

# Third International Conference on Linguistics and Lansuage Studies 

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## Preface

We are pleased to publish the Proceedings of the Third International Conference on Linguistics and Language Studies (ICLLS 2017), organised by the Chartered Institute of Linguists Hong Kong Society, in conjunction with four co-organisers: the School of Education and Languages of the Open University of Hong Kong, the Department of English Language \& Literature of Hong Kong Shue Yan University, the School of Humanities and Languages of the Caritas Institute of Higher Education, and the School of General Education and Languages of the Technological and Higher Education Institute of Hong Kong.

This annual conference aims to promote studies in language and linguistics and relevant academic exchange. It serves as an international forum for researchers, scholars, educators, practitioners, postgraduate students and experts in relevant fields to exchange ideas, research results and good practices. These proceedings contain selected papers that were submitted for presentation at ICLLS 2017, which spanned several areas, including:

- Corpus Research
- English for Specific Purposes
- ICT in Language Education
- L2 Learner Experiences, Strategies and Outcomes
- Language in Society
- Linguistic Theories
- Multilingualism and Multiculturalism
- Pedagogy and the ELT Curriculum
- Second Language Acquisition
- Teacher and Learner Perceptions

We would like to thank all authors for their contributions. We are also grateful to members of the Programme Committee of ICLLS 2017 for their diligent work in reviewing all submissions.

Editors
Sherman Lee, Francis Lee, K C Li, Josephine Yam
June 2017

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# Second Language Identities and Language Learning: A Case Study of a Hong Kong English Language Education Major in a Short-Term Study Abroad Program 

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#### Abstract

In many parts of the world, pre-service English as a second language (ESL) or foreign language (EFL) teacher education programs include a short-term study abroad (SA) component (e.g., Barkhuizen \& Feryok, 2006; Benson et al., 2013; Trent, 2014). These SA researchers have discovered that second language (L2) and culture learning in SA contexts is complex. Their work and those of other scholars (e.g., Block, 2007; Norton \& Toohey, 2011) has raised awareness of the need to pay more attention to L2 identities. As part of a larger investigation of short-term L2 sojourners, this paper presents an illustrative case study of a Hong Kong Chinese male English Education major, who participated in an eight-week English language and cultural immersion program in the United Kingdom (UK). As his development trajectory was tracked, both qualitative and quantitative data were collected. Discussion centers on the internal and external factors that impacted his L2 identities and language and intercultural learning experiences in the host environment. The findings indicated that their language and intercultural learning was far from straightforward. Both individual and external impacted the language and intercultural learning experiences (e.g., investment, language attitudes, and host receptivity). Besides, a review of the written and oral narratives revealed that the L2 identities of the participants were varied and changing in different contexts. Drawing on the findings, suggestions are offered to enhance and facilitate the learning experiences of pre-service EFL teachers who join a short-term immersion program. The advice may also be relevant for other short-term sojouners. Implications for institutions which send and receive international students are provided.


Keywords: second language identities, second language learning, short-term study abroad, individual differences, intercultural development

## 1 Introduction

In many parts of the world, pre-service English as a second language (ESL) or foreign language (EFL) teacher education programs include a short-term study abroad (SA) component (e.g., Barkhuizen \& Feryok, 2006; Benson et al., 2013; Trent, 2014). These SA researchers have discovered that L2 and culture learning in SA contexts is complex. Both contextual and individual variables contribute to the variability and complexity of the SA experience (e.g., Coleman, 1997, 2013; Jackson, 2008, 2010, 2012, Kinginger, 2009). The
work of these researchers and other scholars (e.g., Block, 2007; Norton \& Toohey, 2011) has raised awareness of the need to pay more attention to the L2 identities.

As part of a larger investigation of short-term second language (L2) sojourners, this paper presents an illustrative case study of a Hong Kong Chinese male English Language Education (ELED) major, who participated in an eight-week English language and cultural immersion program in the United Kingdom (UK). While the paper focuses largely on a single L2 sojourner, the findings should resonate with other L2 sojourners who take part in a short-term study abroad program.

## 2 Literature Review

As the analysis focuses on L2 identity development and shifts over time, this section briefly explores theoretical framework of L2 identities and previous studies relevant to the paper.

### 2.1 Second Language (L2) Identities

Adopting a poststructuralist approach, Block (2007) defines language identities as "the assumed and/ or attributed relationship between one's sense of self and a means of communication which might be known as a language, a dialect or a sociolect" (p.40). He argues that L2 identities are "variable, multi-faceted and multi-leveled across different SLL contexts" (p. 202). They are about "positioning by others and self-positioning, about ascriptions from without and affiliations from within" (p. 42). Further, he observes that L2 identity work "varies according to highly localized social factors, shaped by the forces and flows of globalization, and the sociohistorical baggage of the individuals involved" (p. 202). He also maintains that when L2 identity work takes place, different aspects of identity, such as national identity, ethnic identity, and gender identity, emerge as well.

Drawing on data gathered in SA contexts, Benson et al. (2013) define L2 identity broadly as "any aspect of a person's identity that is connected to their knowledge or use of a L2" (p. 28). For these scholars, L2 identity is a "complex, multidimensional construct and that what we see of a person's identities varies according to the context" (p. 2). Benson et al. (2013) argue that L2 identity entails a specific set of identity issues such as 1) the identity issues that surround different levels of L2 competence and performance; 2) the sense of being a 'learner' or 'user' of a L2; 3) the various identity terms that are used to describe multilingual individuals in various contexts (e.g., L1, L2, and FL learner and user, native and non-native speaker), and 4) the identity resources that are associated with specific languages and the cultures associated with them (p. 29).

### 2.2 L2 Identities and Immersion Programs for Pre-Service EFL Teachers

Pre-service EFL teacher education programs increasingly provide students with opportunities to participate in SA programs in English speaking countries such as Australia, Canada, New Zealand, the UK, and the US (e.g., Barkhuizen \& Feryok, 2006; Benson et al., 2012, 2013; Bodycott \& Crew, 2001; Lee, 2009; Trent, 2014). These SA programs usually aim to provide student teachers with the opportunity to improve their L2 language
proficiency, develop their pedagogical knowledge, and engage with an international sociocultural environment. Previous studies, however, have found that there is often a mismatch between the expected impact on student teachers and their actual gains (e.g., L2 proficiency, intercultural competence) (e.g., Benson et al., 2012, 2013; Jackson, 2008, 2010, 2011, 2012, 2016; Kinginger, 2004, 2009, 2013a, 2013b, 2015). Also, students' L2 identities are complex and can be affected by both internal and external factors. For example, in Benson et al. (2013)'s study, student sojourners' L2 identities were mainly influenced by factors such as their prior L2 learning experiences, L2 use, goals and expectations of SA, the degree and intensity of L2 immersion, and the ability of the student to construct self-narratives of experience and identity. For this phase of this study, the following research questions are addressed:

1. What is the participant's perceptions of his L2 proficiency and his attitudes towards the host language and culture before the sojourn, while abroad, and after the sojourn?
2. With regard to their L2 identity, how does he perceive himself as an English learner and user at the three phases?

## 3 Research Design and Methodology

A case study design was employed in the study. Yin (2009) defined a case study as "an empirical inquiry that investigates a contemporary phenomenon within its real-life context, especially when the boundaries between phenomenon and context are not clearly evident (p. 18). As explained by Duff (2014), the cases "are normally studied in depth in order to provide an understanding of individuals' experiences, issues, insights, developmental pathways, or performance within a particular linguistic, social, or education context" (p. 1). Case studies are well suited to explore the development trajectory of L2 sojourners in short-term study abroad (e.g., Benson et al., 2013; Jackson, 2008, 2010; Kinginger, 2008).

### 3.1 Context of the Study

The study centered on the English immersion component of ELED program at CUHK, a component that is common in other English teacher education programs in Hong Kong and many parts of the world. This credit bearing immersion experience was designed to provide language and learning and use opportunities, as well as cultural exposure in a first language context. It also aimed to expand student teachers' exposure educational practices outside Hong Kong.

The eight-week immersion program took place during the summer of 2016 at a UK university. For the sojourn, students lived with a homestay family. Each week, there were 20 hours of classes which mainly focused on elements such as English language enhancement, English language teaching methodology and education, intercultural learning, and academic English skills. The program also provided visits to primary and secondary schools. Besides, the program organized social program and cultural activities during afternoons on weekdays such as social gatherings with other international students.

### 3.2 Participant

There were 20 third-year ELED students participated in the immersion program. All of them were invited to participate in the research project during the first pre-immersion briefing session. In the main study, nine students were selected as case participants based on the three selection criteria: (1) Their willingness to share and participate in the project; (2) They had no or limited previous study abroad experience at the tertiary level; and (3) They aimed to have a career in teaching English.

To gain a deeper insight into the multifarious factors that potentially affect the development of the L2 identities and language and intercultural learning experience in a short-term study abroad context, the remainder of the paper centers on the journey of Allen (pseudonym). Allen's story was selected to be the focus of this paper because of the following reasons: 1) he had no previous SA experience and travel experience in an English-speaking country; 2) his oral and written narratives were rich, and 3) during the sojourn, he experienced growth in language and intercultural learning and his L2 identities were expanded.

### 3.3 Instrumentation and Data Collection

The study collected data from multiple sources and included both qualitative and quantitative data. The nine case participants completed a questionnaire before and immediately after the immersion program in the UK. Semi-structured interviews with each case participant were conducted at three main stages of the study: pre-sojourn, sojourn, and post-sojourn. Some interview questions were related to participants' responses in questionnaire and interviews, as well as their reflection (e.g., reflective sojourn journals). These individual interviews were conducted in Cantonese, according to the preference of the interviewee. The interview recordings were then translated and transcribed. With the written consent of the participants, their pre- and post-immersion reflective essay submitted to the ELED department, as well as their sojourn reflective journals of the first three weeks of their sojourn were also reviewed to gain additional insight into their SA aims and expectations, as well as their sojourn learning.

### 3.4 Data Analysis

The closed data obtained from the sojourn questionnaire surveys were input into excel for descriptive analysis, while qualitative data (e.g., interview transcripts) were processed using NVivo 10, a software facilitates the organization and triangulation of data, including the integration of quantitative findings and qualitative data (Bazeley \& Jackson, 2013, Creswell, 2013). This study adopted recursive coding and analyzing process (Grbich, 2013). The coding process was open and ongoing, with codes modified when necessary (Bazeley \& Jackson, 2013; Grbich, 2013).

While Allen's story cannot represent all L2 sojourners' learning that takes place during short-term study abroad in general, a detailed account of his sojourn experience can offer insights into factors that influence language learning and use, and L2 identities
development of those who participate in short-term study abroad and avoid losing sight of individual aspects.

## 4 Allen's Story

In the following, I begin Allen's story by briefly describing his pre-sojourn English education, language proficiency and use, international experience, and career aspiration. I then reveal his perceptions of his L2 identities, along with his aims, expectations, and concerns for the sojourn. Next, I describe and discuss his sojourn experiences, focusing on his perceptions of his L2 identities, emotional aspects of his language learning and use in the host environment. Finally, I look at the impact of the sojourn by sharing excerpts of the post-sojourn interview as well as Allen's post-immersion reflective essay after he returned to Hong Kong.

Throughout the remainder of the paper, Allen's voice dominates, when necessary, an etic (researcher's) perspective is provided to draw attention to individual and external factors that influenced the way his story took shape. When relevant, I draw comparisons with the stories of some of the other case participants who participated in the main study.

### 4.1 Profile

When Allen entered this study, he was a 20-year-old ELED major, entering his third-year of studies in a five-year Bachelor of Education program at CUHK. He had a grade point average (GPA) of 3.20 (out of 4), signifying a good standing of academic achievement.

In our first encounter, he appeared to be a friendly and gentle young man. In the first pre-sojourn interview, he described himself as a person who was "quite passive and slow-to-warm-up" but "likes to interact with people in a comfortable situation". He also revealed that he liked to try different things. He travelled to Japan independently with very limited use of English and had not travelled to any English-speaking countries. Similar to his ELED peers, he had very limited intercultural contact prior to sojourn. At this stage, he hoped to teach English at a secondary school in the future.

### 4.2 Pre-Sojourn

4.2.1 Language Attitudes, Ability, and Usage. In the pre-sojourn questionnaire, Allen assessed his language ability and use. A short time later, two round of pre-sojourn semistructured interviews were conducted. In the first pre-sojourn interview, Allen shared his language learning background in secondary school and university. He also offered insight into his language attitude, perceptions, and proficiency, and their language teaching perceptions. In the second pre-sojourn interview, he offered insight into his sojourn aims, concerns, and expectations, language attitude and usage while abroad, and his perceptions of his L2 identities. Allen opted to use Cantonese in the interviews.

Born in Hong Kong, Allen spoke three languages: Cantonese (first language), English, and some Japanese. Cantonese was the language he mainly used to communicate with his family and closest friends.

In both the pre-sojourn questionnaire and interviews, Allen provided details about his background in English. Allen studied at a secondary school which had English as the medium of instruction. However, the only contact he had with native English speakers was with a teacher he met once a week in class. During lunchtime, occasionally, he participated in the poetry or story workshops organized by native English speaking teachers, in which he gained preliminary understanding of English literature. With regard to his motivation to learn English during that time period, he revealed that it was only for academic purposes. At the end of his secondary schooling, he received level 5* in the Hong Kong Diploma of Secondary Education (HKDSE) Examination. When he entered University, he opted to major in ELED because he wanted to become an English teacher in the future.

In the pre-sojourn questionnaire, he was asked to assess his proficiency in English using a 5-point scale, from " 1 " = "poor" to " 5 " = "excellent". He rated his overall proficiency as "good". In terms of individual skills, he rated his listening and speaking skills as "very good" and reading and writing skills as "good". However, later in the interview, he revealed that he had to further improve his listening comprehension especially when comprehending rapid speeches. As for writing, he indicated the problem was due to a lack of vocabulary. Allen also provided details about his use of the language in academic setting as well as outside of class. He stated that he was quite active in participating in class discussions in his major courses. He also appeared to be confident in using English to interact with L2 speakers of English. In the interview, he shared his experience and feeling of being an interpreter in a physical education course:

A: There were Korean students in my tennis class when I was in Year 1. However, the instructor taught in Cantonese. He looked at the class list and saw that I was an ELED major. He then asked me to be an interpreter. [...] I tried my best to translate. When I didn't know the technical terms, I asked the Korean students to pay attention to how the instructor demonstrated.
I: How did you feel when using English in this situation?
A: An ambassador. I felt happy to help them adapt to the learning environment at CUHK.

$$
\text { ( } 1^{\text {st }} \text { pre-sojourn interview) }
$$

Outside of class, in the questionnaire, Allen indicated that he had exposure to English through television programs, newspapers, novels, songs, and online videos on a weekly basis. On a monthly basis, he read magazines and talked with international students.

In the interview, when asked about his attitudes towards English, he said: 'It's a language rich in cultures and history. There're so many loanwords borrowed from other languages." He revealed that he treated this language as knowledge to study. He was keen to know more about the systems of this language. He also expressed that he liked this language because he liked English literature. He also described himself as an English learner that needed improvement continuously. Regarding his L2 motivation, it included both instrumental and integrative motivation (Gardener \& Lambert, 1972). On the one hand, he indicated he was motivated to learn English because of "thirst of knowledge as there're many aspects to explore" ( $1^{\text {st }}$ pre-sojourn interview). On the other hand, he wished to enhance his L2 proficiency to prepare for his future career as an English teacher.
4.2.2 Pre-sojourn Aims, Expectations, and Concerns. In the second pre-sojourn interview, open-ended questions in the pre-sojourn questionnaire, and his pre-immersion reflective essay, Allen disclosed his aims for his eight-week sojourn in the UK, including language enhancement and use in both academic and social setting, intercultural learning, and making friends with people from diverse cultural background. In particular, he demonstrated high expectation of learning informal English in an "authentic English environment" in the UK. In the interview, he explained:
"In Hong Kong, it's very difficult to use English in a natural setting. Usually you can only use it in an instructed environment. Therefore, I don't quite know how their daily conversations are like. I also discover that there's much vocabulary related to daily life that I don't know. I want to know if I'll be able to learn such aspects in the UK."

Besides language learning, Allen aspired to learn more about the host culture. In his preimmersion reflective essay, he wrote: "At this stage I am eager to learn more about English culture: drinking culture, socialization, and politeness". Also, he was very eager to interact with foreigners, particularly his host family: "I am looking forward to building lifelong bond with my host and creating lifelong memories with them" (Pre-immersion reflective essay).

While "yearning for" the sojourn since his first year of studies, he expressed his concerns regarding "cultural differences and even communication breakdown" (Pre-immersion reflective essay). He also questioned his ability to use English appropriately in everyday life and easily adapt to the lifestyle in the UK. In the interview, he explained:

> At the beginning, I think I'll be nervous no matter what. After all I think what I've learnt isn't adequate enough in terms of pragmatic use. I might not get the meaning when the British people are teasing at me. Instead, I might agree with them happily. I've heard that British people are quite hypocritical. Although I'm quite confident in myself, as I'm not used to using English in that context, I'm worried that I'll offend others when I'm not familiar with the local use of English and the speech acts. There may be situations that I shouldn't say something in a certain way.

His sharing indicated his awareness of his inadequate sociopragmatic competence. Similar to Jackson (2011)'s findings of a short-term L2 sojourner in the UK, at this stage, he tended to categorize people based on their national traits.

In the interview, he shared his perception of himself as an English language learner and user while in the UK:

I think the length of stay matters. After all, it's only two months long. I think I'll be like a visitor in a big museum. Most probably, I won't be able to become part of their community. I think the local people may be more tolerant of my behavior and my spoken English as they know I'm not a local resident.

Being aware of his short stay in the host environment, he described himself as a visitor in a big museum (host community) in which the environment afforded much for him to
learn yet he might not be familiar with the social practice. However, he also expressed that he wished to be identified as an "active and talkative foreigner" by the local people and actively engage in the host environment.

### 4.3 The Sojourn

In the second week and the seventh week of the sojourn, I conducted Skype interviews with Allen to ask him to reflect on his language learning and use as well as intercultural experience. In the fourth and fifth week, I visited the UK and conducted a face-to-face interview with him.

Allen stayed with a host family which consisted of a married couple and four children. While he felt warmly welcomed by the host family members, he described himself as a "parasite with no contribution in the house" ( $1{ }^{\text {st }}$ sojourn interview). He revealed that in the first week, he wasn't very close to the host family and didn't know what he could talk about with them. Besides, he revealed how his host mom adjusted her speed when talking to him. He provided an example of their conversations:

My host mom probably wasn't sure if I understood some expressions. For example, one time, she asked and confirmed the meaning of "favor" with me after saying "Can I ask you for a favor?"

Later, when he was more used to the living situation, he felt more natural to talk with his host family. He also got along quite well with them, in particular with the eldest daughter, who was 13 years old, and the youngest son, who was six years old. Oftentimes, the eldest daughter initiated conversations with Allen and the youngest son invited Allen to play with him. In line with what previous SA studies have found, host receptivity can impact novice sojourners' willingness to engage in intercultural communication in the host environment (e.g., Jackson, 2008, 2010, 2012, 2016; Kinginger, 2009, 2013). In Allen's case, interacting with the children made him felt part of the family. This also further encouraged him to further build rapport with his host family. For instance, he actively joined activities with them such as attending to one of children's musical performance. Towards the end of the sojourn, he initiated to prepare a Chinese meal for his host family to express his gratitude.

During the first three week of the sojourn, as one of the courses in the immersion program, Allen took an intercultural course with some international students in the host university. The course aimed to broaden participants' cultural horizons and enhance their intercultural competence through different activities such as discussions of critical incidents. Each week, Allen was required to complete two reflective journal entries based on his observations of English culture, followed by providing interpretations, evaluations, and queries of their descriptions. In the second week, he wrote what he observed about greetings in the bus. He also compared such practice in Hong Kong context:

Every morning I had to take bus to come to the campus. When I first rode on the bus here, I saw all passengers saying "Thank you" to the bus driver without exception. The bus drivers would usually reply with another greeting, or "cheers", some "colder" drivers would still nod and smile. To me who seldom
say＂Thank you＂to bus drivers in Hong Kong（main reason being there are doors separated in exiting），this experience was absolutely new to me．I started to follow suit；apart from avoiding being different（i．e．not to greet the driver），I started to find this subtle behavior simple but effective to express the thankfulness and to maintain politeness．This act is also realizing the core value of British as an egalitarian group．As discussed in the lesson，＂Thank you＂and ＂Please＂are the basics to＇survive＇in this place．

Not only did Allen observe the greeting practice in the bus，he also tried to follow the social norms in the host environment．Meanwhile，being a newcomer in the host community，he also raised questions of how he could properly respond to gratitude and compliments：

I found this interesting to think about，as compliments and gratitude can go in cycles that if no one attempts to shift the focus．It can possibly continue until one truly finds it odd．For the proper reply，I guess it is contrastive across languages as well：the expression＂cheers＂is a light－hearted reply，but the Cantonese expression 唔使客氣（which means＂not at all，you＇re being so humble＂）is a heavier one．As there is a difference in the way to respond to polite speeches， there might possibly a mismatch in the expectation on reception and production across culture．

A few days later，he went to a pub with some of his ELED peers．In his reflective journal， he recounted his experience and expressed his feeling of using English in this encounter：
＂It was absolutely an experiment（initiating casual talk with an acquaintance in a pub）－after knowing some underlying＇rules＇in a pub（＂invisible queue＂，casual talks），I was delighted to see how they worked in reality，and try to experience some of the rules，such as talking to strangers．To me，it was a kind of satisfaction，as I became more able to apply what I have learnt，and braver to strike up conversations with people I did not know．［．．．］Getting out of a small world and expanding the worldview are never easy－they require trial－and－error， hit－and－miss，courage，and openness．I was glad that I could be moving on a bit and keep myself safe and sound＂．

His reflective journal entries displayed his awareness of the sociopragmatic norms and his willingness to use and experiment English in the host environment．His positive attitude towards L2 use in the host environment further encouraged him to initiate conversations with acquaintances from different cultural backgrounds when he travelled alone to different cities in the UK during weekends（e．g．，tourists in youth hostels，local people in different areas in the UK such as Scotland and Wales）as the sojourn progressed．

In the middle of the sojourn，I met with Allen at the host university and had an interview with him．In the interview，he revealed his language use in classroom settings．Because of the relaxing class atmosphere and tutors＇encouragement，instead of only answering questions when called on in class，he claimed that he willingly expressed his ideas in a light－hearted way．He also recalled and compared his school visit experience in the second and third week with the one took place in the fourth week．During the first two school
visits, he felt more uptight and cautious as he was very aware of his identity of being a representative of CUHK. Later, realizing local people were not as reserved as he had thought, he gradually felt more at ease and proactively asked the teachers questions.

Towards the end of the sojourn, in the interview, when being asked how he identified himself as an L2 learner in the host environment, he replied:

I gained a stronger attachment to English. I've learnt more about the historical and cultural aspects of this language. Nevertheless, I think I'm still an English learner who needs to continuously improve my English skills.

He also identified himself as an English user in the host environment. He noticed the differences between academic English and English use in social settings:

If you apply academic English to daily conversations in the host community, local people would think you speak in a very weird way. In these days, as I need to prepare for the materials of peer teaching, which is about ellipsis, I find that it's quite awkward to use all complete sentences when speaking informally.
When being asked how he wished to be identified by the local people at this stage, in the interview, he said he wished to be identified as a "competent communicator in English." He also added:

I've been very willing to listening to the sharing of different people about their cultures. I also want to learn more about my own culture and its vocabulary so that I have more to share with foreigners.

Through interacting with people from different cultural background in the sojourn and observation, Allen became more aware of some aspects that would shape him to become a more proficient and interculturally competent speaker of English.

### 4.4 Post-Sojourn

Shortly returned to Hong Kong, Allen completed the post-sojourn questionnaire and shared his views about his sojourn in a semi-structured interview. Besides, Allen submitted a postimmersion reflective essay to the ELED department.

In the post-sojourn questionnaire, Allen again rated his English language skills using a 5 -point scale with $1=$ poor to $5=$ excellent. This time he rated his overall proficiency and all the English skills as "very good". In the post-immersion reflective essay, he shared about his views of his language gains:

I would say I could better listen to foreigners speaking, including British people and other international students. I gained more confidence in listening: unlike before I was always worrying about missing important information, but now I could catch more details, and I am not embarrassed to make clarification requests if needed (there's nothing to worry about!).

The excerpt demonstrated his enhanced confidence level of using the language. In the questionnaire, in an open-ended question asking about any changes of his language learning and attitudes after SA, he responded:

Now I am more interested in learning daily conversational English as most of the time in the past was devoted to learning academic English. I have a stronger sense that English cannot be isolated from my daily life.

After staying in the UK for two months and having opportunities to use the language in the host environment, Allen felt more attached to the language. In the post-sojourn interview, he indicated that he was more willing to initiate conversations with acquaintances when he traveled to Europe after the immersion program. Regarding the relationship between the language and his identity, he explained:

I hope to take a more active role to explore the language. I think now English language has helped me to look at things from more perspectives. People said knowing a second language was like having a second life and I concur with this saying. It opens a window for me to approach different things. Hopefully, I'll be able to actualize my future plans with the use of this tool (English language). Having had exposure of English use in everyday life in the UK, I'm also thinking of how to teach such students about such aspects in the future.
Regarding the impact of his perceptions of his L2 identities, the sojourn not only benefited his personal development, but also his career of a future teacher of English.

## 5 Discussion and Conclusions

Allen's development trajectory offers insights into individual factors (e.g., language attitudes, SA aims, agency, willingness to participate) and external elements (e.g., host receptivity, classroom atmosphere) that can impact the language and culture learning experience in short-term study abroad (Benson et al., 2012, 2013; Jackson, 2008, 2010, 2016).

With regard to his attitudes towards English language, before the sojourn, Allen indicated his interest in learning about the cultural and historical aspects of the language. Also, he desired to enhance his L2 proficiency because of his future career as an English teacher. His comments suggest that, as argued by Gregersen and MacIntyre (2014), L2 learners can simultaneously have both integrative and instrumental reasons for language learning. Allen also indicated that taking part in the immersion program in the UK would be very important and valuable to his language learning, in particular, language use in everyday life. The finding was similar to previous SA studies on L2 sojourners (e.g., Benson et al., 2013; Jackson, 2008, 2010; Kinginger, 2008, Lee, 2009). During the sojourn, as he learnt more about the historical and cultural elements of the language, he became even more interested in learning the language and reading literature.
The oral and written reflective narratives of Allen provide evidence of his L2 identity expansion and enhanced sociopragmatic awareness during his stay in the UK (Jackson, 2008). From the onset, compared to his ELED peers, Allen appeared to be more aware of
the pragmatic use of the language. Determined to gain L2 learning experience while abroad, he was willing to apply what he had learnt in the intercultural course and interact with locals and international students in the host environment. These developments may also be attributed to his positive mindset and reflection on his observation and experience. Besides, external factors such as relaxing class atmosphere and host receptivity also encouraged Allen to reach out and initiate conversations with people from different cultural background.

Further, aspects of linguistic self-concept that emerge from his narratives include evolving perceptions of their L2 proficiency and L2 use, their emotions when using a L2, and their self-perception of being a L2 learner and user (Benson et al., 2013). Allen's narratives show that L2 identities are multiple, they involve dimensions of positioning by others as well as self-positioning (Block, 2007). Before the sojourn, comparing to his ELED peers, he appeared to be more confident to use the language to interact with international students on campus. However, Allen revealed that his L2 use was very limited and much of his L2 learning was related to academic English. He felt ambivalent towards his positioning as a L2 learner and user in the host environment. Although he wished to be identified as an active and talkative foreigner by locals, he was worried his limited knowledge of the pragmatic language use in would hinder his engagement in the host community. As the sojourn progressed, his L2 anxiety was reduced. He gained more selfconfidence in using English in the host environment. He also displayed an active role in language learning and use in different contexts in the UK. The welcoming host community and relaxing class atmosphere also prompted him to use the language. Towards to end of the sojourn, he felt more attached to the language and identified himself as a user of the language. Furthermore, after the sojourn, Allen appeared to be able to negotiate the imagined identities he wished to project as an English teacher in the future. The identity expansion was also noted in Benson et al. (2013)'s study.

While oral and written narratives like Allen's can capture his learning experience and display the multiple factors that can impact sojourn learning and his L2 identity expansion, these self-reported data may not be wholly accurate and the participant might be selective about what he disclosed. With this in mind, this study sought data from multiple sources to facilitate data triangulation and enhance the validity of the findings (Ochs \& Capps, 1996; Pavlenko, 2007). Moreover, periodical interviews and informal onsite visit also helped to make sense of his sojourn experiences.

## 6 Implications for Pre-departure Preparation and Sojourn Support

This phase of the study reported here has implications for the pre-departure preparation and sojourn support of students who participate in short-term SA programs. In predeparture orientations, instructors can first let students articulate their worries and concerns. Students who had very limited exposure to the language in the social contexts and no or only a few intercultural friendships were particularly uneasy about using the language in informal situations. Drawing on their comments, instructors can then raise awareness of language and culture learning issues that could be used to enhance the students' L2 learning and engagement in the host environment. For participants to make the most of their sojourn, it is crucial to encourage them to set clear and attainable language
and culture learning related goals for SA (e.g., enhancing L2 proficiency). Similar to the advice offered by Jackson (2008, 2010), returnees who were successful and motivated language learners can be invited to share their language and culture learning and SA experiences to inspire SA students in pre-departure sessions.

While abroad, sojourners could be provided with prompts and be asked to write reflective journals. This could deepen their language and intercultural learning and help them to make sense of their experiences abroad. They could also be encouraged to revisit their journal entries and share them with their peers to stimulate further learning (Jackson, 2008). Educators can draw on pre-sojourn research findings to design workshops that can optimize international education experiences.

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# The Effect of Input on the Learners' Intake and Output in Different Communication Tasks as Interpreted through Structural Equation Modelling (SEM) 

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#### Abstract

The paper presents the findings of a pilot study on how much a learner takes in, i.e. the 'intake', the given information, i.e. the 'input' of 5 communication tasks, and eventually produce the required written texts, or verbally perform, i.e. the 'output', for communication fulfillment. For an explanatory description of such process, the study adopts the statistical procedure of Structural Equation Modeling (SEM), to show how 'input', 'intake' and 'output' correlate to each other. By the application of SEM analysis, the correlations among each set of parameters in intake and output have been shown, and the overall model to analyze the complexity of communicative tasks has been proposed and confirmed by observed data. Task complexity is by nature, a qualitative notion, which carries its implication more in practice than in theory. The study has made an attempt to quantify its practice sense by means of a statistical model.


Keywords: communication task input-intake-output structural equation modeling

## 1. Academic Basis

The study involves two issues in academic inquiry: (1) the notion of 'communication task', (2) the performance process in terms of 'input-intake-output'.

### 1.1 The Notion of Communicative Task

A task can be viewed as a structural activity or work plan for attaining specific objective in various forms of outcome. (Crookes, 1986; Bygate, Skehan, and Swain: 2001) In thinking of human communication, we take the definition of communication task, an activity that calls for meaning-focused language use to attend certain communicative function(s) for fulfillment of an intended goal in world-situated practice. (Ellis, 2003:1-10) The activity is by no means a static product, but a dynamic social interactive process with multi-facet factors as follows:
(1) It is a distinctive work plan in terms of objective, genre, content, participant, linguistic code, channel, function/fulfillment,
(2) it primarily focuses on meaning which goes with related forms/format in presentation,
(3) it involves real-world processes of language use,
(4) it may involve any of the four language skills,
(5) it engages cognitive processes as needed in fulfilling the target of the task,
(6) it should has a clearly defined objective(s) / communicative outcome.
(Ellis, 2003: 9-10)
In brief, a communicative task includes at least 6 features, namely, (1) work plan, (2) form / genre, (3) real-world processes of language use, (4) language skills, (5) cognitive processes, and the intended (6) communicative outcome. Each of these features shows reciprocally among them, its effect on and requirement to the performance throughout the process of 'input-intake-output'.

