who will study what they really want not what is being imposed on them. The *syllabus designers* to develop it based on the cadets' concerns and wants. This research aimed to investigate the current EFL level of cadets as they perceive themselves, EFL skills needed in cadets' future workplace, AU cadets' English language difficulties, and the importance of English for job performance, promotion, and personal life of AU cadets.

## II. LITERATURE REVIEW AND RELATED STUDIES

ESP focuses on the students' needs and implies a wide variety of resources of language (Dudley-Evans, 1998; Robinson, 1980). Strevens (1988) (cited in Gatehouse, 2001) mentioned characteristics of ESP:

### *a. Absolute characteristics:*

ESP consists of teaching English language to meet the language needs of specific areas, jobs, discourse, semantics in syntax, lexis.

### *b. Variables characteristics:*

Strevens (1988) mentioned variables characteristics of "ESP may be, but is not necessarily restricted as to the language skills to be learned... taught according to any pre-ordained methodology..." (p. 1-2).

According to Munby (1978) ESP, the concept of "needs analysis" is manipulated in different ways depending on learners' wants of language, and the actual needs of learners. Mackay and Mountford in 1978 suggested three purposes of ESP. Learners need it as for profession, e.g. the need for use in military, law enforcement...etc. The vocational training program purpose includes hotel and catering staff ... etc. Academic or professional study is another purpose of ESP e.g., the engineering, medicine, law... etc. Robinson (1991) argued that ESP language should suit for the profession, communicative, effective and not be necessarily native-speaker like. Khamkaew (2009), added to develop language curriculum, needs analysis would be the first step. NA involves investigating and collecting information about learners' needs, analyzing these needs, and then decides what inclusions should be in courses based on interpretation so as to fulfill the needs of learners. Brown (1995) added that teachers and planners are responsible for determining the learners' language needs so as to design an effective teaching course. However, there is no consensus on a definition of needs analysis. Richard and Platt (1992) as cited in Al-Harby, (2005 p. 15-16) added that the definition of 'needs' depends on the perception of those making the judgment (Ali and Salih, 2013 p.12).

Analyzing learners' needs is a reliable way to designers to foster effective curriculum (Akyela and Ozek, 2010; Benesch, 1996; Lockwood, 2012). Richards (2001) added that a needs assessment guarantees a flexible, modifiable curriculum rather than rigid, linear curriculum that is designed in advance by teachers (Idris, et al., 2007).

During the last thirty three years there have been a huge number of studies that attempted to analyze the learners' vocational or academic needs. In a study conducted by Abo Mosallem (1984) determined the needs of Egyptian Police officers in learning English language. A sample consisted of 150 police officers who work in different police departments in Egypt. Results showed that the police identified the officers' need for English. In terms of skills priority, the study showed that speaking and listening were given the highest priority. However, International Police Department rated reading and writing skills as in high priority. In terms of relevance of English to workplace, 83.2% of the working officers expressed their beliefs that English will help them do better work performance; 16.8 percent of the officers felt that English language learning contribute greatly to personal development.

Al-Gorashi (1989) cited in (Alhuqbani, 2008) investigated the Saudi military cadets English communicative needs at King Abdul Aziz Military Academy. A questionnaire was developed and distributed to 212 officers. The findings revealed that English is very important in situations related to the cadets' future work and their training courses such as the principles and techniques of parachute operation for Infantry officers. It was found that all officers indicated the necessity for the language skills such as listening skills and reading skills than speaking skills or writing skills. Akyel and Yalcin (1991) conducted a study on the Turkish policemen to determine their learning needs. The policemen reported that learning to listen and to speak in language is more necessary than to read or to write to their profession and workplace. They also indicated that they prefer to study language curricula which contain input data from their subject areas. The analysis of the language learning needs of Turkish policemen led to the adoption of several cognitive/affective principles in the writing process of the course materials. First, the materials should be authentic and interesting. Second, as motivation is a key factor, they should motivate learners to take active role and interact in the language learning process. Third, such principles should help learners improve their communication skills. Al-Huneidi and Basturkmen (1996) studied Kuwait University students' and faculty needs to learn English language. Also, they examined their perceptions of the importance of skills, sub-skills, and language deficiencies; language demands and needs. Perceptions of University of Kuwait students and faculty members differed concerning necessity of learning read and to listen and areas of difficulty and specific tasks important for study; the relevance of the institutions' current English second language program was assessed. It was found that over 60% faculty members perceived students to have inadequate skills.

Ketkaew (1997) carried out a study to determine the English language needs of cabin attendants. Many domains were investigated in this study such as: English language needs the functional aspects of English, English language usage problems, and determining the needs to develop the English language skills of cabin attendants. As results revealed, English language gained high importance to all cabin crew including: air stewards, air stewardesses, air pursers and flight managers in Thai Airways International. The study also indicated that the most needed skills were English language listening and speaking skills. The respondents also indicated the problems associated with using the English language four skills were moderate for all of them. The most English language skills that were needed to be improved as reported by Air stewards and air stewardesses were listening and speaking skills, however air pursers and flight managers reported that they need to develop all four skills from moderate to high levels.

Dooley (2006) identified the listening and speaking needs of international students at Curtin University in her NA and included both ESL instructors and students in the study. The perceptions of students and instructors differed to some degree but they agreed on the importance of listening for academic success and attributed importance to general listening skills in lectures, tutorial and group assignments and areas of difficulty were also identified. Alhuqbani (2008) in his study attempted to identify police officers' needs of mastering English language in the Kingdom of Saudi Arabia. For this purpose the researcher developed a questionnaire and administered it to 103 serving police officers. The results showed that English language captures an integral part in security and police jobs. All participants identified skills which were very important to their workplace as important. The results also showed that despite the importance of English for the security sectors and officers, no training on EFL has been carried out on how to use English for police purposes. Generally, results confirmed that English for police purposes should be emphasized.

Khamkaew (2009) investigated the Metropolitan Police Officers' (MPOs) needs and problems in English language listening and speaking skills who work at Chana Songkram Police Station. A questionnaire and the interview administered to 30 metropolitan police officers. Results revealed that EL listening and speaking skills should be improved in "greeting and offering help, asking for personal details and problems and wants, giving information about accommodation, tourist information, transportation, emergency calls, giving directions, and giving advice and instruction in safety, travel, and shopping" (p. 37). Most MPOs expressed the need of good command of English in listening and speaking. On the other hand, the main problems associated to speaking were using expressions, producing full sentences, and the pronunciation of vowel sounds. Chen (2009) examined The Republic of China Military Academy cadets' difficulties in speaking English. The researcher used five open-ended questions. Questions focused on cadets' difficulties in speaking English, how often they used and practiced English, how to improve their speaking ability on their own, as well as any suggested comments. The results indicated that the most difficult aspect of speaking for the cadets were not confident enough and afraid of making mistakes while speaking, fluency, and lacking sufficient vocabulary. The researcher mentioned that the reasons for these difficulties were mostly not practicing enough. Regarding the helpful ways, cadets felt that more authentic English input and listen more, read more and read aloud more are to be included in their training.

Al-Tamimi and Shuib (2010) studied students' EFL needs at Hadhramout University of Science and Technology in the academic year 2006-2007. The study sought to determine the frequent use of English language skills, their importance, ability in using the skills, the needed training in the areas of language, and their English language course preferred. A total sample of 81 third, fourth, and final-year petroleum were selected to do Needs Analysis. The study emphasized the importance of English language for students and determined the students' needs, wants and necessities of English.

Khushi and Talaat (2011) evaluated the ELT textbooks designed for the Pakistan Military Academy (PMA), Kakul. The main purpose of this study was to identify the pedagogic value of the book. Results showed that the syllabus is traditional in approach. The choice of any language teaching content should suit context where it will be taught. Such alignment between textbook content and students' language needs will be a motivating factor for learners and provokes achievement. The study clarified that content related specific/general is needed instead of many literature in the course.

Spence and Liu (2013) conducted a study implemented needs analysis questionnaires online and semi-structured interview questions to investigate engineers English language needs at company of semiconductor manufacturing in Taiwan. Results showed that engineers face a large number of English communicative situations such as: writing and reading emails, reports, and memos. On the other hand, other situations associated with oral functions such as: meetings, teleconferences, and presentations. Results revealed that there is a growing increase for the need for English especially where oral skills being in used with customer visits and relationship building. Khushi (2012) carried out a study sought to investigate the academic and professional English needs of military cadets from the teacher' perceptions, the study also aimed to contribute to the development of a course of English for Military Purposes. The researcher used the interview as an instrument administered to 12 EL instructors. Findings revealed that English Language plays an integral part of military cadets' academic and professional lives. The results also showed that speaking and writing were more important than reading and listening.

### III. METHODOLOGY

#### *Population*

The population of this study consisted of 500 male and female cadets.

#### *Sample*

The study sample consisted of 91 cadets. Tables 1 and 2 show the distribution.

TABLE 1:  
SAMPLE DISTRIBUTION ACCORDING TO GENDER

Gender	Frequency	Percentages
Male	60	65.9
Female	31	34.1
<b>Total</b>	<b>91</b>	<b>100%</b>



TABLE 2:  
SAMPLE DISTRIBUTION ACCORDING TO MAJOR

Major	Frequency	Percentages
Police Sciences	34	37.4
Military Sciences	18	19.8
Psychology Security	20	22.0
MIS	19	20.8
Total	91	100%

### Instrumentation

The researcher used a five –point Likert scale questionnaire. Also, the researcher adapted some items of Alhuqbani's questionnaire (2008) and modified them to suit the study.

### Validity of the questionnaire

The researcher distributed the questionnaire to a jury who are specialized in TEFL. The content was reviewed and most of them agreed that the questionnaire suits the purposes of the study.

### Reliability of the questionnaire

Crombach Alpha Formula was implemented to establish the reliability of the questionnaire where it gained a score of (0.96).

TABLE 3  
RELIABILITY OF THE QUESTIONNAIRE ACCORDING TO THE DOMAINS

No	Domains	Items	Reliability
1	Perceived level in EFL	0.85	4
2	EFL skills importance in workplace	0.79	4
3	English language listening skill	0.80	5
4	English language speaking skill	0.67	4
5	English language reading skill	0.70	3
6	English language writing skill	0.81	4
7	English structures	0.82	4
8	Using English in workplace	0.83	4
9	The importance of English in promotion and performance	0.87	9
10	Using English in security tasks	0.92	16
	Total	<b>0.96</b>	<b>57</b>

## IV. FINDINGS AND DISCUSSION

The first question that the study tried to answer is what is the EFL current level of Al-Istiqlal University cadets as they perceive themselves? To answer such question, means, percentages and SD were used. Table (4) shows the results.

TABLE 4  
MEANS, PERCENTAGES AND STANDARD DEVIATIONS OF THE FIRST DOMAIN  
(PERCEIVED OVERALL LEVEL OF EFL OF AL-ISTIQLAL UNIVERSITY CADETS)

N0.	Domain	Means	Percentage	Level
1	Listening comprehension	3.52	70.4	Good
2	Speaking (Conversation)	2.75	55.0	Beginner
3	Reading	3.74	74.8	Good
4	Writing	3.59	71.8	Good
	Total score	3.40	68	Moderate

It is pretty obvious, that Al-Istiqlal University cadets' level in EFL is intermediate as the total score mean was 3.4 (68.0 %). It can be inferred from the results above that AU cadets' level in EFL not good in the speaking skill. Such results are due to the fact that English language is still not used in daily life conversation. In addition, teaching listening and speaking skills are almost neglected by English teachers. This result confirms with Abu- Zahra and Shayeb (2011). To identify the cadets' perceptions of EFL importance in their work, the study answered the following question:

*To what extent are English language skills (listening, speaking, reading and writing) needed in cadets' future workplace?* Table 5 shows the results.

TABLE 5  
MEANS, STANDARD DEVIATIONS AND PERCENTAGES OF EFL SKILLS IMPORTANCE

N0.	Domain	Means	Percentage	Level
1	Listening comprehension	3.70	74.0	Very important
2	Speaking (Conversation)	4.03	80.6	Very important
3	Reading	3.47	69.4	Very important
4	Writing	3.46	69.2	Very important
	Total score	<b>3.67</b>	<b>73.4</b>	Very important

Table 5 shows that the total score of cadets' needs of EFL gained a very important level where its mean was 3.67 (73.4 %). This reveals that AU cadets are very aware of the importance of EFL in their workplace. A similar result was indicated in Al Gorashi's study (1989).

To determine which skill cadets really need, their perceptions were tested to decide which skill is essential for them. Regarding the priority of EFL skills, it is clear that cadets need listening and speaking (Akyel and Yalcin, 1991) as the means show above.

*To what extent cadets need the receptive and productive skills in English for security work?*

To answer such question means, SDs and percentages were calculated. Such results are clear in table 6, 7, 8 and 9.

*Listening skill:*

TABLE 6  
MEANS STANDARD DEVIATIONS AND PERCENTAGES OF LISTENING DOMAIN IN ENGLISH FOR SECURITY WORK

N0.	Item	Means	Percentage	Level
1	I need listening to understand terms and scripts associated with security such as theft, robbery, alibi...	3.93	78.6	Very important
2	I need listening to understand scripts and expressions in general.	3.72	74.4	Very important
3	I need listening to understand different accents like BE and AE.	3.49	69.8	Very important
4	I need listening to understand courses in the fields of security, military and police.	3.82	76.4	Very important
5	I need listening to understand inquires and questions foreigners ask about my work.	3.79	75.8	Very important
	<b>Total score</b>	<b>3.75</b>	<b>75.0</b>	Very important

It is apparent that the degree of cadets' needs to master listening skill is very important as its mean was 3.75 (75.0 %). As can be clearly induced from the above percentages, AU cadets need to develop the skill of listening for many purposes i.e., understanding the British and American accents, to understand seminars or courses in the fields of security, military and police, and understand inquires and questions foreigners ask about my work. Such results are consistent with Al- Gorashi's (1989); Akyel & Yalcin (1991); and Al- Huneidi & Basturkman (1996) and Suwanla-Ong (1999) concluded that listening and speaking skills were the most important to master.

*Speaking skill:*

TABLE 7  
MEANS STANDARD DEVIATIONS AND PERCENTAGES OF SPEAKING SKILL AND CONVERSATION DOMAIN IN ENGLISH FOR SECURITY WORK

N0.	Item	Means	Percentage	Level
1	I need speaking skill and conversation to use terms and expressions associated with security work.	4.0	80.0	Very important
2	I need to speak general English.	3.3	66.0	Important
3	I need to speak English because I want to understand what foreigners say about my agency.	4.0	80.0	Very important
4	I need to speak English so as to discuss topics related to security, TV interviews, conferences or pamphlets.	3.91	78.2	Very important
	<b>Total score</b>	<b>3.78</b>	<b>75.6</b>	Very important

Table 7 shows that the total score of speaking and conversation domain in English for security work is ranked as very important where its mean is 3.78 (75.6%). It can be indicated that AU cadets clearly identify their needs of learning the speaking. Cadets stated that speaking skill is very important since it helps them to use terms and expressions associated with security work, to understand what foreigners say about their agency and to discuss topics associated with their job. The cadets' ranking is consistent with the findings of Abo Mosallem(1984); Akyel & Yalcin (1991); Abdel Ghany & Abdel Latif (2012). In ESP course, it is generally believed that the Communicative Language Teaching (CLT) suits ESP courses (Hutchinson & Waters, 1987).

*Reading skill:*

TABLE 8  
MEANS STANDARD DEVIATIONS AND PERCENTAGES OF READING DOMAIN IN ENGLISH FOR SECURITY WORK

N0.	Item	Means	Percentage	Level
1	I need reading to correctly read and understand security-related words and terminology related to my job.	3.82	76.4	Very important
2	I need reading to correctly read, translate and understand materials related to my job.	3.67	73.4	Very Important
3	I need reading to correctly read and understand general words, phrases, and non-related security, military and police texts.	3.29	65.8	Important
	<b>Total score</b>	<b>3.59</b>	<b>71.8</b>	Very important

The reading in English domain ranked as a very important one where the mean is 3.59 (71.8 %). This is because cadets need to acquire terms associated with their majors, to understand and translate texts relevant to their specialization especially what is published about their job. Results confirm with Al-Jurf (1994).

*Writing skill:*

TABLE 9

MEANS STANDARD DEVIATIONS AND PERCENTAGES OF WRITING SKILL IN ENGLISH FOR SECURITY WORK				
N0.	Item	Means	Percentage	Level
1	I need writing to correctly write reports related to my job.	3.73	74.6	Very Important
2	I need writing to correctly write an article in a security related journal or magazine when doing a staff course.	3.48	69.6	Very Important
3	I need writing to correctly write a briefing relevant to my job.	3.52	70.4	Very important
4	I need writing to correctly write short essays on general topics.	3.20	64.0	Important
	<b>Total score</b>	<b>3.48</b>	<b>69.6</b>	Very Important

As can be seen from the table writing domain ranked as a very important one where the mean is 3.48 (69.6 %). Some cadets indicated that they need writing to I need writing to correctly write reports related to my job. Other cadets reported that writing is important because they need it to correctly write an article in a security related journal or magazine when doing a staff course.

*What are the cadets' needs of English language grammar?*

TABLE 10

MEANS STANDARD DEVIATIONS AND PERCENTAGES OF GRAMMAR OF ENGLISH FOR SECURITY WORK				
N0.	Item	Means	Percentage	Level
1	I need grammar to correctly derive security-related words and terminology related to my job.	3.33	66.6	Important
2	I need grammar to correctly write in English.	3.57	71.4	Very Important
3	I need grammar to correctly speak about an accident.	3.78	75.6	Very important
4	I need grammar to correctly understand what I listen.	3.69	73.8	Important
	<b>Total score</b>	<b>3.59</b>	<b>71.8</b>	Very important

It is obvious that cadets need to learn and use English grammar is, as the rest of the skills, very important since it ranked 3.59 (71.8%). Like the rest of the English language skills, cadets do not neglect the importance of grammar in learning English because such language area helps them a lot in correctly derive security-related words and terminology related to their job. In addition, grammar, as they perceive it, helps them to correctly write in English and understand what they listen or speak.

*What are the cadets' needs of English language in the workplace: aspects of difficulties?* To answer this question, means, SDs and percentages were used.

TABLE 11

MEANS, STANDARD DEVIATIONS AND PERCENTAGES OF ENGLISH LANGUAGE IN THE ASPECTS OF DIFFICULTIES				
N0.	Item	Means	Percentage	Level
1	I find difficulty in following English conversations of natural speed.	3.77	75.4	very high
2	I find difficulty in communicating in English with foreigners of different dialects .	3.62	72.4	very high
3	I find difficulty in understanding all that is said in English.	3.24	64.8	very high
4	I find difficulty in using English because of cultural differences .	3.49	69.8	very high
	<b>Total score</b>	<b>3.53</b>	<b>70.5</b>	very high

Table 11 summarizes the cadets' responses to the aspects of difficulties that they may encounter in the future workplace. These results are considered as dangerous indications. The most serious difficulty which faces the cadets, as they perceive future workplace, in learning EFL is *following English conversations*. This result because teaching conversation and speaking skills is overlooked. Similar results were found in Abo Mosallem's (1984) and Khamkaew (2009).

*What is the importance of English for job performance, promotion, and personal life?* To answer this question, means, SDs and percentages were used.

TABLE 12

MEANS, STANDARD DEVIATIONS AND PERCENTAGES OF ENGLISH IMPORTANCE FOR JOB PERFORMANCE, PROMOTION, AND PERSONAL LIFE

NO.	Item	Means	Percentage	Level
1	Knowledge of English helps me in: Performing my job effectively.	3.84	76.8	Very important
2	Passing my training courses.	4.10	82.0	Very important
3	Passing military examinations.	3.71	74.2	Very important
4	Increasing my knowledge in my field of specialization and work.	3.13	62.6	Important
5	Promoting me to a higher military rank.	3.14	62.8	Important
6	Raising my monthly salary.	3.90	78.0	Very important
7	Advancing my study in an English-speaking country.	3.97	79.4	Very important
8	Increasing my chances to receive a scholarship to pursue my graduate study or to engage in training courses in an English speaking country.	3.85	77.0	Very important
9	Conversing with people who can speak English but not Arabic, in the various fields of life such as hospitals and shopping centers.	3.90	78.0	Very important
	<b>Total score</b>	<b>3.73</b>	<b>74.6</b>	Very important

It is clear that the total score of this domain reached a very important rank where its mean was 3.73 and its percentage was 74.6%. Cadets at Al-Istiqlal University were asked to give their opinion about the importance of English for job performance, promotion, and personal life. Table 12 clearly shows that almost all the participants indicated that knowledge of English is essential to their work.

The study sought to determine what types of tasks in which English may be used.

TABLE 13

SHOWS THE RESULTS OF MEANS, STANDARD DEVIATIONS AND PERCENTAGES OF TYPES OF TASKS IN WHICH ENGLISH MAY BE USED

NO.	Item	Means	Percentage	Response
1	Knowledge of EFL is important to obtain information passport holders identities.	4.00	80.0	Very important
2	Discussing issues related to arrival and departure of foreigners from the official viewpoint.	3.91	78.2	Very important
3	Filling out official forms through answering questions.	3.74	74.8	Very important
4	Providing data about registering and residency.	3.70	74.0	Very important
5	Providing data about the place, job hours, and bank systems, money exchangers, and accommodation.	3.53	70.6	Very important
6	Investigating accidents and taking data about place and cause of accidents and kinds of injuries.	3.65	73.0	Very important
7	Making telephone conversations with people ask for help in traffic context, problems and offering assistance.	3.75	75.0	Very important
8	Conducting driving license tests as asking and answering questions to understand and describe road signs.	3.66	73.2	Very important
9	interpreting rules about importing and exporting goods and regulations of journeys ticket holders.	3.51	70.2	Very important
10	Questioning about missings to obtain data about the description, value, and circumstances of losing such items.	3.49	69.8	Very important
11	Investigating common breaches and crimes in which foreigners are involved (e.g., burglary, robbery, Pick pocketing, and sex crimes).	3.71	74.2	Very important
12	Discussing crime related issues such as: crime motives, denying, contradicting and confirming statements.	3.46	69.2	Very important
13	Discussing alibis of a suspect.	3.41	68.2	Very important
14	Identifying people according to description.	3.48	69.6	Very important
15	Obtaining data about the physical description of missing people.	3.76	75.2	Very important
16	Supervising and coordinating with foreign advisers in security, military and police work.	3.76	75.2	Very Important
	<b>Total score</b>	<b>3.66</b>	<b>73.2</b>	Very important

Table 12 shows that the total score of this domain reached a very important rank where its mean was 3.66 and its percentage was 73.2 %. It is very clear from the table above that cadet' responses to the situations where they need to use English support the conclusion of (Hutchinson and Waters, 1987; Robinson, 1991; and Long, 2005).

The hypothesis says that *there are no significant differences in Al- Istiqlal University cadets' needs of EFL due to major variable.*

To test such hypothesis the researcher used One- ANOVA and tables 13 and 14 show the results.

TABLE 13  
RESULTS RELATED TO THE MAJOR VARIABLE

Domains	Majors	No	Means	SDs
1. Perceived level in EFL	Police Sciences	34	3.40	0.88
	Military Sciences	18	3.60	0.97
	Psychology Security	20	2.80	0.93
	MIS	19	3.80	0.76
2. EFL skills importance in workplace	<b>Total</b>	<b>91</b>	<b>3.40</b>	<b>0.94</b>
	Police Sciences	34	3.79	0.58
	Military Sciences	18	3.67	0.72
	Psychology Security	20	3.10	1.04
	MIS	19	4.00	0.68
3. English language listening skill	<b>Total</b>	<b>91</b>	<b>3.67</b>	<b>0.80</b>
	Police Sciences	34	3.90	0.66
	Military Sciences	18	3.90	0.79
	Psychology Security	20	3.40	1.06
	MIS	19	3.80	0.74
4. English language speaking skill	<b>Total</b>	<b>91</b>	<b>3.80</b>	<b>0.81</b>
	Police Sciences	34	3.90	0.61
	Military Sciences	18	4.00	0.72
	Psychology Security	20	3.39	1.12
	MIS	19	3.80	0.63
5. English language reading skill	<b>Total</b>	<b>91</b>	<b>3.80</b>	<b>0.79</b>
	Police Sciences	34	3.60	0.84
	Military Sciences	18	3.90	0.72
	Psychology Security	20	3.20	0.99
	MIS	19	3.70	0.59
6. English language writing skill	<b>Total</b>	<b>91</b>	<b>3.60</b>	<b>0.83</b>
	Police Sciences	34	3.60	0.79
	Military Sciences	18	3.90	0.78
	Psychology Security	20	2.90	0.99
	MIS	19	3.50	0.86
7. English structures	<b>Total</b>	<b>91</b>	<b>3.50</b>	<b>0.91</b>
	Police Sciences	34	3.60	0.87
	Military Sciences	18	3.90	0.67
	Psychology Security	20	2.90	1.11
	MIS	19	4.00	0.80
8. Using English in workplace	<b>Total</b>	<b>91</b>	<b>3.60</b>	<b>0.95</b>
	Police Sciences	34	3.80	0.97
	Military Sciences	18	3.70	0.89
	Psychology Security	20	3.10	1.20
	MIS	19	3.30	0.89
9. The importance of English in promotion and performance	<b>Total</b>	<b>91</b>	<b>3.50</b>	<b>1.02</b>
	Police Sciences	34	4.00	0.61
	Military Sciences	18	3.90	0.63
	Psychology Security	20	3.10	1.02
	MIS	19	3.60	0.68
10. Using English in security tasks	<b>Total</b>	<b>91</b>	<b>3.70</b>	<b>0.79</b>
	Police Sciences	34	3.90	0.65
	Military Sciences	18	3.80	0.75
	Psychology Security	20	3.10	0.82
	MIS	19	3.60	0.65
<b>Total Score</b>	<b>Total</b>	<b>91</b>	<b>3.70</b>	<b>0.76</b>
	Police Sciences	34	3.90	0.80
	Military Sciences	18	3.80	0.84
	Psychology Security	20	3.00	0.68
	MIS	19	3.70	0.74
	<b>Total</b>	<b>91</b>	<b>3.60</b>	<b>0.85</b>

TABLE 14  
RESULTS OF ONE-WAY ANOVA DUE TO MAJOR VARIABLE

Domains	Source of variance	Sum of squares	DF	Means of squares	F value	Significance*
1. Perceived level in EFL	Between groups	11.910	3	3.970	5.009	*0.003
	Within groups	68.962	87	0.793		
	Total	80.872	90			
2. EFL skills importance in workplace	Between groups	8.372	3	2.791	4.891	*0.003
	Within groups	49.635	87	0.571		
	Total	58.007	90			
3. English language listening skill	Between groups	3.284	3	1.095	1.672	0.179
	Within groups	56.963	87	0.655		
	Total	60.246	90			
4. English language speaking skill	Between groups	4.430	3	1.477	2.433	0.070
	Within groups	52.800	87	0.607		
	Total	7.229	90			
5. English language reading skill	Between groups	4.473	3	1.491	2.248	0.088
	Within groups	57.705	87	0.663		
	Total	62.178	90			
6. English language writing skill	Between groups	11.580	3	3.860	5.282	*0.002
	Within groups	63.574	87	0.731		
	Total	75.154	90			
7. English structures	Between groups	13.211	3	4.404	5.594	*0.001
	Within groups	68.495	87	0.787		
	Total	81.706	90			
8. Using English in workplace	Between groups	8.001	3	2.667	2.671	0.052
	Within groups	86.854	87	0.998		
	Total	94.854	90			
9. The importance of English in promotion and performance	Between groups	8.869	3	2.965	5.375	*0.002
	Within groups	47.854	87	0.550		
	Total	56.724	90			
10. Using English in security tasks	Between groups	7.789	3	2.596	5.075	*0.003
	Within groups	44.511	87	0.512		
	Total	52.300	90			
Total Score	Between groups	13.105	3	4.368	7.249	*0.00001
	Within groups	52.428	87	0.603		
	Total	65.533	90			

• Significant at ( $\alpha = 0.05$ ).

Table 14 shows that there were no significant differences at ( $\alpha = 0.05$ ) on the third domain, the fourth domain, the fifth domain and eighth domain; whereas there were significant differences on the first domain, the sixth domain, the seventh domain, the ninth domain, the tenth domain and the total score.

To determine among which the differences were, Scheffe Post Hoc was implemented.

TABLE 15

SCHEFFE POST HOC FOR THE DIFFERENCES IN MAJOR ON THE FIRST, SECOND, SIXTH, SEVENTH, NINTH, TENTH, AND THE TOTAL SCORE

Domain	Major	Police sciences	Military sciences	Psychology security	MIS
Perceived level in EFL	Police sciences		0.2279-	0.6096	0.4319-
	Military sciences			*0.8375	0.2039-
	Psychology security				*1.0414-
	MIS				
EFL skills importance	Police sciences		0.1201	*0.6493	0.2264-
	Military sciences			0.5292	0.3465-
	Psychology security				*0.8757-
	MIS				
Domain	Major	Police sciences	Military sciences	Psychology security	MIS
English language writing skill	Police sciences		0.3137-	*0.7404	0.1029
	Military sciences			*1.0542	0.4167
	Psychology security				0.6375-
	MIS				
English structures	Police sciences		0.3350-	0.6581	0.3649-
	Military sciences			*0.9931	0.02997-
	Psychology security				*1.0230-
	MIS				
The importance of English in promotion and performance	Police sciences		0.0704	*0.7958	0.3586
	Military sciences			*0.7253	0.2882
	Psychology security				0.4371-
	MIS				
Using English in security tasks	Police sciences		0.0588	*0.7432	0.3368
	Military sciences			*0.6844	0.2780
	Psychology security				0.4064-
	MIS				
Total score	Police sciences		0.1356	*0.9912	0.2833
	Military sciences			*0.8556	0.1477
	Psychology security				0.7079-
	MIS				

\*significant at ( $\alpha = 0.05$ ).

Tables above show that there are significant differences at ( $\alpha = 0.05$ ) on the first domain due to the major variable in favor of Military Sciences and MIS over Psychology Security.

This result indicates that AU cadets rated themselves EFL skills as they really need them. Taking into account the nature of military sciences courses and staff courses they may pursue postgraduation, most military academies the cadets may enroll are English speaking countries. The same applies to the MIS since most of the computer courses are instructed in English and the textbooks are also international MIS courses. This result is due to the cadets' understanding of the EFL level to be developed. Taking into consideration the focus of the English courses that the cadets had while they were students at public schools, it is possible to conclude that this relative difficulty with speaking is a result of reading and grammar were dominating the syllabus, while speaking and listening were almost neglected.

Police Sciences and MIS found to have significant differences at ( $\alpha = 0.05$ ) on the second domain due to the major variable over Psychology Security. This result shows that all police sciences cadets indicated that speaking skill and listening skill are the most important language to their future work. Cadets indicated that they need to develop their listening skill so as to understand foreigners. Such ranking as the most important skills to their work is consistent with previous findings in ESP which generally indicated that the communicative and functional aspect of English suit ESP courses (Hutchinson & Waters, 1987; Munby, 1978; Widdowson, 1987).

There are significant differences on the sixth domain in favor of Military Sciences and Police Sciences over Psychology Security. Some cadets indicated that they need writing to write reports related to their job. Other cadets reported that writing is important because they need it to correctly write an article in a security related journal or magazine, or topics when doing a staff course. The researcher elaborated that military forces today are increasingly deployed on humanitarian assistance and peace operations. Different nations contribute to peacekeeping forces, trainings or joint operations and these different national contingents come under a central command or headquarters. Often English is the operational language of this mission. English is the official language that different national contingents use to talk to each and to communicate. Increasingly, the armed forces of different nations work and train together. When soldiers, officers, go on exercise they need to communicate in a common language, and English has

become a military lingua franca. It is clear that cadets at AU are aware of such need especially Police and Military sciences, especially those who wish to pursue their commission or staff i.e., at Sand Hurst in the UK. This result confirms with Preechawat (2010). On the other hand, Akyel and Yalcin (1991) showed that the policemen reported that listening and speaking are more important than writing to their jobs. Military Sciences and MIS were found to have significant differences at ( $\alpha= 0.05$ ) on the seventh domain over Psychology Security. Again, this result emphasizes the potential role that English language structures may function in the official missions, writings, communications that cadets may need in the future. Also, due to the nature of cadets' courses who study Military Sciences and MIS, they implement and use English more frequently than Psychology Security. The importance of English in promotion and performance domain has also significant differences due to the major variable the differences are in favor of Police, MIS and Military Sciences over Psychology Security. The results showed that cadets need English in order to perform their future jobs more efficiently. The results agree with Al-Gorashi's (1989). There are also significant differences at ( $\alpha= 0.05$ ) on the tenth domain and the total score in favor of Police Sciences and Military Sciences over Psychology Security. The results of the above table show the cadets' responses to security tasks for which cadets were asked to select if they were applicable to their future missions. The cadets' scores ranged from 4.00 to 3.41. The majority of the cadets stated that English is most needed in situations and activities relevant to security work in which they are required to obtain data about the passport holder identity, discussing issues related to arrival and departure of foreigners from the official viewpoint and able to converse with those seeking help in traffic events and problems and offering assistance. Moreover, it was inferred that communicative competence is a potential to address such needs. Such findings confirm with Zhao (2012). The results showed support for the claim in ESP that language materials should be authentic, that is, the materials should be drawn from the learners' area of study or work Alastal and Shuib (2012), Diocesano-Ávila and Salamanca (2012) Brunton(2009), Gatehouse (2001) Hutchinson & Waters (1987) Munby (1978), Widdowson (1987), Zohrabi (2011). ESP learners are different from those learners' in general English classes in that they are aware of what they need English for. The cadets expressed their need to have materials that include real life situations.

#### V. CONCLUSION AND RECOMMENDATION

In the light of the study results, it is very obvious that cadets feel of a great need to master the English language four skills. This is because they recognize the international use of English language as it became the *lingua franca* of security cooperation, peacekeeping and joint international operations. If an ESP course is to be designed so as to meet English language cadets needs, stakeholders at Al Istiqlal University should integrate the four language skills focusing on listening and speaking since they had the priority of importance as perceived by cadets.

Further studies on cadets' needs should be pursued to meet the various and constantly changing demands of security sectors especially with the global changes of security men duties.

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# A Course Design Guideline for Legal English Teaching in Chinese Tertiary Education: From the Perspective of Content-based Instruction

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**Abstract**—Although the course of English for Specific Purposes (ESP) is increasingly popular in China, ESP courses today are no more than teaching specific words and phrases and translating texts following the traditional grammar-translation method. With China's active participation in the international affairs, more importance is expected to be attached to the design of ESP courses that can be facilitative in preparing learners for their future career in an international context. Under such circumstance, this paper is intended to offer a layout principle of ESP course design tailored for Chinese university law students based on Content-based instruction (CBI) approach. It first reviews conceptual notions regarding CBI and then move to look into related issues concerning the current ESP course design. Admittedly, these issues can be viewed from differential angles in diverse ESP contexts, the proposed framework for ESP course design is expected to be beneficial to teachers who are engaged in ESP course development.

**Index Terms**—content-based instruction, English for specific purpose, course design, legal English

## I. INTRODUCTION

As the globalization of trade and economy intensifies, English for Specific Purposes (afterwards ESP) is enjoying more popularity the world over. Although ESP courses are gaining more attention in China and many institutions and universities start to run a variety of ESP courses for seniors, the instruction, unfortunately, is no more than teaching specialized lexicon and sentence structures. This pedagogical approach which typically follows traditional grammar-translation method, according to Gao (2007), essentially ignores the learners' academic pursuit and personal interests or needs. This inevitably results in low motivation in their English learning and, in turn, substandard performance in their future profession when they have to communicate in English in their particular field.

Thus, university English faculties are facing the task of equipping the students for an extremely competitive society in which those who are both steeped in their specific area and proficient in their professional communication can stand out. That is to say, English teachers are expected to design up-to-the-standard English courses that can help learners best prepare for their professional communications in the near future.

Based on a Content-based approach, this paper is to propose a sample ESP course design for law students which serves as a guideline for legal English teaching in China at tertiary level. As a point of departure for my discussion, I shall have a brief conceptual review of Content-based instruction (afterwards CBI) and backdrop information for Legal English course.

## II. CONCEPTUAL REVIEW OF CONTENT-BASED INSTRUCTION

Content-based instruction (afterwards CBI) is a significant pedagogical approach in language education. It has generally been understood as an integrated approach with dual focus on language skills and content mastery. Language and content, according to Mohan (1986), should be learned at the same time. This point of view puts an emphasis on the significance of language and content integration.

Based on Mohan's framework, the ESP literature over the past decades has been seen numerous interpretations or definitions of CBI. Brinton *et al.* (1989), for example, has defined CBI as the 'integration of particular content with language-teaching aims', while content refers to 'regular subject matter that students are currently learning such as mathematics, geography, and history, etc'. (cited in Du, 2009)

Surely the difference between CBI and other language approaches lies not only in what to teach but also in how to teach. For example, the grammar-translation approach emphasizes the significance of raising the students' consciousness to linguistic rules in language teaching. Communicative language teaching emphasizes interaction as both the means to and the ultimate goal of learning a language. Advocates of CBI believe that the involvement of relevant subject matter knowledge may motivate the students to be more actively engaged in language activities and

thus develop the relevant skills (Du, 2011).

In summary, within literature there exist a wide range of differing conceptions vis-a-vis the nature and scope of CBI. However, it is generally agreed that the integrative approach provides a meaningful basis for language teaching and speeds up the process of L2 mainstream success (Williams, 1995). According to Krashen (1987), “sheltered subject-matter teaching,” which he calls SSMT (and we are calling CBI), is the most effective way to teach a foreign language. As a matter of fact, the development of CBI in “immersion” bilingual programs and in programs for English as a Second Language have had a significant impact on CBI in foreign language education (see Stryker & Leaver, 1997 for details).

Quite obviously, CBI supports contextualized learning. That is to say, learners are taught useful language that is embedded within relevant discourse contexts rather than as isolated language fragments. Hence students make greater connections with the language and what they already know. Another important factor underlying content-based instruction is keeping students motivated and interested. The fundamental philosophy here is that when students are motivated and interested in the material they are learning, they make greater connections between topics, elaborations with learning material and can recall information better. In short, when a student is intrinsically motivated, the student achieves more. This in turn leads to a perception of success, of gaining positive attributes which will continue a circular learning pattern of success and interest. (cf. Wikipedia)

### III. BACKGROUND INFORMATION OF THE LEGAL ENGLISH COURSE

Although the importance of English as an international language is well recognized by the central government (Boyle, 2000) and English has been included in the curriculum as a compulsory subject for four consecutive terms in tertiary education, English is not the medium of subject instruction for college students in China. Chinese is the medium of instruction of all subject matter at the vast majority of colleges and universities with the exception of a small number of elite universities. Consequently, expertise and English have been in a status of split or separation. This directly leads to the dilemma of distortions in supply and demand in the job market. Take the legal profession as an example, professionals in law with high English proficiency are badly needed in foreign legal firms and legal affairs department in international company. But in contrast to this, many a law student having B.A or even M.A and Certificate of CET (College English Test) Band 6 are incapable of taking up related responsibilities due to the lack of professional training on Legal English. In response to the gap between what the job-seeker has to offer and what the employer requires, many colleges and universities offer a variety of ESP courses for their students to enhance the chance of employment and enable them to participate more fully in an increasingly complex academic and social environment.

At Southwest University of Political Science and Law<sup>1</sup> (afterwards SWUPL) in China where the current course design is to be conducted, law is the most important subject and most students are to work in the judicial field upon their graduation. Law courses offered by SWUPL include civil law, administrative law, economic law, criminal law, international law, criminal investigation, legal litigation and basic legal theories. A required undergraduate course in Legal English is offered for part of law students in the fourth term.

The purpose of the course is to enhance the students' English skills in legal contexts so as to prepare them for successful participation in their future professional communication. After three semesters' study in their specific legal area and general college English, we assume that students have a proficient understanding of law-related subjects and their English proficiency is sufficient to deal with the Legal English course. Obviously, it is high time for law students to start an ESP course which is tailored for their future professional or academic<sup>2</sup> needs.

### IV. ENGLISH FOR LEGAL PURPOSE COURSE

#### A. *An Overview*

The Legal English course is designed for law students at university who are obviously pre-experience learners. The legal English course normally runs parallel to law courses so that students can associate their subject knowledge they have learned with the legal English context whenever relevant. Since the Legal English course is among compulsory subjects, the students' performance is evaluated at the end of the semester. It focuses broadly on the four basic language skills of listening, reading, writing and speaking because it is unrealistic for the students to predict which specific skill their future jobs require (Gao, 2007).

To use coursebooks in university class is a general practice in China, the course teacher, however, has freedom to choose supplementary materials for the students, especially in an ESP course. Therefore, the teaching resources used in Legal English class are usually one coursebook plus some extra complementary materials selected by the course teacher. For example, related legal articles and original legal documents are often chosen for reading comprehension.

Normally, authentic materials are chosen as teaching resources because the target students' English proficiency is

<sup>1</sup> As one of the oldest political science and law universities in China, Southwest University of Political Science and Law (SWUPL) was accredited as a key university by the State Council in 1978. She became the first key university in Chongqing co-administrated by Ministry of Education and Chongqing Municipality.

<sup>2</sup> This course is aiming at preparing the students for an optional course of more advanced Legal English set for seniors and for their graduate study if they choose to further their education.

assumed to be sufficiently adequate, at least for the current course. In the case of SWUPL, the Legal English course is exclusively offered to advanced classes<sup>3</sup>. Nearly all students passed College English Test Band 4 (afterwards CET 4) and most of them even passed College English Test Band 6 (afterwards CET 6). All the reading texts or learning materials are selected from original legal books and journals or foreign affair-related legal documents. Although these materials are not written for English teaching purposes, the contents are interesting and meaningful for the learners because of their relevance to the subject matter they are learning or have learned in law courses.

### *B. Needs Analysis*

According to Brindley (1989, p. 65), needs “do not have of themselves an objective reality”, rather, “what is finally established as a ‘need’ is a matter of agreement and judgment not discovery (Lawson, 1979, p. 37). The needs established for a particular group of students will be an outcome of a needs analysis project and the perspective of the definition of needs. In this paper, the goal-oriented definition of needs (Widdowson, 1981, p. 2) is adopted to refer to students’ study or job requirements, that is, what they have to be able to do at the end of their language course.

In order to conduct a reliable needs analysis, ‘a triangulation of questionnaires, informal discussions with learners and other lecturers, interviews with ex-students and lecturers, and observation of former students’ actual workplace experiences is conducted before the course’ (Gao, 2007). Learner performance and assignments are appraised during the course and tests results are analyzed after the course. This amalgamation of pre-course, mid-course and post-course analyses helps the course teacher understand what the students are like at the start, middle and end of the course. The combined feedback then serves to inform the course teacher as to how the next round of course should be revamped or revised.

### *C. Rationale*

Questionnaires are one of the most common research tools. It is economic in terms of time required and provides easier ways to collect and analyze data than many other means of research (cf. Babbie, 1998; Bryman, 2001; Dornyei, 2003). It is advisable that the pilot questionnaire be administered to present and past students and to lecturers (see Lonnfors, 1978 for an example of piloting questionnaires).

As for interview, the current course teacher can get information about the learners’ English proficiency, their particular weak points and what they need to learn and improve upon through this course through interviewing the lecturers who taught the College English course in the previous year. These interviews or discussions can be carried out individually or in groups if possible, in an informal manner. Informal discussion can provide a relaxing atmosphere in which students are well encouraged to express their ideas and thoughts openly and the interviewers are allowed to change questions or the way of phrasing questions as well as asking follow-up questions to probe into further information. It is desirable, however, for the interviewer to adopt a “structured interview” where, in effect, the interviewee is guided by the interviewer through a questionnaire. Besides, interviewing the ex-students with carefully designed questions can be another effectual way of collecting data. And to observe those ex-students in their working places can also be informative because they probably have the best say of whether the ESP course has prepared them effectively or not.

Assessing learners’ performances and assignments during the course can be helpful to know their real problems or difficulties during this course. After analyzing the feedback, fine-tuned readjustment to the following course could be invaluable for both teachers and learners. In addition, a mid-term test and final-term examination are also indispensable to check their progress and to ascertain what they already know as well as what they do not know (cf. Hutchison & Waters, 1987; Robinson, 1991).

As already mentioned, students have already had command of specific subject knowledge upon entering the course. For the first three academic terms at the university, they are required to take College English course and most of them have passed the CET 6. This legal English course is a bridge between their subject matter and their foreign language skills to further enhance their English expertise in authentic legal communication context.

## V. GUIDELINE FOR LEGAL ENGLISH COURSE IN SWUPL

### *A. Goals and Objectives*

In the broad sense, the fundamental goal of legal English teaching is to enhance the balanced development of the learners’ subject knowledge and English proficiency, enable them to become active in thinking and broad in vision, and ultimately, have a positive impact on the learners’ employment prospect (H. Zhang, 2011). Therefore, the overall objective of the course is to help the law students prepare for their future profession because good command of their expertise coupled with high level of English proficiency can give them an edge in today’s competitive job market. In general practice, the students send out their resumes to companies in order to seek interview opportunities before recruitment, as a result, job application constitutes an indispensable part of the course. In their future legal career, they

<sup>3</sup> The students registering at the university were divided into two levels in terms of English proficiency at the end of the first academic year: while only one tenth of the students in each school were singled out to be placed in an advanced class, the remaining ones were grouped into low and intermediate classes.

might be working in a law firm or an international company or institution where English is employed as a working language when they communicate with other colleagues or customers from all over the world.

#### Goals

Law students are expected to become familiar with legal terminology and write adeptly in English by the end of the course. They should, for instance, be able to write simple legal documents, e-mails as well as a resume of high quality. Moreover, they should be capable of understanding intermediate legal articles and documents, conducting common professional conversation orally and maintaining relationships with the international community in their specific area through such modern means of communication as e-mail and MSN or Skype.

#### Objectives

The objectives for each skill are stated in Table 1:

TABLE 1  
OBJECTIVES OF THE COURSE

Skills	objectives
Listening:	To understand conversations in legal communication settings.
Speaking:	To communicate effectively with native/non-native English speakers in job interviews and legal communication settings.
Reading:	To understand various texts, such as legal monograph, reports, documents and journal articles.
Writing:	To write resumes and law-related letters or e-mails.

#### B. Outline of the Course

The course lasts one academic semester, a duration of 17 weeks. The total length of the course is 51 hours (3 academic hours a day; 1 day a week). The number of students in each class is usually between forty and fifty. The target learners are sophomore undergraduates (at their second term) from the law-related schools<sup>4</sup> and resources of the course comprise a textbook set by the school authority and in-house materials and visuals selected by the ESP teacher.

The course covers four language areas/skills—listening, writing, speaking and reading in which the following are taught (see Table 2):

TABLE 2  
OUTLINE OF THE COURSE

Skills	Contents to be taught
Listening:	Interactions/exchanges at the court; conversations with legal contacts; job interview; legal news.
Speaking:	Introductions; job interview; conversations in international legal contexts.
Reading:	Legal documents; journal articles; case reports; monographs (for elite students).
Writing:	Resume; cover letters; legal letters/documents; e-mails; notes; memos.

As mentioned earlier in the paper, the overall English level of the law students is comparably sufficient enough to cope with the legal English course. Therefore, the authentic materials are thought to be appropriate in terms of difficulties in language and content although they may find some vocabulary alien to them. “Authentic materials” refers to the use of print, audio, video and pictorial material originally produced for a purpose other than the teaching of language (Robinson, 1991). The subject content is not a problem for this cohort of students because, as already mentioned, they possess sufficient background knowledge of law in their specific areas taught in Chinese.

#### C. Needs Analysis

According to Hutchison & Waters (1987), what distinguishes ESP from General English is not the *existence* of a need as such but rather an *awareness* of the need. As I see it, it is not so much the awareness of the need which distinguishes the ESP from general course but rather the implementation of learners’ needs throughout the ESP course. A combined analysis of pre-course, mid-course and post-course performances serves to get sufficient information about what students have learned and what they still need to learn and improve through this course. The following (Table 3) shows the structure of the needs analysis:

TABLE 3  
THE STRUCTURE OF THE NEEDS ANALYSIS

Stages of Needs Analysis	Tools used for Needs Analysis
<i>Pre-course Needs Analysis:</i>	Questionnaires, Interviews, Informal Discussions
<i>Mid-course Needs Analysis:</i>	Results of learners’ daily performance and assignments, Mid-term Test Results, Observation
<i>Post-course Needs Analysis:</i>	Final Test Results, Checklists, Informal discussions/interviews

#### D. Course Evaluation

A basic distinction is made between *formative* and *summative* evaluation (Robinson, 1991, p. 65). Formative evaluation is carried out during the life of a course or project and the results obtained can be used to modify what is

<sup>4</sup> They are School of administrative law, School of civil and commercial law, School of criminal law, School of economic and trade law and School of international law.

being done. Summative evaluation, on the other hand, is carried out when the course or project is finished and when it is clearly too late to any 'fine tuning', at least in this round of course. Two types of evaluation are to be implemented in the current course. They are to be reflected in the following procedures:

#### *Observation*

According to Robinson (1991), observing past students who are working may be an effective means in seeing to what extent the ESP course has fully prepared them for workplace needs. In addition, classroom observation is also essential to 'furnish the evaluator with assumed important process variables that characterize the work in the classroom' (Mackay, 1981, p. 115). Such observation should be able to inform the course designer who then readjusts the course materials and/or teaching methods for the next year students.

#### *Mid-course and end-of-course evaluation*

According to Feez (1998), a mid-course evaluation questionnaire can be given to learners in order to fine-tune the course before it finishes. End-of-course evaluation is normally achieved through analyzing learners' final examination results and performance. This kind of course evaluation helps to assess whether the course objectives are being met – whether the course, in other words, is doing what it was designed to do. If the outcome consistently shows that the course fails to meet the course objective, then something must be wrong with the course design: the objective may be too ambitious given the resources available; the analysis of the learners' initial competence may be wrong; the methodology adopted in the course may be inappropriate (Hutchison & Waters, 1987).

#### *Questionnaire, checklist and interviews*

Many a expert has written about the construction and design of questionnaire and some of the problems involved when questionnaire is used as a technique of evaluating ESP course (see, e.g., Mackay, 1981; Smith, 1989). Needless to say, feedback from questionnaires drawn up for students, ex-students, ESP teachers and subject specialists can be very informative. However, we should not be oblivious of the obvious problems with using questionnaire as a way of ESP course evaluation which may include the length, possible misinterpretation of questions by respondents and failure of respondents to return them. A checklist is much shorter than a questionnaire and can be used when the evaluation is focused on small-scale aspects of a course program, for example, one component of a syllabus. The questions in a checklist may be closed (Yes/No/Don't know), which are easiest for computer check or analysis. Face-to-face interviews are time consuming, but provide the opportunity for more extended exploration of the points than do questionnaires or checklists. Ideally, the interviews are planned and structured; that is, the same or related questions are asked of each interviewee (Robinson, 1991).

#### *Self-assessment and achievement assessment*

Brindley (1989, p. 1) suggests the involvement of the learners themselves in the process of assessment. Self-assessment can be implemented through the following: oral production (student self-checklist; peer checklist; listening to tape-recorded oral production to detect pronunciation or grammar mistakes); self-revision and listening comprehension (cf. Brown, 2001). Achievement assessment is usually internal to the course and reflects the nature and content of the course itself (Alderson & Hughes, 1981). The achievement test can be used to examine whether or to what extent learners have learned what has been taught. One way of building in some cross-checking of results is by triangulation, that is, by targeting the same point by means of two or more techniques of evaluation, for instance, seeking information on one aspect by means of observation, interview and achievement test.

## VI. CONCLUSION

This paper has reviewed conceptual notions regarding CBI and then discussed some core issues in ESP course design on the basis of previous empirical studies (see, e.g., Feng, 2008; Wang, 2009; W. Zhang, 2002). The initial step in ESP course design is analyzing learners' particular needs, to be specific, what the learner has to know (necessities), the gap between what the learner knows already and what they need to know (lacks), and what the learners view as to what their needs are (wants) (cf. Hutchison & Waters, 1987; Hutchison, Waters, & Breen, 1979). Only based on learners' needs and their target language proficiency can the teacher determine goals and objectives of the course, a process which involves consideration of specific functions, terminology comprehension, and the abilities required for future workplace communication (Gao, 2007). Finally, assessment and evaluation also constitute an indispensable part in the course design. It helps the course teacher to examine the extent to which the course objectives are met. By way of exemplifying, the paper puts forward a proposal for an ESP course design targeted to law students in SWUPL. It is hoped that this paper will offer heuristics for other course designers devoted to developing ESP courses in similar contexts and will serve as springboard onto more substantive research than has been hitherto attempted.

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# Impersonal Constructions in Igbo

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**Abstract**—Two major perspectives employed in the characterisation of impersonal constructions in linguistic literature are the subject-centred and the agent-centred perspectives (Siewierska, 2008a). In Igbo studies the impersonal element that has received much attention is the impersonal pronoun *a/e*, and scholars have generally adopted a subject-based perspective in its analysis, while the agent-based perspective has been largely neglected. In addition, the subject-based perspective of the Igbo impersonal pronoun has generally focused on its distributional properties (Anyanwu, 2005, 2012; Nwaozuzu, 2007), while semantic and functional issues relating to the construction based on the impersonal pronoun has received no serious attention. This limits insight into the range of Igbo constructions that may be considered impersonal under the subject-based perspective. With the aim of locating the impersonal pronoun construction in the larger category of impersonal constructions in the language, the paper adopts a subject-based view of impersonal constructions as those that lack a canonical subject and also applies the agent-based perspective to the Igbo impersonal pronoun in its use as an agent-defocusing strategy. Other Igbo constructions which qualify as impersonal in the light of cross-linguistic criteria established in other studies are identified, and the syntactic and semantic features that make it possible to accommodate such constructions as impersonal, which in previous studies have not been linked to the syntax of the Igbo impersonal pronoun, are also highlighted in the paper.

**Index Terms**—impersonal, pronoun, constructions, functional, cross-linguistic, perspective

## I. INTRODUCTION

The element traditionally recognised as impersonal in Igbo studies is the impersonal pronoun. It has two forms (*a/e*), which are conditioned by vowel harmony, a restriction on vowel co-occurrence observed in the phonological system of Igbo. The form of the impersonal pronoun used in a sentence belongs to the same harmony group (*a, i, o, u* or *e, i, o, u*) as the vowel of the first syllable of the following verbal element, as in the following examples:

- (1) a. A gbara      bọl n'ụlọ      akwụkwọ.<sup>1</sup>  
 (IMP shoot.PAST ball in.house book)  
 'Football was played at school.'
- b. A ga-echi      ya eze.  
 (IMP FUT-install him king)  
 'He will be made king.'
- (2) a. E gburu      agwọ ụnyaahụ.  
 (IMP kill.PAST snake yesterday)  
 'A snake was killed yesterday.'
- b. E kwere inyere ya      aka.  
 (IMP agree to.give him/her hand)  
 'It was agreed upon to give him/her a helping hand.'

The recognition of an impersonal pronoun category in earlier Igbo studies (e.g. Emenanjo, 1978) has come under criticism in some recent studies. Nwaozuzu (2007) argues for a rejection of the category of impersonal pronoun on the basis of the fact that the syntactic features of the impersonal pronoun, including the lack of a plural and a reflexive form, do not qualify it to be a "true pronoun".

The argument is taken further by Anyanwu (2005, 2012), who re-analyses the Igbo impersonal pronoun as a pronominal (subject) clitic, alongside dependent second person and third person singular pronouns, *i/i* and *o/o* respectively. In his analysis, pronominal (subject) clitics are distinguished from independent pronouns on the basis of certain syntactic criteria.

This paper aims to show that the impersonal pronoun is only one of the elements used in Igbo to express impersonality and that the Igbo impersonal pronoun construction is only one instance of impersonalization in the Igbo language. Established cross-linguistic criteria for the identification of impersonal constructions will be shown to include as impersonal a number of constructions in Igbo.

<sup>1</sup> The following abbreviations are used in the paper: FUT = future marker; IMP = impersonal pronoun; NEG = negative suffix; NP = noun phrase; PAST = past tense marker; pl = plural; PROG = progressive aspect marker; sg = singular

The paper is organised as follows. Section II provides a characterisation of impersonal constructions based on the two major perspectives on impersonalization in linguistic literature, and Section III outlines Igbo constructions that may be described as impersonal on the basis of cross-linguistic features of impersonals.

## II. CHARACTERISATION OF IMPERSONAL CONSTRUCTIONS

The lack of consensus in the use of the term ‘impersonal’ and the wide range of phenomena covered by impersonal constructions (Creissels, unpublished; Siewierska, 2008a, b) make a general definition of impersonal constructions difficult. However, according to Siewierska, 2008a, impersonalization has been characterised from two major perspectives, the subject-centred and the agent-centred perspectives, which sometimes overlap in certain constructions.

The structural point of view of impersonalization is subject-centred, and defines as impersonal constructions that lack a canonical subject, including “(a) those with a subject which is not fully referential, (b) those with a subject which does not display canonical subject properties, (c) those with a subject which is not a verbal argument but merely a place filler..., i.e. an expletive, and (d) those with no overt subject at all” (Siewierska, 2008a, p. 2).

Under the definition of impersonal constructions as those lacking a canonical subject, constructions which have been identified in languages such as French, Finnish, Russian, Breton, Polish, Spanish, French and Greek (Creissels, unpublished; Hewitt, 2002; Siewierska, 2008a) as impersonal include the following:

i. Existential constructions in English, Spanish, Breton and Greek, as in the following examples from Spanish and English.

(3) Spanish (Marsh, 2002, as cited in Siewierska, 2008b, p. 29)

Hay tres estudiantes atrasados

(have three students late)

‘There are three late students.’

(4) English (Siewierska, 2008a, p. 5)

There are many linguists in Europe.

ii. Locative constructions in languages such as French and English and Occitan. For example:

(5) French (Hoekstra & Mulder, 1990, as cited in Siewierska, 2008b, p. 29)

Il est tombé un enfant dans le canal

(it is fallen a child into the canal)

‘A child has fallen into the canal.’

(6) English (Siewierska, 2008a, p. 5)

There’s a man at the door.

(7) Occitan (Creissels, unpublished, p. 21)

Davant l’ostal i aviá un òme

(in front of the house there have a man)

‘There was a man in front of the house.’

iii. Constructions that express sensations and emotions, in languages like Latin, Icelandic, Finnish, Quechua and Russian. The following examples are from Irish and Latin, respectively.

(8) Irish (Siewierska, 2008b, p. 27)

T áocras orm

‘I’m hungry.’ (lit. ‘Is hunger on me’)

(9) Latin (Siewierska, 2008b, p. 27)

Me pundit

‘I’m ashamed.’ (lit. ‘Me shames’)

iv. Impersonal passives of intransitive verbs in Lithuanian and German, as in the following example.

(10) German (Kibort, 2004, p. 28)

Es wurde gestern getanzt

it was.3sg yesterday danced

‘There was dancing yesterday.’

v. meteorological impersonals in Galician, Icelandic, Russian, English and Breton, as in the following Icelandic example.

(11) Icelandic (Siewierska, 2008a, p. 5)

Bad. Dimmer

(it darkening)

‘It is getting dark.’

The functional perspective in the characterisation of impersonalization is agent-centred. Under this view, an impersonal construction is defined in terms of agent defocusing, which may involve: “(a) the non-elaboration or under-elaboration of the instigator, (b) the demotion of the instigator from its prototypical subject and topic function, or (c) both demotion and non-elaboration” (Siewierska, 2008a, p. 7). It is significant to observe that “there is a considerable degree of overlap in the range of constructions which emerge as impersonal under the subject-based and instigator-

based characterizations of the term. The constructions which are seen to have a non-elaborated or under-elaborated instigator correspond to those lacking a fully referential subject” (Siewierska, 2008a, p.7).

In the case of Igbo, current studies on the impersonal pronoun may be categorised as basically representing the structural or subject-based approach, while the agent-based perspective has been largely unexplored. Nwaozuzu (2007, p. 15) terms the Igbo impersonal pronoun “the unspecified pronominal” and notes that it lacks canonical subject properties, such as having a plural and a reflexive form. She also notes the lack of full referential properties by the Igbo impersonal pronoun, on the basis of which Anyanwu (2005, 2012) has classified the impersonal pronoun (along with two other dependent pronouns, *o/ɔ* (s/he) and *i/i* (you (sg))) as “pronominal subject clitics”.

One of the distributional restrictions on the pronominal (subject) clitics (Anyanwu, 2005, 2012) is that they cannot occur in reflexive constructions. The following are examples.

(12) a. *ya onwe ya*  
‘He himself/she herself’

b. *\*o onwe o*  
‘He himself/she herself’

(13) a. *gi onwe gi*  
‘You yourself’

b. *\*i onwe i*  
‘You yourself’

(14) a. *\*e onwe e*  
‘Oneself’

b. *\*a onwe a*  
‘Oneself’

The independent pronouns *ya* and *gi* occur in the reflexive constructions (12a) and (13a), while the clitic pronouns cannot be used in the reflexive construction, as the ungrammaticality of (12b), (13b) and (14a, b) indicates.

Furthermore, whereas independent pronouns can occur in coordinate structures, clitic pronouns cannot, as illustrated by (15) through (17).

(15) a. *Unu na ya ga-abia.*  
(you (pl) and him/her FUT-come)  
‘You (pl) and him/her will come.’

b. *Ya na ha ga-abia.*  
(s/he and they FUT-come)  
‘S/he and they will come.’

(16) a. *\*Unu na ɔ ga-abia.*  
(you (pl) and him/her FUT-come)  
‘You (pl) and him/her will come.’

b. *\*Unu na a ga-abia.*  
(you (pl) and IMP FUT-come)  
? ‘You (pl) and someone will come.’

(17) a. *Gi na ha riri nri.*  
(you (sg) and they eat.PAST food)  
‘You (sg.) and they ate some food.’

b. *\*I na ha riri nri.*  
(you (sg) and they eat.PAST food)  
‘You (sg.) and they ate some food.’

c. *\*A na ha riri nri.*  
(IMP and they eat.PAST food)  
? ‘You (sg.) and someone ate some food.’

The examples in (16 a, b) and (17b, c) indicate that whereas independent pronouns can occur as the first or second conjunct in a coordinate structure, clitic pronouns cannot be so used.

A number of distributional restrictions that distinguish subject clitic pronouns from independent pronouns, such as the ones exemplified by the examples in (12) – (14) and (15) – (17), have been outlined in Anyanwu (2005, 2012) and Nwaozuzu (2007). The two authors agree on the fact that the Igbo impersonal pronoun lacks some of the features exhibited by other pronouns in the language. In other words, it is a non-canonical or non-fully referential pronoun under the subject-based or structural perspective.

However, the agent-based perspective has been largely unexplored in the characterisation of the Igbo impersonal pronoun. Torn-Leesik and Vihman (2010) have noted the general assumption often made that “the sole function of the impersonal is to background the agent (p. 308), and have pointed out other pragmatic effects of impersonalization (p. 327). In languages like English, the agent-defocusing or backgrounding function is realised by the passive construction, but although impersonals and passives may be employed to achieve the communicative function of agent defocusing, they have been shown to be two distinct constructions (Blevins, 2003; Torn-Leesik & Vihman, 2010).

Cross-linguistic and typological studies of impersonal constructions have led to the establishment of a number of criteria for the identification of impersonal constructions. The subject-oriented (structural) characterisation of impersonal constructions, which includes “those with a subject which is not fully referential” (Siewierska, 2008a, p. 2) and the semantic characterisation that includes as impersonal constructions lacking “a human agent controlling the depicted action” (Siewierska, 2008b, p. 1) are relevant to the identification of impersonal constructions in Igbo.

### III. IGBO IMPERSONAL CONSTRUCTIONS

Using the criteria outlined in the previous section, impersonal constructions in Igbo would include constructions with a pronominal impersonal subject in episodic and generic readings and a number of constructions with an expletive pronominal subject. In all the Igbo impersonal constructions outlined in this section, impersonalization involves the use of a non-fully referential pronoun or an expletive in the subject position of a clause.

#### A. The Pronominal Impersonal Construction with an Episodic Reading

The Igbo impersonal pronoun is a subject-only element. It is not used in any object position – direct, indirect and oblique (Anyanwu, 2005, 2012; Nwaozuzu, 2007). In addition, the Igbo impersonal pronoun is a non-canonical subject in the sense of having non-fully referential features. A construction with the Igbo impersonal pronoun in subject position qualifies as an instance of impersonalization under the subject-centred definition of impersonal constructions as lacking a fully referential subject (Siewierska, 2008a). This is illustrated in the following example.

- (18) A ga-elebara ihe ahụ anya.  
(IMP FUT-look.into thing the eye)  
‘The issue will be looked into.’

The impersonal pronoun subject (*a/e*) is generally used with active, transitive verbs, such as the verb corresponding to *look into* in (18). The agent of the action denoted by the verb in (18), which is represented by the impersonal pronoun *a*, has an implicit human referent, that is an individual or group that carries out the action. The referent of the impersonal pronoun may include or exclude the speech act participants.

When the impersonal pronoun is used referentially with an episodic reading, as in the examples in (1), (2) and (18), it is possible to reformulate the sentence/clause with a lexical NP or an independent pronoun subject. This important feature distinguishes the referential and expletive uses of the Igbo impersonal pronoun. For example, (18) can be reformulated with a lexical NP or an independent pronoun subject as:

- (19) Ada/anyị ga-elebara ihe ahụ anya.  
(Ada/we FUT-look.into thing the eye)  
‘Ada/we will look into the issue.’

The difference between (18) and (19) lies in the nature of the subject element: the non-fully referential impersonal pronoun occupies the subject position in (18), while a lexical NP or an independent pronoun with full referential properties occupies the subject position in (19). A point of interest is why a speaker would use the impersonal pronoun construction (18) instead of a construction with a fully referential subject (19) to refer to the same event. The contrast between the two sentences seems to suggest that in using (18) instead of (19), the speaker chooses to obscure the identity of the agent for some reason. For example, the indefinite or non-fully specified reference of the impersonal pronoun may be used when it is not important or necessary to specify the actor, when the agent of the action is irrelevant or unknown, or when, for some reason, the speaker does not wish, or is unable, to specify the agent of the action. Viewed in this way, the Igbo pronominal impersonal construction is functionally an agent-defocusing strategy in the sense of “non-elaboration of the instigator” (Siewierska, 2008a, p. 7). This accounts for why in the examples (1), (2) and (18), the Igbo impersonal pronoun in subject position serves to background or defocus the agent of the action depicted by the verb. Describing this, Kibort (2004, p. 25) notes that the interpretation of an unspecified agent is associated with the subject in unspecified-agent constructions. The following are further examples of the pronominal impersonal construction with an episodic reading.

- (20) E riri ji taa.  
(IMP eat.PAST yam today)  
‘Yam was eaten today.’  
(21) A ga-agba ọsọ.  
(IMP FUT-run race)  
‘A race will be run/there will be running.’

The Igbo pronominal impersonal construction in (20) and (21) serves a similar agent-defocusing function as the English agentless passive in their translations. Nwaozuzu (2007) briefly noted the similarity between the two constructions, and noted that *a/e* is not a full-fledged subject. The cross-linguistic functional equivalence between the basic or synthetic passive in languages that have a passive construction and a construction with an impersonal or indefinite subject in languages without a passive construction has been noted in the literature (e.g. Gregersen, 1977; Keenan & Dryer, 2006; Siewierska, 2005). Igbo does not have a passive construction (Nwachukwu, unpublished), and uses an active sentence with an ‘impersonal’ pronominal element which does not refer to any specific individual in the subject position of the clause to achieve agent demotion or suppression.

In spite of their functional equivalence, the Igbo pronominal impersonal construction differs from the English passive construction in that it is a morphologically unmarked, structurally active construction, with an impersonal or non-fully referential pronominal element in subject position.

#### B. The Pronominal Impersonal Construction with a Generic Reading

The Igbo impersonal pronoun also admits a generic reading. This is an established feature of impersonal subjects (Cabredo-Hofherr, unpublished; Siewierska, 2008a). The generic use of the Igbo impersonal pronoun is employed in the expression of habits, customs and practices, as in (22) – (25).

- (22) E ji uche akpata ego.  
(IMP use wisdom earn money)  
'Money is earned by applying wisdom.'
- (23) E ji ego achọ ego.  
(IMP use money look.for money)  
'One uses money to make more money.'
- (24) E ji azịza aza ụlọ.  
(IMP use broom sweep house)  
'Brooms are used for sweeping.'
- (25) A naghị agba aka aga ụka.  
(IMP PROG.NEG be.empty-handed go church)  
'One does not go to church empty-handed.'

The generic use of the impersonal pronoun also features in proverbs and sayings, as in (26) – (28), taken from Okonkwo (1977, pp. 111-112).

- (26) E lelịa nwa ite, ọ gbonyua ọkụ.  
(IMP despise child pot it boil.quench fire)  
'If the little pot is despised, it boils over and quenches the fire.'
- (27) A naghị achịrị aka abụa etinye n'ọnụ.  
(IMP NEG gather hand two put in.mouth)  
'One does not put both hands into the mouth at once.'
- (28) A chụa aja a hughị udele, a mara na ihe mere na ndị mmụọ.  
(IMP offer sacrifice IMP see.NEG vulture IMP know that something happen.PAST in people.of spirit)  
'If there is an animal sacrifice and vultures are not seen, something must have happened in the spirit world.'

The impersonal pronoun (*a/e*) is used in (22) – (25) as well as (26) – (28) to express actions that are or may be generally done.

#### C. Constructions with an Expletive Subject

This category comprises of constructions in which the subject does not have a human referent or any identifiable referent. The lack of human agency is the feature that qualifies such constructions as impersonal (Sierwierska, 2008a, 2008b). Igbo impersonal constructions in this category would include the following:

i. Existential constructions. This class of impersonal constructions includes those featuring predicates expressing "existential notions of being" (Emenanjo, 1978, p. 141). The following are examples of existential impersonal constructions.

- (29) Ọ dị mma/ njo/ egwu/mfe/mkpa.  
(it be goodness/ badness/awe/ ease/importance)  
'It is good/bad/awesome/easy/important.'
- (30) Ọ na-enye m obi ụtọ.  
(it PROG-give me heart sweet)  
'It gives me joy/pleasure.'
- (31) Ọ ruru otu mgbe...  
(it reach.PAST one time)  
'Once upon a time...'

The subject element in (29) through (31) is the dependent form of the third person singular pronoun, *o/ọ*. In the existential impersonal construction, *o/ọ* is used as an expletive (dummy) element. Okonkwo (1977, p. 21) refers to this as the impersonal use of *o*.

It is important to note that in this construction, the subject element *o/ọ* may be ambiguous between a deictic reading and an expletive one. Examples (29) and (30) illustrate such ambiguity: the subject element *ọ* may refer to a person or thing or it may refer to nothing in particular, although such ambiguity is generally eliminated by the discourse context.

A certain use of the verb *have* to express existential predication has been noted in the literature (Creissels, unpublished; Uriagereka, 1996, as cited in Mbah, 2008). The relevant Igbo expression consists of the third person pronoun *o* used expletively in subject position with the verb *nwe* (have) in the indicative verb form (i.e. *nwere*). The following are examples.

- (32) Ọ nwere ka ọ dị.

(it have like it be)

'It is in a certain manner/state.'

(33) O nwere akukọ m ga-akọrọ unu.

(it have story I FUT-tell you)

'There is a story I'll tell you.'

The third person singular pronoun in the subject position in (32) and (33) is used impersonally, and does not have any identifiable referent.

ii. Locative constructions. This construction type also uses the verb *nwere*. Mbah (2008) has noted that the use of *nwere* is ambiguous between integral and locational meanings. The subject position of the locative construction is occupied by the third person singular pronoun *o*, which is used expletively, as in (34) and (35).

(34) O nwere nwooke kwụ ebe a n'ututu.

(it have man stand place this in.morning)

'There was a man standing here in the morning.'

(35) O nwere ihe di n'ime ite.

(it have something be at.inside pot)

'There is something inside the pot.'

The impersonal pronoun *e* may also be used in the locative construction, not in the referential sense of referring to an unspecified person or group, but as a semantically empty (expletive) element. For example:

(36) E nwere mmiri n'ebe a.

(IMP have water in.place this)

'There is water in this place.'

(37) E nwere otutu ugbo ala n'Onicha.

(IMP have many vehicle land in.Onicha)

'There are many cars in Onicha.'

The expletive use of the impersonal pronoun is also found in idiomatic expressions such as *e mee* ('later on'), *e nwere ike* ('it is possible'), *e nweghi ike* ('it is not possible'); *e kwesiri* ('it is necessary'), as used the following examples.

(38) E mee, i gaa kpọọ ha.

(IMP do you go call them)

'Later on, you will go and call them.'

(39) E nwere ike inye gi nri.

(IMP have power to.give you food)

'You may be given food/it may be possible to give you food.'

(40) E nweghi ike ichota ya.

(IMP have.NEG power to.find it)

'It cannot be found/it is not possible to find it.'

(41) E kwesiri ikele ha.

(IMP ought to.thank them)

'They ought to be thanked/It is necessary to thank them.'

The impersonal pronoun *e* in (38) through (41) is used in idiomatic expressions of notions like possibility, impossibility and necessity, although human agency may be implied.

iii. The subject raising construction. There is a parallel between the English raising construction (42) and the Igbo raising construction (43).

(42) a. [<sub>NP</sub> *e*] is likely [John to leave.] (Carnie, 2002, p. 228)

b. John<sub>i</sub> is likely [<sub>t<sub>i</sub></sub> to leave]

(43) a. *Q* dī ka [mmiri ga-ezo.] (Nwachukwu, 1995, p. 186)

(it be like water FUT-rain)

'It is likely to rain.'

b. Mmiri<sub>i</sub> dī ka [*Q*<sub>i</sub> ga-ezo.]

(water be like it FUT-rain)

'Rain is likely to fall.'

The surface subject of the raising predicate *is likely* in (42b) is assumed to originate as the subject of the embedded clause (in (42a)), from where it is raised to the empty matrix subject position (Carnie, 2002; Radford, 1988). A similar analysis is proposed for the Igbo examples in (43). The matrix subject element *Q* in (43a) corresponds to the English pleonastic element 'it' (Nwachukwu, 1995). Therefore the matrix subject position in (43a) is semantically empty. Movement of the embedded clause subject in (43a) through subject raising yields (43b), in which the NP position made empty by subject raising is filled by the resumptive pronoun, *Q*.

Igbo raising structures like (43a) are impersonal to the extent that the expletive element in their subject position is a non-canonical subject element.

## IV. CONCLUSION

The paper has explored the range of Igbo constructions which may be regarded as impersonal. The subject-centred and agent-centred perspectives were utilised to highlight the semantic and functional features that characterise impersonal constructions in Igbo. On the basis of cross-linguistic criteria established in other studies, certain constructions in Igbo were shown to be typically impersonal. These include the pronominal impersonal construction in both its episodic and generic readings. A functional view of the Igbo impersonal pronoun in its episodic reading illustrated its use as a strategy for agent defocusing or backgrounding in a construction that is equivalent to the English agentless passive and is sometimes translated with English *one*. Also identified as impersonal are existential constructions, locative constructions and subject raising constructions, which are characterised by a pleonastic or semantically empty subject element. It is striking to note that, like the impersonal pronoun, the pleonastic elements used in other impersonal constructions are all subject position elements. This similarity in distribution suggests that impersonalization is associated with the subject position in the Igbo clause, which serves to accommodate a non-fully referential pronoun to achieve agent defocusing, as in the case of the impersonal pronoun, or a semantically empty expletive in existential, locative and subject raising constructions.

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# Cross-cultural Communication Competence for Science and Engineering College Students: Survey & Proposal

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**Abstract**—A survey conducted recently in a university in Dalian indicates that the lack of cross-cultural communication competence is a serious problem among the undergraduates of science and engineering, and in the meantime suggests that finding out proper scheme for training cross-cultural communication skills should be high on the agenda. Based on the results of the survey and the status quo of undergraduates' English skills, this article provides a series of probable methods to improve cross-cultural communication teaching.

**Index Terms**—cross-cultural communication, communication skills, English teaching

## I. INTRODUCTION

Cross-cultural communication refers to a social phenomenon where communication occurs among different native language speakers coming from multicultural background. As international interflow happens much more widely and frequently, cross-cultural study is becoming a new hot spot for foreign language teachers. And many of them have realized that the ability to make a qualified language learner is to understand the culture differences well rather than master specific grammars or words.

According to a survey by Hu Wenzhong (2005), 2285 articles were published in various academic journals between 1995-2004, featuring issues of intercultural communication and foreign language teaching. However, in spite of growing appeals for the incorporation of intercultural communication into the English language education, no breakthrough has been made in systemic and theoretical construction and original researches are still much in expectation. (Song, 2008) Based on the results of the survey conducted among the undergraduates of science and engineering and the status quo of their cross-cultural communication competence, this article provides a series of probable methods to improve cross-cultural communication teaching.

## II. SURVEY OF UNDERGRADUATES' CROSS-CULTURAL COMMUNICATION COMPETENCE

This survey, which is conducted by anonymous test paper, is intended to get a general idea of the undergraduates' skills in cross-culture communications, and to discover the obstacles to cross-cultural communicating based on the status quo, so that we can find out an effective scheme to improve language teaching in college.

### A. Contents:

The test paper involves the culture of daily talking, vocabularies, common senses and other signs for expressions, for instance, body language in the English language. Thirty questions are divided into three parts based on the three levels of language learning, the level of Recognition, the level of Behavior and the level of Consciousness. The first two parts are presented in the form of 'True or false' and the last part is in multiple-choice.