### 1.2 The Input-Intake-Output Process

1.2.1 The input. Before taking any real act to communicate, in most cases, there is a communicative need with some kinds of resource, mental or materials, verbal or non-verbal, to be referred to as a directive force for real action. Such 'given information' is the concept of 'input', in a broad sense. As communication tasks are in vast varieties, any observation on the impact of 'input' on communication process, which is the theme of this paper, would inevitably encounter the question of what makes an input more easy/difficult than that of the other, i.e. the issue of input complexity. Ellis (2003: 222-4) in discussing the matching between degree of task complexity and learners' levels of development, suggests that the complexity of 'input' may refer to the factors of
(1) 'input medium', with regard to the presentation of information in spoken, written, or pictorial form;
(2) 'code complexity', i.e. its lexical density and syntactical complexity;
(3) 'cognitive complexity', which involves the dimensions of (a) information type in terms of static and dynamic, and (b) the amount of information to be processed, and (c) the degree of structure of the input (Skehan, 2001);
(4) 'context dependency', referring to the contextual support to the task;
(5) 'familiarity of information', i.e. the relationship between the theme of the task and the individual learner's world knowledge.
1.2.2 The Intake. It is a simple fact that a given information or instruction of a communication task to a learner/student for action, does not necessarily qualify it for the status of 'input', for the reason that input is what goes in, rather than what is available for going in. In this sense, it is the learner/student who really controls this input, which is, more properly, his/her 'intake', which is concerned with the dynamic process of interaction between the learner/student and the data provided, i.e. the implied 'input' as described above. Two main factors are involved:
(i) Textual/verbal understanding of an input, i.e. 'linguistic intake', which relates directly to the language of the given information;
(ii) Intuitive interpretation of the given data, which is called the 'intuitive intake', which refers to the learner's/student's retrieval of his/her own knowledge of intuitive judgement on the matter in question (Corder, 1981:58-9).
1.2.3 The Output. For the notion of 'output', the study focuses on 'product outcome' which can be evaluated in terms of linguistic presentation, which includes the levels of
vocabulary, sentence structure, verbal/textual presentation; the fulfillment of communication, which can be evaluated in terms of completeness, appropriateness, and function (Gumperz, 1986: 14-23; Hymes, 1986: 35-71).
(i) For the levels of vocabulary and sentence, and textual presentation, the criteria of judgement are as follows:
(ia) Native speaker's intuitions about the language: that the grammar is 'right' means it accords with the native speaker's intuitions about his/her language in production;
(ib) Explicit: it should be explicit, i.e. it must not leave anything (too much information) unstated for the reader/interlocutor to fill in from his/her own knowledge; (ic) Creative: this means most of the sentences produced and heard are 'new' in the sense that it is a frequently repeated pattern of previous productions.
(ii) For the fulfillment of communication, the criteria of judgement are:
(iia) 'Completeness', which refers to the organization of ideas as presented among units of paragraph/sections of a text, or the thread of getting started and keeping going in a conversation. The judgement of whether being well structured or not, may refers to the functions of paragraph development in the notions of "introducer", "developer", "transition", and "terminator" (Imhoof, M. \& Hudson, H., 1980); and it may depend on the flow of "topic along the thread of issue", "turn taking with referring and moving" and "termination with points" in the acts of requesting, informing, advising, agreeing, apologizing, promising and so on (Wardhaugh, R., 1989).
(iib) The notion of appropriateness has been discussed within the concept of language attitude which covers a wide range of factors in social communication such as (a) general attitudes towards language and language skills, (b) stereotyped impressions towards language, the speakers, and the functions, (c) language choice and usage, and language learning. The notion, as such, shares these sociolinguistic characteristics towards, in particular, the appropriate use of codes in a speech community where embeds a high correlation between, language usage, language functions and the relative social status of their speakers (Saville-Troike, 1989:181-219). The notion can be observed from the aspects of:
referential appropriateness: knowing the referential relations of lexical item and sentential expression, i.e. the semantic choice of words and expressions in accordance with the cultural context at hand;
social appropriateness: observing the choice of language that matches the social roles and status of the participants in a given interaction;
stylistic appropriateness: following (b), where the focus is on the relative status of the participants, such as, business man, in contrast to a fisher man, the selection of suitable lexical items;
textual appropriateness: involving the selection of utterance in relation to the linguistic environments in dialogue of discourse, or in written communication (Corder, 1982:82-106).
(iic) There are 6 language functions identified for human communication by Jakobson (1960, pp. 353-7), namely, 'referential function' that refers to the linguistic uses of
information; 'emotive function', that focuses on the speaker's attitude towards what he/she is speaking/writing; 'conative function' which relates to the grammatical expression in the vocative and imperative language uses; 'phatic function' which goes along with the purport of prolonging communication; 'metalingual function' that attends whether the addresser and/or the addressee are using the same code in interaction; and 'poetic function' which focuses on the effectiveness of the language used in the message for its own sake.

From the above discussion, a hierarchy of parameters concerning the notions of input-intake-output is built:

Table 1. Hierarchy of parameters among 'input', 'intake', and 'output'

| Higher order variable | Parameter |
| :--- | :--- |
| Input | input medium <br> code complexity <br> cognitive complexity <br> context dependency <br> familiarity of information |
|  | linguistic data <br> intuitional data |
| Intake | completeness <br> appropriateness <br> function |
| Output |  |

## 2. Methodology

The methodology includes (1) statistical description of task complexity in the structure of SEM; (2) collection of data of communicative task.

### 2.1 SEM Analysis

The study adopts the statistical theory and method of "Structural Equation Modelling" (SEM) (Duncan, Duncan, Strycker, Li, and Alpert, 1999) for observation. SEM is a powerful statistical model for multivariate analysis, and is widely used by researchers to examine authentic phenomena that involve multiple variables with complex patterns of interaction.

And a local matrix of correlations among parameters in the notions 'input', 'intake' and 'output' can be achieved through SEM. By such operation, the correlations among each set of parameters in the notions of 'input', 'intake' and 'output' respectively can also be shown, and as the relations developed, an overall model about the interaction pattern between the process of 'input', 'intake', and 'output' will can be obtained.

### 2.2 Collection of Data

As a pilot project, this study will confine itself to two spoken and written communicative tasks used for continuous assessments of the university-wide compulsory Chinese subject
'Fundamentals of Chinese Communication' of the Hong Kong Polytechnic University (PolyU). The tasks are:

1. Group discussion (spoken)
2. Post-meeting notice (written)

142 students from 8 classes have taken part in the project. The students were selected from major faculties of PolyU including, the Faculty of Health and Social Sciences, the Faculty of Business, the School of Hotel and Tourism Management, the Faculty of Construction and Environment as well as the Faculty of Engineering, forming a sample with balanced composition of students of different disciplines.

## 3. Findings and Discussion

### 3.1 Post-Meeting Notice (Written Task)

3.1.1 The Input. Before conducting this task, students were given newspaper reports and video clips on a disputed case of property owners and the developer. Further information was given on the developer's proposals of settlement. Students were required to play the role of property owners and have an emergency meeting (i.e. group discussion) regarding how to respond to the offer. Afterward, students were asked to write individually a postmeeting notice to all owners of the concerned property, including the absentees, to notify them about the consensus made in the meeting as well as further actions (if any) to be taken.

By applying the framework mentioned in 1.2.1, the complexity of the input concerned is analyzed as follows:
(1) 'input medium': With regard to the presentation of information, the input included multimedia sources, therefore the input medium is regarded complex;
(2) 'code complexity': In terms of lexical density and syntactical complexity, the input is deemed with general degree of complexity, as most of the input was taken from news reports aiming at the general public;
(3) 'cognitive complexity': Having considered the dimensions of (a) information type in terms of static and dynamic, and (b) the amount of information to be processed, and (c) the degree of structure of the input, the input of this task is treated complex since the information is dynamic, with a large amount and with multifaceted input structure;
(4) 'context dependency': In regard to the contextual support to the task, it is considered to be highly context dependent;
(5) 'familiarity of information', i.e. the relationship between the theme of the task and the individual learner's world knowledge: the input is deemed unfamiliar to the learner as most of the students do not have experience of real property purchase.
3.1.2 The Intake. To understand learners' intake, i.e. the dynamic process of interaction between the learner/student and the input, a questionnaire was distributed to students and they were required to fill it out after reading or watching the input and before writing up the post-meeting notice.

The questionnaire is composed of six questions with different statements. Students have to express to what extent they agree with the statements in Likert-based scales. Following the framework proposed in 1.2.2, they are supposed to be grouped into two main factors:
(i) 'Intuitive intake', which refers to the learner's/student's retrieval of his/her own knowledge of intuitive judgement:

- Q1: On students' judgement on the goal of the concerned communicative task;
- Q4: On students' judgement on the functions of the concerned communicative task;
- Q5: On students' judgement on the complexity of the input.
(ii) 'Linguistic intake', which relates directly to the language of the given information:
- Q2: On students' understanding of how to prepare and compose a post-meeting notice;
- Q3: On students' understanding of the detailed content to be included in the notice;
- Q6: On students' understanding of the focus points of the notice.

To examine the suitability of the application of the theoretical framework to the questionnaire data, a confirmatory factor analysis (CFA) has been conducted under the SEM technique by LISREL. And the results are as follows:

Table 2. LISREL Estimates (Maximum Likelihood, number of iterations $=12, \mathrm{~N}=140$ )

|  | Intuitive intake | Linguistic intake |
| :---: | :---: | :---: |
| Q1 | 0.904 | -- |
|  | $(0.066)$ |  |
| Q4 | 13.793 | -- |
|  | 0.799 |  |
|  | $(0.070)$ | -- |
| Q5 | 11.414 |  |
|  | 0.764 | 0.922 |
|  | $(0.071)$ | $(0.064)$ |
| Q2 | -- | 14.292 |
| Q3 |  | 0.901 |
|  | -- | $(0.066)$ |
|  |  | 13.759 |
| Q6 | -- | 0.836 |
|  |  | $(0.069)$ |
|  |  | 12.174 |

In Table 2, there are two latent variables, namely 'intuitive intake' and 'linguistic intake'. Each of them is measured with three observed variables (i.e. items in the questionnaire). The regression coefficients reveal that each observed variable has a considerable correlation with the latent variable it is supposed to belong to, and the figures are all significant $(\mathrm{t}>2$ ). The result supports our theoretical framework on the intake.

Table 3. Goodness-of-Fit Statistics ( $\mathrm{N}=140$ )

| Degrees of Freedom for (C1)-(C2) | 8 |
| :--- | :--- |
| Maximum Likelihood Ratio Chi-Square (C1) | $95.980(\mathrm{P}=0.0000)$ |
| Root Mean Square Error of Approximation (RMSEA) | 0.280 |
| Non-Normed Fit Index (NNFI) | 0.819 |
| Comparative Fit Index (CFI) | 0.903 |

Table 3 provides an overview of fit indices for different factor solutions within CFA. A majority of the fit indices including $\chi^{2}$, NNFI and CFI shows support to the proposed theoretical framework on intake analysis. The result suggests that the hypothesized model fits the observed data by and large.
3.1.3 The Output. The output refers to the product outcome made by the learners. Each piece of students' work was marked by two experienced language teachers according to framework mentioned in $1.2 .3^{1}$. The two sets of scores were merged into one set for statistical analysis.

To examine the suitability of the application of the theoretical framework to the observed data, a CFA operation has been conducted under the SEM technique by LISREL. And the results are as follows:

Table 4. LISREL Estimates (Maximum Likelihood, number of iterations $=22, \mathrm{~N}=140$ )

|  | Grammatical judgement | Completeness | Appropriateness | Function |
| :---: | :---: | :---: | :---: | :---: |
| Rules | $\begin{gathered} \hline 0.762 \\ (0.077) \\ 9.914 \\ \hline \end{gathered}$ | -- | -- | -- |
| Message | $\begin{gathered} \hline 0.696 \\ (0.079) \\ 8.796 \\ \hline \end{gathered}$ | -- | -- | -- |
| Creativity | $\begin{gathered} \hline 0.718 \\ (0.078) \\ 9.160 \\ \hline \end{gathered}$ | -- | -- | -- |
| Cohesion | -- | $\begin{gathered} \hline 0.745 \\ (0.075) \\ 9.957 \\ \hline \end{gathered}$ | -- | -- |
| Coherence | -- | $\begin{gathered} \hline 0.739 \\ (0.075) \\ 9.860 \\ \hline \end{gathered}$ | -- | -- |
| Stand-alone | -- | $\begin{gathered} 0.752 \\ (0.075) \\ 10.092 \end{gathered}$ | -- | -- |
| Social | -- | -- | 0.666 <br> (0.079) <br> 8.463 | -- |

${ }^{1}$ The variables 'referential' and 'stylistic' under the category 'appropriateness' as well as 'poetic' and 'metalingual' under the category 'function' are deemed irrelevant to the present task and thus excluded in the analysis of this section.

| Textual | -- | -- | $\begin{gathered} \hline 0.840 \\ (0.075) \\ 11.189 \end{gathered}$ | -- |
| :---: | :---: | :---: | :---: | :---: |
| Referential | -- |  | -- | $\begin{gathered} \hline 0.742 \\ (0.076) \\ 9.735 \\ \hline \end{gathered}$ |
| Emotive | -- | -- | -- | $\begin{gathered} \hline 0.736 \\ (0.076) \\ 14.292 \\ \hline \end{gathered}$ |
| Conative | -- | -- | -- | $\begin{gathered} \hline 0.397 \\ (0.085) \\ 4.689 \\ \hline \end{gathered}$ |
| Phatic | -- | -- | -- |  |

In Table 4, there are four latent variables, namely 'grammatical judgement', 'completeness', 'appropriateness' and 'function'. Each of them is measured with several observed variables (i.e. items for scoring). The regression coefficients reveal that most observed variable has a considerable correlation with the latent variables they supposed to belong to, while the figures of 'conative' and 'phatic' are relative low, despite the fact that they are still significant ( $\mathrm{t}>2$ ). The result partially supports our theoretical framework on the output.

Table 5. Goodness-of-Fit Statistics ( $\mathrm{N}=140$ )

| Degrees of Freedom for $(\mathrm{C} 1)-(\mathrm{C} 2)$ | 48 |
| :--- | :--- |
| Maximum Likelihood Ratio Chi-Square (C1) | $129.122(\mathrm{P}=0.0000)$ |
| Root Mean Square Error of Approximation (RMSEA) | 0.110 |
| Non-Normed Fit Index (NNFI) | 0.863 |
| Comparative Fit Index (CFI) | 0.901 |

Table 5 provides an overview of fit indices for different factor solutions within CFA. Fit indices including RMSEA and NNFI indicates that there are to certain extent discrepancy between the hypothesized model and the observed data, calling for modifications of the former.

Table 6 below demonstrates a modified model for analysis. In this model, the latent variable 'function' is split into two, namely 'function(1)' and 'function(2)', each of them is measured with two observed variables ('referential' and 'emotive' for 'function(1) and 'conative' and 'phatic' for 'function(2)'). The regression coefficients reveal that each observed variable has a considerable correlation with the latent variable it is supposed to belong to, and the figures are all significant ( $\mathrm{t}>2$ ). The result supports the modified theoretical framework on the output.

Table 6. LISREL Estimates (Maximum Likelihood, number of iterations $=22, \mathrm{~N}=140$ )

|  | Grammatical judgement | Completeness | Appropriateness | Function(1) | Function(2) |
| :---: | :---: | :---: | :---: | :---: | :---: |
| Rules | $\begin{gathered} \hline 0.769 \\ (0.077) \\ 10.032 \end{gathered}$ | -- | -- | -- | -- |
| Message | $\begin{gathered} \hline 0.694 \\ (0.079) \\ 8.775 \end{gathered}$ | -- | -- | -- | -- |
| Creativity | $\begin{gathered} \hline 0.714 \\ (0.078) \\ 9.102 \\ \hline \end{gathered}$ | -- | -- | -- | -- |
| Cohesion | -- | $\begin{gathered} \hline 0.744 \\ (0.075) \\ 9.933 \end{gathered}$ | -- | -- | -- |
| Coherence | -- | $\begin{gathered} \hline 0.740 \\ (0.075) \\ 9.870 \\ \hline \end{gathered}$ | -- | -- | -- |
| Stand-alone | -- | $\begin{gathered} \hline 0.753 \\ (0.075) \\ 10.102 \\ \hline \end{gathered}$ | -- | -- | -- |
| Social | -- | -- | 0.658 (0.079) 8.345 | -- | -- |
| Textual | -- | -- | $\begin{gathered} \hline 0.851 \\ (0.075) \\ 11.379 \\ \hline \end{gathered}$ | -- | -- |
| Referential | -- | -- | -- | $\begin{gathered} \hline 0.746 \\ (0.077) \\ 9.642 \end{gathered}$ | -- |
| Emotive | -- | -- | -- | $\begin{gathered} \hline 0.751 \\ (0.077) \\ 9.718 \\ \hline \end{gathered}$ | -- |
| Conative | -- | -- | -- | -- | $\begin{gathered} 0.677 \\ (0.099) \\ 6.847 \end{gathered}$ |
| Phatic | -- | -- | -- | -- | $\begin{gathered} 0.798 \\ (0.104) \\ 7.683 \end{gathered}$ |

Table 7. Goodness-of-Fit Statistics ( $\mathrm{N}=140$ )

| Degrees of Freedom for (C1)-(C2) | 44 |
| :--- | :--- |
| Maximum Likelihood Ratio Chi-Square (C1) | $94.398(\mathrm{P}=0.0000)$ |
| Root Mean Square Error of Approximation (RMSEA) | 0.905 |
| Non-Normed Fit Index (NNFI) | 0.907 |
| Comparative Fit Index (CFI) | 0.938 |

Table 7 provides an overview of fit indices for different factor solutions within CFA. All the fit indices show support to the proposed modified theoretical framework on intake analysis. The result suggests that the new hypothesized model fits the observed data.

After further study into the four variables related to the 'function' category, it is found that 'referential' focuses on the message to be conveyed, 'emotive' on the addresser, 'conative' on the addressee, and 'phatic' on the addresser-addressee relationship. In other words, 'conative' and 'phatic', now being grouped under 'function(2)', are addresseerelated and, on the contrary, 'function(1)' is non-addressee related.

## 4. Conclusion

By the application of SEM analysis, the correlations among each set of parameters in intake and output have been shown, and the overall model to analyze the complexity of communicative tasks has been proposed and confirmed by observed data. Task complexity is by nature, a qualitative notion, which carries its implication more in practice than in theory. The study has made an attempt to quantify its practice sense by means of a statistical model.

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# The Gap between Intentions and Actual Practices of Integrating Language Arts (LA) Electives in the New Senior Secondary (NSS) English Language Curriculum in Hong Kong 

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#### Abstract

Language Arts (LA) is a curriculum innovation in the New Senior Secondary (NSS) English Language Curriculum in Hong Kong, which aims to expose students to the imaginative appeal of literary texts. While previous LA research in Hong Kong has examined teachers' perceptions and the challenges in conducting LA assessment, research examining the gap between intentions and teachers' practices of LA integration remains limited. This paper examines two teachers' practices of LA integration. The teachers were observed for one academic year teaching a range of LA texts in the new curriculum and subsequently interviewed to examine the rationales for their pedagogical practices. The analysis showed considerable difference between the intentions of the innovation and the practices observed. In articulating the bases of their pedagogical practices, the teachers explained how their practices of LA integration were affected by students' reactions and the exams. Their pedagogical practices thus represented their most important consideration in integrating LA in light of different constraints-exams. Overall, this paper demonstrates how the emphasis on students' mastery of different linguistic forms affect teachers' pedagogical practices in face of curriculum innovation.


Keywords: Language Arts, Teacher cognition, pedagogical practices, curriculum innovation

## 1 Introduction

Several studies in education have underscored how the manner in which curriculum innovations are implemented does not always reflect the ideas of the reform (Yan, 2012; Yan \& He, 2012; Oraft \& Borg, 2009; Zheng \& Borg, 2014). This paper examines the relationship between the intended curriculum and what happens in the classroom regarding integrating Language Arts (LA) electives in the New Senior Secondary (NSS) English Language Curriculum in Hong Kong. LA was introduced as elective modules in the NSS English Language Curriculum, with the content of poems and songs, short stories, drama, and popular culture (CDC\& HKEAA, 2007). It represented an attempt to expose students to the creative and imaginative appeal of language through the medium of literary texts with the purpose of "language enrichment", "cultural enrichment" and "personal enrichment"
(CDC \& HKEAA, 2007, p.87). This is different from the explicit teaching of grammar knowledge and formal language skills in the traditional curriculum. Integrating LA therefore required teachers to shift their thinking and practices. However, the process involved in implementing curriculum innovation, as discussed below, were influenced by various personal and contextual factors. Additionally, previous LA research in Hong Kong has not explored the gap between intentions and actual practices of LA integration and thus research on the impact of reforms on teachers' practice remains scant. This paper attempts to bridge this gap.

## 2 Teacher Role in Curriculum Innovation

Curriculum innovation in Asian settings have been characterized by the importance of teachers' willingness to implement the ideas promoted in the reform (Qi, 2005, 2007; Carless, 2007; Deng \& Carless, 2010; Watanabe, 1996, 2004). The cognitive base of teachers' reactions to curriculum innovation and its effects on teaching practice are of particular interests. It is argued that successful education reforms need to be accommodated within teachers' own framework (Breen et al, 2011), take teachers' mental process into consideration (Birello, 2012), and enhance teachers' awareness of their own cognition and practices (Orafi \& Borg, 2009; Lamb, 1995; Wyatt \& Borg, 2011). Teacher cognition is defined as "the store of beliefs, knowledge, assumptions, theories and attitudes" that teachers have about their work (Borg, 1999, p.19) and is believed to have a powerful influence on their classroom practice (Borg, 2003). This paper aims to explore the relationship between the intentions of LA integration and teachers' practice through looking at teacher cognition in the process of integrating LA.

## 3 Research Methodology

Due to the concern for exploring the relationship between the intention of LA integration and teacher practice in depth, the data of was collected mainly through qualitative classroom observations and interviews.

### 3.1 Participants

The findings reported below are based on case studies with two secondary school English teachers (named Teacher B and Teacher J) working in different schools in Hong Kong. Case studies capture the participants' viewpoint and "have a high degree of completeness, depth of analysis and readability" (Duff, 2008, p.43), and are well suited to attaining an understanding of the relationship between intentions and teachers' actual practices in the process of integrating LA. These two teachers were selected purposefully (Patton, 2002) with the key criterion of possessing different academic qualifications and years of teaching experience to provide information-rich samples that offer useful manifestations of the phenomenon of interest in the case study. Table 1 summarizes the background of the two teachers:

Table 1. Teachers' background

| Teachers | Academic qualification | Teaching experience |
| :--- | :--- | :--- |
| Teacher B | BA in English Language and Literature <br> MPhil in English (Literary Studies) <br> PGDE | 8 years in a band 1 EMI school which <br> operates in the DSS mode |
| Teacher J | BA \& BEd | 2 years in Band 3 school, 1 year in Band <br> 2 school |

Choosing these two teachers of contrastive characteristics aligns with Yin's (2009) logic of theoretical replication in case studies, i.e. selecting cases that predict contrasting result for anticipatable reasons. Teacher B's and Teacher E's pedagogical approaches are predicted to be different based on Tsui's (2003) conception of teachers' expertise as teachers with different years of teaching experience, teaching context and academic training would handle subject matters differently. Therefore, insights can be gained through comparing and contrasting these two teachers' views and practices of integrating LA.

### 3.2 Data Collection and Analysis

The two teachers initially participated in an exploratory open-ended interview (lasting about 30-45 minutes and audio recorded) which aimed at eliciting their perceptions towards the integration of LA. This was followed by 10 lesson observations with each teacher lasting for nearly a whole academic year. Each lesson lasted for around 40 minutes and were videorecorded. Post-lesson interviews were conducted after each lesson to explore the aims of their lessons, problems encountered and the underlying reasons of different pedagogical decisions in the lessons.
The data analysis of the case studies was done through "a search for pattern and consistency within certain conditions" (Stake, 1995, p.78). The current study adopts some of the suggestions proposed by Yin (2003) in analyzing the data in case studies: relying on theoretical propositions (which means trying to analyze the data from the angles of the research question and the literature review), developing case descriptions (i.e. identifying the casual links between data, the link between the data in the interview, observations and teaching materials will be analyzed), and cross-case synthesis.

## 4 Results and Discussion

As stated earlier, three fundamental reasons underlying the integration of LA in the NSS English Language Curriculum are LA for "cultural enrichment", "personal enrichment", and "language enrichment" (CDC \&HKEAA, 2007, p.87). The use of LA for these purposes in the teachers' classroom is therefore a key indicator of the extent to which the integration of LA is being implemented as intended. The data reveals that teachers' practices of LA integration were affected by their personal views and knowledge, students' reactions and the influence of exam-oriented education system.

### 4.1 Practices of LA Integration Reflect Personal Views and Knowledge

Both teachers' lessons reflect their personal view of LA. Teacher B expressed in the openended interview that she viewed language and LA as interconnected. This view is reflected in her teaching practices of LA when she tried to enhance students' exposure to language in teaching the class reader as seen in Episode 1 (an extract from Lesson 2):

| T | He has little hair on his head. One more adjective... |
| :--- | :--- |
| Ss | Copper brown skin. |
| T | Copper brown skin, and then whispy and white...wispy and white describe <br> his ...? |
| Ss | his chin. |
| T | No, not his chin, but something on his chin. What is it? It talks about the <br> beard on his chin. The beard is hair on his chin. Wispy and white...and one <br> more...how old...what is the age of the character? |
| Ss | Very old. |
| T | OK, underline certain things. How did he look? Write down some notes on <br> the book as well. He is short, he got a knife in his belt. Copra brown <br> skin...These are character descriptions. You should learn all these skills in <br> your writing. You can't simply say someone is short, old, copra brown skin. <br> You should say something like he is not taller than me, he is as old as a man <br> I have ever seen. You should learn the descriptions. Where should you <br> underline? P. 69, underline Line 1-6. P. 70...what Christy said is correct...he <br> got little hair...P. 70 Line 1 to 2...Now it is time to learn some words. P. 69, <br> which word means tight trousers? |
| Ss | Breeches l |

T= Teacher, Ss= Students
Episode 1: Teacher B going over the description of characters with students
Teacher B elicited the description of characters when going over the class reader with students in Episode 1. The elicitation process can help students "find the word within the language context" (Post-lesson interview, Lesson 2). This reflects her belief on the use of reader in enhancing students' language proficiency:
"The reader exposed students to the native language since it is written by native speakers with native fluency. This is good exposure to students". (Post-lesson interview, Lesson 2)

Her comment on the benefit of exposing students to native language through class reader shows that she can recognize the function of "LA for language enrichment" (CDC \& HKEAA, 2007, p.87) as suggested by the curriculum guide. She expressed her hope that
students can improve their writing skills through the learning the descriptions of characters in that novel chapter:
"I asked students to underline the description of characters and setting because they will usually write in a superficial way. For example, oh today's weather is very beautiful. The sun is shiny. The cloud is white in colour, things like that. Their descriptions are really childish and when describing characters, they got two big eyes, big nose, big mouth, big face, etc. These are so called descriptions. That's why they need to learn the descriptions in order to imitate similar styles in their writing." (Post-lesson interview, Lesson 2)

Teacher B's rationale of asking students to underline the descriptions in the reader reflects her view on the usefulness of literary texts in improving students' writing. She hoped students can improve their ways of writing description through being exposed to different ways of description in the reader.
Teacher J's lessons also reflect her emphasis on training students' linguistic accuracy expressed in the open-ended interview. This is also emphasized in her practice of reading aloud in the double period observed:
"This (the double period) is supposed to be a speaking lesson. There are some difficult words in the poems and I want to make sure everyone is reading aloud the poem before I move on to the next stage" (Post-lesson interview, Lessons 1 and 2)

This comment suggests that Teacher J wants to emphasize the accuracy of students' pronunciation through the reading aloud process. While the process of reading aloud enhances students' accuracy in pronunciation, other kinds of drillings were also seen in the double period. In the end of the double period (Lessons 1 and 2), Teacher J asked students to discuss their response based on the scenarios created in the worksheet and controlled their response by asking students to use the third conditional sentence, "If I were the student, I would..." Teacher J thinks "this kind of drilling can be somehow beneficial in a sense that these sentence patterns are target language". The practices of LA integration through reading aloud and sentence construction did not explore the meaning behind the poem and did not emphasize the cultivation of students' communicative competence and creative skills. These moves were consistent with her remarks in the open-ended interviews, showing a preference for teaching the four language skills and giving language support to students and asking them to read aloud.
The data suggests that teachers' practices of LA integration were closely related to their personal views of language and literature. Teacher B's views on the interconnection between language and LA was seen in her practice of highlighting language features when going over the literary texts with students while Teacher J's emphasis on linguistic accuracy was evident in the reading aloud and various kinds of drillings in the lessons.

### 5.2 Practices of LA Integration Being Affected by Students' Reactions

Both teachers' practices of LA integration showed evidence of being affected by students' reactions. Teacher B's lessons were frequently affected by students' discipline problems,
which influenced her pace of LA integration. One example of the discipline problems in LA lessons can be seen in Episode 2 from Lesson 2:

| T | breeches...correct...breeches. If someone says foul language, someone <br> needs to go to detention immediately. No excuse. Be careful of your <br> pronunciations. Write on the notebook. Can you see the words clearly? <br> breeches. OK? These are tight trousers, is everyone writing it on the <br> notebook? Give me another word which means very small...adjective |
| :--- | :--- |
| Ss | Tiny. |
| T | Learn more words and write it on your notebook. The one in Line 1. <br> Diminuitive, it means small. I can't see people writing notes, make sure you <br> write it and learn all these words. Kathy, you don't have your notebook <br> with you. Michael, no notebook. Adela you have a notebook? Write it on |
| your notebook, these are the ones you need to learn. Johnn, you got no <br> notebook, make sure you write it on your notebook. Where's your |  |
| $\underline{\text { notebook? }}$ |  |

Episode 2: Teacher B's spending time handling the discipline problems

Episode 2 demonstrates how students' discipline problems affected the flow of the LA lessons. The highlighted parts in Episode 2 showed that Teacher B needed to stop when students were not on task. In Lesson 2, Teacher B spent around 15 minutes out of a 47-minute-lesson (i.e. one third of the lesson time) to handle students' discipline problems like asking students to keep quiet, drawing their attention to the reader, and scolding students with off-task behavior. "If the students are not naughty, I think I can go faster." (Post-lesson interview, Lesson 2). At least, the discipline problem affects the time available for LA integration given the tight schedule prevalent in Hong Kong schools. Though students' discipline problems may also emerge in other lessons (instead of being confined to LA lessons), Teacher B's comment on students' discipline problems suggests a correlation between the nature of LA activities and discipline problems:
"The discipline problem is more serious because students are allowed to talk themselves and answer the questions themselves. Compared with the previous lesson of pre-exam writing, students got more freedom." (Post-lesson interview, Lesson 2)

Teacher B's comments suggest that the open-ended nature of LA activities (i.e. students have more chance to speak and answer the questions instead of being a passive recipient of the knowledge taught by the teacher) are more likely to generate more noise which may lead
to students' off-task behavior in the lessons. Actually, the noise generated by students when they are given a more interactive role in the learning process led to teachers' hesitations in implementing process-oriented pedagogies in the case of previous curriculum innovations in Hong Kong (Carless, 2002).

While Teacher B's lessons were frequently interrupted by the emergence of discipline problems. The use of Cantonese was featured in Teacher J's lessons of LA integration. Teacher J justified the use of Cantonese in the classroom for the sake of efficiency when explaining some difficult words or concepts to her students:
"I think the use of Cantonese can actually facilitate students learning because it helps them understand certain words or even concepts in a more efficient way. I think the use of Cantonese can save a lot of time. Sometimes, I spend quite a lot of time explaining words or grammar items in English, but it seems that most of them find it difficult to comprehend the usage. At that stage, I prefer using Cantonese to save more lesson time. I think the major issue is that this group of students is not of high ability". (Post-lesson interviews, Lessons 1 and 2)

It seems that Teacher J's use of Cantonese in the lessons is out of concern for students' abilities to learn different vocabulary and concepts within a limited time. This might suggest that not enough time is given in the curriculum of Teacher J's school to cater for all the students' needs. Therefore, Cantonese is used occasionally in the instruction process to fulfill the requirement of the school curriculum. While using students' L1 (i.e. first language) may not be beneficial for students' long-term English language development, Teacher J seems to see it as a shortcut given the time constraint in the lesson to let students understand the important concepts in the lessons.
The data in this section reflected the situation that the ideals of LA integration will be mediated by students' reactions. The potential consequences of creating more noise due to the open-ended nature of LA tasks led Teacher B to integrate LA in a more product-based fashion, which deviates the principles of LA for "personal enrichment" perspective. The use of Cantonese is conceptualized by Teacher J as the shortcut to facilitate students' understanding reveals teachers' dominant concern of student abilities within the limited time given in the lessons. This may conflict with the LA for "language enrichment" perspective, which encourages teachers to enhance students' language proficiency through exposure to LA texts.

### 5.3 Practices of LA Integration Being Affected by the Exam-Oriented Education System

Both teachers' practices of LA were significantly affected by the relevance of LA to the school exams. With the need to develop students' competence in the traditional language skills tested in the school exam, product-based approach which focuses on linguistic accuracy were seen in their practices of LA integration. To make sure that students understand the content and structure needed in writing the genres in the exams, Teacher B's focus was on the structure of text as seen in Episode 3:

| T | Story. Yes. Put it in a way like a story, what do you need to write in a <br> story? |
| :--- | :--- |
| Ss | Write down the time, the place... |
| T | Write down the time, write down the place, and then... |
| Ss | What happened... |
| T | And you got interactions with your friends, right? How can you write down <br> the interactions with your friends? You talk with your friends. How can <br> you present it? |
| Ss | Chatting. |
| T | Write the dialogue between the people as if it is a story to make your reader <br> feel interested. Do you understand what I mean? Write at least 3 <br> paragraphs to describe the events. OK, how can you make it more <br> interesting? A story got something that will make people feel interested. <br> The people are interested in certain things. What is this? Start with "e"... |
| S | Equation $\cdots$ |
| T | Not equation. Why people are interested in reading a story, they are <br> interested in the... |
| S | Events. |
| T | Not events. Something happened in the end $\cdots$ |
| Ss | Ending. |
| T | Ending. Yes. Create an interesting ending at the end of the diary. Do you <br> understand what I mean? |
| S | I know what you mean |
| T | After the ending, what do you need to say? |
| S | Feelings. |
| T | Your feelings, and then? |
| S | Future plan. |
| T | Yes, you talk about your future plan. Try to create something interesting, <br> try to present in the form of a story in between but why is a diary different <br> from a story? The difference is that you need to write the future plan, is <br> there any problem? |

Episode 3: Teacher B going over different elements of story writing with students
Episode 3 shows that the incorporation of LA was done in a very product-oriented manner, reminding students different parts of a story (e.g. dialogue, setting, characters, etc) before asking students to come up with their own writing. This kind of pre-writing input seems to help students fulfill the requirement of the marking scheme set by the school. The marking scheme of this question emphasized the inclusion of specific content, grammar and logical
development of ideas by stating explicitly the quantity of words students need to write (i.e at least 120 words written) and the ideas to be included (i.e suggest at least three ways to get more satisfactory marks in the exams) to get a pass. Teacher B's practices of emphasizing specific content seem to align with importance attached to the content and quantity (not quality) of words in the marking scheme. Students' free expressions of ideas and creativity are usually neglected when these elements are not assessed in the school exam and not mentioned in the marking scheme. This suggests that teachers' practices of LA integration conflicts with the encouragement of creativity and free expression of own ideas in the "LA for personal enrichment" approach. Given that passing exams has been the de facto goal of education in Hong Kong (Carless \& Harfitt, 2013), pedagogic reforms will be difficult to implement without corresponding changes in assessment (Carless, 2013; Orpwood, 2001). The school assessment could try to include elements of creativity and imaginative thinking to encourage teachers to adopt more process-oriented pedagogies which gives more room for students to exercise their creativity and express their ideas freely in the process of learning LA. The focus on language and content in the marking scheme of Teacher B's school echoes the lack of room for exposing students to the performative aspects of language in LA texts when the assessment focuses on students' mastery of traditional language skills as pointed out in Tong (2011) and Li (2012) studies.
Similar to Teacher B, Teacher J tended to focus on students' mastery of the traditional language skills in her practices of LA integration. Although Teacher J's mentioned that the LA lessons are more interactive than the traditional grammar lessons, the drilling for exams were also seen in her practices of integrating LA as reflected in the following extract of Lesson 4:

Teacher $J$ drew students' attention to certain grammatical features when going over the answers of the reading comprehension with students. She elicited the tense that should be used in the answers and reminded students the same tense should be used in the same set of questions and answers. (Lesson 4)

Teacher J explained that the purpose of this reminder:
"The reminder of using the same tense can raise students' language awareness because usually they neglect the correct use of tenses when they do reading comprehension. The reminder serves to let them be aware of making grammatically correct answers. Students know how to locate the answers but they cannot get full marks (in the exams) because their answers are not grammatical. So, I kind of warn them to be aware of the correct use of tense". (Post-lesson interview, Lesson 4)

This reflection on the reminder of tenses shows the influence of the importance of grammatical knowledge in the exams on LA integration. Even though it is a LA lesson with exploration of different elements of a story, grammar was emphasized in going over the answers of reading comprehensions due to the need to avoid students making similar kind of mistakes in the exam. This implies that the integration of LA can be conducted in a very superficial way with students doing some traditional language exercises focusing on the accuracy of grammatical forms after reading the literary texts.

In the process of checking answers with students, Teacher J also asked students where they got the answer. She thinks knowing where to locate the answers is important for students:
"I don't want my students to simply focus on checking if they get the correct answers or not. I think knowing how to locate the answer and how to get the correct answer is important. When I explain to them how to locate the answer, some scanning or skimming skills can be developed. In the future, they will not read the exact passage. I think they need the skills rather the answers. They need to learn the skills so that they can apply the skills in the exam". (Post-lesson interview, Lesson 4)

Teacher J's rationale of locating the answers with students is to prepare them for the scanning and skimming skills needed in the reading exam. This reflects the reality that the integration of LA electives is done in a very teacher-centered way through a productoriented approach given the time constraint in the exam-oriented education system.

Overall, the teachers' practice of LA integration seemed to align with the LA for language enrichment perspective as proposed by the curriculum guide. However, limited evidence of practices reflecting LA for personal enrichment and cultural enrichment was seen. Given the emphasis on grammatical accuracy in the exam-oriented language syllabus, the observational data from this study collectively indicate that the uptake of process-oriented pedagogies for the purposes of personal enrichment and cultural enrichment were very limited while showing dominance of product-based pedagogies favouring the LA for language enrichment perspective. There was thus unbalanced attention to the three approaches of LA integration proposed by the curriculum guide. The findings also pointed to clear tensions between the intentions of LA integration and what teachers were doing.

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# The Search for Valid, Reliable and Practical Assessment of Young ESL Learners 

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#### Abstract

ESL (English as a Second Language) contexts are found in countries where young ELLs are learning English in order to participate in their education, and in a society which uses English as the dominant language. These countries include Canada, the United States, the United Kingdom, Australia, and New Zealand, which are referred to in this paper. Young English language learners (aged 5-12 years) in these contexts possess a number of characteristics which distinguish their language learning, and therefore assessment of their language abilities, from that of teen or adult learners of English. The assessment of the English language skills of these young learners has proven to be somewhat problematic for a number of reasons. This paper discusses a range of issues and factors which may need to be accounted for in the search for valid, reliable and practical ways of assessing the language skills of these learners in classroom contexts. These factors include: tensions between assessment for formative or summative purposes, between formal and informal assessment, and between assessment of social and academic language; the presence or absence of clear 'standards' or criteria against which ESL learners' language proficiency can be measured or judged, and teachers' understanding and use of assessment criteria. The paper presents findings from a study of primary mainstream teachers in New Zealand, which investigated how they were assessing their ELLs in order to screen for additional English language learning support and funding. After considering this and other examples of young ESL learner assessment practices mentioned in the literature, suggestions are made for possible directions for practice and further research.


Keywords: young English language learners; young ELLs; ESL contexts; young ELL assessment; language learning progressions

## 1 Introduction

Young English Language Learners (ELLs) may include children who are learning English in either a pre-school (also known as 'early childhood education') setting (Espinosa \& Lopez, 2007), from pre-school to early primary (also known as elementary) school (Bailey, 2008), or the whole of primary or elementary education (McKay, 2006). For the purposes of this paper, the term 'young ELL' will be used to apply to those who are aged 5-12, spanning the typical years of primary or elementary school in most countries.

Young learners around the world are acquiring English in two main contexts, known as EFL (English as a Foreign language), and ESL (English as a second language). Although there are variations within each context, EFL situations are generally defined as those where
"the learners acquire English outside an English environment" (Bailey, 2008, p. 381). In contrast, ESL learning contexts are found in countries where young children are learning English in order to participate in their education, and also in a society which uses English as the dominant language. These mainly include the traditionally native English speaking countries, such as The United Kingdom, Canada, the United States, Australia, and New Zealand, and a few others. As Gu (2015) notes, "Learning experiences in an EFL environment differ from those in an ESL or a native learning environment in many aspects, among which the most salient is the target language contact" (p.23). Nation (2013, pp. 811) summarises four key aspects of an ESL situation: learners have clear and immediate needs, motivation to learn the second language is very strong, there are out of class opportunities to observe, learn, and use the language, and cultural and integrational aspects of learning take on a special importance. All of these have implications for the learning, teaching, and assessment of ESL learners.

## 2 Background

### 2.1 Assessment of Young ELLs

A number of authors concur that the special characteristics of young learners demand a different approach to their assessment. For example, Hughes (2003) summarises characteristics of young children which may impact on any assessment: they have short attention spans, they enjoy stories and play, and respond well to pictures and colour. In addition, they learn through social interaction, and their cognitive and first language abilities are still developing. Hughes argues that language tests should be designed with these characteristics in mind, and that "every effort be made to create the conditions that allow the children to perform at their best", including being tested by "sympathetic teachers whom they know and in surroundings with which they are familiar" (p. 202). Similarly, McKay (2006) asserts that a special approach is needed to the assessment of young ELLs because of three features of young learners which set them apart from older learners: growth, literacy and vulnerability. McKay advises that "extreme care needs to be taken to ensure that there is some flexibility in assessment... so that a degree of success can be experienced by all children" (p.15), and that "Teachers and assessors are obliged to examine the impact of their assessment on young learners and to work towards a positive impact for the present and for the future" (p. 24). Similarly, Hasselgreen (2012) observes that children "need to be kept interested in a task and are more likely to become demotivated in the face of failure and adverse feedback" (p. 171).

As well as ensuring that assessment tasks and conditions are appropriately implemented, there is also a need to ensure that assessment is accurate, as young ELLs in ESL contexts "may seem to be speaking English with ease when actually they are not fully capable of understanding or expressing themselves in complex ways and still lack vocabulary skills, auditory memory, ability to follow sequenced directions, and other markers of proficiency" (National Association for the Education of Young Children, 2005, p. 5). As Biggar (2005) remarks, "assessment is a serious business, because to do a poor job of assessing is to fail to understand the child and thus fail to provide the supports and challenges the child needs" (p. 44).However, Hasselgreen (2012) notes that "Tradition has neglected" (p.173) research
into young language learner assessment. Haworth (2007) also states that there is very little literature which examines the assessment of young ELLs, particularly in mainstream settings. It is claimed that "many teachers are unprepared for the special needs and complexities of fairly and appropriately assessing ELLs" (Lenski, Ehlers-Zavala, Daniel \& Sun-Irmonger, 2006, p. 24).

### 2.2 Tensions in Assessment of Young ELLs in ESL Classroom Contexts

Assessment of the language skills of ELLs may be undertaken for either formative or summative purposes. While 'formative assessment' is traditionally seen as "informal and fairly frequent, involving the gathering of information about students and their language learning needs while they are still learning", 'summative assessment' is usually defined as "formal planned assessment at the end of a unit, term or year which is used to evaluate student progress and/or grade students" (Davison \& Leung, 2009, p. 397). However, as these authors point out, formative and summative assessment may both contribute to 'assessment for learning' (AfL), which "provides feedback which helps pupils recognise their next steps and how to take them", and where "both teachers and pupils review and reflect on assessment data" (p. 397).

As Davison and Leung (2009) note, AfL shares many of the characteristics of 'teacherbased assessment' (TBA) (also known as 'school-based assessment' and 'classroom-based assessment' (CBA). These terms have all been used to refer to "a more teacher-mediated, context-based, classroom-embedded assessment practice" (p. 395). In this paper, the term 'classroom-based assessment' (CBA) is preferred, and used to mean assessment which is conducted by a teacher mainly for formative purposes and in an informal manner, with individuals or groups of learners in the classroom context, often as part of the teaching process. CBA is necessary, as "teachers need classroom-based information about individual students, even when formal test scores are available (Leung, 2005, p. 871).

CBA stands in contrast to "traditional externally set and assessed large scale formal examinations used primarily for selection and accountability purposes" (Davison \& Leung p. 395). These authors note that TBA (CBA) "is policy-supported in a number of educational systems internationally, including Australia, New Zealand, Canada and the United Kingdom" (p. 393). It is certainly the case that New Zealand, which is the setting for the research reported in this paper, "values the central role of formative assessment in improving learning and teaching, and the professionalism of its teachers" (Poskitt \& Mitchell (2012, p. $55)$. Leung (2009) comments that despite widespread use of classroom-based assessment, "there has been comparatively little specific research into the TBA of English as a second or additional language" (p. 394).

Classroom-based assessment is not without issues. Leung (2005) comments: "The usefulness of teacher assessment is generally accepted but there are questions as to the status and the nature of the information it produces" (p. 871). As Stille, Jang and Wagner (2015) point out, such assessments "are not wholly reflective of individual cognitive processes, but also reflect social, affective, and academic circumstances and learners’ instructional learning experiences" (pp. 6-7). Leung reports on research which revealed that "teacher informants were working with categories such as personality, family, sentence-level grammar from a (possibly untheorized) second language acquisition perspective, and different expectations of language development and sequence of development for second
language students" which could not be traced back to level descriptions in (U.K.) curriculum documents (p. 878). Leung also reports on data from Australia, where the following teacher statement was seen as representative of teachers studied, when they reported their judgements of ELLs' oral language proficiency: "A lot of it is observation and how they're relating to one another" (p. 878).

A further tension surrounding assessment of young ESL learners' language skills exists between assessment of social and academic language development, with social language commonly labelled Basic Interpersonal Communicative Skills (BICS) and academic language known as Cognitive Academic Language Proficiency (CALP) (e.g. Gu, 2015). Social language is needed in the classroom for interaction, negotiation, and cooperation with peers and teachers, and also outside of the classroom, such as in free-play or other recreation activities during school hours. As Gu (2015) notes, the register of social language is predominantly informal (p. 32). Academic language is needed for classroom curriculumrelated tasks, is "predominantly textbook-and lecture-focussed" and its register is formal, requiring "precise and highly structured use of language" (p.31).

As Gu (2015) points out, while social, conversational language input is "abundant" (p. 34) in ESL contexts, particularly in out of school contexts, academic language or "the specialised language of classroom instruction" (p. 22) is "predominantly textbook- and lecture-based", and is mostly experienced and learned "in a limited classroom setting" (p. 34). There is therefore a difference in the development of these two uses of English among young learners in ESL contexts, with "an average developmental gap of several years between obtaining peer-appropriate levels in social aspects (e.g. oral fluency, phonology) of English and reaching grade norms in academic aspects (e.g. reading)" (p. 22). Although young ELLs in ESL contexts will acquire social language before academic language, teachers need to assess ELLs' academic language development for participation in mainstream curriculum areas, in order to identify gaps and next steps in their learning as they assist learners to close the developmental gap.

Of particular concern with all forms of assessment, is that assessment tasks conform to certain principles. Although these principles may be prioritised differently, three are most commonly identified as being pre-eminent. Brown (2001) states:
"If in your language teaching you can attend to the practicality, reliability and validity of tests of language, whether those tests are classroom tests...or final exams, or proficiency tests, then you are well on your way to making accurate judgements about the competence of the learners with whom you are working" (p. 389).

Validity, reliability and practicality are also prioritized by the New Zealand Ministry of Education (MOE) (2005), although validity is considered "the most important single attribute of a good test. Nothing will be gained from assessment unless the assessment has some validity for your purpose" (Ministry of Education, n.d.a). While validity in general relates to "the extent to which a test measures what it is supposed to measure", for any assessment activity to be considered valid, "it should be evaluated from different dimensions" (Farhady, 2012 p. 38). Key questions for dimensions of validity are provided by the Ministry of Education (n.d.a) as follows:

- Do the assessment items appear to be appropriate? (Face validity)
- Does the assessment content cover what we want to assess? (Content validity)
- How well does the test measure what we want it to? (Criterion-related validity)
- Are you measuring what you think you're measuring? (Construct validity)

A number of factors may threaten the validity of language assessments. Lenski et al (2006) note that if assessment tools are in English only, they may not be useful if ELLs' lack of English prevents them from understanding assessment items. They also assert that teachers need to ask: "Does my assessment connect to the language and content standards and goals?" (p. 26). Similarly, Wolf, Farnsworth and Herman (2008) state: "The essential question is whether the content of the assessment matches the intended construct" (p. 84).

Reliability is also considered to be "one of the most important characteristics of a test" (Farhady, 2012 p. 29), and is generally defined as "the consistency of the scores that teachers and assessors give learners" (McKay, 2006, p. 114). Sources of unreliability, which should be minimized, include: the learners, the assessment conditions, the scoring or rating procedures, the behaviour of scorers or raters, and the assessment itself (Brown \& Abeywickrama, 2010; Farhady, 2012).

The principle of practicality, called 'manageability' by the Ministry of Education (2005) is met "if the necessary resources are available for it to be implemented. If too many resources (time, energy, space, and materials) are needed, then the procedure will be impractical" (McKay, 2006, p. 115). In particular, time is often referred to as a factor limiting practicality (e.g. Brown \& Abeywickrama, 2010; McKay, 2006).

Leung (2005) notes that there has been "a lot of interest in the quality and soundness of classroom-based teacher assessment in terms of validity and reliability and other issues traditionally associated with standardized testing" (p. 869). However, he summarises arguments for a different approach to these traditional measures, when assessments is carried out in the context of the classroom. Leung (2005) argues that a "relaxation of reliability" (p.873) may be valid in regard to classroom-based assessment, and supports the idea of putting to one side the notion that assessment be objective and criterion-referenced, and the use of an assessment system which "relies on the existence of a construct (of what it means to be competent in a particular domain) being shared by a community of practitioners" ( $\mathrm{p}, 875$ ). This would seem to be a practical and logical use of classroom-based assessment; however, it relies on teachers in a community of practitioners having a shared understanding of constructs being assessed, which may not always be the case. Leung notes that where "the concern is with using teacher-made assessment for public accountability and student comparison purposes", the reliability and validity of assessments and assessment procedures will assume a greater importance (p. 880).

### 2.3 Criteria for Judging Language Proficiency

Central to any assessment is the notion that learners are judged according to whether they have learned something or can perform a task or activity successfully. In recent years, this has seen the development of language proficiency scales, frameworks or learning progressions, which describe the expected stages of language proficiency development and often also serve as criteria for assessment. These frameworks have been developed in a number of countries "in response to the need for integrating teaching, learning, and assessment" (Jang, Wagner \& Stille, 2011, p. 10), In contrast to 'standards', which "represent a prescriptive or normative focus on outcomes for specific points in schooling", learning progressions aim to provide "empirically-validated descriptions of significant steps students tend to, or are likely to follow along pathways leading to end-of-school learning goals" (Bailey \& Heritage, 2014, p. 484). Wolf, Farnsworth and Herman (2008) note that a
common criticisms of assessments linked to English language progressions has been that "their construct(s) primarily focused on social language and that the assessment results did not reflect the students' readiness or competency to perform in an academic setting" (p. 90). In some cases, such as the Canadian 'Steps to English Proficiency' (STEP), there is an explicit connection between the descriptors found in the various stages of the framework and the language concepts and skills needed in mainstream school curriculum subjects. In others, such as the New Zealand English Language Learning Progressions (ELLP) (Ministry of Education, 2008), the descriptors refer only to stages of language proficiency development and do not directly align to the language demands of mainstream curricula. However, while alignment with the curriculum might be preferable, Stille et al (2015) comment that this "can make it difficult to reliably distinguish students' English language levels" (p. 6).

As Stille et al (2015) note, "Language proficiency descriptor scales...have been used to assist teachers in understanding and interpreting learners' language proficiency development", but they have also "highlighted issues and challenges arising out of the intersection between language assessment and classroom curricula and pedagogy" (p. 6). Bailey and Heritage (2014) have also pointed to a number of challenges with the development of language proficiency progressions. These include the difficulty of obtaining empirical validation of the descriptors in the framework, and they assert that language learning progressions from Australia and New Zealand have not undergone empirical validation (p. 485).

Other issues include the need for teachers to understand that "progressions are not developmentally inevitable", "student learning does not always proceed in lockstep", (p. 484), and the difficulty of "representing and taking account of the multitude of differences among individuals" (p. 485). Jang et al (2011) also describe problems with descriptors being either 'overloaded', or lacking in specificity, the difficulty in distinguishing between STEPs, and descriptors not being appropriate to a STEP. However, they note that the STEP framework has assisted teachers to advance their knowledge of ELLs' language development, confirmed by Stille et al (2015). This latter study also found that descriptorsbased language proficiency scales "can contribute to the formative purposes of classroombased language assessment in the K-12 educational context", and "promoted an assessment for learning culture among participating teachers" (p. 17). Table 1, below, lists some language proficiency frameworks and learning progressions currently in use in the U.S.A, Canada, the U.K., Australia, and New Zealand. It can be seen from the table (compiled using limited information available online) that of the six language proficiency assessment frameworks, those used in Australia and New Zealand have not included links with the language of mainstream curriculum areas, while those used in the U.S.A, Canada and the U.K. have done so.

Table 1. Language Proficiency Frameworks used in various English-speaking countries

| Country | Language Proficiency Standards, frameworks, Scales or Progressions | Comments |
| :---: | :---: | :---: |
| U.S.A. | Teachers of English to Speakers of Other Languages (2006) Pre-K-12 English Language Proficiency Standards. | Standards include a focus on the language of content areas i.e. academic language, as well as social, intercultural, and instructional language (Gottlieb, 2012). |
|  | WIDA (World-Class Instructional Design Assessments) (2014). English Language Development Standards Kindergarten-Grade 12. | The WIDA English Language Development (ELD) Standards represent the social, instructional, and academic language that students need to engage with peers, educators, and the curriculum in schools (WIDA, 2014, p.3) |
| Ontario, Canada (Each state has its own English Language Proficiency benchmarks or descriptors), | Ontario Ministry of Education (2012). Steps to English Proficiency (STEP) language proficiency framework. | The descriptors name and describe language concepts or skills that make a connection to The Ontario Curriculum, and focus focus on linguistic performances that are observable by teachers during curriculum learning tasks (Stille et al, 2015). |
| The UK | Qualifications and Curriculum Authority (2000). A Language in Common: Assessing English as an additional language. | 'A Language in Common' has been widely used for assessing the English language development of EAL learners. It is cross-referenced to the standards and expectations of the main national curriculum. |
|  | The Bell Foundation (2016). EAL assessment framework for schools. Cambridge, England: The Bell Educational Trust Limited. | This is a new framework, which incorporates social and academic language, and can be used by teachers from different curriculum and subject areas for both formative and summative purposes. |
| Australia | McKay, 2007 (Ed.). National Languages and Literacy Institute of Australia (NLLIA) ESL Bandscales Version 2. | The ESL Bandscales are descriptions of typical second language acquisition and development. They enable teachers to assess the language and learning support necessary to enable ESL learners to access the intended curriculum across all subjects, but are not linked to curriculum areas. |


| New Zealand | Ministry of Education (2008). <br> The English Language Learning <br> Progressions (ELLP) | Teachers use the progressions to <br> identify stages and patterns of <br> progress in the language <br> development of English language <br> learners, analyse the complexity <br> of oral and written texts, and <br> monitor and report on English <br> language learners' progress in <br> both social and academic <br> language, but are not linked to <br> curriculum areas. |
| :--- | :--- | :--- |

### 2.4 Teachers' Understanding and Use of Assessment Criteria

As Biggar (2005) points out, "To do a good job of assessing young children whose home language is not English requires skill, sensitivity, and knowledge." Stille et al (2015), observe that "much of the use of descriptors-based proficiency scales depends upon the role of teachers", and assert
"Teachers need to be able to create communicative contexts by designing tasks that elicit the specific observable behaviours from which meaningful inferences about students' language ability can be made. Teachers therefore require some degree of assessment literacy to support their effective use of descriptor scales. (p.8)
The concept of assessment literacy has been defined as "having a comprehensive knowledge and understanding of the principles underpinning, and methods associated with sound assessment practice" (Dixon \& Hawe, 2015, p.81), and is similar to 'teacher assessment competence', referring to "the knowledge, skills, and abilities that teachers need to implement language assessment activities and interpret students' language skills and development" (Fulcher, 2012). Stille et al (2015) point out that teacher assessment literacy or competence (or lack thereof) can have significant implications for learners, including the fact that "decisions such as provision of supports or advancement may also be influenced or determined by teachers' evaluation." (p.8).

Commenting on the challenges that teachers may face in their use of language proficiency scales, Stille et al (2015) include "the need for clear and interpretable proficiency scales", and "variability in teachers' assessments based on their views of assessment criteria, their perceptions of student motivation, their assessment literacy, and the complex nature of the classroom context" (p.7). They note that teachers understand and interpret criteria "in relation to their experience with real students and their linguistic performances during everyday classroom activities" (p.7); however, variability in teachers' interpretation of assessment criteria will contribute to the degree of validity and reliability of teachers' judgements about the language proficiency of their ELLs. Leung (2005) also observes that "The publication and standardization of curriculum and teacher assessment statements does not by itself lead to shared practice or perception" (p. 876). A further contributing factor to teachers' assessment judgements may be "the extent to which they will accept externally imposed criteria as a basis for their professional judgement about learners' language development." (Stille et al, p.7).

## 3 The Current Study

### 3.1 Context of the Research: Assessment of ELLs in New Zealand Primary Schools

Young ELLs in New Zealand are assessed on entry to their first or a new school, to gather initial information about their level of English proficiency, and to determine what kind of assistance might be appropriate. ELLs must also be rated against National Standards in Literacy and Numeracy along with their native English-speaking peers. They will also be assessed in other curriculum areas. In addition, since 2015, applications for additional funding to support their English language learning (known as 'ESOL funding') require that their English language proficiency is assessed twice yearly in relation to the descriptors and stages of the English Language Learning Progressions (ELLP) (2008), a process which has become known as 'ELLP Assessment' (Ministry of Education, n.d.b) The ELLP document contains a framework of learning stages and statements describing the expected progress of an English language learner's language proficiency, for each of the four language skills, additional information regarding language acquisition and development in each of the four skills, and also examples of language that learners are expected to understand or produce at the different stages of language development. If learners are rated as being below a certain level for their school year, they are eligible for ESOL funding, which is used by their school to support their English language learning. This support usually takes the form of either inclass assistance from English Language Assistants (only some of whom receive training to work with ELLs), or withdrawal classes with ESOL specialist teachers

ELLP Assessment therefore has a 'screening' purpose in that it screens out learners who are deemed to not need, or no longer need, additional language learning support. As Bailey (2008, p. 383) points out, screening assessment can be considered 'high-stakes' for both the individual and the school system. McKay (2006) defines 'high-stakes as decisions which "are likely to affect students' lives and decisions which are difficult to correct." (p. 20). She also notes that "many assessment procedures are more high-stakes for students than we think, since many decisions that teachers and schools make have a cumulative effect on students' futures" (p. 20). Children who are 'screened out' may be expected to perform in the mainstream classroom as their native English speaking peers would, and as this may not be a realistic expectation, mainstream teachers may need to provide additional language support for these children, which has implications for these teachers' professional development, as well as their management of time and other learners in the classroom.

This recent change in the assessment of ELLs in New Zealand has occurred in the wider context of the introduction of literacy and numeracy standards in 2010, and incorporates a key feature of National Standards assessment - the Overall Teacher Judgement (OTJ). As Poskitt \& Mitchell (2012) note, "Central to the implementation of National Standards in New Zealand is the notion of standards and the centrality of the OTJ" (p. 54). The NZ Ministry of Education (n.d.c) provides the following definition of an OTJ: [It] "involves drawing on and applying the evidence gathered up to a particular point in time in order to make an overall judgment about a student's progress and achievement". Poskitt \& Mitchell comment that OTJs can be problematic unless: Teachers are clear about what constitutes an OTJ; teachers have common understandings of standards; Such understandings are supported by clear criteria and exemplars of student work; and teachers engage in moderation processes (p. 61).

There are several key guidelines for implementing ELLP Assessment (Ministry of Education, 2015). Teachers are advised that they should:

- "use a wide range of assessment tasks, activities and observations to make an OTJ with reference to the various descriptors on the ELLP matrices"
- "include formative and summative assessments, standardised tests and both formal and informal observations"
- base their OTJs on "your school's usual age-appropriate assessment tools, activities, and observations"
- and that ELLP Assessment "should not be seen as additional to the school's normal assessment schedule but as an integral part of it."
These guidelines raise a number of issues. Firstly, the Ministry has not defined or given guidelines as to what constitutes 'a wide range' of assessment tasks, and teachers could interpret this differently. Secondly, there is no elaboration as to what the balance of formative and summative assessment, or formal and informal assessment should be, also leaving this up to individual teacher interpretation. Regarding the advice that ELLP Assessment should be based on the school's usual assessment tools, activities and observations, this proves problematic for the assessment of oral language skills, which are only assessed in the first year or two of school, but not thereafter. This could mean that mainstream teachers carrying out ELLP assessment lack the knowledge to make decisions about how these skills can be assessed. In relation to the advice that ELLP should not be seen as additional to a school's usual assessment schedule, it would seem that rating of ELL language proficiency in relation to the ELLP descriptors necessarily requires additional time and thought by teachers, as ELLs also need to be rated against the National Literacy Standards, which have a different set of criteria.


### 3.2 Research Questions

In order to begin investigating the use of the ELLP (Ministry of Education, 2008) as a framework for assessing the eligibility of ELLs for additional school funding in the New Zealand context, I carried out a very small scale exploratory study with four mainstream primary teachers. The research question was:

How do New Zealand primary mainstream teachers use the English Language Learning Progressions to complete assessment of ELLs for funding eligibility purposes?

Below are the four key questions the teachers were asked:

1) Which assessment activities do you use or take into account for ELLP Assessment?
2) How easy is it to understand the descriptors in the ELLP?
3) How easy is it to match assessment evidence with the ELLP descriptors?
4) Do you carry out any moderation of your ELLP assessment judgements?

### 3.3 Contexts and Participants

The teachers worked with Year 5 and 6 learners (aged 10-11 years) at a large primary school (750-800 students) in an urban context. The teachers had between four and eleven years of
teaching experience. Although there were approximately 100 ESOL-funded learners in the school, these teachers were working with only a small number of ELLs; all had one or two funded students in their classes, but also reported between two and five students in their classes who were recognized as ELLs, but were no longer eligible for funding.

All four teachers assessed the ELLs on their own, without assistance or collaboration with other teachers. Three teachers recalled participating four years prior to the interview (late 2016) in some professional development for using the ELLP for assessment purposes, but reported there had been none since then.

When asked how confident they felt about completing the ELLP Assessment, there was a range of responses, with one teacher admitting "I don't feel confident using this" (2), and one teacher stating "I feel confident that you couldn't move them two stages up or down... but I don't feel absolutely without reasonable doubt that this is where the student is, I feel confident that they're around that stage." (1). The other two teachers, both of whom had had more teaching experience, felt more confident:

- "Okay, I'm no expert, but I've always had ESOL students and it makes you aware of how you speak, and I would try to focus first on oral language." (3)
- "Reasonably confident. I think the OTJs are fine to make, I don't feel too worried about them." (4)
When asked how competent they felt in their ability to complete ELLP Assessment effectively, the teacher' comments seemed to suggest that they could improve their competency in this area:
- "I abide by the criteria that's in front of me. I don't feel absolutely without reasonable doubt that this is where the student is and no one could change it." (1)
- "I'm having a go, I don't know much about this assessment but I try and make sense of it." (2)
- "I think I've got a reasonable idea, but if I had to really pull it to pieces, I may not know exactly." (3)
- "I think more professional development would be great, but I don't think I need it for judging them, I think I need it for teaching them." (4)


### 3.4 Methodology

Teacher participants for the study were recruited by a teacher known to the researcher who was working at the school described above. Information was provided about the study, and consent obtained, but interview questions were not provided to teachers ahead of the interview, as it was decided that unprepared responses would be most authentic. The research used a semi-structured interview approach to investigate aspects of the mainstream teachers' practice and thinking regarding ELLP Assessment. In semi-structured interviews, "a schedule is prepared that is sufficiently open-ended to enable the contents to be reordered, digressions and expansions made, new avenues to be included, and further probing to be undertaken." (Cohen, Manion \& Morrison, 2007, p. 353). The interviews were between an hour and an hour 20 minutes in length. The interviews were recorded, transcribed, the transcription read several times by the researcher, and teachers' responses to the interview questions were searched for the most directly relevant information about the questions.

## 4 Findings and Discussion

### 4.1 Which assessment activities do you use or take into account for ELLP Assessment?

With this question, I wanted to find out whether teachers were using a 'wide range' of assessment measures, as stated in the Ministry of Education guidelines, and what proportion of their assessment evidence was formal or informal. It was thought that teachers' decisions about the range and number of assessment measures to be used would contribute to the validity and reliability of their assessment judgements, and the type of assessment measure used would relate to the practicality of any assessment implemented. Table 2, below, shows the assessment measures reported by the teachers. All four teachers reported the same assessment measures.

Table 2. Assessment measures reported by mainstream teachers for ELLP Assessment

| Language Skill | Formal Assessment used | Informal Assessment used |
| :--- | :--- | :--- |
| Reading | Running Records | Observations during group or <br> individual work with ELL |
| Writing | Recent writing sample done in <br> class | Observations of learner writing <br> in class |
| Listening | - | Observations of ELL and peer <br> interactions in class |
| Speaking | - |  |

As seen in Table 2, there were overall very few specific assessment measures reported, with only two formal pieces of evidence reported -'Running Records' for reading assessment, and a recent writing sample. There were no specific formal or informal assessment activities reported for assessing listening and speaking skills, and all the teachers used informal observations of children in the classroom to contribute to their judgements for each language skill. It was therefore difficult for teachers to state or estimate how many assessment activities they used or took into account for ELLP Assessment, with one teacher stating:

- "There's 10 pieces of evidence in my ELL's personal folder [which is the same for all students] that I can pull out and... help justify my judgement of the student. I could say there's hundreds of things, because each story in his writing book could be considered, each comprehension we've done in his reading book..." (1)
Another teacher reported:
- "You think of the hundreds of interactions that give you information, you can't count all of those, but - actual things - assessmenty-type stuff, I guess 10-20 over the year" (4).
However, the other two teachers' responses suggested that they are not concerned about the use of specific assessment activities for collecting evidence of ELL language skills:
- "I don't do that" [use a wide range of assessment activities]. "Running records, writing samples taken from their books, observations - that's where it comes from" (2)
- "I don't spend too long on any paperwork, I just base it on my experience. I don't sit there for ages and do specific tests, I would do more observations" (3).
In response to being asked whether they kept any evidence or made any record of their informal classroom observations of an ELL's language skills, all four teachers reported that they did not do this, although one teacher reported that she might "quickly scribble something" in her teaching plan about particular skills to work on if she observed an ELL having difficulty during a classroom activity, and try to keep this in mind when working individually with the ELL concerned. Teacher 1 suggested that a way to record assessment evidence would be to use "an app" ('Seesaw' was suggested), whereby learners could provide electronic evidence of their speaking, reading and writing skills for teachers to review (this teacher was using the application for other curriculum areas). Overall, teachers currently seem to rely mostly on their memory of observations of, and interactions with, ELLs in the classroom, and also their memory of written work produced by learners, as evidence for their assessment judgements. Teachers told me about noticing language issues for ELLs when working with them on guided reading tasks, or when observing their interaction with peers and their responses to instructions in the classroom) for example, one teacher said she waits to see how they ask for or get help either from her or from peers), or how ELLs manage their writing tasks. It is not known whether teachers attend to the distinction between social and academic language in their observations.


### 4.2 How easy is it for you to understand the ELLP descriptors?

Contributing to the reliability of any assessment is teachers' individual and common understanding of assessment criteria. Only one of the four teachers was unconcerned about her understanding of the ELLP descriptors, stating simply "They're fine" (4). However, the responses of the remaining three teachers seem to indicate that they do not feel as knowledgeable as they would like to be regarding the descriptors:

- "I think it was very confusing to start with, and in my opinion it's not very consistent. There's lots of linguistic vocabulary that's totally beyond me." (1)
- "What I find really hard is understanding some of the language in the matrices. I do question the language in this. I'm on my journey with it." (2)
- "Some of them there's not very clear examples, and some are not that different from others." (3)
Teacher 1 also suggested that it would be useful for examples of linguistic terms used in the matrices to be provided, commenting, as an example: "Just show the different markers of time." In fact, closer reading of the ELLP document in its entirety, as well as other resources produced by the Ministry of Education for working with ELLs, would provide definitions and examples of linguistic terms. However, it may not be realistic of the Ministry to assume that mainstream teachers will use these resources. The same teacher suggested "It [ELLP] could be more in line with our curriculum document", implying that this would make the ELLP more manageable for teachers to use.