### B. Participants:

We surveyed 360 freshmen majoring in science and engineering who have scored no less than 75% in the entrance exam, which means they have almost no difficulty in reading the test paper. So the results could be more reliable because they are not much influenced by literal understanding difficulties.

### C. Results:

The statistics are presented in the form of tables.



TABLE 1  
DAILY COMMUNICATION

CONTENTS	AMOUNT	ERROR RATE
Greeting, Introducing, & Farewell	3	26.47%
Addressing	1	24.57%
Inviting & Appreciating	2	52.47%
Congratulating	2	36.14%
Visiting & Table Manners	6	40.14%
Giving and Receiving Gifts	3	44.76%
Intent	3	44.29%

TABLE 2  
VOCABULARY

CONTENTS	AMOUNT	ERROR RATE
Implied Meaning of Colors	1	50%
Implied Meaning of Animals	1	40.29%
Idiom	1	26.29%
Others	1	23.43%

TABLE 3  
CULTURAL SENSE

CONTENTS	AMOUNT	ERROR RATE
Festival	1	21.14%
Sensitive Topic	1	37.71%
Family Concept	1	28.86%

TABLE 4  
NON-VERBAL COMMUNICATION

CONTENTS	AMOUNT	ERROR RATE
Eye Contact	1	61.14%
Gesture	1	21.71%
Pause & Silence	1	30.57%

TABLE 5  
AVERAGE ERROR RATE FOR EACH CHAPTER

CONTENT	AMOUNT	AVERAGE ERROR RATE
Daily Communication	20	42.71%
Vocabulary	4	35%
Cultural Sense	3	29.24%
Non-verbal Communication	3	37.8%

#### D. Analysis:

The statistics show that the error rate is high, especially in the 'Daily Communication' part with an average error rate of 42.71%. The obstacles of cross-cultural communication are mainly aroused by the lack of native customs. And these reasons contribute to the problem.

First, the expressions are greatly influenced by the Chinese language, the participants' mother tongue. Most students were brought up in a purely Chinese-speaking society which leaves them a strong habit to think and express something in the Chinese traditional way.

*Example 1.* Mary is a foreign student in China. She met Li Mei and said to her: "I was told that you won the 100-meter race in the track meet this morning. Congratulations." Li replied, "Just lucky." (No.6 in appendix)

The simplest but correct answer is 'Thank you!' However, some students consider 'Just lucky.' is right. In Chinese traditions, citizens have been told to be modest since the time they were born. Admitting being outstanding is somewhat offensive, which is not the same case in western countries. And in the addressing aspect, Chinese traditions also confuse our participants.

*Example 2.* Mrs. Smith was about the same age as Li Mei's grandmother, so immediately Li called her "Grandma." (No.8 in appendix)

24.57% think that 'Grandma' is correct. In China, children address an adult as 'Uncle', 'Aunt', 'Grandpa' or 'Grandma' due to the adult's age. While in western countries, the proper addressing in this question is just 'Mrs. Smith'

In most cases, students can hardly remind themselves how a native speaker expresses it in his traditions, or even they could, they might be still unable to express it properly. Actually, the lack of cultural knowledge makes them just have no idea what the proper way is. And the combination of the English language and the Chinese speaking customs will make the expression confusing and should be avoided.

Second, Chinese students have poor knowledge of English customs, especially for the science and engineering students. Only a low rent of participants has ever read English original works, and few of them paid attention to the cultural differences in them. So, when it comes to the questions related to customs, they make mistakes frequently.

*Example 3.* If you are a male and introduced to an English speaking lady, you do not take the initiative in shaking hands unless she holds out her hand first. (No.13 in appendix)

Correct. This shows the respect to the female in western countries.

*Example 4.* When you walk with a close friend with the same gender as yours in the street, you intimately put your arm around your friend's shoulders or hand while walking. (No.15 in appendix)

In China, this shows the good relationship between you and your friend, but in the Western, you two may be considered as homosexuality.

*Example 5.* Halloween Day in the West is similar to a festival in China, and this might be \_\_\_\_\_. (No.29 in appendix)

**A. Lantern Festival    B. Dragon Boat Festival    C. Zhongyuan Festival    D. the Double Ninth Festival**

Some participants didn't choose C, and according to interview, they thought that Halloween was somewhat entertaining while Zhongyuan festival was a mournful one. Though there are some entertainments like dressing up as ghosts and trick or treat at Halloween, this festival essentially tends to sacrifice those gods who dominate their lives and in memory of the dead people. It is said that the dead will come from the other world on that day, and both festivals are totally the same in this aspect.

Third, the lack of English speaking experiences is another main reason. Never exposed to the English speaking environment, students can't realize the meanings of some native signs like interruption-oriented, solidarity, silence-avoidance, hesitation, reformulation repetitions, and so on.

*Example 6.* When someone else shows you a thumbs-up gesture, he means "You're so great." (No.25 in appendix)

Though the answer is right and thumbs-up gesture is regarded internationally as a sign of appreciation, it depends. Actually, in some western countries including the US, thumbs-up also means you want a free ride. And in the Middle East, it indicates insulting and provoking. If a student has never been told such taboos or experienced the real communication, he can easily arise misunderstandings and turn the communication down.

Last, the examination-oriented education system forces high school teachers to focus only on grammar and other key points to the exam. We found that even if a student were an excellent scorer in the College Entrance Examination, he might be unable to read out an easy paragraph where no new words could be found. The poor fact is, since there is no oral test or listening test in the College Entrance Examination and no conditions to have one, Students ignore these scoreless but significant items in English learning. In some high schools in China, English lessons are simplified as memorizing words, phrases and grammar knowledge, no English could be heard in an English lesson. Inevitably, regarding words and grammars as everything of a language will certainly costs them the best chance to improve useful English skills.

### III. PROPOSAL FOR CROSS-CULTURAL COMMUNICATIVE APPROACH TO ENGLISH TEACHING

To overcome the obstacles mentioned above, more culture teaching in class may do a help. According to Psychology, as we are listening, reading or gaining information through other channels, the brain will associate the new information with stored knowledge and familiar experiences. So, whether a listener can fully understand a conversation largely depends on how much knowledge his brain has stored. In this way, enough culture teaching in class is undoubtedly necessary.

#### A. Speaking & Listening

Speaking and listening is one of the fundamental language skills. It plays an important role both in our daily life and in language learning, which can perfectly cater to the exam-only high school students now in college. Additionally, this course intends to arouse students' awareness of cultural differences occurring in communications. Teachers shall choose some typical listening materials and when it comes to knowledge associated with culture during listening, they shall directly highlight and explain it. Meanwhile, creating various situations like farewell, greeting, appreciation, etc., for students to practise oral English can effectively improve their skills in real communications. Besides, teachers must remind them that not only oral speaking belongs to communication skills, but body languages, for examples, facial expressions, gesture and sign of other parts of our body count, as well. Specifically, these forms of teaching may do a help:

**Conversation** plays the most frequent role in daily communications. It is a useful tool to establish relationships, acquire information from others and solve the problems. This is a method for both speaking and listening exercise. While arranging the conversation, teachers could provide a topic first. It could be anything that the students may be interested in, for instance, drama, video games and delicious food etc. Arrange them into small groups of 4 to 6 so that they can hear and see each other. Encourage every student to present his ideas. There are a few things that the teachers should take under control: ensuring every student is involved in and they are talking in English, avoiding argument, and highlighting the cultural features in the conversation.

**Storytelling** can grasp all the students' attention. When enjoying a good story, students could not only get some ideas of other's life but compare to their own life, as well. This makes the culture differences in the story much more impressive. Although storytelling can't do much help to speaking, since the story is presented by the teacher or someone professional, it greatly benefits listening. Also, these tips may make the lesson better:

Never read out or refer to a note. Avoiding doing so could give the audience more expectations and eye contacts. Prepare it carefully. You could record yourself and then listen to the tape to find out where you could do better. You can ask an excellent student to be the storyteller, but you should ensure the quality of his story and pronunciation.

**Oral report** provides a chance for every student to speak in turn in front of the whole class. Not only could this benefit students' speaking, but give them more confidence in public announcing. Besides, teachers can also get a general idea of each student's speaking ability. Here are some tips:

Arrange one or two students to give the report each lesson, so that every student can get a chance to speak and it will not occupy too much time of the class. Suggest bring notes instead of the whole script of the report. Do not recite all of the report, for it will make the student more nervous and may get stuck if he forgets his lines. Give a short remark after each report. Praises or suggestions show your respect and could give the student more confidence.

**Role play** involves many practical skills and no forms of other practice could be more realistic than a role play. In a well set background, students could experience the customs, facial expressions, eye contact, gestures and other real factors in a communication. So, if time permitted, role play is the best choice.

Before the class, you'd better choose the script first. An adlib play for students to present instantly in class may cause some problems. The most obvious problem is that an adlib play constructed temporarily by the students cannot ensure the lines to be idiomatic. The script itself ought to contain fewer new words and more cultural features. Not all of the students could take part in the play, so prepare some questions for the audience. Don't interrupt the play. Allow and encourage adlib performance based on the script, but you should give a remark for it later and point out any language mistake if there is.

**Debate** requires fluent English speaking and considerable preparations. Many other abilities are also necessary for a qualified debater. And even a native speaker might not do well in it. That is to say, however, it can effectively improve English skills.

#### *B. Reading & Writing*

Reading and writing are the other fundamental language skills apart from speaking and listening. The number of words you know determines the difficulty and complexity of the material you can read and understand. Words are the basis of any human language and all cultural features can be reflected through them. Failure to develop an extensive reading vocabulary will definitely hold you back in your efforts to improve your reading speed and your comprehension. Vocabulary teaching shall involve those words which may have special meanings in specific situations or imply some intent. Learners usually get confused and make mistakes as they come to these sorts of words. So, knowing the literal meanings of a large quantity of words is still far from mastering a foreign language and this requires the teacher to give each word an accurate and comprehensive explanation during vocabulary teaching. Another kind of words which refer to some items in one culture but are vacant in another should raise the students' attention. When expressing these items or translating such words, translate them by pronunciation first and then give a general explanation. In sum, whatever the word is, the teacher needs to help students understand it thoroughly, which means they know the exact literal meaning, in which situation they can use it and whether the word is used to praise or abuse.

During the reading and writing course, what the students should be informed first is that English articles are constructed strictly in logic while Chinese ones are managed through a general idea. So when reading an English passage, trace the logic clue. To help the students understand it better, teachers could provide a tree of the inner logic structure, a relationship chart of characters involved in the story or a picture of some traditional item in another country. Similarly, when forming an article, the student is expected to show a clear logical structure. This means a number of related words, which are usually left out in Chinese articles, are necessary to a well-organized English one. However, foreign language learners sometimes misuse his native language logic to organize an article unconsciously. Specifically, an English article written by a Chinese student can still totally confuse a native English speaker, even there might be no spelling or grammar mistake in it. To make progress in this aspect, more reading, more writing and, of course, more correcting after writing are definitely effective. Meanwhile, reciting some typical paragraph or the whole article is also necessary for the learners, for the materials they have memorized will serve as models and make thing easier when writing their own ones.

#### *C. Self-study Guiding*

Self-study compensates for the limits of class. The foreign scholars have found the importance of self-study in language learning since 1970s. They found that studying on one's own initiative is much more effective than being taught passively. The active learners have a clearer aim, which leads more efficiency and better result. On the other hand, two or three English lessons per week is the maximum a college can afford, which is far from enough for language learning. So, guiding the students make out proper and regular self-study plans is of great significance. Meanwhile, there are many forms of self-study that are not considered as study traditionally, but they really help to improve English skills and some of them could be extremely fun.

American TV dramas are intended for native English speakers. The lines in them are exactly the hottest phrases and sentences that are used nowadays, and the customs and culture could not be more traditional. Meanwhile, most of the dramas are comedies and are really fun. They are worth watching more than once to learn the useful lines and

traditional customs. Compared to those in TV drama, lines in the movies could be more standard and sometimes literary. There are many classic lines and memorizing some of them will make your English more attractive.

At any time or anyplace, when a new English word come to you, look it up in the dictionary. This is a long term work. Although there is no direct link with culture, words are the basis anyway. So keep it on, things will be great different.

#### IV. CONCLUSION

Cross-cultural communication skills are full of significance for an English learner and nowadays, many scholars have recognized that a good cross-cultural communication skill is the key to a successful talk. However, the survey we have conducted shows that is what our Chinese college students are weak in. The reasons of the conditions mainly lie in four aspects: expressions influenced by Chinese culture, poor knowledge of English customs, lack of real communications with foreigners and improper guidance from the examination-oriented education system. So, finding some new teaching methods is high on the agenda to change the status quo. Culture teaching is what we recommend. Specifically, it can be divided into two parts, speaking & listening and reading & writing. Different from tradition courses, these courses ought to contain more practical exercise. We suggest five forms of exercise, in details, conversation, storytelling, oral report, role play and informal debate, for speaking & listening courses. All these practices are meant to give the student a chance to experience real communications in English and real English culture, which is the best way to improve a foreign language. Similarly, the reading and writing course is composed with the same concept. Additionally, self-study, as we mentioned in the last part, could improve students' English abilities throughout a long process with constant efforts. Incorporating cross- cultural communicative approach to English teaching will help to foster better understanding and using of the target culture.

The present study is mainly concerned with cross-cultural communication competence among undergraduates of science and engineering in China. However, its findings and conclusions may have implications for students at other levels and in other parts of the world.

#### APPENDIX. TEST ON INTERCULTURAL COMMUNICATION COMPETENCE

**Part I There are 15 statements in this part. Each item has an underlined part. Read each item and decide whether the underlined part is appropriate or inappropriate.**

1. Dr. Smith, over 60, invited Li Ming to his birthday party. Li Ming brought him a China god of longevity as a present.
2. When you have a conversation with your English teacher who is a native speaker of English, you mustn't have a prolonged eye contact with him.
3. When you are eating with an English friend, you wish him, "Good appetite!"
4. In the English speaking countries you usually first introduce a man to a woman, not the other way round.
5. If it is very cold and Mary, an American student, wears thin clothes, you should suggest that she wear more clothes.
6. Mary is a foreign student in China. She met Li Mei and said to her: "I was told that you won the 100-meter race in the track meet this morning. Congratulations." Li replied, "Just lucky."
7. Dr. Smith, your supervisor, telephoned to invite you to have dinner with his family. You replied, "Thank you. All right. I'll try to come."
8. Mrs. Smith was about the same age as Li Mei's grandmother, so immediately Li called her "Grandma."
9. An American mother and her lovely four-year-old daughter are playing on the square. You go up and touch the girl's hair and face.
10. Bob wins the speech contest. Wang Lei says to him: "You are a lucky dog."
11. Zhao Ming visited his foreign friend, and about 10 o' clock, he said suddenly: "I've got to go now. Good-bye."
12. Professor Smith was going to return to America. One of his students sent him china engraved with many dragons.
13. If you are a male and introduced to an English speaking lady, you do not take the initiative in shaking hands unless she holds out her hand first.
14. Miss Li teaches some American students Chinese. One day, John didn't come to the class. She asked his roommate, Peter, how John was.
15. When you walk with a close friend with the same gender as yours in the street, you intimately put your arm around your friend's shoulders or hand while walking.

**Part II There are 10 statements in this part. Read each item and decide whether they are true or false.**

16. If you smile at or greeted a stranger in the street or in the park, you would probably be ignored as the stranger might take you as a hooligan.
17. If one is going to invite his fellow students to a party, he must invite them one or two days in advance.
18. American people often propose meals together without intending to pay for the other person.
19. In the United States it is not uncommon for parents to put a newborn baby in a separate room.
20. "Thank you" is used frequently as a polite response to different favors and compliments and is often used automatically.

21. In times of financial difficulty, nuclear family members (father, mother and children) often borrow money from a bank rather than from relatives.

22. Most English swear words have to do with Christian religious terms or names.

23. As black is often associated with negative qualities, in business English, in the black means running a business at a loss, not making profit.

24. When you want to compliment your young English friend's new coat, you can say, "I like your new coat!" 25. 25. When someone else shows you a thumbs-up gesture, he means "You're so great."

**Part III. From the four given choices, choose the most suitable one.**

26. In the West, bats are considered to be \_\_\_\_\_.  
A. a sign of fortune                      B. a sign of misfortune  
C. a sign of happiness                  D. a sign of high social status
27. There is a proverb saying that "An Englishman's house is his castle." It means \_\_\_\_\_.  
A. his house is strongly built          B. his house is his privacy  
C. he is ready to fight                   D. nobody is permitted to enter his house
28. In the western countries, 13 and Friday is thought to be unlucky, and this is because \_\_\_\_\_.  
A. Jesus had the last dinner with his disciples on Friday  
B. Friday is the last day of the weekdays  
C. 13 is the biggest indivisible number  
D. 13 is the last day before pay day
29. Halloween Day in the West is similar to a festival in China, and this might be \_\_\_\_\_.  
A. Lantern Festival    B. Dragon Boat Festival    C. Zhongyuan Festival    D. the Double Ninth Festival
30. An English friend invites you to have dinner at 6:00 p.m. with his family. You would arrive at \_\_\_\_\_.  
A. 5:50      B. 6:30      C. 6:15      D. 5:10
31. Xiao Ma is an interpreter. One day a foreign visitor, Mr. Brown, talks to him. Brown: Your English is quite fluent. Ma: \_\_\_\_\_.  
A. Thank you, it's kind of you to say so                      B. No, no, my English is poor  
C. No, not at all    D. Oh, no, far from that. I still have a long way to go
32. Li Ming met his English teacher, Dr. Jones, outside the classroom. Li: \_\_\_\_\_.  
A. Hi, teacher Jones    B. Hello, teacher  
C. Morning, Dr Jones    D. Good morning, teacher Jones
33. When you are invited for the first time to the Brown's house and offered a cup of coffee, you \_\_\_\_\_.  
A. should rise and accept it    B. should rise and say, "Thank you"  
C. should make a slight rising movement                      D. can remain seated and accept it with a smile and say, "Thank you"
34. Generally hosts do not offer food more than once or twice because they \_\_\_\_\_.  
A. do not expect you to be hungry                                  B. expect you to refuse politely  
C. expect you to dislike the food                                   D. expect you to say immediately what you really want
35. Which topic is more appropriate to discuss immediately after an introduction?  
A. Marital status      B. Religion      C. Occupation      D. Age
36. In the USA, a speaker finishes giving a speech and nobody asks questions about his topic. It shows that his speech is \_\_\_\_\_.  
A. very successful    B. a complete failure  
C. very difficult to understand                                      D. very convincing
37. You're in part of town where your old English friend lives. Do you \_\_\_\_\_.  
A. go to her house and give her a surprise                      B. phone and find out if it's convenient for her first  
C. phone and fix a meeting for another day                      D. None of the above
38. What will your English friend do when he accepts your gift for his birthday? He will \_\_\_\_\_.  
A. accept it without any words    B. open it and watch it by himself  
C. open it and watch it before you and say "Thank you"                      D. express thanks to you without opening it
39. Li: "What do you think of the film?" Smith: "I can't praise this film too highly." By this, Mr. Smith means \_\_\_\_\_.  
A. this film is just so-so    B. this film is good that it deserves praise  
C. this film is not good    D. this film is OK, but doesn't deserve praise
40. Xiao Li works as a secretary in American company. One day she worked very late. Her boss said to her, "Thanks a lot. You were a big help." Xiao Li replies: \_\_\_\_\_.  
A. It's my pleasure      B. Never mind      C. You're welcome      D. Oh, it's nothing

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# Call-and-response in *The Bluest Eye*

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**Abstract**—Call-and-response is one of African oral traditions. Morrison's use of call-and-response in *The Bluest Eye* composes the linguistic facet in community conversations and gossips, and the symbolic facet. The symbolic facet of call-and-response accentuates the teller-listener interaction. Toni Morrison hopes that the reader can participate in the text to read beyond the signs in the text to hear the voices and ideologies embedded in the signs. The analysis of the call-and-response in *The Bluest Eye* shows that Morrison calls the reader to testify to the difficulties the blacks of low economical status has experienced and calls the reader to shed their sympathy onto them.

**Index Terms**—call-and-response, Morrison, oral tradition, linguistic facet and symbolic facet

## I. INTRODUCTION

*The Bluest Eye*, published in 1969, is the first book of Toni Morrison. She explores in *The Bluest Eye* a working-class urban black family during the 1930s and 1940s in Lorain, Ohio where cultural assimilation through school primers, movies, and almost every other cultural item from cups to candies shows “the violence of Sameness” (Khayati)<sup>1</sup>. The novel focuses on the disintegration of this family, and particularly on the plight of a young black girl named Pecola Breedlove. Growing up in the midst of a white-dominated culture which inflicts devastating impact on the psyche of black people, Pecola is despised, neglected and bullied by people surrounding her for she is black and ugly. She is eventually driven mad after being raped by her father, Cholly, and delivers a dead baby. Her longing for a pair of blue eyes as beautiful as Shirley Temple's is brutally fulfilled in her insanity. As the first-person narrator, Claudia declares in the prologue it is difficult to handle why the tragedy occurs and “one must take refuge in how”, Toni Morrison endeavors in how to narrate this story, how to present the reader a global picture of the life of a typical black community which splits into fragments due to the impact of racism.

It is obvious that the unusual employment of narrative devices in *The Bluest Eye* brings the wide dimensions to the thematic tones of the story and invested the story with great pathos. The uniqueness of its writing techniques reaped its recognition at its debut edition. Houston Chronicle highly praised this thin book with such a comment—“Bold new writing and a sense of timelessness that is the mark of great literature.” This “bold new writing” remains blatant and important in her ensuing works as observed by Philip Page:

The narration is frequently subdivided among multiple points of view. So that each novel, while retaining its unity, also projects a collection of perspectives. Plots tend to be circular or spiral rather than linear, as meaning is accreted through repetition and layering and as multiple times are overlaid on each other. By requiring the reader to engage actively, the novels create a plurality-in-unity between reader, text, characters, narrators, and author (1995, p. 4).

Houston Chronicle's praise, on the one hand, acknowledged the importance and brilliance of narrative techniques in *The Bluest Eye*, on the other, betrayed their unfamiliarity with the African-American oral tradition, which is exactly used by Toni Morrison as narrative techniques, which virtually has a long history in African-American narrative.

Since her childhood, with both parents telling stories and a grandmother playing numbers, Morrison has learnt to appreciate the African American oral tradition and cultural practices. Morrison herself says: I try to incorporate into that traditional genre, the novel, unorthodox novelistic characteristics—so that it is in my view Black, because it uses the characteristics of Black art. I am not suggesting that some of these devices have been used before and elsewhere—only the reason why I employ them as well as I can (Morrison, 1984, p. 342). Morrison's reconceptualization of the novel seeks to incorporate precisely the elements belonging to the oral tradition of African Americans that have been excluded from or repressed in this traditional genre.

Call-and-response, stemming from the West African ethnic communities, is one of surviving oral elements brought to America by the African slaves. Toni Morrison employs it in *The Bluest Eye* in both linguistic and symbolic manner. In linguistic manner, Toni Morrison shows its feature in the black speeches; in symbolic manner, Morrison employs this oral element to achieve such narrative goal termed by Page as the “plurality-in-unity between reader, text, characters, narrators, and author.”

<sup>1</sup> See in the web article “Representation, race, and the ‘language’ of the ineffable in Toni Morrison's narrative” by Abdellatif Khayati. Website: [http://www.findarticles.com/p/articles/mi\\_m2838](http://www.findarticles.com/p/articles/mi_m2838).

Trudier Harris in *Fiction and Folklore* states that Morrison allows no dichotomy between form and substance, theme and character in her employment of black folklore (1991, p. 8). The application of call-and-response in *The Bluest Eye* conveys Morrison's political view of the cultural, ideological and social values of both African Americans and Americans. Simultaneously she calls the reader to respond to her, either agrees or disagrees with her. Hence, the core of this thesis is to explore how Morrison incorporates call-and-response into *The Bluest Eye* to obtain political and aesthetic appeal.

## II. MORRISON AND THE TRADITION OF CALL-AND-RESPONSE

The African American oral tradition is the lifeblood of its culture. Black oral expressions comprise many categories or types of folk expressions and Black speech discourse. Among the oral types of expressiveness are: Blues; jazz; spirituals; sermons; toasts; the dozens; cautionary tales; trickster tales; legends; memorates; rural and urban speech patterns; folk beliefs such as voodoo, conjure, and "superstition"; and folk characters as Brier Rabbit, Stagolle, John Henry, the Loup garou, flying African, the conjure woman, the good-time woman, and the aunt (Byerman, 1985, p. 2).

The oral tradition influences almost all African American literature. It enters the early literature, such as Frederick Douglass's slave narrative. Charles Waddell Chestnut's *The Conjure Woman* takes its structure from a tale telling tradition of the black community. Perhaps Langston Hughes could be considered to be at the peak of early folk influence upon literary creation. He intimated the structure and sentiments in his poetry. Zora Neale Hurston has always been identified with black folk traditions in her works such as *Jonah's Gourd Vine*, *Their Eyes were Watching God*, and *Mule and Man*. In the oral tradition, African-American novelists have found out a properly idiosyncratic structure and language to construct their views of human existential conditions through the "time-specific, place-specific and race-specific prism" (Gates, 1987, p. 26).

Madhu Dubey in *Black Women Novelists and the National Aesthetic* suggests that Black women authors of the "second renaissance of the 1970s" affirm oral folk material and culture in their works within the context of Black aestheticism (1994, p. 2). Dubey states that the critical balance (and, at times, ambivalence) with which 1970s Black women novelists approach folk forms is even more clearly visible in their representations of community. Many of the celebratory readings of folk material in Black women's fiction follow Black Aesthetic theory in suggestion that the use of oral forms enables these novels not only to affirm a communal vision but also to establish a continuous and participatory relationship with their readers (1994, p. 7). She shows that a literary explosion of Black women writers was influenced by the Black power movement of the 1960s.

Another linguist, Geneva Smitherman, approaches the oral tradition of black vernacular speakers in her text, *Talkin and Testifyin* in a distinct and empirically useful manner. Smitherman foregrounds the oral tradition of Black American speech into four Black modes of discourse: "call-response; signification...tonal semantics [and] narrative sequencing" (1985, p. 103). She asserts that these Black modes discourse are found "in Black people's common linguistic and cultural history" and that they emanate from "West African language background; servitude and oppression; music and 'cool talk'; traditional Black church" (1985, p. 43).

Morrison comes of age as a writer drafting *The Bluest Eye* from 1965 to 1969. This means that she is squarely in the period of the "black is beautiful" movement (as Morrison herself has noted in the afterword of the Plume paperback edition of *The Bluest Eye*) that called on African Americans to rethink their relation to white culture and the 1960s' Black Aesthetic movement that called for a distinctively black voice and a black nationalist identity. This social and historical context strongly supports the argument that Toni Morrison appropriates the oral tradition in *The Bluest Eye* which her ancestors used in their literary creation. This essay focuses on the use of call-and-response.

Call-and-response is one of most popularly used oral devices in the Black community. It developed in slavery as one slave organized the energies of others by issuing a verbal call to which the rest might respond. Geneva Smitherman defines it as an African-derived communication process of "spontaneous verbal and non-verbal interaction between speaker and listener in which all of the speaker's statements ('calls') are punctuated by expressions ('response') from the listener" (1985, p. 104).

Call-and-response provides the basic rhythm for much African music, in gospel singing, blues, rap and jazz.<sup>2</sup> This age-old tradition can be witnessed equally in church related settings. It is primarily a participatory act whereby both the speaker and the listener engage in unifying verbal exchange. The speaker begins (calls out) the usually improvised message, and the listener answers (responds) to the message. Somin Sunkule and Okumba Miruka similarly define antiphony as the "Call-and-response pattern of songs in most African songs, [i.e.,] Solo (call)-Chorus (response)" Verbal interaction between the performer (or speaker) and the audience is a noteworthy characteristic of the call-and-response pattern. "In traditional Black church services, the preacher depends on the expressed reactions of the congregations to judge the direction and success of his sermon" (Byerman, 1985, p. 7). Lack of response means that the person is not recognized or accepted as a leader. Response gives a leader a suggestion for the direction his or her next call might take.

In the Civil Rights Movement, one of the most famous speeches exemplifies call-and-response. In "I have a dream",

<sup>2</sup> the following line picked from a song applies call-and-response:

| -----Call----- | ----Response-- |  
Fare-well fel-low sarvants! O-ho! O-ho!



Martin Luther King, a black minister, issued a call to respond the previous one made by another minister. Since then King's call in "I Have a Dream" has received many thousand responses as Americans of all races pay tribute to his ideas (Kubitschek, 1998, p. 101). Likewise, in secular settings, such as in the barber shop and beauty house, the antiphonal exchange occurs in the Black conversations when a speaker initiates the communicative process and an individual or group interactively responds to the speaker. The participants of the speech act are equally important in reaffirming each other as integral parts of a unified speech process (Young 4).

### III. CALL-AND-RESPONSE IN A LINGUISTIC MANNER

Morrison specifically honors call-and-response. She regards call-and-response as vital to Black community life. Toni Morrison adopts call-and-response in a linguistic manner which involves the interactive and reciprocal process between a speaker and his/her listener. The speaker presents his or her message and receives a spontaneous reciprocal response from his/her audience or one speaker affirms or agrees with another.

As Michael Awkward has stated, "the pattern [call-and-response] 'permeates' the Afro-American vernacular community and reaffirms Black culture's insistence on interactive unity" (1991, p. 49). The traditional use of call-and-response is evident in the chatting among black women in the community where Pecola, Claudia, and Frieda inhabit.

The example of call-and-response appears in the conversation between the unidentified women who attend Aunt Jimmy's funeral ceremony. In this conversation one woman inquires the death cause of Aunt Jimmy; the woman who possesses the information responds briefly with two words "Essie's pie", which arouses the curiosity of the woman in the dark, she further responds to this answer with a question "Don't say". Then, the conversation goes smoothly with one woman presenting her message and receiving the spontaneous response from the other who initiates the question or agrees, and the large amount of information about the death of Aunt Jimmy is channeled to the listener.

"What she die from?"

"Essie's pie."

"Don't say?"

"Uh-huh. She was doing fine, I saw her the very day before. Said she wanted to bring her some black thread to patch some thing for the boy. I should of known just from her wanting black thread that was a sign."

"Sure was."

"Just like Emma. 'Member? She kept asking for thread. Dropped dead that very evening."

"Yeah. Well, she was determined to have it. Kept on reminding me. I told her I had some to home, but naw, she wanted it new. So I sent Li'l June to get some that very morning when she was laying dead. I was just fixing to bring it over, 'long with a piece of sweet bread. You know how she craved my sweet bread."

"Sure did. Always bragged on it. She was a good friend to you."

"I believe it. Well, I had no more got my clothes on when Sally bust in the door hollering about how Cholly here had been over to Miss Alice saying she was dead. You could have knocked me over, I tell you."

"Guess Essie feels might bad."

"Oh, Lord, yes. But I told her the Lord giveth and the Lord taketh away. Wasn't her fault none. She makes good peach pies. But she bound to believe it was the pie did it, and I 'spect she right."

[...] (Morrison, 1970, p. 110).

Morrison herself comments on call-and-response feature of the black conversations in an interview. She says: "In order to get a real response because that's the other aspect, they [black speakers] do not expect you to listen silently, in a sort of western tradition; you've supposed to tap your feet or say 'Amen' or jump up to dance or say what have you. But there is this connection orator and listener." The women in the above conversation are aware of this trait of Black conversation (1984, p. 341). They exert themselves in their due role: the speaker informs and the listener responds actively. With the full cooperation of the speaker and the listener, the conversation gathers much momentum and goes further and further. It is this charm of "the creamy [black] conversations" that "fascinated" Cholly as well as the reader.

Call-and-response enacts in another scene between two prostitutes. In this sequence, China initiates the sequence by asking a question of Poland. Poland answers and China affirms her response with a "me too." Then the laughter between the prostitutes affirms even more the social and oral interaction between the women:

China arranged a fingerful of hair into a bang of effect.

"Then why he left you to sell tail?"

"Girl, when I found out I could sell it somebody would pay cold cash for it, you could have kicked me over with a feather."

Poland began to laugh. Soundlessly.

"Me too. My auntie whipped me good that first time when I told her I didn't get no money. I said 'money? For what' he didn't owe me nothin'."

She said, 'The hell he didn't!'

They all dissolved in laughter (Morrison, 1970, p. 42).

China in this sequence recounts to her pals how she initially entered the profession. Poland concurs with China and reveals her aunt's anger for her engaging in a "freeby." This episode ends with all three of the prostitutes laughing. The

verbal comments between China and Poland show a call-and-response pattern of shared interaction and a unified connection between the prostitutes. One speaks and the other agrees in confirmation with the third. Ultimately they all laugh together to reveal a shared harmony among them (Young 58).

#### IV. CALL-AND-RESPONSE: THE INTERACTION BETWEEN THE READER AND THE AUTHOR

In her renowned essay, "Rootedness: The Ancestors as Foundation," Morrison asserts that there are things that I try to incorporate into my fiction that are directly and deliberately related to what I regard as Black art, wherever it is. One of which is the ability to be both print and oral literature: to combine those two aspects so that the stories can be read in silence, of course, but one should be able to hear them as well. [...] In the same way that a musician's music is enhanced when there is a response from the audience... to have the reader work with the author in the construction of the book -- is what's important. [...] To construct the dialogue so that it is heard. (1984, p. 341)

She compares this participatory relationship to a Black preacher who requires his church congregation to interact with him and "to join him in the sermon, to behave in a certain way, to stand up and to weep and to cry and to accede or to change and to modify—to expand the sermon that is being delivered" (1984, p. 341).

Morrison emphasizes the need for the reader to understand her language whether "speakerly, aural, colloquial". She describes her own work as containing "holes and spaces so the reader can come into it" (qtd. Tate, 1985, p. 125), testament to her rejection of theories that privilege the author over the reader. Morrison distains such hierarchies in which the reader as participant in the text is ignored: "My writing expects, demands participatory reading, and I think that is what literature is supposed to do. It's not just about telling the story; it's about involving the reader... we (you, the reader, and I, the author) come together to make this book, to feel this experience" (qtd. Tate, 1985, p. 125). Call-and-response in *The Bluest Eye* reveals a pattern that "evolves into a resilient literary device that persuades readers to become symbolic and then perhaps actual participants into the task of image-making, of storytelling" In this context call-and-response engages the writer and reader in a human situation analogous to that of performer and audience (Callahan, 2001, p. 17).

One passage illustrates quite clearly call-and-response as an active participatory relationship between the writer-narrator and reader. It occurs between Blacks of two different socio-economic classes, which are distinguishable by their funkiness. Geraldine of the middle class is anti-funk, whereas Pecola is the essence of funk. Morrison characterizes Geraldine as one of the many brown girls in the middle class who live in quiet Black neighborhood where everybody is gainfully employed. Where there are porch swings hanging from chains [...] they go to land-grant colleges, normal schools, and learn how to do the white man's work with refinement... Here they learn the rest of the lesson begun in those soft houses with porch swings and pots of bleeding heart: how to behave. The careful development of thrift, patience, high morals, and good manners. In short, how to get rid of funkiness. The dreadful funkiness of passion, the funkiness of nature, the funkiness of the wide range of human emotions (Morrison, 1970, p. 64).

The key point of these women's inauthentic behavior is their repression of all human nature and emotions. Geraldine, who has contained her funkiness and who has endeavored to teach her son to imitate the white middle-class, is contrasted with Pecola. Morrison, however, pricks the audience/reader's emotions to go even further in the emerging process. Through the omniscient narrator, she calls on the audience/reader to respond emotionally to the ill-treatment imposed on pitiable Pecola.

Junior, the middle-class son of Geraldine, invites Pecola to his home near their school on the pretense of showing her some kittens. Pecola hesitantly decides to go. The audience/reader senses some foreboding dread about to come to Pecola in her youthful innocence. Once inside the lovely well-furnished home, Pecola is awed by its interior with the big lamps and rugs on the floor. She savors everything by looking slowly at the beautiful furnishings (Morrison, 1970, p. 70). Junior, a sadistic child who really dislikes his mother's cat and his mother too, sees Pecola's interest in his mother's house and her cat and decidedly taunts and beats up Pecola. Then he "pushes her down, ran out the door... and held it shut with his hands. Pecola's banging on the door increased his gasping, high-pitched laughter" (Morrison, 1970, p. 70). Locked in the room, Pecola begins to cry until the soft wounded kitten comforts her and she it. Seeing Pecola comfort the cat, Junior gets angry, for he "had seen that expression many times as the animal responded to his mother's touch" (Morrison, 1970, p. 71). He grabs the cat and in a frenzied moment throws the cat against the window. The cat falls onto the radiator with only "the slightest smell of singed fur" (Morrison, 1970, p. 71).

At this point Junior's behaviors provokes the reader to ask how a young boy could be so evil. The young boy is himself an extreme case of the schizophrenic double consciousness. On the one hand, he wants to play with the other children, get dirty, and laugh. On the other hand, his mother, Geraldine, had taught him not to play with "niggers," and had explained the difference between the colored people and the niggers: "Colored people were neat and quiet; niggers were dirty and loud" (Morrison, 1970, p. 67). Although Junior knew the difference between the two groups, he wanted to play with black boys, "he wanted to feel their hardness pressing on him, smell their wild Blackness, and say 'Fuck you' with that lovely casualness. He wanted to sit with them on curbstones and compare the sharpness of jackknives, the distance and arcs of spitting" (Morrison, 1970, p. 68). Instead of enjoying the casual, fun life of active black boys, he bullies girls, who cannot physically return his aggression.

When one observes Geraldine and Maureen attacking Pecola, one conjures up images who, under the influence of white racism, believe that they are superior to other dark-skinned niggers according to the spectrum. Morrison, in the

form of Claudia or the omniscient narrator, calls readers to respond to these scenes with Pecola and to censure these types of Black people for their selfishness, mean spiritedness, and inhumanity to other Blacks. Call-and-response enables the reader to read beyond the signs in the text to hear the voices and ideologies embedded within those signs. It elicits from the reader a political response and emotional response, as Morrison states, “the work must be political” (1984, p. 342).

Junior’s mother, Geraldine, also exhibits a condescending attitude toward Pecola’s Blackness. When Junior’s mother enters the room, she sees the “funkiness” of Pecola and the deplorable images of her kind and immediately charges into her repugnantly:

She looked at Pecola. Saw the dirty torn dress, the plaits sticking out on her head, hair matted where the plaits had come undone, the muddy shoes with the was of jam peeping out from which had been walked down into the heel of the shoe. She saw the safety pin holding the hem of the dress up. Up over the hump of the cat’s back she looked at her. She had seen this little girl all of her life. Hanging out of windows over saloons in Mobile, crawling over the porches of shotgun houses....Hair uncombed, dresses falling apart, shoes untied and caked with dirt (Morrison, 1970, p. 71).

Geraldine doesn’t see an individual, but a class of people, the class she and others of her kind deplore. “They were everywhere....like flies they hovered; like flies they settled. And this one had settled in her home. Up over the hump of the cat’s back she looked” (Morrison, 1970, p. 72). In a controlled manner, quite representative of her class, Geraldine says, “Get out....You nasty little Black bitch. Get out of my home” (Morrison, 1970, p. 72). The reader observes Pecola’s reaction:

Pecola backed out of the room, staring at the pretty milk-brown lady in the pretty gold-and-green house who was tailing to her through the cat’s fur... Pecola turned to find the front door and saw Jesus looking down at her with sad and unsurprised eyes... the gay paper flowers twisted his face.

Outside, the March wind blew into the rip of her dress. She held her head down against the cold. But she could not hold it low enough to avoid seeing the snowflakes falling and dying on the pavement (Morrison, 1970, p. 72).

In this moving, dramatic scene, Morrison is politically calling the reader to respond to mistreatment of Pecola. Not only Geraldine insists that the ragged child leave, but she calls the child horrid epithets: “nasty, Black bitch.” The reader in recoiling from such disparaging language responds with aversion, extreme distaste, and maybe even horror. Adeptly Morrison does not permit the reader to explore the feeling of pathetic Pecola. Much space is left for the reader to respond to Pecola who appears so small and vulnerable in the snow-falling background, the symbol of hostile condition. In this sense, what is left unsaid is equally as important as what is stated and specified; what is felt is as significant as what is experienced (Rigney, 1991, p. 26).

One notices also Pecola’s response—her backing out of the room is reminiscent of a servant leaving a room filled with royalty. Added to this scenario is Pecola’s seeing “Jesus looking down at her with sad and unsurprised eyes”, again conjuring up images of a pathetic child looking up to Jesus and Jesus reciprocally responding to her plight.

Other passages in *The Bluest Eye* point to Morrison’s appropriation of call-and-response. Again Morrison’s use of call-and-response occurs between the narrator and the reader—where the narrator admonishes the reader to respond to her call. Maureen Peal, the new light-skinned girl who is liked by most of the students and teachers alike. She initially appears to befriend Pecola by buying an ice cream cone. The reader learns quite soon, however, that Maureen has an ulterior motive. When Maureen wants to talk of Pecola’s “naked daddy” and Pecola does not return her insult.

Pecola then “tucked her head in—in a funny, sad, helpless movement. A kind of hunching of the shoulders, pulling in of the neck as though she wanted to cover her eye” (Morrison, 1970, p. 56). Claudia comes to the defense of Pecola, but Maureen recoils with harsh epithets to all three girls reminiscent of Geraldine: “Black and ugly blacker e mos” and she adds that she was cut (Morrison, 1970, p. 56). The reader realizes that Maureen’s insults have hurt Pecola the most. But she is maimed and fails to respond. Thus Claudia as the storyteller calls the reader-audience to respond to this situation symbolically and aurally:

Pecola stood a little apart from us, her eyes hinged in the direction in which Maureen had fled. She seemed to fold into herself, like a pleated wing. Her pain antagonized me. I wanted to open her up, crisp her edges, ram a stick down that punched and curving spine, force her to stand erect and spit the misery out on the street. But she held it in [...]. (Morrison, 1970, p.57)

The cast of Pecola’s image has been set. Callahan notes that “symbolically present in the literary genre of fiction, these variations of call-and-response summon us to read and hear, and potentially contribute to the still unfolding ‘immense story’ in our lives and voices beyond the solitary, private act of reading” (2001, p. 21). The reader is expected to respond to the experience in the story of *The Bluest Eye* and possibly to politicize the scenes or story of Pecola’s life. Through call-and-response, Toni Morrison calls the reader to testify to the difficulties the blacks of low economical status has experienced and calls the reader to shed their sympathy onto them. Call-and-response brings the reader to come to terms with Morrison’s political and emotional attempts.

Morrison has admitted that she does not mind taking risks and that she enjoys “the danger in writing when you’re right on the edge, when at any moment you can be maudlin, saccharine, grotesque, but somehow pull back from it, well, most of the time”(qtd. in Rigney, 1991, p. 6). This is the emotional response she expects the reader to experience. In addition to it, she wants an “intellectual response to the complex ideas” in her work. By using call-and-response, Morrison achieves these goals and fulfills her responsibility “to do both at the same time” since “that’s what a real story

is” (Rigney, 1991, p. 6).

## V. CONCLUSION

Barbara Hill Rigney observes, Morrison “scatters her signs, her political insights,” thus demanding rigorous analyses of her “language” for readers, who are willing to “reconstruct an idea of the political and artistic revolution constituted in her work” (1991, p.7). Morrison herself variously describes the ideal reader of her fiction as herself, the characters in her novels, or the black “village”. The application of call-and-response in *The Bluest Eye*, her first novel, demonstrates this writing philosophy. Call-and-response invites the reader to rework the traumas and dilemmas the Blacks have endured. Thus call-and-response acquires “the power to expand the souls of all readers” (Page, 1995, p. 187). Sympathy for the pathetic characters and accusation of the culprit, racism, is what Morrison intends to elicit from the reader. Due to the employment of call-and-response, *The Bluest Eye* appears no longer a solitary text but a dialogic one completed with the reader and the author’s collaborative enterprise.

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# Towards the Integration of Mobile Phones in the Teaching of English Language in Secondary Schools in Akure, Nigeria

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**Abstract**—The advent of ICT comes with its attendant students' accessibility to information. Teaching these digital age 21<sup>st</sup> century learners requires adaptive and technological induced methods by educators. The Global Satellite Mobile (GSM) provides learners greater accessibility to the internet which makes it easier for them to learn under certain controlled situations. This paper, therefore, investigated the possibilities of using mobile technology in the teaching and learning of the English language in secondary schools. The data was obtained from a three-week field experiment involving an English teacher and purposively selected twelve Senior Secondary School II students of the Federal University of Technology, Secondary School, Akure. The participants took part in activities involving different digital formats in the teaching and learning processes. Also, the respondents were interviewed to assess their perception and attitude towards this mode of teaching English Language. The paper analyses, within the framework of Communicative Language Teaching (CLT) approach to teaching and the Constructivist Theory of Learning, the collected data. The analysis revealed that the students and the teacher found teaching and learning very flexible and essential to their needs in this 21<sup>st</sup> century. The paper concluded that M-learning promotes cooperative and collaborative learning through the enhancement of learners' use of authentic English language that would make it possible for them to construct their own knowledge. The integration of M-learning in to the teaching of English in secondary schools would afford the learners the opportunity of having a method that is 21<sup>st</sup> century compliant and availing the learners the digital age benefits.

**Index Terms**—M-learning, mobile phones, communicative language teaching

## I. INTRODUCTION

The rise of technology has given birth to a new breed of students whom Prensky (2001) calls 'digital natives' and Oblinger (2004) describes them as the 'net generation'. These students have enormous access to digital technology and they display a fluency and familiarity with the new technology. They speak the digital language of computers; the Internet and they share and produce digital contents such as blogs, digital images, video files and SMS messages (Tribe, 2004 in Duncan-Howell and Lee 2007). They observe that these students are growing with a glut of electronic media use and this differentiates them from previous generations of students whose learning experiences were dominated by text in books and journals. As they consume more images and sounds along with the text that they learn, they also interact with the technology more than previous generations.

The lives of these digital natives are influenced by mobile phones which seem to be the fastest growing technology in recent times. Wagner (2004) in Isiaka, Adewole and Olayemi (2011) aptly notes that 'the evidence of mobile penetration is irrefutable: cell phones, PDAs, Mp3 players, portable games, devices, handhelds, tablets and laptops abound. No demographic is immune from this phenomenon. People are increasingly connected and are digitally communicating with each other in ways that would have been impossible only a few years ago' (p 85).

The mobile phone which was introduced roughly 25 years ago, now has more than 6.6 billion connections in use (with an 80% penetration in the developing world) – serving a global population of 7 billion (Gaudry-Perkins and Dawes, 2011). There are more people using mobile phones in developing countries because of the poor economy and infrastructure. In Africa, it is reported that there are 649 million people who are mobile phone subscribers and in Nigeria, there are 93 million mobile phone subscribers, (BBC News, 2011) and younger people aged under 25 have been reported to be more users of the mobile phone than older people, (ITU, 2011). Keegan (2005) notes that in the world (apart from the USA and Canada), 'it's the mobile that reigns, with countries often having 5 to 10 times the number of mobile phones than PC's' (p 100) and Gaudry-Perkins and Dawes (2011) also note 'in developing countries only 25% of the homes own computers' (p 7). With the prevalence of mobile phones and more especially its handiness and its easy access to information for young people, especially secondary school students, it is obvious that these developments in information and communications technologies homes have (ICT) and evolving learner behaviours require educators to continuously review their approaches to pedagogy. With the increasing availability of low cost mobile phones, it seems appropriate to focus on the potentials of using the mobile technologies in teaching and learning practices in making education more accessible, more efficient, more cost-effective, and more enjoyable. With this view

in mind, this study examines the teacher and students' perception of the use of mobile technologies in teaching and learning of the English language in The Federal University of Technology Secondary School, Akure.

## II. LITERATURE REVIEW

### *M-learning: Teaching and Learning through Mobile Technologies*

Teaching and learning through Mobile Technologies (MT) is called M-learning. It allows learning in no fixed location or time of learning (Kinshuk, 2003). It is a type of teaching and learning that allows for flexibility and ubiquity. It allows for a more student centred approach in learning where the student is more responsible for acquiring, processing and using information. It also allows for increased interactivity between teachers and students, thereby making teaching and learning a more personal activity. Nyiri (2002) defines M-learning "as learning that arises in the course of person-to-person mobile communication" (p.2). This type of pedagogy involves the use of phones, Ipods, Personal Digital Assistants (PDAs), it does not however include the laptop because the laptop though is portable, it is not mobile. Gaudry-Perkins and Dawes, (2011) state that mobile learning ranges from "simple SMS messaging, MMS live classroom sessions, web and podcasting to audio-to-text or text-to- audio applications, and it can provide enriched learning experiences via "educational video, logical reasoning and problem solving aptitude games, and even mobile whiteboards for interactive discussions." (p.7)

Teaching and learning through mobile technologies afford the option of mobility both due to the structure of the device and of the participants involved. This distinctive feature offers a transition from the occasional, supplemental use of computer labs, to frequent and integral use of portable computational technology (Roschelle, 2003). It bridges the gap between formal and informal learning. Similarly, it allows an increased mobility of population and lifelong learning, thereby creating opportunities for constant practice anywhere and anytime. This access to technology is important especially in the teaching of English language as a second language (L2) because it enables the learners to constantly practice the language. It also aids the easy recollection of what has been taught thereby making it possible for learners to put into practice the learnt concepts in real life situations. In addition, it allows for variety and creativity in teaching and learning thereby increasing interaction and interactivity between teachers and students which brings about creativity and critical thinking. Furthermore, it allows the student to be more responsible in his acquisition of information; he is more active in getting his own education (Kukulka-Hulme, Shield & Hassan, 2010). M-learning is often regarded as a subset of e-learning and is seen as good supplement to e-learning or face to face interaction. M-learning can never replace traditional education or the role of teachers, it is a tool that can help to make tremendous impact on education more accessible, more efficient, more cost-effective especially in developing countries, and more enjoyable.

Although using mobile technologies in education is a fairly new field when compared to areas like health and agriculture, various studies have been carried out to examine the viability of using mobile technologies for pedagogical activities in educational institutions. Several studies, Geddes (2004), Hartnell-Young and Heym (2008), Perkins and Dawes (2011) have examined the benefits of using mobile technologies for pedagogical purposes. These studies describe teaching and learning through the mobile technologies as a very good way of making the students active participants in the acquisition and dissemination of knowledge. Nyiri (2005) examines the intimate connection between communication and education and submits that it is in the heart of communication not just through words but pictures that m-learning is realised. Mellow (2001) views m-learning as a means for enhancing the broader learning experience and a primary method for delivering courses for distance learning, he also views m-learning as a powerful method for engaging learners on their own terms. Sebbowa (2012) investigates the role of mobile phone forums in enhancing interactivity in teaching in Makerere University, Uganda. She considers mobile phone forums as appropriate in the large class situations in the African educational situation and her findings indicate that mobile phone forums indeed enhance interactivity and collaboration between teachers and students.

In using mobile technologies as a tool to teach English language, Mohammed and Woollard (2009) suggest ways in which teaching and learning the English Language through the mobile phone can be effectively carried out in high schools to ensure maximum benefit for both the teachers and the learners. Nwocha (2010) carried out an actual research using SMS based mobile learning system to teach Elish to high school students who live in a rural area in Northern Nigeria and she records that when tested, the students under experiment performed better than the ones who were taught in traditional based classrooms. Clarke et al (2008) also studied the viability and the acceptance of using the SMS based learning system to teach and engage students in language learning. Some students were selected in Hong Kong University of China and the findings showed that the students found it worthwhile and engaging and it helped them in their acquisition and retention of the language taught via this learning system.

## III. THEORETICAL CONSIDERATIONS

The current study situates m-learning in the Communicative Language Teaching (CLT) approach to teaching and the Constructivist Theory of Learning. CLT aims at developing real-life communication skills in learner. The primary goal of CLT is to provide students with the functional ability to perform competently outside of the language classroom (Al-Mutawa and Kailani, 1989). This approach sees the teacher as a facilitator in language tasks and activities, rather than dominating a tightly controlled language lesson. In this learner-centred environment, students develop autonomy in

cooperative and collaborative tasks which enable them to continue to learn in real-world contexts. Constructivism construes learning as a process in which the learner actively constructs or builds new ideas or concepts. It is also known as social constructivism which indicates that knowledge is constructed when individual engage socially in talk and activity about shared problems or task. Versions of Constructivism include Active learning and Discovery learning. At any rate, the learner is expected to be actively involved, which makes it learner-centred. This of course does not do away with the presence of a teacher, but the presence of a highly creative and imaginative teacher is needed to make teaching and learning successful. M-learning is a learner-centred endeavour, it is collaborative, interactive and cooperative. These features conform to the principles of communicative language teaching and constructivist theory of learning.

#### IV. METHODOLOGY

The data for this study was obtained through experiment involving purposively selected 12 SS2 students of Federal University of Technology secondary School, Akure who had mobile phones which could browse the internet and could receive and send out multimedia contents. The popular 2go, which is a mobile chat application used by young people to chat with friends both on a one on one basis and in groups, was used as a test run because it is popular and the students are all familiar with it and it was very easy to get it installed on their phones. Furthermore, a blog which is meant for posting assignments in the various aspects in English was created and could easily be accessed through their phones. A group forum on Facebook was also created for the students to access questions and instructions on what to do. Questions were posted on the blog and the students were told to respond to the questions. Interviews were also conducted with the teacher and the students to determine their attitude towards using the mobile phone for pedagogical purposes. The sampled students were taught using different formats of digital media: audio format, mobile chat applications, *SMS-ing* and the use of blogs/forum. Different aspects of the English Language were taught to the students: Grammar, Oral English and Comprehension. These activities were given in order to test the potentials of m-learning: variety, interactivity, flexibility and active participation in information acquisition. The following digital media were used: audio (amr, mp4), SMS, mobile chat, and use of search engines such as the google to browse and get information.

Under comprehension, a brief introduction of the topic 'summary' was read and recorded by the teacher and sent to the students via blue tooth. The students were instructed to go to browse up more information about summary and they were directed to go to a specific website [www.endnote.com](http://www.endnote.com) to get the information on the topic. The students were asked browse independently on some aspects of grammar and answer some questions that were posted on a forum created in Facebook. The teacher/researcher posted a comprehension passage and an exercise on pronunciation; the students were requested to answer the questions and send the answers through SMS or through 2go. The teacher/researcher sent a few words to the students via the mobile chat application and they were instructed to read those words, pronounce them and send them back to the teacher via 2go. The teacher/researcher listened to the words and sent the corrections to them through 2go.

In addition to the assignments handed to the students, there were group and one to one chats with the students to discuss the questions given to them. Interviews were also conducted on a one to one basis and in group chats to view the perception of the teacher and the students on the use of the mobile technology for pedagogical purposes. The participants were asked some questions and the analyses that follow shortly reveal the participants' answers to the questions.

#### V. DISCUSSION OF FINDINGS

The analysis that follows substantiate the feasibility, preferences, types of digital formats and the inherent merits and demerits of using mobile technology in the teaching of English language in a secondary school.

##### A. *Usefulness of Mobile Technology*

The researcher interviewed both the English teacher and the students on the inherent benefits derivable from the use of mobile telephone in the teaching and learning processes. The feedbacks from the respondents are treated under the following categories:

All the respondents (a teacher and 12 students) agreed that mobile learning is an easy method of teaching and learning in that one would not have to be in a particular setting in teaching or passing information to learners. It allows both of them to work at their own pace under a relaxed atmosphere thereby reducing the anxiety level of learners. The learners could be on their beds or dining tables yet actively be involved in learning. The teacher also found the technology especially, the mobile chat application, easy because of its mobility. The mobile technology made it possible for the teacher to play the role of a facilitator of knowledge rather than being the sole giver of knowledge.

Also, M-learning makes teaching and learning very flexible. This flexibility depends on the parties involved. The students found it flexible because they could easily use the format they enjoyed or found most comfortable to deliver their assignments. For example, the students could send information to the group either on facebook or via SMS. On the part of the teacher, he found teaching with the mobile phone very flexible. This is because she could decide what format to use in teaching students who had constraints like network problems or who had problems with the subscribed

format of use. He could ask the students to answer questions on the comprehension and pronunciation exercises on SMS or on audio format. The students would depend on the promptings of the teacher on the choice of format.

Furthermore, it was observed that the internet helps the students to get information that they need. Mobile teaching helped the respondents to source for information independently thereby making them more active in their knowledge acquisition. Furthermore, the students found it quite challenging and exciting to find information themselves. Some of them found accessing information on Google challenging but with time they were able to get the information they needed. The teacher was more of a facilitator in the teaching and learning process. The students were more responsible in accessing information they needed on topics assigned to them in the English Language. The teacher helped only in clarifying issues that they did not quite get right.

Additionally, it was observed that teaching through mobile learning helped in increasing interaction and interactivity between the students in that they felt more comfortable in expressing themselves than in the stiff and formal classroom settings. Unlike the past where teachers and students do not relate informally, it was noticed that mobile technology facilitated a more friendly teacher and students relationship than was obtainable in a stiff formal setting. The students found learning through the mobile platform very engaging and very interactive with their teacher and amongst themselves than in the traditional chalk and talk method of teaching.

#### *B. Limitations of Mobile Technology*

Irrespective of the inherent advantages which mobile technology offers the teaching and learning of the English language, we have, however, identified some limitations to its effectiveness and efficiency. These are:

First, the students complained of the network problems during their attempts to log into the internet because of the poor network. It took a lot of time before the students could surf the internet. Second, the researcher discovered that the students' attention span was not more than an hour. They often got distracted and they had to be reminded that they were in a class and needed to read and type when necessary. Some of the participants felt that it was because they used 2go as a social chat room that was why it seemed very difficult to sustain the mindset that they were in a virtual teaching environment and so it would be better if another application was created solely for educational purposes. The students also admitted that they were often distracted by the chats of other people and even by their family as they were often called to go and do one thing or the other. Third, it was noticed that the students often resorted to using textese, SMS style of writing and this already had begun to reflect in their assignments and despite all warnings to desist from using the language, they still used it unconsciously. Finally, Funding teaching through the mobile phone was expensive. The students cannot be expected to pay for the airtime used to learn and the salary of a teacher will not be able to cater for the cost of mobile teaching.

#### *C. Preferentiality*

On whether the respondents would prefer teaching with mobile technology to face to face teaching or a blend of both. It was discovered that all the participants preferred the use of both methods of teaching due to their firm belief that some aspects of the English language cannot be effectively taught through the mobile phone. Some of the areas mentioned by the students include English clauses and oral English. According to the students, they would need the face-to-face method of teaching to be able to overcome the seemingly challenges posed by those aspects of the English language. Similarly, the teacher also preferred the blending of both aspects but with a proviso that as long as both parties are aware of the rules of engagement and the ethics of using the mobile technology to teach the English language. Using both methods of learning, according to the teacher would be good because it incorporates what the students enjoy and what is already on ground, thereby increasing learners' interest in learning.

#### *D. Choice of Digital Format*

On what choice of digital media format would the teacher and students would like to teach and be taught the English language. The data analysis revealed that the participants preferred the use of browsing and the mobile chat application. They also preferred the use of games and audio format because they are capable of eliciting excitement and stimulating the interest of the learners.

### VI. CONCLUSION

The paper concludes that M-learning is cooperative, collaborative and learner centred. It enhances active involvement of the students in the acquisition of linguistic knowledge as it gives the learners the chance through networks and different forums to gather, post and share ideas and other resources. The opportunity given by M-learning would afford the learners of the chance of using authentic English language that would make it possible for them to construct their own knowledge. The integration of M-learning in to the teaching of English in secondary schools would afford the learners the opportunity of having a method that is 21<sup>st</sup> century compliant and availing the learners the digital age benefits. To fully enjoy the benefits offered by this innovation, the schools must be given some infrastructural face lifts in terms of good network connection and stable electricity.



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# The Syntactic Structure of Modal Verbs in Chinese

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**Abstract**—This paper investigates the syntactic properties of modal verbs in Chinese. By comparing the differences between epistemic and root modal verbs, we try to get the syntactic properties of modal verbs. This paper makes modal verbs related to aspect markers and concludes that root modal verbs originate in ASPP and have complementary distribution with aspect markers; they take VP as their complement. Based on the two arguments that epistemic modal verbs cannot occur in nonassertive contexts and the asymmetry of negation of modal verbs this paper claims that epistemic modal verbs are in IP and move to the position of CP, and they have complementary distribution with nonassertive contexts; they select IP as their complement. The established proposal can adequately account for not only the succession of modal verbs but also some controversial issues.

**Index Terms**—root modal verbs, epistemic modal verbs, aspect markers, nonassertive contexts

## I. INTRODUCTION

It is well noted that modal verbs in Chinese receive two distinct readings, traditionally termed epistemic and root. Epistemic modals are concerned with belief and attitude of the speaker, whereas root modals typically describe volition, ability, or permission according to Palmer (2001).

The distribution and the syntactic properties of the constructions in which these elements appear have been the most extensively discussed topics for a long time. Various proposals have been made to account for them. Though the previous studies have reached agreement that epistemic modal verbs and root modal verbs are merged at different level of insertion, which can explain the succession of modal verbs, there is still very little consensus among linguists as to the best way to characterize the difference between epistemic and root, especially two central while controversial facts (I), (II), as illustrated by (1) and (2).

(I) Compatibility between epistemic modal verbs and aspect markers<sup>1</sup> or incompatibility between root (deontic and dynamic) modal verbs and aspect markers.

(II) Ability of root modal verbs to occur in nonassertive contexts or inability of epistemic modal verbs to occur in nonassertive contexts.

(1) a. Tamen keneng/yinggai ying -guo qiu.  
“They might have won the ball.”

b. \*Tamen neng/keyi ying -guo qiu.  
“\*They can have won the ball.”

(2) a. Ren weishenme hui si?  
“Why will people die?”

b. \*Ren weishenme keneng si?  
“Why might people die?”

As for the differences between epistemic and root modal verbs, different linguists have different views, and various proposals are put forward. Picallo (1990) suggested the difference between epistemic and deontic modals is determined at the level of insertion (merge); epistemic modals are merged somewhere within the IP level, and roots (deontic), somewhere within the VP. McDowell (1987) claimed that it is LF that is relevant, with epistemic modals appearing in C at that level and roots (deontic) in VP. Brennan (1997) made a similar claim. Cormack & Smith (1997, 1998) had modals merged as heads of discrete modal phrases within IP, but again derive their different semantic behaviors at LF.

The above accounts discuss that epistemic and deontic modal verbs are different from the syntactic perspectives. They can explain the succession of different modal verbs and the order of them. For instance, in the following sentence that “*Ta keneng neng kaoshang daxue*. (It is possible that he should enter the university)”, “*keneng*” has an epistemic interpretation, while “*neng*” receives a deontic interpretation. “*keneng*” must occur before “*neng*”, for epistemic and deontic modals are determined at the different levels of insertion (merge); epistemic modals are merged somewhere within the IP level, and roots (deontic), somewhere within the VP. So the order of the two kinds of modal verbs cannot change. This analysis can explain the order of multiple modal verbs. But the above analysis cannot explain other

<sup>1</sup> There are two kinds of aspect markers. One is verbal aspectual markers; the other is the sentence-final aspectual particles. They occupy the different syntactic position. Verbal aspectual markers are in ASP, sentence-final aspectual particles are in C. So any sentence-final aspectual particles can occur with root modal verbs, while verbal aspectual markers cannot. In this paper, aspect markers mainly refer to verbal aspectual markers.

phenomena. For example, why can modal verbs not co-occur with the aspect markers? What is the relationship between modal verbs and aspect markers?

## II. MODAL VERBS AND ASPECT MARKERS

### A. Verb Suffixes: *-le*, *-guo*, *-zhe* and Aspect Head: *zai*

*-Le*, *-guo* and *-zhe* are different in span. *-Le* and *-guo* express perfective viewpoint, while *-zhe* expresses imperfective viewpoint. *-Le* spans the initial and final endpoints of an event, which means the actualization of a situation and presents it as a whole; the span of *-guo* extends beyond the final endpoint of a situation, which is in experiential sense and conveys a discontinuity with the present; *-zhe* presents a continuous and stable situation without respect to endpoints. Consider the following sentences:

- (3) a. Zhangsan kan *-guo/-zhe* na ben shu.  
 “Zhangsan has read that book.”  
 b. \*Zhangsan kan na ben shu *-guo/-zhe*.  
 “Zhangsan has read that book.”

We may conclude that aspectual markers *-guo* and *-zhe* in sentence (3) are bound morphemes that do not themselves act like verbs. Sentence (3) also illustrates the fact that aspectual markers in Chinese are required to follow the host verb immediately, with no intervening elements. This non-detachability of the three aspectual markers from their host verbs indicates that aspectual markers appear at the lexical level, not at the phrasal level.

*Zai* presents an internal interval of a durative situation, with a sense of progressiveness. *Zai* appears preceding the verb, and often co-occurs with the morpheme *zheng* and the sentence particle *ne*, while *-le*, *-zhe*, *-guo* occur after the verb. Aspect marker *zai* is different from aspect markers *-le*, *-zhe* and *-guo*. Consider the following sentences.

- (4) Tamen *zai* youyong.  
 “They are swimming.”  
 (5) \*Tamen youyong *zai*.  
 “They are swimming.”  
 (6) Tamen *zai* youyongci li youyong.  
 “They are swimming in the pool.”

We may conclude that aspectual marker *zai* precedes the verb and take VP as complement, but it is not required to precede the verb immediately. An adjunct like *youyongcili* (in the pool) in (6) can occur between *zai* and the verb *youyong* (swim), which suggests that *zai* attaches at the phrasal level.

### B. The Relationship between Aspect Markers and Modal Verbs

Since there are two kinds of aspect markers, one is the verb suffixes *-le*, *-zhe* and *-guo*, the other is aspect head *zai*. What is the relationship between aspect markers and modal verbs? Consider the following sentences:

- (7) a. Ta neng kai che.  
 “He is able to drive a car.”  
 b. \*Ta neng che.  
 \*“He is able to car”  
 (8) a. Ni hui xie zi.  
 “You are able to write characters.”  
 b. \*Ni hui zi.  
 \*“You are able to characters.”

The above sentences show that modal verbs cannot themselves act like verbs that directly take NPs as complements; they must take VPs as their complements. This suggests that modal verbs attach at the phrasal level, not at the lexical level.

By comparing the above sentences with sentence (3), we may conclude that aspectual markers *-le*, *-zhe* and *-guo* are suffixes of verbs, they cannot themselves act like verbs, while modal verbs must take VP as their complement. They are all related to verbs. By comparing the above sentences with sentences (4-6), we also find that both aspect marker *zai* and modal verbs can precede the verbs and take VP as their complement.

To sum up, modal verbs and aspect markers are related to verbs. Aspect markers *-le*, *-zhe* and *-guo* are suffixes of verbs, so they cannot themselves act like verbs, while modal verbs and aspect marker *-zai* must take VPs as their complements. Since aspect marker *-zai* functions as ASP head, taking VP as complements headed by main verbs. Modal verbs are like aspect marker *-zai*. So we may assume that modal verbs also function as ASP head, taking VP complements headed by main verbs. That is to say, modal verbs and aspect marker *-zai* are the head of ASP, generating the AspP, with the VP in their scope. Sentences without modal verbs or aspect marker *-zai* may have the empty Aspect node functioning as the head that licenses the corresponding affix on the main verb. This would be treated by making *-le* (*-guo/-zhe*) a base-generated verb affix, which moves to the next upper functional head. This is parallel to English verbs with *-ed* or *-s* moving to Tense node. Sentences with modal verbs may not allow aspect markers to occur. We may conclude that modal verbs have complementary distribution with aspect markers *-le*, *-zhe* and *-guo*.

### C. Root Modal Verbs as AspP

As we have argued, modal verbs and aspect marker *zai* are the head of ASP, generating the AspP, with the VP in their scope and they have complementary distribution with aspect markers *-le*, *-zhe* and *-guo*. So we may assume that both epistemic and deontic modals are determined at the same levels, they all originate in ASP and have complementary distribution with aspect markers. Now let's check up our assumption.

Since modal verbs are the head of ASP, aspect markers *-zhe*, *-le* and *-guo* are suffixes of verbs. Consider the following sentences:

- (9) a. Tamen ying *-guo/-le* qiu.  
 "They have won the ball."  
 b. Tamen keneng/yinggai ying *-guo/-le* qiu.  
 "They might have won the ball."  
 c. \*Tamen neng/keyi/hui ying *-guo/-le* qiu.  
 "\*They can have won the ball."

Sentence (a) is grammatical, for aspect marker *-le* is the suffix of verb *mai*, there is the empty Aspect node functioning as the head that licenses the corresponding affix on the main verb. Sentence (c) is ungrammatical, for modal verbs occupy the position of ASP, they don't allow the affix on the main verb, aspect markers *-le*, *-zhe* and *-guo* are suffixes of verbs. Therefore, modal verbs cannot co-occur with aspect markers *-le*, *-zhe* and *-guo*. However, sentence (b) allows aspect marker *-le* to occur though ASP is occupied by modal verbs. Why is sentence (b) grammatical? By comparing sentence (b) with sentence (c), we find that only modal verbs are different. Modal verbs *keneng* and *yinggai* are epistemic, while modal verbs *keyi*, *neng*, *hui*, and *xiang* are root modal verbs, that is to say, they are deontic or dynamic. So epistemic modal verbs can co-occur with aspect markers *-le*, *-zhe* and *-guo*, root modal verbs cannot. This suggests that only root (deontic and dynamic) modal verbs occupy the head of ASP and have complementary distribution with aspect markers *-le*, *-zhe* and *-guo*.

### D. Epistemic Modal Verbs as CP

Now what's the position of epistemic modal verbs? The most compelling argument is that epistemic modal verbs must be higher than root (deontic and dynamic) modal verbs. The order of different modal verbs is epistemic > deontic > dynamic. Deontic and dynamic modal verbs belong to root modal verbs, so epistemic modal verbs must occur before root modal verbs, the order of them cannot change, such as the following sentences:

- (10) a. Ni yinggai neng zuo nejian shi.  
 "You should be able to do that matter."  
 b. \*ni neng yinggai zuo nejian shi.  
 (11) a. Ta keneng xiang qu meiguo.  
 "He might want to go to America."  
 b. \*Ta xiang keneng qu meiguo.  
 "He might want to go to America."

In sentence (10), *yinggai* has an epistemic interpretation; *neng* expresses a dynamic interpretation. In sentence (10a), *yinggai* occurs before *neng*, and it follows the rule of succession and the sentence is grammatical. In sentence (10b), *neng* occurs before *yinggai*, and it violates the order of succession and the sentence is ungrammatical. We can get the same conclusion in sentences (11). Therefore, epistemic modal verbs must occur before root (deontic and dynamic) modal verbs. That is to say, epistemic modal verbs are higher than ASP.

If we assume that the higher level from which epistemic modal verbs operate is in fact in CP, and select IPs as their complements. There are two arguments to support our assumption that epistemic modal verbs are in CP. One is that epistemic modals are generally absent from nonassertive sentences. The other is that epistemic modals cannot be in the scope of negation. We will discuss them in detail in the following parts.

#### 1. Nonassertive Contexts

Jackendof (1972) was perhaps one of the first to notice that epistemic modals do not occur in polarity questions, and Hermeren (1978) made a similar observation. McDowell (1987) has shown that the same is true for WH-questions, the epistemic reading is also not available when the modal occurs in an indirect question. Furthermore, Progovav (1988) shows that epistemic modals are also excluded from protasis of a conditional. We also find that it is true for Chinese epistemic modals. Consider the following sentences:

- (12) a. Weishenme xiaoming neng qu canjia zhege huiyi?  
 "Why can xiaoming attend this meeting?"  
 b. \*Weishenme xiaoming keneng qu canjia zhege huiyi?  
 "Why might xiaoming attend this meeting?"  
 (13) a. Ruguo ta neng zaodian chufa, ta jiuneng ganshang huoche.  
 "If he sets off early, he can catch the train."  
 b. \*Ruguo ta keneng zaodian chufa, ta jiuneng ganshang huoche.  
 "If he sets off early, he can catch the train."

Since not only interrogatives but also conditionals are involved, all the above restrictions underline the fact that

epistemic modals cannot occur in nonassertive contexts. In fact, we propose that epistemic modals must be in INFL at PF but undergo obligatory moving from INFL to COMP at LF. In sentence (12b), COMP is indexed by the WH-operator *weishenme(why)* at PF. When the epistemic modal verb moves at LF, it is contra-indexed with the WH-operator *weishenme(why)* and cannot antecedent govern its trace in INFL, which can account for the ill-formedness of (12b).

[<sub>CP</sub> [<sub>COMP</sub> *Weishenme*<sub>i</sub> [<sub>IP</sub> *keneng*<sub>j</sub> [<sub>IP</sub> *xiaoming*<sub>i</sub> [<sub>INFL</sub> *t<sub>j</sub>*]]] [<sub>VP</sub> *qu canjia zhege huiyi t<sub>i</sub>*]]]?]

In sentence (12a), *neng* has a deontic interpretation, so it can occur in the WH- question. From the above sentences, we can conclude that WH-movement blocks the epistemic reading. The same proposal can account for the sentences (13).

## 2. Negation

The scopal relationship between modality and negation is controversial and has given rise to considerable discussions. It is clear that certain modals cannot be in the scope of negation. It has known for a long time that modal or evidential adverbs like *probably*, *supposedly*, *evidently*, *obviously*, etc, which we may assume to be specifiers of MepP, as suggested in Cinque (1999), cannot occur in the scope of negation (Jackendoff, 1972).

(14) a. John probably never ran so fast.

b. \*Never did John probably run so fast.

The same scopal asymmetry also shows up in another well-known restriction: Modal/evidential adverbs neither have morphological nor constituent negation (Bellert, 1977)

(15)\* Improbably/ \* Impossibly John has gone home.

It is interesting to note that modal/evidential adjectives are free from this constraint when they occur in predicative function.

(16) It is improbable/ impossible that John has gone home.

The same observation obtains for Chinese. In sentences (17), *hen keneng* can occur before VP or CP, while *bu keneng* can only appear before VP, not CP, such as in sentences (18).

(17) a. Tamen lianggeren *hen keneng* hui zhenglun qilai.

They two person very might will argue asp

"It is possible that they will argue."

b. *Hen keneng* tamen lianggeren hui zhenglun qilai.

Very might they two persons will argue asp

"Probably the two persons will argue."

(18) a. Tamen lianggeren *bu keneng* hui zhenglun qilai.

They two persons not might will argue asp

"It is impossible that the two persons will argue."

b. \**Bu keneng* tamen lianggeren hui zhenglun qilai.

Not might they two persons will argue asp

"\*Improbably the two persons will argue."

The above sentences support the argument that epistemic modal verbs are in CP. This suggests that epistemic modality is not part of the proposition but takes entire proposition into its scope. The negative adverb *bu* is part of the proposition. Therefore, in sentences (17), *keneng* has an epistemic interpretation, when it is modified by the degree of adverb *hen*; *hen* is the specifier of MepP. *Hen keneng* is still in CP, it can occur before VP or CP. When *keneng* is modified by negative adverb *bu*, the negative scope is the modal verb *keneng*, not the whole sentence, so when *bu keneng* in sentence (18b) occur before the subject, that is to say, *bu keneng* takes the whole sentence as its complement, the sentence is unacceptable. At the same time, negative adverb is part of the proposition, while epistemic modality is not part of the proposition<sup>2</sup>. So *bu keneng* can not appear before subject. We can also explain the ungrammatical sentences (14b) and (15).

However, it is interesting to note that *bu keneng* can head the sentence in the following sentences. Sentence (19a) can be transformed into sentence (19b) and they express the same meaning. In fact, the structure of sentence (19a) is different from the structure of sentence (19b). In sentence (19b), *bu keneng* takes IP as its complement and it is ungrammatical, while *bu keneng* takes VP as its complement in sentence (19a) and it is grammatical. Therefore, *bu keneng* can only occur before VP not CP. The structure of sentence (19b) is like the structure of the above sentence (16). That is to say, when modal verbs occur in predicative function, they are free from this constraint. Therefore, sentence (19b) is grammatical. The following sentences again provide the additional support for the argument.

(19) a. Bu keneng shi xiaoming lai canjia zhege huiyi.

Not possible is xiaoming come attend this -CL meeting

"It is impossible that xiaoming attend this meeting."

b. Xiaoming lai canjia zhege huiyi shi bu keneng de.

Xiaoming come attend this-CL meeting is not possible

<sup>2</sup>Examples from Rochette (1990:388f):

a. Probablement que Marie viendra demain. Probablement Marie viendra-t-elle demain. b. When *que* is missing, complex inversion is possible, as Dubuisson and Goldsmith (1976) observe. This suggests that epistemic modality is not part of the proposition but takes the entire proposition into its scope. This again provides additional support for the association of epistemic modality with COMP.

“It is impossible that xiaoming attend this meeting.”

So far in this section, we have provided two arguments for the assumption that epistemic modal verbs are in CP. The first argument is that epistemic modals cannot occur in nonassertive contexts. The second is that epistemic modal verbs that are negated by negative adverbs cannot occur before subject.

### III. NEW PROPOSAL

As we have argued in above section, root modal verbs are in ASPP, and they have complementary distribution with aspect markers; while epistemic modal verbs are in CP, and they have complement distribution with nonassertive contexts. Though many linguists have reached agreement that epistemic and root modal verbs are merged at different levels, epistemic modals are merged somewhere within the IP level, and roots (deontic and dynamic), somewhere within the VP. They don't make the modal verbs related to ASP, accounting for the complementary distribution between modals and aspect and making the root into an aspect marker. This new proposal mentions this point and argues that root modal verbs are in ASPP and have complementary distribution with aspect markers; they take VP as their complements, while epistemic modal verbs are in CP and select IP as their complements; they have complementary distribution with nonassertive contexts. This new proposal can explain the following questions.