### 4.3 How easy is it to match assessment evidence with ELLP descriptors?

If assessment results and decisions are to be valid, assessment evidence should closely align to assessment criteria (e.g. Lenski et al 2006), in this case the ELLP descriptors. Teachers' responses to this question were as follows:

- "You can marry them up but it's not easy, like you can see where things fall, but as a teacher you've got to synthesize big time." (1)
- "I pretty much go with what I think. I wouldn't have time to be going through all this [ELLP document]. I just level it." (2)
- "They don't all kind of match. I don't pull these [matrices] out and go through them in detail." (3)
- "I find when I'm doing them I'm more thinking about just 'in general', what I see every day is what I'm trying to match." (4)
These responses were perhaps not surprising in light of the fact that teachers had already indicated that they use very few concrete pieces of evidence, relying mostly on informal and often unrecorded evidence of ELLs' language skills. Teacher 2's comment about 'levelling' seems to refer to aligning ELL's skills with a mainstream English curriculum level, and then equating this to an ELLP level. Teachers told me about a 'shortcut' that they use to 'level' mainstream reading assessment evidence with the stages of the ELLP, reporting that they have been given a table which aligns mainstream curriculum level reading texts to the stages of the ELLP. This seems to be a practical way around the fact that although teachers assess the development of reading skills in their classrooms, using 'Running Records' as a key tool, the ELLP descriptors refer to features of texts, so their usual assessment method and the ELLP descriptors do not naturally align. A suggestion from Teacher 1 was to provide schools with "Something similar to what is available for Maths National Standards - a gloss test - It gets progressively harder and then you can just mark off where they are against the matrix". This would seem to increase the practicality of ELLP Assessment, as teachers would not be expected to make all the decisions about which assessment evidence to use, and could also increase the reliability of assessment judgements if teachers were all using the same assessment tasks or activities.


### 4.4 Do you carry out any moderation of your ELLP judgements?

Moderation of assessment results or judgements contributes directly to the overall reliability of assessment. Teachers' responses were as follows:

- "From the initial set up we moderated to a certain extent... but I'm pretty sure we don't [now]." "I think it [moderation] would be beneficial, but in terms of time and all the other jobs teachers have to do, I don't know if it's in the top priority."(1)
- "No. I do it on my own." (2)
- "I do them on my own, but there are two people in the school who oversee it, they have to sign it off." (3)
- "I don't know." (4)

In addition to these comments, Teacher 4 reported that she has checked her judgements with other teachers a couple of times, and Teacher 2 said she has helped new teachers a few times. However, it seems that there is no systematic moderation of ELLP judgements in the school involving the classroom teachers themselves, and teachers carry out these
assessments mostly on their own. They reported that an ESOL specialist teacher checks their judgements, although they also reported that their judgements had never been questioned.

## 5 Discussion

Several key findings emerged from the research regarding the use of mainstream primary teachers' assessment of ELLs' language skills. Firstly, it appears that there were very few pieces of evidence used by teachers in arriving at their OTJs, or at least very few that they have documented or recorded, with most weight apparently given to their informal observations of the learners' understanding and use of language in the classroom. This may be because of the need for practical assessment which does not take much, if any, additional time to complete. Indeed, this is what the Ministry of Education (2015) recommends - that ELLP assessment should not be additional to the normal classroom assessment that is carried out. However, informal observations may blur the distinctions between social and academic language, both of which are needed in the ESL classroom context.

It is suggested by some authors that informal classroom-based assessment may not need to adhere as strictly to assessment principles as standardised or large-scale tests (Leung, 2005). However, the informal nature of the assessment may also be a threat to the validity of assessments results and decisions. If the nature and content of assessment measures is largely informal and therefore largely unknown (especially if not recorded), then the different dimensions of validity (Ministry of Education, n.d.a) are also unknown. In the case of reading assessment, where 'Running Records' is used, this does not directly align with the ELLP descriptors, and therefore would not have criterion-related validity (How well does the test measure what we want it to?) or face validity (Do the assessment items appear to be appropriate?).

The second key finding was that there is apparently no formal or systematic moderation of teachers' judgements among themselves, a necessary prerequisite to the formation of sound OTJs (Poskitt and Mitchell, 2012), and for teachers' ongoing professional development and enhancement of their assessment skills in relation to young ELLs. Currently, it is not known whether these mainstream teachers would be able to arrive at consistent (reliable) OTJs about young ELLs' language skills. This means that the reliability of assessment results, and therefore decisions made based on those results, is also unknown, but without moderation it may be low.

A further finding and area of concern is teachers' apparent lack of understanding of the ELLP descriptors, with three of the four admitting that they had found the language used in the descriptors to be challenging, suggesting that this is an area where these teachers are lacking assessment literacy. Regarding the use of the descriptors, two of the four teachers also stated that they did not look carefully at the descriptors, ("I wouldn't have time to be going through all this"; I don't pull these [matrices] out and go through them in detail"). These comments may reflect their lack of understanding of the language descriptors, it may be for greater practicality (less time needed), or indeed, it may point to a degree of unwillingness to use the criteria, with teachers placing more trust in their own judgements based on their experience of working with the learners (Stille et al, 2015).

## 6 Limitations and Further Research

Clearly, with a study of 4 teachers, the results of the study are not generalizable to the larger population of New Zealand primary mainstream teachers. However, this small study raises a number of questions which could be asked about primary mainstream teachers' assessment of ELLs' language skills. It would be useful to know whether similar findings would be obtained among a larger group of teachers, and whether the issues revealed are more widespread. As these teachers were required to assess only a small number of ELLs, would teachers assessing larger numbers of ELLs make different decisions regarding the process of ELLP Assessment? It would also be useful to know to whether other teachers prefer informal over formal assessment activities, as those in the study did. Certainly, more needs to be known about how teachers apply and align informal assessment evidence, particularly unrecorded evidence, to the descriptors in the ELLP, and also whether they distinguish between learners' social and academic language skills. A further area of investigation is 'the relationship between standardized testing and observation-driven assessments of language proficiency" (Stille et al, 2015, p. 7), as teachers are advised to make use of both in arriving at their assessment judgements, although standardized tests were not mentioned by the teachers in the study. Another 'unknown' is the extent to which mainstream teachers use ELLP Assessment formatively, for example, using the descriptors in the ELLP to inform either their own teaching, or to provide feedback to learners. There was some evidence in the study that teachers use evidence from their own observations for formative purposes, but no mention was made of the use of ELLP Assessment for formative purposes. Given that formative assessment and assessment for learning have a very high profile in New Zealand primary schools (Ministry of Education, n.d.d), this seems to be an important area of investigation.

## 7 Conclusions

The findings of the study point to a number of potential issues with the use of language learning progressions for assessing ELLs' language skills in New Zealand primary schools Although it is not known whether similar findings would emerge in different schools or with different teachers, this small study raises questions about the process of ELLP Assessment and the nature of the descriptors in the progressions. If experienced teachers are facing challenges with using the progressions, finding alternatives or avoiding using them as intended, apparently not carrying out a very thorough assessment process using the progressions, and therefore potentially sacrificing validity and reliability for practicality, it must be asked where these problems lie - with the teachers, or with the process and the progressions themselves. A comparison of language learning progressions in different countries suggests that a review of the New Zealand ELLP would be beneficial, as there are features of the other language learning progressions which are lacking in the ELLP. Ideally, descriptors could be more clearly written for mainstream teachers, descriptors could be aligned to the academic language demands of the mainstream curriculum areas, and suggested assessment measures could be provided which align with the descriptors, particularly informal assessment measures which are convenient to use and do not make
additional demands on teachers' time. These changes would serve to enhance the validity, reliability, and practicality of this assessment process.

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# Disyllabic Tone Sandhi Pattern of Xinqiao Dialect: An OT Analysis 

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#### Abstract

This paper investigates disyllabic tone sandhi in Xinqiao dialect, a dialect of Southern Min spoken in Zhangping County, Fujian Province, within the framework of Optimality Theory (OT; McCarthy and Prince 1993, Prince and Smolensky 1993/2004). The language data are drawn from the previous study by Chen (2010) which describes the general disyllabic tone sandhi pattern of Xinqiao dialect. For the need of analyzing the data, the tonal changes are represented with the internal structure by adopting Bao's (1999) model. Chen (2010, p. 172) concludes that "the first syllable takes on sandhi tone whereas the second the citation tone" and "the tonal alternation of yindiao is by its neighbors, whereas that of yangdiao is by itself." These facts can be captured by IDENT-IO-T-HD, OCP-REG, and *oNONHD/Hr respectively. IDENT-IO-T-HD captures the stability of the tone in the head position (right edge). OCP-REG captures the context-sensitivity in yindiao tone sandhi; *oNONHD/Hr captures the position-sensitivity in yangdiao tone sandhi. In addition to these three essential constraints, other constraints are necessary to correctly predict every type of tone sandhi. Most of the time, markedness constraints alone, like *FALL, OCP-1, and NOJUMP-t, function perfectly to pick out the attested output while in some cases they have to work with faithfulness constraints together in order not to wrongly rule out the optimal candidate. Thus, the conjunction of constraints, like [IDENT-IO-REG \& *LEVEL]seg, $\left[\text { MAX-IO-t \& OCP-h] }{ }_{\text {ADJ }} \text {, and [MAX-IO-t \& NOJUMP-t] }\right]_{\text {ADJ, }}$, is adopted. All faithfulness constraints in this study, except for DEP-IO-h and top ranked IDENT-IO-T-HD and IDENT-IO-T-LENGTH, are used to restrict the application scope of markedness constraints to certain forms.


Keywords: Xinqiao Dialect, disyllabic tone sandhi, Optimality Theory

## 1 Introduction

This paper investigates disyllabic tone sandhi in Xinqiao dialect, a dialect of Southern Min spoken in Zhangping County, Fujian Province, within the framework of Optimality Theory (OT; McCarthy and Prince 1993, Prince and Smolensky 1993/2004). The language data are drawn from the previous study by Chen (2010) which describes the general disyllabic tone sandhi pattern of Xinqiao dialect and concludes that "the first syllable takes on sandhi tone whereas the second the citation tone" and "the tonal alternation of yindiao is by its neighbors,
whereas that of yangdiao is by itself." (Chen 2010, p. 172) These facts can be captured by IDENT-IO-T-HD, OCP-REG, and ${ }^{\circ}$ NONHD/Hr respectively. ${ }^{1}$

The first constraint preserves the tone on the right, i.e. the head position, indicating that Xinqiao dialect is indeed a right-prominent language as Southern Min. The latter two constraints signify that both contextual and positional tone sandhi are involved. Contextual tone sandhi is the type of tone sandhi sensitive to the elements of adjacent tones, such as the register or pitch value; positional tone sandhi refers to the type of tone sandhi where it is the tonal preferences of certain positions that trigger the tone sandhi (De Lacy 2002). For instance, in a prosodic non-head position, which is not a prominent position, a lowregistered tone is preferred to a high-registered tone.

The paper is organized as follows: Section 2 describes the tonal facts and the tone sandhi pattern of Xinqiao dialect. Section 3 proposes an OT analysis to account for the tone sandhi in Xinqiao dialect. Section 4 concludes the paper.

## 2 Tonal Facts and Tone Sandhi Pattern of Xinqiao Dialect

According to Chen's research (2010), there are seven tones in Xinqiao dialect: yinping 33, yangping 24 , shang 31, yinqu 21, yangqu 51, yinru 21 , yangru 55, and they are represented as MM, LH, ML, LL, HL, LL, and HH respectively in this paper for the sake of analytical convenience. ${ }^{2}$ Underlined tones indicate that their duration is shorter than average syllables. In (1) are examples from Chen (2010) illustrating the tones.
(1) Seven tones in Xinqiao dialect


In the seven-tone system, there are 49 (7 x 7) bi-tone combinations, among which, only yinping MM does not undergo tone sandhi when preceding yangdiao. The tonal changes can be captured by the eleven derivational rules in (2)-(8), and a schematic summary of the changes is given in (9).

[^0](2) Yinping tone sandhi rule:
(3) Shang tone sandhi rule:
(4) Yinqu tone sandhi rule:
(5) Yinru tone sandhi rule:
(6) Yangping tone sandhi rule:
(7) Yangqu tone sandhi rule:
(8) Yangru tone sandhi rule:
a. $\mathrm{MM} \rightarrow \mathrm{LH} / \_\{\mathrm{MM}, \mathrm{ML}, \mathrm{LL}, \underline{\mathrm{LL}}\}$
b. $\quad \mathrm{MM} \rightarrow \mathrm{MM} /$ \{ LH, HL, HH \}
a. $\mathrm{ML} \rightarrow \mathrm{LH} /$ \{ MM, ML, LL, LL \}
b. $\mathrm{ML} \rightarrow \mathrm{LL} / \ldots\{\mathrm{LH}, \mathrm{HL}, \mathrm{HH}\}$
a. $\mathrm{LL} \rightarrow \mathrm{HH} / ~ \ldots \quad\{\mathrm{MM}, \mathrm{ML}, \mathrm{LL}, \underline{\mathrm{LL}}$
b. $\quad \mathrm{LL} \rightarrow \mathrm{MM} / \ldots\{\mathrm{LH}, \mathrm{HL}, \mathrm{HH}\}$
a. $\underline{\mathrm{LL}} \rightarrow \underline{\mathrm{HH}} / \_\{\mathrm{MM}, \mathrm{ML}, \mathrm{LL}, \underline{\mathrm{LL}}$
b. $\quad \underline{L L} \rightarrow \mathrm{MM} / \_\{\mathrm{LH}, \mathrm{HL}, \mathrm{HH}\}$
a. $\mathrm{LH} \rightarrow \mathrm{ML} /$ \{ MM, ML, LL, LL, LH, HL, HH \}
a.

HL $\rightarrow$ ML / _ \{ MM, ML, LL, LL, LH, HL, HH \}
a. $\quad \underline{\mathrm{HH}} \rightarrow \underline{\mathrm{ML}} / \ldots\{\mathrm{MM}, \mathrm{ML}, \mathrm{LL}, \underline{\mathrm{LL}}$, LH, HL, HH \}
(9) Bi-tone combinations-seven-tone system

|  |  |  | Yind |  |  |  | angdia |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| Yindiao | б1/б2 | ML | MM | LL | LL | LH | HL | HH |
|  | ML | LH |  |  |  | LL |  |  |
|  | MM |  |  |  |  | MM |  |  |
|  | LL | HH |  |  |  |  |  |  |
|  | LL | HH |  |  |  | MM |  |  |
| Yangdiao | LH | ML |  |  |  |  |  |  |
|  | HL |  |  |  |  |  |  |  |  |  |  |
|  | HH | ML |  |  |  |  |  |  |

## 3 An Optimality Theoretic Analysis

This section offers an OT analysis of the disyllabic tone sandhi in Xinqiao dialect presented above. This paper adopts Bao's (1999) model, considering each tone to have an internal representation such as that in (10). Tonal features ( t ) are dominated by a node called Contour, which is a sister of the Register feature, and both Contour and Register are dominated by a Tonal node.
(10) Tonal geometry proposed in Bao (1999)


The seven tones in Xinqiao dialect are represented below with Bao's model in (11). The internal structure analysis well captures the contrast between yindiao and yangdiao. Notice
that yinping ML is a low-registered tone, since it has a falling tone counterpart yangqu HL By comparison, ML is naturally considered a low-registered tone, and HL a high-registered one. The level tones (MM, LL, LL, $\underline{H H}$ ) can also be analyzed this way without problems. Thus, yangping LH, though there is no rising tone counterpart, should be viewed as a highregistered tone not only for the consistency but also for the need of analyzing the data (See Section 3.1). The incompetence of the internal representation to show the shortness feature of $\underline{L L}$ and $\underline{H H}$ is ignored because it would not cause trouble to the analysis.
(11) The internal structure of seven tones in Xinqiao dialect ( $\mathrm{Key}: \mathrm{Hr}=$ high register, $\mathrm{Lr}=$ low register)


The tonal changes provided in (9) can be further summarized with the internal structure, as shown below in (12).
(12) Bi-tonal combinations-represented with register and contour features

| $\boldsymbol{\sigma 1 / \sigma 2}$ | $\begin{gathered} \hline \text { ML } \\ \mathbf{L r}, \mathrm{hl} \end{gathered}$ | $\begin{aligned} & \hline \text { MM } \\ & \mathrm{Lr}, \mathrm{~h} \\ & \hline \end{aligned}$ | $\begin{gathered} \hline \mathbf{L L} \\ \mathbf{L r}, 1 \\ \hline \end{gathered}$ | $\frac{\mathrm{LL}}{\mathrm{Lr}, 1}$ | $\begin{gathered} \mathrm{LH} \\ \mathrm{Hr}, \mathrm{lh} \end{gathered}$ | $\begin{gathered} \hline \mathrm{HL} \\ \mathrm{Hr}, \mathrm{hl} \end{gathered}$ | $\underset{\mathrm{Hr}, \mathrm{~h}}{\mathrm{HH}}$ |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| $\begin{gathered} \text { ML } \\ \text { Lr, hl } \end{gathered}$ | $\begin{gathered} \text { LH-ML } \\ \text { Hr-Lr } \\ \text { lh-hl } \end{gathered}$ | $\begin{gathered} \text { LH-MM } \\ \text { Hr-Lr } \\ \text { lh-h } \end{gathered}$ | LH-LL <br> $\mathrm{Hr}-\mathrm{Lr}$ <br> lh-l | $\begin{gathered} \text { LH-LL } \\ \text { Hr-Lr } \\ \text { lh-1 } \end{gathered}$ | $\begin{gathered} \text { LL-LH } \\ \text { Lr-Hr } \\ \text { 1-lh } \end{gathered}$ | $\begin{gathered} \text { LL-HL } \\ \text { Lr-Hr } \\ \text { 1-hl } \end{gathered}$ | $\begin{aligned} & \text { LL-HH } \\ & \text { Lr-Hr } \\ & \text { 1-h } \end{aligned}$ |
| $\begin{aligned} & \hline \mathbf{M M} \\ & \mathbf{L r}, \mathrm{h} \\ & \hline \end{aligned}$ |  |  |  |  | MM-LH | MM-HL |  |
| $\begin{gathered} \text { LL } \\ \mathbf{L r}, 1 \end{gathered}$ | HH-ML $\mathrm{Hr}-\mathrm{Lr}$ h-hl | HH-MM $\mathrm{Hr}-\mathrm{Lr}$ h-h | HH-LL $\mathrm{Hr}-\mathrm{Lr}$ h-1 | $\begin{gathered} \text { HH-LL } \\ \text { Hr-Lr } \\ \text { h-l } \\ \hline \end{gathered}$ | $\begin{aligned} & \mathrm{Lr}-\mathrm{Hr} \\ & \mathrm{~h}-\mathrm{lh} \end{aligned}$ | $\begin{aligned} & \mathrm{Lr}-\mathrm{Hr} \\ & \mathrm{~h}-\mathrm{hl} \end{aligned}$ | $\begin{aligned} & \mathrm{Lr}-\mathrm{Hr} \\ & \mathrm{~h}-\mathrm{h} \end{aligned}$ |
| $\frac{\mathbf{L L}}{\mathbf{L r}, 1}$ | $\begin{gathered} \hline \begin{array}{c} \mathrm{HH}-\mathrm{ML} \\ \mathrm{hr}-\mathrm{Lr} \end{array} \\ \hline \end{gathered}$ | $\begin{gathered} \substack{\mathrm{Hr}-\mathrm{MM} \\ \mathrm{~h}-\mathrm{Lr}} \\ \hline \end{gathered}$ | $\begin{gathered} \hline \frac{\mathrm{HH}-\mathrm{LL}}{\mathrm{Hr}-\mathrm{Lr}} \\ \mathrm{~h}-1 \end{gathered}$ | $\frac{\mathrm{HH}-\mathrm{LL}}{\substack{\mathrm{Hr}-\mathrm{Lr} \\ \mathrm{~h}-1}}$ | $\frac{\text { MM-LH }}{\substack{\text { Lr-Hr } \\ \text { h-lh }}}$ | $\begin{gathered} \frac{\text { MM-HL }}{\text { Lr-Hr }} \\ \text { h-hl } \end{gathered}$ | $\frac{\mathrm{MM}-\mathrm{HH}}{\substack{\mathrm{Lr}-\mathrm{Hr} \\ \mathrm{~h}-\mathrm{h}}}$ |
| $\begin{gathered} \hline \text { LH } \\ \text { Hr, lh } \\ \hline \begin{array}{c} \text { HL } \\ \mathrm{Hr}, \mathrm{hl} \end{array} \end{gathered}$ | ML-ML Lr-Lr hl-hl | $\begin{gathered} \text { ML-MM } \\ \text { Lr-Lr } \\ \text { hl-h } \end{gathered}$ | $\begin{gathered} \text { ML-LL } \\ \text { Lr-Lr } \\ \text { hl-1 } \end{gathered}$ | $\begin{gathered} \text { ML-LL } \\ \text { Lr-Lr } \\ \text { hl-1 } \end{gathered}$ | $\begin{gathered} \text { ML-LH } \\ \mathrm{Lr}-\mathrm{Hr} \\ \mathrm{hl}-\mathrm{lh} \end{gathered}$ | ML-HL Lr-Hr hl-hl | $\begin{gathered} \text { ML-HH } \\ \text { Lr-Hr } \\ \text { hl-h } \end{gathered}$ |
| $\frac{\mathrm{HH}}{\mathrm{Hr}, \mathrm{~h}}$ | $\frac{\mathrm{ML}-\mathrm{ML}}{\mathrm{Lr}-\mathrm{Lr}} \begin{gathered} \mathrm{hl}-\mathrm{hl} \end{gathered}$ | $\begin{aligned} & \frac{\mathrm{ML}-\mathrm{MM}}{\mathrm{Lr}-\mathrm{Lr}} \\ & \mathrm{hl}-\mathrm{h} \end{aligned}$ | $\frac{\mathrm{ML}-\mathrm{LL}}{\mathrm{Lr}-\mathrm{Lr}}$ | $\begin{gathered} \frac{\text { ML-LL }}{\text { Lr-Lr }} \\ \text { hl-1 } \\ \hline \end{gathered}$ | $\frac{\mathrm{ML}-\mathrm{LH}}{\substack{\mathrm{Lr}-\mathrm{Hr} \\ \mathrm{hl}-\mathrm{lh}}}$ | $\frac{\mathrm{ML}-\mathrm{HL}}{\mathrm{Lr}-\mathrm{Hr}}$ | $\frac{\mathrm{ML}-\mathrm{HH}}{\substack{\mathrm{Lr}-\mathrm{Hr} \\ \mathrm{hl}-\mathrm{h}}}$ |

At this point, an obvious generalization can be made first: it is always the tone on the left that undergoes tone sandhi and the tone on the right that preserves its underlying tone. This fact shows that Xinqiao dialect is a right-prominent language and suggests that Xinqiao
dialect is right-headed, since tone sandhi in Xinqiao dialect behaves like tone sandhi in Southern Min, Mandarin, and many other languages which are referred to as right-prominent languages where the identity of the rightmost tone tends to be maintained and tones in other positions are allowed to change (Chen 2000, Hyman \& VanBik 2004, among others). The right-prominent nature can be captured by the positional faithfulness constraint IDENT-IO-T-HD in (13), which is never violated by the attested output and is top ranked.
(13) IDENT-IO-T-HD: The tone standing at the head position (right edge) of a tonal sequence (at the tonal level) cannot be different from its corresponding tone in the output.

Also, the length feature of a tone never changes after tonal alternations in Xinqiao dialect Although the citation tone $\underline{\mathrm{HH}}$ is checked, and ML and MM are smooth, the sandhi tones can have $\mathrm{HH}, \underline{\mathrm{ML}}$, and MM because the length of the output should be consistent with that of the input. The IO faithfulness constraint IDENT-IO-T-LENGTH in (14) captures the fact and selects the correct output.
(14) IDENT-IO-T-LENGTH: The tonal length in the input cannot be different from that in the output.

Likewise, IDENT-IO-T-LENGTH is never violated by the attested output and is top ranked. The two constraints (13) and (14) would be set aside in the following discussion by not considering candidates that would be ruled out by them.

### 3.1 Yindiao Tone Sandhi

In yindiao tone sandhi (the first syllable in the underlying form is yindiao), there is a clear pattern that the first and second tones of all the attested outputs do not have the same register. It is a common phenomenon of Obligatory Contour Principle (OCP) at the register level. Two adjacent identical-registered tones are not preferred, which triggers tone alternations. The phenomenon can be captured by OCP-REG in (15).
(15) OCP-REG: The adjacent tones cannot have the same register.

Notice that in the input OCP-REG is not violated before yangdiao ( Hr tones), but yindiao ( Lr tones) still undergoes tone sandhi. More constraints to be involved will be proposed in the following subsections to account for the case. OCP-REG is high ranked in terms of yindiao tone sandhi. Thus, when discussing yindiao tone sandhi, I would set aside this high ranked constraint for the simplicity; in other words, only candidates of yangdiao would be considered before yindiao, and candidates of yindiao before yangdiao.
3.1.1 Yinping \& Shang Tone Sandhi before Yindiao. Considering that the sandhi tones in yinping MM and shang ML tone sandhi before yindiao are all yangping LH, they are discussed together in this subsection. After a thorough examination of the bi-tonal combinations including yangdiao tone sandhi in (12), it is found that if there is a register change, level tones are not preferred except for yinqu LL and yinru LL tone sandhi. I posit
one conjoined constraint [IDENT-IO-REG \& *LEVEL] $]_{\text {SEG }}$ to capture the fact. The output cannot violate both constraints at one time. Each of the constraints is defined in (16) and (17) below separately.
(16) IDENT-IO-REG: The register in the input cannot be different from the corresponding one in the output.
(17) *LEVEL: No level tones.

One problem might arise here, since contour tones are more marked than level tones with respect to typology (Zhang 2001, Yip 2001, 2002, Bao 2003), acquisition (Yip 2001), and the tendency to minimize the articulatory effort (Yip 2001, 2002). To justify the practicality of the markedness constraint *LEVEL, I look at it from the aspect of perception. According to Xu et al. (2006) and Chelliah (2011), contour tones are more categorically perceived than level tones because pitch movement (rising or falling), which was acoustically salient, is present in contour tones. In view of ease of perception, level tones are more marked than contour tones.

With [IDENT-IO-REG \& *LEVEL] ${ }_{\text {SEG }}$, LH and HL survive. *FALL in (18), which should be outranked by [IDENT-IO-REG \& *LEVEL] $]_{\text {SEG }}$ (See Section 3.2), is proposed to rule out HL and to select the optimal candidate LH. The tableau (19) illustrates how the given constraints up to now function to correctly predict yinping and shang tone sandhi before yindiao. ${ }^{3}$
(18) *FALL: No falling tones.
(19)
$/ \mathrm{MM}-\mathrm{ML} / \rightarrow$ [LH-ML]

| MM-ML <br> Lr-Lr | [IDENT-IO-REG \& *LEVEL]SEG | *FALL |
| :---: | :---: | :---: |
| LH-ML <br> $\mathrm{Hr}-\mathrm{Lr}$ |  | $*$ |
| $\mathrm{HL}-\mathrm{ML}$ <br> $\mathrm{Hr}-\mathrm{Lr}$ |  | $* *!$ |
| $\mathrm{HH}-\mathrm{ML}$ <br> $\mathrm{Hr}-\mathrm{Lr}$ | $*!$ | $*$ |

3.1.2 Yinping Tone Sandhi before Yangdiao. Yinping does not undergo tone sandhi before yangdiao. Based on close observation, tones of yindiao, except for MM, occurring before yangdiao would result in either adjacent 1 tonemes or disagreement between intersyllabic tonal features. OCP-1 in (20) and NOJUMP-t (21), No Jumping Principle which is proposed by Hyman and VanBik (2004), can predict that yinping remains unchanged before yangdiao. OCP-1 has to outrank NOJUMP-t because MM[Lr, h-lh, Hr]LH, for example, also violates NOJUMP-t. Another thing to add is that *FALL also contributes to the prediction because I will argue that *FALL actually dominates OCP-1 in the next subsection. Refer to the tableaux (22) and (23) to see how yinping tone sandhi before yangdiao is predicted.
(20) OCP-1: Avoid adjacent 1 at intersyllabic positions.
(21) NOJUMP-t: No change of the features at intersyllabic tonemic level.

[^1](22) $/ \mathrm{MM}-\mathrm{LH} / \rightarrow[\mathrm{MM}-\mathrm{LH}]$

| MM-LH <br> hl-lh | *FALL | OCP-1 | NOJUMP-t |
| :---: | :---: | :---: | :---: |
| ML-LH <br> hl-lh | $*!$ | $*$ |  |
| MM-LH <br> h-lh |  |  | $*$ |
| LL-LH <br> 1-lh |  | $*!$ |  |

(23) $/ \mathrm{MM}-\mathrm{HH} / \rightarrow[\mathrm{MM}-\mathrm{HH}]$

| MM-HH <br> hl-h | *FALL | OCP-1 | NOJUMP-t |
| :---: | :---: | :---: | :---: |
| ML-HH <br> hl-h | $*!$ |  | $*$ |
| MM-HH <br> h-h |  |  |  |
| LL-HH <br> l-h |  |  | $*!$ |

3.1.3 Shang Tone Sandhi Before Yangdiao. Shang ML changes to LL before yangdiao, as opposed to yinping MM which stays the same. Intuitively, OCP-h (defined in (24)) and NOJUMP-t are involved this time, but one more constraint needs to be incorporated in order not to wrongly rule out the attested output. Notice that the numbers of tonemes differ between ML (hl) and the level tones MM (h) and LL (l). It is only the tonal alternation from ML to LL that violates the faithfulness constraint MAX-IO-t in (25). I propose that OCP-h and MAX-IO-t, NOJUMP-t and MAX-IO-t be conjoined, and that *FALL and [MAX-IO-t \& OCP-h] $]_{\text {ADJ }}$ outrank $[\text { MAX-IO-t \& NOJUMP-t] }]_{\text {ADJ }}$ to predict correct tone sandhi. The tableaux (26) and (27) illustrate how the constraints in hand work to pick out the attested output.
(24) OCP-h: Avoid adjacent h at intersyllabic positions.
(25) MAX-IO-t: The toneme of a tone must be preserved in its corresponding output.
(26) $/ \mathrm{ML}-\mathrm{LH} / \rightarrow[\mathrm{LL}-\mathrm{LH}]$

| ML-LH <br> hl-lh | *FALL | [MAX-IO-t \& NOJUMP-t] ADJ |
| :---: | :---: | :---: |
| ML-LH <br> hl-lh | $*!$ |  |
| MM-LH <br> h-lh |  | $*!$ |
| LL-LH <br> l-lh |  |  |

(27) $/ \mathrm{ML}-\mathrm{HH} / \rightarrow[\mathrm{LL}-\mathrm{HH}]$

| ML-HH <br> hl-h | *FALL | [MAX-IO-t \& OCP-h] ${ }_{\text {ADJ }}$ |  <br> NOJUMP-t] $]_{\text {ADJ }}$ |
| :---: | :---: | :---: | :---: |
| ML-HH <br> hl-h | $*!$ |  |  |
| MM-HH <br> h-h |  |  |  |
| LL-HH <br> l-h |  | $*!$ | $*$ |

Moreover, [MAX-IO-t \& NOJUMP-t $]_{\text {ADJ }}$ has to outrank OCP-1; otherwise, the unattested output will win. Take /ML-LH/ $\rightarrow$ [LL-LH] for example in (28).
(28) $/ \mathrm{ML}-\mathrm{LH} / \rightarrow[\mathrm{LL}-\mathrm{LH}]$

| ML-LH <br> hl-lh | *FALL | OCP-1 | [MAX-IO-t \& NOJUMP-t] ${ }_{\text {ADJ }}$ |
| ---: | :---: | :---: | :---: |
| ML-LH <br> hl-lh | $*!$ | $*$ |  |
| MM-LH <br> h-lh |  |  | $*$ |
| LL-LH <br> 1-lh |  | $*!$ |  |

3.1.4 Yinqu and Yinru Tone Sandhi. Yinqu LL and yinru LL are discussed together in this subsection and only the examples of the former will be discussed in detail, since the sole difference between the two is the tonal length. A critical constraint to yinqu and yinru tone sandhi is DEP-IO-h, which should outrank [IDENT-IO-REG \& *LEVEL]seg for correct prediction, as shown in (29), an example of yinqu tone sandhi before yindiao.
(29) /LL-LH/ $\rightarrow$ [HH-LH]

| LL-ML <br> Lr-Lr <br> 1-hl | DEP-IO-h | [IDENT-IO-REG \& *LEVEL]seG |
| ---: | :---: | :---: |
| LH-ML <br> lh-hl | $*!$ |  |
| HL-ML <br> hl-hl | $*!$ |  |
| HH-ML <br> Hr-Lr <br> h-hl |  | $*$ |

The tableaux (30) and (31) are examples of yinqu tone sandhi before yangdiao which involve OCP-1 and NOJUPM-t respectively.
(30)
/LL-LH/ $\rightarrow$ [MM-LH]

| LL-LH <br> l-lh | DEP-IO-h | OCP-1 |
| :---: | :---: | :---: |
| ML-LH <br> hl-lh | $*!$ |  |
| MM-LH <br> h-lh |  |  |
| LL-LH <br> l-lh |  | $*!$ |

(31)

| $\begin{gathered} \text { LL-HH } \\ \text { 1-h } \\ \hline \end{gathered}$ | DEP-IO-h | NOJUPM-t |
| :---: | :---: | :---: |
| $\begin{gathered} \hline \hline \text { ML- } \mathrm{HH} \\ \text { hl-h } \end{gathered}$ | *! |  |
| MM-HH h-h |  |  |
| $\begin{gathered} \text { LL-HH } \\ \text { 1-h } \end{gathered}$ |  | *! |

In the tableaux (29)-(31), the underlined tonemes indicate that they are the corresponding elements in the input. If there is just an h toneme in the output, I consider it a changed toneme from 1 in the input instead of an inserted toneme after the deletion of 1 . According to the examples of faithfulness constraints given by $\operatorname{Kager}$ (1999, p. 10), "output segments must have counterparts in the input." I argue that as long as the number of the segments does not increase, the output will not violate DEP.

Item (32) summarizes the current constraint ranking which can account for yindiao tone sandhi in Xinqiao dialect.
(32) Current constraint ranking (to be revised)

IDENT-IO-T-HD, IDENT-IO-T-LENGTH
» OCP-REG
» DEP-IO-h

$$
»[\text { IDENT-IO-REG \& *LEVEL] }]_{\mathrm{SEG}}
$$

### 3.2 Yangdiao Tone Sandhi

Unlike yindiao tone sandhi, yangdiao tone sandhi accepts adjacent tones which have the same register such as $\operatorname{ML}(\mathrm{Lr})-\mathrm{ML}(\mathrm{Lr})$. No matter what follows, it is always low-registered tones that occur in the first syllable. To account for this phenomenon, I argue that yangdiao tone sandhi is position-sensitive, meaning that its tone sandhi is triggered owing to the fact that high-registered tones are not preferred in a non-head position (left edge) (De Lacy 2002). The markedness constraint *NONHD/Hr in (33) captures the fact.
(33) *NONHD/Hr: No Hr tones in a non-head position.