The first one is that why some modal verbs can co-occur with aspect markers, while others cannot. Consider the following sentences:

(20) a. Tamen keneng/yinggai ying -guo qiu.

“They might have won the ball.”

b.\*Tamen neng/keyi ying -guo qiu.

“\*They can have won the ball.”

In sentence (a), modal verbs *keneng* and *yinggai* have epistemic interpretations; they can co-occur with aspect marker *-guo*. In sentence (b), modal verbs *neng* and *keyi* have deontic interpretations; they cannot co-occur with aspect marker *-guo*. According to the new proposal, we know that epistemic modal verbs are in CP and select IP as their complements, root modal verbs are in ASPP and select VP as their complement, and they have complementary distribution with aspect markers.

In sentence (a), epistemic modal verb *keneng* occupies the position of CP and there are no root modal verbs or aspect marker *zai* that occupy the position of ASPP, so there is an empty Aspect node functioning as the head that licenses the corresponding affix on the main verb. This would be treated by making *-le* (*-guo/-zhe*) a base-generated verb affix, which moves at LF to the next upper functional head. Therefore, epistemic modal verb *keneng* can co-occur with aspect marker *-guo*, and we can explain the grammatical sentence (a).

In sentence (b), deontic modal verb *neng* occupies the position of ASPP, when aspect marker *-guo* moves at LF to the next upper functional head, the position has been occupied by deontic modal verb and there is no place for the aspect marker *-guo* to occupy. So we can explain the ungrammatical sentence (b).

The second is that why some modal verbs can occur in nonassertive context, while others cannot. The following sentences indicate that some modal verbs can co-occur with interrogative adverbial *weishenme*, while others cannot.

(21) a. Ren weishenme hui si?

“Why will people die?”

b.\* Ren weishenme keneng si?

“Why might people die?”

In above sentences, modal verb *hui* in sentence (a) has deontic interpretation, while modal verb *keneng* expresses an epistemic interpretation. The above examples indicate that deontic modal verbs can co-occur with interrogative pronoun *weishenme*, that is to say, they can appear in nonassertive context; while epistemic modal verbs cannot. As for this point, we can use the new proposal to explain it.

As we have argued in above section, root modal verbs and aspect marker *zai* are the head of ASP, generating the AspP, with the VP in their scope, and root modal verbs have complementary distribution with aspect markers. In sentence (a), deontic modal verb *hui* occupies the position of ASPP, WH-operator *weishenme* occupies the position of the Spec of CP, they have their own proper positions and are not in conflict with each other. Therefore, sentence (a) is acceptable.

As is known in above section, epistemic modal verbs are in CP and select IP as their complement. In sentence (b), epistemic modal verb *keneng* occupies the position of COMP, while COMP is indexed by the WH-operator *weishenme* at PF. When the epistemic modal verb *keneng* moves at LF to COMP, it is contraindexed with the WH-operator and cannot antecedent govern its trace in INFL, which can account for the ill-formedness of (b).

The above questions in turn support our assumption that epistemic modal verbs are in CP, while root modal verbs are in ASPP and have complementary distribution with aspect markers.

### IV. SUMMARY

In this paper, we mainly discuss the syntactic structure of modal verbs. Based on the former studies, we make modal verbs related to aspect markers. By comparing modal verbs with aspect markers, we put forward a new proposal that root modal verbs originate in ASP, taking VP as their complement, and they have complementary distribution with

aspect markers. We also claim that epistemic modal verbs are in CP, taking IP as their complement, and they have complementary distribution with nonassertive contexts. We provide two arguments to support our assumption. The two arguments are the inability of epistemic modal verbs to occur in nonassertive contexts and the asymmetry of negation of modal verbs. We carry out the new established proposal to solve some problems, such as the compatibility between epistemic modal verbs and aspect markers and incompatibility between epistemic modal verbs and nonassertive contexts. This new established proposal can adequately account for not only the succession of modal verbs but also some controversial issues.

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# Cognitive Language Representation of Sleary's Mind Style in *Hard Times*\*

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**Abstract**—*Hard Times* was written by Dickens in 1854, who is one of the most representative realistic writers. In this novel, Sleary is the leader of the circus and one of the minor characters in this novel. Viewed from the language representation, Dickens gives this minor character distinct language style. Based on his peculiar phonetics, syntax and grammar, the paper tries to analyze Sleary's mind style from the cognitive perception by using foregrounding theory, one of the cognitive approaches.

**Index Terms**—mind style, cognitive approach, foregrounding, deviation

## I. INTRODUCTION

Sleary, owner of a horse-riding in Dickens' *Hard Times*, is a minor character who could not attract much attention. He is a kind, humorous, quick-witted and grateful person. Even though Sleary only appears three times with relatively few words in this work of 37 chapters or three parts, Dickens gives him a distinct language style. In literary works, language style of a character has been closely related to his/her mind style and role. From the perspective of plot, Sleary is not a main character. However, he is an indispensable key plot point for the story development no matter when he persuaded Gradgrind to take in Sissy, daughter of a member of the horse-riding named Jupe at the beginning of the story or when he tried his best to help Tom escape who stole money from banks near the end of the story. From the perspective of the subject of this work, it makes labor contradiction to be its main contents and anti-capitalism and anti-benthamism its main thread. Different from Gradgrind who sticks to facts and the inhumane benthamism, Sleary encourages individuality and fancy so that his horse-riding is full of tenderness and humanity. Different from other characters as labor leader, the labor representative and mother of Mr. Bounderby, Sleary does not revolt and criticize the cold-blooded benthamism face to face. He is rather compromising and circuitous. Throughout the whole story, the tenderness and humanity from Sleary and his horse-riding is just like the green leaves that set off flowers, further reflecting the ugly face of the marble bourgeoisies of benthamism and Dickens' good wishes to reform benthamism in a peaceful manner.

For novels, all writers will strengthen subject and aesthetic effect by character language. In *Hard Times*, in order to make sure Sleary's role reflect the subject, Dickens will definitely reach this purpose by Sleary's distinct language style. Making a general survey of literary circles' study on Dickens's works, we will found that people's attention is mainly on critical realism, the inflated writing techniques and individuality analysis of the main characters in the work such as Gradgrind, Bounderby, Louisa and so on. Few people will show interest in such minor characters as Sleary. Needless to say, someone will analyze them by pragmatistic approach from the language level. *Hard Times* follows the tragic life of Louisa and Tom so as to criticize benthamism of new bourgeoisies such as Gradgrind and Bounderby. However, it does not ignore to well design and arrange such minor characters as Sleary, which could be noticed by Sleary's language individuation. This kind of distinct language style reflects that the mind style of the common people in the bottom represented by Sleary is totally different from that of Gradgrind's kind of people. Distinct mind style of minor characters that entirely different from that of main characters discloses a kind of emotional tendency of Dickens – his profound sympathy to those oppressed toiling masses in 1850s.

## II. MIND STYLE AND COGNITIVE STYLISTICS

### A. Mind Style

Mind style was introduced by Roger Fowler "to refer to the way in which linguistic patterns in part of a text can project a particular world-view, a characteristic way of perceiving and making sense of the textual world" (Semino, 2002, p.95). Fowler, a famous Britain stylistician, first puts forward the concept of "mind style" in 1977 in his *Linguistics and the Novel. Cumulatively, consistent structural options, agreeing in cutting the presented the world to one pattern or another, give rise to an impression of a world-view, what I shall call a "mind style"* (Fowler, 1977, p.73). We may coin the term "mind style" to refer to any distinctive linguistic representation of an individual mental self (Fowler, 1977, p.103). Fowler (1986) explicitly presents the notion of mind style as equivalent to those of world view and of "point of view on the ideological plane": discussing this phenomenon in literary fictions, I have called it mind style: the world-view of an author, or a narrator, or a character, constituted by the ideational structure of the text. From

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now on, I shall prefer this term to the cumbersome point of view on the ideological plane ... the notions are equivalent. (Fowler, 1986, p.150). Semino (2002) uses world view as the most general term, referring to the overall view of reality or of the text actual world. He uses the terms ideological point of view and mind style to capture different aspects of the world views projected by texts. The term of ideological point of view is most apt to capture those aspects of world views that are social, cultural, religious or political in origin; the notion of mind style, on the other hand, is most apt to capture those aspects of world views that are primarily personal and cognitive in origin, and which are either peculiar to a particular individual, or common to people who have the same cognitive characteristics (Semino, 2002, p.97). These aspects include an individual's characteristic cognitive habits, abilities and limitations, and any beliefs and values that may arise from them. And this is consistent with Fowler's reference to any distinctive linguistic representation of an individual mental self. Leech & Short define mind style as "the way in which the fictional world is apprehended, or conceptualized, and relate it to what they call conceptual variation" (Leech & Short, 1981, p.191) and they suggest a cline from natural and uncontrived mind styles to those which clearly impose an unorthodox conception of the fictional world (Semino, 2002, p.98). Bockting (1994) defines mind style as being concerned with the construction and expression in language of the conceptualization of reality in a particular mind (Bockting, 1994, p.159).

### B. *Relevance of Cognitive Stylistics*

Early discussions of mind style tended to be exclusively linguistics in nature, or more precisely, they used linguistic theories and linguistic analysis as a basis for inferences structure and cognition (e.g. Halliday, 1971; Fowler, 1977). Later, a cognitive stylistic approach is relevant to analysis of mind style. Semino and Swindlehurst (1996), Black (1993) and Semino (2002) apply cognitive metaphor theory, schema theory and blending theory to the analysis of the mind styles. Foregrounding theory is another cognitive approach which can be used to analyze the process of meaning construction and mind style of characters in novels. The term "foregrounding" comes originally from the visual arts and refers to those elements of a work of art that stand out in some way. The purpose of art and literature is to defamiliarize the familiar, and by defamiliarizing a work of art or text, we make it stand out from the norm – it becomes foregrounded. Foregrounding theory was seen as a means of explaining the difference between the literal language and everyday language, which can be achieved in one of two ways, either via parallelism or by deviation from the norm of phonology, words, grammar and syntax of language. The term "deviation" in language was originally used by the Prague School linguist Jan Mukarovsky (1932) to describe the ways in which literary language can be said to differ from more everyday, non-literary language. For literary language, it is often distinguished from other, more ordinary, forms of language use. This difference, or deviation from what are taken to be the structural norms of non-literary language can only be described and accounted for once we are able to identify the grammatical structures of the languages.

If it is common for all the writers to describe the peculiar appearance of fictional characters, Dickens has a particular liking for Sleary in the language depiction. It is not only different from the main characters but also those minor characters who are in the same classes and social position with him through various aspects such as phonetics, grammar and syntax. In this article, I apply some of the basic concepts of the foregrounding theory to analyze the mind style of Sleary in *Hard Times*, one of the novels by Dickens, one of the most representative realistic writers.

## III. THE MIND STYLE OF SLEARY IN DICKENS' *HARD TIMES*

### A. *Sleary's Mind Style Reflected by Phonetic Feature*

Phonetic feature, grammatical habit and partial syntactic structure of a character in novel are critical to revealing his/her mind style. We could interpret his/her method of and attitude to understanding and conceptualizing the world, which is of great advantage to understand this character's position and effect in the novel. Dickens is one of the most representative realistic writers. By combining organically the odd side and original side of life, he is used to revealing character's mind style by humorous and exaggerated language in a spicy way, which is also his important creative feature. In *Hard Times*, we will find many usages of this technique when describing the macroscopic features of a character. For example, the first appearance of Sleary is described interestingly: a stout man as already mentioned, with one fixed eye, and one loose eye, a voice (if it can be called so) like the efforts of a broken old pair of bellows, a flabby surface, and a muddled head which was never sober and never drunk (Dickens, 2006, p.49). It is really vivid characterization.

Sleary appeared for the first time in the image of a language freak. The most striking and attractive one is his pronunciation variation. His speech is submerged under brandy-and-water, his voice like the efforts of a broken old pair of bellows so that some consonants with the letter of "s" could not be voiced. Besides, all the "s", "ts", "ch", "sh", and "z" are all pronounced to the sound spelled "th". Please look at the first words after his appearance:

"Thquire!" "Your thervant! Thith ith a bad piethe of birthnith, thith ith. You've heard of my Clown and hith dog being thuppothed to have morrithed?" (Dickens, 2006, p.49)

The whole sentence in standard English should be as following:

Squire! Your servant! This is a bad piece of business, this is. You've heard of my Clown and his dog being supposed to have morrised?

Here is another example:

It doth me good to thee you. You wath alwayth a favourite with tuth, and you've done uth credit thinth the old timeth

I'm thure. (It does me good to see you. You were always a favourite with us, and you've done us credit things the old times I'm sure.) (Dickens, 2006, p.385)

Calculated by the author of this paper, Sleary spoke 174 sentences (2634 words) in total in his three times of appearances in this story. As much as 212 words with the pronunciation of "s", "ts", "z", "ch" and "sh" are pronounced to the lisp "th", taking a percentage of 23%. It will be 593 words if the repeated ones are included. Among them, 9 words are repeated for more than 10 times as follows:

Sleary's Language	Standard Language	Number of Usage
thquire	squire	53
hith	his	30
wath	was	24
ith	its/is	22
thee	see	21
ath	as	19
thith	this	15
horthe	horse	14
Thethilia	Sethilia	11

It is easy for readers to understand and accept Sleary's physiologic pronunciation variation through the text explanation in the novel. He was troubled with asthma, and whose breath came far too thick and heavy for the letter "s". As a result, years of stormy, harsh and hard life in the horse-riding are the direct reason of his physiologic pronunciation imperfection, which could be explained by Sleary's own words that "if you'd been chilled and heated, heated and chilled, chilled and heated in the ring when you wath young, ath often ath I have been, your voithe wouldn't have lathted out, Thquire, no more than mine" (Dickens, 2006, p.50). However, even though many people lived the same life with Sleary, why did Dickens only keep Sleary's language so distinct from the first beginning? Obviously, the writer wants to demonstrate the distinction of Sleary style to a deeper level, especially its huge difference both from main characters like Gradgrind, Bounderby, Louisa and from the minor characters like Slackbridge, Stephen Blackpool, Harthouse and Sissy. Any type of writing will care whether it is smooth, fluent or rhythmic. Many implications and overtones need to be expressed by virtue of phonetics. Sleary's coarse pronunciation not only agrees to his lower identity but also indicates that he is not alike to Gradgrind's kind of people even though he has to complicatedly deal with them. This is a perfect interpretation to one characteristic of Dickens' works that they include many characters, clues and plots and are capable of combining them together with unity.

Shklovsky (1965) thinks that art aims to make people perceive things and artistry aims to increase the difficulty of the perception process in more complicated forms so as to prolong and strengthen the process which is the purpose of aesthetic on the contrary. The idiolect is insistently defamiliarizing: it makes form difficult ... increases the difficulty and length of perception (Shklovsky, 1965, p.12). Dickens makes Sleary's language full of strange phonetic variation, the completeness and the whimsicality of the phonological transformation. Readers have to understand those weird, inherent and inconsistent words. He changes some common words into temporarily unrecognizable spellings which is quite different from everyday English words. The prevalence of these so much in the novel can be seen as reinforcing the difficult way in which life is making. This makes it difficult to determine what Sleary is saying. These difficulties do not guarantee that what Sleary says is of any great interest; but indicates that Sleary is meant to be listened to, that he is designed as a significant voice against Gradgrindism in this book. The reason why Dickens put these obscure words in front of readers is that, at least, Sleary is so constituted as to attract people's attention.

#### B. *Sleary's Mind Style Reflected by Grammatical Feature*

Grammar can be used to refer to the knowledge that every speaker has of the language that they speak. In practice, most people use language in various ways depending on who is being addressed, where they are, and what kind of effect they want to produce. In literary language particularly, the structures of grammar can be stretched or disrupted in various ways to produce different effects, in the following examples, the prescriptive rules are being broken quite deliberately. In *Hard Times*, apart from the phonetic feature, Dickens also takes advantage of some grammatical technique to describe Sleary. As the owner of a horse-riding, Sleary is capable to keep it enduring and make living together with other grassroots, which tells us that he is not only righteous but also has a quick wit. Both entrusting Sissy to Gradgrind and rescuing Tom could heighten this characteristic of Sleary. It is difficult for Sleary to express himself by language. Besides, there are many grammar errors for many times since he only received lower education. These errors could be divided as follows:

The first one is the inconformity of subject and predicate verb. For example:

1. We wath getting up our children in the Wood one morning, when there cometh into our Ring, by the thtgate door, a dog. (Dickens, 2006, p.401)

2. It theemth to prethent two thingth to a perthon, don't it, Thquire? (Dickens, 2006, p.402)

3. You don't need to be told that dogth ith wonderful animalth. (Dickens, 2006, p.400)

Sleary turns a blind eye to the number of personal pronoun when it is used as a subject. In addition, the predicate verb after the subject is chosen at random. All of this could indicate that he received little formal education at school on the one hand and he is straightforward and has no head for detail on the other hand. The second kind of error is the

tense confusion of verbs. For example:

4. ....as if he wath a theeking for a child he know'd; and then he come to me and throwd hithelf up behind, and thtood on hith two forelegth ..... (Dickens, 2006, p.401)

5. If you haven't took your feed yet, have a glath of bitterth. (Dickens, 2006, p.50)

6. They can't be always a learning, nor yet they can't be always a working. (Dickens, 2006, p.49)

7. .... the dog hung on to his neck-hankercher with all four legs in the air..... (Dickens, 2006, p.399)

Sleary not only confuses the usage of a verb's past tense and past participle, but also used to add an 'a' before present participle (refer to example 4 and 6). As a result, it is easy for us to find that what Sleary valued is not the grammatical details and gorgeousness of language but the expression of meaning and emotion like other grassroots with a lower education level.

Another grammatical error is the mismatch of article and other words. For example:

8. ...ith a ill-convenienth to have the dog out of the billth. (Dickens, 2006, p.55)

9. He was throw'd a heavy back-fall off a elephant... (Dickens, 2006, p.386)

In English-speaking countries, it is common to use articles unconventionally for small tradesmen and porters and other grassroots, which is an important method for writers to reflect the identity of such an ordinary people as Sleary or those at the bottom in English works.

### C. *Sleary's Mind Style Reflected by Syntactical Feature*

From the perspective of syntax level, syntactic structure is one of the important methods of revealing subjects, describing characters or achieving an artistic effect. In order to illustrate that Sleary is simple, flexible, decisive, straightforward, inarticulate and ill-educated, Dickens makes Sleary's language succinct in syntactic structures, which could be reflected by more simple, short and incomplete sentences but few complex, long and complete sentences. According to calculation, Sleary spoke 174 sentences in his three times of appearances in total. Among them, there are 102 simple sentences, taking a percentage of 58.6% and the rest complex sentences are mainly compound ones connected by "and", "but", "not...nor..." and so on. Please look at the following examples:

10. ... one, that there ith a love in the world, not all thelf-interethth after all, but thomething very different; t'other, that it hath a way of ith own of calculating or not calculating, whith thomehow or another ith at leathth ath hard to give a name to, ath the wayth of the dogth ith! (Dickens, 2006, p.402)

11. If you wath to thee our children in the wind, with their father and mother both a dyin' on a horthie – their uncle a retheiving of 'em ath hith wardth, upon a horthie – themthelvtth both a goin' a blackberryin' on a horthie – and the Robinth a coming in to coer 'em with leavth, upon a horthie – you'd thay it wath the completethth thing ath ever you thet your eyeth on. (Dickens, 2006, p.385)

12. Thquire, you know perfectly well, and your daughter knowth perfectly well (better than you, becauthe I thed it to her), that I didn't know what your thon had done, and that I didn't want to know – I thed it wath better not, though I only thought, then, it wath thome thkylarking. (Dickens, 2006, p.397)

Since Sleary's sentences are mainly simple and short, and short sentences less than ten words could be found everywhere. For examples:

13. Thath agreed, Thquire. (Dickens, 2006, p.52)

14. Thick to that! (Dickens, 2006, p.52)

15. Don't thay nothing, Thquire. (Dickens, 2006, p.50)

16. Make the bethth of uth; not the wurthth. (Dickens, 2006, p.56)

The average sentence length is 15 words, far shorter than that of other characters and the average length of 17.8 words of modern English. Compared with other main character's incessant harangue, Sleary's language is brief and incisive.

Apart from using the above techniques of phonetics, grammar and syntax to reflect character's mind style, in order to further describe Sleary, Dickens takes advantage of dialects and slangs to indicate his simplicity, amiability and humor. For example:

17. I never wath much of a Cackler, Thquire, and I have thed my thay. (Dickens, 2006, p.53)

18. Thay farewell to your family, and tharp'th the word. (Dickens, 2006, p.391)

To sum up, throughout the whole novel, Sleary is the only character who was described by Dickens in phonetic, grammatical and syntactical level to reflect his mind style in a distinct manner. In stylistic study, the conventional usage of vocabulary, sentence and expressive methods in common core constitutes norm and those special usage beyond common core becomes deviation. In literary works, writers often take advantage of language deviation/foregrounding to high lighten some characters and subject. Theoretically speaking, anyone who is cultivated, well-educated and of high social status will not make so many errors in language expression. The reason why Dickens makes Sleary's language full of foregrounding and deviation beyond common core is to project Sleary's distinctiveness from all the other characters in the flashy era of capitalism. He tries to make Sleary a typical character by the method of foregrounding so that the hypocritical and philistine faces of emerging bourgeoisie could be reflected silently by Sleary who is like a plain, clear, kind and intelligent mirror.

## IV. CONCLUSION

Sleary is kind, simple, humorous and quick-witted. In the plot and thematic structure of *Hard Times*, he functions as not only a comic drunk. Under the idiolect there are symbols which suggest a social dialect. Sleary's speech implies of working-class morphology, lexis, slang and oaths which suggest deviance from those of the middle-class, but obscurely. These characteristics make us know that Sleary is just the working-class in this novel, relate him to the interests of the workers and with the circus fraternity, the spokespeople for fancy. What he said and what he did reflect the commendable humanitarianism and spirit of gratitude in the mid-nineteenth century represented by Dickens. Apart from his actions, Dickens also describes vividly Sleary's mind style by phonetic, grammatical and syntactical feature, which left an unforgettable impression to readers. Even though it is unrealistic to carry on a thorough reform depending upon such grassroots as Sleary under the historical conditions at that time, we could see the first light of humanitarianism at that confused and difficult era of benthamism.

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# A Descriptive Study on Corrective Feedback and Learners' Uptake during Interactions in a Communicative EFL Class

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**Abstract**—The current observational and descriptive study makes an attempt to present the interactional discourse patterns of corrective feedback (CF) and uptake occurring in a communicative adolescent EFL class. Using Lyster and Ranta's corrective discourse model (1997), this study intends to investigate, describe, and analyze the discourse patterns of corrective feedback utilized by an Iranian teacher and also their relationship to the learner's uptake and the repair of those errors. Transcripts totaling 16 hours of classroom interaction included 181 episodes, each containing a trigger (error) produced by the learner, a CF move from the teacher and a learner's subsequent uptake in response to the CF. The findings obtained from such context reveal the ratio and distribution of the six different feedback types as well as those of different kinds of learner's uptake and immediate repair of errors.

**Index Terms**—corrective feedback, uptake, immediate repair, Lyster & Ranta's corrective discourse model

## I. INTRODUCTION

Taking a look at the field of second language acquisition, we can see that the interaction has been the focus of many studies. Inside this field, different views regarding the role of classroom interaction and discourse can be seen mainly with a focus on either teachers or learners, and their speech separately or interactively (Surakka, 2007). When it comes to second or foreign language learning, the most significant issue that attracts our attention is language and how it is appropriately dealt with in interaction occurring between teacher and students. In this regard, one of the areas in the context of language learning and discourse which has been closely taken into account, examined or studied is corrective feedback. The significance of corrective feedback (CF) can be found through the observation of the speech events in the form of moves taking place during communicative-based foreign language lessons and in how these moves play significant roles in learners' developing language. It is now accepted that errors play a crucial role in language learning but the way through which they are handled in order to lead to the maximum benefit is also significant. Through the use of feedback moves, teachers can suitably cope with the errors occurring in discourse events. Accordingly, this study intends to explore the discourse patterns of CF and learner's uptake in a communicative Iranian context. So, at first, it makes an attempt to present an overview of reception and production theories of language acquisition, a review of corrective feedback studies, and then it describes what happens in the respective context with regard to the interactively constructed moves between a teacher and students.

## II. LITERATURE REVIEW

### A. A Brief Review of Language Acquisition Theories of Reception and Production

Over the past few years, there has been serious attention on the part of second language acquisition (SLA) researchers toward the crucial role of interaction in language learning and its contribution to generate plentiful opportunities for second language acquisition via the negotiation of linguistic input taking place between learners and interlocutor. A growing interest in interaction and its role in language acquisition appeared due to the reaction toward Comprehensible Input theory (Krashen, 1985). Based on Input theory, learners move from their current competency level (i) to the pursuing level (i+1) via comprehending input containing (i+1). Accordingly, when learners understand input containing structures which are slightly beyond their current competency level, acquisition takes place. Krashen believes that structures slightly above the learners' existing competency level are understood by learners through the use of context, the world knowledge together with the current competence. In sum, based on Krashen's view, there are two ways by which comprehension of input is facilitated: simplified input by the teacher and the learner's use of context.

However, on different grounds, Krashen's theory was criticized by several people. Criticisms targeted at the way of constructing the theory and the kind of evidence used to support it. For instance, based on Larsen-Freeman and Long (1991), it is classified as a nativist theory on account of the fact that the explanation of language acquisition is on the basis of a genetically based language acquisition device. Larsen-Freeman and Long also believed that while testability is a condition for every hypothesis, this is not met for the statements in this theory due to its unfalsifiability and its

untestable parts. Moreover, respective theory could not be empirically proved and it partly described processes involved in second language acquisition.

Another criticism was related to the fact that although the comprehensible input constituted a necessary condition, it was not sufficient for SLA. Some researchers (e.g. Doughty & William, 1988) found that certain linguistic features failed to emerge, in spite of years of meaningful input. This actually inspired Focus on Form (FonF), a term coined by Long (1991). In Long's words, the input which is shaped via interaction contributed strongly and directly to the acquisition and that in order to make input comprehensible, modifications and adjustments are needed for the interactional structure of conversation.

In deed, in second language acquisition research, it is now generally accepted that for learners to fluently and accurately speak a foreign language, there is a need to practice it through speaking due to this fact that comprehensible input (CI) is essential but not sufficient for language acquisition. Comprehensible Output Hypothesis suggested by Swain (1985, 1995) actually reflects the inadequacy of Input Hypothesis with an emphasis on "comprehensible output" and "pushed language use". To negotiate meaning which is accurate, appropriate, and coherent, learners are persuaded to produce output which is vital to develop their accuracy.

Therefore, it was argued that the output as a crucial component is necessary for learners in order to achieve successful language acquisition. Actually, this argument that the output as a crucial condition for second language learning was originally on the basis of observing the immersion programs taking place in Canada. In Swain's words (1985, 1995), it was hypothesized that the immersion classrooms suffered from the lack of the opportunities for the use of language. She also believed that the production of language moved learners from a semantic level in the use of language to a syntactic use. According to Swain (1995, p.128), "Output may stimulate learners to move from the semantic, open-ended nondeterministic, strategic processing prevalent in comprehension to the complete grammatical processing needed for accurate production. Output, thus, would seem to have a potentially significant role in the development of syntax and morphology."

Accordingly, it is understood that through the opportunities for negotiation and production, learners are able to receive feedback. In fact, when given the chances of producing language, learners are forced to consider syntax in their own speech. In other words, in order to be fully understood in the second language, learners are required to be *pushed* in the production of language and may try out new structures or modify their own speech. Swain refers to this as "pushed language use". According to Swain (1985, 1995), through producing the language, learners might consciously recognize some of their linguistic problems. Moreover, she holds that output gives this chance to learners so as to test their hypotheses by making a comparison between their own production with the correct input and then to formulate correct L2 representations. Interaction Hypothesis (Long, 1983) is closely linked to Output Hypothesis (Swain, 1985) with great emphasis on the grammatical forms embedded in the context of communicative tasks and activities. According to Mackey (1997), this hypothesis actually evolved from Hatch's work (1978) on the significance of conversation to developing grammar and from Krashen's claims (1985) that comprehensible input is a necessary condition for SLA.

Inspired by Krashen's input hypothesis, this reception-based theory considers the significance of comprehensible input in the form of conversational modifications and the important role of interaction occurring in two-way communication. With respect to the importance of interaction and its role in language learning, Long (1983) argues that acquisition is more facilitated through interaction due to the linguistic and interactional adjustments that take place in the communicative discourse of language classroom so that it provides the necessary input which is needed for learners to negotiate for meaning while communication breakdowns occur. In the course of negotiation, learners modify and restructure their interaction to reach mutual comprehension. Through the result of interaction and negotiation, learners have more access to corrective feedback on their own productions in order to understand and use language that is incomprehensible. It means that successful language learning relies on the amount of adjustments made by the interactants in order to understand each other and these attempts to make input comprehensible.

Furthermore, the Output Hypothesis and Interaction Hypothesis are primarily concerned with form focused instruction or focus on form within the communicative context. In Long and Robinson's terms (1998), through the provision of negative feedback during meaning-based interaction, attention is shifted to linguistic forms triggered via the problems concerning comprehension or production. During these episodes of communicative breakdowns, learners become aware of certain differences between their current level of language or interlanguage (IL) and the target language (TL), that according to Schmidt and Frota (1986), it is called noticing the gap. Schmit (1990, 1995, 2001) argues that in order for learners to develop L2 acquisition, such noticing or conscious awareness is essential. She suggests that what is noticed in input becomes what is known as intake for second language learning. Schmit and Frota (1986) have also emphasized that learning enhancement occurs when, through 'noticing the gap', language learners become aware of the discrepancy existing between the input and their interlanguage. Whereas it is not obvious that this type of noticing is triggered by formal instruction (Lightbown, 2000), findings gained from form - focused instruction indicate that those students who were formally instructed usually outperformed those who were taught language by meaning-focused instruction. Furthermore, pushed output enjoys a crucial role in form-focused instruction so that this type of pushed output enriches language learners' linguistic accuracy via requiring them to generate the language which is precise, coherent and appropriate.

It is worth mentioning that some distinctions in SLA literature are the by products of form- focused instruction. For instance, the difference between two types of focus on form, that is to say, incidental and planned focus on form (Ellis, 2001, 2005). Based on the definition of incidental focus on form, it is understood that the linguistic items addressed as they occur spontaneously within the meaning-focused activities, have not explicitly selected for teaching. The aim is to elicit general samples of the language rather than specific forms (Ellis, Basturkman & Loewen, 2002). In contrast, planned focus on form instruction is intentionally the outcome of previous planning on the part of the teacher. Actually, it consists of previously selecting the targeted grammatical forms within a meaning-focused activity, either in the form of input or output. The respective form-focused instruction is extensive and frequently targets the same linguistic structure (Ellis, 2001a).

In the literature of SLA, another distinction can also be made between two sorts of focus on form: reactive and pre-emptive (proactive) focus on form (Long & Robinson, 1998). A reactive approach is also called error correction, corrective feedback, or negative evidence/feedback (Long, 1996). Reactive focus on form can be defined when something is said erroneously and then the error is corrected by the teacher or another student. In other words, it can be said that it refers to the use of corrective feedback by the teacher during interactively communicative based activities as well as other teachers' efforts to draw learners' attention to linguistic features while opportunities for the use of corrective feedback arise in the context of meaning focused activities. Thus, corrective feedback can be supplied through this type of focus on form. Accordingly, teachers are required to have high skills to notice the error, analyze it and provide learners with the appropriate feedback and this is all done in a natural and spontaneous way (Doughty & William, 1998; Lightbown & Spada, 1990; Lyster, 1998a, c, p.67). With regard to the respective definition, error is considered as the trigger leading to the interactional discourse targeting a linguistic feature (Ellis, et al., 2001b).

Preemptive focus on form (Long & Robinson, 1998) in contrast with reactive incidental focus on form, which has received relatively considerable attention from resea

rchers, has been largely ignored. As the name suggests, preemptive focus on form is the teacher's or a learner's attempts to begin explicit attention to a linguistic feature so as to avoid the occurrence of an error, although no real difficulty in speaking is arisen (Ellis, 2001b, p.414). With respect to the different kinds of distinctions, in this research study, reactive incidental focus on form in teacher-student interaction is taken into account.

#### *B. A Review of Corrective Feedback Studies*

An increasing number of SLA studies on the provision and use of oral feedback has consistently shown that feedback can enhance noticing, acquisition and retention of language forms (Iwashita, 2003; Leeman, 2003; Macky, 1999; Mackey & Philip, 1998; Oliver & Mackey, 2003; Philip, 2003). The contribution of Corrective feedback can be witnessed in assigning the chances to the learners in order to adjust their output, push them to notice the gaps in their interlanguage (McDonugh, 2005). However, it is essential to know that studies conducted in immersion classrooms have shown that whether learners are capable of modifying their output may rely on the feedback sort provided and that the sorts of feedback that increase learners' modified output may relatively rarely occur in the context of language classrooms (Lyster & Ranta, 1997; Pica, 2002).

To examine negative feedback and its effects on oral production, considerable research of both empirical and descriptive nature has been conducted (e.g. Carrol & Swain, 1993; Lightbown & Spada, 1990; Lightbown, 1991; Herron & Tomasello, 1988). One of the earliest descriptive studies was implemented by Chaudron (1977) who investigated the different CF kinds supplied to French immersion students by the teachers. He observed that while a great deal of CF went unnoticed, some types of CF (e.g. repetition with emphasis) led to more reformulations on the part of learners. Herron and Tomasello (1988) in their studies also suggested the beneficial impacts of certain CF techniques. Other studies including observation conducted by Lightbown and Spada (1990) and Lightbown (1991) also evidenced the constructive impacts of CF and focus on form. In a descriptive study with adults learners of French as a foreign language, Doughty (1994) also examined a variety of different CF types and found the most frequent CF were clarification requests, repetitions, and recasts. Another influential study, in this regard, was that of Russel and Spada (2004) which reviewed 56 papers on corrective feedback. They concluded that corrective feedback within focus on form instruction has a positive effect on learners' performance.

Other descriptive classroom researches (Havranek, 1999; Lochman, 2000; Lyster & Ranta, 1997; Panova & Lyster, 2002) also investigated the interactional patterns of different CF types and their relationships to learners' uptake. Uptake is defined by Lyster and Ranta (1997) as "a student's utterance that immediately follows the teacher's feedback and that constitutes reaction in some way to the teacher's intention to draw attention to some aspect of the student's initial utterance." (1997, p.49). In fact, those studies in which uptake is used as a means of measuring learning show that it is an indication of learners' progress in learning language (Ellis, et al., 2001a; Loewen, 2005; Nassaji, 2009; Sheen, 2006). In this regard, a substantial body of research done on this issue shows the effectiveness of teachers' corrective feedback in triggering learners' uptake. A major study that has significantly contributed to investigating and examining corrective feedback and uptake in second language learning is that of Lyster and Ranta (1997) which studied the different CF types used by teachers to their learners while engaged in interactive based activities. The findings indicate that teachers mainly provide learners with CF types including: recasts, elicitation, metalinguistic feedback, clarification requests, corrective repetition, and explicit correction.

This study indicated that among the different kinds of corrective feedback used by the teacher recasts were found to be the most frequent one (55%) though not so effective to yield learner uptake and repair. Another finding was that the inefficiency of recasts was because of the recognition that students assumed that there is a focus on the content by the teacher rather than the linguistic form in their speech. Therefore, when hearing the teacher's reformulation, the learner did not figure out whether it was confirmation of his or her statement or a recast so in such a situation, the feedback was then of no use. In their own research, Macky and Philip (1998) also found that recasts might be effective for motivated adult learners in spite of the absence of any immediate response. In this respect, concerning the issue of recasts, in another study done in a young adult Iranian EFL context by Safari and Alavi (2013), recasts were found to be the type of CF frequently used by the teacher which led to the least amount of uptake. However, they found that when combined with other types of CF like elicitation or clarification requests, recasts could successfully elicit learner's immediate repair and uptake.

Taking explicit correction as another type of CF into account, Lyster and Ranta (1997) reported that 18% of the cases examined in the data were evidenced to be in the form of this CF type occurring in the flow of discourse for the respective context. However, this type of feedback technique failed to lead to the learner repair. Based on this study, the four other kinds (elicitation, clarification requests, metalinguistic feedback and repetition) were found to be the least frequently used ones but much more successful to elicit learner's uptake and to promote student-generated repair. In the case of explicit correction, a good ratio of uptake including correct student adjustments was observed. When the teacher preferred elicitation technique, it was always accompanied by the student's attempt to produce the accurate linguistic form themselves. In spite of a lower rate of uptake in the case of metalinguistic feedback, a similar ratio of the learner attempted reformulations was correct.

It is worth noting that Lyster and Ranta were meticulous to come to this conclusion that their study and the findings on CF as well as learner uptake yielded no definite assertions concerning the respective issue and that further studies were necessarily required to shed more light on this area. On the whole, it leaves no place for doubt that the research done by Lyster and Ranta (1997) is significant since the various kinds of error episode including teacher's use of corrective feedback, accompanying by learner's responses were meticulously taken into account. However, their research examined a variety of lessons and investigated discourse events in different classrooms representing immersion programs at the primary level. Thus, other studies in contexts different from that of Lyster and Ranta were necessary to gain more insights in this regard.

Another study concerning the issue of corrective feedback and uptake was carried out by Suzuki (2005). In his research, the discourse patterns of CF and uptake in adult ESL context were meticulously, described and analyzed. The findings indicated that there were differences to the findings gained from Lyster and Ranta's accounts (1997), although in some areas, similar results were examined. Based on this research, whereas the distribution of CF types pursuing errors committed by learners indicated little discrepancy from those gained by Lyster and Ranta's study, the proportion of learner uptake pursuing certain, to a great extent, varied from their findings. Some justifications were given to explain the differences in the results. These differences were mainly concerned to the characteristics of the classroom context such as learner's age, teacher's experience in addition to the target language.

Other studies also took carefully different variables into account to see how interactional patterns of feedback and uptake differ with respect to a particular variable. A research undertaken by Oliver (2000) showed that age was an important factor, which affected learners' attempts to repair errors. In this study, Oliver compared the differences between adult and child learners in responding to the corrective feedback and subsequent repairs occurring in communicative interactions in ESL lessons. The results showed that adult learners were more responsive to more corrective feedback than the child learners were. This researcher concluded that the reason for this difference seemed to be due to the children's limited level of social, psychological and cognitive development; the children might prefer simple feedback like recasts whereas the adults seemed to enjoy complex cognitive processing, such as confirmation and clarification request. Given this, while using corrective feedback in response to learners' errors, teachers should acknowledge learning contexts and learner variables (Ellis, Basturkmen, Loewen, 2001a; Loewen, 2004).

As it is clear, the main findings of studies concerning corrective feedback and uptake are primarily drawn from immersion classrooms; further research is however necessarily required to throw more light into the use of corrective feedback, uptake and immediate repair of errors following each type of feedback in different communicative EFL contexts. Thus, although a compelling body of research on corrective feedback and uptake has supported the crucial role of corrective feedback and learner's immediate repair of error, there are few researches which examine contextual and learner factors, such as, immersion/ESL class, learner's identity, age, motivation, previous learning experience and primary pedagogical focus which all have impacts on learners' uptake and research results (Ellis, et al., 2001a; Loewen, 2004). Accordingly, the present study attempts to determine the interactional discourse patterns of teacher's CF and learner's uptake taking place in an Iranian EFL context including adolescent learners. Hence, to achieve this goal, this study addresses the following questions:

1. What are the patterns of CF and uptake occurring in an Iranian EFL class with adolescent learners?
2. What kinds of CF are frequently examined in the class?
3. What kinds of CF yield the most learners' uptake and self-repair?



### III. METHODOLOGY

In order to address these questions, the researcher audio-taped, transcribed, coded and examined teacher- student interaction with respect to the types of corrective feedback, their frequency of use by the teacher in addition to the ratio of uptake pursuing them.

#### A. Participants

*Teacher:* A 38- year- old male teacher who had had the experience of teaching English in the Ministry of Education of Iran as well as different language institutes in Yazd and Shiraz, took part in this study. Currently, he was teaching English in Iranian schools in Kuwait. He held M.A degree in TEFL from Yazd University 8 years ago in advance of this study. Due to the presence of a great amount of interaction on the basis of observations between the teacher and the learners in addition to the teacher's fluency in handling discussion and interaction, this teacher and her class were selected for the present study.

*Learners:* 16 students of both genders aged between 13 to16 participated in the study. All of them lived in Kuwait but were native speakers of Persian studying English in a conversation class at the low-intermediate level.

#### B. Data Collection

Over a four-week period including 8 sessions, the whole data for the present study were collected. This Iranian EFL class was located in Kuwait, aimed at teaching English to 16 adolescent learners on the basis of Top Notch textbook authored by Saslow and Ascher (2006). The respective textbook was entirely communicative and interactional oriented, featuring meaning-focused activities and tasks, pair work, group work, discussion based activities, essential model conversations, strategies and activities promoting critical thinking and also authentic texts connecting students to the real world. In addition to the textbook, the teacher provided learners with some internet- based materials, because he felt that the reading texts of the book could not appropriately challenge the learners. Thus, in order to obtain data, all oral interactions between the teacher and learners were audiotaped during 8 sessions. As some parts of each session belonged to greeting, the provision of input, giving instruction, checking learners' homework and assigning homework for the pursuing session, the researcher ignored the respective data in the process of data analysis. In this study, the researcher did not intervene in the way the teacher controlled and conducted his class due to the fact that it was meant to be observational and descriptive. Therefore, neither the teacher nor the learners were conscious of the purpose of tape recording.

The researcher audiotaped and measured all the data including the amount of negative feedback used by the teacher as well as the patterns of learner uptake, self repair and topic continuation being in learners' utterances. The audiotaped teacher-learner interaction was then precisely transcribed and coded by the researcher assisted by a colleague. However, in order to achieve more reliable data, the researcher previously provided the colleague with the definitions of the coding categories. Then, after discussing the transcribed data with the colleague, the researcher ensured the removal of any incompatibility.

The main reason for involving the assistant in the respective study was to entertain the inter-rater reliability. In doing so, a random sample of the database was selected and then the assistant was separately required to code them with the result of 92% confirmity in the description and the recognition of the CF types and uptake categories. This percentage of reliability showed that inter-rater reliability was at a satisfactory level.

#### C. Data Analysis

In the present study, the coding definitions for the analysis of the data were based on Lyster and Ranta's CF model (1997). With respect to this model, each error treatment sequence (episode) includes the error made by a learner, a corrective feedback used by the teacher and learner's uptake in response to the CF. With respect to this model, the present study makes an attempt to pursue the relevant descriptions and categories. Figure1 vividly shows the various parts of an episode, based on Lyster and Ranta's feedback model.

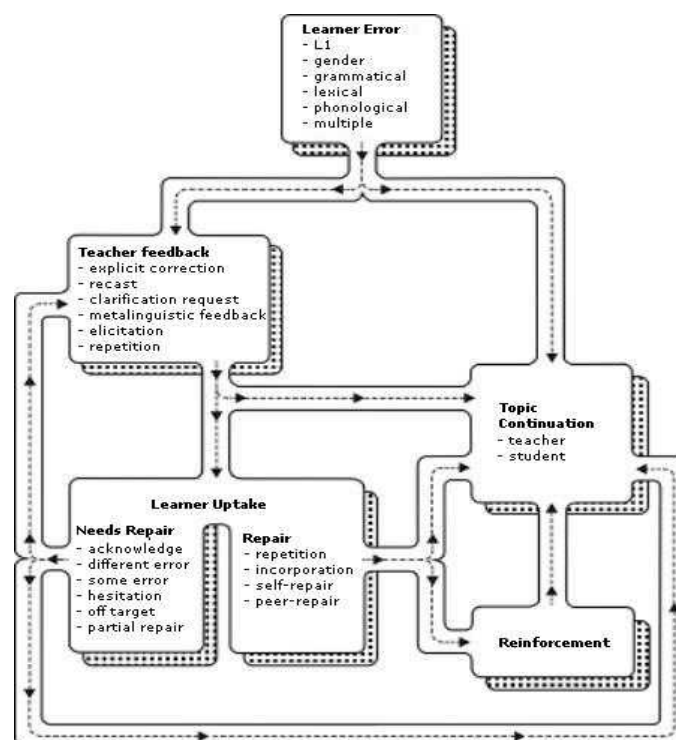


Fig1: Error Treatment Sequence (Lyster & Ranta, 1997, p.44)

In the pursuing parts, we take carefully each component of this model into account:

**Learner Error:** According to this model, the different kinds of errors that are categorized include: phonological, lexical, grammatical and multiple. Based on Lyster and Ranta's model (1997), there was another category known as L1 unsolicited error in the case of those errors where learners resorted to the use of their L1 in the learner's error move. Although, in this study, all the learners had the same L1 background, there was no trace of this error type among the obtained data. Generally, all the different types of errors contained in this study were labeled as error. Thus, all the students' erroneous utterances to which the teacher provided CF were identified and computed, then the ratio of utterances including negative feedback could be determined.

**Feedback:** The teacher utilized six sorts of CF utilized when responding to the learners' errors. These are classified as the following (we should notice that in all sections, the researcher has used the examples taken from the recorded data of the respective communicative Iranian EFL context which were precisely transcribed and coded on the basis of the categories and descriptions identified in Lyster and Ranta's model of error treatment):

**Explicit Correction:** The teacher clearly indicates that the student's utterance is incorrect, so he or she provides the learner with the correct form of the erroneous utterance. Occasionally, the erroneous form is accompanied by the provision of a correct form in teacher's move.

S: But Nancy didn't stay and the Nancy came.

T: Nancy came not the Nancy.

S: Nancy came and they met Nancy.

**Recasts:** A kind of feedback technique in which the teacher implicitly reformulates all or parts of a student's ill-formed utterance minus the error (Lyster & Ranta, 1997). In other words, the teacher provides the correct form as implicitly as possible.

S: His mother washes the dishes and clean the kitchen.

T: and she cleans the kitchen.

S: and she cook dinner.

**Clarification Request:** This feedback type carries questions showing the utterance has been ill-formed or misunderstood. Actually, it might be in two different forms including questions like *parden?* what? as well as *sorry?* or even the use of utterances with rising tone to show that the learner has committed the error. Unlike explicit correction and recasts, clarification request can be more consistently relied upon to elicit modified output from learners since it might not supply learners with any information concerning the sort and location of the error (Rezaei, Mozaffari & Hatf, 2011)

S: She know.

T: Sorry?

S: she knows.

S: she goes to school and play.

T: What?

S: Plays football.

*Metalinguistic Feedback:* This contains either comments, information, or questions related to the well-formedness of the utterance, without explicitly providing the correct form. It points to the nature of error to elicit the information from the student (Lyster & Ranta, 1997). Metalinguistic comments make the learner linguistically consider the error.

S: For his birthday, they bring things like: plates, glasses and rugs and none was special...

T: are you talking about *present* or *past*? So for *past* you should say brought him things like, ok?

S: I think they lived many years ago.

*Elicitation:* On the basis of Lyster and Ranta's model (1997), this refers to the techniques utilized by the teacher in order to directly elicit the right grammatical form from the learner. As an alternative technique, teachers might get learners to complete their own utterance through making a pause before the erroneous part and then strategically give this chance to them to make the error correct. Another technique that teachers might apply is to use questions in order to have learners provide the correct form. In any case, teachers are not supposed to supply the right form in their move.

S: He has a long white beard.

T: He has...

S: He has long white beard.

*Repetition:* In this technique, the learner's erroneous form is repeated by the teacher in order to draw learner's attention to it. In so doing, teachers change their intonation to emphasize the error.

S: He never cleans his room.

T: He never clean?

S: yes, He never cleans his room.

#### *Uptake Types*

The definition of uptake that we adopted in the current study is also on the basis of Lyster and Ranta's definition of uptake. This term refers to a student's response immediately pursuing the corrective feedback used by the teacher and is also defined as "a reaction to the teacher's intention to draw attention to some aspect of the student's initial utterance" (Lyster & Ranta, 1997, p.49).

Uptake is an evidence that shows the student's effort to react to the teacher's corrective feedback. Taking Lyster and Ranta's model into account, we can see that uptake moves are categorized into *repair* and *needs-repair*. Repairs are done by a learner to react to the CF used by the teacher, in fact when learners try to correct their errors, the uptake results in repair. Whereas in the case of *needs-repair*, no repair is seen in the learner's response or uptake, so that the utterance is still in need of repair. Thus, more teacher's CF might be supplied to elicit learner's self-repair or it might lead to topic continuation that might initiate by either the teacher or the learner. *No uptake*, as the third category, is used to refer to the cases where the learner neither responds nor reacts to the teacher's CF. It is then worth analyzing instances of *no uptake*, since it shows which type of CF is unlikely to be reacted or responded by the learner. If topic continuation is examined in those cases where there exists *no uptake*. In fact, the topic continuation might begin from the teacher or the student. This study uses four kinds of repair identified in Lyster and Ranta's model as the following: repetition, self-repair, peer-repair and incorporation. The pursuing instances show the above mentioned types of repairs.

*Repetition:* In this kind of repair, the student repeats the correct form of the utterance provided by the teacher's CF.

S: I'm believing. (error, grammatical)

T: I believe not I'm believing. (feedback, explicit correction)

S: I believe. (repair, repetition)

*Self-repair:* This repair is in fact the learner's self-correction, generated in reaction to the teacher's feedback when the corrective feedback involves no correct form.

S: They telling a story. (error, grammatical)

T: They telling? (feedback, repetition)

S: a story, they are telling a story. (repair, self-repair)

*Peer-repair:* It is also called the peer-correction supplied by another student other than the learner who committed the error.

S1: I'm tired about much work. He is a boy. (error, grammatical)

T: sorry, I'm tired about much work? (feedback, clarification request)

S2: tired of. (repair, peer-repair)

T: I'm tired of much work.

*Incorporation:* It refers to "a student's repetition of the correct form provided by the teacher, which is then incorporated into a longer utterance produced by the student" (Lyster & Ranta, 1997)

S: while the youngest sister was, had. (error, lexical)

T: had. (feedback, recast)

S: had short. (repair, incorporation)

*Needs-repair:* is another type of uptake when the learner response to the teacher's CF results in the repair of the initial erroneous utterance. Based on Lyster and Ranta's model, there are six types of needs-repair which include: acknowledgment, same error, different error, off-target, hesitation and partial repair.

*Acknowledgment:* It is used when the learner positively identifies the CF, and s(he) generally prefers *yes* or *yeah* in his or her response, as if s(he) wanted to say, yes, it was what I meant to say.

S: She get ready. (error, grammatical)

T: she gets ready. (feedback, recast)

S: Yes. (needs-repair, acknowledgment)

*Same error:* This refers to the repetition of the error in the uptake move by the learner in reaction to the teacher's CF, but the same error is repeated in his or her turn.

S: He wanted come. (error, grammatical)

T: Sorry? (feedback, clarification request)

S: wanted come. (needs-repair, same error)

*Different error:* In response the teacher's CF, the learner makes neither any correction nor any repetition of the erroneous utterance but commits a different error.

S: Where is she come from? (lexical error)

T: what? (feedback, clarification request)

S: Oh, where is she comes from? (needs-repair, different error)

*Off-target:* This refers to when the learner's response is not to the original form including in the teacher's CF as if there were no feedback.

S: What does the weather like? (error, grammatical)

T: What is the weather like? (feedback, recast)

S: It's sunny. (needs-repair, off-target)

*Partial repair:* The learner provides the uptake but only some part of the original erroneous utterance is corrected.

S: I don't want...to take me. (error, grammatical)

T: Didn't want her to take me. (feedback, recast)

S: Didn't want to take me. (needs-repair, partial error)

#### IV. RESULTS

Due to the focus of this research which intends to identify the patterns of corrective feedback and their effects on learner's uptake, the absolute number of errors generated by learners is not reported. Rather, the number of total turns, episodes including errors which lead to learner's uptake and immediate repair are meticulously taken into account. In this regard, a total of 308 student turns as well as 262 teacher turns were counted. Of the total turns, we computed 181 episodes each containing a trigger (error) produced by the learner, a CF move from the teacher and a learner's subsequent uptake in response to the CF.

The number and the percentage of distribution of each feedback type were shown in table 1.

TABLE1.  
DISTRIBUTION OF CF TYPES

Feedback Types	Number	%
Explicit correction	5	2.76%
Recast	93	51.38%
Clarification Request	8	4.41%
Metalinguistic feedback	3	1.65%
Elicitation	39	21.54%
Repetition	33	18.23%

As it is vividly indicated in table1, recast is the most frequent type of teacher-generated feedback which is slightly over half (51.38%) of the total CF types used by the teacher. This finding shows that the teacher more often prefers to use recasts in response to learners' errors. Elicitation and repetition are two other CF types which were also frequently utilized in such a context. In the case of other CF types including clarification request, explicit correction, and metalinguistic feedback, the low percentage of frequency of use is seen.

In table 2, the number and percentage of CF moves in relation to uptake are illustrated.

TABLE2.  
NUMBER AND PERCENTAGE OF DISTRIBUTION OF TEACHER'S CF AND LEARNER'S UPTAKE

Feedback	Uptake	%	Topic continuation( No Uptake)	%
Explicit correction (n=5)	5	100%	0	0.00%
Recast (n=93)	37	39.78%	56	60.22%
Clarification Request ( n=8)	8	100%	0	0.00%
Metalinguistic feedback (n=3)	1	33.33%	2	66.66%
Elicitation (n=39)	39	100%	0	0.00%
Repetition (n=33)	31	93.93%	2	6.07%

With regard to the data in table 2, recast is shown to be the most frequently used type of CF technique in this study which is successful at generating 39.78% of successful student's repair; whereas 60.22% of such moves is of no use to

lead to any uptake. It means learners do not respond to 60.22% of teacher's CF in the form of recasts. As vividly shown, metalinguistic feedback is the CF type that occurred the least, eliciting the lowest rates of uptake (33.33%). In the case of this CF type, 66.66% of teacher's feedback moves is likely to promote topic continuation. Clarification request, elicitation, repetition and explicit correction, as other feedback techniques, are successful at eliciting the highest amount of student immediate uptake; although in the case of clarification request and explicit correction, the low frequency of use is observed.

In this study, the different kinds of learner uptake were also identified. In Table3, the frequency and distribution of different types of uptake following teacher's CF are presented.

TABLE3.  
FREQUENCY AND DISTRIBUTION OF DIFFERENT UPTAKE TYPES

Repair	Needs Repair	No Uptake
a) Self repair n=84 b) Peer-repair n=10 c) Incorporation n=3 d) Repetition n=12	a) Acknowledgment n=9 b) Same error n=12 c) Different error n=5 d) Off target n=14 e) Partial error n=6	
Total : 109 Percentage: 60.22%	Total: 46 Percentage: 25.41%	Total: 26 Percentage: 14.36%

As indicated in table 3, student-generated repair is successfully elicited by more than half of the corrective feedback techniques (60.22%). Of the total feedback moves used in such a context, 25.41% leads to needs-repair. While just 16.94% of feedback turns was ineffective at eliciting learner uptake. In other words, students largely recognized teacher's feedback as corrective feedback so that they almost successfully reacted to it 86% of the time.

## V. DISCUSSION AND CONCLUSION

The goal of this study was to investigate, describe and identify different types of corrective feedback including learner uptake moves in error treatment sequences occurring in this adolescent EFL class. The researcher also revealed the frequency and distribution of the CF types in relation to learner uptake. In the respective communicative EFL context, the teacher made use of varied range of CF types rather than being dependent on one form of corrective feedback. In fact, in conformity with other studies, this study reveals that recast is the type of feedback which is mostly preferred by the teacher, though not so efficient to lead to the high rates of repair. The findings of the current study also show that those CF types that are much more effective in eliciting student-generated repair relatively rarely occur in the classroom. Based on this study, clarification request, elicitation, repetition and explicit correction which successfully lead to student-generated repair, are rarely used by the teacher. With respect to this finding, when teaching in such communicative EFL contexts including adolescents, teachers are required to provide learners with frequent rates of the respective CF types which yield the highest ratio of repair. In sum, teachers should avoid using the excessive amount of one technique, particularly when it is unsuccessful in leading to a satisfactory percentage of repairs, and should make an attempt to consciously consider other CF techniques in relation to different factors like various EFL contexts, learners' needs, level of language proficiency and age.

As another crucial finding, it was understood that the metalinguistic technique was ineffective at eliciting learner's uptake in this adolescent communicative EFL context. Based on this finding, teachers should behave cautiously while using the feedback techniques, keeping in mind the different factors embedded in each context such as learners' age. Since some CF types that yield learner repair seem to be appropriate for cognitively competent learners.

With respect to the findings concerning uptake directly following each feedback type, it is said that more than half of the feedback turns successfully leads to student-generated repair. This can be indicative of the fact that corrective feedback and uptake should constitute a common but crucial feature of a communicative discourse, since the flow of classroom communication is not only broken but also is learner's language accuracy effectively enhanced. If teachers take risks regularly embedding such corrective sequences, this intervention does not bring about any frustration in learners, so that they normally welcome such interactional interventions and accept them as the indispensable part in the context of language use. Thus, it is suggested teachers not choose between two alternatives including communication and corrective feedback, since both can be infused into the discourse interactions (Doughty & Varela, 1998; Spada & Lightbown, 1993).

The last but not least, it should be noted that the patterns of teacher's CF and learner uptake might fluctuate, dependent on the type of the EFL context of instruction in which they take place. Particularly, a variable such as learners' age triggers outcomes different from other EFL contexts including different variables. Based on this study, it is recommended that different findings be achieved relying on the different factors related to communicative contexts and learners. Thus, before taking any action for planning and applying corrective feedback techniques for language programs, we are required to meticulously take into account the type of the EFL context and the different embedded variables affecting interaction, the types of CF, uptake, and repair. Furthermore, this study also offers insights for more studies to investigate the different variables which trigger discrepancies in the outcomes of CF patterns and uptake.

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# The Translation of Allusions in the Light of Adaptation Theory—A Case Study of Birch's English Version of *The Peony Pavilion*\*

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**Abstract**—The allusion is an implied or indirect reference to a person, event, or thing or to a part of another text. In *The Peony Pavilion*, Tang Xianzu adopts 323 allusions from the ancient quotations, historical records, scientific works etc, which makes the play precise and vivid with cultural and historical connotation. Proposed by Jef Verschueren, the Adaptation Theory stresses the properties of variability, negotiability and adaptability in language. The translator's initiative is greatly underlined in Cyril Birch's English version of *The Peony Pavilion* in view of the adaptation theory. The translator has to adopt linguistic, structural and cultural adaptability to achieve satisfactory communication effects.

**Index Terms**—allusion, adaptation theory, linguistic adaptation, structural adaptation, cultural adaptation

The allusion has a long history and is a concentration of a country's culture and history. The brief allusions embody the historical events, novels, myths and fables etc. *The Peony Pavilion*, a romantic masterpiece and drama in the opera history by Tang Xianzu has been popular in China since its birth in Ming Dynasty. The allusion is one of the greatest features of the dramas in Tang's representative works of -- *The Four Dreams of Linchuan*. The application of many allusions makes his plays precise, indirect with cultural connotation and historical meanings. In the light of Adaptation Theory, the translator can choose different translation strategies to demonstrate the initiative of the translator.

## I. THE ADAPTATION THEORY

The Adaptation Theory was proposed by Jef Verschueren, a Belgian pragmatist in his *Understanding Pragmatics* in 1999. He proposes that "using language must consist of the continuous making of linguistic choices, consciously or unconsciously, for language-internal (i.e. structural) and/or language-external reasons. These choices can be situated at any level of linguistic form: phonetic/phonological, morphological, syntactic, lexical and semantic (Verschueren, 1999)."

Variability is the property of language which defines the range of possibilities from which choices can be made. Negotiability is the property of language responsible for the fact that choices are not made mechanically or according to strict rules or fixed principles and strategies. Adaptability is the property which enables human beings to make negotiable linguistic choices from a variable range of possibilities in such a way as to approach points of satisfaction for communicative needs (59-61). The three notions are closely related and inseparable with variability and negotiability as the basis and adaptability as the core concept. The theory probes how the language user communicates with the others through continuous linguistic choices as "the base-line description of language (58)" because language has the three properties. The kernel idea of the adaptation theory is the dynamics of adaptability.

Verschueren assumes language is a continuous making of linguistic choices with different degrees of salience for the purpose of adaptation. Through the angles of contextual correlates of adaptability, structural objects of adaptability, the dynamics of adaptability and the salience of adaptation process, the translator can make choices in lexicon, syntax and structure to fully present the version to the foreign readers. The application of the theory in translation provides a new viewpoint of thinking and broader space for translation study.

## II. ALLUSIONS IN *THE PEONY PAVILION*

*The Peony Pavilion* is about the love story between Du Linfang and Liu Mengmei. Du is lovesick and dies after encountering Liu Mengmei in her dream. Three years later, she is resurrected and joins in marriage with Liu. After its first performance in 1598, the play has been adapted into Kunqu, opera, movie and ballet and played throughout the world. *The Peony Pavilion* is a romantic masterpiece mixed with the linguistic heritage of the dramas in Yuan Dynasty and the refined language of poems. Many lines are appealing to the readers till now with high artistic value. It was listed 32<sup>nd</sup> in the world drama by Daniel S. Burt who deems that the drama combines elements of Homer's *Odyssey*, Virgil's *Aeneid*, Dante's *Divine Comedy*, and John Milton's *Paradise Lost* (Burt, 2008). Till now there are three English

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versions of *The Peony Pavilion* by Cyril Birch (1980), Wang Rongpei (2000) and Zhang Guangqian (1994) respectively. As a professor of Chinese and comparative literature in the University of California, Berkeley, Cyril Birch is highly esteemed for his English version of the play.

Tang Xianzu aims at writing plays that will be handed on from age to age. He is renowned for his fine and flowery languages and adept in adopting allusions which are a very striking feature in his plays. An allusion is a figure of speech that makes a reference to, or a representation of, people, places, events, literary work, myths, or works of art, either directly or by implication. M. H. Abrams defines allusion as “a brief reference, explicit or indirect, to a person, place or event, or to another literary work or passage”. It is left to the reader or hearer to make the connection (Fowler); where the connection is detailed in depth by the author, it is preferable to call it “a reference” (2013-03-09). Actually, most allusions are based on the assumption that the background knowledge is shared by the author and the readers and that the readers can understand the author’s intention.

Tang Xianzu adopts 323 allusions in the 55 scenes of *The Peony Pavilion*. The allusions originate from quotations of the ancient writers, historical records, novels, scientific works and Buddhism scriptures etc. Sometimes Tang even combines several allusions in one lyric. The percentage of the allusions in the drama is shown in the following table:

TABLE 1.  
ALLUSIONS IN THE PEONY PAVILION

	Ancient quotations	Historical records	Novels & myths	Scientific works	Buddhism scriptures
Numbers	92	98	115	8	10
Percentage (%)	28.5	30.3	35.6	2.5	3.1

It is indicated in the table that Tang adopts the majority of the allusions from novels, myths and historical records. Actually he uses several allusions in every scene of the drama, and even a dozen in the important scenes. The origins of the allusions include:

1) Quotations from the ancient writers or poets. For example, in Liu Mengmei’s line in the second scene--*Declaring Ambition*, “贫薄把人灰，且养就这浩然之气(Ashen from need and hardship I yet maintain my ‘overflowing breath’).” The playwright quotes “overflowing breath” from Kung-sun Ch’au (Part I) of *Mencius*. In the third scene--*Admonishing the Daughter*, Bridal Du said, “寸草心，怎报的春光一二(How can this heart, mere wisp of straw, give thanks for light by loving parents shed)?” Tang adapts the line from “The Song of the Wandering Son” by Meng Jiao, a famous poet in Tang Dynasty. The dramatist refines the famous sayings or poems and alters the lines slightly, which gives the readers a familiar yet strange tinge.

2) Quotations from historical records such as *Records of the (Grand)Historian*, *Book of Han*, *Book of The Later Han*, *Comprehensive Mirror for Aid Government* and *Master Zuo’s Spring and Autumn Annals* etc. In 22<sup>nd</sup> scene -- *Traveler’s Rest*, Tutor Chen enters saying, “俺是个卧雪先生没烦恼(Poor but unconcerned, Like Yuan An of old, I’ll bother none for help, but sit at ease while snow buries my gate).” Tang cites the allusion of Yuan An in Eastern Han Dynasty who refuses to ask for help in a heavy snow, as recorded in *Book of Later Han*. The adaptation of the historical allusions gives the drama panoramic feature.

3) Novels such as *New Accounts of Old Episodes* and *Taipingguang Collection* and myths and weird fictions such as *Bowuzhi* and *Lie Xian Biography*. For example, in the tenth scene -- *the Interrupted Dream*, Bridal Du said, “我一身冷汗，乃是南柯一梦(Now perspiration chills all my body—it was no more than a ‘dream of Nanke, the human world in an anthill’).” A dream of Nanke is from *Legend of Tang People* in which Chunyu Fen dreamed of being the governor of Nanke and enjoying fame and fortune. Tang uses the allusion to show that Bridal Du has nothing but a dream. Moreover, Chang’e, the goddess who flies to the moon in the fairy tale is mentioned many a time in the drama. The frequently-quoted myths and fictions make the drama more romantic and legendary.

4) Scientific works and encyclopedias etc. like T’ien-Kung K’ai-wu -- *Exploiting the Works of Nature* by Song Ying-hsing. For example, in the 21<sup>st</sup> scene -- *The Interview*, Miao Shunbin mentioned, “这是星汉神砂，这是煮海金丹和铁树花(Here is the Pebble of the Milky Way, here’s Elixir of Gold can boil the ocean dry and a blossom plucked from the Iron Tree).” The Elixir of Gold is quoted from *T’ien-Kung K’ai-wu*, an encyclopedia of Chinese technology in the seventeenth century. The rare treasures of the allusions from scientific works seem more realistic and authentic with convincing elements.

5) Buddhism books and scriptures such as *Inheritance of Lantern*, *Vimalakirti Sutra* and *Jun Sheng Lun*. For example, in the entrance poetry of the judge in the 23<sup>rd</sup> scene--*Infernal Judgment*, a line goes, “阎浮界，阳世裁埋，又把俺这里门程迈(Mortals the world over upon their burial must cross this threshold of mine).” “Mortals the world over” is from *Jun Sheng Lun*, a Buddhism literature in Nan Dynasty.

Tang knows the allusions and historical anecdotes at his finger tips and uses them aptly in the drama and sometimes even combines several allusions together. The entrance poetry is an important component of Yuan Drama. For instance, in Liu Mengmei’s entrance poetry of the second scene, he said, “能凿壁，会悬梁，偷天妙手绣文章。必须砍得蟾宫桂，始信人间玉斧长 (Drilling the wall for light, hair tied to beam in fear of drowsing, I wrest from nature excellence in letters and soon the ax of jade to prove its worth must fell the cassia high in the moon’s toad palace).” Tang adopts

the historical anecdotes of Kuang Heng, Sun Jing, the quotation of Lu You, a famous poet and the myth of Chang E in one line. Liu cites the former two scholars who studied assiduously and the myth to show his own effort, talents and confidence. These allusions serve for the theme of the drama, which makes the language precise with cultural and historical connotations. The allusions from novels, historical and scientific works add romance and authority for the drama.

Wang Rongpei(1999) discusses the translation of Tang poem collections envoi at the end of each scene. Tina Lu (2000) researches Bridal Du's portrait, the lovers' dream and the emperor's promise. Jiang Xiaohua (2010) analyzes the "orientalization" in western translators' rendering of Chinese classics. Gao Jiazheng (2010) probes the translation of allusions from the view of literal and free translation. Because of the cultural differences, the allusions with historical and cultural roots become a difficult problem in translation. However, the paper on the translation of allusions in the light of adaptation theory has been rare. This paper intends to have a quantitative analysis of 323 allusions in *The Peony Pavilion* and summarize the translation strategies of different kinds of allusions from the view of adaptation theory.

### III. APPLICATION OF ADAPTATION THEORY IN *THE PEONY PAVILION*

In the other texts styles, the translator mostly focuses on the delivery of the language meaning. However, the translator has to take performativity and the audience into consideration in the translation of drama. According to the Productive-Receptive Theory proposed by Patrice Pavis, we must invent a model which combines aesthetics of production and reception, a model which studies their dialectical interaction, which looks at both the anticipated reception of the production and the activity of the spectator in the act of reception (Pavis, 1985: 281-297).

As the popularity and the readers' cognition to the allusions vary in different degrees, it can be seen that Cyril Birch adopts different strategies in various types of allusions. Based on the contextual correlates of adaptability, the translator adjusts the translation strategies from the adaptability in linguistic, structural and cultural respects to make the version smooth and natural.

#### A. Linguistic Adaptability

As the lines in a drama are limited by different qu pai (tunes), length of words and sentences, the allusion is a good way to express the abundant connotation in few words. However, it is impossible and unnecessary for the translator to add notes for each allusion for the unfamiliar historical figures, places or events. Sometimes, the translator amplifies the translation in the allusion to explain the main points. As a result, the most important information is conveyed to the audience without making the lines redundant.

In the first place, the translator adopts linguistic adaptability in the translation of proper nouns with information unfamiliar to the foreign readers. Otherwise, the readers would have been lost and confused because of the missed and incomplete information. For instance, Birch amplifies the line, "Summon Gao Yao (in 53<sup>rd</sup> scene--*Interrogation under the Rod*)" with the information Gao Yao, the Prison God. Likewise, he supplements the City of Five Rams with Guangzhou, in the 22<sup>nd</sup> scene *Traveler's Rest* and "mount the dragon" with a successful match to complete the information.

Secondly, linguistic adaptability can be applied to the allusions which can be conveyed with a few words. For example, in the fifth scene -- *Engaging the Tutor*, Bridal Du wants to express her respect for her father and said, "莲步 鲤庭趋." "Lianbu litong qu"(pinyin) means literally "walk with lotus feet to my father" with an allusion of Kong Li in *Confucius Analects*:

Ch'an K'ang asked Po-yu (Kong Li), saying, "Have you heard any lessons from your father different from what we have all heard?"

Po-yu replied, "No. He was standing alone once, when I passed below the hall with hasty steps, and said to me, 'Have you learned the Odes?' On my replying 'Not yet,' he added, 'If you do not learn the Odes, you will not be fit to converse with.' I retired and studied the Odes.

"Another day, he was in the same way standing alone, when I passed by below the hall with hasty steps, and said to me, 'Have you learned the rules of Propriety?' On my replying 'Not yet,' he added, 'If you do not learn the rules of Propriety, your character cannot be established.' I then retired, and learned the rules of Propriety.

"I have heard only these two things from him." (trans. by James Legge)

In the translation of the lines, it is impossible for the translator to explain the whole story behind the line. The author adopts linguistic adaptation and translates the line into: Lotus feet in tripping measure set long ago as mark of reverence by the son of the Master, Confucius himself. With linguistic amplification, the readers have the same feeling when they read the line with the allusion.

Moreover, the translator amplifies the information in many allusions with historical background such as the story of Bian Shao (mocked for the size of his belly and explained it was full of learning), dream of Nanke (the human world in an anthill), whistling from a moonlit tower (to fill these barbarians with thoughts of home).

Altogether, Birch adopts linguistic adaptability in 23.5% of all the allusions. As to the allusions with historical, cultural and geological information, the translator amplifies a little information to complete the communication so that the readers can get enough background knowledge of the allusion.

### B. Structural Adaptation

The dramas comprise chiefly of dialogues or monologues between or of characters. The drama is written for playing out, whether it is in the mother tongue or translated into another language. According to the adaptation theory, the language communication is a process of integration by context, language, cognition and social cultures etc. To communicate means to make choices in the language and the other elements. People make dynamic adaptation in different contexts. The translation will inevitably involve the reconstruction of the target language to make dynamic adaptation and linguistic restructure from the source language to the target language. Different from other text styles, the language of drama is colloquial and precise with individual characters. Should the translation be too long or complicated, the audience would feel difficult to follow the lines and eventually the performability would be affected adversely. The translator adopts structural adaptation in the translation of proper names, exaggeration and allusions with little cultural conflicts.

Altogether, the translator adopts 37.8% structural adaptability in the whole play to make the translated drama precise. In some complicated proper names, Birch omits the unnecessary information and conveys the main explanation of the allusion. For example, the translator just explains the main ideas of “七香汤 (soup with seven flavors)” as fragrant waters, “大方之门 (quotation by Zhuangzi)” as privilege of this visit and 杏坛 (apricot terrace) as tutor's seat.

Moreover, figures in Chinese literature sometimes merely convey the general idea and ambiguous concept with no definite meanings. It is not necessary for the translator to put it into exact numbers. In scene 32, bridal Du said, “Her three senses and seven souls were frozen.” From the perspective of Taoism, a person possesses three senses and seven souls, yet Birch simply puts the line into “Frozen body and soul in coldest chastity.” In the allusion of Song poem by Su Shi, “Of Spring's three Graces/Two have gone with the roadside dust/And one with waves.” Birch simplifies the poem in this way: “Years that flowed ‘carrying as dust the springtime of my youth’.”

In addition, the translator resorts to structural adaptation for the smooth translation for some allusions with definite meaning and little cultural conflicts in translation. For example, in the 45<sup>th</sup> scene—*A Spy for the Rebels*, tutor Chen sings, “要腰缠十万, 教学千年, 方才满贯 (pinyin: yao yaochan shiwan, jiaoxue qian nian, fang cai manguan).” The term “yao chan wan guan” literally means “one's waist is wrapped with tens of thousands of money” which origins from *Natives of Wushu* in *Novels* by Liang Yun in Nan Dynasty. The story goes that some guests follow and talk about their ambitions. One says he wants to be a governor of Yangzhou, a wealthy city of that time. Another says he wants to be wealthy and the third says he wants to be a fairy riding a crane. The last one says he wants to ride a crane to Yangzhou with tens of thousands of money wrapped on his waist, i.e. he wants to be both a wealthy governor and fairy enjoying all the fortunes. As it is easy to understand the line and not necessary to explain the allusion, the translator puts it in a brief line: “It isn't hard to make your fortune: just teach school for a thousand years.”

The translator has to convey the meaning for syntactic and semantic reasons. Considering the performability and the precise language, structural adaptability is the best choice for the translator to avoid these flowery and redundant expressions in the lyrics of dramas.

### C. Cultural Adaptability

What is culture? It is the deposit of knowledge, experience, beliefs, values, actions, attitudes, meanings, hierarchies, religion, notions of time, roles, spatial relations, concepts of the universe and artifacts acquired by a group of people in the course of generations through individual and group striving (Samovar et al. 1998: 36)

Language is deeply rooted in culture and is used to reflect and maintain the culture of a society. The main task of the translator is to convey the possible meaning of the SL to the readers of the TL. The interdependence between culture and language makes it clear that translation is conditioned by culture and is a process of cultural transplantation. The effective translations demands the deep understanding of the culture and original meaning of the source language so that the foreign audience can understand the history, geography, tradition and custom behind the source language.

Birch adds notes in 125 allusions in the book, which is 38.7% of the whole play. In terms of the lines adapted from ancient poets, he writes the literary source clearly in the note, or puts the complete allusion in a note so as to avoid the cultural loss without affecting the performability of the drama. Birch gives the information about the writer, dynasties and the origins of many allusions in the note, such as Song poet Lu You, Du Fu-- China's greatest poet or Tang poet Wang Bo. These notes give a full depiction of the origins of the allusions.

In the case of allusions with cultural and historical backgrounds, Birch explains clearly in the notes. For instance, in 21<sup>st</sup> Scene--*The Interview*, Miao Shunbin sings, “径寸明珠等让他, 便是几尺珊瑚碎了他 (pinyin: jingcun mingzhu dengrangta, bianshi jichi shanhu sui le ta).” The line means literally that “They must yield before Inch-deep Pearl and three-foot coral tree may still be smashed.” Yet, two allusions are hidden in the simple lyric. Inch-deep pearl originates from a story in *Taipingguang Collection* which goes that a Persian gets an inch-deep pearl by cutting a rock and the pearl was asked by the sea god. To smash the coral tree is a historical allusion from volume 33 of *Book of Jin*: Shi Chong was a famous rich man in the Western Jin Dynasty. He paraded wealth with another rich man Wang Kai who presented a three-inch tall coral tree bestowed by the emperor. Shi smashed the tree with an iron scepter and compensated his loss with six or seven four-inch tall coral trees. Birch adds a note, “The Inch-deep Pearl was discovered by a Persian merchant, but demanded back from him by the Dragon King during his voyage back to his own country. A rich man of ancient times boasted of his coral tree three feet in height, but his rival smashed it and then

presented half a dozen larger ones". The translator conveys not only the meaning, but also the cultural information and let the audience understand the allusions behind the lines by the note.

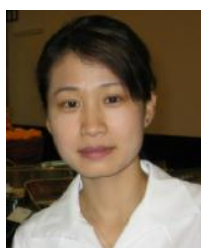
The adaptation theory stresses that the communication is the process of choosing languages which occurs in all levels such as language, structure and culture. In the adaptation process, the translator adapts the translation to the communication purpose and makes the readers understand the intentions of the author in many levels.