However, if high-registered tones are not preferred at a non-head position, why is it acceptable to have high-registered tones as sandhi tones in yindiao tone sandhi? If *NONHD/Hr outranks OCP-REG in order to trigger yangdiao tone sandhi, yindiao tone sandhi would be problematic. Take /ML-ML/ $\rightarrow$ [LH-ML] for example, as shown in (34).
/ML-ML/ $\rightarrow$ [LH-ML]

| ML-ML <br> Lr-Lr | $*$ NONHD/Hr | OCP-REG |
| :---: | :---: | :---: |
| LH-ML <br> Hr-Lr | $*!$ |  |
| LL-ML <br> Lr-Lr |  | $*$ |

Here Comparative Markedness Theory (McCarthy 2003) has to be adopted. ${ }^{4}$ *NONHD/Hr is categorized into old and new markedness constraints: ${ }^{*} \mathrm{NONHD} / \mathrm{Hr}$ and ${ }^{*} N \mathrm{NONHD} / \mathrm{Hr}$. Since ML is not a high-registered tone in the input, /ML-ML/ $\rightarrow$ [LH-ML] violates * $_{\mathrm{N}}$ NONHD/Hr rather than * $_{\mathrm{o}} \mathrm{NONHD} / \mathrm{Hr}$. That * $_{\mathrm{o}} \mathrm{NONHD} / \mathrm{Hr}$ outranks OCP-REC and OCP-REG outranks ${ }_{\mathrm{N}} \mathrm{NONHD} / \mathrm{Hr}$ can solve the problem in (34). OCP-REG protects the attested output from being ruled out by $*_{N} N O N H D / H r$. Item (35) shows how Comparative Markedness works by ranking the old markedness constraints higher than the new one
(35) Analysis based on Comparative Markedness
a. *oNONHD/Hr: No old violations of *NONHD/Hr.
b. ${ }^{\text {N }}$ NONHD/Hr: No new violations of $*$ NONHD/Hr
c. $/ \mathrm{ML}-\mathrm{ML} / \rightarrow$ [LH-ML]

| $\begin{gathered} \text { ML-ML } \\ \text { Lr-Lr } \end{gathered}$ | *oNONHD/Hr | OCP-REG | *NNONHD/Hr |
| :---: | :---: | :---: | :---: |
| LH-  <br> ML  <br> $\mathrm{Hr}-\mathrm{Lr}$  <br>   <br>   <br>   |  |  | * |
| $\begin{gathered} \mathrm{LL}- \\ \mathrm{ML} \\ \mathrm{Lr}-\mathrm{Lr} \end{gathered}$ |  | *! |  |

In both yindiao and yangdiao tone sandhi, $*_{\mathrm{N}} \mathrm{NONHD} / \mathrm{Hr}$ never plays a role in ruling out unattested output. Thus, it would not be included in the set of constraints.

After dealing with the threat that the new constraints pose to yindiao tone sandhi, let us get back to yangdiao tone sandhi itself which is not as complicated as yindiao tone sandhi. $*_{0}$ NONHD $/ \mathrm{Hr}$ and [IDENT-IO-REG \& *LEVEL] $]_{\text {SEG }}$ are enough to make a successful prediction regardless of its following syllable. Again, for the sake of space, I only take the tableau of $/ \mathrm{LH}-\mathrm{ML} / \rightarrow[\mathrm{ML}-\mathrm{ML}]$ in (36) for example.

[^2]The tableau (36) also shows the reason why I said, in Subsection 3.1.1, *FALL should be outranked by [IDENT-IO-REG \& *LEVEL] ${ }_{\text {sEG }}$. If it were the other way around, the optimal candidate [ML-ML] would be wrongly ruled out.
(36) /LH-ML/ $\rightarrow$ [ML-ML]

| $\begin{gathered} \text { LH-ML } \\ \mathrm{Hr}-\mathrm{Lr} \end{gathered}$ | *oNONHD/Hr | OCP-REG | * ${ }_{\mathrm{N}} \mathrm{NONHD} / \mathrm{Hr}$ | $\begin{gathered} \text { [IDENT-IO-REG } \\ \& * \text { *EVEL }]_{\text {SEG }} \end{gathered}$ | $\underset{\text { ¢ }}{\substack{\text { ¢ }}}$ |
| :---: | :---: | :---: | :---: | :---: | :---: |
| ML-ML $\mathrm{Lr}-\mathrm{Lr}$ |  | * |  |  | ** |
| $\begin{gathered} \text { MM-ML } \\ \mathrm{Lr}-\mathrm{Lr} \end{gathered}$ |  | * |  | *! | * |
| $\begin{gathered} \hline \text { LL-ML } \\ \text { Lr-Lr } \end{gathered}$ |  | * |  | *! | * |
| $\begin{gathered} \hline \text { LH-ML } \\ \mathrm{Hr}-\mathrm{Lr} \end{gathered}$ | *! |  |  |  | * |

Item (37) summarizes the constraint ranking for disyllabic tone sandhi in Xinqiao dialect, and the table (38) makes clear the related crucial constrains of each tone sandhi type; top ranked IDENT-IO-T-HD and IDENT-IO-T-LENGTH, and OCP-REG (which is never violated in yindiao tone sandhi) would not be put in to the table.
(37) Final constraint hierarchy
» NOJUMP-t
(38) Related crucial constrains of each tone sandhi type

| Input | Output | Constraints |
| :---: | :---: | :---: |
| ML | LH | [IDENT-IO-REG \& *LEVEL]seG, *FALL |
|  | LL |  |
| MM | LH | [IDENT-IO-REG \& *LEVEL]seg, *FALL |
|  | MM | *FALL, OCP-1, NOJUMP-t |
| LL/LL | HH/HH | DEP-IO-h |
|  | MM/MM | DEP-IO-h, OCP-1, NOJUMP-t |
| LH, HL, HH | ML or ML | *oNONHD/Hr, [IDENT-IO-REG \& *LEVEL]seg |

## 4 Conclusion

This paper provides an OT account of Chen's (2010) general description of disyllabic tone sandhi pattern of Xinqiao dialect. IDENT-IO-T-HD captures the stability of the tone in the

$$
\begin{aligned}
& \text { IDENT-IO-T-HD, IDENT-IO-T-LENGTH, } *_{o} N O N H D / H r \\
& \text { » OCP-REG } \\
& \text { » DEP-IO-h } \\
& \text { » [IDENT-IO-REG \& *LEVEL] }]_{\text {SEG }} \\
& \text { » *FALL, [MAX-IO-t \& OCP-h] }]_{\text {ADJ }} \\
& \text { » [MAX-IO-t \& NOJUMP-t }]_{\text {ADJ }} \\
& \text { » OCP-1 }
\end{aligned}
$$

head position（right edge）．OCP－REG captures the context－sensitivity in yindiao tone sandhi；$*_{0}$ NONHD／Hr captures the position－sensitivity in yangdiao tone sandhi．In addition to these three essential constraints，other constraints are necessary to correctly predict every type of tone sandhi．Most of the time，markedness constraints alone，like＊FALL，OCP－l， and NOJUMP－t，function perfectly to pick out the attested output while in some cases they have to work with faithfulness constraints together in order not to wrongly rule out the optimal candidate．Thus，the conjunction of constraints，like［IDENT－IO－REG \＆ $\left.{ }^{* L E V E L}\right]_{\text {SEG },}[\text { MAX－IO－t \＆OCP－h］}]_{\text {ADJ }}$ ，and［MAX－IO－t \＆NOJUMP－t $]_{\text {ADJ }}$ ，is adopted．All faithfulness constraints in this study，except for DEP－IO－h and top ranked IDENT－IO－T－HD and IDENT－IO－T－LENGTH，are used to restrict the application scope of markedness constraints to certain forms．

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# Autonomous Learning in Chinese Extensive Reading ${ }^{1}$ 

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#### Abstract

As an important part of Chinese learning for international Chinese learners, reading is also the major difficulty for learners meanwhile. At present, the research of extensive reading mainly focuses on in-class teaching while autonomous learning out of class is neglected. Nevertheless, as an important way to learn Chinese, autonomous learning plays a significant role in Chinese acquisition. Compared with the traditional study in classroom, autonomous learning has the advantages of time, self-planning, learning style, reading materials and interest. Researching on the application of autonomous learning for international Chinese learners, this paper aims to help them improve their competence of extensive reading by autonomous learning. Through analyzing an article The Cowherd and the Girl Weaver, this paper reflects six different reading levels (retell, explanation, reforming, extension, criticism, and creativity) and analyzes how autonomous learning can be applied to these six levels of reading. This paper puts forward various methods which are beneficial for cultivating international Chinese learners' reading skills with the sufficient and reasonable use of autonomous learning.


Keywords: autonomous learning; international Chinese learners; extensive reading

## 1 Introduction

From the ancient time when Confucius founded institute with the purpose of creating class environment for prentice to the modern twenty-first century when schools are spread all over the world, classroom has been serving as the major locale for students to study for thousands of years. Undeniably, classroom indeed creates a favorable study condition for learners. In class, students can acquire knowledge according to the guide from teachers. Meanwhile, the study atmosphere in class contributes to arousing students' study motivations to some extent. However, the current research mainly focuses on in-class teaching strategies as well as learning strategies while the function of autonomous learning in students' learning procedure is neglected. In the limited class-time, the knowledge that students can learn is limited. Students tend to be the study passive receivers. However, compared with the traditional in-class study, autonomous learning can arouse students' study motives more effectively and enable them to study in a more active way. Therefore, autonomous learning plays a significant part in students' learning career.

[^3]Among the four skills in international Chinese which include listening, speaking, reading and writing, reading skill needs our special concern. In the early $21^{\text {st }}$ century, Richard C. (2003) once mentioned a brand new second language teaching method: reading method in Teaching English as a Foreign Language, 1912-1936: Michael West . This method was put forward by a famous British language educator M. West when he was teaching English in India and it manifested that reading should be divided into intensive reading and extensive one. From then on, extensive reading teaching gradually came into the sight of second language education world. Nevertheless, research on extensive reading of international Chinese in China just caught scholars' attention in recent years and the research is restricted to the in-class extensive reading teaching. What is worse, currently most of the extensive reading lessons are following the fixed pattern including asking students to read the reading material, finishing exercises, correcting the answer and giving explanation. This kind of tedious teaching mode is not conducive to the cultivation of extensive reading competence of students. The reason why extensive reading is defined with the word "extensive" is that it requires student to read massively and diversely. Therefore, extracurricular reading is especially meaningful to students. This paper mainly analyzes the significance of autonomous learning in nurturing international Chinese learners' extensive reading abilities and lays emphasis on after-class extensive reading with the hope of improving their extensive reading skill. The following issues are discussed in this paper: (1) the reasons why international Chinese learners need autonomous learning; (2) the methods that can help student to improve extensive skill by autonomous learning; (3) the pros and cons of autonomous learning in fostering extensive reading skill of international Chinese learners; (4) the resources which are beneficial for international Chinese learners to improve their extensive reading skill

This thesis aims at exploring the ways which enable international Chinese learners to improve their competence in extensive reading through autonomous learning. It consists of five parts. The structure is as follows. The first section is introduction; the second part reviews some literature which is relevant to the topic; in session third, it states how a learner improves his extensive reading competence through autonomous learning; the following part mainly analyzes both the advantages and disadvantages of autonomous learning in cultivating capacity for extensive reading of international Chinese learners; the last section concludes the whole thesis.

## 2 Literature Review

In this section, comprehensive review about relevant literature of this thesis is expounded on the definition of autonomous learning, patterns, techniques, and difficulties of Chinese extensive reading.

### 2.1 Autonomous Learning

Being a traditional study method, in-class study maintained the chief status in education for a long time. With the passage of time, however, some limitations of in-class study emerged the limited lesson time and classroom space could not meet the demands of student. As a
result, autonomous learning gradually gained more and more attention from people. Research on autonomous learning theory dated back to 1950s. Later in 1980s Autonomy and Foreign Language Learning written by Holec (1981) renovated the theory of autonomous learning and set off a new upsurge in foreign teaching. Holec defined autonomous learning as the capability that the learner can be responsible for his study and a variety of study strategies in learning process. While Dickson (1987) regarded autonomous learning as the quality of being responsible for the study decisions made by learner himself and putting them into effect. Zimmerman (1989) set up a research framework of autonomous learning which held the opinion that task condition is a fundamental condition in assuring whether learner is autonomous. Allwright (1990) looked upon autonomous learning as a balance between the constant movement of independence and dependence. Candy (1991) believed that autonomous learning is a characteristic of personal willingness, capacity and selfmanagement. It is this characteristic decides that the success or failure of study. In the eyes of Little (1991), autonomous learning is an ability of making study decisions by oneself which include goals, contents, means and so on as well as taking action independently and making critical thinking. Dam (1995) emphasized that autonomous learning is not only relying on learner himself, but also in need of group cooperation which is an essential approach to boost autonomous development of learner in the process of mutual evaluation, negotiation and growth. Nunan (1995) deemed that a learner can be seen as an autonomous learner as long as he is able to set his own study goal and carry it out. Little wood (1999) had faith in that autonomous learning is a kind of aptitude for making study decisions and implementing them autonomously. In Pintrich (2000)'s perspective, autonomous learning is a type of active and constructive learning process which emphasizes the initiative of autonomous learning.

In contrast, domestic research on self-learning started late, and there are few works on it. Yu (1999) thought that opposing to learning by following the instructions, autonomous learning requires a learner to draft study strategy by himself during the learning process. Pang (2003) viewed the incentive of autonomous learning as an internal motivation which is a sense of self-excitation. Besides, Pang proposed that autonomous learning should be defined through both vertical dimension and horizontal dimension. Horizontal dimension refers to define autonomous learning from all aspects of learning which consist of motivations, contents, strategies, time of learning as well as favorable conditions of learning created autonomously. If learner behaves autonomously in these aspects without depending on other people, that procedure can be seen as autonomous learning. On the other hand, vertical dimension focuses on students' performances during the whole learning process which involves pre-learning (setting goals and plans, preparation), while-learning (selfadjustment and self-monitoring) and post-learning (making summary, evaluation and selfexamination). The above mentioned aspects can also be regarded as the process of autonomous learning. From the angle of He (2003), to become an autonomous learner, have the ability to command his own study in a student-centered class. As for teachers, they can play a better role of leaders, organizers and problem solvers if they equip themselves with the theory about autonomous learning and the necessary conditions for realizing selflearning. O Also, it helps teachers to get involved positively in the process of cultivating students' autonomy in order to assist students to become the real autonomous learner as well as improve their learning efficiency and gain the best learning effect. Jiang (2006) held the idea that teachers' involvement is the necessary and important prerequisite for improving the ability of autonomous learning. He argued that the positive guidance and proactive
intervention are the two important means to promote learners' autonomy. Moreover, basing on the theory and actual demand of learners' autonomous learning, Jiang discuss the importance of teacher intervention in leading learners to study autonomously and improving learner s' ability of autonomous learning.

Throughout the research on autonomous learning from scholars home and abroad, autonomous learning plays a vital role in learners' path of chasing knowledge for learner. Meanwhile, it and it has received increasingly attention in second language acquisition.

### 2.2 Extensive Reading

Intensive reading and extensive reading complement each other. Intensive reading lays particular emphasis on language points in this article. While extensive reading stresses the training of language skills rather than words or sentences. From Wu (1991)'s viewpoint, "the demands of extensive reading consist of understanding the meaning of the passage or story and the main idea of the author. On the above premise, certain reading speed is required and students are allowed to read without thorough understanding, along with being allowed to skip some difficult words when reading within limits. We are not asked to digest every word or sentence in accordance with the rigid and precise procedures of hermeneutics." Hence, there is no need for learners to split hairs on the appropriate use of words and sentences in extensive reading. Learner may ignore unknown words or difficult grammar points provided that the main idea of the passage is understood. At present, classes of teaching Chinese as a foreign language basically is modeled on the pattern of student reading, finishing exercises, correcting answers and teacher interpretation. Under this kind of model, students are likely to fall into the habit of dependence and land themselves in a passive position without arousing their motivation.
2.2.1 Genres of Extensive Reading. Extensive reading can be divided into several genres: speed reading, photo reading and inspectional reading. Traditional speed reading put forward by Kuznetsov, Hromov and Yang (1985) should avoid reading aloud because once we read out loud reading speed will decrease. In addition, techniques of speed reading include the acceleration of reading speed, a reduction in frequency and time of eye pause as well as the prevention from looking back at the content. Apart from speed reading, photo reading is anther newer method. Paul (2006) brought forward the idea of photo reading that attaches importance to subconscious reading. It means to the materials which have been read in sub-consciousness and extract those information to conscious memory with some techniques. The main steps contain preparation, previewing, photo reading, activation and fast reading. Besides, there is also a method called inspectional reading raised by Mortimer and Charles (2004). It refers to take an overall view of the whole book and its general idea with curiosity and sensitivity of reading and then distinguish key words of the book. This is the best reading method to read thoroughly within the limited time.
2.2.2 Skills of Extensive Reading. A variety of skills can be applied to enhance the competence of extensive reading for learners. For example, Zhou, Zhang and Gan (2008) raised seven reading skills for learners including guessing the meaning of a word, understanding the long and difficult sentences, looking for the general idea and details, finding signal words, predicting the following plots, reading with assessment, fast reading
and so on. During the process of reading, if we do not know the meaning of key words, the general understanding of the book will be influenced negatively. However, using the dictionary frequently is a taboo in extensive reading. At this point, the skill of guessing meanings comes into effect. Due to the special structure of characters, learners are able to guess the meaning of unknown words by observing their radicals, morphemes, Chinese abbreviations, mutual interpretation and clues from the context. When confronting long and difficult sentences, learners can guess their meanings through keywords and some special punctuation marks. Main ideas of the text can be summarized through seeking key words, topic sentences or the text's structure. The respective skills are as follows. Key words often appear in the form of nouns and are repeated frequently. As for the topic sentence, it mostly locates at the top or the end of a paragraph. Sometimes topic sentences appear both at these two places to echo each other. The main idea of the passage is largely revealed by its title and stylistic features. In order to look for the important details of a passage, learners can find out the theme first and then chase down the relevant details. Moreover, signal words play a significant role in students' comprehension of a text. The common types of signal words include repetition and complement, sequence and classification, causes and sources, turning and contrasting, conclusions and generalizations. Those signal words play a crucial role in understanding the structure of a passage. Prediction means that the learner takes advantage of his own knowledge and the information mentioned in the text to infer the following passages. Syntax as well as common sense can be the basis of prediction which makes the following reading easier, faster and more comprehensible. What is more, learners can grasp the idea of a passage by critical reading that requires learners to distinguish facts from opinions so as to analyze the intention and attitude of the author. Last but not least, learners' reading skills will get better through practicing fast reading. Just as its name implies, fast reading is equal to skim the passage in a high speed. In fast reading, student is supposed to form a good habit of reading and eye movement.
2.2.3 Extensive Reading. International Chinese learners have "difficulty in reading to some extent". According to the research done by Zhang (2002) on Chinese reading anxiety of overseas students from Japan, Korea, Europe and America, the result shows that international students from those areas are not satisfied with their Chinese proficiency and have higher anxiety about it. The investigation conducted by Fan (2008) shows that European and American students share a common view that Chinese characters are difficult to learn and their reading anxiety rises with the popularization of this thought. Nowadays, factors that affect foreign students' reading can be roughly divided into two categories: linguistic factor and non-linguistic factors. Because of the particularity of Chinese characters, lots of foreigners have difficulty in distinguishing them. Likewise, the difficulty blocks them to read fluently. Except Chinese characters, Chinese grammar is also a big problem for foreigners. Word order in Chinese is distinct from the one in many other places, such as the position of adverbial and the structure of sentence constituent. Therefore, it is intelligible to us that overseas students will have difficulty in learning Chinese. Besides, unlike English or any other languages, Chinese is a kind of language without any blank space. Within a Chinese sentence, there will be no blank in the midst of a word or a phrase. Due to this phenomenon, a lot of overseas students reading speed and comprehension are affected. Although linguistic factors count, non-linguistic factors also contribute difficulty to Chinese reading for overseas students. According to Hu (1993), cultural diversity results in large difference of cognition towards Chinese culture between foreign students and

Chinese one. Take dragon for example. In Chinese culture, dragon is the symbol of auspiciousness and dignity. On the contrary, some countries see dragon as the incarnation of evils. Another typical example is the different cognition towards the color white. In China white represents sadness and funeral; while white is synonym for purity in other countries and you can see decoration in white on plenty of important occasions. In addition, lacking knowledge of some special phenomena or phrases in China such as mould rain, an auspicious day and days creeping by like years also causes inaccurate understanding of those special words when overseas students encounter them in Chinese reading.

### 2.3 The Importance of Autonomous Learning for International Chinese Learners

In 1972, international committee of United Nations Educational, Scientific and Cultural Organization (UNESCO) presented an educational report named Learning to Be: The World of Education Today and Tomorrow. This report stated that "The schools in the future must take the object of education as the subject of his own education. The man submitting to education must become the man educating himself; education of others must become the education of oneself." "The new educational ethos makes the individual the master and creator of his own cultural progress. Self-learning, especially assisted self-learning, has irreplaceable value in any educational system." These excerpts directly express the significance of autonomous learning for learners.

Compared with the traditional in-class learning, autonomous learning has the following advantages. First of all, learners are provided with more time and less pressure to learn what they are interested in. In class, time of learning is limited and there may be a lot of accidental factors such as failure of teaching devices and disorder of class discipline. These factors are likely to influence the quality of in-class learning and shorten the limited time indirectly. In contrast, autonomous learners can choose the study time according to their own situation, which enables them to manage their learning freely no matter when or how long they learns. In this way learners are able to control learning time as well as be free from the interruption of the external factors. What is more, in-class extensive reading is often followed by some relevant exercises which give a few students a sense of resistance. The reason why some students may resist exercises is that they tend to lose their confidence when they find their fellow classmates have higher rate in accuracy than theirs, which leads to losing interest in study gradually. On the contrary, students will bear less psychological burden in extracurricular autonomous learning because they do not have to consider the result of peer comparison, which them achieve a better study effect. Secondly, autonomous learning improves students' study initiative and arouses their study motivation more effectively by offering students a chance to schedule and choose their study plans. Traditional in-class learning sticks to teaching plans of teachers which mean that what students learn is decided by textbooks. In this fixed teacher-centered mode, students are likely to haves inactive participation, with low initiative and weak learning motivation, which may result in receiving unsatisfactory study effect. However, in the process of autonomous learning, what to learn, how to learn, study schedule and the pace of learning are based on interest and personal situation of students. With no limitation of knowledge level in students' learning, learners are likely to learn more actively with stronger learning motivation in this kind of student-centered study mode. From the angle of second language acquisition, the stronger the motivation of learners is the better feedback students can receive. In the third place, more
study methods are available in autonomous learning for students to choose. In traditional inclass teaching, the majority of time is spent on giving instruction from teachers while little time is left for students to read and finish exercises. In this type of class, students receives education and finish task as an individual. Nevertheless, autonomous learning provides students with multiple methods to improve their linguistic competence. Learners can gather in a group to recommend interesting articles and share effective study methods. They can also learn supervise and give feedback with each other. Using this study strategy can effectively stirs up students' learning motivation and improves their extensive reading competence. Fourthly, autonomous learning broadens learners' horizons. Textbooks are mainly used as the teaching material in traditional class, in which students only learns knowledge and reads passages that are written in textbooks. In this way, the cognition of Chinese culture from the perspective of student is quite restricted. The knowledge shown in textbooks is only the tip of the iceberg of the rich and profound Chinese culture. During the process of autonomous learning, student can have a deeper and comprehensive understanding of Chinese culture by reading materials from various fields. The better comprehension about Chinese culture allows learners to read Chinese passages faster and more correctly. Last but not least, autonomous learning adds more fun to learning, which is helpful for students to understand Chinese reading. In classroom, the materials that learners receive are mainly from textbooks or those which are selected by teachers. Generally speaking, both of these materials have a common place. The universality is that what come into view are lines of words with single tedious, which is hard to arouse the interest of students. In 21st century, the prevailing of new media brings tremendous changes to our lives. Therefore, new media enables learners to choose their suitable media on the proper occasion to have autonomous extensive reading. The reading materials in new media are usually full of liveliness with vivid illustrations and prevalent interesting dynamic pictures. These pictures assist learners to infer the content of reading materials so that they can increase their reading speed and read with delight. Besides, the reading materials in new media are highly time-based which means that students are able to read the news that took place recently or even currently in new media in an extremely short time. Keeping up with the social development trends contributes to the better understanding of Chinese culture.

## 3 The Application of Autonomous Learning in International Extensive Reading Teaching

The ways of autonomous learning out of class are plentiful. Learners can read in different ways and take advantages of media to improve their reading ability. Besides, an autonomous learner can make a reading plan when he is going to have extensive reading. First of all, learners should know about his own reading competence level exactly so that he can make the goal which suits his situation. Secondly, effective monitoring is needed when a learner is carrying his plan. In this process, monitoring can be taken by the learner himself or by his companion. Thirdly, in the last stage of his plan, learner should conclude his learning outcomes and some feedbacks to check if he has reached his goal. The next plan should be made if he has finished his current goal. Nevertheless, the learner should reflect himself and analyze the reasons and carry out the plan again if he does not reach his goal.

Autonomous learners can make a plan according to their reading competence levels.

According to the six cognitive levels, Zhu (2005) points out the classification of reading competence, which separates reading competence in to six different levels including retelling, explanation, reforming, extension, criticism and creativity. Taking The Cowherd and the Girl Weaver as an example, six levels of reading competence are analyzed through this article. What is more, how learners reach their reading level through autonomous learning has also been stated.

### 3.1 Retelling

According to Zhu (2005), retelling means that learners can basically read the article and point out the clear facts stated in the article. This kind of reading competence is simple and fundamental. Learners can understand the main idea of the article through some important clear facts. Nevertheless, learners do not have to understand the details shown in article in this level. Take The Cowherd and the Girl Weaver as an example. The learner at this level can basically answer this kind of question: "Did The Cowherd and the Girl Weaver get together at last?" by recognizing the sentence in in paragraph nine "seeing this, the Queen Mother of the Western Heavens reluctantly allowed them to meet once a year on 7th day of the 7th month.", which proves that the learner has already mastered this reading skill. If the learner fails to reach this reading level, more practices are suggested to be taken. Here are the specific steps of cultivating repeating skill. First, learners can start with some elementary reading materials and try to understand the main idea and point out the distinct facts in the article. For example, in the article The Cowherd and the Girl Weaver, aiming at above question, the learner can extract the key words in the question first, which are 'The Cowherd' and 'the Girl Weaver'. Besides, the question is about the end of the story. As a result, the learner should find the answer in the last paragraphs. He can circle the whole paragraph which might contain the correct answer. Then he can read in details and shrink the range of answer slowly and finally confirm the answer. What should be noticed is that retelling, as the foundation of reading competence, is quite important. Learners will improve their reading skills only when they are interested in reading. Therefore, learners are encouraged to read their favorite reading materials so that they cultivate their reading interest and have the motivation of practicing this reading skill repeatedly.

### 3.2 Explanation

According to Zhu (2005), explanation means that learners can explain the basic meaning of the words or sentences in the article with their own words. In this level, the requirement of reading competence is higher, which requires learners to be equipped with some Chinese words and grammar so that they can explain words and sentences in the article using their own words. Take The Cowherd and the Girl Weaver as an example, learners in this reading level can explain "she had already heard that Niulang was a kind-hearted and industrious young man. She shyly nodded as her response." in paragraph four. In this sentence, "She shyly nodded as her response." means that the Girl Weaver promises to marry Niulang. Learners here should read quickly. If they get some unfamiliar words while reading, they can guess the meaning of the words first. If he could not guess the words, he can skip the
words．It will cause the coherent understanding of a text if the learner keeps checkings the dictionary all the times while reading．

After extensive reading，learners can focus on the important and difficult words such as the word＂暴跳如雷＂．In order to reach the reading level of explanation，learners should first understand the words or sentences．For instance，the learner should firstly understand the meaning of the word＂暴跳如雷＂．Then，he should search the information in his brain which can match the word－describe the anger of a person．For the situation above，the learner should first extract the key information of the sentence so that he is able to understand the sentence．Besides，the learner should accumulate Chinese words．He can make full use of electronic dictionary to look up the words he does not know．What is more， the learner can take advantage of his spare time to accumulate Chinese words．For instance， he can utilize his electronic device to review words while queuing in a restaurant．

## 3．3 Reforming

According to Zhu（2005），reforming is that learners are able to conclude the main idea of the article by reading．In the reading level，the learner should be equipped with the ability of reconstruction and conclusion so that he is able to condense the article．Take The Cowherd and the Girl Weaver as an example，the learner in this level are able to divide the ten paragraphs into four parts according to the story plot．There are the background of the story （1）；with the help of the old cow，Niulang married the girl weaver（2－5）；Heavenly King and Queen Mother of the Western Heavens stopped Niulang meeting the girl weaver（6－8）；with the help of magpie and Queen Mother of the Western Heavens，Niulang could meet the girl weaver once a year（9－10）．Learners are able to figure out the relationship between the old cow，Niulang，the girl weaver，Heavenly King and Queen Mother of the Western Heavens and conclude the story by dividing the paragraphs of the article．The learner in this reading level can answer this kind of question：＂what story could we learn in this article？＂In this process，learners should read through the article and catch the key sentences．For instance， the learner should catch the key sentences while reading the story The Cowherd and the Girl Weaver，especially the first and the last sentences．Then，he can conclude the article by his own words．In order to deepen the understanding of the story，learners can make full use of new media，such as watching the video of The Cowherd and the Girl Weaver．

## 3．4 Extension

According to Zhu（2005），extension means that learners are able to infer the connotative meaning of the article．The requirement of this reading level for learner is high and learners should have a certain logic reasoning ability．Take The Cowherd and the Girl Weaver as an example，the learner in this level is able to infer the connotative meaning according to the main idea of the article．In this article，the learner can infer the plain and glory of the folk by reading the story of The Cowherd and the Girl Weaver．If the learners are able to answer this question：＂what could we infer by the story of The Cowherd and the Girl Weaver？＂－ we can infer that the people are yearning for seeking the love freely，and then we can determine that the learner has reached this reading level．During the process of making inference，the learner may misunderstand the content or only get the superficial meaning at
the beginning. For this problem, learners can focus on the Chinese story they like at first and infer the deeper meaning step by step. It is more useful to read the same story for ten times than to read ten books. The important thing is the quality rather than quantity in this stage of reading. Besides, for the story of The Cowherd and the Girl Weaver, learners can discuss this story with friends so that they can feel different thing that they cannot feel by him through communication. It is helpful for learners to understand the connotative meaning of an article.

### 3.5 Criticism

According to Zhu (2005), criticism means that learners are able to make a comment on the central theme and sentences of the article. Learners in this level needs to estimate the article by using critical thinking. Take The Cowherd and the Girl Weaver as an example, if the learner can manage to answer the question: "in the 7th paragraph of the story, Niulang peeled off the cow's skin with tear in his eyes. Why Niulang cried?"-it shows the struggling of Niulang in that Niulang is happy for he is going to see his wife but he is sad for the death of the old cow meanwhile.', then we can tell that he has reached in this reading level. In this level, learners can try to estimate the article from multi angles which include the theme, language using and rhetorical methods of the article. For The Cowherd and the Girl Weaver, learners can make a comment on different aspects. For instance, on the story plot, is it reasonable for the development of the story? On the person characterization, how are the personal image of Niulang, the Girl Weaver, Heavenly King, Queen Mother of the Western Heavens and the old cow? On rhetorical device, how are the rhetorical device on Queen Mother of the Western Heavens and Heavenly King? Etcetera.

### 3.6 Creativity

According to Zhu (2005), creativity means that learners are able to put forward the new opinion and solutions through analyzing the article by using his knowledge storage. Learners in this level should equip themselves with productive thinking, favorable Chinese reading and expressing ability. Learners in this level can answer the question: "To the problem that Niulang only could meet the Girl Weaver once a year, do you have better idea to help them?" In order to reach this level, learners can begin with different kinds of reading materials but not just the materials that they are interested in. Beside, in this article, learners can have transpositional consideration that if he is the hero in the story, how he will solve the problem about meeting each other once a year? If he is Heavenly King or Queen Mother of the Western Heavens, how he will deal with the problem in a better way? All these transpositional consideration are beneficial for learners to put forward new problems and solve them.

## 4 Payoffs and Pitfalls of Autonomous Learning

There are two sides in every coin. Therefore, there are payoffs and pitfalls for international Chinese learners to make use of autonomous learning to improve their reading competence. On one hand, there are payoffs in autonomous learning: (1) there are more choices and freedom for learners in the process of autonomous learning. Learners can choose the reading materials they like out of class, which can increase their interest in Chinese reading. Besides, learners can choose different ways to read out of class. For instance, learners can read the materials with the video or GIF picture, which can help him understand the article. (2) Learners can widen the quantity of Chinese reading out of class by autonomous learning. There are limited reading materials and aspects in class. Nevertheless, learners can make full use of the resources out of class to enlarge their quantity of Chinese reading. For instancet, after learning the story The Cowherd and the Girl Weaver, learners might still want to read more articles like The Cowherd and the Girl Weaver. Out of class, they can search more Chinese traditional fairy stories suchy as Goddess Marriage. They can learn more while reading. (3) Compared with the in-class learning, there are more time for learners to read. And learners are freer to plan time. It is beneficial for learners to make a better plan of extensive reading. Learners can focus on the difficulties for themselves. For instance, when the teacher gives students five minutes to read, not all of students can finish the reading task on time. Each student is an individual with different quality. As a result, it is difficult for teachers to take care all of the students. Nevertheless, students can make a plan according to their situation in autonomous learning. (4) There are more ways to learn extensive reading in autonomous learning. For example, learners can learn in a team where they are able to communicate and monitor with each other. They could share their opinions on the article with others and learn from each other, which is beneficial for learners to strengthen their study motivation.