#### IV. CONCLUSION

Although the allusions are precise, the history and cultural background can hardly be depicted in a few words. It is an issue of great importance for the translators to convey the allusions to the audience in a proper way. In dramas with dialogues as the key ingredient, the translator has to take full consideration of receiver-orientedness. The Adaptation Theory is instrumental in transmitting history, geography and cultural background besides meaning and language. In the translation of drama, the translator has to convey the same reading effect in linguistic, lexical, syntactic and textual levels so as to achieve satisfactory communication.

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# A Comparison between Chinese and English Salutation from the Cross-cultural Perspective

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**Abstract**—As one important part in speech communication, address form is considered as the first message conveyed from speakers to hearers in many situations. Address forms play a very important role in the social life. Different types of address forms can express rich emotional information and implied meaning. Through different address forms, the social relationships, social position and roles can also be reflected. The thesis endeavors to decode the differences and similarities from the perspective of the salutations of the two languages, by discussing respectively the underlying differences on culture, value and other levels. Based upon the plentiful examples extracted from daily life, this paper provides illuminating insights about Chinese and English salutation from the two cultures. Such research is a joyful delight for those working in the cross-cultural fields of the global village.

**Index Terms**—salutations, cultural differences, Chinese and English

## I. INTRODUCTION

### A. The Definition of Salutation

Culture is a legacy of the society, through the older generations to young generation, salutations are also like this. The salutation became the first words in the communication. A salutation is the first that treat people and relative present, it is like a present given to somebody on first meeting, also like a passport enter the gate of communication. According to The Longman Dictionary of Contemporary English, the definition of address form is the correct title or name that you use for someone when you are speaking to them. Fasold states that address forms are the words speakers used to designate the person they are talking to while they are talking to them. (Fasold, 2000) In our daily life, address forms are common phenomena during human oral communication, they are also very common across cultures, just like the barometers of interpersonal relationship.

### B. Research on Salutation Helps Improve Cross-cultural Communication

The differences between Chinese and English Language and between Chinese and Western culture, are just like “from China to Peru”. Cross-cultural communication becomes a kind of really need. With the development of the modern society and technology, the internet fast develops in the world. Nowadays there are more intercultural encounters, they are different from early times. When we are going to abroad, the interconnection is more important all over the world, only in a matter of hours, a plane can fly anywhere in the world, and with the development of the global economy, today’s contacts for more common than in any other period of the world’s history. If China wants to become a powerful country in the world, it should communicate with other nations. More and more people recognize that the differences of cultural background, not only need to grasp foreign language, but also need to deeply understand the difference between target language and mother tongue. At the same time, we can learn the differences between the Eastern and Western culture from the Chinese and English Language, such as natural environment, productive labor, custom habit, religions belief, mode of thinking, etc. Hofstede said that Culture is the collective programming of the mind which distinguishes the members of one category of people from another. (Hofstede, 1991) With the development of the modern society and technology, and with the reality of a global economy, compared with other period of the world’s history, today’s contacts for more common.

As the lead of contact, address forms play an irreplaceable role in improving cross-cultural communication. To further study the differences of Chinese-English salutation and their shaping factors is of great significance. This paper is further researches the Language, the outer cultural and cross—cultural communication, and makes use of some evidences to analysis the differences between China—British salutation and culture. On the one hand, it helps cross—cultural communication; on the other hand, it helps the foreign Language teacher and students study language. At the same time, it makes the foreign people and Chinese understand the cultures of each other.

## II. THE COMPARATIVE ANALYSIS OF CHINESE-ENGLISH SALUTATION

### A. In Name

In English language, their names include first name, middle name and family name, e.g. William Jefferson Clinton. Usually the middle names are omitted or replaced by abbreviation such as George Bush or George W. Bush. However, the structure of Chinese names is Xing (姓)+Ming (名) like 张伟.

#### a. Asking Names of Each Other between The Strangers

In English, the typical way is like that:

A: What's your name?

B: My name is Jane, and you?

A: My name is John.

This is another way in Chinese:

甲: 请问您贵姓?

乙: 不敢当, 小姓张。您贵姓?

甲: 免贵姓李。

Different from that of English, Chinese usually use their family name to introduce themselves. As for it, there exist cultural roots behind. So during the communication, something unexpected occurs. For example:

A Chinese named Chang Weiming came across an American called John Smith by plane. Mr. Smith wanted to buy the products of Chang's. Here is the dialogue of self-introduction between them.

Mr. Smith: By the way, I'm John Smith. My friends call me Joni. This is my business card.

Mr. Chang: I'm David Chang. Pleased to meet you. This is my card.

Mr. Smith: No, no. Call me Joni. I think we'll do a lot of business together.

Mr. Chang: Yes I hope so.

Mr. Smith (reading Mr. Chang's card): Chang Weiming, Wei Ming, I'll give you a call as soon as I get settled at my hotel.

Mr. Chang (smiling): Yes, I'll expect your call.

This dialogue leaves each other different impressions. Mr. Smith is glad to meet Chang. And he considers it an excellent beginning. By directly addressing Chang's name, he builds a relationship of friendship and equality. Chang's smiling indicates that he is satisfied with this conversation, willing to develop further business cooperation. On the contrary, Chang feels quite uncomfortable that Mr. Smith directly calls his name. And he thinks it is difficult to work with him. Obviously, different habits of each culture result in the misunderstanding of the intercommunication.

#### b. Names Called between Friends

Based upon the equality and openness, English friends call their first names each other directly whether their relationship is close or not. Of course, it is true that they also may call "honey", "dear" or something like that. However, friends of Chinese are not. They usually call their nick names if they are very intimate. As to those ordinary friends, their full names are called between them. From what a person call another, it is easy to see their relationship. Take a girl named "张惠" as an example. Calling her name directly indicates that they are not that close. But addressing her "惠" or other nick names may hint that their relationship is quite intimate.

### B. In Kinship Terms

The way in which people use language in our daily life to refer to many different kinds of relatives is very interesting. When describing how people in different parts of the world refer to brothers, sisters, cousins, uncles, aunts and so on, the literature on kinship terminology is considerable. Kinship system is a common characteristic of languages as a result of the importance in social organization. In kinship system, people must take some factors into consideration, such as sex, age, generation, blood and marriage in their society. And people can use the actual words from these factors to describe a particular kin relationship.

There are many differences between English and Chinese address terms, but refer to the relatives address terms, there are two common points: one common point is the quantities of both are becoming less, the quantities of both English and Chinese kinship address go through a process from more to less; the other common point is that some basic address terms have the same meanings in both languages, for example, father="父亲", mother="母亲", son="儿子", daughter="女儿", husband="丈夫", wife="妻子". Meanwhile, most of the address words have different forms in the two languages, because the culture and language forms of the two countries are different, From such phenomenon, the differences of the two countries are reflected.

### C. In Social Titles

In the address system, social address forms (non-kinship address forms) are another group system of terms.

#### a. Universal in English-speaking countries

In English-speaking countries, social address forms are experiencing a process of revolution. Whatever one's social status or occupation or age is, most people intend to use First Name about addressing the boss, elder person and parents. As long as the address form to "Doctor" has kept "Title Name". The exact nature of this change is as what Brown and

Gilman pointed out: “power” in daily communication is replaced by “equality” and “intimacy”. “Mister”, “Sir” and “Miss”, “Ms”, “Madam” are widely used to address person you are familiar with or not. (张安德, 2003). Therefore, we can see that “power” is becoming less important on address forms in the western society. Other social address forms in English address system are terms like ladies and gentlemen, which is usual formula to address a mixed gathering like in offices, in meetings, in press conferences and etc. Ladies or gentlemen may also be used separately, like “Good morning, ladies!”

#### b. More Complicated Social Address Forms in China

Chinese address system is more complex than that of English-speaking countries. As the social and political situation has changed, the use of social (non-kinship) address forms has also changed. For example, instead of Mr., Miss, The form Tongzhi (同志) “comrade” is the replacement, since the equal ideals of the new order are reflected. Tongzhi can be used alone to address someone, or with name or another title: Tongzhi (title alone) “comrade”. Li Tongzhi (surname plus title) “Comrade Li”. Li Ming Tongzhi (full name plus title) Comrade “Li Ming”. It is also possible to use Tongzhi with a first name, especially between newly acquainted persons of equal standing in formal letters and from superiors to inferiors. In Chinese society, some titles were retained, such as laoshi (老师), “teacher”, zhuren (主任), “director” and Shifu, “master” (师傅). The meanings of master include experienced workers as machinists and carpenters.

Some leadership positions were canceled during the Culture Revolution of 1966-1976, and their functions were replaced by revolutionary committees. As the technical people were sent to do the work in the factories, the workers were sent to the vocational positions to do some professional work. This phenomenon led the use of Shifu, “master craftsman” increase greatly, because there were more and more responsible working people, and the goodness of the working people was very important, the virtue of working people is encouraged. Tongzhi is also used to address whose vocation is already known, but there is no title for this occupation.

But nowadays, the use of Tongzhi has been distinctly decreasing. When we want to address the unfamiliar people, or when we want to write to the strangers, we might use Tongzhi. Even it is too formal to use Tongzhi to address someone, particularly in the north of China, it is unnecessary to use Tongzhi to address someone who you have already known. Instead of Tongzhi, when we want to address an unknown person, we can use the most common address forms lao (old), and xiao (little) or Shifu. If the unknown person is female and seems to be in the middle age, we can address her dajie (大姐) “big sister”. In a way, the use of Xiansheng (Mr) and Xiaojie (Miss) is adding, especially in the coastal areas of China, such as the city of Fujian and Guangdong, because the communication of the coastal areas are much more. Besides, Laoban (Boss) or plus family-name, for example, Li laoban (李老板), this address form is recently used in daily communication, the use of Laoban is more common in business communication. Most of the vocation titles are widely used in address forms in Chinese. On the contrary, people only use “Mr.” or “Sir” and “Madam” or “Ms” then plusing surnames in English. Nowadays, with the social and political changes, the use of Tongzhi, Shifu and other forms is also decreasing.

Shortly, there are several ways to address others in social address forms, that is names, common salutation “comrade”(同志) or “master”(师傅) and titles. Besides, the so called “zero salutation” as “Excuse me”(喂, 劳驾) is also used in daily life.

### III. POSSIBLE REASONS THAT SHAPE THE DIFFERENCES OF CHINESE-ENGLISH SALUTATION

There are great differences in the Chinese-English salutation. But the salutation of English has its characteristics. For instance, teacher is commonly speaking in China, and often call foreign teacher in this way. In fact, this does not accord with the habits of English-speaking countries. In English, “teacher” can’t be used in verbal communication. Generally speaking, they call male teacher of primary school and second school “Sir” and the female teacher “Miss”; in college and university teacher is called professor or Doctor. If the students and teacher are very familiar, they can directly call the teacher’s name. But Chinese often address others by adding the post of them, such as Direct Wang (王主任), Manager Zhang (张经理) etc. But Englishmen usually not use the surname. As a student no matter how old is she or he and in place, all calling teacher who teaches them at once, we call teacher directly or by adding the family name. When introducing a teacher to someone, one can introduce like this, “This is teacher Chen.” One also can plus his full name behind the “teacher”, such as, “This is teacher Chen Qiang.” Also an example showed below indicates this point a lot.

The dean of a university once introduced a new foreign teacher by addressing her “girl”, which leads her very embarrassed. The word “girl” is a synonym for ignorance in America. Here using “girl” to describe an adult female is quite offensive.

#### A. Historical Reasons

In ancient China, clan was the primary unit of the society composition, the history of clan lasted for 3,000 years in long-term history of patriarchal. Then the address forms system are being integrated with the development of the patriarchal clan. In Chinese salutations, the address forms are divided according to patriarchal and non-patriarchal clans, marriage relation and blood relation. And the address forms in the clan are also influenced by the seniority order and younger-elder relation and the difference between paternal and maternal relative terms. From the analysis above, it tells us one of the most important characteristics of Han culture is clan. The clan is a basic feature in the address forms at

that time. During the 20th century of China, the feudal clans were attacked, but the kinship terms still took an important part in social interaction.

Anglo-Saxon people are the ancestor of British, they came from the north of Europe. As Ancient Roman, Dane and Germanic people are merged by British, the feudal clan had also been immersed, but the clan was less important than the Chinese one. In 1066, British centralized state power was founded by William I, it was 1,200 years later than Qin Dynasty (the first feudal centralized state power in China). In the 17th century, the feudal clans was badly influenced when the first bourgeois revolution was held in Britain. So it becomes unimportant to specify address forms because the feudal clans had been eliminated.

### B. Cultural Reasons

#### a. Chinese Self-Abasement VS English Self-Confidence

There are a number of words to compliment others, while few words to express modesty, which are quite different from Chinese. When praised by others, English responds "Thank you", smiling. But Chinese are shy and decline immediately. A typical way to answer is that, "哪里哪里".

China is a country which pays much attention on the etiquette, so as Chinese people, people are usually more self-abasement. On the contrary, the English people seem to be more self-confidence. Instead of showing reverence in Chinese, the word "old" In English is quite unacceptable, which is shown in the following instance.

One day a student discussed with her foreign teacher about news that a 100-year old man took part in the competition of 100-meter race. She said: "He is such an old man. Could he run anymore?" Her foreign teacher then reminded that it was suitable to call him "elderly" or "senior citizen" instead of the "old". It gives her deep feelings.

#### b. Traditional Chinese Rank Concepts VS English "All Men Are Created Equal"

In the ancient China, people think Man is superior to woman, this kind of thoughts deeply affect the Chinese people. In the past, women are confined at home under the feudal society; they are forbidden to take part in the social activities, especially women had no opportunity to take the imperial examinations. So the social position of women in the ancient China is lower than men, even the status of children is higher than women. At that time, if the couple meets relatives or friends or other people, the husband usually introduces like this: "This is 贱内 (an address forms with a derogatory sense)". But in the west countries, the westerners are different, they think that everyone is born to be equal. So in the English, the unfair and impolite address forms are seldom be found. Nowadays, the movements of feminism are supported in the west, so more and more new vocation salutations for female people as the following:

Common gender: Male, Female:

Waiter: waiter, waitress

Lawyer: lawyer, lady lawyer

Doctor: doctor, woman doctor

Usher: usher, usherette

Surgeon: surgeon, female surgeon

Hero: hero, heroine

#### c. Chinese Collectivism VS English Individualism

People of English-speaking countries pay attention to the individual privacy and individual characters, show one's own value, respect one's own choice, and they think that the liberal, social status and the wealth are equal in social, so the single person in groups is very relaxed. But in China, people lay emphasis on collective spirits, because people live in one village, live to be close and keep in touch more, and like asking some private matters, personal life and privacy easily to be reverse. In addition, they like help each other, so they are willing to understand other personal things and be told one's own things. This is differences background both of sides, also the differences in political, economic, religions relief, etc.

In China, the "code of conduct" seems to be the Confucianism. The Confucianism has deeply affected the Chinese people during their daily life, and it also affects the Chinese government and education. People's attitudes toward right individual manners and the personal responsibility to the society are influenced. One of the most important rules of Confucianism is: "What you do not want done to yourself, do not do unto others". Confucius also said "The injuries done to you by an enemy should be returned with a combination of love and justice". Confucius thought that the society consisted of five types of relationships: Those of husband and wife, of parent and child, of elder and younger brother, or generally of elders and youngsters, of Ruler and Minister or subject, and of friend and friend. So He advocated that people should try to unite with each other all over the world so that the society can be more harmonious, this is just the view of collectivism. Because of the collectivism, the relative address forms are influenced, for example, when child calls his father's friend or neighbor or even an unfamiliar person, he might address like "uncle, aunt or grandpa", such address forms are uneasy to understand by the westerners. Because in the western countries, people usually call their parents' and grandparents' names directly, which is very informal and impolite for Chinese people.

### C. Conceptual Reasons

#### a. Concepts of Bearing

There is a sentence in China: "the more sons one has, the more happiness one enjoys", "bearing up children with the aim to guard against troubles in one's late year", "of three kinds of ungratefulness to one's parents, the greatest is not to



have a male descendant”, these old sayings express that big families with rules are important, they are the foundation of the society. So according to the division of the younger and the elder, the blood and the marriage relation in big family, it is needful to standardize the address forms.

While, replaced by nuclear families (三口之家), after their entrance to the industrialized society, the quantity of big families in America and Britain is increasing. Because more and more couples just want only one or two children. In 1990, a survey report held in Britain showed: family made up with a couple and one or two children amount to 65% of the total; families made up with a couple and three or more children amount to 14% of the total. Recently, a new family unit called Dink appears, they have double income but no kids, and they advocate the value of individual, self-development and self-enjoyment. So it leads to the family members are increased and the kinship terms are becoming more simplified. Besides, with the implementation of family plan, the kinship terms will be decreased.

#### b. Concepts of Friendship

Nowadays, the American Style friendship seems to be a kind of functional friendship. So people have neglect for interpersonal relationship and they pay more attention on self-development and individual efforts. However, “at home one relies on one’s parents and outside on friends” (在家靠父母, 出门靠朋友) is a common remark greatly influenced in the ideas of Chinese people. Such the thinking as “all under heaven are of one family” (天下一家) makes Chinese people regard the whole society as their own family.

#### c. Different Beliefs

According to the natural law “Conceit results in losses while modesty bring benefits” (满遭损, 谦受益), Li (礼) played a significant role in Ancient China. Modesty can not be a kind of virtue, it is a key standard to judge one’s moral character. Similar with Chinese, “Respecting others” is also a principle for people in English-speaking countries. They hold the idea that he would meet with others’ brows and angry eyes and lose his dignity at the same time, if respecting others in an impolite or arrogant way. On the other hand, there is a mind “all men equal in front of God”, they believe that God gives equal opportunities to each person and they can enjoy everything. Therefore, it is unnecessary to be self-disapproval.

### IV. CONCLUSION

Language is a mirror of the society, which has such close relation to culture that it truly reflects all aspects of the society. As an indispensable unit of language, address forms just like the barometer which can measure people’s thoughts, and relationship. We learn about the differences existing in Eastern and Western culture. We will have a deeper understanding to the culture of both sides despite their differences and characteristic. Because it can help us learn bilingual. To be bilingual, one must know the culture of the two countries. Culture is created by human beings, it is the combination of material treasure and spiritual treasure. Every country has its own culture, just like every country has its own language. So language determines how speakers recognize the world around them. We also should deeper understand the cultural background knowledge and the language characteristic. To get along with people, we need to understand their way of thinking, acting and their cultural rules in communication. At the same time, we need to compare them with our own culture, traditions and ways of responding to salutations by doing it. We not only can make deeper friendships with others, but also learn more about ourselves and our own culture. The development of modern science and technology makes our economy in the globalization, but the Eastern and Western have kept their own characteristic.

During the cross cultural communication, it is necessary that there exist conflicts. Only when we learn and respect the differences and the reasons behind them can we communicate with each other smoothly.

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# Realization of Autonomy and English Language Proficiency among Iranian High School Students

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**Abstract**—Though pretty successful in other educational areas, Iranian high school students have proved to be poor performers when it comes to English. The educational system plus the social culture they are living in are also generally agreed to be test-driven and collectivist in nature. This study, having a autonomy-proficiency bound, investigated the autonomy level of 30 senior high school students in Tehran by means of a questionnaire and interview and their English proficiency using PET. The data were analyzed by T-test with SPSS 16.0. The results showed that English proficiency and learner autonomy go significantly hand in hand, as in cases of different autonomy level great difference in proficiency test was observed while those of similar autonomy scored much of similar proficiency scores.

**Index Terms**—learner autonomy, Iranian EFL learners, language proficiency

## I. INTRODUCTION

In spite of Iranian students' advances and worldwide fame in math and science festivals (Shabani, 1995), their English learning report card is not as glorious. A lot of Iranian English language learners experience serious difficulty with English at the high school level. As Yazdanpanah (2007) puts it poor performance of Iranian learners is not hard to locate. The students normally find English classes too difficult, boring, and useless. Besides, many feel a lot of pressure to perform on language exams. They sometimes even go great length to memorize answers to previous exam questions, hoping to find the same questions on their exam papers.

There is this widely held belief that the Iranians, as many Asian nationalities (Nakata, 2011), are experiencing the transition age from traditional culture that favors judicious mind to modern era when creativity and self-reliance are receiving their deserved credit. Nakata (2011) cites Esaki's (2002) stating that learners in such a transit move from being taught with a focus on memorization and remembering to self teaching through questioning, considering, searching and doing. Iran, as does Japan for instance, has its culture rooted in collectivist basis where people see themselves primarily as group members with strong group loyalty and interdependence. As Holiday (2007, p. 20) maintains, for the collectivists "silence is virtue, face is derived from the group where members are satisfied with very few choices." Here the researcher is to know if the mischief Iranian language learners experience has anything to do with their autonomy level. As Nakata (2011) maintains, success in such a situation is the extent to which personal autonomy is achieved because it is the key to motivation and motivation is a grand driving force for creative performance.

Where Iranian students are exposed to facing the double whammy of a collectivist culture and a test-driven educational culture, a way to experiencing the joy of a savvy process called 'language learning' may be learner autonomy. This present paper will illuminate the extent to which Iranian foreign language learners of English are autonomous and will see if this factor has any influence on their being more successful language learners.

## II. LITERATURE REVIEW

Learner autonomy has long invited interest in the field of second language learning. Gardner (2011) refers to Holec' (1981) seminal work "Autonomy and foreign language learning" as what drew attention to the concept of learner autonomy. Developments of Applied Linguistics and language learning pedagogy, enriched with research into second language learning, made an increasing demand on 'learner-centeredness' and this shift of interest to learners as sources of information for the learning process led to the research body being drawn to autonomy in language learning and teaching (Benson, 2001). Teacher and learner autonomy has, thus, turned into a buzzword in the field of foreign language education (Little, 2007). Prominent researchers in the field (Benson 2001; Dame, 1995; Dickenson, 1995; Little, 1991; Vickers & Enn, 2006) have all regarded autonomy as prerequisite for a successful and effective learning where some have gone to the extreme of asserting that "the genuinely successful learners have always been autonomous" (Little, 1995, p. 179) while the definition of the term is much of a matter of debate (Benson & Voller, 1997). Little (2002) describes such a definition as not easy because its tendencies to be mixed up with self-instruction.

### A. Learner Autonomy Defined

Quite many articles and publications on autonomy bear a definition Henri Holec has offered the literature. Holec (1981, p. 3, cited in Dislen, 2011) defines autonomy as "the ability to take charge if one's learning" and moves on to

explain that an autonomous learner holds the responsibility for all decisions concerning all aspects of their learning as to determining objectives, defining the contents and progressions, selecting the implemented methods and techniques, monitoring the acquisition procedure, and evaluating what has been done. Little (1990, p. 7) proceeds to make a useful list of what autonomy is not as:

- ▶ Autonomy is not a synonym for self-instruction.
- ▶ Autonomy is not limited to learning without a teacher.
- ▶ In the classroom context, autonomy does not entail an abdication of responsibility on the part of the teacher and thus it is not a matter of letting the learners get on with things as best they can.
- ▶ On the other hand, autonomy is not something that teachers do to learners; that is, it is not another teaching method.
- ▶ Autonomy is not a single, easily described behavior.
- ▶ Autonomy is not a steady state achieved by learners. (Little, 1990, p. 7)

Allright (1990, cited in Oxford, 2003) is among the ones who take psychological stance toward the definition of autonomy and believes that autonomy involves an 'attitude' of willingness to take responsibility to take a concrete action. As manifest in Little's view point, looking at autonomy as a construct synonymous to self-instruction and self-access is quite a partial view and that is the basis on which Little (1991, cited in Little 1997) also joins those who extend the autonomy definition to a more psychological stance. He contends that autonomy is not solely a matter of organizing learning but more of a capacity for detachment, critical reflection, decision making which would finally lead to independent action while the learner establishes a sort of psychological relation to the process and content of what to be learned. Another psychological stance is taken by According to Little (1995, p. 175), autonomous learners has acquired "the means to transcend the barrier learning and living"; something that is of great concern to both educational theory and curriculum development. Surely enough, such capacity to take charge of one's own learning at this level is not innate to learners and should be learned and developed. Dickenson (1995) proceeds to state that recognizing autonomy as a capacity or attitude rather than as overt action is essential since what we are after is to have autonomous learners in teacher-directed classroom setting besides the situation where the learner has the opportunity to involve in self-access learning.

Moreover, what Cotterall (2008) points out regarding Holec's definition adds to the point Little (1991, cited in Little, 1997) makes over Holec's seminal definition. Cotterall's first point is that autonomy to Holec is a potential capacity that needs to be developed in learners and second, his definition focuses on the technical aspect of learning focused on the introduction of methodological skills needed to manage one's learning.

As Onazawa (2010) puts it The idea of autonomy has been seen as connected with the concept of self-directed learning, learner training, independence, interdependence and individualization, all of which leads us to confusion over what exactly autonomy is. Thus, autonomy often goes under several different names, such as self-regulatory learning, self-directed learning, the learner-centered approach and independent learning. With such a confusing identity, defining autonomy is so complex that there have been various interpretations depending on how autonomy is looked at.

### *B. Differing Views on Autonomy*

Besides the conflict over the terminology, the concept appearing to have overlaps with other constructs is of debate, and self-directed learning makes for a good example. Trying to clear the case, Rivers (2001) states that defining distinction between the two demands course and structure changes as the demonstrations of autonomy have been based on the learners' self-assessment of learner style, learning strategy preferences and their progress in the language. The experienced learners tried to take control of the entire learning process.

Kumaravadivelu (2003) sees autonomy as being of two kinds; 'academic autonomy' and 'liberatory autonomy'. In his view, academic autonomy pertains to a narrow view of the concept where the learner is simply enabled to learn how to learn and be a strategic practitioner to then realize the learning potentials and objectives. On the other hand, liberatory autonomy which concerns a broad view of autonomy helps with the critical thinking side of the issue to assist learners to realize their potentials. This way, learning to learn – the narrow view of autonomy – is treated as a means to an end.

What Little (1995) argues comes in line with Kumaravadivelu's (2003) narrow view of autonomy. Little (1995, p. 175) argues that while learning strategies and learner training can play an important supporting role in the development of learner autonomy, the "decisive factor" will always be the nature of the pedagogical dialogue; and that since learning arises from interaction and interaction is characterized by interdependence, the development of autonomy in learners presupposes the development of autonomy in teacher.

Littlewood (1999), also, sees autonomy as a construct defined in terms of levels. Based on Littlewood (1999) there is a mutually supportive relationship between autonomy and relatedness which is the basis for the two levels of autonomy he introduces: "proactive autonomy" and "reactive autonomy" (Littlewood, p. 75). 'Proactive autonomy' regulates the direction of activity as well as the activity itself. That is, according to Holec (1981, cited in Littlewood, 1999), learners are able to take charge of their own learning, determine their objectives, select methods and techniques and evaluate what has been acquired. On the other hand, as Littlewood (1999) contents, 'reactive autonomy' regulates the activity once the direction has been set. After the direction has been set, reactive autonomy enables learners to organize their

resources autonomously in order to reach their goal. It is this form of autonomy that stimulates the learner to do their learning.

To Benson (2001, p. 110) is “an attribute of learner” and has very little to do with the learning situation and this is what makes the process of fostering autonomy a “developing process” within the learner. In line with this idea, Benson (2001) cites Nunan’s (2000) 5-level of autonomy plus his view on autonomy as a construct in which learners can attain differing levels through the gradual, piecemeal processes of fostering it within them. The five levels are as follows:

- Awareness, where learners are made aware of the pedagogical goals and content of the program and encouraged to know the learning strategies implications of pedagogical tasks and to identify their own learning style.
- Involvement, where learners are involved in setting their goals from a range of alternative options.
- Intervention, where learners are given stance to modify and adapt goals, content and learning tasks.
- Creation, where learners create their own goals, content and learning tasks.
- Transcendence, where learners go beyond the classroom learning and link it to the world beyond and this gives them a reflection opportunity using which learners themselves become teachers and researchers.

### C. *Autonomy and Proficiency*

In learning English as a second and foreign language, scholars and researchers has paired the importance of autonomy with learning strategies, motivation, cooperative learning and language proficiency, to name a few. Regarding reaching optimal language proficiency, mahdavinia and Nabatchi Ahmadi (2011) assume the success in learning a language is directly introduced into the process through having a responsible attitude. That is, high achieving students are, according to literature, those who devote themselves to learning more independently through having their own way to learn.

Umeda (2000, cited in Onazava, 2010, p. 128) specifies three reasons for considering autonomy as significant in the general education perspective. They are, (1) fostering a survival capacity to cope with rapid social changes, (2) developing the learner’s individuality, and (3) improving the diversity of the learner’s cultural and educational background.

Ur (1999) regards autonomy as one of the three stages of the process of learning a skill. She defines the process of learning a skill by means of a three-stage course of instruction: verbalization, automation and autonomy, and explains briefly that at the last stage, “learners continue to use the skill on their own, becoming proficient and creative.” (Ur, 1999, p. 4)

If not being the best, proficiency gain is the quickest and the most steady way of measuring learning success. Thus this study aims to see if the link between autonomy and English proficiency hold valid in Iranian context.

## III. THE STUDY

### A. *Research Goals*

The present study attempted to explore Iranian high school students with regard to (1) their awareness of the concept of autonomy and learner autonomy which leads to holding responsible for their own language learning (the questionnaire survey), and (2) their perception of the concept and their readiness to change to be what is defined as autonomous (the individual interview).

To this end, the researcher adopts a mixed methods design combining a quantitative questionnaire study and a qualitative interview study, which helps getting a much clearer picture of the research quantitative findings. This is what Creswell and Clark (2011) refer to as ‘explanatory sequential design where the collected qualitative data is analyzed and this phase is followed by a gathering of a follow-up qualitative data and its analysis which finally leads to concluding interpretation. In fact the information retrieved from the quantitative phase of the study initiated the questions that came to the researcher’s mind at the time of interview.

### B. *Participants*

Thirty female senior high school students studying at Chamran High school, Tehran participated in this study. They were all native Persian speakers, 17 years old and majoring in Mathematics who all had English as a course in the same semester the study was conducted in.

### C. *Interview Participation*

The participants were selected on the basis of the following criteria: (1) they agreed to participated the interview voluntarily, (2) keeping a balance between those of high English proficiency and low English proficiency, (3) the sense of rapport between the interviewer and the students so that they could discuss their learning orientations and talk about their problems. This point, as Nakata (2011) points out, is important as a good relationship plays a major role in having an interview living up to its intentions especially where the interviewees are to reflect on themselves and verbalize their reflections. The participants felt safe under the unanimity of the questionnaires but interviews would give them fears of public humiliation, or probable negative views on the part of their English teacher in case she gets to know about the results. They were all ensured of data security and unanimity yet just 7 volunteered which were, then, trimmed to 2 through the first 2 criteria of interviewee selection.

#### D. Data Collection and Analysis

##### 1. Proficiency test

The participants' scores on five classroom quizzes and their midterm examination plus the ongoing assessment done by their teacher were based for their assumed English proficiency level. Besides the packed high school program which did not let the researcher administer a proficiency test of her own choice, the participants' performance on their high school curriculum basis provided useful leads to how the subject matter was dealt with in the very high school and it came much handy while conducting the interviews with the participants regarding their views on how close-to-reality their proficiency school scores were.

##### 2. The questionnaire

The the 30-item autonomy questionnaire was devised drawing on Cotterall and Crabbe (1999), Cotterall's (2005) 34-item Learner Autonomy Questionnaire and Spratt et al.'s (2002) 43-item Autonomy Questionnaire. The questionnaire was devised in three sections; the first section goes for demographic questions such as age, gender, field of study and years of attending English classes. The second section is a closed questionnaire with 30 items arranged in 5-point likert scale format. A neutral point was indeed included in the scale to remove the burden of pushing a reply when the participant can't really decide on agreeing or disagreeing. The first 14 items, with a likert ranging from strongly disagree to strongly agree, assessed the learners' belief toward learner's role, teacher's role and language learning strategy. This mainly asked the participants about how important they perceived certain strategies for promoting their own learning autonomy and how their teacher let autonomy flow in class. Next 16 items, with a likert ranging from strongly never to always, were designed to see students' individual efforts, self assessment and strategy use.

The questionnaires were administered in Persian during the last 30 minutes of a theology class with the participants being fully briefed in advance.

##### 3. The interview

Conducted in Persian, the interview was done individually in the high school's office on November 8<sup>th</sup> and 9<sup>th</sup>, 2011 and lasted for about 30 minutes each. The researcher conducted the interview being cautious not to lead the thought, impose ideas and pull words. The questions implemented to conduct the interview revolved around the ones of the questionnaire the interviewees had already filled in addition to the ones that crossed the interviewer's mind on the spot as follow-up questions.

TABLE 1  
DESCRIPTIVE STATISTICS.

Item No.	Learner/frequency		Paired sample
	Mean	S. D.	t-test
<b>learner's awareness about autonomous learning</b>			
1. Learners have to be responsible for finding their own ways of practicing the language.	2.73	0.77	8.40
2. Learners have to identify their strengths and weaknesses.	2.81	0.76	8.69
3. Learners should be responsible for planning their own learning.	2.51	0.79	7.77
4. Learners should set goals for their learning.	2.52	0.90	7.59
5. Errors are signs of learning	2.79	0.77	7.77
6. It's the teacher's job to correct all my mistakes.	2.23	0.77	7.59
7. The role of the teacher is to create opportunities for me to practice.	2.81	0.72	8.04
8. The best way to learn a language is by the teacher's explanation.	1.86	0.85	6.24
9. A lot of learning can be done without a teacher.	1.56	0.82	9.20
10. It is important to make decisions about one's own learning.	1.86	0.79	5.29
11. Using English in and outside classroom is important for developing language skills.	2.56	0.90	9.97
12. Exams motivate learners to study hard.	1.89	0.97	7.09
13. It's useful to do activities in pair or group.	3.21	0.97	6.90
14. Being evaluated by others is helpful.	2.93	0.90	7.40
<b>Learner's effort toward learning English</b>			
15. I look for people I can talk to in English.	2.72	0.81	10.29
16. I try to learn English without a teacher.	2.84	0.84	8.54
17. I practice English in and outside class.	3.05	0.85	7.40
18. I review lessons in advance.	3.11	0.83	6.93
19. I ask teachers to explain if I couldn't understand the lesson.	2.74	0.89	9.21
20. I use library to develop my English.	3.04	1.00	8.10
21. I set goals for improving my English.	2.95	0.83	9.06
22. I listen to radio, watch movies, read books, magazines, and news paper to improve my English.	2.91	0.76	8.09
23. I guess the meaning of a word.	2.56	0.86	7.20
24. I make decision on my own language learning.	2.55	0.77	10.29
25. I take risk in learning English language.	3.10	0.78	7.50
26. I make summaries (take notes) of information that I hear or read.	3.13	0.76	6.78
27. I write my weaknesses and strengths in learning English.	2.67	0.88	9.34
28. I check my own progress by doing exercises.	2.74	0.89	7.02
29. I am confident while I speak in front of people.	3.11	0.69	8.54
30. I do my class and home work.	2.99	0.96	8.28

(p<.001)

#### IV. RESULTS AND DISCUSSION

The findings from the questionnaire survey were very interesting. Table 1 creates a general picture of how the questionnaire's entries were perceived and implemented by the participants.

As it is shown in Table 1, participants' awareness of learner autonomy is reported as low. There is statistically different paired sample t-test result for high proficiency learners and awareness of learner autonomy in every item, which tells the researcher the more proficient learners are not necessarily better aware of autonomous learning behaviors. That is, those high proficiency learners are more aware of autonomous learning but generally speaking, such awareness is low among high and low proficiency learners. This indicates that awareness to autonomous learning practice is generally low but comes in degrees when it comes to range of students from high to low proficiency.

Based on the evidence another defining characteristic is observed in item 8, "The best way to learn a language is by the teacher's explanation", item 9, "Exams motivate learners to study hard", item 10, "It is important to make decisions about one's own learning and item 12 "A lot of learning can be done without a teacher". They have the lowest means and this implies some hidden aspect of how they perceive their own learning process. Items 8 and 9 being of low means indicate that the perception of something not being satisfactory with the teacher centered classroom has been brought to the fore but items 10 and 12 being of low means would indicate that the learners are not sure how to survive learning process without a teacher (items 12) and when they are explicitly presented with an aspect of autonomous learning (item 10) as the solution to the problem they cannot identify it and rate it as what they do not agree with.

When focusing on the data driven from the last part of the questionnaire (learners' effort toward learning English), the interesting feature is that participants are generally moderately autonomous (all items in the learners' English learning efforts have means above average with the lowest being 2.55 and the highest being 3.13). The least mean is obtained on item 24, "I make decisions on my own language learning", which best gets explained through the autonomy definitions offered to the literature by Holec (1981, cited in Dislen, 2011) and Little (1991, cited in Little, 1997). They both emphasize the responsibility for all decisions concerning all aspects of their learning while Little sees it more through the critical reflection the learner has on this decision-making which would finally lead to their autonomous learning behavior. This aspect seems to be missing in the Iranian high school learners through the researcher's personal teaching experience as well as the data gathered in this study.

What got confirmed through the interviews is that their not being willing to take the responsibility of their own learning is not the issue; further, they are not accustomed to making decisions and feeling responsible through what might have cultural roots. As Holliday (2007) points out collectivist cultures set the case for the individuals to see beauty in unity and feeling content in tranquility of group protection. As Dam (2011) points out transmitting autonomy to outer class life is an essential part of autonomy promotion and in this very case transferring autonomy from the out-of-class life into the classroom is must.

Those items that have means over 3.04 draw on an interesting aspect of learners autonomy. Item 17 "I practice English in and outside class.", item 18 "I review lessons in advance.", item 20 "I use library to develop my English", item 25 "I take risk in learning English language.", item 26 "I make summaries (take notes) of information that I hear or read.", and item 29 "I am confident while I speak in front of people." Talk of the learners' being willing to learn the language and taking the steps that have long been believed to be the strategies for good language learners like previewing before the class meets, taking notes or not being afraid of talking in front of others. This calls for the demand on strategy instruction and autonomy promotion among them.

Apart from analyzing each item and calculating the correlation between the proficiency level and the learners' reflections on each item, the general autonomy scores and general proficiency levels of the sample was calculated as well and the Table 2 and 3 results came up.

TABLE 2  
MEANS AND STANDARD DEVIATION OF LEARNER AUTONOMY AND LANGUAGE PROFICIENCY SCORES

variables	Mean	N	S. D.	Std. error Mean
English proficiency	15.04	30	2.02	1.33
Learner autonomy	78.48	30	0.78	.69

TABLE 3  
CORRELATION BETWEEN LANGUAGE PROFICIENCY AND LEARNER AUTONOMY

variables	N	Correlation	Sig. (2 tailed)
English proficiency & learner autonomy	30	.402	.000

As shown in Table 3, regarding the significant level's being  $p=.000$  and significantly smaller than the criterion ( $p<.05$ ) the correlation coefficient indicates that learners' autonomy and the English proficiency of the participants are positively correlated. That is, the more proficient a learner is, the more autonomous they would be with the sample's high proficiency students' being more autonomous and the low proficiency students being the other way round.

## V. CONCLUSION

This paper explored autonomy in language learning by examining its definition, followed by how different perspectives have affected its implementations. Several views to the concept of autonomy plus the hierarchies and

categorizations available in the literature were reviewed. Further, the focus of the very research was addressed as to what the relation between autonomy and language proficiency is.

Benson (2001) specifies six approaches to reach the goal of autonomy; resource-based approaches, technology-based approaches, learner-based approaches, classroom-based approaches, curriculum-based approaches, and teacher-based approaches. Drawing on the data collected in this very study, it is assumed that the best approaches which are capable of initiating a change in the current education are learner-based and teacher-based approaches which emphasize the direct production of behavioral and psychological changes in the learner and the role of the teacher and teacher education in the practice of fostering autonomy among learners respectively.

Iranian high school students seem to perform differently when it comes to English learning and based on the qualitative and quantitative data gathered on this study, Dornyei's (2001) suggested changes for an autonomy-supporting classroom seem to be the best way out of our sluggish high school English classes which are regarded as not useful and worth the invested time; an increase in learner involvement through project works, giving students positions of genuine authority, and letting them go through self-assessment, plus a major change in teacher's role in a way to make more room for the autonomous behaviors of learners to emerge.

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# On Source Language Interference in Interpretation

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**Abstract**—Source Language interference (SLI), or cross-linguistic influence, is the result of language transfer and interpretation. Language transfer can be classified into positive transfer and negative transfer or interference. While positive transfer facilitates the communicative function of interpretation, negative transfer may have negative impact, weakening the content and form of interpretation, which will influence the realization of its communicative function. In the thesis, concept and features of interpretation, as well as its relationship with language interference are explored. Then some interpreting materials are analyzed to prove the influence of SLI in interpretation. Finally, some general approaches and specific strategies are put forward, aiming at avoiding the SLI as much as possible and improving the quality of interpretation.

**Index Terms**—source language interference, interpretation, approaches & strategies

## I. INTRODUCTION

Interpreting is a special cross-linguistic activity with the interpreter involved as the bilingual or multilingual. The interpreter is first and foremost a bilingual who can speak both SL and TL. It is more often the case that the SL and TL are not acquired at the same time. Then there exists the possibility of language transfer, or cross-linguistic influence, between SL and TL. In the broad sense, language transfer is any kind of movement and/or influence of concepts, knowledge, skills or linguistic elements (structures, forms), in either direction, between L1 (the first language) and the subsequent language(s). Language transfer is not simply interference. It includes both positive transfer and negative transfer.

In the study of interpretation, it is found that much of the influence of the native language (or some other previously learned language) can be very helpful, especially when the differences between two languages are relatively few. Positive transfer refers to the facilitating influence of cognate vocabulary or any other similarities between the native and target languages (Daniel, 1995). However, negative transfer, or Source Language Interference (SLI), is the prime concern this thesis and will be elaborated in the following.

To prove the influence of SLI in interpretation, the lecture materials of Premier Wen Jiabao during the Two Session/Meetings are analyzed. Finally some relevant approaches and strategies are put forward specifically to minimize SLI and improve the quality of interpretation. General approaches are the basic methodologies that should be born in the interpreter's mind throughout the interpretation process, including awareness of language difference, general correspondence, and interpretive approach. Specific strategies are the particular techniques to tackle the source text, which are chosen by the interpreter consciously or subconsciously. In this thesis, three strategies are proposed to curb SLI including linearity, anticipation and the principle of economy.

## II. LITERATURE REVIEW

### A. Analysis of Interpretation

It is necessary to introduce interpretation and its features here in that it provides some basic information where SLI arises and serves as a basis for further discussion.

#### 1. Definition of interpretation

According to Holly, In interpretation the interpreter is isolated in a booth. He speaks at the same time as the speaker and therefore has no need to memorize or jot down what is said. Moreover, the process of analysis-comprehension and of reconstruction-expression is telescoped. In this thesis interpretation is defined as a process of transferring in oral form what is expressed in another language by the speaker at approximately the same time as him/her (obin, 1993).

#### 2. Features of interpretation

Owing to the special working process of interpretation, there are many features associated with it.

Interpreters work under tremendous pressure, temporal pressure constituting an important part. As the definition indicates, the interpreter speaks at the same time with the speaker, so one requirement is that s/he must adopt the rhythm of the speaker.

Production difficulty may also be brought forward by the same cause. In those cases, the EVS (ear-voice-span) will be lengthened. The interpreter, however, must not allow any delay in the process resulting in his/her losing track of the SL rhythm or overload of short-term memory, which may mean overall failure.

Interpretation varies with different language pairs, which are referred to as language specificity. In other words, interpretation between some language pairs is easier than otherwise. Although it has not been demonstrated systematically, there are facts and strong arguments for it. For example, it is significant that many interpreters with Chinese, whether A or B, almost prefer working into rather than from Chinese, whatever the type of discourse. Language specificity is closely related with SLI.

### B. *Source Language Interference (SLI) and Interpretation*

In this part the causes of SLI will be analyzed in terms of structural and non-structural aspects. Then its consequence on interpretation is analyzed in terms of content and form.

#### 1. **Causes of Source Language Interference (SLI)**

It is assumed that the learner who comes in contact with a foreign language may resort to his/her native language features to replace those difficulties in the target language. In that case, negative transfer occurs. In this thesis, negative transfer, or interference, refers to the influence resulting from dissimilarities of the SL and the TL which has deteriorating impact on interpretation.

Another point that needs to be clarified is that language interference takes place in dual directions, i.e., not only from native language to a second or third language but also vice versa. In particular, this paper deals with the language interference, between English and Chinese, which are two languages with great disparity, under the specific situation of interpretation. In interpretation, the influence arises mainly from the SL, no matter Chinese or English, since the interpreter extracts the message from the SL and transmits it into the TL. The focus, therefore, will be on SLI.

Structural causes refer to cross-linguistic differences in language structure, which consist of word order, information density, abstract vs. concrete diction and hypotaxis vs. parataxis of language.

A purely structural analysis will not suffice to account for SLI, which also results from non-structural causes. Non-structural causes refer to the differences other than language structure, which is analyzed from the cognitive and cultural perspectives respectively.

#### 2. **Consequences of SLI on interpretation**

Owing to the structural and non-structural differences between Chinese and English, SLI in C-E interpretation will have consequences on both the content and form of the interpretation product.

Form is the carrier of content or information in communication process. Any influence of SLI on form will to some extent affect the conveyance of content. The influence of SLI on verbal forms will result in the deterioration of linguistic acceptability while that on non-verbal forms will impair the interpreter's delivery.

While positive transfer will to some extent facilitate language acquisition and use, language interference will produce negative influence, which may result in: underproduction, overproduction, production errors and misinterpretation.

Overproduction is sometimes simply a consequence of underproduction (Terrence, 2001). Owing to cross-linguistic contact, the non-native language is acquired incompletely and some of the linguistic knowledge of the language is neglected, which leads indirectly to the overproduction of structures and expressions transferred from the native language.

The second language learners' existing knowledge about native language and culture sometimes influences his/her perception of the target language. Different word order patterns or cultural assumptions may be the causes of misinterpretation. A typical example is *All the books in the library are not open to readers outside the university*. It is not unusual for Chinese students to interpret it into the equivalence of "none of the books in the library are open to..." While the exact meaning is that "some books are open and some are not".

### C. *Summary*

Interpretation is a highly demanding job that imposes great temporal pressure upon and requires high processing capacity of the interpreter. As a bilingual, the interpreter is to some extent susceptible to language transfer especially language interference between his first and second languages (Tao, 2010). Although a qualified interpreter is expected to possess a high level of proficiency, the impact of SLI still exists. Meanwhile language specificity and the drastic contrast between Chinese and English further precipitate SLI in C-E interpretation. In a word, the working process and features of interpretation and language transfer on the part of the interpreter both contribute to SLI in interpretation.

## III. EXEMPLIFICATIONS OF SLI

In order to test the structural and non-structural causes that lead to SLI and the effects of SLI on interpretation products, some source materials are quoted and analyzed in this chapter.

### A. *SLI in Interpreting two Session Source Materials*

The following is the lecture materials when premier Wen Jiabao answered the journalists during the Two Session/Meetings in 2008, proving the influence of SLI.

(1) 五年已经过去了, 行事见于当时, 是非公于后世。

Five years has passed, what one does now will be fairly judged by history.

In the above case, “行事见于当时, 是非公于后世” is interpreted in a delicate way, with the full use of the SL

structure. e.g.: “当时” and “后世” are according interpreted into “now” and “by history”, located in the end. “what one does” is “行事”, while “will be fairly judged” is “公于”. Both are cases for SL imitation. But it's not confined to the SL by word-word interpretation. e.g.: “见于” and “是非”. The interpretation is not only a brief conveyance of Premier's lecture, but also efficient.

(2)一位领导者应该把眼睛盯住前方。

As a leader, his eyes should be on the way ahead.

(3)我们必须在这两者之间走出一条光明的路子。

That's why we need to blaze a trail in between that will ensure a bright future.

In case (2), premier Wen says that one's eyes should be on the way ahead, similar to “unit to look ahead”, which is the habitual expression in Chinese and actually means that the leader should pay more attachments to the future circumstance. While in English, it is said “keep your eyes on the stars”. However, the interpreter chooses to succumb to the SL. Instead of interpreting it into “a leader should keep his eyes on the stars”, the interpreter acts according to the original text, which is within the tolerating limit of English, keeping both the form and taste of the original text which is a reflection of the SLI.

Case (3) is put forward when the premier introduces that the Chinese economy is facing up with 2 major issues: the over-fast increasing of the price and the pressure of inflation “to blaze a trail in between that will ensure a bright future” and “在这两者之间走出一条光明的路子” is not a change of the metaphor, but process in accordance with the image in it. Whereas in interpreting under the SLI, the interpreter may meet with some extra questions.

(4) 经济体制改革和政治体制改革要有新的突破, 这就必须要解放思想, 解放思想, 这就必须要有勇气、决心和献身精神, 解放思想和改革创新, 如果前者是因的话, 那么后者就是果。

We need to make new breakthroughs in advancing the reform of the political system and economic system. To attain this goal we need to free our mind. And to free our mind we need to have the courage, resolve and the spirit of dedication. And when we talk about the freeing of our mind and reform and innovation, I believe that the former, the freeing of our mind is the cause and the latter reform and innovation is the effect.

In the above case, “解放思想” is interpreted as “the freeing of our mind”, “改革创新” into “reform and innovation”. But the plus of “和”, namely “and”, after them may give the audience a misunderstanding that “freeing of our mind”, “reform” and “innovation” are three separate parts. Then the appearance of “the former” and “the latter” will make the audience unclear of how to divide the above into 2 groups. Under such circumstance, if the interpreter still interprets without any change, then misunderstanding is unavoidable. Thus the interpreter repeats “the freeing of our mind” after “the former”, and “the latter” to inform the reader of the parallel relationship among the above three noun-phrases.

Whereas, in some situations, if one just restores the content literally, though being faithful and smooth, he can't be a successful interpreter. What's worse, mistake may be made during the process. e.g.:

(5)特别是尽快实现三通。

We want to resume the three direct links between the two sides as quickly as possible. If the interpreter use “realize” or “start” without any modification, misunderstanding will come into being, since there had been the three direct links ago and they are interrupted anyway.

#### B. SLI in Interpreting Poems in Journalist Reception Meeting

Further explanation is made by comparing several poems quoted by Premier Wen Jiabao. “行百里者半九十” means it's only a half of the 100 mile's journey if you walk 90 miles, signifying that the nearer you approach success, the harder it becomes, the more serious you need to be. While by comparing with the SL, we may find that the interpreter didn't explore its deep meaning. Instead, he organized his wording in accordance with the literal meaning, interpreting all the “者、半、百里” and achieving the aim of communication, which can be a certification of the full use of SL effect. Later, the famous Chinese diplomatic interpreter Guo Jiading provided the more appropriate interpretation: For a journey of 100 miles, 90 miles is only halfway. Senior Guo's interpretation is given under the full consideration of SL and it's impossible for the junior interpreter to do so in meetings.

Premier Wen also took another poem: “亦余心之所向兮, 虽九死其犹未悔”, means that I should stick up to my ambition at any expense. The interpretation was: For the ideal that I hold the dear to my heart, I'd not regret a thousand times to die. Similarly, the literal consistence is achieved since the interpretation was in consistence with the SL, especially the former part of the sentence. It's acceptable to replace the figure “九” with “a thousand times”, which are the same in fact, for in Chinese “九” has the meaning of “a great many”. Later, Senior Guo said that the above interpretation had no problem in meaning conveyance, but lacked briefness. He suggested improving it like this: In pursuit of one's heart's desire, one thousand deaths would bring no regret. Senior Guo's interpretation is extremely correct, but the former interpretation obviously took advantage of the SL effect, reflected in structure:

“不畏浮云遮望眼, 只缘身在最高层”。

The interpreter: We have no fear of the clouds that may block our sight as we are already at the top of the height.

Senior Guo: We have no fear of the dark clouds blocking our view, because we are atop the mountain.

There is no big difference between the two versions of the interpretation, except that the former is a long sentence,

while the latter uses an adverbial clause. Both choose not to extend the connotation, but to express the literal meaning, which is just the SLI Premier Wen quoted this poem to show that the negotiators should stand higher and look further, despite the interference of the outside.

Drawn from the above instances, SLI, following up SL is a passive interpreting mode due to the instance of interpretation on the surface. However it's the result of the active use of SL effect, a moderation to adapt to the regular, improving the efficiency of interpretation greatly. So the SLI is of great importance in interpretation.

### C. Summary

By comparing, we can draw the conclusion that when the source speech was removed of SLI, more information was conveyed in the target language output and thus the overall quality and communication function of interpretation was improved. Thus it is plausible that structural, cognitive and cultural SLI is a source of deterioration in the performance of the interpreter.

There are also some evidences showing how different way of categorization and thus different semantic categories affected the output in interpretation. One may interpret "In one hand ...in the other..." into "...一方面...另一方面..." while it actually means "in the hand of the Statue of Liberty". Another example is the misinterpretation of "attend the games" into "参加比赛" while in Chinese "参加比赛" may connote the meaning of "to take part in the game" (Cai & Zeng, 2004, p.49-54).

Since clear conveyance of information is an essential quality of successful interpretation, thus the assessment of interpretation focuses on the particular point of information correctly rendered in the target language, which does not necessarily mean that the message is conveyed in a clear and appropriate way. Moreover, other factors such as grammatical errors, unfinished sentences, hesitant delivery, etc., can greatly reduce the quality perceived by the audience and in some cases prevent accurate comprehension of the interpretation. To measure the overall quality of interpretation as affected by SLI, other methods should be employed.

## IV. SOLUTIONS TO SLI IN INTERPRETATION

As causes of SLI are classified and analyzed and its consequences tested in the source materials quoted above, it is necessary to explore for possible strategies to tackle SLI. Professional interpreters employ strategies in real time interpretation, which help fulfill the stressing task. Some general approaches and specific strategies are proposed to minimize SLI in C-E interpretation. The general approaches are basic principles to be carried out throughout interpretation process while the application of specific strategies is subject to the interpretation context and the interpreter's choice.

### A. General Approaches

There are three general approaches proposed here, namely, awareness of language difference, general correspondence, and interpretive approach. Appropriate adoption of these approaches will facilitate reduction of SLI in that: awareness of language difference is rudimental in the interpreter's cognition of interpretation reality; general correspondence and interpretive approach help the interpreter to treat the source speech as a meaning-transmitting whole instead of discrete segments.

#### 1. Awareness of language difference

As analyzed before, there is a great contrast between the language structures of Chinese and English in terms of word order, information density, and abstract vs. concrete diction and hypotactic vs. paratactic structure. Awareness of the language difference between Chinese and English is something fundamental for the interpreter. e.g.: "as cool as a cucumber", "班门弄斧." In Chinese there is not any connection between "cool" and "cucumber" while non-Chinese audience may not have the concept of "班门弄斧". Since Chinese and English are different, in interpreting from either language to the other, relevant strategies and tactics are indispensable to overcome the difference. Therefore awareness of the language difference prevents the interpreter from rigid trans-coding and enables him/her to master the essence of interpretation.

#### 2. General correspondence

There are five levels of correspondence of semantic categories between SL and TL: basic correspondence, relative correspondence, categorized correspondence, functional correspondence and zero correspondence (Liu, 2004). Basic correspondence means the agreement in concept, form and function; relative correspondence refers to basic agreement in concept with difference in form, e.g. synonymy; and categorized correspondence refers to the use of a category name to correspond to its member. The last two should be the main concern when tackling SLI because they are not as easily identified as the former three.

On one hand, the SL interpreter should process the SL segment by segment; on the other hand, he/she should manage the general correspondence of the SL and TL and ensure the integration of the interpreted text. That is one of the difficult points of SL.

#### 3. Interpretive approach

From the term interpretation we know that some explanation is involved in the process, since "to interpret" also bears the meaning "to explain".

To accomplish his/her task, the interpreter needs to comprehend the source speech and reproduce it in the TL. In the above process the interpreter first extracts the meaning from a particular segment, which will be discussed later, then the wording of SL disappears and he/she tries to re-express the meaning in the TL. That is what “interpretive approach” means.

Interpretation is a service intended ultimately for the audience. The aim of the service is to get the meaning of the speaker across to the audience in real time. Therefore the interpreter should also involve some explanation whenever necessary to facilitate the conveyance of meaning other than performing simply literal translating.

### *B. Specific Strategies*

Strategies play an important role in successful interpretation. Moreover, the role of strategies is not to eliminate all SLI but to minimize it. Some basics about strategies to cope with SLI in interpretation are introduced here.

#### **1. Linearity**

Linearity refers to general consistence with the basic SL linguistic order in the rendering of the TL. Both Chinese and English have the basic word order of “subject-verb-object”, which provides the basis for linearity. In practice, however, there are several points that need to be noted:

First, “general consistence” does not imply word-for-word or phrase-for-phrase or any fixed linear correspondence between the SL and the TL.

Second, “basic SL linguistic order” is not understood in a strict sense. If, apparently, a SL structure is more appropriately rendered in the TL with some adjustment in its linguistic order, then the interpreter should not hesitate to do so, as long as the flow of thought of the speaker is conveyed to the target audience.

Third, linearity should not confine the interpreter in his/her rendering of the TL (Tao, 2010).

Maintaining linearity helps the interpreter to optimize processing capacity management. Linearity also contributes to the fluency and simultaneity of TL output in interpretation. Linearity guarantees a moderate time lag, which allows the interpreter to free himself/herself from the surface structure of the SL text and optimize his/her delivery in the TL. It is up to the interpreter to decide on what scale and to what extent linearity should be applied to achieve optional interpretation products.

#### **2. Anticipation**

“The interpreter’s ability to anticipate is defined on the one hand by his linguistic competence, i.e. his knowledge of syntactic and semantic regularities in the SL and the use of information from previously processed text, and on the other hand by his knowledge of the situation, especially the role of the sender and his typical behavior in that role and situation, and the interpreter’s prior knowledge of the subject. Accordingly, there are two types of anticipation: linguistic and extra linguistic anticipation.

Anticipation is applied when a postponed element (e.g. a noun head) in the SL should be rendered much easier in the TL. Waiting for the postponed element before interpreting will cost great effort in terms of short-term memory while proper anticipation alleviates memory load efficiently and facilitates the interpreter’s psychological pressure when waiting and accurate anticipation increases his/her confidence for the interpretation task.

#### **3. Principle of economy**

There are several specific techniques for principle of economy including simplification, omission, abbreviation and approximation, etc.

Simplification refers to rendering the complicated SL structures in a simpler way in the TL. Redundant elements like flowery rhetorical language may be handled with simplification.

Omission of some SL elements is another method. Some SL elements that are not in line with the TL norms may be omitted to maintain the idiomaticness and conciseness of expression.

Abbreviation and approximation of numbers are also commonly applied. Both in English and Chinese, the interpreter can choose to use abbreviation whenever applicable, e.g. GEF (Global Environment Facility), IMF (International Monetary Fund), 发改委 (国家发展和改革委员会), 贸促会 (中国国际贸易促进委员会). Approximation of numbers is an effective way of reducing processing effort in interpretation. e.g.: In 1999, China’s agricultural production continued to develop with the output of grain reaching 20839 million tons. Here the number may be interpreted as “2 亿 8 百多万吨”.

By condensing the source speech, the principle of economy reduces the efforts needed for TL production and articulation, leaving more capacity for comprehension and memory, and thus provides a way of coordinated capacity management. Economy of expression is also a remedy for time constraint in interpretation. Moreover, it contributes to information conveyance, instead of impairing it, by removing redundancy and producing the most efficient expression in the TL.

## **V. CONCLUSION**

In the thesis the author focuses on the study of SLI in C-E interpretation. SLI and interpretation are clearly defined. Causes of SLI in C-E interpretation consist of structural and non-structural factors. In the analysis of structural factors, the major differences between Chinese and English language structures are word order, information density, abstract vs. concrete diction and hypotaxis vs. parataxis, each with examples and illustrations. Non-structural factors are composed

of cognitive aspects and cultural aspects. Then is the consequence of SLI on both the content and form of the interpretation product, thus affecting the quality and communicative function of interpretation.

The lecture materials Premier Wen Jiabao answered the journalists during the Two Session/Meetings in 2008 is carried out to provide some evidence that the structural and none—structural factors discussed herein do exert some influence on the information conveyance in interpretation.

It is proposed that the interpreter should be aware of these underlying factors of SLI and select appropriate strategies to minimize SLI in C-E interpretation. Both general approaches and specific strategies should be employed to cope with SLI. Awareness of language difference, general correspondence, interpretive approach are the general guidelines to be adopted by the interpreter consciously or subconsciously. Linearity, anticipation and principle of economy are specific strategies to tackle real time SLI. It should be noted that possible strategies couldn't be exhausted in this thesis. It is subject to the interpreter to apply or develop new strategies based on the general approaches and particular situations.

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# A Quantitative Analysis of Words with Implied Negation in Semantics

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**Abstract**—This thesis aims at making a quantitative analysis on the application of words with implied negative meaning in English. With the help of some scientific research methods such as SNOBL4 and SPSS software, a quantitative computerized analysis on the frequency and distribution of implied negatives is made among different written English corpora: BrownA, BrownB, LOBA, T4 and NEC etc. The result shows that implied negation is widely applied in written English, with its frequency determined by the specific style of the article; Therefore, if implied negatives are employed properly according to the style of the article, the sentence pattern will be greatly varied with it language more vivid as well

**Index Terms**—negative meaning semantic quantitative analysis

## I. INTRODUCTION

Over the centuries, there has been tremendous scholarly and philosophical interest in negation. This preoccupation is reflected in *Seifert and Welt's Basic Bibliography of Negation in Natural Language* (1987), which lists some 3200 titles in over 200 languages. The fact that much of the literature is in English means that many problems of negation in English have been treated, although this is of course coincidental. Many problems have attracted particular attention, and one may even speak of a canon of problems to which scholars have been drawn, generation after generation. Such problems typically have to do with negative scope when negation and quantifiers co-occur (as in *All boys didn't leave.*), neg-raising (as in *I don't think he's coming*) or double or multiple negation (I don't know nothing no more), depending on the particular interests and backgrounds of individual scholars. In this paper, I treat negation in English, but I'll focus on implied negation which has not been given too much attention in the literature, even though this phenomenon is ubiquitous. However, I believe they are important for our understanding of negation in English and of negation in natural language in general. I deal with the use of implied negation in written language (different corpora), and I address the question of how and why we use implied negation from a quantitative point of view.

In order to provide solid and tangible data for the present analysis, I employ several corpora for my analysis: LOBA, BROWNA, BROWNB, MEE, NEC, and T4.

One internationally renowned text database, the LOB Corpus consists of 500 texts of about 2000 words each from British Written material published in 1961. A wide range of material is represented, including newspaper articles, fictions, religious writing and so forth. I utilize the first part of it, LOBA for the analysis. The BROWN Corpus was made up of 500 texts, about one million words of written American English in 1961 as well. The distribution of text categories is similar to that of LOB Corpus. In my paper, the first two parts, BROWNA and BROWNB are employed. MEE and NEC represent Marine Engineering English and Nautical English respectively. Those established corpora are attributable to the work and cooperation of the former graduates. T4 Corpus is a sub-corpus of the JDEST Corpus which was built by the scientific English center of Shanghai Communication University. It contains materials sampled from various publications of English-speaking countries covering various subjects of science and technology including mechanism, electronics, physics and so on.

In the process of this research, modern statistical method was adopted. To obtain the data of relevant frequency, a Visual FoxPro program was used to break the corpus into individual sentences. In order to get those sentences with negative words, another Visual FoxPro program was used. For quantitative linguistic investigation, the knowledge of statistics is very necessary. The Chi-square test, extensively used in my research, is a widely used non-parametric test in linguistic statistics, which helps us to compare the distribution of certain linguistic features in two or more samples. In my thesis, the computer is used to make the research work much easier by operating SPSS (the Statistical Package for Social Science), a package for the statistical research of texts.

Procedures for searching and handling implied negation in the six corpora are as followed:

With the application of computer software, especially SPSS and SNOBOL4, raw data on the distribution of implied negatives among those databases are to be extracted. By running SPSS and SNOBOL4 programs, gross frequencies from the six corpora, namely BROWNA, BROWNB, LOBA, MEE, NEC, and T4, are obtained. Gross frequencies refer to the results obtaining by running programs that need manual sorting and correction.

Most analysis in this paper relied on computer programs, which produced precise empirical data. In some cases, computer programs cannot fulfill the aim, such as selecting out sentences without negative meaning even though they contain inherent negative words (as double negation). So manual works as well observation method had to be involved.



## II. THEORETICAL BACKGROUND

According to Longman dictionary of Language Teaching, negation is contradicting the meaning or part of the meaning of a sentence. The main negator in English is *not*, often in its contracted form *n't* and combined with an auxiliary. Quirk Randolph, et, (1985) in *A Comprehensive Grammar of English Language*, deals with negation as a syntactic process within the clause. They classify negation into three types: (Quirk, 1985)

a. Clause Negation, through which the whole clause is syntactically treated as negative (1).

(1) I have finished. (Positive) I have *not* finished. (Negative)

b. Local Negation, in which one constituent (not necessarily a clause element) is negated, as in sentence (2)

(2) They made some *not unintelligent observations*.

c. Predication Negation, a minor type applying only after certain auxiliaries, in which the predication is negated (3):

(3) They may *not go swimming*. (They are allowed not to go swimming)

In order to make a further understanding of negation, three concepts need to be drawn a distinctive line, negative sentence, negative form and negative meaning.

### i) Negative sentence

It belongs to grammatical category which refers to a sentence that contains negative words like *not*, *never*, or *nowhere*. The list of negative words in English is: *neither*, *never*, *no*, *nobody*, *none*, *no one*, *nor*, *not*, *nothing*, *nowhere*. They are also called *Full negatives*. In addition, we can form a negative sentence with Quasi negatives, such as *hardly*, *scarcely*, *seldom*, *barely*, *few*, *little*, etc. The adverbs of negation convey the idea that the action or state being described "usually" does not or did not happen or exist, but could have occasionally. They are negative, though not in the absolute sense as sentences with *not* and *never* are.

A sentence is called a negative sentence in that it must share the following syntactic features:

a) It is followed by positive checking tag questions:

(4) She doesn't work hard, does she?

b) It is followed by negative tag clauses, with additive meaning:

(5) I haven't finished, {and neither} have you.

c) It gives rise to auxiliary-subject inversion when applied to the initial position.

(6) Never have I thought of such a strange idea.

(7) Little need I dwell upon the joy of that reunion.

d) It is followed by nonassertive items, such as *ever*, *any*

(8) He won't notice any change in you.

### ii) Negative form

Negative form marks a clause as negative, even if the word *not* (*-n't*) does not occur in it. Though varied in actual patterns, negative form can be primarily divided into two categories: one is with negative words such as *not*, *no*, *never*, *nor*, and so on, and the other with negative affixes, such as *un-*, *ab-*, *dis-*, *il-*, *im-*, *ir-*, *in-*, *mis-*, *non-*, *-less* etc. In certain contexts, clauses with affixal negation are approximately synonymous with clauses negated by the clause negator *not*. For example:

(9) That is not true. = That is untrue.

(10) You are not careful. = You are careless

(11) She is not active. = She is inactive.

### iii) Negative meaning

It differs from the former two in that it means to negate a situation, whatever forms it may take. That is to say, it can be represented in various forms. Mainly there are two ways to achieve negative meaning. First, it can be achieved by using negative sentences. E.g.

(12) I *don't* want anything else. (Negative sentence indicating negative meaning)

Second, it can be achieved through words negative in meaning.

a) Quasi negative words, like *hardly*, *barely*, *seldom*, *few*, *little*, etc. e.g.

(13) The dormitories could *barely* house one hundred students.

(14) He *hardly* ever goes to bed before midnight.

b) Words with negative affixes as those mentioned in (ii) above.

c) Implied negatives, such as *fail*, *prevent*, *reluctant*, *deny*, *absent*, etc. e.g.

(15) She *refused* to accept his gift.

(16) She is *too* excited to say anything.

Such sentences are in affirmative forms but they can also be employed to express negative meaning. There is no doubt that many other types of this kind can be found other than the above mentioned, upon which I shall dwell in detail in this paper.

So far, it is clear that *negative sentence* is not the same as *negative form* when negative meaning is involved. Sentences (13) and (14) negated respectively by Quasi negative words *barely* and *hardly* are negative sentences and furthermore they are negative in meaning and behavior although they do not appear negative in forms. Furthermore, *negative meaning* is not always indicated by *negative form*. Sentences (15) and (16) imply negative meaning without any negative form.

After making the three concepts clear, it is necessary to clarify the types of negation. As for the classification of negation, linguists who have researched into words implying negative sentences are of the view that these words can be classified in the following ways.

- (i) *Full negatives*: no, not, none, never, nothing, nobody, nowhere, neither, nor
- (ii) *Absolute negatives*: not at all, by no means, in no way, nothing short of, etc.
- (iii) *Quasi negatives*: hardly, scarcely, seldom, barely, few, little
- (iv) *Partial negatives*: not every, not all, not much, not many, not always, etc.
- (v) *Words with negative implication*: fail, without, beyond, until, unless, lest, ignorant, refuse, neglect, absence, instead of, etc.

In terms of negative formation, there are two major categories. One is grammatical, the other semantic.

First, grammatically it refers to sentences containing negative words, such as *not, no, neither, never, none, nobody, nothing, by no means, etc.* That is, that is obvious negator *no* or *not* in the sentence as in sentences (1)-(8) above.

Second, semantically it relates to sentences containing words with negative meaning, such as *few, little, far from, fail* to and so on. There is no obvious negator in the sentences as in (13)-(16)

According to the two categories, negation is classified five types: general negation, special negation, negation in forms and in meaning, negation in form but not in meaning, and negation in meaning but not in form.

*General Negation* is the most common form of negation. In this case, a simple positive sentence (or clause within a complex sentence) is negated by inserting the clause negator *not* between the operator, and the predication, thus making the whole sentence negative. The operator here is the first auxiliary verb of a complex verb phrase or with either *or* (especially in British English) stative *have* as the verb in a simple sentence. Thus the negation of *They are noisy* is *They are not noisy*, and the negation of *He has enough money* is *He has not enough money*. More examples:

- (17) I have *not* told the students.
- (18) You *mustn't* go to work today.
- (19) Peter *cannot* swim.

If an operator is not present in a positive sentence, it can be made by 'creating' the auxiliary *do* as an operator. This is referred to as the *do-construction* or *do-support*. E.g. (20) They like to watch TV. They do not (don't) like to watch TV.

In addition, absolute negator *never* can also be used to negate verbs and made the whole sentence negated, which is referred to as General negation as well, e.g.

- (21) I will *never* go to visit him.

*Special Negation* is contained in sentences that one constituent (not necessarily a clause element) is negated. The negation may be accomplished either by using a negative word such as *no* or by negating a word or phrase except the verbs. So Special Negation is more complicated than General Negation not only in formation but also in meanings:

- a. Special Negation with general negator *not*.

The negative word *not* can be used with almost any word or word group in a clause to achieve Special Negation, with a view to being more forceful, careful, polite or hesitant. For example, it can be put to use with nouns, adjectives, adverbs, prepositional phrase and quantifiers. E.g.

- (22) The policeman told the boys *not to* play with fire.

- b. Special Negation with absolute negator *never*. E.g.

- (23) He warned the children *never to* play with fire.

- c. Special Negation with *no* and *no*-words:

- (24) I have *no* time to chat with you now.

- (25) I saw *nobody* in the street.

d. Special Negation with prefixes *un-*, *in-*, *dis-* *non-* and suffixes, such as *-less* etc before or behind the negated words:

- (26) It is *impossible* for you to finish the task in two days.

*Negation in forms and in meaning* is the general and most common way of making a negative state in English. On basis of the semantic meanings and functions that negators perform in different contexts, there are full negation, partial negation transferred negation and so on:

a. Full Negation signifies total no-existence of men, matter, time, place, and so on. In most cases, the negation is constituted by using absolute negative words or other synonymous expressions:

- (27) *Neither* of them can swim.
- (28) He was *no way* responsible for that accident.
- (29) A dog *cannot* fly.

b. Partial Negation negates a part of the whole. Therefore, when it is used together with pronouns, adjectives, adverbs, numerals that carry meaning of universal like *All*, *Every*, and *Both*; adverbs like *Always*, *Often*, *Quite*, and *Entirely*, not usually does not result in absolute negation but partial affirmation and partial negation. E.g.

- (30) Not many of us will go there tomorrow.
- (31) Money is not everything.
- (33) All is *not* gold that glitters.

c. Transferred Negation: This form of negation is particularly common in informal style. It is the transfer of the

negative from a subordinate clause (generally a *that* clause) when semantically it belongs to the matrix clause. (Quirk, 1985)

(34) I *don't think* it's a good idea. (I think it *isn't* a good idea)

(35) I *don't believe* I've met you before. (I believe I *haven't* met you before.)

*Negation in form but not in meaning* mainly refers to double negation, which is constructed when *no*, *not* and *so on* are used together with other words expressing negative meaning. E.g.

(36) *Nobody* has *nothing* to eat. = Everyone has something to eat.

(37) *No* man is *without* enemy. = Everyone has enemy.

Besides. There are some other patterns negative in form but not in meaning:

(38) He *didn't* speak any word *until* he saw his mother. (Not...until)

(39) He likes *not only* Chinese *but also* English. (Not only...but also)

*Negation in meaning but not in forms* is called by some grammarians *Indirect Negation or Implied Negation*. (Quirk, 1985). There are dozens of English words and phrases, though do not look like negative words in forms, are negative in meaning and are widely applied. If we ignore this fact, we would not be able to comprehend negative statement adequately, whether from Chinese to English or vice versa. So the original (either Chinese or English) must be studied carefully to grasp its dialectical approach to acquire an accurate comprehension; also it is of vital importance to see how the thought of original can be best rendered into idiomatic English.

Thus we know that implied negation is one branch of negation, which refers to those sentences with negative meaning but in affirmative form from semantic point of view.

### III. TYPES OF IMPLIED NEGATION IN WORDS AND STRUCTURE

As for the vocabulary and sentence structures, it is impossible for me to cover all in English. Therefore, I will mainly deal with those that are frequently discussed by grammarian and those regularly used in English. All words and structures analyzed in next chapter are derived from various grammar books related to this topic.

#### **Classification of Words with Implied Negative meaning**

There are a large number of words with negative meanings (Klima, 1964). On the basis of their attribute, they can be divided into the following groups:

##### **1. Noun or noun phrase with negative meaning.**

These kinds of nouns include: *failure, lack, shortage, refusal, negation, ignorance, absence, reluctance, neglect loss, denial and exclusion*. Besides, when some noun is combined with preposition *from*, it also can imply negative meaning, such as *freedom from, deviation from, prevention from, protection from and departure from*. E.g.

(1) #8 \*\*\*\* FAILURE \*\*\*\*<4790 0066IM96071965 Success is important because of the *failure* of the previous attempt to adopt an HNS Convention. >

(2) #11 \*\*\*\* LACK \*\*\*\*<1614 0058FR92011318 One factor is the *lack* of physical breaking facilities, suitable yards and downstream logistics to handle the scrap materials. >

(3) #4 \*\*\*\* SHORTAGE \*\*\*\*<1520 0058FR92011045 Towards year-end growing cautiousness was again experienced, due to low economic activity and uncertain prospects, *shortage of* finance and lack of long-term employment, but not without hopes of the economic locomotives getting the steam up in 1992. ...>.

(4) #1512 \*\*\*\* FROM \*\*\*\*<14133 0122NR89100145 For *freedom from* vibration the propeller must turn in a smooth flow of water. >

(5) #1 \*\*\*\* IGNORANCE \*\*\*\*<13240 0120sw96030533 Nautical professionals should be competent to ensure that no ship is put at risk through *ignorance* or inadequate training. >

##### **2. Verbs of negative meaning.**

There are four kinds of verbs of negative meaning. First type consists of words like *fail, miss, escape, defy, baffle, resist, decline, negate, negative, doubt, wonder, lack, grudge, spare, neglect, cease, exclude, ignore, loathe, overlook, deny, and forbid*. These words can make a sentence negative in meaning. Negation in this case is called *inherent negation*. (Zeng, 1993)

(1) #13 \*\*\*\* FAIL \*\*\*\*<22564 0151PH95121088 Directors can be personally liable if they *fail* to exercise the skill and expertise that may reasonably be expected of someone in their position, having regard to their capabilities and experience. >

(2) #1 \*\*\*\* MISSED \*\*\*\*<4172 0064SM96041486 Unfortunately, she *missed* her opportunity to become the eyes of the Grand Fleet, but the principle if aircraft at sea was now firmly established and moves were afoot to commission more aircraft carriers. >

(3) #1 \*\*\*\*\*SPARED \*\*\*\*<#13 B01 0290 Fortunately it *spared* us from the usual spate of silly resolutions which in the past have made Georgia look like anything but "the empire state of the South". >

(4) #2 \*\*\*\* RESIST \*\*\*\*<21405 0150HS96033323 He said that some Justice Act 1993 *forbids* a manipulation of price-sensitive information, which has not been made public, for personal advantage. >

Second type refers to verbs such as *intend, mean, plan, hope, and think*. When these verbs are used in past perfective aspect, they can imply negative meaning. E.g.

(1) I *had expected* that things would turn out like this. (Actually, things didn't turn out like this)

(2) *I had planned* to go abroad. (In fact, I didn't go)

The third type of words involves those that can convey negative meaning when they are combined with *from*, such as *refrain\excuse\save\persuade\protect\prevent\keep\free ...from*. E.g.

(1) #2160 \*\*\*\*\*<22611 0151PH95121216 A Policy might be that Board members and employees should *refrain from* involving themselves in situations which bring them into a conflict of interest with the corporation. >

(2) #1192 \*\*\*\*\*<10944 0094nm95040131 We are grateful to those who saved them *from* the breakers yards - a tribute to their builders and the men who served in them both in war and peace. >

The fourth type comprises verb phrases such as *give up, lose sight of, shut one's eye to, keep off, keep out, turn a deaf ear to and keep...dark*. E.g.

(1) #3 \*\*\*\*\* GIVEN UP \*\*\*\*\*<24197 0154MO96100964 In some cases, such as for whales and dolphins, also for insects generally, despite our continuing efforts we have been unable to find replacement correspondents for those that have *given up* doing this for us. >

(2) #1 \*\*\*\*\* LOST SIGHT OF \*\*\*\*\*<26954 0157BF95120438 I have *lost sight of* the survival vessel. >

There are other expressions with the same function.

(1) Please *keep* the news *dark*. (Don't tell others the news)

Moreover, words like *lose, forget, and shun* can also indicate negation sometimes. For example,

(1) She *forgot* to mail the letter. (...didn't mail the letter)

(2) He just *lost* the train. (...didn't catch the train)

3) The lazy man *shunned* work. (...didn't work.)

### 3. Adjectives

The adjectives we often come across are, *far from, clear of/from, free from/of, short of, devoid of, absent (from), different from, safe from, a far cry from, alien to, foreign to, Greek to, ignorant, reluctant (to), blind to, dead to, deficient (in), exclusive of, loath, far and few between, and all thumbs*. E.g.

(1) #10 \*\*\*\*\* FAR FROM \*\*\*\*\*<30061 0176NA94000149 0 Even if berthed alongside or if special moorings are used a ship may be *far from* secure. >

(2) #1 \*\*\*\*\* CLEAR OF \*\*\*\*\*<5326 0067MC94060798 Stand *clear of* the ropes as they run. >

(3) #7 \*\*\*\*\* FREE FROM \*\*\*\*\*<24635 0155ME92010901 Food handlers should be *free from* communicable diseases. >

(4) #1 \*\*\*\*\* DEFICIENT \*\*\*\*\*<27413 0158AC91020885 Where the parties have limited liability and allocated risk by agreement, tort remedies should not be allowed to supersede the parties prior understanding of the consequences of *deficient* performance. >

*Alike* sometimes can also be used to express negative meaning. E.g.

(5) All music is *alike* to me. (I don't understand music at all.)

### 4. Adverb

There are two types of adverbs of negative meaning. First type is defined as Quasi negatives such as *hardly, seldom, rarely, scarcely, few and little*. E.g.

(1) #3 \*\*\*\*\* HARDLY \*\*\*\*\*<5403 0067MC94060898 Sorry, I can *hardly* accept the course you advised me steer. >

(2) #3 \*\*\*\*\* RARELY \*\*\*\*\*<4212 0065CI95110108 Details of her movements were *rarely* reported and it must be assumed that voyages were largely confined to her home waters. >

(3) #164 \*\*\*\*\* FEW \*\*\*\*\*<24749 0155ME92011174 Exercise and boredom *Very few* seamen aboard ship exercise hard enough to cause them to become breathless or to increase the rate of their heart-beat. >

(4) #156 \*\*\*\*\* LITTLE \*\*\*\*\*<30091 0176NA94000282 It should be borne in mind, however, that *very little* warning of the approach of an intense storm of small diameter may be expected. >

These sentences are usually classified in syntactic negation not lexical one, because co-occurrence tests show that they tend to function like explicit negatives. Therefore, these words will be excluded in the following corpus analysis.

Second type only refers to those individual adverbs or adverbial phrases functioned as adverb such as *vainly, in vain, otherwise, the least, least of all the last, the limit and out of the question*

(5) #4948 \*\*\*\*\* <0067MC94060133 " I informed the foreman to stop using hooks, but *in vain*.>

(6) #9 \*\*\*\*\* THE LAST \*\*\*\*\*<#602 A07 194 "A strike's *the last* thing I want. >

(7) #1 \*\*\*\*\* OUT OF THE QUESTION \*\*\*\*\*<7576 0073NN89020378 This made trawling *out of the question* in the areas the Icebergs grounded. >

### 5. Preposition

Some preposition are named negative preposition, such as *away from, out of, and off*. E.g.

(1) Ann drove *away from* home. ~Ann is *away from* home.

(2) The book fell *off* the shelf. ~The book is *off* the shelf.

(3) Tom got *out of* the water. ~Tom is *out of* water.

The negative prepositions may be defined simply by adding the word *not* to the corresponding positive preposition: away from (not *at*), off (not *on*), out of (not *in*). (Quirk, 1985)

There are other preposition that possess negative meaning in certain occasion, such as *past, above, without, beyond, instead of, against, below, beside, but, except, from, under, within(not beyond), and beneath(not worthy of)*. E.g.

(4) #197 \*\*\*\* OFF \*\*\*\*<14468 019RT85B0232 This compulsory piece of equipment monitors the international distress channel automatically while the radio officer is *off* watch.>

(5) #23 \*\*\*\* OUT OF \*\*\*\*<4451 004DE95B4163 Fuel settling-tanks, being generally placed *out of* sight, high up in the engine-room, are apt to escape attention until a ship has put to sea and begins to roll. >

(6)#8 \*\*\*\* BEYOND \*\*\*\*<4978 0067MC94060370 I assure you it was *beyond* my control. >

(7) #290 \*\*\*\* AGAINST \*\*\*\*<30127 0177NA94000066 LIABILITIES The Third parties may direct a claim *against* the parties involved in the charter agreement. >

Furthermore, some implied negation can be achieved by the combination of preposition and other words, such as at one's wit's end, at the end of one's rope, at the end of one's row at variance with; but for; in default of, in place of, in the dark about, in spite of, in vain, in lieu of, in defect of; out of one's range, out of order, out of plumb, out of practice, out of shape, out of reason, out of sight, out of square, out of sorts, out of hearing, out of common, out of the corners of one's eye, out of ordinary, out of the picture, out of touch with, out of whack, out of fashion, out of politeness, out of one's element, and out of place,.

*But for* is not used in the sense of exception, but rather that of negative condition:

(8) *But for* Gordan, we would have lost the match. (if it hadn't been for Gordan....; if Gordan hadn't played as he did...)

#### 6. Conjunction (mainly subordinators)

Words in this type include *unless* (if not), *lest*, *for fear* (in order that...should not occur), *in case* (in order not), and *before* (rather than).

*Unless* introduces a negative condition; the *unless*-clause is usually roughly similar to a negative *if*-clause. With *unless* there is a greater focus on the conditions as an exception (only if...not). There are therefore contexts in which the *unless*-clause cannot occur:

I'll feel much happier if he doesn't come with us.

\*I'll feel much happier *unless* he comes with us.

Here are more examples:

(1) #86 \*\*\*\* UNLESS \*\*\*\*<28659 0165NA94000128 Geographical positions refer to the largest scale chart "-*unless* otherwise stated. >

Negative purpose is expressed in the infinitive clauses by *so as not to* and *in order not to*:

(2) Turn the volume down *so as not to* wake the baby.

(3) I ignored the remark *in order not to* prolong the dispute.

While in finite clauses it is expressed by *in order that*...not, but also by specific subordinators: *for fear* (*that*)(formal), *in case* (BrE), or the very formal *lest*:

(4) They left early *for fear* (*that*) they would meet him.

(5) They evacuated the building *in case* the wall collapsed.

*For fear* (*that*) conveys also the meaning of apprehension and requires a modal auxiliary, but *in case* need not have a modal auxiliary. In (5) there is an implicit negative purpose 'in order that, if the wall collapsed, they would not be affected.' Archaic *lest* tends to have a modal auxiliary or (esp in AmE) the present subjunctive:

(6) Earthen mounds were being hastily erected *lest* an attack *should be/be* (esp AmE) launched that night.

*Before* marks the time before which the situation in the matrix clause applies, but the matrix clause need not be durative: "I started my meal before Adam arrived." But *before*-clauses are not always true. Nonfactual *before*-clauses may imply preference, as in (7); or implausibility as in (8): He'll beg for food *before* he'll ask his parents' for money. (He won't ask his parents for money; he would rather beg for food than ask his parents for money) (7)

Pigs will fly *before* he'll become a mathematician. (He will never become a mathematician) (8)

Or the situation in the matrix clause may prevent that in the *before*-clause from taking place:

He died *before* writing a will.

(9) Sally stopped Ted *before* he had a chance to reply. (Ted didn't have a chance to reply)

Some *before*-clause may be interpreted as either factual or nonfactual:

(10) You still have time *before* you have any need to register. (You don't have any need to register now)

(11) I sent a donation *before* I was asked to.

The implication can be paraphrased by the negative conditional clause: Give me some money. If you don't give me some money, I'll shoot.

## IV. DISTRIBUTION AND FREQUENCY OF SENTENCES WITH IMPLIED NEGATION

### A. Distribution and Frequency of Negative Words

TABLE 1  
NEGATIVE WORDS

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	109.008 <sup>a</sup>	25	.000
Likelihood Ratio	119.147	25	.000
N of Valid Cases	5070		

a. 4 cells (11.1%) have expected count less than 5. The minimum expected count is 2.63.

ROW \* COL Crosstabulation

Count		COL						Total
		Browna	Brownb	Loba	MEE	Nec	T4	
ROW	a	14	9	16	67	101	15	222
	ad	2	3	1	34	17		57
	conj	7	4	14	86	97	7	215
	n	16	30	24	222	326	51	669
	prep	191	126	181	893	1189	180	2760
	v	92	62	110	318	520	45	1147
Total		322	234	346	1620	2250	298	5070

TABLE 2  
PERCENTAGE OF SENTENCES WITH NEGATIVE WORDS

Corpus	Browna	Brownb	Loba	Mee	Nec	T4
NW	322	234	346	1620	2250	298
Total	4156	2612	4176	20310	30330	5084
Percentage	0.077478	0.089587	0.082854	0.079764	0.074184	0.058615

NW: sentences with negative words

TABLE3  
PERCENTAGES OF NOUN, PREP, AND VERB

Corpus	Browna	Brownb	Loba	Mee	Nec	T4
Npercentage	0.04968	0.1282	0.0693	0.1137	0.1448	0.1711
Ppercentage	0.5931	0.5384	0.5231	0.5512	0.5284	0.6040
Vpercentage	0.2857	0.2649	0.3179	0.1969	0.2311	0.1510

Null hypothesis: there is no significant difference between those sentences with negative words.

From table 1,  $\chi^2=109.008$ . The critical value for the five percent and 25 df is 37.65.

Since  $\chi^2>37.65$ , we can thus claim a significant difference in the distribution of sentences with negative words in the six corpora. By considering the observed and expected frequencies in the contingency table, it is possible to show that there are more sentences with negative prepositions, less sentences with negative adverbs than expected for an even distribution. Also, adjectives, conjunctions are less used than expected. Prepositions are most frequently utilized, verbs are the second and nouns the third. T4 has fewer sentences with negative words than expected. Brownb has the highest proportion of sentences with negative words, while T4 has the lowest. However, the percentage of negative prepositions in T4, 0.6040, is much higher than that of the others; and the same is true for percentage of nouns, 0.1711. While in other corpora, negative verbs are very noticeable, and the percentage is much higher than that of the nouns. But in T4, it is less than nouns. Moreover, percentage of verbs in Loba, Browna and Brownb (all belonging to journalistic writing) is higher than others. Even though sentences in Nec are largest in number, its proportion is in the middle. As for the application of preposition, *out of*, *away from*, *without*, *instead of*, *against* and *off* are most frequently used than others. While others such as *above*, *below*, *beneath*, *and past* are rarely found. *From*, combined with certain nouns and verbs are also widely employed. Conjunction such as *unless* is frequently used as well. As for adjectives, phrases like *a far cry from*, *alien to*, *foreign to*, *Greek to* and *reluctant to* are scarcely applied, either. Besides, adverbs like *otherwise* is often used, while *vainly*, *in vain* and *the last/least/limit* are more difficult to find than expected. In all, we can conclude that negative prepositions, nouns and verbs are frequently employed in formal language, for they can make the statement concise and terse.

TABLE 4  
NEGATIVE WORDS VS CORPUS

RAW \* COL Crosstabulation

Count		COL						Total
		Browna	Brownb	Loba	Mee	Nec	T4	
RAW	NW	322	234	346	1620	2250	298	5070
	OTHERS	3834	2378	3830	18690	28080	4786	61598
Total		4156	2612	4176	20310	30330	5084	66668

Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	37.167 <sup>a</sup>	5	.000
Likelihood Ratio	38.455	5	.000
N of Valid Cases	66668		

a. 0 cells (.0%) have expected count less than 5. The minimum expected count is 198.64.

As the table shows,  $\chi^2=37.167$ . The critical value of  $\chi^2$  at five percent level or 5df is 11.07. Therefore, there is significant difference in the distribution of this category. According to Table 2, Brown<sub>a</sub> has a high proportion of sentences with negative words, but the total number of that type of sentences is the smallest than the others, quite contrary to the observed. However, even the number of sentences in Nec and Mee is much larger than that of the others, its proportion is not the same, owing to their large corpus. Meanwhile, even though the number of sentences in T4 is larger than that of Brown<sub>b</sub>, its proportion is the lowest different from what we see. In addition, the total number of sentences with negative words is very respectable, so we should pay more attention to these types of words.

### B. Analysis on the Discovery

The null hypothesis is that: there is no significant difference in the distribution of negative sentences in the six corpora. However, from the above data, we notice that all the alternative hypotheses can be accepted. Thus we can reject the null hypothesis: there is significant difference in the distribution of negative sentences in the six corpora.

Moreover, the above data indicate that implied negation in vocabulary and structure is more frequently employed in journalistic writing (as in Loba, Brown<sub>a</sub> and Brown<sub>b</sub>), which, to a great extent, is influenced by the specific style of it. As is known, journalistic English, generally represented by news reporting, aims to present to a mass audience of different educational levels news in the magazine or newspaper in simple, easy-to-understand language. Owing to the limitation of space and pressure for time on the part of reader, reporters have to compress their information while making it clear and interesting. The need to be compact, clear and interesting poses particular demand on the graphological design of headlines; on the peculiar arrangement of event, and on the clarity, directness and vividness of language. (Qin, 1987)

At the level of vocabulary, journalistic writing exhibits some striking characteristics. The general trend is to use simple, accurate and vivid word so as to achieve various sentence patterns.

Negative words and structures meet the demand to some degree when negation is involved. If the reporter applies too many no-structures in his writing, his article might be monotonous and will decrease vividness and interest. On the contrary, if those negative words and structures are utilized properly, the compactness and expressiveness will be strengthened. Thus, it is the demand of journalistic writing that prompt the application of more negative words and structure than those in other corpora, which, too, explains why the percentages of verbs in the three journalistic corpora are much higher than those of others.

Meanwhile, it is the same cause for the less distribution of negative words in T4 corpus. EST writing aims for a plain, clear, concise and accurate style and structure. EST sentences are logical in their meaning and their relationship to each other. Two main features of EST in style and structure are conciseness and conditions (restrictive). Conciseness is one of the most essential features of EST in style and structure. The restriction reflects another important features of EST in style and structure. It makes the meaning more accurate (Dai, weihua, 1984). Obviously, these two features emphasize on concision and precision instead of the vividness or variation of sentence patterns, let alone attraction of its content. That is, EST writing pays no attention to how to make the language interesting or how vivid the language is. Accordingly, it will apply less implied negatives, as direct negation is enough to make the point clear. Nevertheless, owing to its conciseness, more prepositional phrase and nominalization are intended to be employed, which clarifies why negative prepositions and nouns are exploited more than other attributes in T4 corpus.

To sum up, the choice of application of negative words or structure is subject to the style of the relevant essay.

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# Identity Discordianism under the Trepidation and Duplicity of Human Essence: A Trenchant Investigation on Luigi Pirandello's *War*

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**Abstract**—This study makes an attempt to demystify the sense of great tragedy of disoriented identity of human essence in Luigi Pirandello's *war* that seems to be a high significant issue in theme of the story which may have been notified by few researchers. This paper is destined to analyze the agonized human soul with his sanctimonious faiths, under the sense of interminable intimidation, fumbling in the oozy vortex of wars to erect his susceptible identity which seems to have had irretrievable repercussions for him. It exposes the rotten identity in extremism, ethnocentrism, quasi-pacifism, triumphalism and despotism. Ultimately, the study will investigate subversive policies and also have a glance on the sense of undecidability and none-belonging of human soul and the chaotic mind covered with a black shadow of quandary which struggles to discover his nebulous destiny in hazardously devastating wars. Indeed, this study makes an effort to elucidate that the occult human essence is enchained by the imposed socio-mental pressures and cannot have a steady reflection of garbled human demeanor.

**Index Terms**—identity, war, tortured soul, Pirandello, undecideability

## I. INTRODUCTION

Pirandello deemed human identity as an obliterated entity. The enmeshed human in the labyrinth of diverse notions and mental perplexities seem to have no logical and realistic awareness of the concept of identity. The identity which is encaged by the human inherent apprehension and his multi-faced essence makes him seek his specious utopia in dystopian wars by trampling socio-ethical norms. Fearon (1999, p.1) claimed, "despite this vastly increased and broad-ranging interest in identity, the concept itself remains something of an enigma." As a matter of fact, trite occurrences can sometimes have deep and tremendous impact on vulnerable human soul.

20<sup>th</sup> and 21<sup>st</sup> Centuries have been the Ages of domination of egocentrism and flourishing insatiable enthusiasm of the authorities, latent under the counterfeit mask of sham realism, threatening the spiritually destroyed human essence. As Bloomfield and Reilly (1998, p. 9) observed:

A striking characteristic of such internal conflict is its sheer persistence. And this arises because origins often lie in deep-seated issue of identity. In this respect, the term ethnic conflict is often invoked. Ethnicity is a broad concept, covering a multiplicity of elements: race, culture, religion, heritage, history, language, and so on. But at bottom, these are all identity issues. What they fuel is termed identity-related conflict-in short, conflict over any concept around which a community of people focuses its fundamental identity and sense of itself as a group, and over which it chooses or feels compelled, to resort to violent means to protect that identity under threat.

Therefore, this study strives to delineate the phobia-stricken being that seems to have no cognition of the quasi-meaningless terms like altruism and enlightenment, and in a tragic hallucination just pretends to be aware of the authentic meaning of human rights. The human being seems to be just the reincarnation of primordial wrapped-minded man. Actually, the stagnant rabid mind of negligent man swells the inordinate pressure of some foisted expressions, which are not tenable anymore for the nascent mentality of modern mass. To be honest, macabre propensity of irremediable intensifying motions is emanated from moribund strategies of tyrants, which may trigger looming the raging agitation of ill-fated society and obfuscated soul that can be known as the center of cumulative problems of the modern world. It is a morass, which may foment the oppressed society to breakout vitriolic pandemonium; the society which may undergo even a poignant metamorphosis that can exacerbate the unmitigated umbrage of human soul.

## II. IDENTITY DISCORDIANISM SALIENCE

If we introspect the human essence, we may come to know that identity is a blind and elusive term, which may have been ill-rooted in human infected mind. The perplexity of human mind makes us bring up fluid interpretations about this inextricable and numerous multi-viewed term, which sometimes seems to go beyond the human capacities. The

human that is compelled to carry this burdensome trait under a relentlessly pessimistic insight with a frightening intensity, struggles to conceptualize his eroded identity in an invidious morass. Indeed, the contemporary human is facing preordained wars and the latent anti-social context. The whimpering being strives to preserve his tantalized ego by improper implementations of pseudo-meditative actions. Feeley and Rubin (2008, p. 7) delineate the significance of lost identity of the discombobulated soul in the modern time: "identity is one of modernity's most contested concept, not only on its own terms, but because it implicates our theories of the self". A meta-analysis of ambiguous human demeanor divulges the depersonalized personality of exploited human essence under the contaminated approaches of policy makers that formulate the society motions. The demagogues with ever-changing tactics find mutilating wars as safe havens and under none-integrative notions just feign to seek holism and integration. They struggle to indoctrinate their gloomy ideologies in others with the bloody [modern hackneyed terms] commitment and denunciation of the wars that are initiated by their officiously life threatening actions. As a matter of fact, if one infiltrates into the sub layers of human essence, one will find human being as a stoic pre-constructed mass, which is already synchronized to obey the pre-planned schemes and malignant established concepts that are embedded in human mind. The human impoverished perception of life under the invariant belligerency is woven within human inner demon without ruminating on pernicious ramifications of his delusional aims. Therefore; the modern man can be known as the epitome of an entity with lots of unmet expectations that aimlessly wanders in the stampede of dismayed world. Man seems to be the slave of the rotten thoughts of the authorities, who dramatize the soulless beings in an invidious ending drama. Curtis (2006) tries to imply this matter: "on face value this fragment proposes that war is the determining principle in the flux of the cosmos; that life is in essence a conflictual struggle". (p.1)

Pirandello in the story tries to protrude the malignant impacts of wars on subservient people's lives, specially the bourgeoisie, by dramatizing the real life and utilizing quasi-visionary characters. The schizophrenic characters in a compartment, as if are entangled in a limbo, oscillating between reality and chimerical world, feeling a fatal shadow of melancholy and skepticism like the sword of Damocles hanging over their flimsy lives. The bummed characters as though are being burned and sizzling in the furnace of catastrophic wars. As a matter of fact, the intensified incredulity to those, who believe in inherent mechanism of waging wars, can be inferred in the inalienable trepidation of the characters in Pirandello's *war*. Indeed, the author struggles to depict a portrait of the escapist man under the perpetual tension and unfathomable demoralization of prostrated soul that wishes to fortify the devaluated values in imperialism. The human being that delves into inauthentic life style to reach equanimity and polemic opaque facticity by deracinating his mental and spiritual world. The following extract from the short story gives the expository ambience of the war-stricken families:

At dawn, in a stuffy and smoky second-class carriage in which five people had already spent the night, a bulky woman in deep mourning was hoisted in – almost like a shapeless bundle. Behind her puffing and moaning, followed her husband – a tiny man, thin and weakly, his face death-white, his eyes small and bright and looking shy and uneasy.

And he felt it his duty to explain to his traveling companions that the poor woman was to be pitied, for the war was taking away from her only son...

"You should thank God that your son is only leaving now for the front. Mine had been sent there the first day of the war. He has already come back twice wounded and been sent back again to the front." (Nowruzzi and Brjandi, 2011, pp. 68-9)

The above words show the apprehensive and melancholic hearts of the families, who find themselves stuck in a world of appreciation and depreciation of social responsibility by the name of *War*. Hooti (2012, p. 4308) eruditely opines:

Pirandello in his *War* gives a vivid picture of the worries of war. He tries to divulge the hidden agony of the parents, whose sons are either shedding blood or getting killed in the battle fields. They know the futility of the war. Indeed, they are well aware of the politicized connotations of the fossilized normative terms like martyrdom, honor, heroism and patriotism, but still keep quiet and try to console themselves with these honey coated phrases.

Therefore, moronism and abrogated self-actualization of modern man give rise to unconsciousness-growth that bring about uncovering painful facets of transpersonal agonies; actually, the imbalanced multi-slit and ideological sentence of power holders with their permanent shibboleth of reconciliation under a strangulating flux have caused a disastrous upheaval, which is actually a falsified turn-based strategy that is followed by all demagogues. As a matter of fact, the concept value is an oppressed term which may have been treacherously misinterpreted by the inhumane perspective of human immanence. The term, which brings a sense of belongingness and the cognizance of a paramount existential perception may result in self-actualization of harassed plebeian and the classless society that are toppled by the core-centeredness and disequilibrium of modern human soul. As Stewart (2009, p.14) asserts: "a public policy constructs a sense of reality by orienting both observers and participants in a kind of emotional space. The values it represents are the mechanisms of this orientation-sometimes explicit, sometimes implicit". Considering multi nature of the pestilential modernity of modern world, there may be a harassing feeling, where there is a vestige of [distorted] values due to the inverted rationalism of fanatic soul; there may be murky signs of filthy policies and prevailing violence. Indeed, modern man somehow believes in militarized values; that is, a concatenated network of binary values that may be the central expedient of latent reprehensible facets of anti-communal oppression, demoralized rectitude and spiritual duress, which have embroiled the relentless soul.

So it can be construed that human understanding is grounded based on a baseless originality in a bewilderingly diverse single path that results in imperceptible decadence. Truthfully, Pirandello utilized a train to show the world which is heading to a predetermined destination that ultimately leads to extermination. The path that under the oppressive silence of fluster, may end in schism within subjugated society and war – maximizer policies which are on the foundation of imperfection of fatal flaws; on the other hand, some self-ordained monarchies with a dreadful intensity believe in probabilism and urge that the cosmos has to be changed by initiating destructive wars to reach the specious meliorism. Therefore, in modern times enlightenment, the multi-defined term, seems to pave the way for the dominant class with lots of aporetic variety of pseudo-enlightened notions, just with fervent desires strive to modernize slavery, the mental bondage, a systemized never ending slavery, which has spawned titanism and cross-social vanquishment. Indeed, dusty thoughts of mankind have been buried by disunity and hollowness of human essence, the man that seems to be entangled in a stalemate and lacks an intellectual perception of coherent identification and in status quo can expect the unexpected situation manumit his unconscious conscience. Truthfully, toppled society under the juggernaut of immutable egocentrism, in a harrowing exertion, flounders to unleash its indeterminate destiny which is trampled by harassingly imprudent approaches and languorous mentality of the authorities. As Gat (1989, p.139) avers:

One of the most striking impressions in reading the works of the military thinkers of the Enlightenment is the all-embracing uniformity of their theoretical outlook. They differed, to be sure, in many other respects; for example, their spheres of interest varied and underwent considerable change, and they were deeply divided on their annual military outlook and ideas. However, they did not differ in the fundamentals of their guiding objective-the search for a general theory of war-which derived from their intellectual environment.

It may seem that Pirandello wishes to presage that man is drowning into the mire of the disparaging wars. The enervated mankind that alleges to fight terrorism by doing terrorist actions, the manner that does not correspond with reality, and as if he is watching the world by a blindfold. In modern times, based on a reversed democratic accountability, the abused term '*value*' has been construed as war waging, carnage, ethnocentrism and fanaticism. Hence, as we observe in our time, the countries which have the most murderous tendencies are the most valued ones. The countries with numerous reprehensible positions are the political actors of rancid nations. Hurrell (2007, p. 165) gives a very pertinent opinion on the falsified justification of initiating wars: "the urgency of debates about collective security comes, on the one side, from the many different forms of wars, violence and insecurity. But it also comes from the continued rationality of war and of the utility of coercive force." Therefore, the pre-organized concepts like chauvinism and dignity, despite their ostentatious facets, seem to be nilpotent expression. The falsified dignity which is under threat and must be scrupulously used, the term that is under the menace of deceptive transcendence and abnormal-consistent outlooks and is used as a perpetual expedient to stir up ordinary people, upholding authorities' maliciously established aims. Actually, they struggle to penetrate the blind spots of susceptible human spirituality by covering on their sanctimonious mindfulness. On the other hand, considering the degrees of humanity and multiple complexity of modern human excruciated and pauperized essence, people are role-playing to scour the dreadful possible epiphenomena of egocentrism under the fictitious disguise of dignity and chauvinism:

...Isn't it natural that it should be so, as after all they must look upon us as upon old boys who cannot move anymore and must stay at home? If country exists, if country is a natural necessity, like bread, of which each of us must eat in order not to die of hunger, somebody must go to defend it. (Nowruzi and Birjandi, 2011, p.71)

Hooti (2012, p. 4308-9) further aptly avers:

The world political figures know the weak points of the common people. They know that an emotionally fabricated pertinent propaganda with the predetermined brainwashed expressions, founded circumstantially calculated and in synchrony with the need of time, can easily make an aficionado army out of them to secure their privileged sociopolitical authority.

### III. SUBVERSIVE POLICIES: VAGUE FUTURE

Authorities' malism like guidelines have escalated the vulnerability of their fire-powered positions to imminent fiasco. On the other hand, infra-structural exasperation to quasi-glorifying wars may trigger to collapse the universal totalitarianism and may lead to a range of irretrievable aftermath. Actually, the sense of survivability, which is one of the consequences of self-awareness and spiritual renaissance of debilitated human soul can put an end to the illicit positions of the tyrants. In fact, the incomplete worldwide capacity of none-speculative decisions of decision makers to reach far-reaching targets can be the pivotal conflict of the perturbed world, the repressed world, which is covered by the murky veil of insularity of the autocrats that have brought forth an inexpressible suffer of mass panic for the human that is lost in the abyss world of annihilation. Hence, the most terrifying foe of mankind is human itself, that fumbles to discover the answers of unanswered questions by doing irreducibly objectionable actions, which impel him to make a future that may trend in horrendous sustenance of subversive uniformity and may ultimately lead to concluding awesomely uncompromising treaties and war-preaching nations, and deceitfully imposing these nations to the classless class of society. Thus, predilection of bellicose modern secular nation which is equipped with militarized approaches and centralized concepts of dehumanization are the self-evident repercussions of vague worries of the modern mass that egotistical war-based decisions are regarded as optimal strategy. So, the misery-drenched society is observing the

prescient tangible fragility of encroaching nations, which can be construed as the fundamental reason of epistemological bankruptcy of the authorities. Wallensteen (2002, p. 13) believes: "there are frequent statements on the inevitability of conflict, violence and war. Indeed, finding solutions may often be difficult. This difficulty not only arises out of political constraints, but can also be due to a lack of insight or imagination." In fact, man seems to be in an indefensible terror of painful inability to control the terrifying repercussions of the irrational and ruling iconoclastic creeds of the authorities that have shrouded modern society, which is cordoned by the nemesis of misery.

As a matter of fact, modern world is under the threat of weapons of mass destruction, and no matter who initiates the violence, today's world is being jeopardized by the vexations ghost of imminent wars. More obviously, modern world is the victim of distorted values, delinquency and misapprehension of the demagogues that ruthlessly continue their liberty –spoiling and war preaching actions. From the vantage point of routinizing wars in modern society, it is flagrant that international expansion of recalcitrance is to consolidate the competitive transcendence, which is one of the crucial and determinant outcomes of spiritual deficiency and simulated supremacy of war platters, which can be embodied as a undeniable failure of subversive pacifism and incongruousness of determinant perspectives of those, who wish to formulate not only our vulnerable world destiny but also the cosmos by making scandalously contradictory policies. As a matter of fact, man is suffering from ineluctably continuing conflicts and horribly tangible aftermath of the predicaments, which have put the world on the steep of imminent decadence.

Truthfully, one of the other pivotal numerous complexities that modern world is encountered with, is the recurrent debacle of disruptive solutions, which is intended to obviate the resilient problems and destructive dimensions of deliberative injustice toward society. With respect to the flagrant incompetent conduct of those maliciously reborn self-ordained autocracies that can be known as the epitome of contemporary slaveholders, a society may come across the emancipatory pressure of enslaved soul to achieve fallacious sublimity, that may be, as previously mentioned, one of the reasons that indicates the schism between a servile society and a destabilized predominant tyranny. Lipschutz (2000, p.1) beautifully explains this matter:

Political change and economic globalization enhance the position of some groups and classes and erode that of others. Liberalization and structural reform reduce the welfare role of the state and cast citizens out on their own. As the state loses interest in the well-being of its citizens, its citizens lose interest in the well-being of the state. They look elsewhere for sources of identity and focus for their loyalty.

#### IV. LATENT DEMENTIA UNDER THE TREACHEROUS SENSE OF UNDECIDABILITY

A great number of conceptual and epistemological books and articles may have been printed on the futuristic decidability of invincible man, which can be interpreted as an asymmetrical oxymoron with the ambiguity-shrouded mind of human being. The man seems to be the constellation of evanescent and undisciplined decisions, who has ambivalent vision toward even veritable phenomena that have brought him a torturous sense of paranoiac life. The preoccupied man in the slave-driven society under the malaise of non-liberal democracy, with emancipatory recalcitrance strives to maintain his quasi- invincibility and non-renewable destroyed spirituality. Considering the severity of immanent none-belonging of shackled soul and multiplicity of intractable problem-intensifying norms, under the expected abnormality and destructive dysfunctionality of suppressed identity, eternal utopianism of human soul can be interpreted as cryptic self-circumvention, that pejoratively seek serenity in unrealistic aspirations and fallacious decisions, which have propagated traumatic injuries and self-uncertainty for disoriented man. Holsti (1998, p.12) tries to specify that human deviant behavior is one of the reasons of disastrous wars, as he says "Academic researches, peace movements, and many politicians for quite understandable reasons have depicted war variously as a disease, as a catastrophe, as a crime, in brief, as a form of deviant behavior."

Pirandello gives a vivid picture of distressed people, where there is constantly a look into the tortured soul of flabbergasted being with a poignant vision, in which the characters of the story seem to suffer from consternation and struggle to exonerate themselves with prevaricated responses. Actually, the author strives to feature the demented mind of the uncertain man that under the pressure of multiple feelings, aimlessly wishes to fulfill his equivocated ambitions in wars. The focal point of this matter is where Pirandello wishes to depict a flagrant paradox of sanctimonious doctrines by juxtaposing hysterical characters that under anguish and terror of oscillation pretend to believe in self-sacrifice and also lackadaisically look at it as peculiar fact, as the following extract of the story shows:

"True...true...", sighted the embarrassed husband, "but suppose (of course we all hope it will never be your case) a father has two sons at the front and he loses one of the, there is still one left to console him... while..."

"Yes," answered the other, getting cross, "a son left to console him but a son left for whom he must survive, while in the case of the father of an only son if the son dies the father can die too and put an end to his distress.

Now at our age, the love of our Country is still great, of course, but stronger than it is the love for our children.

He shook his light fawn coat so as to show it; his livid lip over his missing teeth was trembling, his eyes were watery and motionless, and soon after he ended with a shrill laugh which might well have been a sob. (Nowruzi and Birjandi, 2011, pp. 70-2)

As a matter of fact, opponent conformity of human erratic behavior, under the terribly invigorated corruption of his creeds has brought forth a terrifying sense of discombobulation. The commotion which is being intensified by the nonconforming- based and conflict making decisions in the conflicting world that is one of the results of the

contradictions between the human concreted beliefs and his instable demeanor. Actually, a contradictory mendacity is governed on the world, which is defying serenity, and the man that is facing poignant dilemmas and maniacally prefers to make fluctuating decisions that threat his vulnerable identity.

#### V. CONCLUSION

Modern man has faced manifold dilemmas of discovering his invalidated vulnerable identity; the identity that apparently has lost its identity and is environed by ineluctable horrible ramifications of despotism and destructive decisions of the policy makers. Actually this study attempted not only to bring to light the flagrant fluster of the man that selects wars as a safe shelter to reawake his disoriented identity, but also to divulge the malignant impacts of the imprudent policies of the autocrats, that under macabre misapprehension drown the toppled society in dystopian morasses to reach their insidious delusional purposes. This paper strove to delineate that modern society is entangled by the contaminated approaches and rancid aims of the authorities that bring about escalation of the excruciating socio-spiritual agonies. In fact spiritually lacerated man under his depersonalized personality just pretends to be aware of the far-fetched sense of tranquility. In the modern world enlightenment is construed as being the slave of duplicitous bellicose thoughts of the authorities that wish to protect the devaluated values by having inhumane perspectives and initiating quasi-meliorative wars. In fact, human pauperized actualization of life and his mysterious demeanor provide a trenchant opportunity for the individuals to fulfill their life threatening notions by abusing charismatic expressions like dignity and chauvinism. Actually, power holders struggle to consolidate notoriously contradictory policies based on competitive nilpotent transcendence without regarding its ensuing dreadful possibilities, which may propagate schismatical notions in an oppressed society; the society which is destabilized by invariant injustice and shrouded with a terrifying ambiguity that impels it to reveal its unstable behavior.

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# Probe into the Blind Zones of Chinese EFL Students' Vocabulary Learning

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**Abstract**—This paper discovered the blind zones of English vocabulary learning by a series of surveys in a questionnaire. The survey involved hundreds of Chinese college learners in EFL and EL context. The findings of the research included that the avoidance of polysemants, positive words, phrasal verbs and collocations. The reasons for the avoidance were elaborated, namely, low-level motivation of learning a foreign language, inappropriate instructional strategies and information from EFL educators, and out-of-date learning materials. A number of pedagogical suggestions on how to teach vocabulary were provided.

**Index Terms**—vocabulary learning, EFL, blind zones

## I. INTRODUCTION

A questionnaire in regular national universities shows a revealing fact that a majority of college students attribute English learning to memorizing new words no matter whether they are generally thought as good or less aggressive English learners or not. Eventually both the teacher and the students devote much to vocabulary explanation and memorization of new words respectively in spite of college English reform widespread all over the country. However, individual students and even quite a few college English teachers have a less satisfactory or even not qualifying performance in a survey on the basic cognition and use of some positive words and phrases, while both of the two groups do better in some more difficult lexical units. This strange phenomenon may imply inappropriate teaching instructions by teachers and incorrigibly obstinate adoption of less effective or efficient vocabulary reciting method in learning the vocabulary of the target language. This paper aims to provide implication of the necessity of reforming the vocabulary education for college English teachers. A questionnaire survey gives evidence of Chinese EFL students' blind zones in vocabulary learning.

## II. SURVEY

The study aimed to gain a good understanding of regular college students' vocabulary learning so that weak points in vocabulary learning can be worked out. The questionnaires mainly compared among college students the use in positive words and less high frequency English words, which were to discover the blind zones among college students. These problems in vocabulary acquisition needed to be taken seriously and to be solved with speed.

### A. Method

#### 1. Subjects

Approximately 300 second- and third-year college students with different majors involved in the survey, among which 240 of them are non English majors and 60 are English major students. And the subjects are with different levels, technically third-year and fourth-year learners in Hebei United University, a top 10 higher institution in Hebei province, China. These subjects are from various regions around China, but an overwhelming majority of them began their English study at the age of 13 or so, that is to say, it has been at least over seven years (3 years in junior middle school and another 3 years in senior middle school and a couple of years in higher education) for them to learn English since their first contact with the foreign language.

#### 2. Instruments

There were two main instruments employed in the study. The first and often used one was a questionnaire on the current state of college students' vocabulary learning, in particular on the learning of positive words and phrases, which are supposed to be most frequently used in the language.

The questionnaire was composed of 5 appendixes: one was about filling in blanks with the help of Chinese translation to make the sentence understandable and appropriate in meaning, which was at the highest level among the five appendixes and therefore was employed for the third-year English major students. The second appendix aimed to provide the corresponding phrases with the Chinese meaning and corresponding individual words. This part was regarded as less difficult and consequently it was conducted by the higher immediate students: second year students in college. The third one was to a great extent with the close difficulty to the second; however, it was completed by those learners with a little lower level in English achievement. Another one was designed in a simple way; it was actually a quiz on vocabulary and phrases. The subjects were required to give a corresponding separate word or phrases with the

aid of Chinese meaning. The so-called answers to the questions were not definite, that is, close choices were also taken as acceptable answers. The last appendix was on the use of an English dictionary and some understanding of vocabulary cognition.

Twenty items were designed in the first appendix and twenty-one in the next following three appendices and eight in the last one.

The other instrument was casual interviews between teacher and students in a rather relaxing situation. The teachers and students may sit down and have a cup of tea. This way was also playing an indispensable role in discovering the blind zones of vocabulary learning of college students. The subjects involved in the conversations were those who were with positive views on English study and honest and frank in personality.

### B. Findings

TABLE 1.  
RESULTS ON APPENDIX 1

Information of subjects	Major	English	
	Grade	Grade Three	
	No. of students	60	
Result	Appropriate answers	2/20	10%
	Acceptable choices	5/20	25%
	Poor performance	8/20	40%
	Wrong answer	5/20	25%

Appendix 1 was designed to ask the subjects to complete the sentences and dialogues with appropriate English expressions, including separate words as well as phrases. The suggested answers were expected to focus on the choices of high frequency words: carry, take, go, keep, hold, get, give, drop, make and catch. The result, however, showed a striking evidence of rather unsatisfactory answers to the twenty items which are usually everyday English. They should have shown a better performance in the questionnaire. These subjects, the juniors specializing in the English language could do well in only about 10 percent of total items, which was such a low rate that they cannot meet their needs in applying the language with high proficiency. Approximately 65 percent of sentences were completed so as to be understood by Chinese people because of the common cultural background knowledge. And even they were not able to express themselves in using the vocabulary. Please refer to Table 1.

TABLE 2.  
RESULTS ON APPENDICES 2 AND 3

Appendix 2			Appendix 3		
No. of subjects	60		No. of subjects	60	
Major	Non-English major		Major	Non-English majors	
Level in English	Four-year undergraduates in Grade 2005		Level in English	Three-year undergraduates in Grade 2005	
Items of survey	21		Items of survey	21	
Correctness	4/21	19.0%	Correctness	15/21	71.4%
Highest rate	18/21	85.7%	Highest rate	19/21	90.5%
Lowest rate	0	0%	Lowest rate	2/21	9.5%

In Table 2 above sees a striking comparison between two groups of subjects with different levels, to a certain extent, in exercising the vocabulary test. It is an obvious tendency that those in Appendix 3 do much better than the subjects in Appendix 2, which indicates average students demonstrate a better proficiency in individual words than mastering phrases composed of small positive words in that the second appendix was to give separate words while the third was to provide phrases.

The most noticeable trend, according to Table 2, is the very considerable gap between the average correctness of the two studies. It is a strong fact that people in doing words show 52% more than those in doing phrase practice on average. In addition, both best and worst performances word subjects do better than phrase ones even though the latter is thought as with a lower level in applying the foreign language. The highest rate in doing separate words practice is 90.5%, 4.8 higher than that in doing phrase exercise.

## III. DISCUSSION

By way of making comparisons between word learning and phrase acquisition among 300 college students with various levels in understanding and employing the foreign language, we may make a safe conclusion that evidence showed that better proficiency in the vocabulary learning goes with better application of positive phrases and phrasal verbs what are composed of most frequently used words. As for such a case, the author would like to discuss it from the four following perspectives — linguistics, psychology, teaching and application of the language.

### A. On Linguistics

Fundamental linguistic knowledge tells us that human beings acquire spoken languages prior to written languages

(Hu, 2001). Therefore, the process of a language acquisition is supposed to start with the function of talking with people (invalid exclusive) rather than the written symbols. It is an applicable inference when it is put into the EFL acquisition. On the one hand, more often than not the words that college students are better at are less frequently used and are even sometimes low frequency vocabularies. On the other hand, there is no direct connection between language proficiency and mastering of infrequent vocabulary. This fact may remind English EFL learners of the importance of positive words and phrasal verbs in the foreign language learning process.

#### *B. On Psychology*

According to common sense, the process of learning anything should go with the nature — from easy to difficult (Carroll, 2000). Only in this way, can we go further; otherwise, it would be “The sauce is better than the fish”. What is more, to approach more difficult vocabulary first will undoubtedly lead to an unbalanced vocabulary structure, will of course have a serious negative effect on the EFL acquisition.

#### *C. On Education*

Any educational process should follow this way: from the unknown to the known and from unfamiliar to familiar, which is applicable in learning a language. That is to say, an upward approach may be used in vocabulary education (Chen, 2007). The each word in each phrase is quite familiar to almost every primary school student, and the whole ought to be attached much importance on. On the contrary, those isolated difficult words may be distanced by its users because of their unfamiliar appearance. But the fact is not what education procedures should go, but rather.

#### *D. On Language Application*

It is a necessary process from unable to use a language to able to use, be it in speaking or in writing in the language. And it is nearly impossible to be able to speak difficult English when there is not a considerable vocabulary size at disposal. Furthermore, application of difficult words requires solid understanding of their connotation and denotation (Barker, 2004); it is not sufficient to know their superficial meanings alone. By contrast, a number of phrases with various changes share very flexible senses in many cases, which makes a flexible employment in various situations.

To sum up, it may be easily discovered that there exists a big gap between word and phrase learning among most college students. In that case, what we shall talk about next is what account for the gap. For the first thing, it may be an essential step to clarify the concept of vocabulary and vocabulary size. According to Longman Dictionary of Contemporary English (1995), “Vocabulary is all the words that someone knows, learns, or uses”. In this definition we gain no access to have a clear division of words and phrases or to know whether phrases are part of vocabulary. This makes it possible that vocabulary learning or acquisition of college students in EFL lays much attention to the separate words alone, exclusive of phrases. By vocabulary size, it is often understood as the amount of word families a person knows or learns including “base word, its inflected words and a small number of reasonably regular derived forms (Bauer and Nation, 1993)”. (Schmitt, 2002). It is strongly suggested that phrases are grouped into the vocabulary because the author does believe that a clear drawing line can play an important role in avoiding their spending too much time enriching vocabulary by means of memorizing a certain amount of individual words alone.

In order to provide some suggestions to make up the blind zones of vocabulary acquisition, it is extremely necessary to work out the characteristics of use and application of vocabulary by college students in regular universities.

The most impressive trend, according to the questionnaires may be the passive application of active words and phrases. Its manifestation is at different levels. In the first place, at the lowest level, examinees have confused most of senses and forms of the phrases such as take on, take over, take up, or turn over and the like. On separate words spelling mistakes often occur in the study. For example, “cancel” and “pretend” have been changed into the form “cancle” and “pretent” respectively. In the second place, at a higher level, they have trouble in distinguishing some vocabularies with similar semantic senses or similar pragmatics. Finally, at a high level, some examinees deliberate on employing some abstract or awkward vocabulary to show their proficiency in the language. It turns out very harmful for them to acquire idiomatic English; this phenomenon more often than not occurs on those who are good at the EFL.

Another typical characteristic is on the incomprehensibility of high frequency polysemants, that is, most college students have the tendency to know only one or a couple of senses of a word or a phrase which often appears on various occasions. They may understand turn down the radio but have trouble in making of turn somebody down. (The first “turn down” means “make the sound produced by the radio lower”, while the second means “refuse”.) Another instance in Appendix 1 goes as “Be careful, I don’t think the branch will *hold* you.” Around half examinees have failed in working out the word *hold* in spite of Chinese translation offered beside.

### IV. RECOMMENDATIONS

Based on the five essential steps in vocabulary learning (Hatch, 2001), it is high time we went by his theories and suggestions. The five essential steps are encountering new words, getting the word form, getting the word meaning, consolidating word form, meaning in memory and using the word. It is very common that many Chinese EFL students go to the second and third steps directly when learning vocabulary. Therefore, it is time to strongly encourage them to do as the theory goes because or else the words you have memorized are the castles in the air and will unavoidably lead



to call laps of the whole building, which means useless efforts and does harm to continue the work again.

In addition, I strongly support a “lower” the teaching objectives set in the CET syllabus particularly in the average universities of China because the vocabulary ranges from the ABC to some lower frequency vocabulary which are for the purposes of passing examinations only or college English education. This proves of little practical communicative significance and is has gone against with the foremost function of a language, as a lingua franca. Furthermore, the result in Appendix 5 has implied that 95 percent of the subjects have ever had the impression that complete looking up new words in a dictionary cannot solve the understanding of the passage and 25 of 60 subjects think this case often repeatedly occurs, whose discoveries of this phenomenon are mainly fall upon poor understanding of basic vocabulary. Therefore, facing up to the current state of college students’ biggest blind zone in vocabulary learning, we ought to take some immediate measures to make up and to lower our goal in education should be the foremost effective step.

Simultaneously, we English educators also try our best to consolidate the understanding of basic positive vocabulary including individual words and phrases and some collocations as well, which after all are the core of the whole vocabulary. Of great interest in this doing, the author strongly suggests that we collect the polywords and conduct scientific research on the field to help students lay a solid foundation of basic category words and related polywords and then reach further.

## V. CONCLUSION

The data from the survey in Appendix 5 show that three quarters of the subjects argued that vocabulary learning plays an indispensable role in listening, speaking, reading and writing. Their concern on this field requires every and each educator to make great efforts to improve the teaching methods and the education of the course.

## APPENDIX 1

Complete the sentences with the implication in Chinese.

No.	English sentences with missing words or phrases.	Chinese translation
1	Don't get _____ when you give the speech.	演讲时别忘乎所以了。
2	Lei Feng _____ helping people.	雷锋毕生助人。
3	Please join us as soon as you _____ your work.	你干完工作就来和我们一起玩吧。
4	He always _____ the rules.	他总是依据规则办事。
5	Mary really _____ her mother.	玛丽长得真的很想她妈妈。
6	He has _____ the habit of smoking.	他不知不觉养成了抽烟的习惯。
7	A: Would you like to go to a movie with us tonight? B: I'd love to, but I'm afraid I have to _____ my work; tomorrow is the deadline. A: What a pity!	今晚我们去看电影好吗? 噢,我真想去,我得赶工作,明天是最后期限。 真遗憾!
8	Flies _____ disease.	苍蝇传染疾病。
9	A: Sooner or later you'll _____ the shock. B: Thank you. I'm much better now.	迟早你会从震惊中恢复过来的。 谢谢,我感觉好多了。
10	Now, let me _____ your temperature.	让我来给你量量体温吧。
11	Did the vaccination _____?	疫苗起作用了吗?
12	The doctor told me that I was overtired and advised me not to _____ too much work.	医生说我很疲劳过度,建议我不要接受太多的工作。
13	A: They've _____ on their rent again! B: I don't want to rent to them any longer.	他们又拖欠房租了! 我再也不想租给他们了。
14	We can't _____ on my salary alone.	单靠我的薪水我们无法维持生活。
15	If there aren't enough chairs to _____, some people will have to stand.	如果这儿没有足够的椅子,一些人必须得站着了。
16	A: It's time you _____ your younger sister. B: Why should I? It's not my fault. A: You are older than she is. So you should be the first to speak up.	你该和你妹妹和好了。 为什么是我?又不是我的错? 你比她大,你应该主动。
17	Honey, will you _____ the phone, please? I'm in the kitchen.	亲爱的,能接一下电话吗?我在厨房。
18	Will you _____ the place in the queue for me while I go and make a phone call?	你能替我占着这个队中的位置吗?我去打个电话就回来。
19	A: Be careful, I don't think the branch will _____ you. B: I'm not sitting on it. I'm just leaning on it.	小心点,我可 not 认为这个树枝能撑住你。 我没坐上去,只是靠着它。
20	A: Somebody should _____ that Rhoda's ill. B: OK. We'll get started without her.	应该有人捎信告诉我们罗达生病一事。 那好,她不来了,我们开始吧。

## APPENDIX 2

Please give out the phrases with the hint of Chinese meaning and the meanings of separate words.

No.	Separate words (单个单词)	Phrases (短语)	Chinese meaning
1	explode		爆炸
2	quarrel (with)		与...争吵
3	recruit		征召...入伍
4	pretend		假装
5	erupt		(火山等) 喷发
6	visit		(顺路) 拜访
7	inspect		检查, 审查, 调查
8	reject, refuse		拒绝
9	succeed		成功
10	represent		代表
11	imply		暗指, 意旨
12	postpone		推迟
13	imply		意旨, 暗指
14	participate		参与, 参加
15	experience		经历
16	produce		提出
17	tolerate		容忍, 忍受
18	interrupt		打断, 插嘴
19	understand		理解, 明白
20	flatter		巴结, 奉承
21	cancel		取消

## APPENDIX 3

Fill in the table by writing down the separate words with the help of corresponding phrases and Chinese meaning.

No.	Separate words (单个单词)	Phrases (短语)	Chinese meaning
1		break out	爆炸
2		fall out (with)	与...争吵
3		call up	征召...入伍
4		make believe	假装
5		break out	(火山等) 喷发
6		drop by	(顺路) 拜访
7		look into	检查, 审查, 调查
8		turn down	拒绝
9		make it	成功
10		stand for	代表
11		get at	暗指, 意旨
12		put off	推迟
13		get at	意旨, 暗指
14		take part in	参与, 参加
15		go through	经历
16		come up with, put forward	提出
17		put up with	容忍, 忍受
18		cut off, cut in	打断, 插嘴
19		make of	理解
20		make up to	巴结, 奉承
21		call off	取消

## APPENDIX 4

Translate the Chinese expressions and write them down in the column of English expressions.

No.	English expressions	Chinese meaning
1		爆炸
2		与...争吵
3		征召...入伍
4		假装
5		(火山等) 喷发
6		(顺路) 拜访
7		检查, 审查, 调查
8		拒绝
9		成功
10		代表
11		暗指, 意旨
12		推迟
13		意旨, 暗指
14		参与, 参加
15		经历
16		提出
17		容忍, 忍受
18		打断, 插嘴
19		理解
20		巴结, 奉承
21		取消

## APPENDIX 5

Please complete the survey. Thanks for helping.

1. 如果你有英语词典, 那么它 (或它们) 是

序号	词典名称	词典使用情况		
		经常使用	偶尔查阅	很少使用
1	牛津高阶英汉双解词典			
2	牛津中阶英汉双解词典			
3	牛津初阶英汉双解词典			
4	朗文高阶英汉双解词典			
5	朗文中阶英汉双解词典			
6	朗文初阶英汉双解词典			
7	新英汉词典			
8	四级 (六级) 词汇小词典 (或类似)			
9	其他 (请注明)_____			

2. 词典对于你的用途主要是什么?

- A) 查单词的词义
- B) 查找例句
- C) 背词典学英语
- D) 查找词组搭配
- E) 查习语
- F) 查其他内容 (请注明)\_\_\_\_\_

3. 在英语学习过程中, 您是否有过这样的体会: 查完一篇文章中所有的生词, 理解其内容仍然有困难?

- A) 有。
- B) 没有。
- 1) 如果有 3.的情况, 那么这种情况发生的频率怎样?
  - A) 大多数课文都如此
  - B) 经常有此状况
  - C) 偶尔如此
  - D) 基本没有这样的情况
- 2) 如果有 3.的情况, 那么您认为是什么原因?
  - A) 生词理解深度不够

- B) 其他基本词汇理解有偏差  
 C) 词组搭配的理解有碍  
 D) 其他原因 (请注明)\_\_\_\_\_
4. 您是否希望在您的写作中用上一些较为生僻的词汇?
  5. 您是否认为作文中只有非常普通的词汇, 没有大词, 那么您认为会影响此文的得分吗?
  6. 您是否暗自崇拜过高深莫测的英文材料, (所谓高深莫测就是您看不懂的文章)?
  7. 您是否会怀疑满篇是高频词汇的文章作者的语言功底呢?
  8. 您认为写出优秀作文的关键是什么?

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# A Lexical Trunk Approach to the Teaching of English for Science and Technology Reading

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**Abstract**—Reading is widely accepted as an effective way for EST learners to obtain information and knowledge, but most EST learners in China find that their reading competence is not satisfactory although they have a large size of EST vocabulary and study English grammar well. So how to improve EST learner's reading competence remains a problem urgent to settle for EST teachers and researchers. Lexical trunk approach has been widely applied to teaching written discourse and spoken discourse, and a lot of achievements have been made. And we made investigation into the application of lexical trunk approach to the teaching of EST reading and concluded that lexical trunk approach is very helpful to teaching EST reading. In order to improve EST students' reading competence and enhance the teaching efficiency, teachers should strengthen students' ability to use lexical trunks in EST reading class and it is of critical importance for EST teachers to adopt appropriate strategies and work out scientific class design from the perspective of lexical trunk approach.

**Index Terms**—EST reading, approach, lexical trunk

## I. INTRODUCTION

With the fast development of science and technology, China is in desperate need of the talents of English for science and technology (hereinafter abbreviated as EST). More and more universities have started to increase the investment into EST teaching. Reading, as one of the most important skills for learners in language learning and acquisition has been attached great importance to by university teachers of English. However, most of the EST students complained that the articles are too complicated and difficult for them to understand although they know the meanings of each word or single sentences. The reasons mainly lie in the fact that teachers usually employ traditional translation approach to the teaching of EST reading, leaving no room for the students to improve their reading competence. Therefore, a more appropriate teaching approach is required to increase the teaching efficiency. Recently, the lexical chunk approach has drawn the attention of many scholars and university teachers of English. With the help of lexical chunks, the second language learners can obtain better accuracy and fluency in language use and strengthen their competence of discourse analysis. This paper attempts to explore how to apply lexical approach to teaching EST reading.

## II. LEXICAL TRUNK APPROACH

Most researchers have come to a conclusion that lexical chunks are abundant in language, but different definitions have been put forward. Michael Lewis (1997) makes the definition that "lexical items are sanctioned independent units, and they may be individual words socially or full sentences—institutionalized utterances—that convey fixed social or pragmatic meaning within a given community" (p.225). Moon (1997) insists that lexical chunk is "a vocabulary item consisting of a sequence of two words or more (a word is just an orthographic unit)...and it forms a meaningful and inseparable unit" (p.43). Nattinger and DeCarrico (2000) conclude that "lexical chunks are some lexical phrases with varying length, loaded with communicative and discourse functions, and lexical chunk is multi-word lexical phenomena that exist somewhere between the traditional poles of lexicon and syntax, conventionalized form/function composites that occur frequently and have more idiomatically determined meaning"(p.1). Synthesizing the above definitions, we support the definition that lexical chunks are language structures stored in the long-term memory of language learners and they are frequently-occurred, fixed or semi-fixed multi-words or sentences which can be drawn and used automatically rather than being generated and analyzed from grammatical rules. The more lexical chunks stored in the long-term memory of a language learner, the less effort is paid by him to fulfill some language learning tasks.

As for functions of lexical trunks, Nattinger and DeCarrico (2000) divide them into three sorts including social interactions, necessary topics and discourse devices. Social interactional markers are used to describe social relations, consisting conversational maintenance, and conversational purpose. As to necessary topics, those lexical phrases mark topics about which learners are often asked, or ones that are necessary in daily conversations. Discourse devices are lexical phrases that connect the meaning and structure of the discourse. They put forward that all formal categories of lexical phrases are represented in the three functional groups. For teaching purposes, those formal categories can be

reduced to three, with institutionalized expressions being incorporated into the polyword category, since institutionalized expressions are more or less sentence-length polywords. They employed the three formal categories: polywords, phrasal constraints and sentence builders.

The paper mainly discusses how to apply lexical trunk approach to teaching the reading of EST discourses. Next the characteristics of discourse devices in written texts will be introduced in accordance to what Nattinger and DeCarrico have illustrated in their book entitled *Lexical Phrases and Language Teaching*. They concluded that the lexical phrases that characterize it reflect this dual purpose because most written discourses are a mix of the interactional and transactional. In written discourses, lexical phrases that predominate are those that function as discourse devices to signal the overall direction and organization of the discourses, but those for necessary topics and conversational purpose also takes place. In signaling the overall direction and organization of the discourse, the discourse devices function to mark high-level transactional information, such as exemplification, relationships between topics, evaluations, qualifications, asides and so on, and indicate its flow through the discourse. Lexical phrases of conversational maintenance are still used to summon the audience before the body of the text begins, as well as to prime and nominate the topic and to close the discourse. Those characteristics of discourse devices are also found in EST discourse. So the next section will be about what EST is and what features EST has.

### III. ENGLISH FOR SCIENCE AND TECHNOLOGY

English for Science and Technology refers to any piece of written or spoken English dealing with science and technology. As a major subdivision of ESP (English for Special Purpose), EST is a formal linguistic genre which is featured as its objectivity, strictness, and conciseness. Generally, EST discourse distinguishes itself from other types of discourse at lexical, syntactical, and stylistic levels.

Firstly, at the lexical level, three features of EST discourse are summarized as follows: high frequency of nouns, the abundance of compound words, and a large number of terminologies. In order to express the logical and abstract ideas, EST writers often adopt the way verbs and adjectives are nominalized under most circumstances. In some other cases In EST discourse, EST writers also use compound words including compound nouns, compound adjectives and compound verbs to make what they want to express more accurate. EST discourse is used to serve the need of those people in special industrial sections, so terminologies such as captive breeding, meta-analysis are found abundant in medical English texts

Secondly, most EST discourses are found at the syntactical level abundant in wide use of long sentences, of passive voice, of non-predicate verb forms. More long and complex sentences are used in EST discourse. The following example is a long and difficult sentence which is usually designed for the sake of accuracy and faithfulness in describing such logic relationships as reason-result or comparison.

**Example One:** *One might hope that modern brain imaging techniques such as EEG (Electroencephalography), PET(Position Emission Tomography) and fMRI (functional Magnetic Resonance Imaging), which allow activity in different parts of the brain to be measured, might provide a definite resolution to this so-called "state/non-state" argument.*

**Example Two:** *Moreover, though researchers have made considerable progress in understanding and predicting the effects of sonic booms, recent studies and community surveys strongly suggest that people find even occasional sonic booms much more disturbing than loud, continuous noise such as that of an airport*

In the above examples, the writer uses some interlinear notes, such as EEG (Electroencephalography), PET (Position Emission Tomography) and fMRI (functional Magnetic Resonance Imaging), and clause such as *though researchers have made considerable progress in understanding and predicting the effects of sonic booms* in order to express very accurate and faithful information although those interlinear notes and attributive clauses make the sentences longer and more complicated.

The passive voice can make sentence structure more compact and the author's intention can be emphasized. One example is as follows.

**Example Three:** *When successfully integrated into the product development cycle, development time can be reduced, and maximum manufacturability and build ability will be achieved.*

In the above example, *development time, maximum manufacturability and build ability* are highlighted as subjects, which make it easy for readers to understand that product development cycle can improve the three items.

Thirdly, the EST discourse style is featured as impersonal description. Very few personal sentences are employed in EST discourse to introduce scientific discoveries and laws because EST discourses mainly aim to introduce the scientific findings, rather than the researchers or discoverers of those scientific achievements. The following is another example:

**Example Four:** *A major part of DFM is the ability to assemble parts easily and free of defects. A key to build-ability is process variation. Dimensional variation management is a structured process for analyzing and managing variation in product design and manufacturing processes to optimize the vehicle build quality. The goal is a robust design that has no critical-build requirements, nor process-control requirements.*

In the above example no personal pronouns are used. All the subjects and objects are impersonal, which makes the discourse more objective. Based on the above analysis, we found it very necessary for EST teachers to teach these

characteristics to students so that they can have a better understanding of EST discourse from perspective of lexical approach.

#### IV. APPLICATION OF LEXICAL TRUNK APPROACH TO EST READING

Lexical trunk approach has drawn great attention from scholars and researchers and been used in teaching English writing, interpreting and so on. Is it feasible to adopt lexical trunk approach in teaching EST reading? If so, how to teach EST with lexical trunks effectively? In order to answer the above questions, we will, in the following sections, investigate into the role of lexical trunk approach to EST Reading from the perspective of enlarging students' vocabulary in EST reading, improving students' reading speed, and strengthening students' ability to comprehend EST discourse.

##### A. The Role of Lexical Trunk Approach to EST Reading

###### 1. Enlarging learners' vocabulary in EST reading

Zimmerman (1997) holds that "Vocabulary is central to language and of critical importance to the typical language learner" (p.3). Laufer (1987) points out the importance of vocabulary learning in language acquisition by saying that "the learning of vocabulary lies at the heart of language learning, it would be reasonable to assume that language acquisition studies should devote no less scope and effort to vocabulary than to phonology or grammar." Effective Lexical chunks are stored in learners' memory as completely or partially prefabricated units and it is very easy for EST learners to retrieve them when they are need. Nattinger and DeCarrico (2000) propose that learners can creatively construct sentences and enhance the fluency of language use because phrases are stored and reprocessed as whole chunks in the memory. Lexical chunks are strings of words or a whole sentence which means EST learners can spare fewer efforts to memorize more words and they don't need to memorize word by word in the vocabulary list in an isolated way. In this sense, lexical trunks are considered to form their own contexts with concrete meanings, which make them much easier to remember than those words out of contexts. Through the above analysis, we can conclude that the lexical trunks are very helpful to enlarge EST learners' vocabulary.

###### 2. Improving EST learners' reading speed

In cognitive psychology, memory is a project of critical importance. Memory is the mental capacity to store information, either for short or long periods. Hu (1995) arrives at the conclusion that memory plays a very important role in language learning. To some degree, the language learning process is the process of memory. Therefore, the key point in language learning is to try to memorize what he/she has learned and the important aim of teaching is to teach students how to remember what they have learned successfully and store more information for future use.

Atkinson and Shiffrin (1968), firstly, bring forward a complete and systematic modal of information process. In their model memory can be divided into three phases: sensory register, short-term memory and long-term memory. In the process of EST reading, learners will find it very difficult to transfer what they have read from short-term memory into long-term memory if they have no good approach to enhance their reading efficiency. In that case hindrance becomes inevitable. However, lexical trunk approach can be the remedy for learners to remove the hindrance. Learners are able to construct those single pieces of information into bigger lexical trunks, which can enlarge the processing load in their short-term memory and help to encode rapidly and efficiently the information available in the text. According to the effect of chunking on memory, the information encoded is easy to retrieve and decoded when necessary. Therefore, if EST students read through the lexical chunk approach instead of word-by-word approach, their speed to decode the text will be increased. Here is the conclusion that lexical chunk approach can improve EST students reading speed.

###### 3. Strengthening learners' ability to comprehend EST discourse

Lexical trunks are form/function composites and supply rich semantic and contextual information, which help EST learners to comprehend EST discourse. Most students cannot accurately comprehend EST discourses although they have already grasped a large number of words and phrases. The main reason lies in their neglect of the importance of the cohesion and coherence in the understanding of EST discourses. However, lexical trunks are parts of language that often have clearly defined role in guiding the overall discourse. In particular, they are the primary markers which signal the direction of discourse (Nattinger, 1986). When they serve as discourse devices, they serve specific pragmatic functions, which contribute to aiding learners to construct quickly the semantic connections between sentences. Meanwhile learners can make accurate prediction as for the author's intention through what has been activated by lexical trunks. An example is as follows.

**Example Five:** *Like a lot of things, we think that achieving artificial intelligence is harder than it looks. In the 1950s, the pioneers of AI confidently predicted that, by the end of the century, computers would be conversing with us at work and robots would be performing our housework. But it is concluded that as useful as computers are, they are nowhere close to achieving anything remotely resembling these early aspirations for humanlike behavior.*

In the above text, three chunks are underlined. *We think* is the topic shifter used to express the authors' viewpoints; *by the end of* is temporal connector highlighting the time; *it is concluded that* is functioning as a summarizer which sums up the authors' points of view. Grasping the features of those trunks, learners can make it easy to know the discourse structure clearly and then understand the authors' purpose. To sum up the above arguments, it can be inferred that lexical trunks play an important role in strengthening learners' ability to grasp the textual structure of EST.

### B. Teaching EST Reading with Lexical Trunks

#### 1. Cultivating learners' awareness of lexical trunks in EST

Lewis (1997) suggests that conscious awareness of what constitute a possible chunk provides learners with tool that enables them to process input more effectively. However, most EST students are poor in the knowledge of lexical trunks and haven't realized the important role that lexical trunks play in EST reading. Nattinger & DeCarrico (2000) holds that successful readers tend to skip words they view as unimportant to total phrase meaning. While unsuccessful readers seldom skip any, viewing all words as equally important in their contribution to the total meaning. Less proficient readers, such as L2 readers tend to focus on reading as decoding process rather than as a meaning-getting process, and depend on local strategies, having to do with sound-letter, word-meaning, sentence syntax, and text details.

Therefore more efforts and attention of teachers and learners should be paid to lexical trunks in EST reading. Firstly it is very necessary for EST teachers to instruct students to know what lexical trunks are and its classification and function in learning EST. Then EST learners should be taught to grasp some number of lexical trunks frequently used. In teaching EST reading, teachers should use more lexical trunks to express their ideas and the main contents of EST texts so that students can have more opportunities to acquire those trunks. More contexts are required to explain those lexical trunks in EST texts. Gradually the lexical trunk size of EST learners could be enlarged. Next EST teachers should focus on improving students' ability to use these lexical trunks in reading EST discourse or completing different learning tasks. To realize this goal, teachers need to adopt effective teaching strategies in EST class, which will be expanded on in the following section.

#### 2. Adopting effective strategies in EST class

Nattinger & DeCarrico (2000) also suggest that "Teachers need provide strategies to assist students in synthesizing meaning in larger segments of text and it is useful for teachers to teach students to read with lexical chunks"(p.160). During the period of teaching EST reading, students should be acquainted with some reading strategies relating lexical trunks. For example, EST students can be taught how to grasp the writer's intention through lexical trunks or how to know the organizational mode of EST discourse through lexical phrase markers.

Brown and Payne (1994) have conducted an analysis that resulted in a very clear model for vocabulary learning, which fell into five essential steps: (1) having sources for encountering new words, (2) getting a clear image, either visual or auditory or both, for the forms of the new words, (3) learning the meaning of the words, (4) making a strong memory connection between the forms and meanings of the new words and (5) using the words. Based on the above steps, EST teachers should help students to identify lexical trunks by designing some learning tasks such as underlining the lexical trunks in the given text. After underling the trunks, students can adopt the way of cooperative study by exchanging what they have identified with their team members, through which their interest in lexical trunks could be aroused. Then teachers give the right answers and make further explanation relating those lexical trunks. Meanwhile EST teachers should help students to make further analysis into those trunks in the reading materials so that they can comprehend the text correctly. Hulstijn et al (1996) propose that increasing the repetition of the new words is a good way to acquire them. So teachers can give dictation to students and ask them to make sentences by using those trunks in order to strengthen students' ability to grasp those lexical phrases.

Lautamatti (1987) identifies three possible progressions that result in cohesive discourse and students have to follow three procedures in performing a topical structural analysis: they must identify sentence topics, then determine sentence progression, and finally chart the progress of sentence topics. In EST discourse, surrounding lexical phrases can signal cohesive patterns of co-ordination among sentences. Once students become adept at identifying sentence level cohesion and signaling cues, they will apply the same principles across sentence boundaries and begin to focus on the global cues and questions that lend coherence to discourse. To highlight these cues, EST teachers can design exercises for isolating lexical phrases in academic lectures. Reading activities are important for learning such lexical phrases. Texts must be selected and modified to expose students to the most frequent of these phrases or to those that are the center of a particular lesson (Nattinger & DeCarrico, 2000). So another very effective strategy is to design *filling blanks* task for EST learners. The following is one of the *filling-blank* examples.

#### Example Six:

*Use those lexical phrases to fill in the EST passage*

**carry out, but, such as, be based on, no more than, a limited area, sometimes, one's ability to, even if, in the quest to**

Computers can imitate thought processes \_\_\_\_\_ those necessary to \_\_\_\_\_ some complex tasks very logically. They can manipulate symbols extremely fast and possess great memories. \_\_\_\_\_ do they have intelligence? Hurbert Dreyfus, professor of philosophy at the University of California at Berkeley, remarked that a computer is still \_\_\_\_\_ a mechanized idiot, i.e., a dumb machine that exhibits a remarkable skill in \_\_\_\_\_. What "intelligence" computers do have is \_\_\_\_\_ recognize patterns and solve problems using programmed logic. They cannot reason, but can only make educated guesses; they cannot generalize. \_\_\_\_\_ solutions \_\_\_\_\_ the human attribute called common sense, which may not always be logical.

Another problem is that \_\_\_\_\_ we define artificial intelligence as "the ability of computers to think and reason like the human mind: the ability to use common sense, intuition, judgment and evaluation," scientists have not determined exactly how the mind does this. Human intelligence is not entirely understood, and scientists are just scratching the



surface \_\_\_\_\_ discover how humans get ideas and how they think.

This kind of task can strengthen students' ability to use those lexical trunks and is very useful for them to have a general view of the short EST passage. Based on the above passage, teachers should help students analyze the function of those trunks such as discourse devices, topic makers, organizing functions and so on. Through analysis students will find it easier to comprehend the passage.

In addition to the strategies discussed, lexical trunks translation or rewriting is worth adopting. It is of great importance for teachers to integrate those strategies and devise effective class design so that the teaching of EST reading can be conducted reasonably and efficiently.

## V. CONCLUSION

Based on the above analysis, it can be concluded that lexical trunk approach has a positive effect on the teaching and learning of EST reading. Lexical trunk approach is propitious to enlarging EST learners' vocabulary size, improving their reading fluency and strengthening their reading competence. In EST reading class, teachers are supposed to cultivate students' conscious awareness of lexical trunks in EST discourse and encourage them to apply lexical trunk strategy to EST reading. Meanwhile it is also critical for teachers to work out feasible class design in order to carry out effectively the lexical trunk approach in teaching EST reading.

### Note:

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# Language Production and Comprehension: The Effect of Pre-school Aged Siblings on Toddlers Language Development

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**Abstract**—Despite previous works showing that mothers, fathers, and siblings provide input to their toddler, the role of siblings on specific changes that they may cause, remains obscure. Since most work in this area has concentrated on the input provided by parents, this study extended prior work by comparing how specifically parents and sibling could influence different aspects of language development in toddlers up to age 24 months. 20 children (1; 8) were videotaped interacting with their family members. Two groups of children were compared in this study: group A) toddlers who do not have a sibling, group B) toddlers who have a preschool-aged sibling (4:8). To see if there were a significant difference between the toddler's comprehension and production abilities, two separate t-tests were compared. Analysis of groups revealed that group A was superior on production but group B acted better in comprehension. These results are discussed in terms of quality and quantity of the input provided by family members.

**Index Terms**—language comprehension, language production, input, toddlers, first language

## I. INTRODUCTION

The role of input in the child's language acquisition is undeniably crucial. But how the language and language potential of the child is developed by the family members around? This question has been investigated by many researchers. Due to the plenty of researches which has been done in this field, a large body of literature is provided on the characteristics of parental input, especially, phenomenon of CDS or 'motherese' (McLaughlin, 1998; Rondal, 1981; Wells and Robinson, 1982). Recent studies have revealed that families provide a comparable amount of linguistic input to their children but the quality of this input is different among the families which lead to differences in child language potentials. Accordingly some children are categorized as delayed or advance talkers regarding their abilities in language. It also has been suggested that the speech addressed to children is carefully grammatical and lack the usual hesitation and false starts common in adults to adults' speech (Debra C Vigil, Jennifer Hodges and Thomas Klee, 2005). More research studies on parental input confirm earlier evidence, demonstrating the selectivity of parental linguistic input to their children. This selectivity could even be seen in communicative interactions between older and younger siblings, for example in one of few studies about the interaction between siblings and younger children, Dune and Kendrick (1982) found that there is a systematic adjustment in 2 and 3 year old children speech to 14 month infants. But the question is, whether the quality and the quantity of these adjustments, among different members of the family, including father, mother, and siblings, are the same or not.

Language means communication, and communication is an interactive process in a real setting, which include parents and the other children around. Most research on child's language acquisition is investigating adult-child dyads (primarily mother-child dyads) when in fact many children develop their language ability in a polyadic settings (Lieven, 1994). As Nelson, Bonvillian, Denninger, Kaplan & Baker (1984) argued, 'through research that details and differentiates the actual pattern of input from multiple sources is very badly needed to give us a realistic picture of the child's language acquisition process'. In a study which was done by Oshima-Takane, Goodz & Derevensky (1996) it was revealed that young children (1; 10) who have siblings, spent between 60 and 74 hours per week in a setting which is triad, a caregiver, child and sibling. Language development involves multiple factors, both within the child and the child's social environment to learn language. A child must attend the input in his or her environment in a sociolinguistic context in order to pair words with objects or events. There are three main sources for this involvement, Mothers, fathers and the siblings around.

### **Sibling's Input VS Mother's Input**

The quality and quantity of the input which is provided by sibling and young children around is quite different from that which is provided by parents, especially mothers. According to Bridge Hypothesis (Barton & Tomasello 1994, Berko-Gleason 1975, Mannle & Tomasello 1987), sibling(s) and father are not as flexible conversational partners as the mother is. It has also been stated that more challenging context for conversation and interaction is provided by siblings

and the father due to their unfamiliarity with the child's current language skill's level. Barton & Tomasello (1994) argued that these differences will influence the pragmatic-conversational aspects of communication, such as the child's interpretation of the language in a given context. Mothers also tend to talk to their children in quite a different manner. A phenomenon known as 'Motherese' or CDS is characterized by shorter, simpler, slower, clearer utterances which have fewer hesitation and false starts with a lot of repetition of phrases, words and the whole utterance. Mothers speech addressed to the child also tend to be higher in pitch with exaggerated intonation patterns and rising tones (Claire Elizabeth Andersen and Julie V. Marinac, 2007). On the other hand it has been found that siblings' speech contain a higher proportion of attentional utterances and repetitions than that of the mothers.

The differences in the input provided to the child from different members of the family could also be in the quantity of the input addressed to the toddler. Although, several studies demonstrated that mothers (Hirsh-Pasek, Treiman & Schneiderman, 1984; Demetras, Post & Snow, 1986; Farrar, 1992) fathers (Penner, 1987; Bohannon & Stanowicz, 1988), and even siblings (Strapp, 1993) recast or repeat with corrections following children's grammatical errors, Siblings play a somewhat different role in providing the feedback. In a triad settings the pre-schooled siblings tend to provide less corrective feedback than adults (Tomasello & Mannle 1985) and in the sibling – child interaction again siblings tend to provide less corrective feedback (Mannle, Barton Tomasello 1991, Strapp 1993, 1999). Barton and Tomasello (1991) found that in 83% of the time preschool-aged siblings failed to acknowledge the infant. This input is even affected on the presence of a sibling (Barton & Tomasello 1991, Jones & Adamson 1987, Post 1995, Schaffer & Liddell 1984, Tomasello & Mannle 1985, Wellen 1985, Woollett 1986). Parents tend to produced fewer recasts to the child on the presence of a sibling (Strapp 1999, Wellen 1985). In another study by Wellen (1985), it has been revealed that mothers produced fewer recasts in the mother-sibling-infant triad than in the mother-infant dyad settings. But what the research is intended to find is the recast and input provided by the siblings as well. Unfortunately, neither study considered recasts produced by siblings.