On the other hand, there are also some limitations for learners in autonomous learning: (1) In the process of autonomous learning, for lacking the guidance from teachers, students might lose their reading direction and take extra time to finish one thing. Take The Cowherd and the Girl Weaver as an example, students need the guidance from teachers when they cannot infer the central theme of the article. If students cannot get the effective guidance, they might have the difficulty in moving on. (2) Students might be lazy for lacking effective monitoring in the process of autonomous learning. Each student is an individual with different self-control ability. For the students who are poor at self-control, they tend to be indolent while carrying out their plans, and receive little progress with autonomous learning. (3) It is still unknown that whether autonomous learning can enable each learner to improve their reading proficiency because the individual difference among learners. For some learners, they might perform well with autonomous learning while others who lack selfcontrol might need someone push them to learn.

All in all, from the perspective of cultivating learners' extensive reading ability, autonomous learning has two sides. Therefore, how to enhance learners' reading ability effectively by making full use of autonomous learning appear to be extremely important. Day \& $B(2002)$ put forward five principles for leaners to advance their reading competence by autonomous learning. (1) First of all, the reading material must be suitable for learners' reading level. Generally speaking, there should be no more than two new words in a page for a beginner but no more five for an intermediate leaner in an article. (2) The reading materials must be interesting for learners. It is proved that people always learn how to read
while reading. Therefore, if the reading material is boring, the learner might lose the interest for reading, which might lower his study motivation. (4) The quantity of reading is important for learners. Learners should read more as much as possible for it is beneficial for them to enhance their reading ability. (5) Reading speed is another important factor that affects learners in the process of autonomous learning. It is difficult for learners to analyze Chinese words with slow reading speed. It is very likely for learners to forget the previous part while reading the next part, which results in the wasting time for looking back over and over again. Therefore, it is necessary for learners to cultivate a good reading habit with high reading speed.

## 5 Conclusion

As an important learning part and important approach for international Chinese learners to acquire knowledge, extensive reading plays a significant role in Chinese learning. However, at present the study of extensive reading still focuses on in- class teaching, which is not beneficial for the improvement of students' extensive reading ability. From the angle of autonomous learning, this thesis first analyzes the signification of autonomous learning for learners. Second, the applications of autonomous learning on six different reading competence levels are stated, which include retelling, explanation, reforming, extension, criticism and creativity. What is more, compared with the traditional class teaching, the payoffs and pitfalls of autonomous learning are analyzed in this paper as well. As is mentioned above, the advantages of autonomous learning are as follows: (1) There are more time and less pressure for learners to learn the reading materials that they are interested in. (2) In the process of autonomous learning, learners can plan and choose the study time by him, which can promote their study motivation. (3) There are more ways for learners to study extensive reading. In the process of autonomous learning, learners can study in a team and monitor each other. (4) Learners can learn more different knowledge in the process of autonomous learning. Students can understand more Chinese culture deeply through reading materials in different areas. (5) Autonomous learning is more interesting, which is beneficial for learners to study Chinese extensive reading. Learners can choose different media and different reading materials that match their own situations. Nevertheless, there are also some limitations in autonomous learning. For instance: (1) in the process of autonomous learning, students lack effective guidance from teachers. (2) Students might be lazy for lacking monitoring in the process of autonomous learning. (3) Each learner is an individual with different level. As a result, each learner would have different feedback in the process of autonomous learning. Therefore, learners should envisage the payoffs and pitfalls of autonomous learning and make full use of them according their own condition.

Analyzing the application of autonomous learning on international Chinese extensive reading, this thesis hopes to provide international Chinese learners with suggestions which help them to take the advantages of autonomous learning to enhance their reading ability.

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# A Contextual Analysis of Code-switching of a Young Bilingual 

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#### Abstract

In multilingual Hong Kong, people often mix and switch between languages in their conversations. This is known as code-switching. Though they never learn how to code-switch, they naturally exhibit this behaviour. Considering this, this study aims at finding out different reasons that cause a bilingual child to code-switch since young. Following Pennington et al.'s (1992) study on code-switching of students at City Polytechnic of Hong Kong (Poly-gay-wa), and Gibbon's (1983; 1987) studies on codeswitching of students at The University of Hong Kong (U-gay-wa), this study adopts the same framework-Joshua Fishman's (1972a) domain analysis, as the backbone of the study. This case study examines the role of domains and other factors in influencing code-switching of a 2 -year-old American-Chinese bilingual born and raised in Hong Kong. During a two-month period, audio and video recordings containing the child's interactions with her parents, grandparents, caretakers, aunt, and peers were collected and transcribed. Participants were asked to fill in a questionnaire detailing their language background, attitude, and attitude towards code-switching. Follow-up interviews were conducted. Both quantitative and qualitative analysis methods were used. Results suggest that the topic and interlocutors of a domain are influential external factors affecting the child's code-switching behaviours. The findings suggest that future studies could be longitudinal and could further investigate if code-switching has any long-term effects on the fluency of both languages.


Keywords: code-switching; bilingualism; language development

## 1 Introduction

### 1.1 Background of the Study

The colonial history has turned Hong Kong into a bilingual cosmopolitan city. Despite that Hong Kong is no longer a British colony and China has resumed its sovereignty over Hong Kong, its strong vibe of bilingualism remains until today. Politically, Hong Kong government adopts both English and Chinese as its official languages. In terms of education, the Education Bureau allows schools to choose their own medium of instruction-either English or Chinese, depending on the language ability of students. Socially, walking around Hong Kong, it is not uncommon for one to hear the use of both English and Chinese in communications between not only locals and non-locals, but also among locals. What makes it interesting is not the fact that both languages are used, but the WAY that the two
languages are used - the juxtaposition within the same speech containing both English and Chinese, also known as code-switching (Gumperz, 1982). The association between bilingualism and code-switching is recognised by Pennington (1992), who holds the view that language alternation is a significant aspect of bilingualism. The striking point is that not only adults know how to code-switch, but also children, teenagers, and even some elderly. This has motivated the current research, which aims at examining different factors that cause bilingual children to code-switch.

### 1.2 Definition of Key Terms: Context and Domain

In sociolinguistics, the word "context" is defined as the linguistic and social environment that co-occur with a linguistic variable (Young \& Bayley, 1996). Context sets the conditions of discourse (Van Dijk, 2008). Fishman (1972a) came up with the term "domain" to refer to the effects of specific context of interaction on one's code choice. According to Fishman (1972a), topic, interlocutors, and locale are factors that influence the concept of domain.

## 2 Literature Review

### 2.1 Approaches to Investigating Code-Switching: Allocational vs Interactional Paradigms

The approaches used to study code-switching and can mainly be categorised under the "allocational" and "interactional" paradigms (Milroy \& Gordon, 2003). The allocational paradigm focuses on the effects of social structures on language behaviours whereas the interactional paradigm emphasises on the role of individuals in making rational language choices in accordance to the community's expectations (Milroy \& Gordon, 2003). MyersScotton's Markedness Model (1998), Matrix Language Framework (MLF) model and Gile's Speech Accommodation Theory (1991) are the "interactional" approaches whereas Joshua Fishman's domain analysis (1972a) is the "allocational" approach.

The Markedness Model explains code choice by distinguishing a marked choice from an unmarked choice (Myers-Scotton, 1998). The markedness of a linguistic code is judged by comparing its use with the community's expectations of when and where it should be used (Myers-Scotton, 1998). In other words, an unmarked choice is one that helps to maintain the status quo in terms of rights and obligations between speakers, while a marked choice is one that changes the status quo (Myers-Scotton, 1998). In intrasentential codeswitching, the dominant language is called the Matrix Language (ML) that provides the grammatical framework for mixing, while the Embedded Language (EL) is the language of which its words are mixed into the Matrix Language (ML) (Myers-Scotton, 1997).

In Giles's Speech Accommodation Theory (1991), language choice is a result of accommodation. Speakers will employ similar ways of speaking to become more like their interlocutors and will speak differently if they want to accentuate the differences between
themselves and others. The former is called "convergence" and the latter is "divergence" (Giles, 1991).

While the "interactional" approaches focus more on how interaction influences one's linguistic code, Fishman's domain analysis (1972a) focuses on how social institutions influence language behaviour and examines "the correlations between code choices and types of activity" (Boztepe, 2003, p. 12). A domain, as defined by Fishman (1972a), is a sociocultural concept stemmed from the similarity of patterns of behaviours and communications among different individuals based on the institution, society, or speech community that one is in. Domains include "the major clusters of interaction that occur in clusters of multilingual settings and involving clusters of interlocutors" (Fishman, 1972b, p. 441). Topic, interlocutors, and locale are factors that influence the concept of the domain (Fishman, 1972a). According to Mesthrie, Swann, Deumert and Leap (2009), domains help to build general regularities of language use. This is reinforced by Fishman (1972a), emphasising that particular classes of interlocutors will choose the "proper" language variety out of all other available varieties based on the situation that they are in and the topic they are discussing (p. 437).

Fishman's domain analysis (1972a) was adopted as the main model for analysis of this study as it provides a systematic framework for examining the complex data. The goal of the present study is not only to understand how higher level institutional constraints influence one's language choice, but to investigate how different factors in a domain interact with each other in influencing one's language choice. Furthermore, the domain analysis is the most appropriate framework for this study as it was the methodology adopted by the pioneering researchers in the field of code-switching in Hong Kong, namely, Gibbons (1983; 1987), and Pennington et al. (1992).

### 2.2 Previous Research on Code-switching in Hong Kong

Apart from the studies mentioned above, which scrutinised code-switching among students in tertiary institutions in Hong Kong, there have also been studies that investigated codeswitching among secondary students in Hong Kong (Chan, 2004; Fu, 2008; Lee, 2004 \& Lui, 2000). Chan (2004) and Lui (2000) focused on code-switching in written discourse, both in the format of journal writing, while Fu (2008) and Lee (2004) examined codeswitching in high technology applications, namely online forum and weblogs respectively.

As previous studies done on code-switching in Hong Kong focused more on the secondary and tertiary students and on the written or online discourse, the present study was conducted with the aim to focus more on the spoken discourse and to find out why young bilinguals, but not teenagers or young adults, code-switch.

## 3 Methodology

A case study was conducted for the duration of two months to see how different contextual and socio-linguistic factors influenced a bilingual child's code-switching behaviours. One criticism of case studies is that the results cannot be generalised as they only represent discrete situations. Nevertheless, Myers (2000) defends the generalisability of case studies
by stressing that partial generalisation of results is still possible among populations in similar circumstances.

The research target is a 2-year-old English-Chinese bilingual who has a Chinese mum (born and raised in Hong Kong) and an American father (born and raised in America). The code, R , was used to refer to her in this study. Both quantitative and qualitative data were collected, namely, audio and video recordings, questionnaires and semi-structured interviews.

The child's interactions with different interlocutors and in different settings were audio and videotaped during the two-month period. There was no fixed requirement on the content and location of the interaction as the goal of this research was to analyse the natural speech of the child through which different factors that caused her to code-switch can be revealed. In the end, 12 recordings were selected for detailed analysis (as summarised in Table 1). The domains, namely, topic, interlocutors, and locale, were analysed to see how different contextual factors influenced the young bilingual's code-switching behaviours. Based on the transcriptions, the frequency and proportion of code-switching under different situations were calculated. This helped to shed light on various socio-cultural and contextual factors that affect the bilingual child's code-switching. Keywords in codeswitched utterances were tagged, and recurrent themes of interest and functions of codeswitching were identified.

Questionnaires and interviews were used to explore other possible factors that might affect the research target's code-switching and language behaviours. Data collected on the language background, attitude, and behaviours of the research target's interlocutors will, in turn, provide information on the language input and code-switching behaviours of the research target. The triangulation of data also helps to enhance the validity and reliability of the research.

The research question is: How do different domains influence the bilingual child's codeswitching behaviours?

## 4 Findings and Discussion

### 4.1 Quantitative Data from the Recordings

Table 1. Proportion of code-switched utterances to the total number of utterances

|  | Date | Place (Locale) | Topic | Inter-locutors | $\begin{gathered} \hline \mathbf{C S} / T \mathbf{U}^{1} \\ \text { (Inter- } \\ \text { louctor(s)) } \\ \hline \end{gathered}$ | CS/TU <br> Research <br> target) |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| 1 | 5/3 | Chinese restaurant | Meal time | Dad | 23.1\% | 25\% |
| 2 | 13/3 | HKU | Rest | Dad | 0 \% | 31.3\% |
|  |  |  |  | Mum | 38.5\% |  |
| 3 | 27/3 | Church | Storytelling | Dad | 0\% | 15.8\% |
|  |  |  |  | Mum | 35\% |  |
| 4 | 31/3 | Home | Play time | Grand-father (M) | 19.5\% | 21.5\% |
|  |  |  |  | Grand-mother ( $\mathrm{M}^{2}$ ) | 23.1\% |  |
| 5 | 2/4 | Home | Play time | Grand-mother (M) | 51.3\% | 44.4\% |
|  |  |  |  | Mum | 61.5\% |  |
|  |  |  |  | Aunt (didn't talk much) | 0\% |  |
| 6 | 8/2 | Home | Play time | Grand-mother (M) | 38.1\% | 47.4\% |
|  |  |  |  | Mum | 47.4\% |  |
|  |  |  |  | Aunt | 50\% |  |
| 7 | 12/4 | Hotel | Wanna call 太婆 (Greatgrandmother)? | Grand-father (F) | 0 \% | 29\% |
|  |  |  |  | Grand-father (M) | 15.4\% |  |
|  |  |  |  | Grand-mother (M) | 20.8\% |  |
|  |  |  |  | Mum | 40\% |  |
|  |  |  |  | Aunt | 100\% |  |
| 8 | 15/4 | Home | No need to cook | Care-taker | 0\% | 0\% |
|  |  |  |  | Grand-father (M) | 0\% |  |
|  |  |  |  | Grand-mother (M) | 50\% |  |
| 9 | 16/4 | Home | Clean up | Care-taker | 22.6\% | 29.6\% |
| 10 | 17/4 | Church | What do you like? | Sunday School teacher | 9.7\% | 15.4\% |
|  |  |  |  | Aunt | 14.3\% |  |
|  |  |  |  | Dad | 0\% |  |
| 11 | 24/4 | Church | Let's share toys! | Sunday School Englishspeaking Kid 1 | 0\% | 30.8\% |
|  |  |  |  | Sunday School Englishspeaking Kid 2 | 0\% |  |
|  |  |  |  | Sunday School teacher | 0\% |  |
|  |  |  |  | Mum | 35.3\% |  |
|  |  |  |  | Aunt | 26.7\% |  |
|  |  |  |  | Mum 2 | 0\% |  |
| 12 | 28/4 | Park | Let's play together | Chinese-speaking friend 1 | 0\% | 0\% |
|  |  |  |  | Chinese-speaking friend 2 | 0\% |  |
|  |  |  |  | Grandparent 1 | 0\% |  |
|  |  |  |  | Grandparent 2 | 0\% |  |

[^4]From Table 1, one can see that the child's proportion of code-switched utterances to the total number of utterances (CS/TU) was the highest in recording 6 ( $47.4 \%$ ), followed by recording 5 ( $41.4 \%$ ) and recording 2 (31.3\%). Recordings 6 and 5 involve the child's grandmother, aunt, and mum, while recording 2 involves the child's dad and mum.

The proportion of code-switched utterances to the total number of utterances was the lowest in recording $8(0 \%)$ and $12(0 \%)$ where she interacted with her Cantonese-speaking friends and their grandparents and her caretaker respectively.

Table 2. Mean proportion of code-switched utterances to the total number of utterances

| Interlocutor | Mean of CS/TU |
| :--- | :---: |
| The child | $24.2 \%$ |
| Mom | $43.0 \%$ |
| Dad | $5.8 \%$ |
| Grandmother (on mother's side) | $36.7 \%$ |
| Grandfather (on mother's side) | $11.6 \%$ |
| Grandfather on father's side | $0 \%$ |
| Caretaker | $11.3 \%$ |
| Aunt | $38.2 \%$ |
| Sunday School teacher | $4.85 \%$ |
| English-speaking friend 1 | $0 \%$ |
| English-speaking friend 2 | $0 \%$ |
| Chinese-speaking friend 1 | $0 \%$ |
| Chinese-speaking friend 2 | $0 \%$ |
| Grandparent of Chinese-speaking friend 1 | $0 \%$ |
| Grandparent Chinese-speaking friend 2 | $0 \%$ |

From the above table, one can see that the research target's mum was the one with the highest mean proportion of code-switched utterances to the total number of utterances ( $43.0 \%$ ), followed by the research target's aunt (38.2\%), and her grandmother (36.7\%).

A Parallel Relationship between the Frequency of Code-switching of the Research Target and that of the Interlocutors. A parallel relationship was found between the frequency of code-switching of the research target and that of her interlocutors. This means that when her interlocutors code-switched more, the research target would also code-switch more often. This is supported by Goodz (1989), who stresses that parental mixing is closely related to children's mixing.

For example, when the research target was with her mum and grandmother, who both had a comparatively higher mean proportion of code-switched utterances to the total number of utterances ( $36.7 \%$ and $43.0 \%$ respectively), she showed a higher proportion of code-switching. This is supported by her higher proportions of code-switching in recordings 2 , 5 , and 6 where she was mainly interacting with her mum and grandmother.

When she interacted with speakers who showed a low proportion of code-switching, her proportion of code-switching was also lower. For example, when she was interacting with her dad and the Sunday School teacher, who both had a low mean proportion of codeswitching ( $5.8 \%$ and $4.85 \%$ ), she showed a lower proportion of code-switching. For example, in recording 3, her proportion of code-switching was $15.8 \%$ and in recording 10 , it was $15.4 \%$.

Furthermore, the findings revealed that the more competent the interlocutors were in both English and Cantonese, the more code-switching there would be. This is supported by that the bilingual child code-switched more often at home when playing with bilingual speakers who are competent in both languages than at the park when playing with her monolingual friends (Table 1). Her mean proportion of code-switching was the highest in interactions that involve her bilingual mum and grandmother (recording 5, 44.4\%; recording $6,47.4 \%$ ) and lowest when interacting with her monolingual friends at the park and caretaker who only knew very few Cantonese words (recording 8-0\%; recording 12$0 \%$ ). This affirms Fishman's (1972a) domain analysis, which stresses that individuals will exhibit similar patterns of behaviours based on the speech community that they are in.

### 4.2 Quantitative and Qualitative Data from Questionnaires and Interviews

## Interlocutors.

Language Background. Among the six informants, namely, the grandparents (M), aunt, dad, mum, and caretaker, 3 of them indicated that Cantonese is their first language while 2 of them expressed that English is their first language. 2 of the informants are male and the other 4 are female.

Language Preference and Attitude-Frequency of Use of Different Languages and their Perceived Effectiveness of Use. For most informants (except the mother and the grandfather (M), a similarity between the frequency of use of different languages and their effectiveness of use was observed as shown in Table 3. This means that the most frequently used language was also perceived by them to be the most effective language.

For the mother and the grandfather (M), though both used Cantonese more frequently than English with the child, they perceived English as the most effective language and Cantonese the second effective one. This discrepancy could be a reason leading to codeswitching. In the follow-up interview with the mother, she pointed out that the effectiveness of English in instructing her child was a major reason for her to code-switch. In the interview, she said the following:
"For me, I code-switched when I wanted to emphasise something. For example, if I didn't get a response from her when I talked in Cantonese, I would switch to English. For example, I had to say, 'Don't pee pants' instead of Cantonese or else she wouldn't listen. I either used pure Cantonese to talk to her, or I will code-switch between Cantonese and English. I never really use pure English with her. I only use pure English to converse with my husband."

The interview data shows the mother believed that code-switching would help to bring more positive responses from her child at times. The mother's habit of giving instructions to the child in English (as indicated above) may have influenced the child to give instructions and commands in English.

Table 3. Language background and preference of the respondents ( $\mathrm{Q} 1,3,4$ )

| Informant | First Language |  |  | Frequency of Use |  |  | Effectiveness of Use |  |  |
| :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- |
|  | Cantonese | English | Others | Cantonese | English | Others | Cantonese | English | Others |

Table 4. Main and other languages used with the research target (Q3)

| Informant | Main language used with the <br> research target |  | Other languages spoken with the research |  |
| :--- | :--- | :--- | :--- | :--- |
|  |  |  |  |  |$|$

As indicated in Table 4, five of the informants mainly used English to talk with the research target whereas the mother reported using mainly Cantonese.
The possible reasons affecting their language choice, which include: their beliefs of language acquisition and the topic of interaction will be elucidated in the following paragraphs.

Beliefs of Language Acquisition．The informants＇beliefs of language acquisition also influenced their code choice and thus the extent of code－switching．Informants who perceived code－switching as a convenient or effective way to help the child understand them and acquire languages might have a weaker intention to refrain themselves from code－ switching with the child．When the respondents were asked to elaborate on why code－ switching helped to aid the child＇s understanding（Q12）， 3 of them believed that using a certain language would help to express certain things better．For example，the grandmother （M）said that sometimes she would code－switch because she believed certain feelings or things were better expressed in Cantonese．She explained the following：
＂It just happens to be the case that at certain times，using a certain language would help her to understand me quicker．For example，though she understands both＇no＇and the Chinese equivalent，＇唔好＇，it is easier if I just tell her＇no＇ （which has only 1 syllable）than＇唔好＇（which has two syllables）．Another example is the phrase＇little bit＇and the Chinese equivalent，＇少＇，it is easier to say＇少＇than＇little bit＇．On the contrary，I will say＇more＇instead of＇多 D＇as the former has only one syllable while the latter has two syllables．In this way， she could also be exposed to both languages．＂

It is interesting that finding economical expressions was an underlying factor that influenced the grandmother＇s language choice．When expressing things of which the child understands both the Cantonese and English terms，she would use the language that has a smaller number of syllables，which means，the more economical option of the two．

The idea that certain expressions could be expressed better in a certain language was echoed by the following examples given by the grandfather（M）：
＂When instructing her to stop doing something，using the single English word， ＇Stop＇，is way better than saying chunks of Cantonese words．It is the most effective and economic way to make her listen to me．But I do not just use English to reprimand her，I also find the two English words，＇Thank you＇，is the easiest way to let the child know that I am happy with what she has given me．＂

As seen above，the contrast between the grandfather $(\mathrm{M})$ and the mum is that he did not just switch to English when warning or punishing the child，but also when expressing love and gratitude to the child．Similarly，the grandmother（M）＇s use of two different languages in addressing the relative concept of＂more＂in English and＂little bit＂in Cantonese suggests that even in a single domain of＇family＇，the role and status of language is rather fluid．This implies that though institutions may have effects on individual language choices， the correlation between a certain code choice and a specific type of activity is not as definite as predicted by the macro－level domain approach（Fishman，1972a）．

The interview results also showed that if the informant believed that code－switching was conducive to language acquisition，he／she would do more of it．The grandfather（M） explained in the following why using more than one language would help to continually develop the child＇s bilingual ability：
＂Because she knows both languages，using both languages can help her register and communicate through relating with the languages used．Since she knows two languages，it is good to expose her to both languages．＂

This showed the child being bilingual was perceived by the grandfather（ $M$ ）as a strength that should be exploited and that code－switching was a good way to utilise and develop her bilingual ability．

Like the grandparents（M），the child＇s parents also admitted that they perceived code－ switching as an effective way to teach the children several languages at a time．However， they were not as positive as the grandparents（M），as they both addressed their awareness and concern of code－switching on the child＇s language acquisition，though knowing that it was hard to refrain from code－switching．

The father underlined the linkage between code－switching and language acquisition．He pointed out in the interview that code－switching was a convenient way for the parents or educators to help their children acquire a few languages at a time：
＂Code－switching is mainly for convenience．In $21^{\text {st }}$ Century Hong Kong，there is a need for the child to learn several languages，for example，Putonghua， Cantonese，and English．Code－switching is an easy way for the parent or educator to accomplish the three things．As my wife is a Hong Kong Chinese and my mum is a Japanese whereas my dad an Italian，I believe that there is a need for the child to learn several languages．In Hong Kong，which is a multilingual city where everyone is using more than one language at all times， it is hard to keep the one language policy and be consistent in speaking only one language to the child．Hence，I＇m now using the languages inconsistently （meaning code－switching）for conveniences．＂

Here，he addressed that speaking few languages to his child at a time might not be perceived as the best language teaching policy；however，the socio－linguistic environment of Hong Kong had caused him to resort to code－switching with his child．This finding is not surprising as it is not uncommon for one to show inconsistency between his or her belief and practices，given the socio－linguistic context that he or she is in．As emphasised by Fishman（1972b），the clusters of interactions that one is in will influence his or her language choices．

Likewise，the mother showed her concern about code－switching on her child＇s language development．When explaining her neutral attitude towards the research target code－ switching，she expressed the following：
＂I would say I＇m neutral towards her code－switching but at the same time I hope that she can stop one day．Sometimes I＇m not really sure whether she knows the English version of 街街 or 乘乘．We have not tried using＇go out＇， she definitely knows＇milk＇and ‘奶奶’，she knows＇crackers＇，but I don＇t know whether she knows＇crackers＇mean＇餅餅＇．．．＂

The main concern of the mother was that code－switching would lead to an imbalanced language development，resulting in her child knowing certain concepts or things in one language．The mother＇s concern of the possible impact of code－switching on language
development was shared by the caretaker．In the interview，the caretaker brought out the fear of language confusion caused by code－switching：
＂I have learnt from other parents in the Philippines that we should teach one language at a time，otherwise，our children will become confused．I was told that we should only introduce a new language to the child after he or she masters one． In the past，I tried to mix languages with my children and so some parents told me not to do so．．．＂

The opinions of the mother，father，and caretaker show that though the modern view is that code－switching is not an indication of language confusion（Heredia \＆Altarriba，2001； Koppe，1996），still，it remains to be the concern of some people．Nevertheless，the parents＇ perceived effectiveness of code－switching as discussed above might help to explain why they still code－switched with the child despite their concerns and held an overall neutral attitude towards the child＇s code－switching（as reflected in the questionnaire results）．

Topic．Topic was found to be another influential factor affecting one＇s code－switching behaviour．There are two examples that show the role of topic in influencing one＇s code choice．It was found that in cultural bound contexts and situations that involved potential dangers，the speaker was more likely to code－switch．

The mother pointed out that it was crucial for her to code－switch when the conversation topic was about some potential risks or dangers：
＂As we are an international family，if I do not code－mix when I talk to my kid， the other parent may not understand what I＇m saying and this will pose certain dangers to the kid．For example，I once told my daughter in Cantonese that the soup was too hot and it＇s dangerous．But because I only said it in Cantonese，her father couldn＇t get it and almost fed her the soup．So，I feel like if I speak in pure Cantonese，it＇s not so feasible and safe．＂

The above suggests that in an international family when the topic involves serious matters such as dangers or risks，it is important for the speaker to code－switch to ensure that everyone is safe．The mother believed that when talking about serious topics，code－ switching could help to avoid potential hazards or risks．

Other than topics that involve risks or dangers，topics that are culturally bound may also induce code－switching．An example is found in recording 1．When the topic was about some culturally bound food like dim sum，both the child and her dad had to code－switch to identify the dim sum items．In the recording，the father could not use the English term ＇bread＇to refer to the specific type of dim sum，‘叉燒包’（barbeque bun），in the context，as ＇bread＇may mean any kind of bread while＇包包＇is the short form of the dim sum．

## 5 Conclusions

The findings of this study suggest that the bilingual child＇s code－switching behaviours are influenced by domain related factors，namely，topic and interlocutors，and other factors
such as language beliefs, attitudes and preferences. Though this is a discrete case study, and that other bilingual children's parents, family members, and caretakers may hold a different attitude and belief towards code-switching and language acquisition, the results of the current study could still be generalised to many Hong Kong families with working parents who are competent in more than one language, and have their children taken care by a foreign domestic helper speaking a different first language and their grandparents. The findings are significant in showing that one's language acquisition belief and attitude are communicated through his or her language behaviours, and a child is likely to imitate or replicate the language behaviours of his or her interlocutors.

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# The Syntax and Semantics of Null and Pronounced Arbitrary Cognate Objects 

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#### Abstract

In non-anaphoric contexts, English allows a null object as in John reads $[e]$ every night. In this paper, I call this type of null object $[e]$ as an 'arbitrary cognate object' because it does not refer to any specific entity but to some entity. There are many other verbs like this in English, such as drive, eat, and iron, etc. By contrast, an arbitrary cognate object interpretation in Chinese is achieved through the use of a pronounced cognate object including kan-shu 'read-book', kai-che 'drive-car', chifan 'eat-rice' and yun-yifu 'iron-clothes'. This paper attempts to shed some light on understanding the phenomenon of arbitrary cognate objects and further propose the Null Arbitrary Cognate Object (NACO) rule, particularly in the simplicity of its theoretical machinery from both semantics and syntax perspectives. This paper adopts a formal representation that develops Holmberg's (2005) and Roberts and Holmberg's (2010) analysis of radical pro-drop as u[D] (unvalued determinerfeature). Null arguments in Chinese and English are argued to have the same featural composition: consisting of just an unvalued D-feature and an N -feature [uD, N ], and the null arbitrary cognate object can be valued from internal-licensing. I suggest that this is a case of cross-linguistics variation of having or not having a null arbitrary cognate object, now regarded as a matter of having the Null ACO rule or not. Chinese has that required arbitrary cognate objects (i.e. bare noun as a syntactic dummy) for some specific verbs and English hasn't. I also adopt Cheng and Sybesma's (1998) idea that Chinese has object pro, it cannot have non-referential empty objects, and English noun cannot be used as overt dummies, while Chinese nouns can. This appears to arguably justify why it is the case that Chinese can have a pronounced cognate object whereas English cannot.


Keywords: cognate object, spell-out rule, semantic incorporation, syntactic merge

## 1 Introduction

Object drop or null object ${ }^{1}$ in different languages has been widely discussed in the literature (see Rizzi 1986; Cole 1987; Huang 1984, 2009; Massam \& Roberge 1989). Rizzi (1986) observes that null objects are allowed in Italian, and he firstly put forward an explicit

[^5]suggestion that some arguments need not be projected in the syntax. ${ }^{2}$ Cole (1987) also proposes that languages can be grouped into different types with reference to the possibility of unidentified object-drop. ${ }^{3}$ Massam \& Roberge (1989) state that languages like English can exhibit a null specific object in recipe contexts and other sets of instructions. ${ }^{4}$ Huang $(1984,1989)$ also studies null objects in Chinese, and he argues that anaphoric object drop in Chinese is bound by an empty topic. It was noted early on (Huang 1984) that languages like Japanese and Chinese which lack agreement systems also allow null objects and subjects. These languages are often referred to as 'discourse pro-drop languages', meaning that the features of the missing subject or object are recovered purely on the basis of the discourse. Particularly, anaphoric object drop is very common in East Asian languages including Chinese and Cantonese (see Chao 1968; Matthews and Yip 1994), Thai (see Pingkarawat 1985) and Japanese (see Nakamura 1987), and anaphoric object drop means an object is dropped when there is an antecedent in the near context.

The following is an example showing anaphoric object drop in Chinese. Consider (1),

$$
\begin{array}{lllll}
\text { A: } & \begin{array}{ll}
\text { Mali } & \text { kan-le }
\end{array} \quad \text { jintian-de } & \text { baozi ma? } & \text { (Chinese) }  \tag{1}\\
\text { Mary read-ASP } & \text { today-POSS } & \text { newspaper Q }
\end{array}
$$

| B: | ta $\quad$ kan-le |
| :--- | :--- | :--- |
|  | She read-ASP |
|  | 'She read it.' |

The object jintian-de baozi 'today's newspaper' can be dropped in anaphoric contexts in Chinese whereas English requires a pronounced object 'it'. By contrast, English can allow another type of object drop in non-anaphoric contexts. Consider (2),
(2) John reads $[e]$ every day. $\quad(e=$ null object $)$

In non-anaphoric contexts, English allows a null object as in John reads [e] every night. In this paper, I call this type of null object [ $e$ ] as an 'arbitrary cognate object' because it does not refer to any specific entity but to some entity, which, in the case of the verb read is a 'readable' object, such as a book or a magazine. There are many other verbs like this in English, such as cook, draw, drive, eat, and iron, etc. By contrast, an arbitrary cognate object interpretation in Chinese is achieved through the use of a pronounced cognate object.

[^6]Consider (3), a pronounced cognate object -shu 'read-book' is required in Chinese and it can refer to written materials such as books or magazines.
$\begin{array}{lll}\text { (3) } & \begin{array}{l}\text { John zai jia } \\ \text { John at home }\end{array} & \begin{array}{l}\text { kan-shu } \\ \text { read-book }\end{array}\end{array} \quad$ (Chinese)
John at home read-book
'John reads at home.'

As seen in (2) and (3), arbitrary cognate objects are found across languages, but they can be dropped in English whereas they are required to be spelled out in Chinese. ${ }^{5}$ The above cross-linguistics variation drives to a main research question of this paper: How do we account for the phenomenon of null and pronounced arbitrary cognate objects in English and Chinese, particularly in the simplicity of its theoretical machinery from both semantics and syntax perspectives? I also attempt to address a related issue: Why is the case that the arbitrary cognate object cannot be spelled out in English but in Chinese?

This paper firstly presents early studies on the phenomenon of null and pronounced cognate objects in English and Chinese in Sections 2 and 3, and then reviews the historical discussion on the dependence between a verb and its arguments in Section 4, finally proposes the Null Arbitrary Cognate Object (NACO) rule in Section 5. In Section 6, I draw conclusion of this paper, and it is hoped that this paper can shed some light on understanding the null and pronounced arbitrary cognate objects, particularly in the simplicity of its theoretical machinery.

## 2 Null Cognate Object Structure in English

In this section, I present some early studies on the phenomenon of null cognate objects in English ${ }^{6}$ which has received widespread attention. To begin, in Vendler's traditional classification (1967), the following sentences (3) and (4), which only differ in the absence or presence of an object, denote an activity and an accomplishment respectively.
(3) John is eating (activity).
(4) John is eating an apple (accomplishment)

Allerton (1975) also echoes Vendler that, stating that if the activity denoted by the verb can be seen as self-sufficient, then an object can be dropped (i.e. indefinite object-deletion). Consider (5) and (6),
(5) He is reading (activity).