Even toddler quality and quantity of interaction is different, regarding who he is interacting with in the family. Tomasello, Farrar & Dines (1983) in their studies proposed that regarding the child conversational partner, the child expectations are different. Children are less likely to imitate their fathers and siblings recast as the child has to put more attention in to practice while interacting with them. In another study which was done by Strapp & Federico (2000) it was revealed that, children appear to imitate most often in settings where the mother is present. Therefore toddlers' response to negative evidence and non corrective feedbacks vary considerably across family configurations. Although these studies tried to inspect the role of siblings in the process of child's language development but they didn't specify how specifically the input provided by sibling could affect the process of language development in toddlers.

### **The Current Study**

As it was shown up to here, it's so hard to neglect the role which siblings could play in the development of the toddler's language. Certainly more evident on the role of interaction between the child and his or her sibling is needed. The specific purpose of the present study was to explore the Effect of Pre-School Aged Siblings on Toddlers Language Development. Will toddlers having a preschool aged sibling differ with the ones who don't have a young sibling at home? For this purpose the following research question was proposed: *Is there any significant differences in language production and comprehension between the children who have pre-school aged sibilings at home and the children who don't.*

Based on the above question the following null-hypothesis can be conceived:

*H. there is no significant difference in language production and comprehension between the children who have pre-school aged sibilings at home and the children who don't.*

## **II. METHOD**

### **A. Participants**

20 mothers and their toddlers participated in this study. 10 boys and 10 girls (5 of each had a pre-school aged sibling at home) were videotaped at their homes during a month (approximately twice a week). The children in this study are chosen from the age group of 18 and 24 months of age (mean age 22.7) due to the researcher's interest in the toddlers intentional behavior. As it has been revealed the children do not show intentional behavior until they are about 9-10 months old (Bates, 1979). Intentional behaviors are seen for the first time mostly during the second half of the first year. All the children had been raised in a monolingual Persian environment. All mothers were housewives and all the children were from two-parent families. Families ranged from lower middle to upper middle class in socioeconomic status. The primary language spoken in all the participants' home was Persian. The criteria were that the children: must not have had any previous speech therapy/pathology input; have no known medical or neurological deficits and have normal hearing.

### **B. Procedure**

Families were chosen by the researcher from child care centers and play ground centers with the consent from the director of the organization. On the basis of the personal interviewing with parents, the children were categorized into two groups, 10 in each. Group A) an only child about 18 to 24 months, and group B) a child about 18 to 24 months with a preschool-aged sibling(s). Families were asked to play with their children at home for about fifteen minutes and

videotape the procedure. The researcher sometimes participated in the videotaping. In group A, there were only parents who played with the child, and in group B, there also was a sibling who participated in the play. Every session the child and his family sat on the floor and play with the same instruments that they used to play. All the families were told to act as normally as possible as if there was no videotaping, in order not to affect the child's behavior. After transcribing all the speech samples, the researcher (following guideline suggested by CSBS DP Infant-Toddler Checklist) categorized them into three general categories: A: Sounds B: words C: understanding.

**A: Toddlers' sounds:** Sound samples were marked and coded based on: 1) Child's uses of sounds or words to get attention or help, 2) The ability of the child to string sounds together such as *uh oh, mama, baba, bada*, 3) The number of the consonant sounds that the child use *ma, na, ba, da, ga, wa, la, ya, sa, sha*.

**B: Toddlers' words:** Word samples were marked and coded based on: 1) The number of the meaningful words that is recognizable in the child's speech, 2) the number of telegraphic or two- word utterances.

**C: Toddlers' understanding:** The samples were coded and marked based on: 1) The child's attention to the family member by looking or turning toward them when calling his/her name, 2) The number of the different words or phrases that the child understand without pointing to them.

All the transcriptions were coded based on these three groups: not yet, sometimes, often and they were marked.

Maximum possible scores	
<b>Language production</b>	
Sounds	8
Words	6
<b>Language Comprehension.</b>	
Understanding	6

### III. RESULTS

This study was designed to investigate the possible effect of the pre-school aged siblings on toddlers language development. so the following research question was proposed:

*Is there any significant differences in language production and comprehension between the children who have pre-school- aged siblings at home and the children who don't.*

Based on this question the following null hypothesis was proposed:

*There is no significant difference in language production and comprehension between the children who have pre-school aged siblings at home and the children who don't.*

utterances were coded from 20 families during a month. They were hand coded and marked by the researcher. The researcher scored sub parts related to hypothesis she made earlier. she obtained two separate scores for each participant. A) speech composite. B) their comprehension ability

Data were entered into SPSS 13.0 for windows for statistical analysis, where descriptive statistical procedures and further calculations were carried out. To see if there were significant difference between the reported amount of language development in group A children and group B, two independent samples t-tests were applied. To determine significance throughout the study, the significant level was set at  $p < .05$ .

#### **Toddlers Scores On Production Ability**

The children ability to produce sounds and words score in two groups was entered into SPSS. As it is clear from the result there was a significant difference in the speech production and comprehension of children who had a pre-school aged sibling at home and those who didn't. The results of analysis summarizing the descriptive statistics related to the speech composite of the two groups is presented in table 1.

TABLE 1  
DESCRIPTIVE STATISTICS: RESULTS OF PAIRED SAMPLE T-TEST RELATED TO PRODUCTION ABILITY.

		Paired Differences					t
			Std. Deviation	Std. Error Mean	95% Confidence Interval of the Difference		
					Lower	Upper	
Pair 1	OC - CS	1.02500	1.02501	.16207	.69719	1.35281	6.325

OS: only child

CS: child with a pre-school aged sibling

As it is shown in table 4.1 the mean score of the OC group is 10.90 (SD=2.60) and that of the CS is 9.87 (SD= 2.70) on the speech production ability, which shows OC's group superiority over the Cs group. The results of this analysis revealed significant differences in language production between the children with pre-school aged siblings at home and the children who don't.

#### **Toddlers Scores On Comprehension Ability**

To investigate if there were a significant difference between the groups amount of comprehension ability the total score related to the comprehension part of the analysis was entered in to the SPSS. Table 2 shows the descriptive statistic related to the comprehension ability of the toddlers.

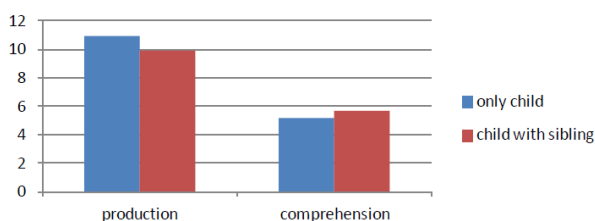
TABLE 2  
DESCRIPTIVE STATISTICS: RESULTS OF PAIRED SAMPLE T-TEST RELATED TO COMPREHENSION ABILITY

Descriptive Statistics: Results of Paired Sample T-Test Related to Compliance Variability									
		Paired Differences					t	df	Sig. (2-tailed)
			Std. Deviation	Std. Error Mean	95% Confidence Interval of the Difference				
					Lower	Upper			
Pair 1	OC - CS	-.52500	.55412	.08761	-.70222	-.34778	-5.992	39	.000

The maximum score for this part of the analysis is 6 with the OC's group mean of 5.17(SD=0.98) and CS's group mean score of 5.70(SD=0.56). the results shows a significant difference on the mean score of the two groups related to their comprehension ability and surprisingly the superiority of CS's group on comprehension ability.

#### IV. INTERPRETATION OF RESULTS AND DISCUSSION

The current study examined the effect of preschool aged sibling on toddlers' language development. The main goal of this study was to investigate how different members of the family could affect different aspects of language development such as the ability to produce and comprehend the language. We found that an only child language production and comprehension differ from those of the children with a sibling around. Specifically the mean average score of an only child ability to produce sounds and words was higher than the mean average of the children with sibling(s). On the contrary the mean average score of the children with sibling(S) on their comprehension ability was higher.



Graph 1: only child toddlers and the toddlers with preschool aged sibling language production and comprehension

Combined, these results support the conclusion that we are safe in accepting the first and second hypothesis that clear differences in language production and comprehension would be evident between the children with pre-school aged siblings at home and the children who don't. the findings seem to add to the evidence prepared by Elizabeth Waters Wooden (2004).

The differences which are found in this research will actually fit well with the Bridge Hypothesis (Barton & Tomasello 1994, Berko-Gleason 1975, Mandle & Tomasello 1987). According to this view the learning environment which is provided by sibling and father is different from that which is provided by mother. Consequently children ability to communicate linguistically will differ based on the presence of a sibling at home. According to the Bridge Hypotheses as sibling provide a more controversial circumstance for communicating, it is not unlikely that children interacting with them, especially in play, would encounter a different and more complex linguistic environment than what they usually hear and communicate with their mothers. Eventually This context will broaden and empower their comprehension ability.

Another possible explanation for this difference could be the toddlers' expectation regarding different family configuration. According to Strapp&Federico(2000), We might expect that children's replies to siblings should differ from their replies to mothers because they hold different expectations of different family members. They know quite well that what the mother is searching for, while talking to him, is a well formed utterance which could definitely make her happy, so they would try to say something as they know their mothers are waiting for a reply. This reaction was also evident in the interaction between the children and their mothers.

These findings are also consistent with the earlier studies by Constance J. Wellen (1985) and Y. Oshima-Takane and M. Robbins (2003). In a study by Constance J. Wellen (1985), mothers were alone with their younger child, and in the other condition, an older sibling was also present. During the question-answer interactions, older siblings responded to 60%–65% of all mothers' questions before younger children had a chance to respond and provided direct answers to the questions in 57%–65% of those instances", the results from this study and the fact that the older sibling try to interpret the younger one intention and therefore reduce the chance of his production practice could be the other reason for hindering the child language production practice. The effect of older siblings' first responses also reduced by half the number of younger children's utterances. The younger children produced fewer noncontent and content answers and

more imitated answers in the presence of the older sibling.”, but at the same time, as the older sibling is a little more proficient in communicating linguistically, the toddlers language comprehension will improve due to a more complex and challenging language environment created by the sibling. This improvement in comprehension might even be due to the quality of the input which is provided by the mother at the presence of the older sibling. In the same study by Constance J. Wellen (1985) she stated” Mothers responded by producing fewer rephrased questions, fewer questions providing hints and answers, fewer questions functioning as repetitions and expansions, and more directly repeated questions when the older sibling was present.” This will reduce the amount of motherese talk which is a great source for language practice specifically its production. It is concluded that the presence of older siblings may influence the language young children comprehend and produce.

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# A Comparative Survey of Vision Metaphors Based on the Corpus in English and Chinese

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**Abstract**—There are abundant vision metaphorical expressions in both English and Chinese. But past relevant researches were only confined to a single language without a unified and systematic analytical framework. So this paper attempts to collect the vision metaphorical expressions in both English and Chinese so as to conduct a systematic analysis and comparison under a newly-established theoretical framework: Vision Conceptual Metaphorical Mechanism (VCM), which is mainly based on embodied philosophy and also the related theories in Cognitive Linguistics. Through the analysis of the 400 (200 from each language) vision metaphorical expressions, totally 48 vision conceptual metaphors (25 in Chinese and 23 in English) are generalized, which can be further classified into four categories: category of idea, category of judgment, category of expectation and category of behavior. It is concluded that English and Chinese people have lots of universality and diversity in vision conceptual metaphors.

**Index Terms**—embodied philosophy, conceptual metaphor, cognition, VCM, contrast between Chinese and English

## I. INTRODUCTION

Among the five perceptive senses, vision perception is the most primary one that man uses to know about the world, the result of which is a most important basis for the understanding of the real world. The vision domain is important not only in its own, but also for the production of abstract domains by metaphorical mapping. As a matter of fact, we can easily find that vision metaphors permeate in our daily language.

The contemporary metaphor theory assumes that such conceptual metaphors play a very important role in human cognition, because they are widespread across various cultures. So the study of conceptual metaphors is of great significance.

Therefore, this paper aims to establish VCM mechanism in order to explain the vision metaphorical expressions in both the English and Chinese languages. Briefly, the author conducts the research by ways of collecting the vision metaphorical expressions in both the English and Chinese so as to make a systematic analysis and comparison under VCM, which is mainly based on embodied philosophy and the related theories in Cognitive Linguistics.

In the previous studies in this field, different approaches were used. Nevertheless, few of them used the method of closed corpus. The study made by the thesis is both data-based and theory-based at the same time.

## II. LITERATURE REVIEW

Leading foreign studies in this field include researches conducted by famous linguists Lakoff & Johnson, Sweetser and Harald. L & J (1980, p.50) in their book of *Metaphor We Live by* proposed that the conceptual metaphor is the basic way for human beings to understand and cognize the world, and they also listed some vision conceptual metaphors, namely: “seeing is knowing”, “seeing is touching”, “eyes are container for emotion” and “seeing is believing”. And they went on to claim in their research that the premised condition for such vision conceptual metaphors is the occurrence of or connection between the target and source domain.

Sweetser further discussed vision metaphorical expressions in English. Sweetser (1990, p.38) in his book *From Etymology to Pragmatics* held the view that “vision is connected with intellection because it is our primary source of objective data about the world”. Harald (2002, p.50) elaborated on vision metaphors involving the visual verb “see” and he summarized that here are four vision conceptual metaphors, namely, “seeing is looking outwardly”, “seeing is eating”, “seeing is manipulation” and “seeing is attention”.

In the past years, many Chinese scholars have also conducted plenty of relevant researches from different perspectives. Through browsing all the publications from 1977 to 2009 in CNKI (China National Knowledge Infrastructure), hundreds of articles concerning conceptual metaphors or the semantic extension of visual concepts can be found, but articles exclusively studying on vision metaphors are deplorably few, not to mention the articles solely related to the contrastive study of Chinese and English vision metaphors.

Qin Xiugui (2008) systematically made a contrastive study of the conceptual metaphor of “eye” in Chinese and English from the perspective of cognitive linguistics. And he found that the domain of “eye” could be mapped onto four experiential domains: domains of intelligence, domains of emotion / attitude, domains of social relation and domains of time or shape. Zhang Xuezhong and Dai Weiping (2007) analyzed the conceptual metaphors related to “eye” and he



concluded in his article that it is the mapping from our vision domain to other less known domains that allows human beings to reason and understand other less familiar concepts. However, his article lacks adequate and convincing statistics and corpus to support his argument. Wu Xinmin (2006) conducted a contrastive study on Chinese and English conceptual metaphors involving the regularly-used visual verbs. He as well alleged that the domains which our vision concepts map onto are not only domains of mentality, but also domains of the outside physical world, including the social relation domain, and other perceptual domains. Gou Ruilong (2003) discussed the perceptual metaphor system. And he primarily studied on vision metaphors and also their relation with other perceptual domains, so as to prove that there was great iconicity in the creation and use of our daily vision metaphorical expressions.

### III. THEORETICAL BASIS

In order to solve the deficiency in the previous researches on vision metaphor, this study is going to apply the relevant theories of Cognitive Linguistics to statistically analyze the vision metaphors in the following two chapters.

The solution includes two parts: the theoretical framework and the data analysis. The theoretical basis is constructed from the cognitive theory CM (the Conceptual Metaphor) and it is especially proposed for explaining the vision metaphors in both English and Chinese. Therefore, we temporarily name this theoretical basis as VCM (Vision Conceptual Metaphorical Mechanism) for convenience in the study.

VCM is a sort of a cognitive mechanism or strategy, established on the basis of CM. And as a cognitive mechanism, it is exclusively put forward to explain vision metaphorical expressions in both English and Chinese. By means of VCM mechanism, the predominant vision concepts can be mapped onto other more abstract or less familiar domains, such as domains of behavior, judgment, or expectation.

Specifically, the newly-proposed VCM mechanism incorporates four subcategories of mapping: mapping “from vision to idea”, “from vision to judgment”, “from vision to expectation” and “from vision to behavior”. And in this paper, the author intends to name the four subcategories simply as: “category of idea”, “category of judgment”, “category of expectation” and “category of behavior” for convenience.

Taken together, the cognitive strategy or mechanism of VCM is mainly composed of the following three leading characteristics besides the common and well-known characteristics of CM:

1. The target domain in VCM is subdivided into four groups according to its own semantic features, namely the “category of idea”, “category of judgment”, “category of expectation” and “category of behavior”.
2. The source domain in VCM is as well divided into two categories: the visual action and the visual organ.
3. VCM displays that the mapping between the target domain and the source domain in a vision metaphorical sentence is actually the mapping from a predominant domain of vision concepts to other less familiar domains, namely domains of idea, judgment, expectation and behaviour. And for the definition of the four categories, please turn to the next chapter for detailed information.

### IV. DATA ANALYSIS AND DISCUSSION

400 vision metaphorical sentences (200 Chinese expressions and 200 English expressions) are selected without any bias from the Sketch Engine Website “www.sketchengine.co.uk” to establish the closed corpus for the present study. Vision metaphorical expressions whose target domains are abstract concepts will be divided into four categories according to “four mappings”, including mappings “from vision to idea”, “from vision to judgment”, “from vision to expectation” and “from vision to behavior”. And under the four categories, 41 vision conceptual metaphors (21 in Chinese and 20 in English) will be further abstracted from the corpus.

The vision conceptual metaphors in the corpus can be divided into two groups: group of “from concreteness to concreteness” and group of “from concreteness to abstractness”. The former refers to the vision conceptual metaphors whose target domains are concrete concepts rather than abstract concepts. Analysis and discussion will not go to the former group because it is only a minor group which only includes a few examples and whose target domains are simple and concrete concepts. The latter involves those vision conceptual metaphors whose target domains are not concrete but more abstract or sophisticated concepts related to one’s idea, judgment or expectation. Analysis shows that the former group is a very small group with just a couple of vision conceptual metaphors in both languages whereas the latter group in fact covers most of the vision conceptual metaphors in both Chinese and English corpora and it is, therefore, the center of the present study.

#### A. *From Concreteness to Concreteness*

This small group includes the vision conceptual metaphors whose target domains are concrete concepts such as “hole” or “a leader” instead of abstract concepts. Take the conceptual metaphor of “eye is a hole” in this group as an example. This vision conceptual metaphor involves the projection between a concrete concept “eye” (source) to a concrete concept of “hole” (target). The ground between the source domain and the target domain is the great similarity between the two domains, specifically, their similar shape or appearance.

On the other hand, three vision conceptual metaphors have been abstracted from the English corpus with 8 linguistic expressions, which stand 4.0% of the total. Both conceptual metaphors of “view/eye is a container” and “eye is a hole”

have been adopted respectively by three specific metaphorical expressions, which weigh 1.5% in the English corpus. The “eye is prier” is the least-used vision conceptual metaphor with only 2 linguistic expressions (1.0%) in the English corpus.

TABLE 1:  
VISION CONCEPTUAL METAPHORS IN “FROM CONCRETENESS TO CONCRETENESS”

Vision Conceptual Metaphor in “from Concreteness to Concreteness” in the Corpus			Number	Rate (num /200)	Examples
Chinese	1	眼是孔洞	3	1.5%	这样的人而欲广交朋友，岂不等于驼想钻针眼吗？
	2	眼是珍贵物	3	1.5%	把钞票当眼珠子看待的，是工薪族。
	3	眼是打听者	2	1.0%	蛇头大都是黑道上的，眼线多。
	4	目是首领	2	1.0%	塔利班的指挥官称：基地头目仍活着。
English	1	eye is a container	3	1.5%	I could see fear in his eyes.
	2	eye is hole	3	1.5%	Is it possible for a camel to go through the eye of a needle?
	3	eye is prier	2	1.0%	Barry is a police man who is now a private eye.

However, the group of “from concreteness to concreteness” is not the focus of the present study in that the relation between the source and target in the vision conceptual metaphors in that group is quite simple and obvious. Therefore, efforts will mainly be devoted to the detailed analysis and discussion to the vision conceptual metaphors in the group of “from concreteness to abstractness”.

#### B. From Concreteness to Abstractness

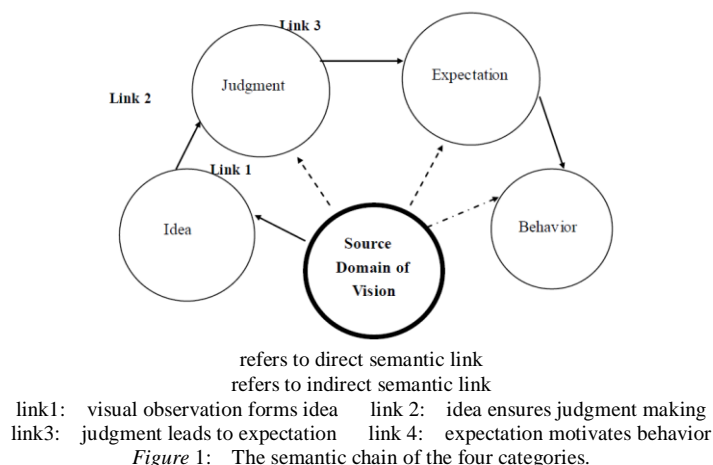
The group of “from concreteness to abstractness” is the focus of my present study which actually refers to the group of vision conceptual metaphors whose target domains are not concrete but more abstract and intangible concepts related to one’s idea, judgment, expectation or behavior. Thus this group is further divided into four subgroups, namely, the category of “from vision to idea”, “from vision to judgment”, “from vision to expectation” and “from vision to behavior”. After the meticulous analysis and computation of the established corpus, information about the four categories of the conceptual metaphors in this group is illustrated very clearly in the following table.

TABLE 2:  
VISION CONCEPTUAL METAPHORS IN “FROM CONCRETENESS TO ABSTRACTNESS”

Categories	Vision Conceptual Metaphors	
	Chinese	English
From vision to idea	85 (42.5%)	80 (40.0%)
From vision to judgment	30 (15.0%)	8 (4.0%)
From vision to expectation	20 (10.0%)	24 (12.0%)
From vision to behavior	55 (27.5%)	80 (40.0%)
Total	190 (95.0%)	192 (96%)

It is found from the table that there exist great similarities between Chinese and English vision conceptual metaphors. In both languages, the category of “from vision to idea” holds the largest share, with 85 vision metaphorical expressions as its specific linguistic instantiation (42.5%) in Chinese corpus and 80 ones (40.0%) in its English counterpart, and the category of “from vision to behavior” stands the second largest percentage, with 55 vision metaphorical expressions (27.5%) in the Chinese corpus and 80 ones (40%) in the English corpus. However, other two categories are somewhat less popular or typical.

It is also worthwhile mentioning that the four summarized categories are by no means separated but closely connected with each other by means of a semantic chain. Therefore, it is of necessity for us to find out their interrelations and the following figure may clearly offer us a glimpse of such a meaning chain between them.



The above figure shows the semantic link between the four categories. And the embodied philosophy can very well provide a cognitive interpretation for such a link between these four different target domains in the four categories in both Chinese and English languages.

And the four categories which will be analyzed and discussed in the following pages also bear such a sequential relationship: from the most dominant vision domain to other less predominant domains.

1. From “vision” to “idea”

Vision is virtually the most leading access to the outside information. Thus, human beings always form their own ideas or always understand the world through their visual observation. Naturally, “vision” and “idea” are interconnected in nature.

2. From “idea” to “judgment”

Once an idea is formed, people may bear or hold a certain impression on or attitude toward a certain entity or situation. And this is called “judgment”. A person’s “idea” is closely related to “judgment” and indirectly linked to our “vision”. Thus, in order to express the two different relations, in the above figure, the line between the “idea” and “judgment” is concrete whereas the line between “vision” and “judgment” is dotted.

3. From “judgment” to “expectation”

One’s “expectation” (high or low, positive or negative) is always based on his or her “judgment”. Therefore, “judgment” and “expectation” are interrelated with each other. A certain kind of “expectation” of one thing is actually the result of the “judgment” made on it.

4. From “expectation” to “behavior”

One’s “expectation” of something may naturally give rise to one’s action and movement in order to fulfill his or her “expectations”, “dreams” or “hopes”. “Expectation” is made in mind, while behavior is realized by a series of plans, preparations and also bodily movements. So it is safe for us to conclude that the former is the driving force for the latter and the latter may also be seen as the result of the former. And as for the relationship between “vision” and “behavior”, it is naturally less clear because such a relation is formed at the two far ends of the long semantic chain.

### C. *Vision Conceptual Metaphors in the Chinese Corpus*

This section will mainly be devoted to the analysis and discussion of the 200 vision metaphorical expressions in the Chinese corpus under the theoretical framework of VCM.

In Chinese corpus, there are totally 25 vision conceptual metaphors abstracted from 200 vision metaphorical expressions. And the result of the analysis is shown self-evidently in the following table:

TABLE 3:  
VISION CONCEPTUAL METAPHORS IN CHINESE CORPUS

Vision Conceptual Metaphor	Number	Rate (num/200)	Examples
1 看是期待	16	8.0%	从现在看未来, 了解人类从哪里走来。
2 看/视是认为	15	7.5%	他把党与人民的血肉之情看得极重要。
3 看是明白	15	7.5%	他的险恶用心难道你还看不出来吗?
4 看是评价	13	6.5%	她对运动员使用兴奋剂一事怎么看?
5 看是检查	13	6.5%	村民看小病不出村, 老年人看病免费。
6 看是监控	11	5.5%	他就是看了一辈子井的刘国恩。
7 看喻照顾	11	5.5%	婆婆不替我看宝宝我很伤心。
8 察是调查	10	5.0%	差你往齐东村明察暗访。
9 眼是作证	10	5.0%	让地方公司作眼, 将梁家家财变卖了。
10 眼/看是鉴别	9	4.5%	这车子挑的好, 你真有眼力。
11 眼/观/见是观点	9	4.5%	我们要爱勇敢和有远大眼光的人
12 看/见是了解	9	4.5%	城里人要看世界, 农村人也要看世界。
13 看/察是判断	8	4.0%	群众看共产党, 还不就是看咱这些共产党干不干实事嘛。
14 眼是注意	7	3.5%	把布告贴在最显眼的地方。
15 眼是角度	7	3.5%	以战略的眼光来看待技术管理问题。
16 眼是态度	6	3.0%	我们总是遇到冷眼。
17 眼/目喻现在	6	3.0%	以后的事以后再说,眼底下的事要紧。
18 眼是要点	5	2.5%	就在节骨眼上,出了奸细, 给官军引路。
19 看是小心	4	2.0%	哪里走, 看打!
20 眼是情感	4	2.0%	野兽未必肯在享用你以前, 跟你飞眼送秋波, 可方鸿渐不是野兽, 只算家畜。
21 眼是孔洞	3	1.5%	这样的人广交朋友不等于驼想钻针眼吗?
22 眼是珍贵物	3	1.5%	把钞票当眼珠子看待的,是工薪族。
23 眼是打听者	2	1.0%	蛇头大都是黑道上的, 眼线多。
24 眼是见识	2	1.0%	快把那几幅名画拿出来,让大家开开眼。
25 目是首领	2	1.0%	塔利班的指挥官称: 基地头目仍活着。

Table 3 illustrates very clearly that there are totally 25 vision conceptual metaphors altogether, which are abstracted from the 200 metaphorical expressions in the Chinese corpus. The top five most-used vision conceptual metaphors generally are “看是期待”, “看/视是认为”, “看是明白”, “看是评价” and “看是检查”. The vision conceptual metaphor “看是期待” is adopted by 16 examples (8.0%) and the “看是认为” conceptual metaphor has 15 specific linguistic expressions (7.5%), which rank first and second respectively in the Chinese corpus. In Table 4.3, we can also find that both “眼是孔洞” and “眼是珍贵物” have 3 specific linguistic expressions, both of which weigh 1.5% of the total. “眼是打听者”, “眼是见识” and “目是首领” are three least-used vision conceptual metaphors. The number of linguistic expressions in each of them is all 2, which stands only 1.0% of the total in the corpus.

It is also worth mentioning that compared with Table 2.2, 8 new Chinese vision conceptual metaphors have been identified in the corpus, which may be seen as one of the contributions of the present study. And the following shows the additional newly-discovered conceptual metaphors in the Chinese language.

TABLE 4:  
8 NEWLY-IDENTIFIED VISION CONCEPTUAL METAPHORS IN CHINESE CORPUS

Vision Conceptual Metaphors	Examples
1. 看是期待	从现在看未来，了解人类从哪里走来。
2. 看是评价	她对运动员使用兴奋剂一事怎么看？
3. 看是检查	村民看小病不出村，老年人看病免费。
4. 察是调查	差你往齐东村明察暗访。
5. 眼是作证	让地方公司作眼，将梁家家财变卖了。
6. 眼是珍贵之物	把钞票当眼珠子看待的，是工薪族。
7. 眼是角度	以战略的眼光来看待技术管理问题。
8. 目是领导	塔利班的指挥官称：基地头目仍活着。

For instance, “眼/看是鉴别能力” means “eyes have judging or appreciating ability”. When people take a look at something or someone, they would unconsciously make a judgment in their minds according to all the information they collect by eyes. That is the basis of the vision metaphorical mapping from vision domain to judgment domain.

(1) 这车子挑的好，你真有眼力。

(2) 古玩市场也一样，比的是“眼力”。你的眼力好，奇货珍品经常走进你的宝库。

“眼力” in the above two examples refers to the ability in picking out the right commodities. In the given context of market, the meaning of “力” could be metaphorized. During the process of understanding the phrase “眼力”, the mapping happens between the vision domain and mental domain.

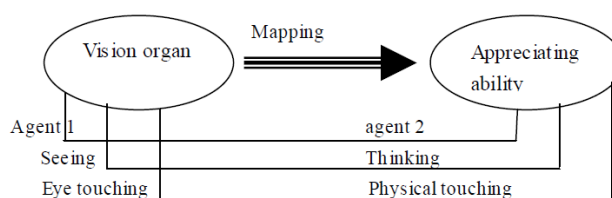


Figure 2: VCM illustration of “眼是鉴别能力”

In Figure 2, the metaphorical meaning of the “appreciating ability” is achieved through the mapping from attributes like “seeing” and “eye touching” in source domain onto those attributes like “thinking” and “physical touching” in the target domain.

#### D. Vision Conceptual Metaphors in the English Corpus

This part centers on the detailed analysis and discussion of the all the 200 English vision metaphorical expressions and 23 English vision conceptual metaphors abstracted from the vision metaphorical expression in the English corpus under VCM. All the metaphorical expressions whose target domain are abstract concepts are to be divided into four parts which are category of idea, category of judgment, category of expectation and category of behavior.

In the English corpus, the abstracted 23 vision conceptual metaphors are listed clearly in the following table.

TABLE 5:  
VISION CONCEPTUAL METAPHORS IN ENGLISH VISION METAPHORICAL EXPRESSIONS

Vision Conceptual Metaphor	Number	Rate(num/200)	Examples
1 viewing/eye is opinion/idea	15	7.5%	What is your view on school punishments?
2 seeing is understanding	15	7.5%	He didn't see the joke.
3 seeing is experience	13	6.5%	London Home Care service saw 103 deaths.
4 eye is focus of attention	12	6.0%	He was in the public eye all his life.
5 seeing is touching	11	5.5%	I can't take my eyes off her.
6 eye/sight is knowledge	11	5.5%	For me it was such an eye-opener.
7 looking/eye/seeing is thinking	11	5.5%	Government should look round well before taking measures.
8 eye is supervision	10	5.0%	You had better keep an eye on that fellow.
9 eye is affection	10	5.0%	John cast sheep's eyes at the new girl.
10 eye/seeing/looking/prospecting is expectation or plan	10	5.0%	Since she left school she's had an eye to marriage.
11 looking is investigation	9	4.5%	The mayor promised to look into whether the clash was designed.
12 seeing is knowing	9	4.5%	He felt as if John was seeing into his mind.
13 watching is alerting	9	4.5%	So please watch your back, you don't know who will hurt.
14 looking is facing	8	4.0%	Many new buildings look south.
15 eye/seeing is judging	8	4.0%	You do seem to have an eye for essentials.
16 watching is waiting	8	4.0%	To watch a chance (an opportunity) need enough patience.
17 watching is guarding	7	3.5%	The shepherd is watching a flock of sheep.
18 view/eye is perspective	7	3.5%	To my eye, the decoration is excellent.
19 Seeing is eating	5	2.5%	Feast your eyes on this beauty
20 eye is interest	4	2.0%	She only has eyes for Mark.
21 eye is hole	3	1.5%	Is it possible for a camel to go through the eye of a needle?
22 view/eye is a container	3	1.5%	I could see fear in his eyes.
23 eye is prior	2	1.0%	Her boyfriend Barry is a former police man who is now a private eye.

Table 5 shows that compared with 25 Chinese vision conceptual metaphors, there are only 23 ones abstracted from English corpus. It seems that people in English-speaking countries are a little less skilled at understanding and creating vision metaphorical expressions.

If we compare the above summary with our previous related researches, it is encouraging to see that 8 new vision conceptual metaphors have been identified in the English corpus, which may also be regarded as one of the little contributions of the present study. And the following illustrates the additional conceptual metaphors in the English corpus which are actually serving as a complement for the previous achievements.

TABLE 6:  
8 NEWLY-IDENTIFIED VISION CONCEPTUAL METAPHORS IN ENGLISH CORPUS

Vision Conceptual Metaphors	Examples
1. looking is investigation	He promised to look into if the clash was designed.
2. watching is alerting	Please watch your head.
3. looking is facing	Many new buildings look south.
4. eye/seeing is judging	You seem to have an eye for essentials.
5. watching is waiting	To watch a chance need enough patience.
6. watching is guarding	She is watching a flock of sheep.
7. eye is interest	She only has eyes for Mark.
8. eye is hope/wish	Since she left school she's had an eye to marriage.

The following is the specific VCM illustration of the more popular vision conceptual metaphor in his group "seeing is understanding".

The visible knowledge collected by eyes is just the perceptual or direct knowledge which is stored in your brain. Only by mental processing in brain, can the superficial and perceptual knowledge become our conceptualized and rational knowledge. The processing of perceptual knowledge in brain is mostly realized by the process of metaphorical mapping.

Such as:

(3) Be around. Like a daughter? Well, you see, that's how I think.

(4) Waited for a young man to find him a cab, I saw my chance.

In (3), "see" means "to understand". When the word "see" is collocated with mental concepts like "think" or "idea", the metaphorical meaning behind the vision verb "see" will be activated. In (4), the concept of "chance" is invisible, but still we can find it by analyzing the situation based on the visible clues. And the following figure shows how the emergent meaning originates.

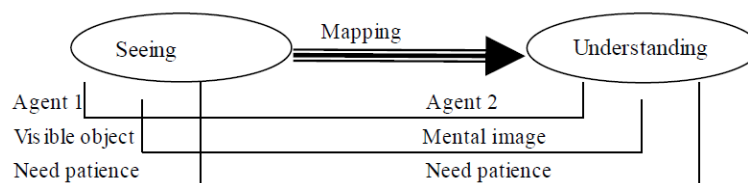


Figure3: VCM illustration of “seeing is understanding”

In the process of mapping, parts of the different attributes in the source domain will be projected onto their relative attributes while the similar attributes in both domains will serve as the correlative context. Let take (4) as an example. In the source domain, the “agent 1” of the act will be mapped onto “agent 2” during the projecting process. At the same time the visible object in the source domain will be mapped onto the mental image in the target domain. As we all know that both “seeing” and “thinking” need the patience, time and effort. Here, the patience in both domains will act as the contexts which help us realize the mapping process.

#### E. Universality of Vision Conceptual Metaphors in Both Languages

There are 25 vision conceptual metaphors abstracted from the Chinese corpus and 23 ones from the English corpus. Due to the similar living condition in some ways and also the similar cognitive methods or strategies of human beings, commonness of vision metaphors may exist in both languages.

And vision metaphors in English and Chinese share lots of commonness which may originate from the similar embodiment foundation and similar interactive mechanism between human and the outer world. Based on the embodiment foundation and the interaction mechanism, we could find similar conceptualization mechanism of the vision metaphor in both the English and Chinese.

TABLE7:  
THE 20 VISION CONCEPTUAL METAPHORS SHARED BY BOTH LANGUAGES

English Conceptual Metaphors	Chinese Conceptual Metaphors	Category
1. eye is idea	1. 眼/观/见是观点	idea
2. eye is hole	2. 眼是孔洞	idea
3. eye is container	3. 眼是容器	idea
4. eye/sight is knowledge	4. 眼是见识	idea
5. eye is pier	5. 眼是打听者	idea
6. eye is focus of attention	6. 眼是注意	idea
7. eye/view is perspective	7. 眼是角度	idea
8. eye/seeing/looking is considering	8. 看是认为	idea
9. seeing is thinking	9. 看是思考	idea
10. seeing is knowing	10. 看见是了解	idea
11. seeing is understanding	11. 看是明白	idea
12. eye is identifying	12. 眼是鉴别	judgment
13. seeing is judging	13. 看是判断	judgment
14. eye/seeing/looking is expectation	14. 看是期待	expectation
15. eye is affection/interest	15. 眼是情感	expectation
16. seeing is experiencing	16. 看是经历	behavior
17. seeing is evaluating	17. 看是评价	behavior
18. eye is supervision	18. 看是监控	behavior
19. watching is guarding	19. 眼是照顾	behavior
20. looking is investigation	20. 察是调查	behavior

The above table summarized shows that most of the vision conceptual metaphors shared by both Chinese and English are in the first category of idea. There are totally 11 shared vision conceptual metaphors whose target domains are all related to the concept of “idea or thinking”. Embodied philosophy may perfectly well afford us an interpretation for such phenomenon: human beings more often employ the familiar concepts of vision to say the abstract concepts of idea in that “vision” and “idea” have developed or established a very strong connection in the process of our cognization of the world.

And given the analysis above, commonness shared by both languages can be illustrated as follows:

1. Physiological research shows that all human beings’ vision perception depends on three factors: (1) the structure of the eye; (2) the vision stimulus (light); (3) the pathway from the eye to the brain.

Such as:

(5) 吴伯雄九十六岁高龄的父亲吴鸿麟老先生看在眼里，感到非常的同情。

(6) 会看的看门道，不会看的看热闹。

(7) Waited for a young man to find him a cab, I saw my chance.

(8) Be around. Like a daughter? Well, you see, that’s how I think.

In example (5), “看在眼里” means “to have a deep impression”. Every day, we may collect a great deal of vision

information through our eyes. However, only a very little segment of them can be reserved or locked in our brain. The vision verb “看” here is obviously to emphasize the outline of what is seen.

2. Cognitive psychological research shows that the development of human cognition is a process from concrete to abstract, from known to unknown, which actually is the basis for adopting the cognitive strategies of metaphor and metonymy when we are describing something new or complicated. Although we have five sensors to obtain concrete knowledge from the world we live in, vision perception is the most important and primary channel.

3. Most activities of human beings are to deplore and understand their outside objective and complicated world. The outside world which provides the environment and living necessities for human beings are quite similar or almost the same since we share the same earth and natural resources. That is the reason why both Chinese people and the English-speaking people are very apt at understanding and creating many metaphorical expressions to describe our similar lifestyle or activities with a similar strategy of VCM.

#### F. Diversity of Vision Conceptual Metaphors in Both Languages

This part also functions as the complementary part of the all-round analysis of vision metaphors in the present study. And we will elaborate on the variations between the vision metaphors by a summarized table.

And the following summarized table can show us a sketch of the diversity of vision conceptual metaphors in both languages. Specifically, the table above affords us the specific conceptual metaphors which are unique in Chinese or English vision metaphorical expressions.

TABLE 8:  
UNIQUE VISION CONCEPTUAL METAPHORS IN BOTH LANGUAGES

English Conceptual Metaphors	Chinese Conceptual Metaphors
1. seeing is eating 2. looking is facing 3. watching is waiting	1. 眼是珍贵物 2. 眼底/目前/眼前喻现在 3. 目是首领 4. 看是体检 5. 眼是作证

The above table shows the unique vision conceptual metaphors in Chinese and English. Based on the analysis of the two corpora, 3 unique vision conceptual metaphors in English language and 5 ones in Chinese languages have been identified altogether. Also in some other cases, English and Chinese may share the same conceptual metaphors but with different metaphorical manifestations. In other words, the linguistic instantiation of the same conceptual metaphor varies.

And the author believes the reasons for this difference lie in the following two contributors: 1) different cultural values; 2) different living conditions.

1. Cultural values are different. Cultural anthropologists often investigate the ways that experience is understood differently in different cultures.

English and Chinese are two different languages belonging to and as well reflecting different eastern and western cultures. Culture influences human being's experience and cognitive model and thus gives rise to different conceptual metaphorization of vision terms. So the diversity in language actually is an embodiment of culture conflict.

2. Living conditions are different. Different living conditions may produce different experiences. It is based on these experiences that a variety of vision metaphorical expressions could be generated. Due to the different experiences, the selection of the concepts in both source domains and target domains may vary. Thus we have different vision metaphorical expressions in English and Chinese languages.

(9) 姚明轻看中国男篮亚运对手直言韩国队夺冠没戏。

(10) The on-lookers see through most of games.

In the above examples, vision verbs “看” and “see” are combined with those adjectives and prepositions which express physical concept such as “轻”, “through”. It seems that Chinese people tend to treat vision concept as entity and believe that the meaning of vision verbs and vision nouns should have some features of entity. Such as “重” or “轻” and later we have “轻视” and “重视”. However, English people prefer to take concepts of space as the target domains. Thus we have “look up to” or “look down upon” or “look through” in English language.

1) “眼是珍贵物” is the particular vision conceptual metaphor in Chinese corpus with 3 vision metaphorical expressions, which stand 1.5% of the total. Eye is the most indispensable organ for human beings. Without vision organ, we would live in darkness forever. So that we cherish it, love it and try to protect it as well as possible. Eye is like the gift bestowed by our parents. Based on the similarity, a metaphorical projecting between “vision organs” and “cherished materials” come into being.

2) “Watching is facing” is also a unique vision conceptual metaphor never shared by Chinese expressions. Actually, in Chinese, people can only use “面朝, 面对” to express the meaning of facing a certain direction, whereas in English, such meaning can be expressed feasibly in two different concepts of “facing” and “watching”.

3) “Watching or looking is waiting” is as well a very unique vision conceptual metaphor in English. And in Chinese, we have not identified such kind of vision conceptual metaphors so far. In the conceptual of “watching is waiting”,



waiting is action involving many specific acts such as watching, listening, and expecting.

(11) He watched to see what I would do.

(12) He watched for his chance to propose to her.

“Looking or watching is facing” certainly comes from our daily bodily experience. But such an experience is more impressive for the English people. For Chinese people who pay much more attention to their value of “face”, they may only use “面” to mean “face” and that is why we only find in English corpus the existence of the vision conceptual metaphor of “looking or watching is facing” but not in Chinese.

## V. CONCLUSION

### A. Contributions of the Thesis

In conclusion, the significance and contributions in the present study are listed as follows:

1. Based on the reflection of the theories of metaphor, including the vision conceptual metaphors, the author proposes VCM mechanism for the first time.

2. The author makes a comprehensive survey on 14 vision vocabularies (7 in Chinese and 7 in English), establishes a closed corpus with 400 examples, and attempts to compare and analyze their similarities and differences systematically, with some relevant data and proportions. Through comparison, this research reveals that vision metaphors show some universalities and diversities between English and Chinese.

3. Analysis of the corpus unfolds some important findings: totally 48 conceptual metaphors being abstracted from the corpus (25 in Chinese, 23 in English); the top three in Chinese and English vision conceptual metaphors are respectively (cf. p. 25 & p. 36): “看是期待(16)”, “看/视是认为 (15)” and “看是明白 (15)”, “Viewing/eye is opinion/idea (15)”, “seeing is understanding (15)” and “seeing is experience (13)”. And also in both corpora the categories of idea hold the largest percentage with 42.5 % and 40.0 % in both Chinese and English languages.

4. 16 vision conceptual metaphors (8 in Chinese and 8 in English corpora respectively) have been added to the summarized vision conceptual metaphors in the previous researches.

In general, the empirical studies presented herein reinforce the view that metaphor is the main mechanism through which human beings comprehend abstract concepts and perform abstract reasoning. These conceptual metaphors are grounded in our basic human experiences that may be universalities to all human beings.

### B. Limitations and Suggestions for Further Study

So far, the basic goal of this study has been fulfilled: to sort out the cognitive foundation of metaphor and to provide cultural explanations to the universalities and diversities from the comparative perspective between English and Chinese linguistic data. By this it does not mean that the current research is exhaustive and all-inclusive. Instead, from a macro-level perspective, the studies presented in this thesis are still very limited in breadth and depth.

And also VCM, especially proposed for this study, may also prove to be of great use when applied and extended to explanation of other perception conceptual metaphors.

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# A Comparison of the Themes of *The Journey to the West* and *The Pilgrim's Progress*

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**Abstract**—The Journey to the West, which tells the journey of four Buddhist monks who have overcome many hardships for the purpose of arriving in the West and asking for the Buddhist Scriptures, is one of the “four classics” of China. The Pilgrim's Progress tells the difficult journey of Christian from the “City of Destruction”, his hometown to the “Celestial City”. Despite of the sameness of the two stories, that is, the strong religious atmosphere, there are still obvious differences between them. This article tries to compare the themes of the Journey to the West and the Pilgrim's Progress. At the beginning, we will discuss the themes of the two novels. Then we will compare the differences of the themes and will discover that both of them have revealed the religious belief of “learn virtue and unlearn vice” and criticized the current society. But the aims of the journeys and the attitudes to the new rising class of the authors are of remarkable differences. The purpose of this article is to help the readers appreciate the two stories better, and to have better understanding of the reasons of such differences.

**Index Terms**—journey to the west, Pilgrim's progress, religious belief

## I. INTRODUCTION

The sameness of the Journey to the West and the Pilgrim's Progress are: they are both molded from the religious stories; they have respectively described an ideal character who has overcome many difficulties in the journey of the heaven; the characters in their stories were gifted the spirit of going ahead bravely and insistently without looking backs despite of the hardships. The Pilgrim's Progress is called as the “most perfect allegory” by the westerners while the Journey to the West is called as the “Medieval mythology of China”. (Guo Wen, 2001) Banyan and Wu Cheng'en both chose the unearthly subjects while they were attacking their nations' ills and cures, reflecting the profound senses of responsibility and vocation, and revealing their earthly thought. What's more, the title of the Pilgrim's Progress was translated as 《圣游记》 in China and according to Helen Hayes's translation, the Journey to the West was called the Buddhist Pilgrim's Progress: the Record of the Journey to the West. The similarity of the translations of the titles showed that the western and Chinese scholars have noticed the similarities of the two novels and compared them with each other. However, there are obvious differences between them on the motivation of journeys, the attitudes to the new rising class and the grammatical characteristics, so it is meaningful to explore the differences covered by the apparent similarities.

## II. A BRIEF INTRODUCTION OF THE THEMES OF THE JOURNEY TO THE WEST AND THE PILGRIM'S PROGRESS

During the latter part of the 17<sup>th</sup> century, the famous Christian novel titled as the Pilgrim's Progress was composed by Banyan. It was so influential in the western countries that the westerners generally considered it as the most important Christian classic preceded only by the Bible. On the basis of Christian doctrines, Banyan designed and described the human beings' way to the paradise through the form of a dream. Therefore the Pilgrim's Progress has always been seen as an allegory of salvation generated from the Christian doctrines. Similar to the Pilgrim's Progress, there is also a novel describing the human beings' way to the west. The novel is titled as the Journey to the West, which began to be popular in China since the late 17<sup>th</sup> century and is still well-known by the Chinese now. The Journey to the West adopted the form of adventure of Sun Wukong, Xuan Zang, Zhu Bajie and Sha Seng, who had experienced all the difficulties on the way to the West, the ideal world of the Buddhism. However, despite that they are both religious novels describing the ways to the paradise, what they have conveyed is totally different: the different religions and cultures; the salvation of the soul in the western Christianity and the self-realization of the Chinese out of their psychology influenced by the Confucianism, the Buddhism and Taoist school.

### A. The Theme of the Journey to the West

The journey full of hardships of Sun Wukong, Xuan Zang, Zhu Bajie and Sha Seng was of complete difference from the journey of Christian, who went to the “Celestial City” on the purpose of seeking for the salvation of his soul since he thought he was guilty. In the Journey to the West, the image of Sun Wukong was the representative of the people

who conveyed the spirit of self-realization in the Chinese traditional culture. Being different from the western culture which centered itself in the Christianity and emphasized the human beings' soul, the Chinese people focused on the human beings' mind. The term "mind" here is the essential and most basis element of the nature of a person. According to Mencius, "Kindness exists in the mind of the people and uprightness should be reflected by the conducts of the people." (Jame, 2008, P.405) It means that the kindness is the nature of the people's mind. So Li Wanjun said, "the essence of a person is the reason for a person being called as a person; the definition of a person is the differences between the human beings and the animals. The reason for a person being called as a person is the mind of him." (Li Wanjun, 2005, P.167) Here the mind means the sweet and kind appearances and the self-realized personality of a person inside. So the mind is the core of the nature of the human beings. It also contains the inner motivations of a person to love the others. The nature of the human beings' mind is kindness, which is actually the moral consciousness of a person of practicing to be the perfect one in the interactions with the outer world. Therefore, the human beings' mind does not only contain the kindness, but also the subjective initiation.

At first, Subhuti named the monkey as "Wukong" (understand the emptiness) to suggest that the monkey could eliminate the stupidity and obscurant of ignorance and un-civilization only when it realized the emptiness of desire and self. In fact, to understand the emptiness and to eliminate the un-civilization are interactive, that is to say, when you have eliminated the stupidity and obscurant of ignorance and un-civilization, you can understand the emptiness and anatta (no self). So Chen Yuanzhi said, "To grasp the attention of a people in order to capture the devil in his mind; to capture the devil in the mind of a person in order to restore the rationality of him; to restore the rationality of a person in order to recover the purity of a person just like he was at the beginning of his life." (Yang Zhouhan, 1995, P.19) The process of Sun Wukong's indulgence of itself to the returning to the right way, and then to the understanding of the true self was conducted in the adventure where it had beaten down the monsters and ghosts time and time again and cultivated itself from time to time. On the way to the west, there were many similar ones among the eight one set difficulties, which make people feel repeated. Actually, the repeated and varied difficulties, the iterative monsters and ghosts and again and again fights with them were precisely the one and another evil ideas in people's mind. And the fights of Sun Wukong were the process of overcoming the evil ideas and returning to the rational and upright way of people. Thus we can see that the author treated Sun Wukong, a monkey, as a human being and depicted the process of Wukong's self-realization to convey the process of self-realization of the human beings.

#### B. *The Theme of the Pilgrim's Progress*

Through the form of a dream, Banyan told the story about the progress of Christian from the "City of Destruction" to the "Celestial City". I, the narrator, behold Christian, a man clothed with rags, standing in a certain place, with his face from his own house, a book in his hand, and a great burden upon his back. He wept and trembled; and not being able longer to contain. He cried to his wife and his family, "I am for certain informed that this our city (this world) will be burned with fire from heaven; in which fearful overthrow, both myself, with thee my wife, and you my sweet babes, shall miserably come to ruin, except (the which yet I see not) some way of escape can be found, whereby we may be delivered." (John Bunyan, 2003) When Christian was crying since he had no idea about the fire and the ruin, a man named Evangelist came to tell him to "flee from the wrath to come".

Then Christian ran to the shining light that Evangelist told him and sought for salvation from the "Celestial City". He began his progress to the heaven. When he was at the beginning of his journey, a friend named Obstinate came to put him off but did not succeeded. A friend named Pliable followed him, but when they drew near to a very miry slough named Despond, and both fell suddenly into the bog, Pliable gave a desperate struggle or two, and got out of the mire on one side of the slough and went away. But Christian gave his hand to Help and Help drew him out and set him upon sound ground. Later Christian was diverted by Mr. Worldly Wiseman into seeking deliverance from his burden through the Law. Then by the help of Evan and Good-will, Christian, he returned to the direct way and entered the Wicket Gate embodying the cross. During his progress, Christian experienced all kinds of difficulties and suffered a lot of hardships. He went through the Hill of Difficulty, the Valley of Humiliation, the Valley of the Shadow of Death, and the Vanity Fair. He was helped and encouraged by "xianhui", Piety and Charity. He also acquired the friendship of Faithful. Finally, at the companion of Hopeful, Christian crossed the River of Death and arrived at the Celestial City.

### III. THE SAMENESS AND DIFFERENCES ON THE THEMES OF THE JOURNEY TO THE WEST AND THE PILGRIM'S PROGRESS

#### A. *The Sameness*

Both novels are religious allegories and have depicted the vivid living scenes of the three realms (the heaven, the earth and the under-earth) encyclopedically by the help of the travelogue structure, just as Li Wanjun has pointed out, that both of them are the combinations of religion and reality. Two mainline, the character of religion and the spirit of criticism, run through the two stories.

##### 1. The religious belief of "learn virtues and unlearn vice"

The stories of both novels have developed on the basis of religion. The author of the Pilgrim's Progress composed the novel according to the Christian thoughts: sin-belief-salvation-saved-blessed. First Banyan described the beginning of Christian's journey, in order to seek for truth and brightness, with the burden of sin. He was once tempted by Mr. World Wiseman, but he could get himself to the Wall of Salvation and come up with the cross. His burden loosed from off his

shoulders, and fell from off his back. It means that Christian accepted the religion, found the right way of salvation and entered the heaven at last. The Journey to the West, however, focuses mainly on the Buddhist ideas of Larma (comeuppance), ascetic practices for salvation, helping the others and entering the Pure Land. The four main characters, Sun Wukong, Xuan Zang, Zhu Bajie and Sha Seng, all committed crimes in their previous lives and were sent to the earth to suffer the hardships. As soon as they set the goal of going to the west for the Buddhist scriptures, they were always helped by the kinds of gods and fairies. The eighty one hardships were the experiences of ascetic practice the four main characters as well as the experience of accumulating the virtues of beating monsters and helping the common people.

Both novels describe the pursuit of the followers of the ideal realms of their religions: the heaven of the Christianity and the west of the Buddhism, despite of the hardships and backslides. The main characters of both novels are the most sincere and firm followers of their religions. In the Pilgrim's Progress, Christian has passed the examinations of Beelzebub, beauties, wealth, power and betrayal and makes up his mind to reach the heaven. In the Journey to the West, Sun Wukong is a hero who will kill and beat down every monster and villain and will help everyone in the sufferings. The four characters are the Buddhist followers who should confront with many hardships in the journey since no mountains are without monsters and no places are without dangers. The theme of the Journey to the West is to declaration the common belief of all religions: Larma (comeuppance); to punish the evils and praise the kindness; to believe in the gods sincerely; to conduct ascetic practice and the almighty of the gods. As the novels drawn from the religious stories, both of them chose the classic of their religions: the Bible and the Buddhist scriptures. As a pietistic Christian and preacher, Banyan learnt mainly from the Bible, so he was called as the "man of one book" and was very familiar with the Bible. The first and the second part of the Pilgrim's Progress have respectively quoted 160 and 94 similes from the Bible and the doctrines of Christianity exist in every part of the whole novel. The Pilgrim's Progress is full of the strong religious atmosphere of kindness, tolerance, glory of the God and the puritanical thought of self-governance and reasons. Wu Cheng'en, the author of the Journey to the West, was not a pure Buddhist or Taoist. He was gifted the traditional thoughts of the combined Buddhism, Taoism and Confucianism just like the other Chinese scholars. So, among the gods of the story, there are Buddha and Bodhisattva of the Buddhism and the Jade Emperor and the heavenly gods of the Taoism. They usually unite with each other and attack the monkey, the rebelling one. Xuan Zang is a Buddhist aiming at delivering all living creatures from torments, but he is weak, pedantic and unable like the Confucian scholars. At first Sun Wukong learnt from Subhuti, and then he converted to Buddhism. The Buddhist stories, Confucian classics and Taoist sayings are everywhere in the novel. And at the end of the story, the four characters got the Scriptures (Buddhism), became immortal (Taoism) and continued to help the common people in the sufferings (Confucianism). This ending is the mutual-shining combination of the three influential trends of the Chinese society. The author tried hard to mix the Confucian virtues of faith, respect, politeness and righteousness with the merciful Buddhist thoughts and the simple Taoist style while he obviously regarded the Buddhism as the most ideal stage of the cultivation. Therefore, there were a lot of details that were directly from the Buddhist classics. According to Linsay, "the Buddhist scriptures are vivid and living in the story, just like the remarks from the Bible." (Wang Hanchuan, 2002)

At the same time, there were also many Taoist thoughts and speeches in the Journey to the West. The most representative parts were at the beginning and the end of the novel, the doctrines and images of Yijing, the Book of Changes were mentioned and the Taoist stories and the adventure brought out the best in each other. Superficially viewing, the two novels described the journey to the ideal paradise of their respective religions and treated the changes of locations as the mainline of them; but thoroughly viewing, we can find that both were telling the spiritual path of the followers who pursued the sanctity of their souls by learning virtues and unlearning vices. The degree of the piety of the characters went synchronously with the progress of the plots.

## 2. The criticism to the current society

The profound actuality and the strong criticism are the most distinct common features of the two stories. The religion is a belief of the knowledge of the world and the supernatural power as well as a kind of hope rooted in the reality. It is the hope that leads to the creation of the value of the religion and the establishment of the belief. Therefore, the religions are always related to the reality. As the novels representing the religious ideals of the author, the two novels carried the acknowledgements of the reality and the hopes of changing the presence. It was conveyed in every religious works, such as the great Divine Comedy, the Pilgrim's Progress and the Journey to the West. The humble origins of Banyan and Wu Cheng'en, the painful experience of them and the accurate observation are the important basis of the two novels. Banyan came from a tinker's family which had been in poverty for generations. He joined in the Parliamentarians during the English Revolution and was suppressed during the Restoration since he refused to accept the doctrines of the national Church of England. Bunyan began the work while in the Bedfordshire county gaol for violations of the Conventicle Act, which prohibited the holding of religious services outside the auspices of the established Church of England. In the gaol, Banyan finished his masterpiece, the Pilgrim's Progress, and many other religious works to show his faith of recovering the evils of the feudalism and pursuing the equality and freedom. Wu Cheng'en was born in a declined merchant's family. He was so straight and upright that he could compose the unwilling works to please the authority. Therefore, he was not picked up to be the winner and made a humble and poor living by writing articles for the others in the bottom of the society. Most of his works adopted the fairy tales to attack the evils of the society and revealed his hope of getting rid of the vices and prevent the nation and the common people.

These characteristics were given full play in the *Journey to the West*. The actuality and criticism of the two novels can be seen in the following. First, both novels have modeled the bright and vivid images of the actual people in the society. The most impressive part of the two novels is the vivid and living characters that existed in the allegories and fairy tales only. Although they possessed the super knowledge and ability that the common people never possessed, could go everywhere and were immortal, these characters were the reflections of the social beings. Generally speaking, the characters can be divided into two groups: the justice group and the evil groups. Christian and Sun Wukong were undoubtedly the members of the justice group in the novels since Christian was upright, sincere, firm, determined, and earnest and dare to fight with the evils. Christian was the embodiment of virtue and the model of the puritans during the Restoration in the mind of Banyan. Sun Wukong, who was savage, rebelling, energetic, irresistible, and willing to fight with the monsters and evils, was the symbol of the resisting the authority and tyranny, wisdom, courage, freedom, justice for the Chinese. Or we can see, it has become a popular and bright fairy character for the Chinese people. Both authors tried their best to describe the evils of the society and the crimes of the rulers. Banyan learnt from the traditional religious literature and described the social characters with conceptual images. The negative characters in the *Pilgrim's Progress* were not only the symbols of bad indeed and natures, but also the deputy of social evils. For example, Apollyon, the lord of the City of Destruction and one of the devil's companion arched evils, who tries to force Christian to return to his domain and service; Mr. Formalist, the hypocritical church member; Giant Slay-Good, a giant that enlists the help of evil-doers on the King's Highway to abduct, murder, and consume pilgrims; Mrs. Timorous, the hypocritical noble... There were also many monsters and ghost in the *Journey to the West*. For example, the White Bone Demon, a familiar image for the Chinese, Yellow-robe Monster, the Bull Demon King, Golden-feather Monster, the Wind Monster, the King of the Ghosts, the Green Lion and the Bear Monster... All of them could make threatening gestures like a beast of prey and were cruel and happy to eating human beings. The monsters and ghosts were not only the embodiment of the natural powers, but also the reflection of the society with evils and inequality.

Second, the crimes and evils of the society were revealed in the two novels. Both novels treated the experiences of the main characters as the lines of the book and showed the social life of their time encyclopedically to unmask the all kinds of evil of the current society. Bernard Shaw once said that the *Pilgrim's Progress* "was the attack to the morality and fame and the criticism to the evils and crimes". For example, Apollyon and the Valley of Humiliation that Christian confronted with was the reflection of the tyranny of Stuart Dynasty. In the famous description of Vanity Fair, the author wrote, "Therefore at this fair are all such merchandise sold, as houses, lands, trades, places, honors, preferment, titles, countries, kingdoms, lusts, pleasures; and delights of all sorts, as harlots, wives, husbands, children, masters, servants, lives, blood, bodies, souls, silver, gold, pearls, precious stones, and what not." However, they would not sell truth. "And, moreover, at this fair there are at all times to be seen jugglings, cheats, games, plays, fools, apes, knaves, and rogues, and that of every kind." (Lu Qin, 2009) Christian said they would buy truth. "Therefore they took them and beat them, and besmeared them with dirt, and then put them into the cage, that they might be made a spectacle to all the men of the fair." (Lin Lin, 2005) They were even sentenced to death. This part was evident enough of the tough and evil reality during the Restoration.

### 3. The Reasons to the sameness

Obviously, the *Pilgrim's Progress* is a vivid explanation of the salvation of the soul by Christian. According to the traditional views of Christian, that God creates the human beings is the gift from God to the human beings, we should obey the God. Thus the relationship between God and human beings became self-degraded and depended of human beings to God. This kind of relationship is represented in the trust and love of the human beings to God. If anyone compares himself to God out of arrogance and pride and destroy the harmonious relationship between God and human beings, he will be considered to commit the most serious crime, that is, the origin of the evils.

On the other hand, *The Journey to the West* was more powerful to uncover the evil reality. For example, to reveal the luxury and rotten life of the rulers and the incapability of them, Wu Cheng'en described the grand feasts of the heaven again and again. The feasts were full of top-quality wines, the great delicacies such as "the dragon's liver and the phoenix's marrow" and many other rare delicious food. The gods were accustomed to squander as their wish on one hand, and were corrupted on the other hand. They would amend the fate records in the hell, sway by personal considerations in the heaven, and even in the west, the keepers of the scriptures as well as the major followers of Buddha, asked for the bribes from Xuan Zang. After being refused, they leagued together to mock Xuan Zang, Sun Wukong, Zhu Bajie and Sha Seng and gave them the scriptures without any characters. The four followers nearly failed when they were approaching the success. Most of the rulers in this novel were of tough-looking outside but really timid within. The four Kings of Dragon would send what Sun Wukong wanted to him without resistance. The Death would remove Sun Wukong's name from the fate records. the Jade Emperor and Lady Queen Mother, who were of high status and strong power, and other gods with various capabilities had no idea to deal with the rebelling monkey. The "magistrate", gods of the earth and mountains would listen to and stand for Sun Wukong and other strong and powerful monsters.

## B. *The Differences*

### 1. The reasons for the journeys

Although both Banyan and Wu Cheng'en chose the religious theme to develop their compositions, there are greatly differences between the attitudes and understandings to the religions. The differences can be seen from the reason for

the journey of the hero. As a religious novel, the *Journey to the West* contains the Buddhist characters, but it is not a novel with the purpose of publicizing the Buddhism. According to Lu Xun, "there is only some knowledge about the old doctrines of generation-inhibition in five elements, but no much Buddhist knowledge." It means, the *Journey to the West* was an overthrowing novel, which had conveyed the complete satire to the feudal culture of ancient China and the rigid doctrines of Confucianism, Taoism and Buddhism. The stories of "Xuan Zang's journey for Scriptures" and the other Buddhist stories and sayings were the platform of the author to deliver his own emotions and thoughts.

The purpose of Xuan Zang's journey for scriptures was not for the honor of himself, but for "saving the multitude" and "reinforcing the rule of the feudalism". What needed salvation were the dying and ugly soul of the rulers, the declining time and the losing morality and civilization. Xuan Zang aimed at saving the soul of the multitude by the kind thoughts and cultivations of him. So he set him off and went to ask for the true scriptures. In the mind of the author, the scriptures were the last good ways to save the country and the time, though actually, the scriptures played a tiny role in the history. The salvation was not only manifested by the scriptures, but also in the journey to the west. If we think over the advices that Sun Wukong gave to the fatuous and self-indulgent rulers, we will find the purpose of the author: he did not want to overthrow the rule of the feudalism. From the sentences, "if you follow my advices, your kingdoms will be safe, powerful and prosperous for ever." (Wu Chengen, 2003) So the purpose of the Wu Cheng'en was to guide and suggest the emperors and hope that they could lead the country to a better situation instead of drive away the rulers.

Having drawing from the Bible, Banyan did not overthrow the Christian classic like Wu Cheng'en, but publicized and popularized it. At the time that Banyan lived, the English emperor was still the follower of the Roman Catholic while the Christian church was full of corruptions, heavy taxes and cruel conducts, which had completely opposed the thought of honesty, politeness, simplicity and kindness of the Bible. What Banyan should do was to recover the overthrown situation with his pen. So he needed not major principles, since he thought that the rotten world was resulted from the ignorance of the old doctrines in the Bible and he just should emphasize and retell the ideas from the Bible. In this novel, Banyan implicitly attacked the Roman Catholic and the Church of England. At the same time, he suggested that everyone who could get rid of the evils of themselves could still return to the group of followers of Jesus, which gave hope to the Roman Catholic.

## 2. The different attitudes of the authors to the new rising class

Wu Cheng'en, the author of the *Journey to the West* lived in the late Ming Dynasty, when the capitalism began to develop, while Banyan wrote the *Pilgrim's Progress* during the English Bourgeois Revolution. Therefore, both authors could not avoid mentioning the new rising class. It is interesting to survey the attitudes of them to the new rising capitalist class.

The stories of the *Journey to the West* happened in the Tang Dynasty, but the cities and places that the four main character passed were the pictures of the cities of late Ming Dynasty, when the production was developing lively with the buds of the capitalism. The industry and commerce were not taken seriously in the traditional mind of the Chinese, so the author held the cautious confirmative attitude to the industry and commerce. The cautious attitude was suggested by the indirect confirmation of the new rising class. After all, Wu Cheng'en lived in the feudal society and looked at the around with the feudal views. He dared not directly praise and encourage the development of the industry and commerce. But actually he did show his agreement with the new rising class. Every time when the four characters arrived at a city, the author would praise the prosperous situation of it and treated the restaurants and party bars as the symbol of heavenly world. The historians of novels usually put the *Journey to the West* and the *Golden Lotus* at different times, which is actually incorrect. The *Journey to the West* was the origin of the *Golden Lotus* and the other social novels. The attitudes to the new rising capitalist class and the new spirit of the time of the *Journey to the West* and the *Golden Lotus* were similar, so we won't feel many gaps when we are reading them. It shows that there are same elements between the spirit conveyed by the classics and the modern views.

Without the description of "Vanity Fair", the *Pilgrim's Progress* will be a pure religious novel aiming at advising the others. So the description of "Vanity Fair" provided the evidence of the time spirit of the novel. The "Vanity Fair" by Banyan was a place of desire, prurience and absence of morality. Every thing could be bought here, including "countries, kingdoms, lusts, pleasures; and delights of all sorts, as harlots, wives, husbands, children..." (John Bunyan, 2003:215) Here the people could see the rascals and villains and could find people stealing, murdering, adultery and cheating. It was a horrible and frightening place. Christian and Faithful wanted to buy Truth, but they were mock by the others, beaten, imprisoned and sentences. Faithful was even killed. The "Vanity Fair" was actually the symbol of the noble life of the English capitalism. Banyan had joined in the New Model Army led by Cromwell and was educated by the capitalist ideas. He did not oppose the capitalism; he opposed the people who "forget God's remarks". So he was just attacking the dissolute noble people who forgot the words of God and the monks robbing heavily during the movement of enclosures and the reformation of production. As for the new rising class, Banyan kept his confirmative and critical attitude to it.

## 3. The motivation of the creation

The authors' motivations of creations can be found from the characterization, so were the *Journey to the West* and the *Pilgrim's Progress*. The people discussing the *Journey to the West* usually begin from the perspectives of ideological level and epochal character. In fact, they always get the wrong ideas if they reader the *Journey to the West* with the modern views. The author of the *Journey to the West* was first a story teller, who might show his own opinions

unconsciously when he was telling the story. The novels were looked down upon by the orthodox scholars and had little influence to the society. So, the *Journey to the West* is first a story, in which the thoughts and opinions of the author were gradually reflected. When people are reading the *Journey to the West*, they are first attracted by the wonderful and interesting stories and affected by the comic atmosphere of the novel. They will smile from the heart, even when they find the parts attacking the reality, they will feel comfortable to be exited instead of lose the interest of reading. To give a poker face and attack the reality seriously are the job of the old pedants. The greatest achievement of the *Journey to the West* exists in its profound explanation of “making every word as an article, no matter good or bad ones, happy or angry ones.” (Annette, 2009:227) So the major work of Wu Cheng'en was to compose interesting and attractive stories to draw the attention of the readers. This work needs the popularity and smooth of the characters and the profound characterization. The four main characters in the *Journey to the West* are the most successful one in the Chinese classics. Sun Wukong, Xuan Zang, Zhu Bajie and Sha Seng are all distinct and impressive in the history of Chinese novels. They have centralized most of the characters of the multitude and can be considered as the typical case of their kinds. The bold and fearless hero spirit of Sun Wukong and the thoughts of little peasants of Zhu Bajie are also described vividly.

Comparing with the *Journey to the West*, the story of the *Pilgrim's Progress* is not interesting very much. The essence of the novel exists in the debates between Christian and the others. It is easily to find that all the characters and places are the “fictional symbols”. The author just personified them. So, maybe there were only the doctrines from the Bible in the mind of Banyan. He adopted the form of story to make the doctrines easier to understand. The character named Christian was the ideal representative of Christians in the mind of Banyan and every word Christian had said reflected Banyan's own opinions about the world and the religion. This is a good contrast with Defoe, who created the image of Robinson, the representative of capitalists in Defoe's mind. Besides, in order to make the novel profound, Banyan applied many Biblical sentence structures and many short oral sentences to emphasize the tone. For example, “So he did”, “That is it”. This kind of sentences is the half literary and half vernacular styles, which was the mark of the mature stage of the English essays. The English novel became popular and easy to understand since then. To the extent of this aspect, the status of Banyan in the English literature can equal the status of Hu Shi in the Chinese literature. The following Defoe, Swift and many other novelists were all affected by Banyan.

#### 4. The reasons to the differences

The *Journey to the West* revealed the rebelling thought of the author by the help of religion while the *Pilgrim's Progress* advocated the Christian thought with the religious materials. Despite of the different attitudes, the themes of the two novels were similar. Both novels criticized the society in the process of the salvation of the ideal characters; at the same time, both authors hoped that the rulers could realize the crimes of them and make up of their faults in order to create another prosperous time. As for the different ways of salvation, they were caused by the different cultures of the western world and China. The natures of them were same. The characters of the *Journey to the West* found the help from the west while the characters of the *Pilgrim's Progress* achieved the self-salvation. In face, the self-salvation of everyone equaled the salvation of the whole nation.

Although both western and Chinese authors held the aggressive attitude to the same class, Wu Cheng'en just appreciated the development of production led by capitalism and paid little attention to the thoughts and flaws of it, because Wu Cheng'en lived in the primary stage of the development of the capitalism. At that time, there were no summary about the thoughts of it and the weakness of the capitalist class itself according to Marx had not been found then. As for the time of Banyan, the capitalism had developed for over one hundred years and he could judge it properly then. On one hand, Banyan affirmed the active effect of the capitalism to the development of production; on the other hand, he exposed the nature of materialism before the readers. Banyan also hoped that the capitalists could save themselves, get rid of the evils and purify their souls by the guidance of the Bible. The cautious confirmative attitude of Wu Cheng'en and confirmative and critical attitude of Banyan to the capitalism were resulted from the features of different times.

#### IV. CONCLUSION

To sum up, despite of the cultural and religious differences between the *Pilgrim's Progress* and the *Journey to the West*, the English people in the 17<sup>th</sup> century and the Chinese people in the 16<sup>th</sup> century all conveyed strong dissatisfaction to the society. The scholars wanted to show their wish of saving the society through novels. So the two novels are the models of combination of romanticism and realism. At the same time, the journey of Christian from the *Pilgrim's Progress* and the four characters from the *Journey to the West* symbolize the spiritual adventure of them. Since the Celestial City and the Soul Mountain are the destinations of the people's pursuit, they should pay more than the others to achieve the stages. The two novels also tell us that people should notice the spiritual cultivation of themselves. If they set a goal and insistently work hard for it, everyone will be successful. Finally, we can encourage us with a Buddhist poem:

The Buddha is in the Soul Mountain and nowhere else;  
The Soul Mountain is in your mind and nowhere else;  
Everybody! Cherish your own Soul Mountain;  
And conduct your cultivation you can.



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# The Effects of Written Corrective Feedback Techniques on EFL Students' Control over Grammatical Construction of Their Written English

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**Abstract**—There has been a controversy over the usefulness of the written corrective feedback (WCF) on the accuracy of ESL/EFL learners' writing – especially after Truscott's assertion that grammar correction is pointless and harmful (1996). This study presents the findings of an investigation of the impact of WCF on 90 intermediate Iranian EFL students. The participants were separated into three groups; then they randomly received direct, indirect or no correction feedback. They created three pieces of writing, pre-test, immediate post-test and delayed post-test. Simple past tense errors were brought into focus in the feedback. The results showed that the recipients of WCF achieved more than those in the control group –suggesting the effectiveness of both kinds of WCF. Therefore, the provision of WCF should be regarded as a potentially valuable technique in instructing writing to EFL learners.

**Index Terms**—grammar correction, corrective feedback, meta-linguistic explanation, direct feedback, indirect feedback

## I. INTRODUCTION

Improving students' writing accuracy is an essential factor in effective writing. Effectiveness of a piece of writing will be determined in part by its accuracy. This is the reason why grammar correction has received so much attention in the recent decades. There exist two opposite perspectives regarding grammar correction which is identified as a potential focus-on-form instrument. These different perspectives stem from different language teaching methodologies which impose the utilization of different grammar correction feedback techniques and strategies. The proponents of grammar correction claim that using corrective feedback (CF) technique could significantly improve students' writing accuracy, whereas the opponents consider it as ineffective and even harmful.

To written corrective feedback (WCF) – which is the focus of this study –Truscott (1996) paid special attention. He pointed to the fact that there was no sufficient research in favor of grammar correction. He also claimed that grammar correction is neither helpful nor effective, and worse it is harmful. This claim led to a controversy among the specialists in the field – which in turn yielded a growing body of research.

A number of studies examined the research results for or against grammar correction and concluded that earlier research findings failed to provide clear evidence whether WCF helps learners improve linguistic accuracy (Ferris, 1999; Geunette, 2007). Many researchers have done studies to clear the issue; however, the experts in the field are still unable to reach a conclusion. As extensive reviews of the available empirical research show (see Hyland & Hyland, 2006; Goldstein, 2004, 2005) the findings about the efficacy of WCF are mixed and thus inconclusive.

Different studies have been done in the domain of written corrective feedback. Many of them involve investigating the efficacy of WCF. Some of them, however, do not include no-feedback control group (Carroll, et al., 1992; Chandler 2000, 2003; Ferris, 1995, 1997, 2006; Lalande, 1982); those which include a control group do not examine the students delayed performance on new pieces of writing, rather they just considered the students' revisions or immediate post-tests (Fathman & Whalley, 1990; Ashwell, 2000; Ferris & Roberts, 2001). In contrast, the main objective of the current research is to explore the effect of WCF on the participants' delayed post-test by including a no-feedback control group.

Most of the studies on WCF make a distinction between two kinds of corrective feedback, namely direct CF and indirect CF (Bates, et al., 1993; Ferris, 1995; Ferris & Hedgcock, 1998; Hendrickson, 1978, 1980; Lalande, 1982; Walz, 1982). In the case of direct CF the students are provided with the correct form (Ellis, 2009) the teachers cross out an unnecessary word, insert a missing word, and write the correct form. This type of feedback is desirable for low-level-of-proficiency students who are unable to self-correct, and can not provide the correct form. However, the learners perform

the least processing and thus it does not contribute to long-term learning (Ellis, 2009). However, Sheen (2007) indicates that direct CF can be beneficial for learning only some specific grammatical features.

Indirect feedback occurs when the students are informed in some way that an error exists but are not provided with the correct form, thus placing the burden of spotting the erroneous forms on students. The experts in the field argue that indirect feedback is superior for most students, because it involves them in “guided learning and problem solving” (Lalande, 1982), focusing their attention to linguistic forms that may lead to long-term learning (Ferris & Roberts, 2001; James, 1998; Reid, 1998). However, the findings of different studies which have focused on the difference between direct and indirect CF are very mixed. Some studies (Ferris & Helt, 2000; Lalande, 1982) claim that indirect feedback enables students to correct their errors, however, some suggest the opposite (Chandler, 2003), and others (Robb, et al., 1986; Frantzen, 1995) found no difference.

All in all, although, according to research, students strongly prefer the direct red pen technique (underlining and description), overall results show that it is not sufficient to provide CF on students’ writing and Some mini-lessons or workshops are essential to enable students to self-edit.

Moreover, as Reid (1998) argued, because of the existence of dissimilar motivations for L2 writing and different perceptions of English learning, the kinds of appropriate grammar correction for EFL and/or international students may be different from what is beneficial for immigrant students who are mainly “ear learners” and their competence mainly comes from implicit acquisition processes rather than from explicit grammar teaching.

Besides, nearly all studies focused on the impact of different CF techniques in an ESL context (Bitchener et al., 2005; Sheen, 2007), and as Ellis et al. put it: "There is a clear need for further research, especially in an EFL context" (2008, P. 355). It is hoped that the findings of this study can serve as a source of using effective grammar correction techniques to facilitate EFL students' learning of "simple past tense".

#### Research questions

1. Is WCF effective to improve EFL learners writing accuracy?
2. Is there any significant difference in the immediate post-test and delayed post-test performance of red pen group?
3. Is there any significant difference in the immediate post-test and delayed post-test performance of indirect group?
4. Is there any significant difference between the impact of indirect and direct CF techniques on intermediate EFL learners' writing accuracy comparing their immediate post-tests? If yes, which technique has greater impact?
5. Is there any significant difference between the impact of indirect and direct CF techniques on low-intermediate EFL learners' writing accuracy comparing their delayed post-test? If yes, which technique has greater impact?

#### Research Hypothesis

1. WCF is not effective to improve EFL learners writing accuracy.
2. There is no significant difference in the immediate post-test and delayed post-test performance of red pen group.
3. There is no significant difference in the immediate post-test and delayed post-test performance of indirect group.
4. There is no significant difference between the impact of indirect and direct CF techniques on intermediate EFL learners' writing accuracy comparing their immediate post-tests.
5. There is no significant difference between the impact of indirect and direct CF techniques on low-intermediate EFL learners' writing accuracy comparing their delayed post-test.

## II. METHOD

### Participants

90 EFL learners participated in the study. They were randomly selected from among 135 students taking part in intermediate courses at Iran-Australia Language School in Tehran. The ratio of male to female participants was nearly equal, i.e. 49% males and 51% females to avoid bias caused by sex difference. The sample consisted of a homogeneous group in terms of age, first language, and the English language background. The average age of the participants was 22.7. Their first language was Persian, and their English language proficiency was nearly equal.

### Instruments

Two tests were employed in the present study. The first test was the Cambridge’s Preliminary English Test (PET) used to ascertain the homogeneity of the participants with regard to their English proficiency. The second was a writing test package which included a pre-test, an immediate post-test, and a delayed post-test in order to measure the participants' achievement.

### Reliability of the instruments

The participants' pieces of writing were evaluated and scored by two raters for assessing inter-rater reliability. To estimate the inter-rater reliability of the test, we calculated the correlation coefficient between the two raters. Table 1 depicts the resulting inter-rater reliability indices.

TABLE 1  
INTER-RATER RELIABILITY INDICES

	CM test R2
CM test R1	.957**

Note. R1= first rater; R2= second rater.

\*\* p < 0.1.

The test is shown to have very high reliability, 0.957, which is statistically significant at  $p < 0.1$  level of significance. The content validity of the instruments was assured by a panel of experts.

#### **Procedure**

Class sessions were held three times a week for 12 weeks in summer 2011, with each session taking 90 minutes. The course was incorporated into a competency-based syllabus, the objective of which was to promote the learner's communicative skills (reading, writing, speaking, and listening). To complete this course of the study, we followed three stages:

**Stage one:** 135 students from 14 intact classes of "Intermediate-Level" in Iran-Australia Language School were given a PET (Preliminary English Test) in order to select a homogenized sample in terms of language proficiency. PET consisted of 69 English language proficiency questions on the four skills of reading, writing, listening, and speaking. Results of this test provided each of the participants with a standardized score out of 100 to see how they performed. Out of the participants who took the test, the eligible ones (those whose scores ranged from one standard deviation above and below the mean on the test) were selected to take part in the study. They were then randomly separated into three 30-member homogeneous groups. The conditions for all groups were exactly the same, except for the method used for the provision of written feedback.

**Stage two:** The experimental group named A received direct WCF in red pen, and those who received indirect CF technique were considered as the experimental group B. Group C (the control group) received no CF for their writings.

In each session, the teacher in the experimental group carried out a specified process to conduct the treatment. The data was collected every three sessions during the course. On the first day, the participants took the pre-test. On the same day, the teacher asked the participants to write about a certain topic at home and bring it the next session. Next session the teacher took the participants' writing home and provided feedback. In the third session, the teacher handed the participants' writing. After the treatment was done, the teacher asked the participants to rewrite the writing and bring them back the following session. In the next session, after collecting the revised pieces of writing, the teacher gave the participants another topic to write at home for the other next session. The same procedure was kept going for the rest of the term. The teacher gathered 12 writing samples in this way.

As for the control group, the teacher handed the participants' writing and asked them to rewrite the texts and bring them the next session. Next session, after collecting the rewrites, she gave another topic for next session. This procedure took about one minute of the class time each session.

#### **Stage three:**

A pre-test, an immediate post-test, and a delayed post-test were run. Each participant completed 3 in-class writing tasks as part of the writing assessment staged at weeks 1, 12 and 20. Pre-test and immediate-post-test writing tasks were identical, whereas the delayed post-test writing task was of a slight difference in content – a descriptive writing to prompt the students to use the targeted linguistics forms. As for the pre-test and the immediate post-test, the students were asked to write paragraphs in which they described their activities in the preceding day. In the delayed post-test, the participants were required to write about their last trip. The participants were given equal amount of time (15 minutes) for these writing activities.

Since the researchers aimed to use the same topic of pre-test for the immediate post-test, the participants did not receive any feedback on their pre-test writing and even their pieces of writing were not given back to them. For all groups the immediate post-test completed in the last session and took the same amount of time. The immediate post-test was returned to all participants one week after completion without receiving any correction on this occasion.

The delayed post-test was run in week twenty. The teachers agreed not to attract any attention on the targeted forms during the interim period. The produced pieces were returned to the participants one week later.

### **III. DATA ANALYSIS**

The design used in the current study was true experimental; as a true experimental design allows, the study included a control group, and used stratified randomization. In addition, it conducted a pre-test as well as immediate and delayed post-tests. In order to examine the performance of the three groups in the immediate post-test of writing accuracy a one-way analysis of variance (ANOVA) was conducted. Similarly, to compare the performance of the three groups in the delayed post-test, we run a second ANOVA. Furthermore, to examine the performance of the two experimental groups (group A and group B) on three different tests (pre-test, immediate post-test, and delayed post-test) given to them during the study, the researchers made repeated comparisons using the matched t-test for each group and then corrected the significance level through the Bonferroni test.

### **IV. RESULTS**

#### **Performance of the Three Groups in the Immediate Post-Test**

In order to examine the performance of the three groups in the immediate post-test of writing accuracy a one-way ANOVA was conducted. The results are presented in the table 2.

TABLE 2  
IMMEDIATE POST-TEST ANOVA

	SS	df	MS	F	Sig.
Between Groups	315.538	2	15.769	9.016	.000
Within Groups	66.951	87	.770		
Total	382.489	89			

As the table shows, the differences between the groups are significant (Sig=.000). Therefore, the participants in the three groups differed in their performance in the immediate post-test. Post hoc analysis was conducted through the Scheffe test to specify exactly which group was different from others. This is presented in the table 3.

TABLE 3  
IMMEDIATE POST-TEST MULTIPLE COMPARISONS

	(I) groups	(J) groups	Mean Difference (I-J)	SE	Sig.	95% Confidence Interval	
						Lower Bound	Upper Bound
Scheffe	direct	indirect	.13333	.22845	.844	-.4356	.7023
		control	4.00430*	.22467	.000	3.4448	4.5638
	indirect	direct	-.13333	.22845	.844	-.7023	.4356
		control	3.87097*	.22663	.000	3.3066	4.4354
	control	direct	-4.00430*	.22467	.000	-4.5638	-3.4448
		indirect	-3.87097*	.22663	.000	-4.4354	-3.3066

\* The mean difference is significant at the 0.05 level.

As the table shows, both group A (direct feedback) and group B (indirect feedback) were significantly different from group C (control group) with regard to their performance on the immediate post-test. However the two experimental groups (group A and group B) are not significantly different in the immediate post-test.

The effect size was calculated using the information in the ANOVA table based on the formula provided by Pallant (2005):

$$\text{Eta squared} = 315.538 / 382.489 = 0.824$$

The calculated effect size is above 0.14 which is indicative of a large effect size (Pallant, 2005).

#### Performance of the Three Groups in the Delayed Post-Test

A second ANOVA was run to compare the performance of the three groups in the delayed post-test. The results are presented in table 4.

TABLE 4  
DELAYED POST-TEST ANOVA

	SS	df	MS	F	Sig.
Between Groups	669.409	2	34.704	12.662	.000
Within Groups	90.247	87	1.037		
Total	759.656	89			

As the table shows, the differences between the groups are significant (Sig=.000). Therefore, the participants in the three groups differed in their performance in the delayed post-test. To specify exactly which two groups are different from each other, we conducted post hoc analysis through the Scheffe test. This is presented in the table 5.

TABLE 5  
DELAYED POST-TEST MULTIPLE COMPARISONS

	(I) groups	(J) groups	Mean Difference (I-J)	SE	Sig.	95% Confidence Interval	
						Lower Bound	Upper Bound
Scheffe	direct	indirect	-1.62069*	.26523	.000	-2.2812	-.9601
		control	4.77419*	.26084	.000	4.1246	5.4238
	indirect	direct	1.62069*	.26523	.000	.9601	2.2812
		control	6.39488*	.26312	.000	5.7396	7.0502
	control	direct	-4.77419*	.26084	.000	-5.4238	-4.1246
		indirect	-6.39488*	.26312	.000	-7.0502	-5.7396

\* The mean difference is significant at the 0.05 level.

The results show a significant difference among all the paired groups with regard to their performance in the delayed post-test. This amounts to saying that the three groups differ significantly in their performance on the delayed post-test. A look at the mean differences from the table makes it clear that the group B (the indirect feedback group) has

performed significantly better than the group A (direct feedback group) and the group C (the control group) on the delayed post-test. In addition, the group A performed significantly better than the group C in the delayed post-test.

The calculated effect size based on the guidelines provided by Pallant (2005) was 0.8 which is considered to be a large effect size.

Eta squared:  $669.409 / 759.656 = 0.881$

### Red Pen Corrective Feedback and Writing Accuracy

In order to examine the performance of the two experimental groups (group A and group B) on three different tests (pre-test, immediate post-test, and delayed post-test) given to them during the study, repeated comparisons were made using the matched t-test for each group and then corrected the significance level through the Bonferroni test. Based on the Bonferroni test, the level of significance is first decided at 0.05 and then, since there was going to be three comparisons made in this part, the level of significance was set at  $0.05 / 3 = 0.017$  (Pallant, 2005). The matched t-tests that were run were interpreted according to the new level of significance ( $p < 0.017$ ). The descriptive statistics information for the performance of group A is provided in table 6.

TABLE 6  
PAIRED SAMPLES STATISTICS OF GROUP A

		M	N	SD	Std. Error Mean
Pair 1	pre	8.0333	30	.85029	.15524
	immediate	16.1333	30	.81931	.14958
Pair 2	pre	8.0333	30	.85029	.15524
	delayed	14.0000	30	.83045	.15162
Pair 3	immediate	16.1333	30	.81931	.14958
	delayed	14.0000	30	.83045	.15162

As the table shows, this group has the highest performance in the immediate post-test ( $M=16.13$ ) followed by delayed post-test ( $M=14$ ) and the lowest performance in the pre-test ( $M=8.03$ ).

For the sake of learning about the difference of the performance of group A, a matched t-test was applied to compare the mean scores of the participants in the first group concerning their performance on the pre-test and the two post-tests of writing accuracy. The analysis was conducted to see whether or not there was any significant difference in the performance of the first group in the three above mentioned tests. The results are presented in the table 7.

TABLE 7  
PAIRED SAMPLES TEST OF GROUP A

		Paired Differences			95% Confidence Interval of the Difference		t	df	Sig. (2-tailed)
		Mean	SD	Std. Error Mean	Lower	Upper			
Pair 1	Pre-immediate	-8.10000	1.26899	.23169	-8.57385	-7.62615	-34.961	29	.000
Pair 2	Pre- delayed	-5.96667	1.03335	.18866	-6.35253	-5.58081	-31.626	29	.000
Pair 3	Immediate- delayed	2.13333	1.16658	.21299	1.69772	2.56894	10.016	29	.000

As the table shows, the observed mean differences are significant at  $p=.017$ . This means that participants in the first group had significantly different performances on the pre-test and the two post-tests. Comparing the mean of the pre-test and post-tests makes it clear that the participants performed significantly better in the immediate post-test than the delayed post-test and obviously the pre-test.

### Indirect Corrective Feedback and Writing Accuracy

The results of the descriptive statistics of the participants in the second group (group B) revealed that the mean scores of the participants in the second group on the pre-test and two post-tests of writing accuracy were 8.06 and 15.96 and 15.60 respectively. These are presented below in table 8.

TABLE 8  
PAIRED SAMPLES STATISTICS OF GROUP B

		M	N	SD	Std. Error Mean
Pair 1	pre	8.0667	30	.69149	.12625
	immediate	15.9667	30	.80872	.14765
Pair 2	pre	8.0667	30	.69149	.12625
	delayed	15.6000	30	.77013	.14061
Pair 3	immediate	15.9667	30	.80872	.14765
	delayed	15.6000	30	.77013	.14061

In order to determine the difference of the performance of the participants in the second group (group B) on the pre-test and the two post-tests, we ran another matched t-test to compare the mean scores of the participants in the three tests. The results of the t-test are shown in table 9.

TABLE 9  
PAIRED SAMPLES TEST OF GROUP B

		Paired Differences			95% Confidence Interval of the Difference		t	df	Sig. (2-tailed)
		M	SD	Std. Error Mean	Lower	Upper			
Pair 1	pre- immediate	-7.90000	1.02889	.18785	-8.28419	-7.51581	-42.055	29	.000
Pair 2	pre- delayed	-7.53333	1.13664	.20752	-7.95776	-7.10890	-36.301	29	.000
Pair 3	Immediate- delayed	.36667	1.15917	.21163	-.06618	.79951	1.733	29	.094

The results of the matched t-test, as shown in Table 9, revealed that the t-observed values is higher than the critical value in two pairs (pre-test vs. immediate post-test and pre-test vs. delayed post-test) indicating that the difference between the performance of the participants in the pre-test and the two post-test was statistically significant. This suggests that the participants in the second group, too, benefited from WCF provided. However no significant difference was found between the performance of the participants of group B on the immediate and delayed post-tests. This amounts to saying that participants in the second group were able to do equally well in the delayed post-test.

## V. DISCUSSION

As the results of the current research show, there seems to be a strong bond between providing language learners with error feedback and their writing accuracy. There are several explanations to support such a theory: (1) In line with Schmidt's (1990) noticing hypothesis only items which are noticed by the learners will be likely to be acquired. Thus, error feedback (whether direct or indirect) will push the learners towards noticing the linguistic problems they are struggling with and that sometime they take for granted. In other words, providing CF will prompt the learners to try and modify their developing interlanguage system in line with the feedbacks provided. (2) Assimilation theory suggests an effective way of learning which occurs by relating new concepts and propositions to existing concepts and propositional framework held by the learner. The learner's concept and propositional framework is called the individual's cognitive structure by Ausubel (1986). Providing CF can be viewed as a fruitful strategy in catalyzing the process of assimilation. (3) Working as a kind of scaffold which helps the knowledge to be organized, structured and modified, CF acts as new knowledge to be accommodated into the existing knowledge and prompts the learners to stick the learnt stuff in their long term memory. (4) According to Sweller (1988), cognitive load theory states that the working memory should have as less load as possible in order to optimize learning which occurs in humans and expedite the alternation in long-term memory ideally. Sweller believes that for learning to take place there should be a link between schematic structures of long term memory and new data and if the connection is not made, the learning won't be lasting and learners will most likely forget the material. Therefore, CF can be beneficial in the sense that it draws learners' attention specifically to the areas they have difficulty with while freeing their minds to process language content.

An aim of the current study was to compare and contrast two types of WCF namely the direct red pen correction versus the indirect feedback. According to the results, the indirect feedback group acted significantly better than the other two groups (the red pen feed back group and the control group) on the delayed post-test suggesting the lasting effectiveness of the indirect WCF over direct red pen feedback. This confirms the findings of Sheppard (1992), Frantzen (1995), Fazio (2001), and Chandler (2003) who pinpointed CF as a way of improving the accuracy of L2 students' writing. However, the present findings run counter to that of Truscott (1999, 2007) who claimed that giving feedback has probable repercussions on learners' capability to write correctly and if beneficial, it is insignificant.

Furthermore, the results of the current study are in harmony with several other studies which claim that the indirect error correction causes either more or equal levels of accuracy in the long run (Ferris & Helt, 2000; Frantzen, 1995; Lalande, 1982; Lee, 1997; Robb et al., 1986). The fact that the indirect CF group was able to do superior in the delayed post-test may imply the superiority of the indirect method of error correction over the course of time. The important issue to be considered in improving learners' writing accuracy is whether indirect feedback is more promising than direct feedback. From pedagogical point of view, this is an important issue because coding error types may be slower for teachers than just underlining and correcting. There is no doubt that it is relatively painless to just underline or circle errors. Hence the direct method, though less fruitful over time, may be a more handy option for teachers. On the other hand, applying indirect methods of error correction will necessarily call for sufficient linguistic knowledge possessed by students to self-correct errors and also getting used to self edit their own texts. Therefore, using indirect feedback

strategies which, according to the findings of the present study, has a more lasting effect may be suggested for the later stages of learning (probably intermediate and above intermediate levels).

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# A Study of Cooperative Learning in Higher College English Teaching

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**Abstract**—Cooperative learning has been used not only as both an instructional method, but also as a learning tool at various subjects and different level of educations. The aim of this study is through comparing the traditional lecture-based method and the cooperative learning method in the higher college English teaching, in order to explore how higher college students perceive the means of cooperative learning in terms of English oral performance, English learning attitudes or motivation, social skills, and the lowering of anxiety in speaking English.

**Index Terms**—cooperative learning, teacher-centered approach, college English learning

Learning English has continued to become ever more important for college students. English proficiency not only benefits them in their academic studies, career hunting and professional promotion, but also enables them to successfully pursue trade or work opportunities. Hence, as English teachers, preparing the students of today to become successful individuals of tomorrow, we must ensure our English teaching effective, useful and ensure the students not only acquire process skills but also develop positive attitudes. While for this, cooperative learning has done a good job.

## I. THE TRADITIONAL LECTURE-BASED METHOD

Traditional lecture-based instruction places emphasis on the lecturer and deep learning through memorizing. Traditional learning refers to the teacher giving out information; students listen and speak only when called on by the teacher. This learning method has mastered our English teaching for a long time. In a classic study on traditional teaching, numerous researchers found that for the most part, what takes place in the classroom requires the attention of all the students. Teachers tend to stay in front of the classroom more than 85 percent of the time when teaching the whole class, but they change their location on an average once every 30 seconds. They further found that student participation is restricted by the environment or physical setting itself in ways that neither the teacher nor students are aware. Formal seating patterns tend to reduce student-to-student eye contact and student interaction and to increase student control and student passivity. The traditional structure may give each student five to ten minutes a day to speak about academic topics or respond to questions from the teacher. Traditional teaching gives emphasis on parts and isolated knowledge. Studies verify that when teachers depend upon “whole class instruction” they themselves talk more than two-thirds of the time, and more than 70% of their “teacher talk” is spent disciplining, lecturing, giving instructions, and asking questions. Students work together mainly to make clear how assignments are to be done. They try to find each other’s information, but have no idea to teach what they know to their group members. Helping and sharing is minimized.

Some students don’t put themselves into the task preparation, they just stay alone at the corner and wait for the efforts of their more diligent group members. The conscientious members feel exploited and do less. The result is that the more hard-working and the diligent students always better while the not active students will become more far way from the class. As for the teaching of English in colleges, judging from the loud voice of criticizing English instruction and the appeal for decreasing English credit-hours from six to four, in colleges, we may recognize that most college students are probably losing interest and motivation in learning the language. Seriously speaking, some of them are disgusted and, therefore, are rejecting the subject of English. Studies have shown that teacher-centered classrooms tend to pour standardized curriculum into the heads of nonstandardized students. It also awards just the students who have the right answers. Traditional teaching shows low expectations for students of different cultures. It is high time that all the professionals in this field to seriously think over the issue and figure out possible solutions since the expected mainstream with a good command of English has become extremely important to our country in striving to join the world.

## II. THE COOPERATIVE LEARNING

### A. Theoretical Foundations of Cooperative Learning

The theoretical foundation of cooperative learning stems from two broad perspectives. The first holds the developmental perspective, derived in part from the theory of Vygotsky and the second holds the motivational perspective, related to the work of Lewin and Deutsch. Vygotsky was a pivotal figure in the history of cooperative learning with his approaches to language acquisition and cognitive development. He suggests, as a result of collaborative activities increasing information processing, that motivation to learn is enhanced with language as the key mode through which the students organize their thinking and regulate their actions. Therefore, from a Vygotskian perspective, a major role of schooling is to create social contexts for mastery of and conscious awareness in the use of these cultural tools. (Vygotsky, 1962) When students engage in activities and dialogue with others, they gradually develop the dialogue expressing into their inner speech, which direct their own behaviors and thinks. And also the inner speech they carry on become the foundation of a social dialogue with others and is a major mode of learning, planning, and self-development. Vygotsky's research (1962) suggested that school helps students draw generalizations and "construct" meaning from their own experiences, knowledge, and strategies. The motivational perspectives of Lewin and Deutsch on cooperative learning proceed from a different starting point than Vygotsky's. Motivationlists are concerned with goal structures that create a situation in which the only way group members can obtain their own personal goals is by group success. Cooperative goal structures create a situation in which the only way group members can attain their own personal goals is if the group is successful. (Slavin, 1987) Giving students a reasonable sense of control over their experiences increases their motivation to engage in learning tasks. (DeCharms, 1976) Hence, either the developmental or motivational perspective of cooperative learning produces students making knowledge their own through intense interaction with others.

The source of motivation in cooperative learning is the supportive nature of the students' relationships with their peers in small groups and the important role each person plays within cooperative learning groups. The competitive atmosphere of the traditional classroom reduces the effects on motivation in many students. By contrast, cooperative small groups foster interest in the tasks by including shared goals, mutual encouragement and assistance, and the opportunity to contribute to the group's progress regardless of one's academic status in the class. The features of cooperative learning groups positively manifest socialization as a powerful motivating factor.

Studies of the benefits of oral interaction found that elaboration strategies were used more frequently by individuals in groups than by those in individualistic situations. According to Judy, these strategies involve reorganizing and clarifying material that the student does or does not understand. As a result, elaboration influences the learning of both the student offering the help and the student receiving the help. Johnson et al. (1990) address in their book *Circles of Learning* that there are nine points of differences between traditional learning groups and cooperative learning groups. These differences are summarized as follows: (Johnson et al., 1990)

Comparison between Cooperative Learning and Traditional Learning <sup>1</sup>	
Cooperative Learning	Traditional Learning
Positive interdependence	No interdependence
Individual accountability	No individual accountability
Heterogeneous membership	Homogeneous membership
Shared leadership	One appointed leader
Responsible for each other	Responsible only for self
Task and maintenance emphasized	Only task emphasized
Social skills directly taught	Social skills assumed and ignored
Teachers observes and intervenes	Teacher ignores group functioning
Group process occurs	No group processing

### B. The Definition of the Cooperative Learning

Johnson and Holubec defined Cooperative Learning (CL) as "the instructional use of small groups so that students can work together to maximize their own and each other's learning". Explicitly, cooperative learning is an approach to teaching and learning in which classrooms are organized so that students work together with positive interdependence and individual accountability in small cooperative groups. When properly organized, students in cooperative groups make sure that everyone in the group has mastered the concepts being taught. (Slavin, 1997)

Cooperative learning believes that learning is most effective when students are actively concerned with sharing ideas and working cooperatively to complete teaching tasks. According to Slavin, (1997) cooperative learning has entered the mainstream of educational practice for a number of reasons: firstly, the overwhelming amount of research showing the use of cooperative learning to improve student achievement and other such outcomes as inter-group relations, acceptance of handicapped classmates, and increase of esteem. Secondly, the growing of realization that students must learn to think, solve problems, integrate their knowledge, and apply their skills--cooperative learning is an excellent means for doing this. Thirdly, cooperative learning can help make diversity in heterogeneous classes a source, rather than a problem. As schools are moving away from homogeneous ability grouping with its negative effects on student achievement toward more heterogeneous grouping, cooperative learning is growing in importance. Fourthly, cooperative learning has been found to positively influence the social relations with students of different ethnic

<sup>1</sup> Johnson, D. W., Johnson, R. T., and Holubec, E. J. (1990). *Circles of learning: Cooperation in the classroom* (p.16), Edina, MN: Interaction.

backgrounds and mainstreamed special education students and their classmates. (Slavin, 1997) Therefore, cooperative learning not only improves students' emotional well-being, self-esteem, and coping skills, but also their attitude toward school work. (Patrick 1994; Patterson 1994) Students engaged in cooperative learning experiences have been able to identify an increase in their own knowledge and self-esteem, trust of peers, problem-solving and communication skills, (Elliott, Busse, & Shapiro, 1999), and technology proficiency. (McGrath, 1998)

In cooperative learning, individuals can achieve promotive interaction by helping each other, exchanging resources, challenging each other's conclusions, providing feedback, and encouraging and striving for mutual benefits. (Zakaria and Iksan, 2007) Students work together to accomplish the shared goals. Students are given two responsibilities: to maximize their own learning and to maximize the learning of all other group members. (Deutsch, 1949a) Students perceive that they can reach their learning goals if, and only if, the other students in the learning groups also reach their goals. (Deutsch, 1949a) Hence, students search for results that are beneficial to all those with whom they are cooperatively connected.

### C. *Features of Cooperative Learning*

The cooperative efforts in certain conditions may be expected to be more productive than competitive and individualistic efforts. Five major essentials are used to demonstrate cooperative learning and to make cooperative learning more successful. These essentials are: positive interdependence, face-to-face communication, individual responsibility, social skills, and group processing.

#### 1. Positive interdependence

For many years, schools, teachers, and parents have promoted an "I, me, my," mentality in the students. Students have always been told in school to, "do your own work," "keep your eyes on your own paper," "sharing answers is considered cheating," and the list can go on and on. Cooperative learning, however, seeks to change that by restructuring the reasons for students to work together. The first element, positive interdependence, seeks to do just that.

According to Johnson & Johnson, (1990) the success of one learner is dependent on the success of the other learners. During cooperative learning activities, the accomplishment of the group goal should rely on all group members working together and coordinating their actions. Positive interdependence is the insight that you are joined with others in a way so that you cannot succeed unless your group members do (and vice versa); that is, their work benefits you and your work payback them. It promotes a situation in which students work together in small groups to make the most of the learning of all members, sharing their resources, providing joint support, and celebrating their joint success. Teachers must provide a precise learning task and a group goal so that students know they "sink or swim together" (Johnson & Johnson, 1990, p. 28). Often, learners in the cooperative learning context have dual responsibilities: (a) They have to learn the assigned materials, and (b) they also have to concern other group members' learning. Positive interdependence is the essence of cooperative learning – it is achieved when students think in terms of "we" versus "me". Students should not feel successful until each member has attained both the group learning goal and his or her individual learning goal(s). (Johnson et al., 1990) This may require that students tutor one another and check on one another's progress. In addition, positive interdependence also has great influence on students' motivation, learning attitudes and productivity. When members of a group see their efforts as necessary for the group's success, they will increase their efforts. (Harkins & Petty, 1982)

#### 2. Face-to-face communication

Once a teacher establishes positive interdependence, they need to maximize the opportunity for students to promote each other's success by helping, assisting, supporting, encouraging, and praising each other's efforts to learn. (Johnson & Johnson, 1992) Students should interact directly with one another while they are working. They may communicate verbally and/or nonverbally. Interaction should take place among students, rather than between students and materials or students and machines. (Johnson et al., 1990) When students are asked to work independently on a set of problems and then meet in groups to discuss the answers, they are not really engaging in cooperative learning, but rather in individualistic learning – with talking. For cooperative learning to be effective, the members of the group have to be in very close physical proximity, face to face. In a cooperative learning setting, the teacher is prepared to step aside and offer the learner a more meaningful role. Students in a group sit in circle and interact with each other. As a matter of fact, cooperative groups can help increase opportunities for members to produce comprehend language, promote active learning, and also give quick feedback to their peers. Finally, while positive interdependence creates the circumstances for working together, it is the real face-to-face communication, in which students work together and help each other's success, that the personal relationships are shaped are important for developing pluralistic values.

#### 3. Individual responsibility

Individual responsibility exists when the performance of each individual student is assessed and the results are given back to the group and the individual. (Johnson & Johnson, 1992) All students should be held individually responsible for learning the material and contributing to the group. Insisting on individual responsibility discourages "coasting" or "hitchhiking," in which one or a few of the students do the bulk of the work and the others take a free ride. Individual evaluations are essential in determining whether each student has mastered the material. Teachers can test each student individually, or they can randomly select a student from each group to respond to questions or demonstrate or explain the material to the class. According to Olsen & Kagan, (1992) it is important that the group knows who needs more assistance, support, and encouragement in completing the assignment. It is also important that group members know

that they cannot “hitch-hike” on the work of others. Each individual is accountable for his or her own learning and is also accountable to the group. This means that grading takes into account individual grades and group grades. (Olsen & Kagan, 1992) Teachers should judge the total effort that each member is contributing. And the judgment can be done by giving an individual test to each student or accidentally asking students to present their group’s work.

Individual responsibility exists when each student is given equal responsibility for his or her fair share to the teamwork. It stresses the idea that the accomplishment of a group relies on the coordination of all members’ efforts. Each team member feels in charge of their own and their members’ learning, and then makes an active contribution to the group. As reported by Johnson, and Holubec (1994), another aspect of individual accountability is that each team member must master the learning materials. Group members have to make certain that learning takes place by checking for understanding, quizzing, and tutoring of one another. (Johnson, and Holubec, 1994) According to Johnson et al. (1991a), individual accountability can be promoted by (a) keeping the size of the group small, (b) giving an individual test to each student, (c) calling on students in the class randomly and asking students to present the work of the group to the entire class, (d) observing how members of each group interact with other members, (e) assigning one member of each group to ask other group members to explain new material to the rest of the group (i.e., checker), and (f) requiring that each student teaches what he/she learned to a fellow group member or to someone else from another group. (Johnson et al., 1991a)

#### 4. Social Skills

According to Johnson and Johnson (1990), contributing to the success of a cooperative effort requires interpersonal and social skills. (Johnson and Johnson, 1990) Developing students’ social interaction is an important career-related liberal arts skill valued by employers and by faculty members in a variety of disciplines. Social skills should be taught and reinforced for high quality cooperation; and students should be encouraged to use them if cooperative groups are to be productive. Cooperative skills are social skills commonly used in group activities. Social behaviors are the basis of human communication. It is often necessary to explicitly teach the language and behavior needed to work together in English. Cooperative learning allows individual students the opportunity to work with others on a shared task, in pursuit of a common goal. (Cooper, 1990) Cooperative learning helps students develop different types of human relations skills such as active listening, empathy, consensus building, leadership, constructive conflict management, and resolution--skills that are relevant and transferable to the sorts of social situations they may encounter in their future careers. (Cooper, 1990)

However, even within positive research regarding cooperative learning there are opponents. Most opponents of cooperative learning do not fully understand its necessary components. They charge that during group work one student might end up doing everything while the others get a free ride. Moreover, telling the socially unskilled individual student of a group to cooperate with others does not assure that they will be able to do so effectively. In order to execute lessons in true cooperative learning style, there must be two key elements present: firstly, a common goal or purpose set for the team members to achieve, and secondly, individual responsibility. So, teachers must conduct the students the social skills of high quality cooperation and encourage them to practice. And at the same time, other social skills such as decision-making, leadership, communication, conflict-solving, etc. have to be cultivated just as decisively and accurately as academic skills. In addition, teachers must offer opportunities for each group members to know about and help each other, appreciate, accept and support each other, communicate actively and resolve discrepancies constructively, without which, students will merely take part in the group work and will not harvest the precious benefits that true cooperative learning has proven to bring.

#### 5. Group Processing

According to Johnson and Johnson (1990), group processing may be defined as reflecting on a group session to describe what member actions are helpful or obstructive, and make decisions about what actions should continue or change. Students must also be given the time and procedures for analyzing how well their learning groups are functioning and the extent to which students are employing their social skills in helping all group members to achieve and to maintain effective working relationships within the group. It involves reflecting on a group session to describe what actions of the members were effective and ineffective and deciding upon which acts to continue, which to modify, and which to discard. (Johnson and Johnson, 1990) According to Johnson, D.W. & Johnson R.T. (1994) such processing (a) enables learning groups to focus on group maintenance, (b) facilitates the learning of social skills, (c) ensures that members receive feedback on their participation, and (d) reminds students to practice collaborative skills consistently. (Johnson & Johnson, 1994) At the end of an activity or unit, the group reflects on how it has performed by reviewing the skills that it practiced, what it did well, and what it needs to do on next time. Teachers may provide a handout to track use of the skills. Besides, teachers should also give opportunities for the class to assess group progress. Group processing enables groups to focus on a good working relationship, facilitates the learning of cooperative skills, and ensures that members receive feedback. (Johnson & Johnson, 1994)

### III. THE EFFECTS OF IMPLEMENTING COOPERATIVE LEARNING

#### A. *It Gives Students a Good Learning Performance.*

Students instructed by means of cooperative learning performed significantly better in speaking. Due to the abundant opportunities provided for the highly interactive settings with the classmates in CL method, most of the students

achieved significantly better competence in listening and speaking. The participants' significant gains in English speaking and listening could be attributed to the highly interactive learning tasks, the continual peer discussion, peer correction, and the comfortable learning atmosphere during the class. The frequent interactions among the participants resulted in large numbers of student talks during the class. It is likely that the participants' speaking ability improved, as well as their listening, reading, and writing abilities. As a result, such a student-centered approach helps to enhance the students' oral communicative competence. The gains of the participants' communicative competence correspond to McGrath's (1998) suggestion that by continually stimulating language input and output, cooperative learning instruction provides English learners with natural settings in which they can derive and express meaning frequently from an academic setting. (McGrath's, 1998)

#### *B. English Learning Attitude/Motivation*

Students had higher learning satisfaction through the cooperative learning instruction than the control group had with the traditional approach. Small group discussions in a cooperative learning setting can provide learners with more opportunities to speak than is the case with teacher-centered instruction. That is, the participants receiving the cooperative learning instruction tended to become more motivated to study harder and get involved in the group discussion and learning activities.

The participants' responses in the interview showed that a team working together in order to complete the task can arouse the participants' desire for attaining successful use of language. This finding clearly demonstrates the significant efficiency of cooperative learning in supporting the participants' learning attitudes/motivations. The students felt they benefited more in learning attitudes/motivation than in their speech performance.

#### *C. It Enhances Students' Social Skills.*

Cooperative learning helped to improve their social relationships, both in cooperation with group members and contribution to others. In order to achieve the best effect from cooperative learning, it is essential for the instructor to organize heterogeneous groups in the cooperative class. When the subjects have problems, they will ask each other for help. In addition, the high-achievers will encourage their group members to work harder to get the reward for their group. They count on their teammates instead of learning from the instructor alone. With the assistance of high-, medium-, and low-achievers, students will have better performance than ever before. In addition, the requirements for teamwork also help to generate a sense of group belongings, and positive interdependence in class. Students in the group have to contribute to their group members. Teammates are required to work together and fulfill their tasks in order to get good scores. Under these circumstances, students' social esteem and self-esteem are raised, and a more harmonious atmosphere is cultivated in the cooperative classroom.

#### *D. It Reduces Students' Anxiety in English Oral Proficiency*

Cooperative learning may provide a more effective and less anxiety-provoking opportunity for students to gain enhanced fluency and confidence in their English-speaking skills which, in turn, could benefit them in other college classes that require public speaking, as well as help them in their professional careers later after college. Also, cooperative goal constructions create a situation in which the only way group members can attain their own personal goals is if the group is successful. In either the developmental or motivational perspective, students acquire knowledge on their own through intense interaction with others. And the students try their best to get the results which are beneficial to all those with whom they are cooperatively linked. They discuss assignments together, understand the meaning together, and encourage to find the answer each other. By doing these, students feel comfortable enough to participate in the activities and do their best in order to achieve common goals. So, peer cooperation and encouragement can reduce students' anxiety in speaking English.

### IV. PEDAGOGICAL IMPLICATIONS

First of all, it was found that cooperative learning worked well in fostering the students' communicative competence in oral English communication. Cooperative learning can benefit both high- and low-achievers. However, it is impossible to adopt a specific method to solve all the problems that happen in the classroom settings and to suit for every individual. In future studies, it is highly recommended for teachers to plan and adapt their teaching methods and procedures to a particular context. With careful and thoughtful planning and preparation, cooperative learning could be effective and useful in college speaking classrooms.

Secondly, since individual accountability has been found to be an important factor in cooperative learning, instructors must explain to students that all teammates have to make a good contribution in order to complete the tasks. Generally speaking, most teachers feel deeply frustrated about students' poor academic performance and low motivation in English learning. So, cooperative learning techniques could offer those teachers an alternative to motivate their students to expend greater effort to improve their academic performance.

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# Input of Chunks and Its Effects on L2 Learners' Listening Competency

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**Abstract**—The study tries to explore the effectiveness of acquisition of chunks to improve L2 learners' listening competency. An empirical study is designed and conducted on the basis of theory of chunks and information processing mode. Analysis of the experimental data shows that acquisition of chunks can effectively help L2 learners to improve their listening competency. Result of the experiment reveals that the number of chunks closely correlates with L2 learners' listening scores, because chunks can boost L2 learners' efficiency of processing language information and predicate information while listening.

**Index Terms**—chunks, the lexical approach, listening competency, L2 learners

## I. INTRODUCTION

Listening comprehension is an input process of listeners' processing discourse information passively as well as a course for the listeners to perceive, store, decode and comprehend information. Gilman & Moody (1984) finds that adults spend 40-50% of communication time listening. Listening input is an essential component of language input and information input, playing a vital role of facilitating language understanding and learning. However, for many L2 learners in China, listening ability has been the weakness, which has badly influenced their progress in learning a foreign language. Low listening competency is a big obstacle for them to conduct successful communication. In many cases, L2 learners can only capture some discrete words and are unable to notice the whole structure of what speakers say. Low efficient L2 learners focus too much attention on identifying sounds and understanding vocabulary and grammatical structures. Chunks, which focus on the integration of words, are helpful to facilitate L2 learners to comprehend listening materials integrally. The thesis adopts the theory of chunks to explore a way to improve L2 learners' listening competency.

## II. THEORETICAL FRAMEWORKS

### A. *Theory of Chunks and the Lexical Approach*

Vocabulary has usually been referred to individual words, but it is evident that much of lexis consists of sequences of words which operate as individual units, with meanings different from separate words. Numerous terms have been coined to refer to this type of sequence: lexical chunks, collocations, prefabricated phrases, formulaic language, lexical bundles etc. In this thesis, "chunks" or "lexical chunks" is adopted and the thesis prefers the definition of "chunks" defined by Wray (2002): "A sequence, continuous or discontinuous, of words or other elements, which is, or appears to be, prefabricated: that is, stored and retrieved whole from memory at the time of use, rather than being subject to generation or analysis by the language grammar.". Altenberg (1998) researches and finds that 80% of the discourse components are varieties of lexical chunks and chunks, instead of individual words, are the smallest unit to perform the memory, storage, input and output of discourse. Therefore, if L2 learners could master a large number of chunks, it would be much helpful for them to analyze the meanings of what the speakers say. Lexical chunks conventionally fall into the following categories (Lewis, 1997):

- polywords (e.g., by mean of, in this way)
- collocations, or word partnerships (e.g., come to life, be fully justified, heavy traffic jam)
- institutionalized utterances (e.g., It's beyond me; If not for ...; Would you like a cup of coffee?)
- sentence frames and heads (e.g., Some believe that..., others hold that...; The primary reason is that ... ; It goes without saying that...) and even text frames (e.g., In this paper we explore ...; Firstly ...; Secondly ...; Finally ...)

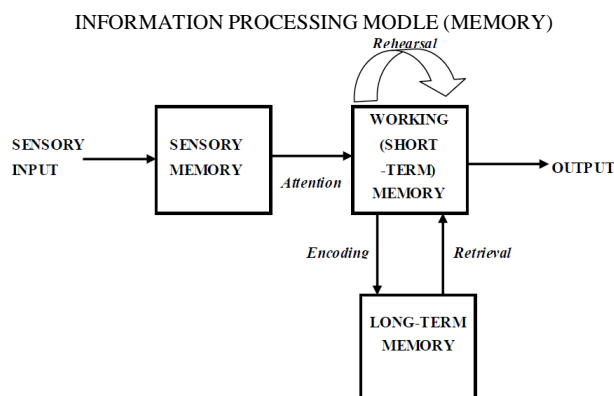
Lewis (1993) puts forward "The Lexical Approach" based on theory of chunks. A lexical approach in language teaching refers to one derived from the belief that the building blocks of language learning and communication are not grammar, functions, notions, or some other units of planning and teaching but lexis, that is, words and word combinations. Vocabulary and lexical units are considered the central part and basis of learning and teaching a second language in the lexical approach, as Lewis (1993) says "language consists of grammaticalized lexis, not lexicalized grammar." The lexical approach advocates argue that majority of spoken sentences are not newly created and that Chunks in the form of multi-word units or memorized patterns contribute to the formation of fluent expressions heard in everyday conversation. Lexical approach holds that chunks can efficiently accelerate the speed of processing and generating language.



Michael Lewis (1993) suggests that the lexical approach is based on the following principles in his book *The Lexical Approach: The State of ELT and a Way Forward*.

- Language consists of grammaticalized lexis, not lexicalized grammar.
- Structural patterns are acknowledged as useful but lexical patterns are considered of primary importance to language teaching.
- Much language consists of multi-word “chunk”.
- Teachers should raise students’ awareness of “chunk” and develop their ability to “chunk” language successfully.
- Receptive skills, particularly listening, are recognized as deserving primary importance.
- The present-practice-produce paradigm is rejected in favor of a paradigm based on observe-hypothesis-experiment cycle.

#### B. Information Processing Mode



Listening comprehension is a dynamic process, which is composed of two parts: top-down process and bottom-up process. In the top-down mode, listeners use knowledge already stored in the brain (long-term memory) to construct the meanings of language. The knowledge includes topic knowledge, listening context, text-type, culture or other information and establishes a listening schema. Clues in the listening texts can stimulate the schema of listeners and help to better understand the texts. In the other mode, listeners perceive the meanings of listening discourse with linguistic knowledge. The process to construct meaning ways up from sounds to words to grammatical relationships and then to lexical meanings. In the process of listening comprehension, the two ways do not work separately and individually but interactively. Listeners use both knowledge stored in the brain and linguistic knowledge to comprehend messages.

The process of information is as is shown in the following picture. Attention is the only way to have input remembered and it is an essential part of information processing which transforms input into intake. Short-term/working memory is the center of conscious thought with limited capacity, which makes it impossible to process too much information at a time. Therefore, listeners cannot remember too many units temporarily. If the memory units take the form of chunks instead of individual words, it will definitely help listeners to process more language information. The following picture also shows that rehearsal is the way to convert working memory/ short-term memory to long-term memory. Thereby, when the lexical approach is adopted in L2 teaching and learning process, abundant repetition and practice are necessary and vital to help L2 learners to memorize lexical chunks.

### III. RESEARCH QUESTIONS

An empirical study is conducted in the thesis in order to explore the roles of mastering chunks in second language acquisition and effectiveness of the lexical approach in second language listening. The author tries to answer the following questions in this thesis:

1. Does the number of chunks mastered by the L2 learners correlates with their listening abilities?
2. Is the Lexical Approach effective to enhance L2 learners listening competency?
3. How should the Lexical Approach be applied to teaching chunks in second language teaching?

### IV. RESEARCH METHOD

#### A. Participants

In spring of 2012, the author chose two parallel classes in Shandong Jiaotong University in China and conducted an empirical study. The experiment lasts two academic semesters. All the participants are sophomores of engineering majors. Before the study, majority of the participants have learned English for at least eight years and the two classes’ level of mastering English language proves to be approximately equivalent after an analysis of their scores in the final

term examination. The two classes take a pre-test and a post-test in the study to check, analyze and compare their levels of English learning competency.

### *B. Method*

In the study, New College English (Listening and Speaking Course) is chosen as the text books in the two classes. The lexical method was adopted to focus on the input of lexical chunks and a communicative approach is accompanied in the teaching process in the experimental class. Initiator of the lexical approach, Lewis, (1993) doesn't negate the effectiveness of communicative approach in second language teaching. Instead, he argues that the Lexical Approach is the supplement and advancement of communicative approach. For the reference class, the conventional communicative teaching method is employed with the same text books. Data of the study stems from a pre-test and a post-test, and SPSS17.0 is used for statistics and analysis.

### *C. Process*

#### 1. Recognizing Chunks and Cultivating Awareness of Chunks.

An essential learning strategy is to teach and train students to recognize and notice chunks when they are exposed to the listening discourse. The conventional way to teach listening in L2 teaching is to play tapes repeatedly and focuses too much on requiring students to fix their attention on separate syllables, words and sentences. After being able to identify chunks, students should be guided to raise their awareness of using chunks and learn to base their listening comprehension on the combination of chunks with the context. As what is discussed in II (B), attention is the only way to memory. Attention to the chunks is necessary on the way to store language knowledge and establish schema. Recognizing and mastering chunks of listening discourse can lighten the memory burden of students and guide them to comprehend the listening materials integrally.

#### 2. Practicing and Analyzing Chunks.

Some activities should be designed and developed to help students to notice and practice chunks in the course of perform listening. Improvement of listening is a step-by-step process. Thereby, acquisition of chunks should be advanced gradually. In the beginning period, teachers can play only two or three sentences and then ask students to write down the chunks they hear. Subsequently, teachers ask students to collect chunks and analyze them so as to understand the structure of chunks, what they mean and how they are used. In this way, students can obtain a global understanding of the structure of the chunks. Teachers also have students note down chunks out of class and review them afterwards.

#### 3. Consolidating the Mastering of Chunks.

In the wake of the practice above, students have established their awareness of chunks and endowed themselves with the abilities of identifying and practicing chunks. Teachers come to require students to write complete sentences including chunks while listening to the text. Students are guided to concentrate more on the chunks and the context in this procedure.

### *D. Data Collection*

Measurement instruments of the study are two listening passages, one with 286 words and the other with 279 words. The two listening passages are played separately in the pre-test and post-test. Each passage is played for three times and students are asked to write down what they hear.

1. The two passages are played regularly in the first and third listening. The audio file played in the second listening is reproduced with software Cool Edit Pro 2.1. Interval between every two sentences is extended according to the length of the sentences so that students have enough time to write down what they hear.

According to the rules of identification and classification put forward by Lewis (1993&1997), chunks in the passages of the pre-test and the post-test are picked out, with the number 56 and 51 separately.

2. T-unit measure is also introduced in this study. T-unit is a term coined by Hunt Kellogg (1965), as is defined as the "shortest grammatically allowable sentences into which (writing can be split) or minimally terminable unit." In linguistic research, T-unit is applied to analyzing the complexity of sentences and maturity of following grammar rules. T-unit is often, but not always, a sentence. In the study, T-unit is used to assess the levels of participants to follow grammar rules correctly and measure the degree of participants' abilities to capture what the speakers say.

3. Manuscripts of the participants are scored by three researchers and a mean score is adopted for each. Scores of the participants are processed with SPSS 17.0.

## V. DATA ANALYSIS AND RESULTS

Some descriptive and inferential statistical procedures are started to assess the effect of the study. Number of T-units and chunks are compared between the experimental class and the reference class.

TABLE 1  
INDEPENDENT SAMPLES TEST OF RESULTS OF POST-TEST (CHUNKS)

	Group	Min.	Max.	Mean	t	Sig. (2-tailed)
Post-test	Experimental Class	4	38	28.24	0.214	0.016
	Reference Class	2	37	22.38		

TABLE 2  
INDEPENDENT SAMPLES TEST OF RESULTS OF POST-TEST (T-UNITS)

	Group	Min.	Max.	Mean	t	Sig. (2-tailed)
Post-test	Experimental Class	3	18	11.12	0.136	0.023
	Reference Class	0	17	7.36		

As Table 1 indicates, number of the chunks written down by the experimental class far exceeds the number of those written down by the reference class after two semesters' experiment. The two groups of data are significantly different at the level of  $0.016(<0.05)$ . The most probable explanation to the difference is that the lexical approach is highly effective to improve L2 learner's abilities of acquiring chunks. Table 2 shows that the experimental class can write down much more T-units in the post-test. T-unit is also a way to measure L2 learners' degree of mastering grammar rules. Therefore, Table 2 also means that acquisition of chunks is effective to help L2 learners to improve their abilities of applying grammar rules and organizing sentences correctly.

TABLE 3  
RESULT AND COMPARISON OF THE TWO TESTS

Test	Class	Mean	MD	t	Sig.
Pre-test	Reference Class	12.822	0.037	0.021	0.591
	Experimental Class	12.859			
Post-test	Reference Class	13.426	2.373	3.274	0.006
	Experimental Class	15.799			

A major premise of the research test is that the subjects do not show significantly different levels of listening competency. The pre-test has confirmed this and guaranteed the premise. After two semesters' teaching chunks with the lexical approach, the subjects in the two classes perform substantially differently on the level of listening competency. As is shown in Table 3, the mean deviation between the two classes becomes greater in the post-test, with the P value  $0.006<0.05$ . With other variables under control, different teaching methods may be the probable factor to account for the difference.

Although Table 3 indicates that students in the experimental class have greatly improved their listening abilities, a question still remains to be answered, that is, does the improvement correlate with the mastering of chunks? In order to find out the answer, a correlation analysis is conducted. Table 4 reveals the relation between the number of chunks and the students listening scores: a close positive correlation, which means that the more chunks students master, the more scores they may achieve in the listening tests.

TABLE 4  
CORRELATION BETWEEN THE NUMBER OF CHUNKS AND LISTENING SCORES

		Number of Chunks	Score
Number of Chunks	Pearson Correlation	1.00	0.712**
	Sig.(2-tailed)	.	0.000
Score	Pearson Correlation	0.712**	1.00
	Sig.(2-tailed)	0.000	.

## VI. DISCUSSION

From the results of the empirical study, a conclusion can be conducted that teaching chunks with the lexical approach can effectively enhance students' listening competency.

### A. Chunks Are Helpful to Increase L2 Listeners' Efficiency of Processing Language while Listening

Acquisition of language is based on two modes: rule-based mode and exemplar-based mode. The rule-based system is adopted when there is enough time to process language and much accuracy is required, while the exemplar mode is in need when communication is conducted in limited time but under sufficient context. The exemplar mode can reduce the burden of brain to process language and decrease the time to react. Meanwhile, the brain processes language with the unit of chunks, a sequence of words, instead of processing language in the form of individual words, which can efficiently decrease the speed of language processing, which is of great significance in the process of a second language listening. As the diagram in II (B) indicates, the short-term memory needs to encode information to convert to long-term information. Language information in the form of fewer chunks rather than the form of more individual words can definitely be of favor to help L2 learners memorize language items. Given the time emergency of processing language, chunks are more favorable to help L2 learners to improve their listening competency.

### B. Acquisition of Chunks can Help L2 Listeners to Improve Their Predictive Abilities while Listening

It's no wonder good predicative abilities are essential for L2 listeners to catch information from the listening materials. Mastering sufficient chunks can help L2 listeners cultivate their predictive abilities while listening, since chunks are endowed with pragmatic functions. In the course of speech communication, what language users choose are not individual words but chunks with pragmatic functions: social interaction, necessary topics and discourse device. (Nattinger & DeCarrico, 1992) In other words, chunks is of use for organizing discourse, connecting information and indicating information. Chunks are important means of textual cohesion, which can help L2 listeners, better understand the relation among paragraphs and the overall structure of listening discourses.

### C. Teaching Chunks Appropriately can Help L2 Learners to Boost Their Listening Competency

The study has found that the number of chunks correlates with L2 learners' listening abilities. L2 learners need to increase the input of chunks and improve their abilities of acquiring chunks. Sufficient input of chunks can enrich the storage of language information. The INFORMATION PROCESSING MODE in II (B) shows **attention** is a vital step on the way to memory, which requires L2 learners to learn to identify chunks. It also indicates that **rehearsal** and **retrieval** are essential to process language and transform language input into language output, which means that adequate practice of using chunks are important to booster L2 learners' language application abilities including their listening competency.

### D. Acquisition of Chunks can Help L2 Learners Build up Their Self-confidence while Listening

Acquisition of chunks can help the learners lighten the burden of memory, reducing the difficulty of learning a foreign language. Pragmatic function of chunks can guide learners to allocate more attention on the context of communication, which contributes to the fluency of speaking a foreign language and reduces the time to react. All of these can help L2 learners to endow themselves with more confidence and keep calmer during communication, which is a guarantee of a successful communication.

## VII. CONCLUSION

Chunks are important components of language as well as an effective way to learn a foreign language. L2 learners should focus attention of the usage and functions of chunks and master chunks by adopting appropriate chunk acquisition strategies. L2 teachers should also emphasize the lexical approach to teach chunks and help L2 learners to enhance their language application abilities.

Limitation of the study seems to be inevitable. The study has proved that the acquisition of chunks does help the L2 learners improve their listening competency. However, the subjects of the experiment are only confined to the range of non-English majors with low level of learning English. Can it also be applied to helping the English majors with high level of learning English effectively? Is acquisition of chunks helpful for the L2 learners to improve their abilities of speaking, writing and reading? In what degree can acquisition of chunks work to help the L2 learners? All of the above still remain to be experimented and studied? Accumulation of chunks is essential to L2 learning, but it is only a part of the process to learn a language and it not the only indicator to decide the success of language learning. The study on the roles of mastering chunks still remains to be developed further.

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# Organic Language Teachers in Organic Settings: From Ecology to Methodology

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**Abstract**—The purpose of this article is to introduce ‘Organic Language Teachers in Organic Settings’ and ‘organic language teaching’ which are in this sense new terms introduced by the author in the field of language learning and teaching. The general ideas of the word ‘organic’ are touched upon in agriculture, and from that ‘organic language teaching’, ‘organic settings’, and ‘organic language teachers’ are developed and introduced. Characteristics and features of organic language teachers are also presented.

**Index Terms**—organic language teaching, organic language teachers, organic settings, organic agriculture, green consumerism

## I. INTRODUCTION

Nowadays we hear the word ‘organic’ more frequently in combinations, such as ‘organic agriculture’, ‘organic food’, and ‘organic products’. The general understanding of this word is when farmers cultivate the lands or farms “without using artificial fertilizer and pesticides” (van Elsen, 2000, p. 103). Besides, “organic agriculture tries to produce healthy food under environmentally sound conditions” (van Elsen, 2000, p. 101).

Increasing in production and consumption of organic food is among the main concerns in market trends of our time. Advocates of organic agriculture believe in some advantages of this kind of farming and cultivating. They “claim that it will help preserve the environment, improve people’s health, and create better conditions for agricultural workers” (Allen & Kovach, 2000, p.221).

### **Green Consumerism and Organic Food**

Green consumerism is an approach which believes when consumers become more informed and shop more responsibly, they can transform the way in which goods are produced. Since the 1980s, this approach has been a crucial feature in the culture of environmentalism. A paradigmatic case for green consumerism is the market for organic food. (Allen & Kovach, 2000)

The National Organic Standards Board (1995, cited in Allen & Kovach, 2000) defines organic practices as follows:

Organic agriculture is an ecological production management system that promotes and enhances biodiversity, biological cycles and soil biological activity. It is based on minimal use of off farm inputs and on management practices that restore, maintain and enhance ecological harmony. (National Organic Standards Board, 1995, cited in Allen & Kovach, 2000, p. 222)

One of the fastest-growing segments of the food industry is organic products. This kind of industry from almost early stages of it, clearly understood that it is important to provide the consumer with information especially in the form of accurate and reliable labels. (Allen & Kovach, 2000)

Kane (1999, cited in Allen & Kovach, 2000) asserts that one of the earliest and the most successful eco-labels is the organic label. In 1970s, California and Oregon passed laws regulating organic labeling. Since then, the success of the organic label has led independent groups to use the organic label as a model for their own eco-labels.

## II. REVIEW OF THE RELATED LITERATURE

As Adcroft and Lockwood (2010) find out the “definitions of organic are diverse and lacking in universal acceptance and there are few, if any, operating concepts” (p. 7). They claim that this fact is “the biggest weakness and the biggest strength” (p. 7). Therefore, there would be a limited theoretical and empirical base in order to build new research and action, and it would allow academically and practically for a degree of risk taking and experimentation which more fully developed theories and concepts might not allow. Hence, it is beneficial to choose a perspective or as they put it “some kind of anchor for the discussion of an unfocused literature”. They concentrate on organic approaches regarding strategy, structure and innovation.

Casey (2008) in his blog emphasizes that recently the trend in digital media design has been toward extending the natural reach of human capacities. He argues that education system, just like modern farming, has been over-engineered, and over-relied on fostering narrow skills. So, there are obsessions with measurement, ongoing intervention in learning, confines in the site of learning to the classroom and attempts to make people homogeneous in their thinking which all result in the end to economic and social perils. Therefore, he asserts that just like farming there is a need for a new approach and he calls it a kind of organic movement in learning and teaching.

According to what Casey (2008) mentions, learning should be considered as a natural process in which people are curious and have a desire to be competent and connected in society. He emphasizes the inquiry cycle of ask, investigate, create, communicate and reflect, and providing children with the tools that help them learn the world through inquiry. He points out that well designed digital technologies afford connection, engagement, expression, creativity and learning, and they facilitate these transparently -without the need for complex prerequisite skills. In this case as he claims, children have access tools that boost their natural capacities to communicate, participate and make meaning of the world.

As it is clear, he focuses on digital media in order to prepare a natural setting which he considers organic. However, the perspective of the author of this article is different from his point of view. She considers organic teaching based on the aforementioned definitions of the word 'organic' in agriculture as a kind of teaching in which there is no adding material, and based on green consumerism, learners or teachers are provided with to the point information.

Moore (1988) points out that "an organic philosophy calls forth an organic approach to teaching" (p. 248), and teaching organically definitely would need more than one educational methodology, simply to draw from the fullness of human inventiveness. She concentrates on one particular form of organic teaching that is unusually full in itself which is called narrative teaching. This kind of teaching, deals with images of storytelling, simulation gaming, dramatization and ritual reenactments, yet she claims that it is more than a set of techniques that can be thrown into an eclectic bag of tricks. Narrative is a significant mode of human communication. It is a bearer of culture, and a potentially profound and far-reaching educational methodology. And in this sense, organic teaching is not the way the author of this article develops it.

Rutherford (1987, cited in van Lier, 2001) outlines the development of grammatical complexity in the organic sense. Van Lier (2001) asserts that only through an organic or ecological approach "the true role of interaction in learning and the true sense of what Vygotsky meant by the zone of proximal development can be revealed" (p. 102). Therefore, he continues that in this approach contingency and symmetry are central and overt acts of repairing are epiphenomenal.

Nunan (2001) argues that in the grammar class, one needs to go beyond linear approaches and traditional form-focused methodological practice. And he makes a case for "a more organic approach to grammar teaching" (p. 198). So, there should be a proper balance between exercises and tasks.

Nunan (2004) points out that organic view of acquisition is when "numerous items are acquired simultaneously, albeit imperfectly" (p.30). For the term organic, Nunan (2001) seems to have a linguistic perspective that holds a product-oriented point of view in which he focuses on learning. "The organic metaphor sees second language acquisition more like growing a garden than building a wall" (p. 192). Based on this view learners learn many things at the same time, and imperfectly not one thing at the time and perfectly. Hence, "linguistic flowers do not all appear at the same time" (Nunan, 2001. p.192). In this article the emphasis is on language teaching which is not dealt with in Nunan's definition.

Gibson and Pick (2000) put that the animal in its environment is the unit of study in the ecological approach and it is regarded as an interactive system. Within this system, the relations are reciprocal and "the reciprocity including a species evolving in an environment to which it becomes adapted, and an individual acting in its own niche, developing and learning" (Gibson & Pick, 2000, p. 14). Gibson (1979, cited in Gibson & Pick, 2000) believes that the ecological approach to perception has three concepts: affordance, information, and information pickup. In this sense, ecological approach is not presented as the way the researcher in this study introduced ecological or organic approaches.

Morrison and Hugh (2005) deals with the interview in which Osborn Hugh talks of his presentation at the 2005 World Future Society conference in Chicago. He and his partner, Margaret Gayle define three organization levels of their education system: "(1) the student-teacher interface in the classroom, (2) the district level where local budget and policy decisions are made, and (3) the state/national level where politicians define diktats that lead to red tape" (p. 1). They introduce organic education as a "bottom-up scenario in which organic forces replace existing mechanistic approaches at all three levels" (p. 1).

They believe that this kind of education acts as an instrument to *force* transformation of the American education system and is not simply another monograph that *advocates* change. According to what the author of this article understands from Morrison and Osborn (2005), it nearly seems that the organic education is dealt with in local settings or education of America and not globally. And almost it is not developed in a way that this article deals with the concept of organic teaching.

### III. FROM NATURAL AND EDUCATIONAL SETTINGS TO 'ORGANIC' SETTINGS

There are different ways of agriculture. One classification is the distinction between organic and conventional agriculture. And their main difference is the way the farmer takes care of the fields and the crops. In the field of language teaching and learning also there are different classifications. Natural and educational, according to Ellis (1994, 2008), are two distinct settings for language learners. In the former formal learning occurs and in the latter there is conscious attention to rules and principles. In natural settings "learning is considered to result from direct participation and observation without any articulation of the underlying principles or rules" (Ellis, 2008, p. 288). Moreover, the focus is on the social significance of what is being learnt rather than on the mastery of subject matter. While in educational

settings the reverse is true. More emphasis is on the “mastery of ‘subject matter’ treated as a decontextualized body of knowledge” (Ellis, 2008, p. 288).

‘Organic Setting’ is a mixture of natural and educational settings, but more inclined to natural settings. It means learning is regarded as a result of direct participation and observation with possible natural articulation of the related rules, and it is formal or informal based on the social context and the course. Besides, social aspects are important as well as subject matters. And the subject matter is developed based on careful needs assessments.

One of the ideas or rules in food industry especially organic products as mentioned earlier according to Allen and Kovach (2000) is to provide the consumer with information in the form of accurate and reliable labels. From this idea, we can have language settings in which the teacher provides the learners with information especially accurate and to the point hints regarding the social context, materials and the course, then the result will be ‘organic language products’ or better say ‘organic language teaching’.

#### IV. ORGANIC LANGUAGE TEACHERS

Throughout the literature there are different terms to introduce or represent language teachers. These terms elaborate and label different teachers differently, such as ‘good English language teachers’ (Allen, 1980, cited in Brown, 2007), ‘successful language teacher’ (Pennington, 1990, cited in Brown, 2007), ‘professional English teachers’ (Ur, 2002), and ‘good-enough teachers’ (Allen, 2002). The researcher believes that we need another terminology for language teachers and it is ‘organic language teachers’. She thinks that rules and characteristics of ‘organic agriculture’ can be applied in teaching and regarded as basics for teachers.

#### V. CHARACTERISTICS OF ORGANIC AGRICULTURE AND ORGANIC LANGUAGE TEACHING

Environmental issues are the major concern of those who are the proponents of organic production. “Organic production means fewer or no synthetic agrochemicals, cleaner waters supplies, better soils” (IFOAM, 2007, cited in Risku-Norja & Mikkola, 2009, p. 731). Still organic agriculture like conventional agriculture relies on machinery which renders the production far from independent from fossil fuels. These days one of the key factors of organic production is social issues. So, organic agriculture is presented as ideal in terms of human and economic relations. (Risku-Norja & Mikkola, 2009)

It seems that in organic agriculture, environment and its issues are important and as Risku-Norja and Mikkola (2009) claim, social issues and concerns are one of the key elements of this kind of production. In language teaching, environment can affect language teachers and learners. Therefore, environment and social factors can change a conventional language teacher to an organic one. In organic agriculture, plants or crops or in general we can say products are cultivated without any adding materials so they grow naturally. Most of us have the experience of teaching everyday stuffs to our children, friends, neighbors, or relatives, and they grasp and learn them very well. In this case, the environment or social context is natural. There is no social context such as institute, university, classroom, but simply we are there with our addressee.

Ellis (2008) points out that according to a structural point of view “social factors such as power and prestige are seen as determining social context” (p.979), and in terms of interactional point of view “the social context is seen as created in each situation through an interplay of social factors” (p.979). Situational factors, according to Ellis (2008) deal with “the specific characteristics of a social context that impact on L2 learning” (p.324). This situational factors not only affect L2 learning, but also L2 teaching. Hence, teachers are under the influence of such kind of factors.

From the characteristics of organic production, the researcher comes up with the definition of organic language teaching as a kind of teaching in which:

- a. There are fewer or no synthetic relations among the teacher and the learners (no connections, priorities, exceptions)
- b. There is a peaceful and unstressful ambience (pass or fail in the exam, expelling from the class, no fear of asking related and useful questions)
- c. There are better equipments (up to date classrooms, using smart boards, projectors, the internet)
- d. Attitudes are natural yet polite and respectful (because nearly everything is on its place, there is no need to act and attitudes are naturally accepted)
- e. There are culturally-awakened materials for teaching (learners and teachers are being respected by having culturally related books, articles, etc.)
- f. Needs analysis is in the form of assessment and it is both offline and online (there is an ongoing needs analysis, or better say, needs assessment)
- g. There is less or no intruders in the case of authorities, supervisors, etc. (teachers can be creative and noble within the outline of the course, and they feel free to have their own idiosyncrasy)

When the teaching approach is organic, then we will have organic language teachers, organic language learners, organic language classrooms, organic materials, and even organic assessment. One may wonder that ‘organic’ is exactly synonymous with ‘natural’. However, the researcher emphasizes that ‘organic’ is more than being natural, and it is an umbrella term for the concept of ‘natural’.



## VI. ORGANIC LANGUAGE TEACHERS IN ORGANIC LANGUAGE CLASSROOMS

Organic language teachers are those who teach organically. They follow and respect the aforementioned characteristics of organic language teaching. They are educated language teachers. The researcher believes that the following features represent organic language teachers:

- a. They have enough authority to teach the related materials and concepts of the course with their own way of teaching which is based on their individualization, idiosyncrasy, experience and intuition.
- b. They are not under any spy or pressure of the authorities of their workplace, such as university's authorities or institute's supervisor or manager. Therefore, they can teach with peace of mind.
- c. They are not spooned or brain-washed to transfer any fixed or pre-fabricated rules or regulations or mottos which are not related to the course.
- d. They can have some more space to follow the hidden curriculum and guide the learners whenever they feel they need to know more than the materials. So they can provide the learners with accurate and to the point information.
- e. They teach in the organic language classrooms in which they have all the updated facilities of learning and teaching plus relaxed and healthy atmosphere.
- f. They should not have exceptions in their attitude towards the learners. There are ideally no connections, exceptions, or recommended learners. The eye-contact, affection, softness and hardness are identical to all the learners.
- g. They are mentally relaxed, due to receiving enough and satisfying salary. Financially speaking, they are not under pressure.
- h. They have some days off to deal with their individual matters. To put it in a better way, they have holidays, and they have the opportunity to enjoy them without thinking about their job.
- i. They will have bonuses in the form of travel-tickets, coupons of buying books or magazines, days off, and so on.
- j. They can have cooperation with their colleagues to do researches.
- k. They will be present in developing the curriculums and courses of the university or institute. They have the right to have their own words.

These are the main features of organic language teachers, and the list can go on considering local factors of the teachers and the settings.

## VII. HUMANISTIC LANGUAGE TEACHING AND ORGANIC LANGUAGE TEACHING

In agriculture, these days the use of whole grains is commonly advised. And, whole-grain products are really useful and healthy such as whole wheat flour, whole wheat bread and whole wheat pasta. In language teaching, the whole language and holistic education are important.

Organic language teaching is a humanistic approach. It pays attention to teachers' feelings and ideas. In this kind of Stevick (1990, cited in Nagaraj, 1996) presents most important characteristics of humanism as 'feelings', 'social relations', 'intellect', and 'self-actualization'. Moskowitz (1978, cited in Stevick, 1990) emphasizes on two major aspects of humanistic education. The first emphasis is on feelings and believes that "learning is affected by how students feel about themselves" (p. 25), and it deals with "educating the whole person" (p. 25). The second one is "on bringing out the uniqueness of each individual" and "to be self-actualizing is to function to one's full capacity" (p.25). Therefore, individualization, idiosyncrasy, and affection are emphasized in humanistic approaches to language learning and teaching. Organic teachers are allowed to have their own idiosyncrasy in teaching. They are not forced to follow others, so they can have their own words in order to individualize their teaching.

Terrell (1982, cited in Stevick, 1990) pinpoints those activities which are affective-humanistic "explore the students' values, ideas, opinions, goals, feelings as well as their experiences" (p.26). In developing organic materials, feelings and goals of the learners are carefully considered along with their culture. Learners' and teachers' ideas, opinions and values are regarded and collected in curriculum development through online and offline needs assessments.

## VIII. CONSTRUCTIVIST LEARNING THEORY AND ORGANIC LANGUAGE LEARNING/TEACHING

The theory underlying organic language teaching and learning is constructivist learning theory. In constructivist learning theory, according to Richards and Rodgers (2001) knowledge is socially constructed and it is not received or discovered. In such context, constructivist learners "create meaning", 'learn by doing', and work collaboratively 'in mixed groups on common projects'. On the other hand, teachers collaborate with the learners in order to "create knowledge and understanding in their mutual social context" (Richards & Rodgers, 2001, p. 109). Teachers are not seeking to cover the curriculum, yet they believe learning should focus on the "learners' experience, needs, interests, and aspirations" (p. 110).

### Final Remarks

Nowadays the borders among different fields of science and art are not clear. Every day we see more interdisciplinary fields and majors which help one another to develop and grow. Therefore, it is not farfetched if we borrow the term 'organic' from ecology and agriculture in order to customize it in the field of language teaching and learning.

Organic language teaching happens in organic settings with the help of organic language teachers who teach and guide organic language learners to develop and learn the language. Organic, in this way, is more than the term 'natural'. This new perspective is based on constructivist learning theory and humanistic language teaching. The researcher hopes that this terminology opens a new horizon in the field of language teaching and learning. It should be noted that there are yet more terms to deal with in this area and the researcher will try to underscore them in her future articles.

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# The Manipulation of Poetics in Literary Translation—A Case Study of *Journey to the West* by W.J.F. Jenner\*

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**Abstract**—*Journey to the West* is one of four Chinese classical classics whose cultural and literature value has been explored and studied by countless experts and scholars and it has been translated into many different languages. Since the late twentieth century, with the advent of the cultural turn in translation studies, the problem of cultural translation has moved to the forefront. According to Andre Lefevere's Rewriting Theory, translation is not merely an act completed by the translator's personal preference, but an act influenced by various forces including ideology, poetics and patronage in the overall environment. This paper attempts to probe into W.J.F. Jenner's translation of *Journey to the West* through some approaches including the contrast between Chinese and Western poetics and the trend of poetics in W.J.F. Jenner's time and his individual poetics. It aims at demonstrating how poetics plays an important role in translation.

**Index Terms**—manipulation, poetics, literary translation, *Journey to the West*

## I. INTRODUCTION

In 1990s, the “culture turn” of Translation Studies has been formally ushered in the collection of essays named *Translation, History, and Culture* co-edited by Susan Bassnett and Andre Lefevere. The “culture turn” of Translation Studies demonstrates that translation research has shifted from the traditional linguistic and aesthetic model towards culture-oriented approach. The culture-oriented translation studies also shows that translation activity is not a simple transformation between different languages, but an activity closely related to extra-textual factors, such as politics, economy, culture, ideology, etc. In 1992, with the publication of *Translation, Rewriting, and the Manipulation of Literary Fame* and *Translation, History and Culture*, Andre Lefevere put forward the important concept of “rewriting” as well as the well-known three-factor theory. “Rewriting” refers to a variety of processing of literary texts, such as anthologizing, criticizing, editing, adapting, and translating, etc. The three-factor theory points out that in different historical conditions “rewriting” is undertaken with three major constraints: ideology, poetics and patronage. That's to say, translation is defined as a rewriting of the original text and rewriting is manipulation under the restriction of ideology, poetics and patronage. The development in Translation Studies provides a wider stage for translation researches in the future.

The theories brought forward by Andre Lefevere enjoy a wide fame and have a great impact in translation field. Not only in the West appear a great many works on translation owing to Lefevere's theories, but also in China translation scholars are eager to introduce his theories into China and apply his viewpoints to the translation study. However, we find that translation scholars in China focus mainly on the ideological constraint and the patronage influence on the translated literature of China while little attention has been paid to the factor of poetics, the individual poetics of translators in particular. In addition, although Lefevere put forward the poetics constraint on literary translation, he did not elaborate upon how this factor impacts on literary translation. Therefore, it is very meaningful to study the impact of poetics on literature translation.

## II. A BRIEF STUDY ON POETICS

The definition of “Poetics” is varied and enriched with the development of western literary theory. In his great works *Poetics* which began in the “discussion of the components of a literary work” (Bressler, 1999), Aristotle put forward some general principles of tragedy, poetry and other literary patterns. “The title, the Poetics,” Bressler commented, “reveals Aristotle's purpose, for “poetics” in Greek means “things that are made or crafted” (Bressler, 1999). And according to *Oxford Concise Dictionary of Literature terms*, poetics is defined as:

*The general principles of poetry or of literature in general, or the theoretical study of these principles. As a body of theory, poetics is concerned with the distinctive features of poetry (or literature as a whole), with its languages, forms, genres, and modes of composition.* (Baldick C, 2000).

Andre Lefevere held that a poetics consists of two components: one is an inventory of literary devices, genres, motifs,

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prototypical characters and situations, and symbols; the other a conception of what the role of literature is, or should be, in the social system as a whole (Lefevere, 2004). He further pointed out that a poetics or any poetics is historical variable because it is not absolute.

The term “poetics” in Chinese literature is also variable. As is known, China is a country noted for her high quality and great quantity of poetry in the world. Writings about poetry are traditionally titled with “shi hua”, “ci hua”, “shi lun” or “shi xue” (literally, “words about poetry”, “comments on poetry” and “study of poetry”), among which there are “Cang Lang Shi Hua” by Yan Yu in the Song Dynasty and “Ren Jian Ci Hua” by Wang Guowei in early modern China. The literary revolution led by Han Yu in the Tang Dynasty resulted in an invention of more genres of literature, such as prose, drama and novel, and later man critics paid more attention to other forms of literature. The connotation of “poetics” is shifted from principles or techniques of poetry to “a knowledge of poetry creation, appreciation, criticism and of series of issues concerned with aesthetics, thoughts and culture” (Chen, 2005). Thus, “poetics is a conception that consists of many contents, including theories of poetry, other general principles of literary and artistic works and even aesthetics as well” (Cao, 1988).

As discussed in the above, poetics is variable in different literary systems. However, it is clear that poetics refers to the general rules for writing a poem in the narrow sense and the general rules for the inventory of any literary works in the broad sense. Meanwhile, it is necessary for us to classify the poetics when we analyze the influence of the translators’ poetics on their literary translation. We can classify poetics into the central poetics and the peripheral poetics, that is, main poetics and individual poetics developed from Even-Zohar’s literary polysystem. The Central Poetics refers to the dominant poetics which influences decisively most of the creators of any literary works at a specific stage in a literary system. There are different central poetics in the history of Chinese literature when observed from different angles. When great thoughts with a great influence on the principles of literature are taken into consideration, Confucianism and Taoism are the central poetics from the Zhou Dynasty to the Han Dynasty. Metaphysics that tried to integrate Taoism with Confucian doctrine is the dominant poetics from the Wei Dynasty to the early Tang Dynasty, and aesthetics is the main poetics from the Tang Dynasty to the Yuan Dynasty.

There also exist central poetics in the history of western literature. In the Western literature, Plato and Aristotle took drama as the norm and therefore considered imitation the essentially functional feature of their poetics which influenced most of the creators of literary works in Ancient Literature in the West. Originated in Provence and owed nothing to Aristotle, the medieval literature that was based on lyrical poetry and become the basis of the whole medieval system of European literature. And in China, poetry and prose played important roles as the central or dominant poetics in ancient Chinese literature, and novels and drama rendered from the western literature becomes the central poetics in Modern Chinese literature.

The Peripheral Poetics refers to those poetics that exists with the central poetics simultaneously but not taken into consideration at the same degree. The central poetics exert a much stronger influence on the creation of literary works than that peripheral poetics is able to. This kind of poetics has a dominant influence on just a few writers. Legalism and Mohism from the Zhou Dynasty to the Han Dynasty, Buddhism from the Wei Dynasty to the Tang Dynasty and the Politics and Education-oriented poetics from the Tang Dynasty to the Yuan Dynasty are such poetics in Chinese literature. And so is Imagism in the early 20<sup>th</sup> century in American literature.

In a word, both the central poetics and the peripheral poetics are representation of many similar individual poetics which together constitute either a central school or peripheral school in a literary system and impact writers decisively or less decisively. However, it seems not so valuable to say that any central or peripheral poetics is made up of individual poetics. But it still remains a truth that a poetics is of a society, of a specific historic stage as well as of individuality. The poetics of a school always consists of many individual poetics. Every individual who belongs to a school has his or her own poetics that may be identical to or deviated from the bigger poetics. For example, in China Mencius poetics that belongs to Confucianism is, to great extent, identical to Confucianism, and in the United States, Pound’s poetics belongings to Imagism but is not completely identical to it.