[^7](6) He is reading a book (accomplishment).
(Allerton, 1975)
Allerton (1975) argues that those verbs which allow the transition from accomplishment to activity might correspond to 'Indefinite Object (IO)-verbs'. Precisely, he explains that when used intransitively, these verbs like read as in (5) clearly take an activity reading focusing on the activity itself, but not on its product. There is no potential referent available in the surrounding context. As for a null cognate object and its selection restriction, Mittwoch $(1982,1998,2005)$ also points out that the verbs like eat, write, read, drink, have a pronounced manner component in their meaning, and fairly circumscribed selection restrictions. Consider (7) and (8),
(7) John is reading/drinking.
(8) John is reading a letter/drinking juice.
(Mittwoch, 2005: 238)
She (2005: 239) explicitly states that "it is generally thought that the objects of the verbs concerned in this alternation, though appearing in the lexicon, need not be projected in the syntax." She also explains why missing objects are much more easily to be retrieved in habitual sentences. Precisely, she explains that intransitive drink has a habitual use, and hence the understood object is restricted to an alcoholic beverage. She further argues that the transitive verb with a pronounced object as in (8) above would yield telic verb phrases (VPs) whereas intransitive predicates with these verbs as in (7) would be atelic.

To conclude, I summarize the following main points which appear to be agreed upon from those early studies in this section: (i) there is an explicit statement that object arguments need not be projected in the syntax, and (ii) if the focus in an activity is the verbal action itself, rather than the effect upon the participants, those verbs whose null cognate objects can be drawn from a restricted selection will likely take an understood object, particularly in habitual sentences.

## 3 Pronounced Cognate Objects in Chinese

As mentioned in section 1, a pronounced cognate object is required in Chinese as in (3), repeated as (9) here,

| John zai jia | kan-shu |
| :--- | :--- |
| John at home | read-book |
| 'John reads at |  |

John at home read-book
'John reads at home.'
A pronounced cognate object -shu 'read-book' is required in Chinese and it refers to written materials such as books or magazines. This phenomenon of having a pronounced cognate object in Chinese has also been studied in the previous literature (see Chao 1968; Li and Thompson 1986; Cheng and Sybesma 1998; Hong 1999). To begin, Chao (1968: 701) states "...sometimes a verb-object construction represents a general type of action and if only the verb is present, it will suggest that some specific object is omitted." Consider (10) and (11),

| (10) | bye chy <br> Don't eat <br> "Don't eat!" | dong-shi! <br> things | (Chinese) |
| :--- | :--- | :--- | :--- |
| (11) | bye chy! <br>  <br>  <br> Don't eat <br> "Don't eat it/that." | (Chinese) |  |

With reference to Chao's (1968) work, Hong (1999: 265) has conducted a brief review on cognate objects in Chinese, and further concludes that three types of cognate objects are recognized based on the form of the object: (i) cognate objects which are reduplicated forms of the verb, (ii) cognate objects which are things related to the action, and (iii) terms expressing the times an action is done. Hong (1999: 281) further argues that the concept of cognate object was originally proposed for English, and further states that all the three types of cognate objects delimit the action of the verb. ${ }^{7}$ In addition, Li and Thompson (1986) also state that under generic readings, the indefinite bare object is usually considered as cognate objects of the verb, whose denotation is transparent to semantic composition. Consider (12),
verbs (e.g. drive, sing)

| Chinese <br> kai-che <br> drive-car | $=$ | English |
| :--- | :--- | :--- |
| chang-ge <br> sing-song | $=$ | drive |
| sing |  |  |

The object component of a verb-object compound is generally non-referential.

| (13) Wo bu hui | chang-ge | (Chinese) |  |
| :--- | :--- | :--- | :--- | :--- |
|  | I not know:how | chang-song <br> sing |  |
|  | 'I don't know how to sing.' |  | (Li and Thompson, 1986: 128) |

In (13), here the noun $g e$ 'song' is being used, and it does not to refer to any particular song, but rather to name the kind of thing that one sings.

Cheng and Sybesma (1998) discuss cases of pronounced cognate objects required after a verb in Chinese as in chi-fan 'eat-rice', which is equivalent to eat in English. They analyze the pronounced object in chi-fan 'eat-rice' as a syntactic dummy. 'Dummy' briefly means that the pronounced object adds no semantic content to the verb phrase. It is a bare noun which is a nominal that does not introduce any discourse referent, and the readings that result are generally indefinite, and there is no effect on any particular object though the

[^8]object is overt. The following are some examples extracted from Cheng and Sybesma (1998). Consider (14),
verbs - drive, eat, etc.

| Chinese <br> kai-che <br> 'drive-car' | English |
| :--- | :--- |
| chi-fan | drive |
| 'eat-rice' | eat |

Cheng and Sybesma (1998) propose that the verbs that appear with cognate nouns like those given above are generally the Chinese equivalents of verbs without objects in English. In Chinese, the noun che 'car' in kai-che 'drive-car' does not necessarily refer to any particular car. In fact, it does not have to refer to a particular type of vehicle. The car can be a private car, a truck or a mini-bus. Consider (15),
ta zai kai-che, bu-guo wo bu zhi-dao ta kai huo-che hai-shi kai xiao-bashi s /he PROG drive-car but I no know s/he drive truck or drive mini-bus "S/he is driving, but I don't know if $\mathrm{s} / \mathrm{he}$ is driving a truck or a mini-bus." (PROG = Progressive)

Simply put, Chinese requires an obligatory pronounced object in the contexts whereas English allows null arbitrary cognate objects.

## 4 Historical Discussion on the Dependence between a Verb and Its Arguments

In the previous sections 2 and 3, I have presented some early studies on null and pronounced cognate object structure. Now, the following section is to review historical discussion on the dependence between a verb and its arguments, accounting for the phenomenon of cognate object structure from the semantics and syntax perspectives.

In Resnik's (1993) work, he proposes a theory that formalizes selectional relationships between a verb and its arguments. He explains that the selectional behavior of a predicate is modeled as its distributional effect on the conceptual classes of its arguments, and an argument is said to satisfy or violate the selection restriction of a predicate (see Resink 1993 for details). Moreover, in Geenhoven's $(1998,2002)$ analysis of West Greenlandic, she introduced the term 'incorporation' which refers to a constituent with a verb and one of its arguments forming a particularly tight unit. In addition, Chung and Ladusaw (2003) also study incorporation and argument structure. Working in a type-theoretical framework, they (2003) propose a new type of mode of composition of a predicate with an argument, and they show how it can be used to account for some of the properties associated with incorporated nominals (see Chung and Ladusaw, 2003 'The Semantics of Incorporation' for details). The semantic contrast between incorporated and non-incorporated arguments
has attracted the interest of Farkas and de Swart (2003) who also study the semantic scope and argument structure. They (2003: 5) illustrate this contrast by considering the Hungarian minimal pair in (16) and (17):

| (16) | Mari olvas egy verset. <br> Mari read a <br> 'Mari is reading a poem.' | poem.Acc | (Hungarian) |
| :--- | :--- | :--- | :--- |
| (17) | Mari verset olvas. | (Hungarian) |  |
|  | Mari poem.Acc <br> 'Mari is reading a poem/poems.' |  |  |

(Farkas and de Swart, 2003)
In Hungarian examples, Farkas and de Swart (2003) point out that these two sentences contrast in the fact that the object is realized by a full-fledged DP argument in (16) and an incorporated nominal in (17). As we can see in (16), the object noun phrase is a full DP consisting of the indefinite determiner egy and the head noun in the accusative case. In (17), the object is clearly bare, and it is not preceded by any determiner though case marking still exists on the head noun. They argue, in (16), just like its English translation, it is scopally ambiguous, that is, there is a particular poem Mary is reading, under the wide scope reading of the indefinite relative to the operator. Under the narrow scope reading, Mary reads any poems. Farkas and de Swart (2003) conclude that being incorporated is one cause of scopal inertia but that is not the only one, and this type of scopal inertia is characteristic of INs across languages. ${ }^{8}$

When studying the dependence between a verb and its arguments from the syntactic perspective, Massam's (2001) analysis of 'pseudo-noun incorporation' in Niuean is the result of forming a verb phrase (VP) through syntactic merge (see Chomsky 1995). Consider (18), where the pseudo-incorporated nominal is kofe kono 'bitter coffee':
(18) Ne [inu kofe kono] a Mele.
PST drink coffee bitter ABS Mele
'Mary drank bitter coffee.' ( $\mathrm{PST}=$ past tense)
(Massam, 2001: 158)
Massam (2001) explains what a pseudo-incorporated NP is by arguing that the object noun remains next to the verb and in a tight constituent with it, hence the two can be mistakenly treated as a single word. Moreover, Hale and Keyser (1993, 1998, 2002) also discuss representation of the argument structure of a verb. They (2002: 92) argue that "relation is one of classificatory licensing whereby the verb identifies the complement to some

[^9]sufficient extent". They use the term 'hyponymy' to refer to this selectional relation as in (19).

(Hale and Keyser, 2002: 93)
The selectional relation that operates between V and N at Merge ensures hyponymic identification, which they refer to as $s$-selection the N . As a bare N , this object is nonreferential but its class denotation makes it open to pragmatically based inference. Since this is the basic option available to all verbs we take it to be the minimal instantiation of transitivity. It is represented in (20).
(20)

s-selection

Hale and Jeyser $(1993,2002)$ further propose that transitivity is a syntactic requirement in that all verbs are represented as having a direct object position. Cummins and Roberge (2003, 2004) echo Hale and Keyser's (1993, 1998, 2002) proposal and also argue that transitivity is best viewed as a universal grammatical property not a lexical property. They $(2003,2004)$ propose that the minimal instantiation of transitivity in a verb is represented in (21).
(21)


They $(2003,2004)$ refer to this as internal-licensing, and propose that it is another means to recover the reference of null object within an IP/TP. The internally-licensed null object is not in a relationship with any specific nominal, and it is not an anaphor. Specifically, they (2003: 9) describe "the internally-licensed null object as a null cognate object (NCO) which is structurally a bare empty noun". NCO is conceived of as an N whose semantic content is derived from the verb. They $(2003,2004)$ explains that verbs like eat have an object that is always in VP, and that verbs like eat always have an object, which may be unpronounced,
as in John ate. They also note that a null cognate object can be found in languages like English and French (see examples (22) and (23) below). The difference between conventionally transitive verbs (e.g. eat) and unergatives (e.g. sleep) is that a NCO is the more marked object for the former class, and the less marked object for the latter class. In principle, both eat and sleep can have objects that are semantically dependent of the verb.
(22)



(Cummins and Roberge 2003: 9)
As verbs like eat have quite narrowly circumscribed selection restrictions (i.e. the content of the NCO is more or less predictable), the reference of the null cognate object is restricted to something edible, corresponding to the literal meaning of the verb.

In this section of Historical Discussion on the Dependence between a Verb and its Arguments, particularly from both semantics and syntax perspectives, I summarize the following main points: (i) the selectional relation that operates between V and N at merge ensures hyponymic identification (internal-licensing from Cummins and Roberge (2004)), and (ii) a null cognate object which is structurally a bare empty noun is conceived of as an N whose semantic content is derived from the verb.

## 5 Proposed Analysis on Arbitrary Cognate Objects

To recap, English allows a null arbitrary cognate object as in John reads every night, and I refer to this as an 'arbitrary cognate object' which refers to some entity, but not specific. Given the historical discussion on the dependence between a verb and its arguments in section 4 , I attempt to conduct an analysis on arbitrary cognate objects, and propose the Null Arbitrary Cognate Object (NACO) rule in the simplicity of its theoretical machinery.

### 5.1 The Null Arbitrary Cognate Object (NACO) Rule

I firstly propose a formal representation that develops Holmberg's (2005) ${ }^{9}$ and Roberts and Holmberg's (2010) analysis of radical pro-drop as [uD] (unvalued determiner-feature). Null arguments in Chinese and English are argued to have the same featural composition: consisting of just an unvalued D-feature and an N-feature [uD, N] (also see Phimsawat 2011 on Thai). Holmberg (2005: 559) propose that "as for discourse pro-drop languages like Chinese, they have no unvalued phi-features in I/T". Now I propose that a null argument in English and Chinese has an unvalued D-feature which needs to be assigned a value in the course of the derivation, and a nominal feature which means they can occur in all positions where nominal constituents are found. There is one rule which interprets the null argument as an arbitrary cognate object (Cummins and Roberge's 'internal licensing'). The rule works as follows. Instead of a full DP object, a verb, for example read, can have an object which is a minimal nominal argument, consisting of just the features $[\mathrm{uD}, \mathrm{N}]$. This object is assigned the interpretation of an existentially bound variable restricted by the meaning of the verb, as in (24), where the V' has the structure in (25), and where the object has the reading shown.
(24) I read every night.


The interpretation of the sentence is therefore as follows, in quasi-logical notation:
(26) For every night $y$, there is some $x$ ( $x$ is readable and I read $x$ at $y$ ).

In more ordinary language, (26) means 'I read some written materials every night', and the null arbitrary cognate object refers to any kinds of books, magazines, or newspapers.

Chinese also has arbitrary cognate objects. I assume they have the same structure as in English, and are interpreted by the same rule. However, unlike the case in English, they cannot be spelled out as null. Instead, Chinese has to supply a pronounced object to exhibit the cognate interpretation (see the latter section 5.2 Syntactic Dummy). For example, wo

[^10]kan-shu, (literally 'I read-book') in Chinese can mean 'I read books or magazines', which is equivalent to I read in English. Each arbitrary cognate object has a specific pronounced form. Consider (27),
(27)

| Chinese <br> kan-shu <br> 'read-book' | English <br> read $\emptyset ~$ |
| :--- | :--- |
| yun-yifu |  |
| 'iron-clothes' | iron Ø |

The pronounced arbitrary cognate objects in kan-shu 'read-book' and yun-yifu 'ironclothes' in Chinese mean 'something readable (any kinds of written materials)' and something ironable (any kinds of clothes).
The structure and interpretation of, for example, yun-yifu is (28):


Unlike the situation in English, the object cannot be spelled out as null. Instead, Chinese has a family of rules of the following format:

| $[\mathrm{uD}, \mathrm{N}] \rightarrow$ | shu/ | kan | $\begin{align*} & \rightarrow \text { kan-shu }  \tag{29}\\ & \rightarrow \text { yun-yifu } \tag{30} \end{align*}$ |
| :---: | :---: | :---: | :---: |
|  | book/ | read |  |
| $[\mathrm{uD}, \mathrm{N}] \rightarrow$ | yifu/ | yun |  |
|  | clothes/ | iron |  |
| etc., |  |  |  |

i.e. [ $\mathrm{uD}, \mathrm{N}$ ] is spelled out as $s h u$ 'book' in the context immediately adjacent to kan 'read', as yifu 'clothes' in the context immediately adjacent to yun 'iron', etc. English, on the other hand, has a single spell-out rule (a rule spelling arbitrary cognate objects (ACO) as null)

$$
\begin{equation*}
[\mathrm{uD}, \mathrm{~N}] \rightarrow \varnothing / \_\mathrm{V}(\text { drive, eat, iron, read, etc. }) \tag{31}
\end{equation*}
$$

I will, from now on, refer to this rule as the Null ACO rule. In addition, I propose that the above data does not deal with a Chinese and English peculiarity or an isolated phenomenon. Chinese-type languages including Korean, Thai and Mundang do not have rule (31), the null spell-out of arbitrary cognate objects. Instead arbitrary cognate objects have a set of spell-out rules, specific to each verb. Many other languages are like English in having null spell-out of arbitrary cognate objects, including French, Swedish, Finnish and Arabic.

### 5.2 Syntactic Dummy as a Pronounced Cognate Object in Chinese

As reviewed in section 3, Cheng and Sybesma (1998) analyze the pronounced object in chifan 'eat-rice' as a syntactic dummy which is a bare noun. Bare nouns are considered as cognate objects of the verb in Chinese, and there is no effect on any particular object though the object is overt. (see Li \& Thompson, 1981; Cheng and Sybesma, 1998). Consider (32),

| verbs - drive, read, etc.  <br> Chinese English <br> kai-che  <br> 'drive-car' drive |  |
| :--- | :--- |
| kan-shu read |  |
| 'read-book' |  |

In this paper, I adopt Cheng and Sybesma's (1998) idea that there is a bare noun as a syntactic dummy for the phenomenon of pronounced cognate objects in Chinese (see section 3). However, it should also be noted that: Why is the case that the arbitrary cognate object cannot be spelled out in English but in Chinese? And can this be connected to other properties of the language?

First, Cheng and Sybesma (1998: 85) suggest that this is related to the fact that Chinese allows for empty objects with definite reference (also see Huang 1984), while English does not. They refer to this empty object as pro, to express that it refers to something specific or definite. Chinese then has object pro, while English does not. Specifically, Cheng and Sybesma (1998) further explain that, it is exactly like English eat, which, in its unspecified object use, also has an empty non-referential object. Their plausible justification for why English has empty nominals in the object position of verbs like eat while Chinese uses overt dummy objects was arguably to be related to the facts that: Chinese has empty objects which are referential and specific (pro); Chinese has object pro, it cannot have nonreferential empty objects, and English noun cannot be used as overt dummies, while Chinese nouns can (Cheng and Sybesma, 1998: 88). If the above claim is correct, it appears to arguably justify that Chinese needs to resort to overt nominals to express non-referential objects (it has object pro), and English does not need to use overt dummies (it does not have object pro). Further investigation on this aspect should be needed.

## 6 Conclusion

This paper attempts to shed some light on understanding the phenomenon of arbitrary cognate objects and further propose the Null Arbitrary Cognate Object (NACO) rule, particularly in the simplicity of its theoretical machinery from both semantics and syntax perspectives. This paper adopts a formal representation that develops Holmberg's (2005) and Roberts and Holmberg's (2010) analysis of radical pro-drop as u[D] (unvalued determiner-feature). Null arguments in Chinese and English are argued to have the same featural composition: consisting of just an unvalued D-feature and an N-feature [uD, N], and the null arbitrary cognate object can be valued from internal-licensing. I suggest that this is a case of cross-linguistics variation of having or not having a null arbitrary cognate
object, now regarded as a matter of having the Null ACO rule or not. Chinese has that required arbitrary cognate objects (i.e. bare noun as a syntactic dummy) for some specific verbs and English hasn't.

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# Null-Morphological Passivization of Object-Verb Idioms in Korean 

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#### Abstract

There are some idioms consisting of an accusative-marked object, verb, and causative/passive morpheme in Korean. When a root phrase is merged with the functional head vcaus or vpass, an idiomatic expression may come true, which is a phase-cyclically based operation. There are two types of passivization of the accusative-marked object-verb idiom: overt and covert morphological passivizations. There are also two kinds of covert morphological passivization. One is the passive counterpart of the morphological causative construction and the other is the passive one of the simple transitive construction. Full compatibility between an inherent passive idiomatic verb and a -ey uyhay '-by' phrase with the agent shows that the null passive morpheme occupies the phase head vpass belonging to the idiomatic interpretation. The inherent passive idiomatic verb compatible with a -ey uyhay 'by-' phrase, which is merged with the null passive morpheme on vpass licensing a -ey uyhay 'by-' phrase, patterns with the idiomatic morphological passive verb. The nonidiomatic verb compatible with a -ey uyhay 'by' phrase may also become a passivized verb by being merged with the null passive morheme $\emptyset$ on vpass.


Keywords: inherent passive verb, object-verb idiom, non-idiomatic verb, (null) passive morpheme

## 1 Introduction

It has been well known in literature (Park 1978; Ahn 2001; Lee 2007, among many others) that the causative and passive morphemes $-i /-h i /-l i /-k i$ in Korean are located on the same syntactic head position of $v$. They cannot start fission on $v$ since they are complementarily distributed on $v$. Thus, double causative or passive morphemes are prohibited. There are some idioms consisting of an accusative-marked object, verb, and causative/passive morpheme in Korean (H. Kim 2005; Park 2012). That is, the Encyclopedic domain for the idiomatic interpretation may be extended from the V '-level to the phase head v (i.e., $\mathrm{v}_{\mathrm{CAUS}}$ or $\mathrm{V}_{\text {PASS }}$, here) by the postsyntactic morphological operation (cf. Harley \& Noyer 1999;

[^11]McGinnis 2002). When a root phrase is merged with the functional head $\mathrm{v}_{\text {CAUS }}$ or $\mathrm{v}_{\text {PASS }}$ belonging to the idiomatic interpretation, an idiomatic expression may come true (cf. Marantz 2008), which is a phase-cyclically based operation (Chomsky 2001).

The objectives of this paper are six-fold. First, based on the observation that the passive morpheme on $\mathrm{v}_{\text {PASS }}$ may be part of an idiom, we will show that the null passive morpheme may occupy the phase head of $\mathrm{v}_{\text {PASS }}$ belonging to the idiomatic interpretation by examining full compatibility between the inherent passive idiomatic verb and a -ey uhau '-by' phrase with the agent

Second, we will argue that when the idiomatic verbal root undergoes head movement to the null passive morpheme $\emptyset$ on $\mathrm{v}_{\text {PASS }}$, its idiomatic interpretation comes true. The accusative-marked object-verb idioms can be morphologically passivized, preserving their idiomatic meaning, which will be testified by the compatibility with a -ey uyhay '-by' phrase. ${ }^{2}$ The crucial factor for passivizibility of object-verb sequences is whether they are compatible with a -ey uyhay 'by-' phrase with the agent or not.

Third, we will also show that there are two types of passivization of the accusativemarked object-verb idiom: overt and covert morphological passivizations. The accusativemarked object can appear with the passive morpheme, but not with the passive form (a/e) ci. The overt type is the so-called morphological passivization as in (1b) and the other type is a covert morphological passivization where an inherent passive verb appears as in (2b) and (3b) ${ }^{3}$.

| (1a) | Yenghi-ka$\quad$Chelswu-lul <br> Y-NOM | telmi-lul <br> C-ACC | back of one's neck-ACC catch-PST-DC |
| :--- | :--- | :--- | :--- |

Fourth, we will show that there are also two kinds of covert morphological passivization. One is the passive counterpart of the morphological causative construction as in (2b), and the other is the passive one of the simple transitive construction as in (3b).

[^12]Yenghi-ka Chelswu-lul mwul(-ul) mek-i-ess-ta
Y-NOM C-ACC $\quad$ water(-ACC)
eat-CAUS-PST-DC
'Yenghi made Chelswu get deceived.' (idiomatic morphological causative)
(2b) Chelswu-ka Yenghi-ey uyhay mwul(-ul) mek- $\emptyset(/ *-\mathrm{i} / *-\mathrm{e}-\mathrm{ci} / *-\mathrm{i}-\mathrm{e}-\mathrm{ci})$-ess-ta
C-NOM Y-by water(-ACC) eat- $\emptyset(/ *-P A S S / *-C I / *-P A S S-C I)-P S T-D C ~$
'Chelswu got deceived by Yenghi.' ( $\varnothing=$ null passive morpheme)
(idiomatic null morphological passive)
(3a) cengpwu-nun pwuphay kiep-ul chelthoy-lul kaha-yess-ta government-TOP corrupt enterprise-ACC iron mace-ACC hit-PST-DC
'The government cracked down on the corrupt enterprise.'
(idiomatic transitive)
(3b)

> | $\begin{array}{l}\text { pwuphay kiep-i }\end{array} \begin{array}{l}\text { cengpwu-ey uyhay } \\ \text { corrupt enterprise-NOM } \\ \text { government-by }\end{array}$ | $\begin{array}{l}\text { chelthoy-lul } \\ \text { mac- }(/ *-\text { in } / *-\mathrm{e}-\mathrm{ci} / *-\text {-hi-e-ci)-ass-ta }\end{array}$ |
| :--- | :--- | :--- |
| hit- $\emptyset(/ *-\mathrm{PASS} / *-\mathrm{CI} / *-\mathrm{PASS}-\mathrm{CI})-\mathrm{PST}-\mathrm{DC}(\emptyset=$ null passive morpheme) |  |
| 'The corrupt enterprise got cracked down by the government.' |  |
| (idiomatic null morphological passive) |  |

Fifth, we will show that the inherent passive idiomatic verb compatible with a -ey uyhay 'by-' phrase with the agent, which is merged with the null passive morpheme $\emptyset$ on vpass patterns with the idiomatic morphological passive verb.

Finally, we will suggest that the non-idiomatic verb compatible with a -ey uyhay 'by-' phrase with the agent may also become a passive verb by being merged with the null passive morpheme $\emptyset$ on vpass.

This paper falls into 5 sections. In section 2, it will be observed that some idioms are composed of VP and a causative morpheme. In section 3, it will be shown that some idioms are composed of VP and a passive morpheme. In section 4, we will suggest that the nonidiomatic verb compatible with a ey uyhay '-by' phrase with agent may be a passive verb. Finally, section 5 will make a conclusion.

## 2 Causative Morphemes and Idioms

Some idioms are composed of VP and a causative morpheme on vas in (4a) and (5a) (cf. H. Kim 2005; K. Kim 2015). However, when the causative morpheme is not present, the idiomatic meaning disappears as in (4b) and (5b). That is, the causative morpheme on the head $\mathrm{v}_{\text {Caus }}$ in simple transitive can be a part of an idiom, which means that the phase head $\mathrm{v}_{\text {CAUS }}$ belongs to an idiomatic interpretation.
C-NOM Y-ACC
airplane-ACC get on-CAUS-PST-DC
(Park 2012: 15, (24a))
(wu = idiomatic causative morpheme)

| (4b)Yenghi-ka pihayngki-lul <br> Y-NOM airplane-ACC <br> 'Ya-ss-ta (literal)  <br> thet on-PST-DC  |  |
| :--- | :--- | :--- |
|  | genghigot on an airplane, |

(5a) ku-uy kakey-nun phali-lul nal-li-ko-iss-ta
he-GEN store-TOP fly-ACC fly-CAUS-PROG-DC
'Business is being slack at his store.' (cf. Park 2012: 15, (25a))
(li = idiomatic causative morpheme)
(5b) phali-ka nal-ass-ta (literal)
fly-NOM fly-PST-DC
'Flies flied.'

## 3 Passive Morphemes and Idioms

The crucial factor for passivizability of object-verb idioms is whether the head $\mathrm{v}_{\mathrm{DO}}, \mathrm{v}_{\mathrm{CAUS}}$, or $\mathrm{v}_{\text {PASS }}$ appears. Note that the causative morpheme on the head $\mathrm{v}_{\text {CAUS }}$ in a simple transitive can be a part of an idiom, as shown in (4a) and (5a). For the sake of the present purpose, let's further consider whether the passive morpheme may be a part of an idiom (H. Kim 2005; Park 2012).


The above data show that the passive morpheme on the phase head v may be part of an idiom, which means that v is an idiomatic domain (Stone 2008, 2013; Kim 2015; Lee \& Lee 2017). To be more concrete, if the passive morpheme is missing, the idiomatic
interpretation fails to appear, as shown in (6b) and (7b). Let's consider more of these relevant cases.
(8a) kwy-ka ttwul-li-ta (li = idiomatic passive morpheme)
ear-NOM go through-PASS-DC
'to be understood'
(8b) kwy-lul ttwul-ta (*idiomatic)
ear-ACC go through-DC
'to go through one's ear'
(9a) phittam-ul hul-li-ta (li = idiomatic passive morpheme)
blood and sweat-ACC flow-PASS-DC
'pour one's greatest efforts into something'
(9b) phittam-i hulu-ta (*idiomatic)
blood and sweat-NOM flow-DC
'for blood and sweat to flow'
(10a) kho-lul kkwue-i-ta (i = idiomatic passive morpheme)
nose-ACC string-PASS-DC
'to get blindsided'
(10b) *kho-lul kkwue-ta (idiomatic)
nose-ACC string-PASS-DC
'to get blindsided'
When the pseudo-idiomatic root phrase is merged with the passive morpheme on the passive head $\mathrm{v}_{\text {Pass }}$ belonging to the idiomatic interpretation, an idiomatic expression is realized. For instance, the example in (10a) is schematized as in (11).


Next, let's consider the morphological passivization of the object-verb idioms. The objectverb idioms can be morphologically passivized, preserving their idiomatic meaning, as shown in (12) and (13). This is testified by the compatibility with a -ey uuhay '-by' phrase. A passive clause must permit a -ey uuhay '-by' phrase with the agent (source of the action).

Note that (-a/e) ci-passivization is not compatible with the object-verb idioms, ${ }^{4}$ regardless of whether it occurs with the passive morpheme or not. We show that there are two types of passivization of the object-verb idiom: overt and covert morphological passivizations. The overt type is the so-called morphological passivization, as shown in (12) and (13).

(idiomatic morphological passive)
The other type is a covert morphological passivization. For the present purpose, before proceeding toward the covert morphological passivization, let's consider some verbs with inherent passive meanings. As Chang (1996) points out, there are some verbs with inherent passive meanings. They include mac 'get struck', ip 'suffer, undergo', tangha 'suffer, be afflicted with', and pat 'receive'. The subject of these verbs has the semantic role of patient, not that of agent. The passive verbs ip 'suffer, undergo' and mac 'get struck' have causative forms ip-hi 'make-suffer' and mac-hi 'make-strike'. We further observe that there are some idiomatic verbs with inherent passive meanings. We put forward the suggestion that when the idiomatic verb with the passive meaning undergoes movement to the null passive morpheme on $\mathrm{v}_{\text {PASS }}$ belonging to the idiomatic interpretation, an idiomatic interpretation

[^13]comes true. Thus, we argue that some idiomatic verbs which have an inherent passive meaning are, in fact, morphologically null-oriented passive verbs.

At this stage, let's return to the covert morphological passivization. There are also two kinds of covert morphological passivization. One is the passive counterpart of the morphological causative construction, and the other is the passive one of the simple transitive construction. Let's first consider the passive counterpart of the morphological causative construction, which is shown in each (b) example of (14)-(17). ${ }^{6}$ When the lexical verb in each (b) example of (14)~(17) appears with a -ey uhay 'by-' phrase with the agent, not the literal meaning but the idiomatic meaning is available. This shows that the verb is an idiomatic passive one since the passive clause must permit a -ey uhay 'by-' phrase with the agent. That is, such a verb may appear in the passive idiom where -ey uhay 'by-' phrase can be used. It cannot occur with any passive morpheme or (a/e) ci. Note that double passive morphemes are prohibited in Korea. Full compatibility between the idiomatic verb and a -ey uyhay 'by-' phrase with the agent shown below means that the null passive morpheme occupies the phase head vpass. Note that only when the verbs in each (b) example of (14)~(17) are compatible with a -ey uyhay 'by-' phrase with the agent, can their idiomatic interpretation be available. However, if the lexical verb appears as a nonidiomatic verb, the compatibility disappears, which induces the sentence to be ungrammatical. At this point, we argue that when the idiomatic verbal root is merged with the null passive morpheme $\varnothing$ on $\mathrm{v}_{\text {PASS }}$, which belongs to the idiomatic interpretation, its idiomatic interpretation is realized. The accusative case of the idiomatic object is assigned by $v_{D O}$. The inherent passive verb-overt passive morpheme sequence is prohibited, as shown in each (b) example of (14)~(17), which implies that the null passive morpheme $\varnothing$ is preceded by the inherent passive verb. Note that double passive morphemes are prohibited.

| $(14 a=2 a)$ | Yenghi-ka | Chelswu-lul | mwul(-ul) mek-i-ess-ta |
| :--- | :--- | :--- | :--- |
|  | Y-NOM | C-ACC | water(-ACC) eat-CAUS-PST-DC |
|  | 'Yenghi made Chelswu get deceived.' |  |  |

(idiomatic morphological causative)

| Chelswu-ka | Yenghi-ey uyhay | mwul(-ul) |
| :--- | :--- | :--- |
| C-NOM | Y-by | water(-ACC $)$ |
| mek- $\varnothing(/ *-\mathrm{i} / *-\mathrm{e}-\mathrm{ci} / *$-i-e-ci)-ess-ta |  |  |
| eat- $\varnothing(/ *-\mathrm{PASS} / *-\mathrm{CI} / *-\mathrm{PASS}-\mathrm{CI})-\mathrm{PST}-\mathrm{DC}$ |  |  |
| 'Chelswu got deceived by Yenghi.' $(\varnothing=$ null passive morpheme $)$ |  |  |

(idiomatic null passive)

| Yenghi-ka | Chelswu-lul | kolthang-ul | mek-i-ess-ta |
| :--- | :--- | :--- | :--- |
| Y-NOM | C-ACC | trouble-ACC | eat-CAUS-PST-DC |
| 'Yenghi made Chelswu suffer.' |  |  |  |
|  |  | (idiomatic morphological causative) |  |

[^14]

Next, let's look at the passive counterpart of the simple transitive verb. The idiomatic meaning of the active voice in (18a) and (19a) is still sustainable in its inherent passive form with the null passive morpheme as in (18b) and (19b).