### III. INFLUENCES OF POETICS ON LITERARY TRANSLATION

The poetics of translation firstly appeared in Meschonnic’s masterpiece *Pour la poétique Epistemologie de l’écriture, Poétique de la transduction*. In his view, translation should not belong to the linguistics field, but should be a new branch of the literary field. He pointed out that the translation theory should belong to the poetics. Since the second half of the 20<sup>th</sup> century, the research of translation began to breakthrough the traditional linguistic mode and took a reflection of culture. Traditional translation theory thinks that the process of translation is a process of the conversion between two different linguistic systems. While the “cultural turn” advocated that translation should be a process of the conversion between two different cultures. Susan Bassnett’s cultural translation theory was the most popular in her time. Firstly, she thinks that the unit of translation should be the culture. Secondly, translation is not only a simple process of decoding and recombination, and also a behavior of communication. Thirdly, translation should not be limited to describe the source text but to make the translation fit for the target culture. Fourthly, there are different principles and rules of different periods of time which are used to meet different needs.

The poetics of translation should be the aesthetic realization of cultural pluralism. Fei Xiaoping (Fei, 2005) put forward that the object of the research of the poetics of translation should be several aspects as follows: firstly, how to

choose a source text to translate? Secondly, which role translator plays in choosing a source text? What is his motive? Who is the translator? How about his qualifications and background? What he knows about the culture of the source text and how he knows? And why people are willing to accept the translator? Thirdly, which role the editor or patron plays? Fourthly, how does the text can be accepted by the system of the target language? Which kind of readers will read this kind of translated works? How about their qualifications and backgrounds? Why do they accept foreign thoughts and works? What do they expect to obtain from translation? Fifthly, what are the characteristics of the contemporary social-cultural institution? What are the principles of ideology and poetics in this institution? How do these principles restrict the translation activities? From his five aspects, we can find that the research methods of the poetics of translation are deeply influenced by the methods of cultural research.

To sum up, in the early period of Meschonnic's time, the poetics of translation was a translation theory which belongs to the poetics. In the second half of 20<sup>th</sup> century, especially in the late of 20<sup>th</sup> century, the researchers have paid attention to consider about the culture which is an external factor in the traditional translation research. So the traditional poetics of translation is gradually changing into a descriptive translation theory.

Under the background of the "cultural turn", we should keep a dialectical attitude to the poetics of translation. We should see both its positive role and its negative one. And at the same time, we should be vigilant of culture's deprivation of translation ontological research.

Firstly, the literary change of translation research adapts to the trend and provides a new theoretical perspective for translation research. It's beneficial to develop translation subject and will have a positive influence on other subjects. While this new poetics of translation under the circumstances of the "cultural turn" is still a new researching field and its theory is strict enough. Last but not least, although it is positive for the new poetics of translation to consider the influence of culture, translation ontological research is necessary in translation field.

#### A. *The Social Mainstream Poetics in Jenner's Time*

Poetics is about the essence and function of literature, or the whole background from which the poetics stem. A poetics is a historical changeable element. There is no any poetics which is absolute. The poetics which is dominant in the present literary system, here we call the social mainstream poetics, is quite different from the poetics which was dominant in the literary system of the past age.

A range of extra-literary factors, namely economic, pragmatic and audience-related, must be taken into consideration before any statement on the poetics of translation can be made. Generally speaking, with regard to the so-called strong culture, the poetics of receiving culture has a strong influence on the translation decision and most literary translations. They may conform to the constraints imposed by the target system. With regard to the so-called weak culture, the poetics of translation may tend to favor the forms of source text. Literary translation also should be studied in link with text-type and register, and in link with attempts to integrate different universe discourse. Each culture has its own particular literary norms of poetics, which exerts should be translated and what translation strategies should be taken (Bassnett & Lefevere, 2004). Translators are consciously or unconsciously influenced by the poetics of their own culture. If their translation can adapt this social poetics of their culture, they and their translation can have a main position in this culture. They must define themselves in terms of the dominant poetics in the target literature of their time and place. Meanwhile, they have to recast the source texts in terms of the poetical conditions.

The poetics also includes the reader's acceptance and preference to the translation. Therefore, translators often adapt and rewrite the source texts to make them to be accepted by the literature of their own culture and by the target readers. Just as what Lefevere points out, "to make a foreign work of literature acceptable to the receiving culture, translators will often adapt it to the poetics of that receiving culture (Lefevere, 1992)."

Translation literature plays different roles in different time in a country's literary system. In the studies of poetics of translation, the cultural and historical specification of translation should be considered and understood in the particular social and cultural background under concern.

In the early twentieth century, British literature had transformed from traditional realism to modernism. The First World War accelerated the development of modernism. In this war, there were many young people died innocently. After the war, many people began to suspect of some basic ideas about human's nature which came from Renaissance. The profound changes in the ideas of social thoughts prompted the vigorous development of modernism literature. There were many outstanding writers in this period, for example, D.H. Lawrence, Virginia Woolf, James Joyce and so on. After the Second World War, the society of Britain became peaceful while the power of this nation had been weakened seriously. British literature began to express people's anxiety and dissatisfaction of their life. In the 1950s, some new writers with realism tendency appeared who are called "Angry Young Men". Its representatives are Kingsley Amis and John Wain. They expressed their strong anger and disaffection of the cruel caste and the inequality between the rich and the poor. The characteristic of "Angry Young Men" was the new content rather than a new literary form. Later, the experimentalism appeared.

W.J.F. Jenner was born in 1940 in Britain. He is a leading sinologist and he began the study of Chinese at Oxford in 1958, where he graduated in oriental studies in 1962. From 1963 to 1965, he was a translator at Foreign Language Press, for which he translated *From Emperor to Citizen: The Autobiography of Aisin-Gioro Pu Yi* and he also began his translation of *Journey to the West*. From 1979 to 1985, he returned to complete *Journey to the West* and to do other translations. They included *Lu Xun: Selected Poems* in 1982 and *Miss Sophie's Diary and Other Stories* in 1985. He

also wrote many works including *Memories of Loyang: Yang Hsian-chih and the Lost Capital*, *The Tyranny of History: The Roots of China's Crisis*, *China Lives: An Oral History of Contemporary China*.

In this time, the biggest change of British translation theory is paradigm shift. People became not satisfied with pure evolutionary criticism and began to pay attention to the influence of cultural theory and critical theory. After the war, there are three main route of British translation. The first one is literary translation theory. The literariness of the literary works is the focus which is cared by translators. This route is mainly the translation of some classic literary works, especially poems. The second one is linguistic translation theory. This school thinks that translation is one part of applied linguistics and they think translation is the transformation between two languages. Chomsky's TG Grammar is the basic theory of translation linguistics. It pays attention to the accurate analysis of language structure and tries to find the conversion pattern between different languages. The third one is the cultural translation theory. This school thinks that translation is not only the transformation between two languages, but also the communication between two cultures. The translated text is no longer the copy of the words and sentences of the source text. It belongs to a certain situation and a certain culture. The text is no longer a static constant specimen in language. It is a creative reappearance of the source text after the reader understood the intention of the author. Translation is not only controlled by the culture, but also influences the culture. Therefore, translation regards as a rewriting, a manipulation and a kind of social behavior with clear purpose.

Translation, as a process of intercultural communication, can not be done without the participation of readers. Therefore, the readers' expectation and reception of the translation work should also be taken into consideration, which are influenced and regulated by the readers' poetics. According to Jauss, an important German exponent of the Reception Theory, reception refers not only to the producer as a recipient, but also to the reader as a productive interpreter of the meaning of a literary work. In the reception process, readers understand the literary work with their particular "horizon of expectation". Therefore, we can say that translation activities are not the monologue of the author or the source text but the "fusion of horizon" formed by the dialogue and communication which the interpreter has the "implied readers" with their specific "horizon of expectation" under the schematized structure of the text. Western readers are keen on the exotic things, but they will not enjoy the famous literary works in China as we recommend to. Jenner himself once said the status of Lu Xun and his works in China to Chinese students is quite different from the foreign students to him and his works. Therefore, he thought literary works translated should be able to arouse their interests and offer them a different feeling in content and forms. *Journey to the West* would be a best choice.

Besides *Journey to the West*, Jenner also translated *Lu Xun: Selected Poems*. He thinks that the value of the literary works may not be discovered by foreign people who don't know anything or little about China. It is difficult to let foreign people accept the translations. Besides the words, when the foreigners read the translations, their contents should be interesting. That is, what can they get from their reading?

#### B. Jenner's Individual Poetics

Translator's individual poetics includes translation motive, principle, individual aesthetics and the characteristics of translator's type of writing.

Translation Skopos Theory is firstly put forward in German scholar Hans J. Vermeer's article *A Framework for a General Theory of Translation*. He put forward three possible purposes: general purpose (for example, making a living), communicating purpose (for example, teaching the readers) and special purpose (for example, using special translation strategy to represent the special structure of the source text). In a translation, translator should also consider the purpose of the sponsor's and readers'. Because of different benefit of each other, translator should balance both the sponsor's emotion and the readers' requirement. In above text, we know that Jenner is a leading sinologist. He translated a lot of Chinese literary works and wrote a lot of articles and comments on Chinese culture and literature. So his translation of *Journey to the West* is the performance of his identity of this masterpiece and Chinese culture. He thinks that if a translator wants to make his translation to be a success, he should choose a "different" literary work to translate. *Journey to the West* is one of Chinese four classical classics which is written by Wu Cheng'en and it is almost known by all Chinese people. Jenner noticed its social value. He wants to let foreign people learn about China and Chinese culture through translating this masterpiece. Meanwhile, economic globalization and the multi-polarization became the focus of international political problems. With the development of Chinese economy, more and more foreign countries put their attention to this ancient country that has a long culture and civilization. Many foreigners came to China and research this country's culture, including Jenner. And they want to know more about China and introduce the Chinese culture and literature to the foreigners. So Jenner's translation of *Journey to the West* follows the trend of the time. Before him, *Journey to the West* was only translated into Japanese and Korean completely. English translator Arthur Waley once translated some parts of *Journey to the West*. Jenner is the first European who translated it completely and filled the blank of the translation of Chinese literary works.

After confirming the translation purpose, translator should choose different translation principles to meet the need of the source text, the translated text and his own interest. We can say that Jenner used Savory's translation principles in his translation of *Journey to the West*. Savory has twelve translation principles and each two can form a pair. They analyze translation from the aspects of word, form, style, era, poem, additions and deletions. These are also Jenner's translation principles. Here we can conclude as follows: translation should be word for word or freely, Savory opposes the method of word for word and he advocates the faithful methods. He requires his translation should firstly fit his own

expressing habit. The translation reads like a translated one, but it should keep the flavor of the source text. The style of the translated text may be influenced by the author's personalities and the time when he live. Translator should try his best to reflect the author's style. He also claims the rhyming poems should still be translated to rhyming poems. But if it is difficult to rhyme, we should not to add or delete the meaning of the original poems. We can translate it to modern prose poetry and prose of poetry. It is easy to interpret the plots and meaning of the source text.

Translator's individual aesthetic is to discover translator's aesthetic tendency from the view of art content and form. The aesthetic subject of translation includes translator, reader, and the editor. Among these three subjects, translator has a main function in translation. The first step of the process of translation is the process of translator's reception of the information from the source text. In this step, translator should take part in using his aesthetic consciousness rather than accept negatively. Translator's aesthetic consciousness directly decides the cognition and understanding of the aesthetics in the source text. There are three kinds of the personality of creative subject: subjective type, objective type and the type of the combination of the two types. Different creative subjects have different aesthetic consciousnesses. Jenner is the third one. His translation of *Journey to the West* reveals the ability of grasping the whole literary conversion between two different cultures. What is more, he also performs very well using his individual aesthetic consciousness.

In the rich and complex social life, language can be used to solve the problems in daily life, deal with administrative affairs, propaganda thoughts and theories and so on. Therefore, people choose and arrange the language materials consciously in language communication. Thus, the system and methods formed. There are three language characteristics in the masterpiece *Journey to the West*: common sayings, fairy tale language and vivid dialogue language. As Sun Jianguang says that the translator in the translation must be fully faithful to the various stylistic features of the original as much as possible to maintain the original luxuriant. But the translation is not passive imitation, which will inevitably be stamped with the author's personal stylistic characteristics. So Jenner's translation should try to keep the original language characteristics and their effects, at the same time his own stylistic characteristics also are reproduced in his translations. The large amount of common sayings in the text enhanced the comic artistic effects. For example, in chapter 39, there is a two-part allegorical saying:

八戒闻言，走近前，就摸了一把，笑道：“这妖精真个是糟鼻子不吃酒——枉担其名了！”(Wu, 2006)

Jenner translated as follows:

*Here this Pig went up to the creature and had a feel. "This evil spirit's got a bad reputation he doesn't deserve," he chuckled, "like a teetotaler with a red nose."*

Here, the first sentence of Jenner's translation didn't express strongly, but in his second sentence, he used a simile to enhance the effect of Pig's ridicule.

Some language like fairy tale in this masterpiece made this work full of childlike innocence. For example, Wu Cheng'en described Pig in his text “呆子”. He described Pig's indolence, gluttonousness, and stupid. All these are Pig's fairy tale image. In Jenner's translation, there are also many descriptions about Pig's image. For example, in chapter 19, Pig describes himself, “I was born stupid, An idler and a slacker. I never nourished my nature or cultivated the truth, But spent my time in primal ignorance.” The translation deeply set up a fairy tale image of Pig.

In *Journey to the West*, there are many dialogues between roles in this book. These vivid dialogues can help to shape a character and show his personalities. For example, in chapter 3,

悟空道：“你这里若有披挂，索性送我一副，一总奉谢。”龙王道：“这个却是没有。”悟空道：““一客不犯二主。”若没有，我也定不出此门。”龙王道：“烦上仙再转一道，或者有之。”悟空又道：““走三家不如坐一家。”千万告求一副。”龙王道：“委的没有；如有即当奉承。”悟空道：“真个没有，就和你试试此铁！”龙王慌道：“上仙，切莫动手！切莫动手！待我看舍弟处可有，当送一副。”(Wu, 2006)

In Jenner's translation, it was translated as follows:

*"A guest should not have to trouble two hosts," said Sun Wukong. "I won't leave without one." "Please try some other sea, exalted immortal---you may find one there." "It's better to stay in one house than to visit three. I beg and implore you to give me a suit." "I really don't have one," replied the Dragon King. "If I had I would present it to you." "If you really haven't, then I'll try this cudgel out on you." "Don't hit me, exalted Immortal, don't hit me," pleaded the Dragon King in terror. "Let me see whether my brothers have one that they could give you."*

Jenner's translation showed Sun Wukong's spirit of brave, fearlessness and his naughty vividly. Jenner translated “上仙” to “exalted Immortal”. It showed that he followed the original text. While he translated “上仙，切莫动手！切莫动手！” to “don't hit me, exalted Immortal, don't hit me” showed the Dragon King's weakness. This character was not so clear in original text, but in Jenner's translation, it is apparent. It is a bright comparison between two characters' characteristic.

#### IV. CONCLUSION

Viewing the English version of *Journey to the West* translated by W.J.F. Jenner, it is obvious that poetics plays an important manipulation in translation activity. From the comparison between Chinese and western poetics, we can understand the meaning of poetics and the important role in translation of literary works deeply. We also studied the social mainstream poetics in Jenner's time and Jenner's individual poetics. These two kinds of poetics have their own manipulation in Jenner's translation. For W.J.F. Jenner, the education he received, the political environment, the cultural

reformation and so on, all had their share in his choice of translation strategy. Meanwhile, his translation embodied the peculiar characteristics of the literature and the society in which he lived.

Although great efforts have been made in the research, there still exist some limitations in this thesis. There are only a few researches on poetics in translation. As a result, it is difficult to make a deep study.

For further researches, the author of the present thesis will do more specific researches, for instance, from the aspect of the patronage of Jenner's translation and his aim. If possible, the author may do further researches on W.J.F. Jenner's other translation of Chinese literary works. It may be much valuable to make comparative studies among different translators and their different translated versions.

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# Embedded Structure of *Oracle Night* as a Metafiction

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**Abstract**—As one of America's most creative and outstanding postmodernist writers, Paul Auster's novels have received worldwide popularity. His masterpiece *Oracle Night* was written in 2003 when the literary postmodernism has boomed and metafiction has become a typical postmodernist writing model. This paper aims to study the embedded structure of his *Oracle Night*, which has been, in part at least, neglected by literary criticism both in China and in foreign countries. Based on detailed textual analysis, the study describes the structural degrees and the corresponding relations between each.

**Index Terms**—Paul Auster, metafiction, embedded structure, narrative, structure

## I. INTRODUCTION

Often regarded as a postmodernist writer, a default classification due to his experimental techniques and ironic posturing, Paul Auster (1947-) is noted for his idiosyncratic work, which resists simple categorization. His experimentation in writing techniques such as the handling of narrative point of view, and the controlling of narrative time, multilayer narratives, as well as metafictionality, but he is still not widely known, especially to Chinese people. The present paper takes metafictional structural uniqueness as the research topic, so the theoretical background of the research is essential and fundamental to be offered in the first place (Ni, 2012).

Metafiction is a mode of writing within a broader cultural movement often referred to as postmodernism. As Patricia Waugh puts it,

"Metafiction is a term given to fictional writing which self-consciously and systematically draws attention to its status as an artifact in order to pose questions about the relationship between fiction and reality. In providing a critique of their own methods of construction, such writings not only examine the fundamental structures of narrative fiction, they also explore the possible fictionality of the world outside the literary fictional text." (Patricia Waugh, 1984, p. 2)

Several Chinese critics have also generalized some features of metafictional narration from different perspectives<sup>1</sup>. To sum up, metafiction covers the following six major characteristics: juxtaposition of narrative and commentary discourses, open form, parody, fragmented collage, blurring of reality and fiction, random sequences of time and place. These elements provide the reader with various perspectives through which the reader is able to better read and appreciate metafictional narratives (Ni, 2012).

As for the study of narrative structure, it can be traced back to Aristotle. Since then, many literary critics have carried out further study on the issue. Although some literary critics have made some tentative efforts to give it a definition, it is actually not such an easily definable term as it sounds to be. According to Onega, there are two types of narrative structure, both of which are related to narrative level. One of them is the horizontal structure, which regards the narrative as "the representation of a series of events," and so "these events can be studied according to their position with respect to each other" (Onega, 1996, p. 5). The other type is the vertical one, which is shaped by the embedded point of view, or simply speaking, the embedded narrations of similar basic story. If we put it in another way, narrative structure can also be divided into the following sub-type, that is, linear narrative structure and non-linear narrative structure, which actually mean the same as horizontal and vertical structure. A non-linear narrative usually does not proceed in a straight line and does not follow the step-by-step fashion, such as where an author creates a story's ending before the middle is finished. Linear narrative structure is just the reverse, in which narrative proceeds smoothly in a straight line. And metafictional structure can be seen as a sub-type of the vertical or non-linear narrative structure.

Studies on *Oracle Night* in the west are mainly divided into two aspects. The first is its style and narrative method. The essay "A Fiction about Fiction—on Auster's *Oracle Night*" tells us that the novel is a piece of fiction about fiction, indicating that it is a metafiction and he also analyzes the features presented in the metafiction. In the dissertation "The Teller's Tale: Text and Paratext in Paul Auster's *Oracle Night* (2007)"<sup>2</sup>, Richard F. Patterson says that in Paul Auster's

<sup>1</sup> Hu Quansheng, *British and American Postmodernist Fiction: Research into Narrative Structure* (Shanghai: Fudan University Publishing House, 2002, pp.30-41).

<sup>2</sup> Gérard Genette defines "paratext" in *Paratexts: Thresholds of Interpretation* (Cambridge: Cambridge UP, 1997) as those things in a published work that accompany the text, things such as the author's name, the title, preface or introduction, or illustrations. Genette states "More than a boundary or a sealed border, the paratext is, rather, a threshold." It is "a zone between text and off-text, a zone not only of transition but also of transaction: a privileged place of pragmatics and a strategy, of an influence on the public, an influence that [...] is at the service of a better reception for the text and a more pertinent reading of it". He further describes paratext as "a fringe of the printed text which in reality controls one's whole reading of the text".

work narrators tell both their own stories and the stories of others, but the weight is attached to the interface between life and death and on the fragility of human identity. Auster often employs the paratext, an alternative narrative which seems far from the main text but parallel to it in important ways. The second is on the genre of the novel. Most of Paul Auster's works are postmodernist genre with a flavor of detective stories. Brendan Martin's *Paul Auster's Postmodernity* (2008) states that Paul Auster has become a mature postmodernist writer after he published *The New York Trilogy* and *Oracle Night*. In the former book, the author investigates Auster's literary postmodernity in relation to a full range of his factual and fictional writing. He remarks:

"Auster invariably blurs elements of fact and fiction within his narratives, and the majority of his fictional protagonists appear to be versions of Auster [...] In his writing, he highlights the continual presence of random and arbitrary happenings. His conception of chance, confirms his status as a self-consciously postmodern author." (Brendan Martin, 2008, p. 6)

First of all, *Oracle Night* moulds a protagonist as a writer who creates stories. The writer is Sidney Orr, 34 years old, semi-recovered from a never-quite-specified, nearly-fatal illness, whose will to write has gone watery until he buys an exotic notebook in a stationery store in his Brooklyn neighborhood. The instant this notebook is purchased, stories begin to proliferate, many of which in the footnotes crop up from the bottom of the pages with still more stories, an entire luxuriant jungle of narratives. Orr starts writing a novel in the notebook about an editor with a resemblance to Orr himself who discovers a long-lost novel. Orr's own story unfurls in various complicated ways. There is a screenplay about time travel. There is another older writer, a mentor of Orr's, with stories of his own. Orr is endlessly dissolving into other characters and other stories, not sure whether he is writing a book already written (Ni & Lian, 2012).

In the second place, other stories happening at different levels are within the basic story. As the novel indicates, it consists of several stories. In a novel of just over 200 pages, we read such a great pile of stories, detailedly, stories about Sidney Orr, Nick, Flagg, Eva, Grace, John Trause, Jacob, Edward, and the time machine. *Oracle Night* is multi-layered, with story wrapped within story, each story somehow interlinked with the next so that the multitude of fictions chime together in unexpected ways, investing the whole with an almost choral quality, even if that quality can be cacophonous and disturbing. All the stories actually happen at the same time. Voice competes with voice, character with character, and all is so tightly controlled and so technically accomplished that the reader, taken deeply within the fiction, can not discern which part of the novel is fictional and which part is of reality. Finally, the reader loses the sense that it is indeed just a fiction.

Thirdly, the narrator indicates him or herself as the author of the story every now and then on purpose. For example, the narrator, Sidney Orr, frequently claims that he is the author of the story in the novel.

As Kate Liu<sup>3</sup> says, "Contemporary author Paul Auster has made metafiction the central focus of his writing and is probably the best known active novelist specializing in the genre." And *Oracle Night* should be fundamentally analyzed as a metafiction.

From the perspective of structure, *Oracle Night* is a novel which narrates "a story within a story within a story within a story again," which is called Multi-narrative structure, or Embedded Structure. The novel is made up of many stories, and each of which is not necessarily connected with each other. Though only working as fragments, they indeed help to integrate the whole story with certain techniques. And in terms of structure, it can be called Fragmented Structure of Metafiction.

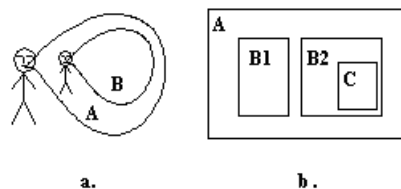
Authors of metafiction usually defy narrative levels by commenting on writing as intruders, involving his or herself with fictional characters, directly addressing the reader or openly questioning how narrative assumptions and conventions transform and filter reality, and finally trying to deny the existence of singular truths or meanings. Some common metafictional approaches contain: a novel in which a writer creates a story, a novel or other work of fiction within the novel or narrative footnotes, which make the story move on while commenting on it. On the whole, if we analyze the features and devices of metafiction in this perspective, we can treat it as work-within-the-work technique, which is also called multi-narrative structure or Embedded Structure. Prince defines "embedded narrative" as "a narrative within a narrative" (Prince, 1988, p.25). To be specific, *Oracle Night* can be analyzed through the angle of narrative degrees.

A metafiction often contains stories in which two or more narrators weave different discourses. And we call the basic story local basic story. When local basic story contains the crucial events of the basic story, the different discourses built on it are liable to be closely related with the theme. This type is the prototypical multi-layered narrative in our study. But these narrator's discourses may be related with each other in many ways in narratives, which implicates embedded structures.

Story-telling can occur at many different levels. Any narrative is made up of little narratives (Prince, 2003) and the situation of embeddedness, indeed, is the central structural characteristic of all narratives. To quote Bal (1986, p.143), "the narrative text constitutes a whole, into which, from the narrator's text, other texts may be embedded". As Barth (1981) puts it, there are tales within tales within tales, which provides a general framework which can easily be adapted to more complex circumstances. One such circumstance appears when a character in a story begins to tell a story of his or her own, creating a tale within a tale. The original narrative now becomes a "frame" or "matrix" narrative, and the story told by the narrating character becomes "embedded". (Bal, 1981)

<sup>3</sup> Kate Liu, Associate Professor, English Department of Fu Jen Catholic University, Taiwan.

Gérard Genette(1980) has illustrated the basic features of embedded structure with the help of a simple drawing using stick-figure narrators and speech-bubble narratives. In Graph (a) below, narrative A contains narrative B, and they belong to the first and second narratives respectively. Another more specific and accurate way to explain this phenomenon is the “Chinese-boxes models”<sup>4</sup>.



Graph.1

In graph (b) above, A, B1/B2, and C stands for the first, second and third-degree narrative respectively. In *Oracle Night*, both of the two kinds of styles are applied, or we can say style (b) is a more specific one. This paper will analyze the embedded structure of *Oracle Night* to reveal the structural degrees, the relationships and the effects of different narrative degrees.

## II. STRUCTURAL DEGREES

According to Nelles' classification of narratives, there are two kinds of narrative structures, namely Horizontal or One-layered Narrative and Vertical or Multi-layered Narrative (Two-layered Included). *Oracle Night* belongs to the second kind.

To give a clearer understanding of embedding, Rimmon-Kenan (1983, p.91) states the following.

“A first-degree narrative is a narrative that is not embedded in any other narrative; a second-degree narrative is a narrative that is embedded in a first-degree narrative; a third-degree narrative is one that is embedded in a second-degree narrative, and so on. Both the second-degree narrative and the third-degree narrative are hypo-narratives or embedded narratives.”

The synonym of “matrix” narrative is “First-degree narrative”, while “embedded narrative” includes the “second-degree narrative” and “third-degree narrative” (Rimmon-Kenan, 1983). Since the present paper mainly talks about the structural features of *Oracle Night*, stratification of structural degrees is regarded. *Oracle Night* is built up of short units—stories and newspaper clippings (both fictional and factual). After reconsideration, it can be revealed that there are some rules in the arrangement of the stories. There are all together seven stories in the novel which can be divided into several degrees so as to form a co-relationship between different stories.

### A. First-degree Structure

A first-degree structure is independent, that is, it is not embedded in any others. The first-degree narrative structure (Rimmon-Kenan, 1983) is about the reality. To put it in another way, it is the story about the protagonist “I” including “my” personal information, family, social relations with John Trause—another writer and friend and the buying and using of the “blue Portuguese notebook” as well as the things that follow.

Auster's leading character, Sidney Orr, is a successful Brooklyn author who finds himself in a writing dry spell after a mysterious accident leaving him handicapped. And after a few days of recovery, he can manage to start getting back to his daily routines: getting the daily newspaper, having lunch at a diner or pizzeria, and running chores for his wife Grace. It is on one of these trips that Sidney stumbles into “The Paper Palace”, a curious paper shop that he has never noticed before (O'Connor, 2003).

Sidney pops into the stationery shop and meets its eccentric owner, M. R. Chang, a venture capitalist of sorts, who seeks opportunity for success in the writer-studded Brooklyn neighborhood. Stocked with the normal goods, Sidney finds one very interesting object in the shop, a blue Portuguese notebook that for some inexplicable reason holds a very powerful draw to him. He purchases the notebook and heads back home to resume his normal day-to-day activities, hoping to come up with an idea promising enough to grace its pages. Following the purchase, Sidney finds himself reinvigorated with the urge and need to write and the words pouring out of him at a pace he has not had since his accident. Could the newfound verve be due to the mysterious notebook? Sidney seems to think it has helped him, but can not believe that it has some kind of power over his writing. That is until he finds that Trause has been using the very same notebooks for his own novels. Sidney is very curious about the same interest in using blue notebooks, so he asks why (O'Connor, 2003).

Trause answers,

It doesn't mean anything, Sid. Except that you are a little off in the head. And I'm just as off as you are. We write books, don't we? What else can you expect from people like us? (p. 41)

<sup>4</sup> “Chinese boxes” are a set of boxes of graduated size, each fitting inside the next larger box. In literature, a Chinese box structure refers to a novel or drama that is told in the form of a narrative inside a narrative (and so on), giving views from different perspectives.

This paragraph tells us the underlying development track. Trause's answer is sort of hint of himself, of Sidney and of Auster. John Trause's health makes Sidney's wife Grace annoyed. And Sidney understands her anxiety because John is her "loving uncle." But her continuing anxiety becomes stronger and stronger because she is pregnant. And she is not sure if the fetus is Sidney's or John Trause's. After reconsideration, she decides to give birth to the baby. The tranquility is soon disturbed by John Trause's son who is addicted to drugs. He rushes into Sidney's house, quarrels with and hits Grace roughly, who is abortive after the violence. John Trause dies in his home. Sidney and Grace are lucky to find that they are still alive to lead a new and tranquil life.

This story is a first-degree story in that the story is about the "backbone" or "stem" of the whole novel, to which other information is added. The essence of fiction is narration, the recounting or telling of a sequence of events of actions. No matter what kind of novel it is, the author will inevitably give an account of the essential elements of fictions, which are the situation, characters, plot, structure and theme. The first-degree narrative, or Sidney's story, though not clearly put forward, has provided readers with the basis of the whole narration. It works as the framework of the whole novel, while readers cannot apprehend what Auster intends to indicate. It is for this reason that other degrees of narration should be added. If it is not for the adding of other important stories, the accomplishment of Sidney's story will appear to be pale, feeble and impossible, let alone the comprehension of the whole novel.

#### B. *Second-degree Structure and Third-degree Structure*

A second-degree structure is embedded in a first-degree structure and a third-degree structure is embedded in a second-degree structure. Both the second-degree structure and the third-degree structure are types of the Embedded Structure.

Embedded Structure is a kind of writing skill just like the Chinese boxes in that the author makes an outline of a story in the same way as the structure of Chinese boxes model (Manfred Jahn, 2005), that is, "tales within tales within tales." Just as Paul Auster (1988) says in an interview in *The Art of Hunger*, "... Chinese box, an infinite series of containers within containers. After all these stories are applied into the creation process of the novel, the stories within correspond to the body of the novel rather than merely a simple juxtaposition. All these accomplish the creation of a novel by affecting each other, thus to function as a whole.

From here on, Auster's *Oracle Night* separates time inside and out of Sidney's creation, describing Sidney's own life in equal parts, and the life of his characters. The second-degree structure is about the procedure of writing a novel on the magical "blue Portuguese notebook", that is, a story with the protagonist named Nick Bowen, who "works as an editor at a large New York publishing house, and is married to a woman named Eva" (p. 13). During the process of writing, the writer, Sidney, intrudes into the narrative to explain his procedures, and offers the reader alternative endings, which is an important and obvious feature of metafiction, for example, the uncertainty of Bowen's fate in the underground house. Readers would not know whether Nick could survive the accident. Still, within the novel of *Oracle Night*, there is another novel with the same title. The relationship between the two names and the contents is another point to be studied.

The second-degree narrative consists of several stories. In order to elucidate in a more clear way, the paper marks the stories in the following order.

Story 1 is fictional. "On the advice of the mentor, John Trause, Sidney appropriates the story of Flitcraft, a minor character from Dashiell Hammet's *The Maltese Falcon* as his first project. The theme of the Flitcraft story is how a random occurrence can completely alter the path of a person's life. Hammet's character holds a decent job and a good and perfect family, but one day he gives up everything and disappears after a near tragic accident as he is passing a construction site. Flitcraft realizes that one's life is dominated by nothing but chance. Random events are underneath everybody's daily life. Life will be deprived without any reason at any time. Both Sidney and Trause find Flitcraft's tale to be a compelling enough story with innumerable possibilities" (O'Connor, 2003).

Story 2 is also fictional. With this new blue notebook, Sidney creates his Flitcraft in the form of Nick Bowen, a high-profile New York book editor. According to Sidney's creation, Bowen has just received an unpublished manuscript named *Oracle Night* from the granddaughter of the late Sylvia Maxwell, a major literary figure. On his way home from work, Bowen is nearly beheaded by the dislodged head of stone gargoyle, thus comes the beginning of his Flitcraft story. Bowen thinks that he should be dead, although he is lucky to be alive. So he leaves New York as quickly as possible by the first flight, only taking some clothes and the copy of *Oracle Night* without guilt. "Those notebooks are very friendly, but they can also be cruel, and you have to watch out you don't get lost in them" (p. 40), warns Trause. And the notebook soon reveals its cruelty. Sidney sends off Bowen to Kansas City and sets him up with an odd man named Ed Victory, a newly retired taxi driver who lives in an underground bunker full of historical phonebooks. The apprenticeship between Bowen and Victory is soon set up, and Bowen spends his days helping out in the Bureau and obsessively reading and rereading *Oracle Night*. But then Sidney gets stuck. He has got Bowen bound in this bunker with nowhere to go, and he is using up the pages in the notebook. Is it possible that Sidney has subconsciously anticipated this whole affair, and entered them into his own created story? Auster takes this on as the key issue in *Oracle Night*.

Story 3, however, suggests a story of reality about John Trause's brother-in-law, Richard. Richard finds an old 3-D viewer with 3-D pictures in his garage, by which, he "remembered everything now" (p. 33), "everyone was there, his mother and father, his cousins, his aunts and uncles, his sister, his sister's friends" (p. 34), whom he meets by himself in

the garage. But “the viewer didn’t work”, so he goes to ask John Trause for help. When John finally finds someone to repair it, Richard changes his mind and says “the past is past, and no matter how much time I spend with those pictures, I’m never going to get it back.” (p. 36)

Story 4 is a fictional story about the time machine. In order to earn 5000 dollars, Sidney plans to write a drama. The story is about a man from the past and a woman from the mid-twenty-second century who meet each other by travelling through the Time Tunnel to the year of 1963. After that, the two try to stop the assassination of Kennedy but in vain. So “they destroyed their time machines and bury them in the meadow. Then with the sun rising before them, they walk off into the morning of November twenty-third, two young people who have renounced their pasts, preparing to face the future together.” (p. 113)

Normally, the order in which narrative events are presented in the text corresponds to their order of occurrence in the fictional world (Ehrlich, 1995, p.125). Thus, if one story is narrated before another one, readers will assume that the first story temporally precedes the latter one in the fictional world. Here, in *Oracle Night*, the author distorts the chronological order, but integrates stories with a recessive line to form a framework of the novel. Stories form a labyrinth, which lead readers into a new vista to experience the magic atmosphere, which provides possibility for the integration of the whole novel.

After the insertion of the second-degree narratives, now readers can obtain a clear understanding of the novel, apart from that stories are placed in randomness and some are irrelevant to the basic story. The first two narrative degrees tell readers that after recovery from fatal disease, Sidney regains the ability and interest of novel creation. He creates Bowen’s story with the reference of *The Maltese Falcon*, which indicates that chanciness plays a very important role in one’s life. In order to highlight this concept, Sidney narrates many stories paralleling Bowen’s story. We never know what will happen accompanied with the thing we like to come across at will. Moreover, to enhance the chanciness of life, and to integrate the whole narration, Auster as well as Sidney continue to add another degree of narrative, hence coming the third-degree narrative.

There is also a story about one plot in the late Sylvia Maxwell’s lost work *Oracle Night*, fictional about the future. Sidney puts it like this, “everything still had to be worked out concerning the plot, but I knew that it was supposed to be a brief philosophical novel about predicting the future, a fable about time.” The story is about “Lemuel Flagg, a British lieutenant blinded by a mortar explosion in the trenches of World War I”, “Flagg’s blindness has given him the gift of prophecy.” On the night before the wedding, Flagg has a spell of his bride Bettina who will betray him before the year is out, “unable to face the anguish that destiny has prepared for him, Flagg stabs himself in the heart and dies”.

Another example is in Chapter 10 about Grace’s strange dream about the experience of sexual relationship between the two. The experience is that they have had sex, and find that they are locked in a room and could not find a way out, which is similar to Bowen’s fate in Sidney’s manuscript in the blue notebook. The novel goes like this:

I know you never go into my workroom. But if you did, and if you happened to open the blue notebook I bought on Saturday, you’d see that the story I’ve been writing is similar to your dream. The ladder that goes down to an underground room, the library bookcase, the little bedroom at the back. My hero is locked in that room right now, and I don’t know how to get him out. (p. 120-121)

This dream-telling can be regarded as a third-degree story, for it is a story within the second-degree story about Bowen. And it is just for the insertion of this degree of stories that the whole novel inclines to integrate and connect into integrity.

Auster’s *Oracle Night* is one of those books that keep you wondering the whole process of writing. Does Sidney’s reality reflect that of Bowen, or vice-versa? It is a difficult question to answer, considering that the book is three-layer deep in fictional characters (Orr-Bowen-Flitcraft), but certainly an fascinating one and Auster skillfully hints at his answer throughout the novel. Even when Bowen has left the scene and the novel concentrates on the events unfolding in Sidney’s real life, we still can’t help wondering “What does this have to do with Bowen?” and finally, “What does Bowen have to do with this?” The answers are never achieved, but what matters is that Auster keeps the reader thinking about the question.

### III. RELATIONS OF STRUCTURAL DEGREES

Usually the relationship between such nested narratives is quite clear, “with the embedded narrative playing a clearly subsidiary role, simply providing one more item of narrative material for the large narrative in which it is embedded” (Zou, 2002, p.89). But the relationship between structural degrees is far more complicated than this.

Bal (1985) observes that when layers of narrative are related with each other, there are two possible relationships. “The embedded story can explain the primary story.” (Bal, 1985, p.54) In this case, the relationship is made explicit by the actor narrating the embedded story. It is obvious that some embedded stories are used to explain the primary story of Sidney Orr and to make it plumper. The embedded stories may “resemble the primary story”; the explanation is usually left to the reader, or merely hinted at, in the fabula (Zou, 2002, p.101).

After reading, readers may find that the life experiences of Paul Auster, Sidney and Bowen have something in common: all the three are engaged in paperwork, disclosing that people’s lives have command over occasionality. In accordance with similarities among the three, Auster creates Sidney with the same occupation and the same residency, bestowing him even his own literary affection. Again, Sidney characterizes Bowen in terms of himself, even confers

upon him a wife with the characteristics of Sidney's. What is more, some innermost desire can not be satisfied in real life which, however, meets the rich soil in the novel, for instance, the desire to visit a prostitute and the desire to reckon if his wife steps out on her husband. The three-layered embedding can be regarded as another hidden clue that motivates the development of the plot.

Rimmon-Kenan (1983) discusses various functions hypodiegetic narratives (the stories told by fictional characters, or the inner structural degrees) may have related to the narratives within which they are embedded:

1. Actional functions: some hypodiegetic (embedded narrative) narratives maintain or advance the action of the first narrative (primary story) by the sheer fact of being narrated, regardless (or almost regardless) of their content...
2. Explicative function: the hypodiegetic level offers an explanation of the diegetic level, answering such questions as "What were the events leading to the present situation?"
3. Thematic function: the relations established between the hypodiegetic and the diegetic levels are those of analogy, i.e. similarity and contrast [...] (Rimmon-kenan, 1983; Zou, 2002)

Manfred Jahn (2005) also clarifies that the hypodiegetic level is the synonym of embedded narrative levels. In his classification, it contains the second-degree narratives and the third-degree narratives. Similarly, diegetic level is the synonym of embedding narrative level, which here means the first-degree narrative.

Embedded narratives help the completion of an actional integration. The first-degree narrative in the first structural degree works as an important element in the second and third-degree narratives in Embedded Structure. For instance, in *Oracle Night*, Sidney's stories, both fictional and factual, help to complete the novel as a mysterious metafiction. Some stories at different narrative degrees appear to be preposterous and irrelevant to the theme but indeed they are important ingredients that make the novel a mystery about "oracle".

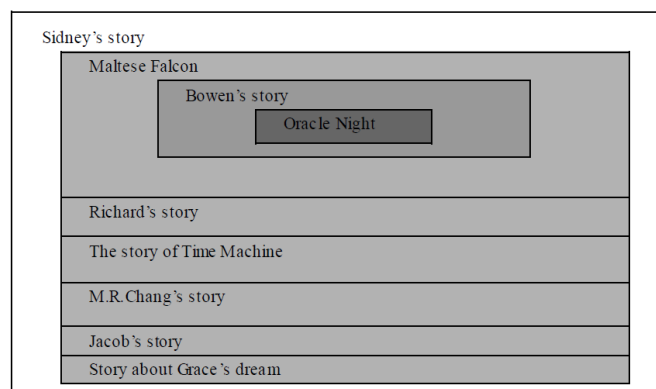
Embedded structure serves as expositions. The inner-narratives provide information about events outside the primary story line of the outer narrative.

The structure can work as distraction. As Genette (1988, p.93) states, "So tell us a story while we're waiting for the rain to stop," which means that this structure can make the novel more colorful and in this way, more information and more stories can be absorbed to form a more complicated and meaningful novel. In *Oracle Night*, readers may find that some detailed information is omitted or put in other places rather than in a cause-and-effect order. Especially in the story of Bowen, readers have the strong desire to know what the next step is after his fleeing away, however, the inner narrator Sidney makes an acrobatic leap to make some comments on Bowen and his wife's anxiety in finding him. Also some stories of the second degree are inserted in this process. He enjoys the fun of readers' appetite, which receives the effect in two aspects: for one thing, it lures readers to continue the reading process; for another, the continuity of the plot is distracted.

Embedded structure also functions as obstruction in the continuity of the whole and bestows the narration with more ups and downs. Stories at different narrative degrees momentarily suspend the continuity of the first-degree narrative, often creating an effect of elevated suspense. If it is not for the turning up of Sylvia Maxwell, the disappearance of Bowen would not be so mysterious to Rosa, Bowen's wife, and the finding of Bowen would become flat and uninteresting. Also, if it is not for the dubious relationship between Trause and Grace, the outcome of Grace's destiny would be rather irrational.

Just like the relations between the first-degree structure and other structural degrees, the relationship between the second-degree structure and the third-degree structure shares the same functions. The third-degree narrative in this structural degree serves as important ingredient in the fulfillment of the plots in the second-degree structure. For instance, Grace's dream is similar to Sidney's plot, which indicates the theme of the novel in that the daily events are just coincidences. And the night Grace dreams the dream is just an "oracle night". We can not tell if there is any link between the two. Meanwhile, it breaks the continuity of the narration of the second-degree structure.

To be specific, the embedded structure in *Oracle Night* can be illustrated via the following diagram:



Graph.2

Simply put, the resemblance between the basic story and the embedded is like that of a mirror. As we know, Auster

lives in the Cobble Hill section of Brooklyn, and the inner narrator Sidney as well as Bowen in the third degree structure all share the same residency with Auster. And this is one clue about the effect of principle of mirror image. More examples will be illustrated below. What is more, the embedded strand should be similar to the primary story or the embedding story, so it usually enhances the theme revealed by the primary story and thus makes what is described in the primary one more universal and reliable. A very telling example for this type is the graph 3 below:



Graph.3

This kind of phenomenon is said to be “mise en abyme”. (McHale, 1987). The infinite loop is achieved when the second and third-degree narratives embed its first-degree narrative.

It's also similar to something like Matisse's famous painting of a room in which a miniature version of the same paintings hangs on one of the walls. A famous example from Gide's work is *The Counterfeiters* where a character is engaged in writing a novel similar to the novel in which he appears (Rimmon-Kenan, 1983).

Oracle Night is a typical presentation of “mise en abyme”. We can analyze this aspect from the very outside, that is to say, Paul Auster, who as a writer of postmodernist works, likes to write fictions with mysteries and suspense. And the protagonist of Oracle Night is also a writer who likes to create stories about the postmodernist society. And Sidney Orr's writing style is like that of Auster's, for it begins with the discovery of a mysterious notebook, and the notebook turns a man's life upside down in this compulsively tale. Also in the story of Sidney, there is another hero named Bowen who also has a lot to do with writing. In this story, there is another person named Sylvia Maxwell, who used to be a “first-rate novelist” who wrote Oracle Night, a novel with the same title as Auster's work. All these tell self-evidently the effect of “mise en abyme” of *Oracle Night* as a metafiction.

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# The Effect of Blogging on Vocabulary Enhancement and Structural Accuracy in an EFL Context

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**Abstract**—The present study was aimed to investigate the effect of using weblog in language learning as a tool for vocabulary enhancement and grammatical accuracy of Iranian foreign language learners. Previously, weblog has been used as a tool to improve fluency and facilitate communication. However, in this study, the researchers tried to investigate the use of weblog to measure the level of accuracy in writing skill to see the extent in which blogging improves peer feedback and correction. A group of 25 students were selected for five weeks of instruction. Students were assigned to write five articles with pre-determined topics and post them online to their weblogs. While writing the articles students were introduced to use grammar checking softwares and Applications simultaneously. They were invited to correct each other's mistakes and restate the writings by recommending new words. By using Chi-square and Wilcoxon Signed ranks tests, the number of errors and suggested words were analyzed in detail. The results showed that there is a significant increase in the number of words students recommend to each other. Additionally, the number of grammatical errors has decreased dramatically during the peer feedback. According to the questionnaire which was organized after conducting the experiment, almost all students reacted positively to the amount of learning they have received.

**Index Terms**—weblog, blogging, blogger, grammatical accuracy, vocabulary enhancement

## I. INTRODUCTION

For many years, weblogs or simply blogs have been considered as an online free space for computer users to implement in different fields. For language learning, all four language skills (writing, speaking, listening and reading) can be used by implementing the weblog. Beside these features, it is place for pronunciation check via uploading different softwares which can be used online and a place for vocabulary building (Du & Wagner 2005). By using weblogs, students can also share a posted topic, not just with a teacher, another classmate, or the whole class, but also possibly with any eager reader online.

The use of weblog as an effective way to teach different skills and alleviating learning problems has been a focal point in teaching foreign languages in recent years. By using weblogs in and outside the classroom the students have the opportunity to work more on different tasks and to reflect on their own learning. They have the chance to reconsider the chosen words and phrases in more time and in a quite relaxed condition without any stress and anxiety. Furthermore, as it is desired, weblog is a tool for peer correction. It is highly recommended by many scholars to implement as a tool to involve all students in order to correct each other and to provide an active participation by all students (Mynard 2007; Noytim 2010; Dippold 2010).

The appeal of a Weblog lies within the fact that it enhanced by its 'multimodality' which includes texts (profile, reflections, and feedback), colors, images, audio and video files, and hyperlinks of websites of the author's interests (Smith & Baber; 2005; Du & Wagner, 2005; Miyazoea and Anderson 2012; Montero-Fleta & Pérez-Sabater 2010; Pop 2010, Richardson 2008,).

In order to post weblogs, bloggers create their writings and monitor them carefully because they know their works will be published online and the rest of students can view it, therefore, it is very easy to be a target of criticism. After reading the weblogs, readers try to give feedbacks to blog writers by providing same sort of feedback. Therefore, writing weblogs can create a sense of "critical thinking" (Noytim 2010, p.1128). Research on weblog had clearly proved that this instrument has the capacity of elevating learner autonomy. The previous works have mainly dealt with the qualitative study i.e. working on issues such as different attitudes of teachers and students toward implementing the use of weblog. However, little or no research conducted the quantitative study of enumerating the results via statistics. In this study, the researchers tried to measure the amount of learning by particularly focusing on vocabulary



development and the measure in which blogging can affect the grammatical accuracy i.e. to what extent blogging can reduce the amount of errors and mistakes in writing. These issues have never been experienced before.

## II. LITERATURE REVIEW

### A. *Using Weblog to Develop Literacy*

The weblog can be used as a tool for language learning. There have been a lot of examples of using weblogs in reading and writing classes (Akçay & Arslan 2010; Averianova, 2012; Azizinejad & Hashemi 2011; Beach et al. 2009; Bicen et al. 2010; Gökçe Arslan & Seher Özcan 2011).

Even though weblogs have a lot of advantages in different areas, it has one disadvantage. The weblog is ordered based on the chronology of the latest and the most recent post. Therefore, another topic or post, even more important than others will downfall to the bottom of the list. Tseng (2008) underscored the probability of passivation during blogging and the potential of “distraction” for students.

Guth and Helm (2011) considered Weblog as influential in developing “multiliteracies” which is one of the different devices of telecommunication. In a shared study they claimed that different online collaborative tasks will lead to different “linguistic”, communicative” and “intercultural” skills (p.42).

Weblog is considered as a tool for students and language learners to reflect on their own experience (Mynard 2007). Using weblog for language classrooms provides a situation for “authentic learning environment” (Du & Wagner 2005, Guth and Helm 2011, Zhang 2009, Pinkman 2005, Sevelj 2006). Tseng (2008) found the usefulness of blogs in English classes for students of medicine as a way to practice “free writing” and “peer correction”. (p. 180)

#### Blogging as a tool for learner autonomy

By writing and posting on a personal weblog, students can really feel a sense of “ownership”. (Yang et al 2005, Lowe & Williams, 2004, Zhang, 2009, Du & Wagner 2005, Campbell 2003). Therefore, they must be accountable about the content of everything they post on their pages. These pages are accessible to others to see and comment on (Lowe & Williams, 2004).

### B. *The Effect of Using Weblog on Different Skills*

Blogging has always been considered as a tool for integrating different skills specifically reading and writing. It was an idea first time mentioned by Zamel (1992) that reading provides “comprehensible input” for writing. It has been mentioned that, “just as reading provides ‘comprehensible input’ for writing, writing can contribute comprehensible input for reading” (Zamel 1992. p. 480).

Noytim (2010) described weblog as “an opportunity and freedom for self-expression in English, writing for both a global and local audience” (p. 1127). Ferriter (2009) believes that reading and writing weblogs have equal importance in language learning. Montero-Fleta and Perez-Sabater (2010), argued that the use of blogs for language related purposes, will result in improving students’ motivation and writing quality.

Mynard (2007) investigated the role of weblog writing on reflection on language learning and learner autonomy. He concluded that this can be a tool to encourage students to reflect on their learning. According to Kavaliauskiene and Mazeikiene (2006), the practice of blogging can improve learner autonomy by “raising awareness” of what they are doing through the activity. Similarly, Nhattacharya and Chauhan (2010) argued that blogging can develop cognitive and metacognitive skills in order to assist making more thoughtful decisions.

In order to highlight the linguistic features and accuracy of blogging experience, Wang (2009) examined the role of “blog-assisted electronic feedback” on the amount of feedback that language learners receive. The research concluded that it is obligatory to train students on how to edit their peer’s blog writings and stimulate student to learn the cooperative aspects of this experience. According to Averianova (2012) the use of such devices has been popularized in the recent decades. First of all students feel motivated to use the weblog or other “electronically mediated communication” resources.

Additionally, the use of such devices is without any restriction and learners can use them in order to interact with other participants like their friends or more global audience. (Sevelj 2006). Amir et al. (2011) mentioned blogging as one of the tools in which it facilitates the process of writing research projects. As far as writing a journal is individually laborious and a “painful experience”, writing these projects within a group can be outstandingly incredible.

The philosophy of using blogs in writing and vocabulary classes lies behind the fact that it ultimately improves students’ level of language. Many studies mentioned the usefulness of blogs in order to maximize the students’ collaborative writing. (Du & Wagner 2005, Amir et al. 2011, Mynard 2007). Using blogs in language classes is a good way to improve and promote the cooperation between peers in different skills. In an experiment, Akçay and Arslan (2010) investigated the role of weblog in improving the writing skills among Turkish educators.

Fellner and Apple (2006) investigated the use of weblogs on enhancing writing fluency and improving lexical complexity of Japanese learners. The researchers reached the conclusion that by the end of the program, students were able to triple the number of lexical words to 350% increase of words. This increase of words was doubled among lower frequency words. The activities in this experience include, listening, online reading, and word building through blogs. Liou and Peng (2006) investigated the role of weblog on improving the writing abilities of thirteen freshman students.

In the experiment, they tried to observe the impact of training and instruction on students' writing abilities. At the end of the experiment, students felt more confident about their useful peer feedbacks.

Students' attitudes toward weblog and peer review

Dippold (2010) investigated the amount of feedback students give while using the weblog. It was concluded that both the teacher and students enjoyed and benefitted from utilizing blogging inside the class. Wu (2006) investigated the students' reaction to two different kinds of monitoring in the blogging experience which are peer correction and teacher correction. Wu concluded that blogs can be used as an effective instrument which can "provide a forum for social interaction, learning collaboration, negotiation of meaning." (p. 137). Wu investigated the students' reaction to two different kinds of monitoring in the blogging experience which are peer correction and teacher correction. Wu concluded that blogs can be used as an effective instrument which can "provide a forum for social interaction, learning collaboration, negotiation of meaning." (p. 137).

Trajtemberg and Yiakoumetti (2011) emphasized the role of blogging in elevating students' "interaction". They differentiated the difference between the student-initiated and teacher initiated interactions. It was concluded that in many cases, the student-initiated interaction were more effective in improving students "self-expression" and "self-evaluation" (p.438). Bruffee (1984) asserted that using weblogs can facilitate a cooperative meaning making environment in which it reduces the amount of stress that the students have in such writing classes.

Synchronous and asynchronous use of blogs with other online tools

In an experiment on engineering course, Chen et al. (2005) investigated the implementation of simultaneous use of weblog and wikis which they call as "Folio Thinking". Although the study was not conclusive but they maintained that the findings show that students have changed to be more "aware of their own development" and elevated their writing level.

Duffy and Bruns (2006), discussed the viability of simultaneous use of blogs, wikis and RSS feeds in education. The researchers maintained that the influence of concurrent use of these materials are: "collaborative content making" "formative peer assessment" instead of traditional summative assessment, reflecting on language learning experience collectively, and getting "up-to-date information" (p.3). Similarly in another study, Miyazoe and Anderson (2010) analyzed the students' understanding of utilizing simultaneous asynchronous tools, Forums, Blogs and Wikis. By a triangular study which was a combination of survey, interview and text, students perceived language learning in this way as positive in a mixed style.

### III. RESEARCH QUESTIONS

Based on our considerations, three questions regarding the usage of weblog were targeted in this research. These are:

1. Does Blogging have any effect on vocabulary enhancement?
2. Does Blogging have any effect on structural accuracy of students?
3. Do students have any special feeling toward vocabulary enhancement and structural accuracy after experiencing the use of the weblog?

### IV. MATERIALS AND METHODS

#### A. Participant

In this experiment, initially 40 students have chosen from a foreign language institute in Tehran. The participants, aged between 20 to 35 years old, both male and female, had already passed 15 terms of conversation courses and finished the FCE course successfully. However, in order to be certain about the homogeneity of students, a placement test has been taken from the students too. The test was chosen from online Cambridge proficiency test builder which were consisted of grammar and vocabulary items. 25 students were selected out of 40 in order to do the experience.

#### Materials

In order to educate and instruct students on how to participate, the following instruments were employed subsequently.

#### B. Online Vocabulary Enhancement Tools

In order to motivate students to work on the vocabulary side of the project, the students were asked read the 5 writing about 5 predetermined and pre-planned topics. One of the features of this experience is to measure the effect of synonym and antonym website on students' abilities to rephrase and change their previous structures. Accordingly, a model website e.g. @Merriam-Webster Online Thesaurus App, was introduced to students to recommend words. It should be noted that students received the instruction of how to use these devices from the beginning of the third writing. The results of the number of words which they could propose for each writing has been counted in detail. In writing weblog posts students have the chance to reflect on the appropriateness of the lexical items that they write together and try to change the words with more academic and more context related words by posting their comments for each post. Another device which can be employed both online and offline is the famous word processor software, Microsoft Word. By using this device, students can replace their selected words.

#### C. Online Grammar Checking Websites

By utilizing two online devices students learned to be more cautious about the kind of product that they are writing and posting to be seen by public. These websites which are online grammar checking softwares can check and correct the mistakes and errors regarding grammatical structure, punctuation and spelling mistakes and errors. By using the websites which were <www.spellcheckplus.com> and <www.reverso.net/spell-checker/english-spelling-grammar>, students will receive awareness about the weak points in their writings.

#### D. Procedure

The selected students were invited to the experiment and they received 5 weeks of instruction and in order to learn the use of weblog to improve their writing and vocabulary skills. In the first stage students should have a clear insight of how to blog and what to blog. In this experiment they were required to make a weblog page by using the free and user-friendly blog provider, blogfa. After registration, students exchanged their weblog addresses or simply their URLs with their teacher and the rest of the participants in the experiment via email and text messaging. An important part of the experience is raising students' awareness on what to write. In order to compare students' writing and vocabulary levels, the participants were required to write about five distinct topics which were the same for all the members. The topics for 5 writings included: writing about their jobs, their families, their education, their hometowns and their free times.

After finishing the writings, the results of counting the frequency of comments posted online, the number of mistakes and errors, the number of relevant recommended words should be analyzed in detail. Students were encouraged to correct the posted writings. In order to realize students' attitudes and feelings toward the experience, a questionnaire has been distributed among the students. They were required to answer the 17 questions in the questionnaire which discovered their feelings and attitudes toward different elements of the experience.

#### E. Data Analysis

In this research, students were treated to use different devices for vocabulary enhancement at the beginning of writing 3 and grammar checking devices from the start of the second writing. Therefore the analysis of the Chi-Square was used to analyze the vocabulary improvement. Because thirteen different Non-parametric errors were selected to be discussed among 25 students in 5 different writings, NPar Tests were used to measure the discrepancy between paired elements.

### V. RESULTS AND DISCUSSIONS

#### A. The Effect of Blogging on Vocabulary Enhancement

An analysis of Chi-square is run to compare the number of vocabulary related comments in the first, third and fifth topics. As displayed in Table 1, the students have made vocabulary related comments in the first (residual = -6.7) and third (Residual = -3.7) topics less than what was expected while they made vocabulary related comments in the fifth topic more than what was expected (residual = 10.3).

TABLE 1:  
FREQUENCIES, EXPECTED AND RESIDUALS

	Observed N	Expected N	Residual
Topic 1	10	16.7	-6.7
Topic 3	13	16.7	-3.7
Topic 5	27	16.7	10.3
Total	50		

The results of the analysis of chi-square ( $\chi^2(2) = 9.88$ ,  $P = .007 < .07$ ) indicate that the differences observed in Table 1 are statistically significant. Thus the first null-hypothesis as *Blogging does not have any effect on vocabulary enhancement* is rejected. The blogging has enhanced vocabulary learning significantly.

TABLE 2:  
CHI-SQUARE ANALYSIS

	Vocrelated
Chi-Square	9.880 <sup>a</sup>
df	2
Asymp. Sig.	.007
a. 0 cells (0.0%) have expected frequencies less than 5. The minimum expected cell frequency is 16.7.	

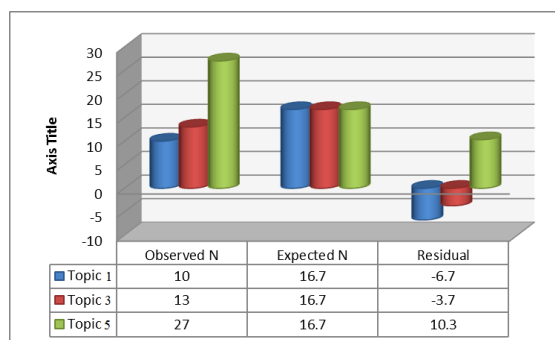


Figure 1: Frequencies, Percentages and Residuals of recommended words

### B. The Effect of Blogging on Grammatical Accuracy

In order to analyze any kind of difference in students' mistakes and errors, the researchers tried to enumerate the number of all errors which participants made and categorized them into 13 different categories. These error types included Subject/verb disagreement, incorrect part of speech, problems with tenses, word order, punctuation errors, Capitalization errors, incorrect use of infinitive, incorrect use of preposition, incomplete sentence, possessives, using wrong articles, using wrong pronouns, incorrect use of auxiliary verbs. Because thirteen different Non-parametric errors were selected to be discussed among 25 students in 5 different writings, NPar Tests were used to measure the discrepancy between paired elements. In this experiment, Wilcoxon Signed Ranks Test was used which is used to compare two dependent abnormal populations.

This test was done to determine the significant difference between each two variables. If the test resulted with 95% confidence from Asymp. Sig. (2-tailed) then, the result of the test should be compared with the 0.05 % of error. If the amount of Asymp. Sig. (2-tailed) is lower than 0.05, then the assumption of equality between two variables will be nullified. Otherwise, there is no reason to reject the assumption of having 0.05% error difference. By rejecting the premise of 0.05 percent of error, if the amount of Z is negative, then the negative detraction of each pair e.g. "capitalization2 - capitalization1" is lower than the positive detraction of that particular pair.

Because the result of Asymp. Sig. (2-tailed) is lower than 0.05 % the assumption of zero difference is obviated and the highlighted pairs in table 3 have significant difference. It is concluded that with 95% confidence, the amount of capitalization errors in topic 1 were more than topics 3, 4, and 5 because the amount of Z is negative for topics 3, 4, and 5. On the other hand, the amount of Asymp. Sig. (2-tailed) of the comparison between capitalization 2-capitalization1 is more than 0.05. Accordingly there is no difference between fluctuating the amount of capitalization errors in topic 2 comparing to topic 1. It is concluded that the use of grammar checking devices significantly decrease the amount of capitalization errors among students

TABLE 3:  
WILCOXON TEST FOR CAPITALIZATION ERROR PAIRS

Test Statistics <sup>c</sup>			Test Results
	Z	Asymp. Sig. (2-tailed)	
capitalization2 - capitalization1	-1.890 <sup>a</sup>	.059	Significant With 95 % confidence
capitalization3 - capitalization1	-2.236 <sup>a</sup>	.025	Significant With 95 % confidence
capitalization4 - capitalization1	-2.236 <sup>a</sup>	.025	Significant With 95 % confidence
capitalization5 - capitalization1	-2.236 <sup>a</sup>	.025	Significant With 95 % confidence
a. Based on positive ranks.			
b. The sum of negative ranks equals the sum of positive ranks.			
c. Wilcoxon Signed Ranks Test			

It is concluded that the use of grammar checking devices significantly decrease the amount of capitalization errors among students. According to table 4, by analyzing the result of the test, there is no significant change between these pairs because the amount of Asymp. Sig. (2-tailed) is more than 0.05%. It means that students were not able to correct erroneous structures related to incomplete sentence structure.

TABLE 4:  
WILCOXON TEST FOR INCOMPLETE SENTENCE STRUCTURE ERROR PAIRS

Test Statistics <sup>c</sup>	Z	Asymp. Sig. (2-tailed)	Test Results
incomplete sentence2 - incomplete sentence1	-1.000 <sup>a</sup>	.317	Not Significant with 95% confidence
incomplete sentence3 - incomplete sentence1	-1.000 <sup>a</sup>	.317	Not Significant with 95% confidence
incomplete sentence4 - incomplete sentence1	-1.000 <sup>a</sup>	.317	Not Significant with 95% confidence
incomplete sentence5 - incomplete sentence1	-1.134 <sup>a</sup>	.257	Not Significant with 95% confidence
incomplete sentence3 - incomplete sentence2	-.577 <sup>a</sup>	.564	Not Significant with 95% confidence
incomplete sentence4 - incomplete sentence2	-.577 <sup>a</sup>	.564	Not Significant with 95% confidence
incomplete sentence5 - incomplete sentence2	-1.000 <sup>a</sup>	.317	Not Significant with 95% confidence
incomplete sentence4 - incomplete sentence3	.000 <sup>b</sup>	1.000	Not Significant with 95% confidence
incomplete sentence5 - incomplete sentence3	-1.000 <sup>a</sup>	.317	Not Significant with 95% confidence
incomplete sentence5 - incomplete sentence4	-1.000 <sup>a</sup>	.317	Not Significant with 95% confidence
a. Based on positive ranks.			
b. The sum of negative ranks equals the sum of positive ranks.			
c. Wilcoxon Signed Ranks Test			

The degree of decline in errors were mostly related to Capitalization, Incorrect auxiliary verbs, Incorrect part of speech, Incorrect use of prepositions, Punctuation, Subject/verb disagreement, Tenses, and Wrong article. However, there were no observed meaningful and significant differences in decreasing the incomplete sentence, incorrect use of infinitive, Possessive, Word order, Wrong pronouns errors.

Blogging has enhanced grammatical accuracy significantly by reducing the amount of errors students make, in other words, the amount of observed errors after treating the grammar checking devices through blogging in the experiment decreased dramatically.

### C. Students' Attitudes toward Blogging

The third research question investigates the students' reaction and attitude toward their vocabulary enhancement and the level of obtained structural accuracy after finishing the experiment. The null hypothesis states that students do not have any specific feeling toward the experiment. In order to enquire about students' feelings, a questionnaire containing 17 questions on 5 scale answer has been distributed among students. Interestingly students had positive opinions about the experiment as it was expected. Therefore, the third null hypothesis stating that students have no special feeling toward the blogging experiment is rejected. According to the questionnaire results, about 70% of students enjoyed being evaluated by other peers. However, nearly half of the students still believe that writing a good blog post is time consuming. Interestingly, more than 60% of the students felt confident to use weblog as a tool to express themselves freely. Students' attitudes toward their improvement in writing have changed. About 70% of students believed that blogging have improved their writing abilities shown in figure 2.

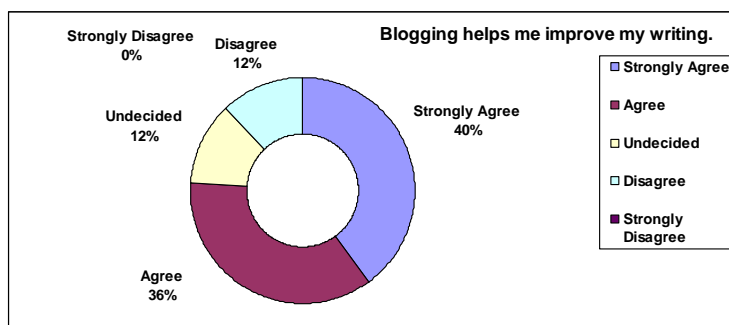


Figure 2: Blogging effect on writing improvement

Almost all of the students believed that blogging changed their attitudes toward language learning and writing in English as it is shown in figure 3. It is a major improvement that by introducing blogging to the educational system, a possible change in students' attitude is expected.

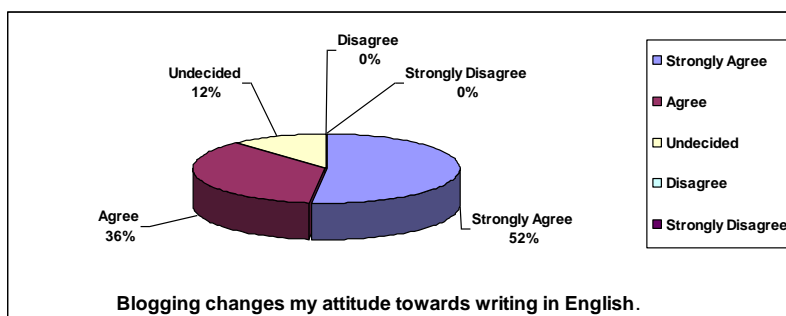


Figure 3: Blogging effect on changing students' attitude

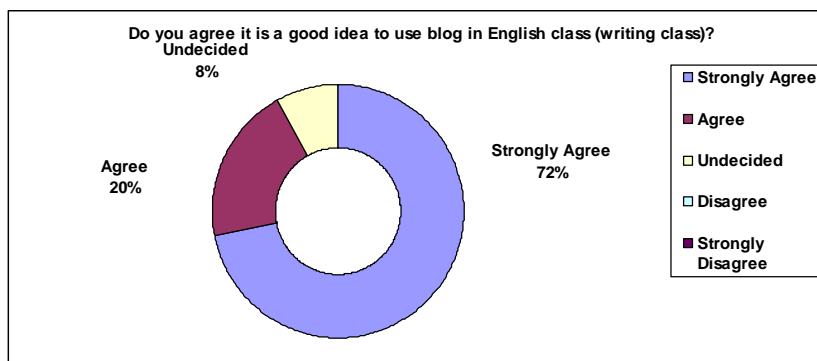


Figure 4: Blogging effect to be included in the curriculum

Almost all students were unanimous to claim that weblog is a useful tool to be implemented inside classroom in order to boost writing abilities. As it is shown in Figure 18, students believe that weblog should be included in writing as part of the main program.

As it is clearly visible in figures 5 and 6, more than 70% of students believed that this experience noticeably changed their writing abilities by creating more complicated structures and learning new words.

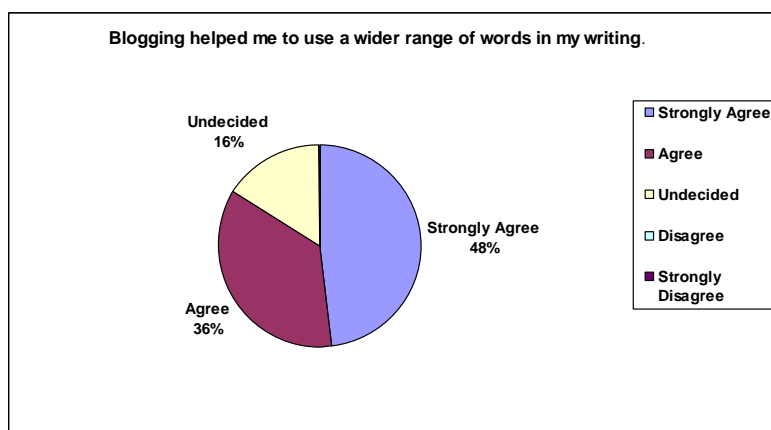


Figure 5: Blogging effect to use a wider range of words

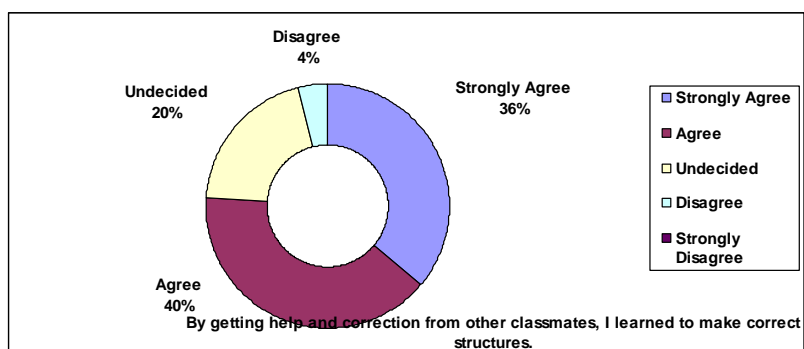


Figure 6: Blogging effect on using correct structures

## VI. CONCLUSIONS

The results of the experience clearly demonstrate that by counting the number of words for each topic, students recommended more words for each other from topic 3 to topic 5. The reason is quite clear. At the end of the second writing, students were introduced to use grammar checking devices and thesauruses i.e. there is an upward trend for the number of comments related to vocabulary. Interestingly, students used the Merriam-Webster App for vocabulary enhancement effectively along the experience. Students feel it like a competition to recommend new words more comparing to others. This study investigated the amount of error correction in 5 different stages. The results indicated that by checking their writings in grammar checking websites students became more aware of their own writings.

Before posting any topic online students tried to check their work many times in order to post something that clearly demonstrated their utmost abilities. However, other students tried to continually criticize the errors and mistakes. The amount of criticism and comments related to grammar shows that students became more confident and cautious. The decrease in the number of 13 error categories clearly shows that students tried to avoid making errors for the next time they tried to post another topic online. Students acquired an ability to avoid repeating the previous errors.

The result of this research is in agreement with the previous statements that considered weblog as a tool to encourage and facilitate the exchange of resources and thoughts, and enable students' work to be evaluated and assessed by peers (Williams & Jacobs, 2004). Similarly the result of this research clearly shows that students felt confident and excited to post their writings online which is viewed and judged by others.

In previous researches (Pinkman 2005, Du & Wagner, 2005, Noytim 2010) the effect of feedback and color variation were accentuated. Similarly in this research, most of the students believed that different choices within the blogging experience e.g. more graphic options for pictures, color, font size, and different styles, audio and video files made English language learning more interesting.

Guth and Helm (2011) considered Weblog as influential in developing "multiliteracies" which is one of the different devices of telecommunication. Similarly in this research project, students found weblog as a tool to go beyond classroom hurdles.

Blogging is considered as a tool for students and language learners to reflect on their own experience. (Mynard 2007). In this experiment, students became aware of their own potentials by checking their writings in other software devices and by getting feedback from other peers.

Blogging is considered as a tool for students and language learners to reflect on their own experience. (Mynard 2007). Similarly in this research, learners discussed their feelings about getting more experience and understanding to write more accurately and with more complicated structures.

Furthermore, in this experiment, students were interested in using blogs as a tool to share ideas with others. Ferriter (2009) emphasized the collaborative aspect of blog writing as the significant aspect of teaching and learning process. In this study, students acknowledged to be more competitive in grammar and vocabulary skills when they share their writings with others.

Pop (2010) also maintains that the concurrent use of different web based materials like weblog will result in "enhancing the students' level of satisfaction, the level of motivation, confidence and disposition" (p. 1185). In this research, Most of the students agreed on the fact that by getting feedback from the other participants in the experiments, they have learned to correct their errors and mistakes themselves.

Noytim (2010) mentioned that the results the study which evaluated by interview and the surveys showed that the majority of the students were in favor of using blogs as it is a tool for building social communication between readers and writers. The major result of this study revealed that weblog is a tool which can develop different strategies of learning like critical thinking.

The result of this experiment is in absolute harmony with that of Montero-Fleta and Perez-Sabater (2010), who argued that the use of blogs for language related purposes will result in improving students' motivation and writing quality. This research emphasized the amount of thinking that each learner would use in order to reflect on their own learning.

Amir et al. (2011) mentioned blogging as one of the tools in which it facilitates the process of writing research projects. Similarly, in this study, by editing and checking the writings in different devices like Microsoft word and grammar checking devices online, students had many options to self-correct themselves or to check others' writings.

The current research proposes the following implications

1. Weblog is a great tool which has to be included in higher education and language learning syllabuses for language learning and other fields of study.
2. It is evident that without the proper education and instruction, students remained to be confused about the goals of the instruction by using weblog. Therefore, organizing classes before the experience is necessary. During workshop classes, students will be familiar with different facilities of devices like weblog.
3. The use of online electronic resources should be encouraged as it was clearly seen that three grammar checking instrument and one vocabulary enhancement software could result in outstanding findings with blogging medium.
4. Students feel more confident and relaxed with electronic and online devices and it is a time saving device to make writing exercises creative.

5. This research clearly showed that weblog writing is a robust way of leading classes to be more student-centered and interactive.
6. Although, blogging seems to be a bit time-consuming at the beginning, but students will find it user-friendly later on.
7. Blogging is a great tool for assigning different tasks for collaborative learning environment.
8. Blogging can be used in e-learning classes as well. The interactive nature of blogging helps students and teachers to be actively engaged with learning.
9. It is a great tool to enhance accuracy for different skills especially reading and writing.

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# Call for Papers and Special Issue Proposals

## Aims and Scope

**Theory and Practice in Language Studies (TPLS)** is a peer-reviewed international journal dedicated to promoting scholarly exchange among teachers and researchers in the field of language studies. The journal is published monthly.

*TPLS* carries original, full-length articles and short research notes that reflect the latest developments and advances in both theoretical and practical aspects of language teaching and learning. We particularly encourage articles that share an interdisciplinary orientation, articles that bridge the gap between theory and practice, and articles in new and emerging areas of research that reflect the challenges faced today.

*Areas of interest include:* language education, language teaching methodologies, language acquisition, bilingualism, literacy, language representation, language assessment, language education policies, applied linguistics, as well as language studies and other related disciplines: psychology, linguistics, pragmatics, cognitive science, neuroscience, ethnography, sociolinguistics, sociology, and anthropology, literature, phonetics, phonology, and morphology.

## Special Issue Guidelines

Special issues feature specifically aimed and targeted topics of interest contributed by authors responding to a particular Call for Papers or by invitation, edited by guest editor(s). We encourage you to submit proposals for creating special issues in areas that are of interest to the Journal. Preference will be given to proposals that cover some unique aspect of the technology and ones that include subjects that are timely and useful to the readers of the Journal. A Special Issue is typically made of 10 to 15 papers, with each paper 8 to 12 pages of length.

A special issue can also be proposed for selected top papers of a conference/workshop. In this case, the special issue is usually released in association with the committee members of the conference/workshop like general chairs and/or program chairs who are appointed as the Guest Editors of the Special Issue.

The following information should be included as part of the proposal:

- Proposed title for the Special Issue
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- Name, contact, position, affiliation, and biography of the Guest Editor(s)
- List of potential reviewers if available
- Potential authors to the issue if available
- Estimated number of papers to accept to the special issue
- Tentative time-table for the call for papers and reviews, including
  - Submission of extended version
  - Notification of acceptance
  - Final submission due
  - Time to deliver final package to the publisher

If the proposal is for selected papers of a conference/workshop, the following information should be included as part of the proposal as well:

- The name of the conference/workshop, and the URL of the event.
- A brief description of the technical issues that the conference/workshop addresses, highlighting the relevance for the journal.
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