[^15]de\mathrm{ hěn bùnàifán.
He PASS her cry EXT very impatient
'He was bothered by her crying and felt impatient.'
c. English: * He was cried by her.
(3) a. Japanese: Sensee-wa kare-ni kaer-are-ta.
teacher-TOP him-DAT leave-PASS-PAST
'He left which caused the teacher trouble.'
b. Chinese: (*Lǎoshī) Bèi tā zǒu le.
teacher PASS him leave PERF
'He left which caused (the teacher) trouble.'
c. English: \# The teacher was left by him. }\mp@subsup{}{}{1

```

Many studies have been done on Japanese and Chinese indirect passives respectively and some have pointed out the differences between these two languages or their differences from English for expressing an adverse event. However, little explanation has been provided for the reasons why these differences exist and the common points that different Chinese indirect passive patterns share. This paper will show that different limitations to expressing adverse events in different languages are due to their different mental space configurations in terms of the Mental Space Theory (Fauconnier 1997).

\section*{2 Relevant Studies}

Japanese and Chinese indirect passives have attracted a lot of attention. Different theories and frameworks have been applied to explain their characteristics and restrictions. Due to limitations of space, I will focus on two typical analyses on each.

\subsection*{2.1 Japanese Indirect Passives}

Kageyama (1993) points out that the indirect passive construction is sensitive to the distinction between unaccusative and unergative intransitive verbs. According to Kageyama (1993), the former does not co-occur with the indirect passive construction as shown in (4), while the latter does as shown in (5) due to their different structures \((6,7)\). That is, only external argument \(\left(\mathrm{NP}_{1}\right)\) is allowed to become the agent of indirect passives as the \(n i\) phrase while internal argument \(\left(\mathrm{NP}_{2}\right)\) is not.

\footnotetext{
\({ }^{1}\) The grammar of this sentence is correct, but its meaning is different from (3a) and (3b), both of which mean that the teacher felt troubled after finding the student went back home.
}
(4) * Watasi-wa oziisan-ni korob-are-ta. I-TOP grandfather-DAT fall-PASS-PAST
'I was adversely affected by grandfather's falling.'
(5) Watasi-wa kodomo-ni sawag-are-ta.

I-TOP child-DAT make noise-PASS-PAST
'I was adversely affected by the child's making noise.'
(6) unaccusative intransitive verb
(7) unergative intransitive verb



However, as pointed out by Ono (2003), the same unaccusative intransitive verbs can be used in some indirect passives as shown in (8) and cannot be used in others as shown in (9).
(8) Taroo-ga pasokon-ni kowarer-are-ta.

Taro-NOM computer-DAT break-PASS-PAST
'Taro was in trouble because his computer broke down.'
(9) * Taroo-ga kabin-ni kowarer-are-ta.

Taro-NOM vase-DAT break-PASS-PAST
'Taro was adversely affected by the vase's breaking.'
Ono (2003, p. 30) proposes that a Japanese indirect passive sentence describes a complex event consisting of two subevents, the causing event represented by the verb and the resulting event represented constructionally by the passive subject and the passive morpheme. As illustrated in (11), the indirect passive sentence in (10) describes an event of the child's crying and a state of Taro's being annoyed.
(10) Taroo-ga kodomo-ni nak-are-ta.

Taro-NOM child-DAT cry-PASS-PAST
'Taro was adversely affected by the child's crying.'
(11) Event Structure:
\[
\left[\begin{array}{l}
\mathrm{e}_{1}: \text { process } \\
\mathrm{e}_{2:} \text { state }
\end{array}\right]
\]
\[
\begin{aligned}
& \text { QUALIA }=\text { AGENTIVE } \text { cry_act }\left(\mathrm{e}_{1}, \mathrm{x}\right) \\
& \text { FORMAL adversely_affected_state }\left(\mathrm{e}_{2}, \mathrm{y}\right)
\end{aligned}
\]

Ono (2003, p. 34) argues that in the indirect passive, the initiator of the causal chain associated with the causing event must be realized as the argument. He explains that in (9), there is an indirect participant (i.e. a remote causer) that initiates the event denoted by the verb because the vase does not break spontaneously in a normal situation. As shown in (12), the initiator of the event is represented as an external causer. According to Ono (2003), (9)
is ungrammatical because the segment of the causal chain associated with the causing event does not include the initiator of the event.
(12) koware (break) \(\quad\left[\begin{array}{l}\mathrm{e}_{1} \text { : process }(y) \\ \mathrm{e}_{2} \text { : state }(z)\end{array}\right)\)

Qualia \(=\) AGENTIVE: Causal chain
\begin{tabular}{cccc} 
causer vase Taro Taro \\
x -------- y -------- z \\
CAUSE & CHANGE RESULT
\end{tabular}

In contrast, computers tend to break without an external cause as shown in (13). It means the computer itself can be the initiator of the causal chain. This is why (8) is grammatical.
(13) koware (break) \(\quad\left[\begin{array}{l}\mathrm{e}_{1} \text { : process }(y) \\ \mathrm{e}_{2} \text { : state }(z)\end{array}\right)\)

Qualia \(=\) AGENTIVE: Causal chain \(\quad\) computer Taro Taro
y --------- z --------- Z
CHANGE RESULT
In addition, he indicates that in direct passives, the initiator of the causal chain does not have to be presented as shown in (14). However, he does not explain why the initiator of the causal chain is required only in indirect passives.
(14) Giin-ga (ansatusya-ni) koros-are-ta.
senator-NOM assassin-DAT kill-PASS-PAST
'The senator was killed (by the assassin).'

\subsection*{2.2 Chinese Indirect Passives}

Huang (1999) divides indirect passives into two types: inclusive indirect passives and exclusive indirect passives, i.e. adversative passives. According to Huang (1999), both of the indirect passives involve the passivization of complex predicates that take external objects.

He proposes that inclusive indirect passives like (15) can actually be analyzed as some kind of a direct passive, i.e. as involving the promotion of some object, albeit an outer object. Furthermore, he proposes that the adversative passives like (16), too, can and should be treated as involving an outer object of some kind-one that is even further remote from the verb than the outer object involved in the inclusive indirect passive ( He calls the adversely affected object the 'outermost object').
\(\begin{array}{clclllll}\text { (15) Zhāngsān } & \text { bèi } & \mathrm{OP}_{i} & \text { tǔfěi } & \mathrm{t}_{i} & \text { dǎsǐ-le } & \operatorname{Pro}_{i} & \text { bàba. } \\ \text { Zhangsan } & \text { BEI } & \text { andits } & \text { bander } & \text { killed } & & \text { father }\end{array}\)
'Zhangsan had his father killed by the bandits.'
(16) Lǐsì yòu bèi Wángwǔ \({ }_{i}\) [e] \(\mathrm{t}_{i}\) jīchū-le yī-zhī quánléidǎ.

Lisi again BEI Wangwu hit-PERF one home-run
'Lisi again had Wangwu hit a home run [on him].'

However, the analysis by Huang (1999) cannot explain another type of indirect passive like (2b) and why the subject in (3b) is not allowed to be shown.

Lin (2015) calls indirect passives like (17) "gapless" bei passives since they don't have a gap in the embedded clause and hence are not amenable to Huang's (1999) A'-movement analysis (Lin, 2015, p. 194).
(17) Zhāngsān bèi Ľ̌ì mǎi-zǒu-le nàxiē shū. Zhangsan PASS Lisi buy-away-PERF those book
'Lisi bought those books away on Zhangsan.'
Lin (2015, p. 198, p. 202) argues that only accomplishment events like (i)-(iv) license "gapless" bei passives; other types of event like states, activities and achievements do not.
(i) Post-verbal locative and goal complements
(18) Zhāngsān bèi nà-zhī yīngwǔ fēi zài bàn-kōng-zhōng. Zhangsan PASS that-CL parrot fly at half-sky-in 'The parrot flew [away] in the sky on Zhangsan.'.
(19) Zhāngsān bèi Lǐsì (chénggōng-di) pǎo dào zhōngdiǎn.

Zhangsan PASS Lisi successfully run to goal
'Zhangsan got Lisi (successfully) to run to the terminal point on him.'
(ii) Resultative verbal compounds
(20) Zhāngsān bèi Lǐsì gǎo-diū-le lǎobǎn-de shǒutíxiāng. Zhangsan PASS Lisi act-lose-PERF boss's suitcase
'Lisi lost the boss's suitcase on Zhangsan.'
(iii) The resultative de complement
(21) Zhāngsān bèi [Ľ̌sì kū de shēnbiān suǒyǒu de rén Zhangsan PASS Lisi cry EXT surrounding all MOD people dōu hěn tóngqíng tā. all very sympathize him 'Lisi cried on Zhangsan to the extent that all people around were sympathetic to him.'
(iv) Transitive and ditransitive constructions
(22) Zhāngsān bèi Lǐsì chāi-le nà-tái yuánběn hái kěyǐ

Zhangsan PASS Lisi dismantle-PERF that-CL originally still can yòng de jīqì.
use MOD machine
'Lisi dismantled that machine on Zhangsan, which would have still been usable.'
(23) Zhāngsān bèi Lǐsì bǎ tā yuánběn hěn xiǎng yào de Zhangsan PASS Lisi DISP he originally very feel like want MOD nà-zhī shǒubiǎo gěi-le Wángwǔ. that-CL watch give-PERF Wangwu
'Lisi gave Wangwu the watch that he originally felt like having on Zhangsan.'

However, (18) is actually not acceptable and (19) with the syntactic subject Zhangsan sounds strange. \({ }^{2}\) On the other hand, activities like (24) are actually compatible with indirect passives.
(24) Měi cì gēn tā tíqǐ cǐ shì, dōu bèi tā gùzuǒyòu'éryántā. every time to him speak of this thing all PASS him change the topic 'Every time I speak of it to him, he changes the topic, which bothers me.'

\subsection*{2.3 Contrastive Studies on Adverse Events}

Lu (2011) states that the difference between Japanese and Chinese indirect passives is that in Japanese the event conflation between the cause event and the result event is shown on the word level, while in Chinese it is shown on the phrase level. That is, in Japanese passive sentences the change process of the patient during the event or the state of the patient after the change is suggested by the meaning feature of the verb, while in Chinese passive sentences a verb-complement construction is needed to show the change process or the state of the patient after change. However, as shown in (3b) and (24), a verb-complement construction is not always necessary.

It has also been pointed out that the indirect passive construction in Japanese is often expressed in active voice with a resultative expression in Chinese or English like (25).
(25) a. Japanese: Sakuban kare-wa yuuzin-ni ie-ni kor-are-ta.
last night he-TOP friend-DAT home-to come-PASS-PAST
'He was adversely affected by a friend's coming to his home last night.'
b. Chinese: Zuówǎn pěngyou lái le, tā méi néng wánchéng gōngzuò.
last night friend come PERF he not can finish work
'Last night a friend came, so he couldn't finish his work.'
c. English: He couldn't finish his work last night because a friend came.

However, if the verb is changed to liáo 'chat', the passive voice is possible in Chinese as shown in (26).
(26) Tā bèi tā liáo de yīwǎnshang shénmeyě méi gànchéng. he PASS her chat EXT all night anything not accomplish 'He was adversely affected by her chatting and did nothing all night.'
So far we can see a number of issues about indirect passives have not been clarified and a theory applicable to the adverse events in different languages has not been proposed. I would like to propose that different mental space configurations account for the differences in expressing adverse events in terms of the Mental Space Theory (Fauconnier 1997).

\footnotetext{
\({ }^{2}\) They sound strange in Beijing Mandarin, while they may be acceptable in Taiwan Mandarin as Lin (2015, p. 194) says the examples are from himself, a native speaker of Taiwan Mandarin.
}

\section*{3 Mental Space Theory}

According to Fauconnier (1997), any mental space configuration will include a Base, a Viewpoint, and a Focus. Base is a starting point for the construction to which it is always possible to return. Viewpoint is the space from which other spaces are accessed and structured or set up. Focus is the space upon which attention is currently focused. In addition, as shown in figure 2 and figure 3, Base, Viewpoint, and Focus can be fused and need not be distinct as in figure 1 .


Fig. 1. Mental space configuration 1


Fig. 2. Mental space configuration 2


Fig. 3. Mental space configuration 3

\section*{4 Mental Space Configurations of Adverse Events}

Cognitive configuration of an adverse event is distinguished differently from language to language, which leads to different limitations on expressions.

\subsection*{4.1 Japanese Indirect Passives}

In Japanese, the cognitive configuration of an adverse event consists of two mental spaces; Base and Viewpoint are fused into one, providing an adversative event, from which the Focus with its effect is set up.

In (27), the event 'my brother broke the computer' constructs both the Base and the Viewpoint, from which the Focus 'I was in trouble' is obtained as shown in Figure 4. Since the person who suffers, ' I ', is not originally involved in the event 'my brother broke the computer', the agent 'my bother' needs to be presented to show the whole event. However, in direct passives like (28), the agent of the event is optional since the person who suffers, 'Ziro', is the patient of the event 'Taro hit Ziro'.
```

(27) Watasi-wa otooto-ni pasokon-o kowas-are-ta.
I-TOP brother-DAT computer-ACC break-PASS-PAST
'I was adversely affected by my brother's breaking the computer.'
(28) Ziroo-ga (Taroo-ni) nagur-are-ta.
Ziro-NOM Taro-DAT hit-PASS-PAST
'Ziro was hit (by Taro).'

```
BASE/VIEWPOINT My brother broke the computer
FOCUS


Fig. 4. The mental space configuration of (27)


Fig.5. The mental space configuration of (28)
(29) is also grammatical since as shown in Figure 6, a computer tends to break without an external cause as Ono (2003) has pointed out. However, a vase does not break spontaneously, consequently (30b) instead of (30a) is grammatical since the causer who actually causes the trouble should be presented as mentioned above.
(29) Taroo-ga pasokon-ni kowarer-are-ta.

Taro-NOM computer-DAT break-PASS-PAST
'Taro was in trouble because his computer broke down.'
(30) a.* Taroo-ga kabin-ni kowarer-are-ta.

Taro-NOM vase-DAT break-PASS-PAST
'Taro was adversely affected by the vase's breaking.'
b. Taroo-ga kodomo-ni kabin-o kowas-are-ta.

Taro-NOM child-DAT vase-ACC break-PASS-PAST
'Taro was adversely affected by the child's breaking the vase.'


Fig. 6. The mental space configuration of (29)


Fig. 7. The mental space configuration of (30)

Adverse events like (31) and (32) have similar mental space constructions as well as shown in figure 8 and figure 9 . Since the person who suffers, 'he'/'the teacher', is not originally involved in the event, the whole event including the agent needs to be presented as in (27) and (30b).
(31) Kare-ga kanozyo-ni nak-are-ta.
he-NOM her-DAT cry-PASS-PAST
'He was adversely affected by her crying.'
(32) Sensee-wa kare-ni kaer-are-ta. teacher-TOP him-DAT leave-PASS-PAST 'He left which caused the teacher trouble.'


Fig. 8. The mental space configuration of (31)

\subsection*{4.2 Chinese Indirect Passives}

A typical passive marker in Chinese is bèi. In Chinese indirect passives, an independent Base is needed to provide some background knowledge. The negative result is the Viewpoint, from which the Focus is set up showing it brings trouble to somebody.

Note that in (33) the background 'I have a computer' is necessary, which constructs the Base. In other words, the computer my brother broke must be mine. On the other hand, the above example (27) is possible as long as I was affected by the event 'my brother broke the computer'. In other words, in (27) the computer does not have to be mine \({ }^{3}\) since an independent space showing the background is not required in Japanese indirect passives.
(33) Wǒ bèi dìdi nònghuài le diànnǎo.

I PASS brother break PERF computer
'I was adversely affected by my brother's breaking the computer.'


Fig. 10. The mental space configuration of (33)
If elements in the Viewpoint are not linked to the ones in the Base, a complement is needed in Chinese indirect passives. In (34), the event 'she cried' constructs the Base, and the specific result it causes 'he felt impatient' is the Viewpoint, from which the Focus is set up with 'he was bothered'. Since the elements in the Viewpoint and the Base are not linked to each other, a causative-resultative de complement is used to show the causal relationship between the two events. In contrast, in Japanese an adversative event 'she cried' constructs

\footnotetext{
\({ }^{3}\) The computer might belong to the whole family, but I felt troubled when I wanted to use it because my brother broke it. However, the Chinese counterpart (33) is not suitable in this case.
}
both the Base and the Viewpoint, from which the Focus 'he was bothered' is directly obtained as in figure 8. Therefore, a complement is unnecessary.
(34) Tā bèi tā kū de hěn bùnàifán.

He PASS her cry EXT very impatient
'He was bothered by her crying and felt impatient.'


Fig. 11. The mental space configuration of (34)
It should be noted that this construction is applied only when the events in the Base and Viewpoint have strong relationship \({ }^{4}\). An activity lái 'come' cannot be passivized with the complement 'he did nothing all night', while liáo 'chat' can, as shown in (35). It is because the activity 'come' does not directly cause the result 'he did nothing all night', while the activity 'chat' does. That is, the activity in the Base must have a direct influence on the result in the Viewpoint. \({ }^{5}\)
(35) Tā bèi tā \{*lái/liáo\} de yīwǎnshang shénmeyě méi gànchéng. he PASS her come/chat EXT all night anything not accomplish 'He was adversely affected by her \(\{*\) coming/chatting \(\}\) and did nothing all night.'

Another Chinese indirect passive like (36) differs from its corresponding active voice form Tā zǒu le 'he left' in that it means 'his leaving causes somebody trouble'. In this case, a background 'the teacher told him not to leave' is needed in the Base. From the Viewpoint 'he left', the Focus 'the teacher was in trouble' is set up. This pattern is basically used when someone takes an action to avoid disadvantage for her/himself although it causes others trouble. In contrast, since an independent Base is unnecessary in Japanese, (32) can be used when the student left without knowing the teacher wanted him to stay.

\footnotetext{
\({ }^{4}\) The thick broken line between Base and Viewpoint in figure 11 represents the strong relationship between the two events.
\({ }^{5}\) One might argue that lái 'come' is incompatible with passivization because it is unaccusative. In fact, unaccusative verbs like sǐ 'die' cannot be passivized with a causative-resultative de complement even when it has a direct influence on the result, as in the example below. It is plausible that unaccusatives have patient-like subjects, whereas the subjects in the Base need to be agent-like causers so that they can cause the trouble as in figure 11. I leave this question open.
}


Note that 'he' in the viewpoint is the agent of the event. The person who suffers, 'the teacher', completely fades into the background. \({ }^{6}\) Consequently, the nominative subject needs to be silent as in (36).
(36) (*Lǎoshī) Bèi tā zǒu le.
teacher PASS him leave PERF
'He left which caused (the teacher) trouble.'


Fig. 12. The mental space configuration of (36)

\subsection*{4.3 Adverse Events in English}

If the affected person does not participate in the verb's event, an independent Focus showing its effect cannot be set up in English. That is, Base, Viewpoint and Focus are fused into one only showing the event as in figure 13. In other words, Japanese and Chinese indirect passive construction has to be expressed in active voice in English as in (37a)-(39a). If its effect needs to be expressed, a new mental space, Event space \({ }^{7}\), is set up as shown in Figure 14 and (37b)-(39b) are possible. The important point to note is that the negative effect on somebody constructs the Event space, not Focus, which means the construction is not a passive. As we have seen in the mental space constructions of passives, the effect on somebody is the Focus, which is exactly the function of passives.
(37) a. My brother broke the computer.
b. My brother broke the computer, which caused me trouble.
(38) a. She cried.
b. Her crying made him feel impatient.
(39) a. He left.
b. His leaving caused trouble for the teacher.

\footnotetext{
\({ }^{6}\) Although in (33), the person who suffers, ' \(I\) ', is also in the Base, it is related to the patient, 'the computer', in the Viewpoint. Therefore 'I' does not completely fade away and is possible to be represented.
\({ }^{7}\) According to Fauconnier (1997), the Event space corresponds to the time of the event or state being considered.
}

\section*{BASE／VIEWPOINT／FOCUS My brother broke the computer}

Fig．13．The mental space configuration of（37a）


Fig．14．The mental space configuration of（37b）

\section*{5 Conclusion}

This paper has proposed that different mental space configurations account for different limitations to expressing adverse events in different languages．In Japanese cognitive configurations of adverse events，there is only one upper space showing the event above the Focus．Therefore，the requirements for indirect passives are loose．However，in Chinese cognitive configurations，an independent Base is needed to provide some background knowledge．Consequently，the limitations to expressing adverse events are strict．In English an indirect passive construction does not exist since Base，Viewpoint and Focus are fused into one only showing the event．

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\title{
Corpus-Based Study of Diachronic Change on Gender and Race-oriented Words in American English
}

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}

\begin{abstract}
Since feminism and gender equality have aroused more concerns diachronically, gender and race-oriented English items may have been changed over time. The purpose of this study is to investigate frequency and collocation changes of selected gender and race-oriented words over time in American English. The frequency of gender-oriented words (e.g., housewife, homemaker, chairwoman, chairperson, chairman etc.), and race-oriented words (e.g., nigger, chink, etc.) as well as the frequency of collocation with sexual nouns (e.g., powerful woman or female teacher) and the collocation with race items (e.g., African cultures) were analyzed by using the Corpus of Contemporary American English (COCA) (Davies, 2008), which could provide the data from Chart, Collocates, Compare and context of certain word or collocation. Additionally, COCA can demonstrate the frequency change of certain word or collocation diachronically. The results show that the use of most of the maleoriented words and race-oriented words has been decreased as time changes, however, some female-oriented and gender-neutral words were not at the same trend, generally, it stills show that people are getting concerned in gender equality problem. Also, the collocation that related to female and certain race tend to be more positive. The findings are discussed with "political correctness" and also suggest that people tend to take social factors into consideration when using those gender and race-oriented words.
\end{abstract}

Keywords: gender-oriented, race-oriented, COCA, frequency, collocation, political correctness

\section*{1 Introduction}

Stockwell and Minkova (2001) state that the vocabulary of English is a changing list of words. People can create new words based on the current situation of society. Since gender and race are always the essential and controversial issues in society, they may have made a change in English words diachronically.

In terms of gender, Haslanger (2000) states that it is defined as a social class. Gender stereotype represented gender differences, that in family or career position, males were privileged and females were disadvantaged (Frye, 1983). Therefore, Spender (2001) demonstrates that the English language has been literally man made and it is under male control. That sexism in language such as man-orientated words represent both sexs, "chairman" or "fireman" etc,.

With regard to race, it is also considered into a broad social network. The group is marked as a target because of the body features which also links to a certain geographical region (Haslanger, 2000). Groups have been treated unequally since a long history just because they are different colors of different races. For example, because of the colonialism, "black" people are always treated as servants or the lower classes. However, the current social situation might have changed.

More and more people recognize the importance of "Feminism". Females are being respected and to state the power of women. In addition, more and more people against the racism. This situation has influence on language that the usage frequency of those ambiguous and offensive words has changed. People might not say "-man" when representing the job of female, but create new words ended with "-woman" or "person",etc,. Moreover, if you say out the word "nigger" or judge someone just by their skin color, and it is treated as offensive. However, not only the frequency of certain words use may have changed, the collocation of those words might change also.

As Lewis (2000) states, words that co-occur naturally in daily used language and this pattern called collocation. Collocation plays an important role on learning a language. Because of the gender and race discrimination, female was seldom connected with positive images such as "powerful", and the higher classes of job position were done by male, such as "teacher". But as time and the attitudes of people towards gender and race issues have changed, the collocation of certain words has changed. People may use more positive items to describe female and regard them as a more powerful group of people.

When it comes to corpus, Biber (2009) introduces how the corpus method helps to analyze language variation and use. Baron, Rayson and Archer (2009) conducted a study on word frequency in historical linguistics. It states that the frequency-ordered listing on corpus shows the most commonly-occurring words in the text.

This study is to find out how gender and race issues affect the word use in English language, and Corpus of contemporary American English (COCA) is a main method to assist the study. Corpus is a huge sources container that it could show the frequency of the certain word use and collocation of word and even could compare the frequency with different words. It consists of a large collection of real context and examples that provide authenticity of language.

\subsection*{1.1 Research Questions}
1. To what extend does the frequency of gender and race-oriented words change diachronically?
2. What are the collocation changes of gender and race-oriented words?

\section*{2 Literature Review}

\subsection*{2.1 Gender}

The gender stereotyping was interpreted in the study of Cincotta (1978) and Sakita (1995) that females were always regarded as weak person and have no power in both family and
society. When researching on whether gender stereotyping is still an issue on English textbook, one research which was done by Yang, C. C. R. (2012) investigated into gender representation in an English textbook series used in Hong Kong schools. They analyzed the collocations of gendered terms he, she, man, woman, boy, girl in the textbook to find out if gender stereotyping by using the corpus software AntConc. However, the results demonstrated that females were no longer described as delicate or weak person and some examples would show that females are stronger than males. Additionally, females were created in more positive characteristics. It concluded that gender stereotyping is no longer an issue in English textbook, and the writers of that textbook pay more attention on gender equality.

\subsection*{2.2 Race}

One study investigated the racial differences naturalization, which meant to suggest audience to naturalize the racial differences rather than to challenge them in a comedy. Park et al. (2006) conducted a research that to examine the Asian, Black, and White audiences reaction to racial jokes and their attitudes toward racial stereotypes in a wide-spreading comedy Rush Hour 2 (Box Office Prophets, 2005), which was acted by an African American (Chris Tucker) and an Asian (Jackie Chan) as lead roles. During the research, there were 40 participants volunteered to watch the comedy and they were divided into eight focus groups, which were covered White Americans, Black Americans, and Asian Americans. The results showed that most participants include Black Americans and Asian Americans did not state that the racial humor in the comedy have offended them. It was acceptable for racial minorities to tell racial jokes, and this banter could be regarded as "inside jokes" if there were two close friends making jokes with each other's race (e.g. Jackie Chan (Lee) talked to Chris Tucker, "I'll slap you back to Africa" in one scene of Rush Hour 2 and Chris also said he would slap Lee back to the Ming Dynasty.). However, the study pointed out that if White tells the same jokes, and it would be considered racist. Additionally, the study stated that if the film only makes fun of only one race and it would be a little racist. In summary, racial differences were naturalized in the comedy because audiences want to enjoy the jokes only and they have already realized that information shown in comedy is unreal or false. Audiences agreed that it was racist if visual media only focus on one race and it was racial discrimination if people make fun of different race in social reality.

According to the previous research, there are some limitations and research gaps.
From the gender-related research, Cheung and Yang (2012) analyzed the gender-oriented items changed in textbook by Antconc, but the target subject he chose just contains a limited resource. With regard to race-related research, Park et al. (2006) suggested naturalizing the racial discrimination in the comedy but realized the definition of racial discrimination in society. It is obvious that although the research articles related to race and gender, but only in Cheung and Yang's study investigated in the frequency of word change that affected by social reality. Also, none of the research was conducted by COCA, which contains a large amount of authentic resources, and could be used to analyze the frequency use of certain words.

Therefore, the present study focused on the diachronic changes of both gender-oriented and race-oriented items through corpus analyzation.

\section*{3 Methodology}

\subsection*{3.1 Materials}

This research aimed at analyzing how the gender and race issues affect word use in English language.

Therefore, Corpus of Contemporary American English (COCA) (Davies, 2008) was the method to assist the study for data collection. Just as describing in COCA's introduction, "It contains more than 520 million words of text ( 20 million words each year 1990-2015) and it is equally divided among spoken, fiction, popular magazines, newspapers and academic texts." There are five different ways to display the results including List, Chart, Collocates, Compare and Key word in context (KWIC). This study investigated the frequency and collocation of certain words and also compared two different words to examine the frequency change between them, so Chart was used to display the frequency of the words change diachronically; Collocates demonstrated the frequency of certain collocation, and Compare could compare the frequency of different collocation. COCA can also provide the context of certain word or collocation which is the example of the wording, so that the results can be explained more specifically and clearly.

Additionally, the gender-oriented words that were discussed were found from some previous research or website. For example, the study conducted by Yang, C. C. R. (2012) which investigated in gender stereotyping in English textbook and it provided some collocation for this research. Also, "An Overview of the Language of Prejudice" that written by Schaffer, D and Schaffer, R concluded some race-oriented words. There is a word list of this paper. (See Table 1)

Table 1. List of Gender and Race-Oriented Word
\begin{tabular}{|l|l|}
\hline \begin{tabular}{l} 
Gender-Oriented \\
Word
\end{tabular} & \begin{tabular}{l} 
Chairman/Chairwoman/Chairperson, \\
Fireman/Firewoman/Firefighter, Housewife/Homemaker, \\
Mankind/Womankind/Humankind
\end{tabular} \\
\hline \begin{tabular}{l} 
Race-Oriented \\
Word
\end{tabular} & Nigger, Negro, Chink, Spic \\
\hline
\end{tabular}

It means that the chosen words are relevant to social realities and the sources are reliable. In total, 4 groups of gender-oriented words and 4 race-oriented words were analyzed. Also, to the collocation with feminine/masculine words (e.g. man/woman, male/female), three adjectives that describe the characteristics and two types of job position collocation were examined; to the collocation with race-oriented words (e.g. China), there are 3 collocations to be analyzed.

\subsection*{3.2 Procedure}

Firstly the analyzed-words were collected from the research papers, and to examine the frequency of gender and race-oriented words change by times, they will be analyzed by COCA afterwards. The results were described and analyzed focusing on the frequency
differences which cover the frequency of different sections and different years. Additionally, the same types of words were compared, such as chairwoman/chairman/chairperson. Moreover, the collocation changes of certain words were discussed though. It was not enough to just analyzing on the graph that show the frequency data, however, the context is important to assist the final results. Based on the results and discussion, the conclusion was come up with.

\section*{4 Results and Discussion}

\subsection*{4.1 Frequency of Gender and Race-oriented Items}

To answer the first research question, this research analyzed the related words which have been introduced in the methodology section.

\subsection*{4.1.1 Frequency of gender-oriented items}


Figure 1. Frequency of Chairman/Chairwoman/Chairperson over the years

From the results of "Chairman", it is shown that the frequency of "Chairman" is in decline from 1990 to 2015, while the "Chairwoman" which is a female-oriented word shows an upward trend during that period, however, "Chairperson" worked as a genderneutral word shows a downward trend at those time

To the second group of the gender-oriented words, apart from the period of 2000-2004, "fireman" is decreasingly used over the past 25 years, while the frequency of "firefighter" is on the increase, but when analyzing the "firewoman", there is only one result comes out and it is still a problem that has not been figured out. Regardless the results of "Firewoman", it is seen that the frequency amount of "Firefighter" is more than "Fireman", and it may because the name of "Firefighter" could better describe the property of this occupation that people work in firefighting. Additionally, It is obvious that both in "Fireman" and "Firefighter", they occur most in 2000-2004, and it may due to a horrible accident "9.11" in 2001.


Figure 2. Frequency of Fireman/Firewoman/Firefighter over the years

It is interesting when comparing the above two groups of words, the frequency of "Chairwoman" is increasing while there was limited result of "Firewoman", and so as the group of "Chairperson" and "Firefighter" that show opposite results. However, it stills can show that people started be concerned about the gender equality problem.


Figure 3. Frequency of Housewife/Homemaker over the years

When analyzing "Housewife" and "Homemaker", the frequency of "Housewife" seems to be in a decline and "Homemaker" is used decreasingly those years. Actually, "Housewife" and "Homemaker" already contain different meanings. According to political correctness, language that are politically correct are regarded as right and acceptable
because they are careful to avoid offending women, black people etc, (Liu, 2010). "Housewife" is an old fashioned term that puts women down to bring nothing but "wives" of somebody, and it takes away their identity but stresses the association with men, and it should be used less nowadays, so these two terms are hard to be compared.


Figure 4. Frequency of Mankind/Womankind/Humankind over the years

With regard to "Mankind", "Womankind" and "Humankind", it is obvious that the frequency of "Mankind" is on wane, however, the frequency of "Womankind" also seems on decrease, and that on "Humankind" runs steadily. Actually, this group of words is different from the previous discussed groups, and "Mankind" is not about occupation, but to represent human being, so when people are concerned about the gender equality issue, "Humankind" would be a replaced choice rather than "Womankind", because "Womankind" is only to represent female and this is different from the original meaning of "Mankind".


Figure 5. Frequency of Chairwoman/Chairperson/Womankind/Humankind in different types of sections throughout the years

Figure \(5 \& 6\) show that most of the female-oriented and gender-neutral words occur most in Newspaper and Academic areas, it means that people would prefer use these words in a more official and formal area.


Figure 6. Frequency of Firewoman/Firefighter/Homemaker in different types of sections throughout the years

\subsection*{4.1.2 Frequency of Race-Oriented Items}






Figure 8. Frequency of NiggerNegro/ChinkSSpic in different types of sections throughout the years

When discussing the frequency of race-oriented items, the frequency of all selected words show a downward trend. However, "Negro" shows an upward trend during 20102015, and its total amount of frequency is high enough. It may due to the history of the term 'Negro', that it could be used in historical context or in the name of older organizations (as reported in African American Registry). For instance, "Negro" can also mean "black" color in Spanish, and United Negro College Fund, Negro American League that found in the context of COCA. Therefore, according to political correctness, these race-oriented words are used much less nowadays apart from the "Negro". Additionally, most of the offensive race-oriented words occur most in Fiction, and it means that people seldom use them in formal way.

\subsection*{4.2 Collocation of Gender and Race-Oriented Words}

\subsection*{4.2.1 Collocation of Man/Woman or He/ She or Male/Female}

Collocation about Characteristics. When comparing the adjective collocation of man with the collocation with woman, and the frequency of woman less than man. However, when analyzing the collocation of woman exclusively, all of them show upward trend.

Table 2. Frequency of Adjective about Characteristics
\begin{tabular}{llll}
\hline & Man & Woman \\
\hline Strong & 714 & 583 & \(\downarrow\) \\
Confident & 148 & 72 & \(\downarrow\) \\
Powerful & 584 & 229 & \(\downarrow\) \\
\hline
\end{tabular}


Collocation about Job Position With regard to the collocation of job position, female obtains higher status of job, such as "female athletes", "female teachers", etc, Moreover, the frequency of "she is firefighter" is more than "she is fireman".
\begin{tabular}{|c|c|c|c|c|}
\hline \multicolumn{3}{|l|}{\begin{tabular}{l}
Table 3. Frequency Rate of \\
Female + Noun. Over the Years (Top 30)
\end{tabular}} & \multicolumn{2}{|l|}{\begin{tabular}{l}
Table 4. Frequency of \\
She * Fireman Compared with She * Firefighter
\end{tabular}} \\
\hline Frequency Rate & Noun. & Frequency & & She \\
\hline 1 & Students & 1878 & Fireman & 10 \\
\hline 2 & Athletes & 998 & Firrfighter & \\
\hline 13 & School & 353 & Firefighter & 20 \\
\hline 17 & Coaches & 310 & & \\
\hline 19 & Teachers & 302 & & \\
\hline 28 & Candidates & 236 & & \\
\hline 30 & Players & 232 & & \\
\hline
\end{tabular}

\subsection*{4.2.2 Collocation of Race/Nation}
\begin{tabular}{|c|c|c|c|c|c|c|c|c|}
\hline \multicolumn{3}{|l|}{Table 5. Frequency Rate of Adj. + China / China + Adj. (Top 30)} & \multicolumn{3}{|l|}{\begin{tabular}{l}
Table 6. Frequency Rate of \\
African + Noun Over the Years (Top 30)
\end{tabular}} & \multicolumn{3}{|l|}{\begin{tabular}{l}
Table 7. Frequency Rate of \\
Asian + Noun Over the Years (Top 30)
\end{tabular}} \\
\hline Frequency Rate & Adjective & Frequency & Frequency Rate & Noun. & Frequency & Frequency Rate & Noun. & Frequency \\
\hline 1 & Economic & 902 & 2 & Art & 1941 & 3 & Markets & 422 \\
\hline 3 & New & 663 & 4 & Students & 878 & 6 & Students & 357 \\
\hline 8 & Military & 408 & 6 & Congress & 636 & 7 & Art & 305 \\
\hline 11 & Great & 350 & 7 & Studies & 544 & 10 & Studies & 228 \\
\hline 12 & International & 349 & 9 & Cultures & 468 & 12 & Economies & 179 \\
\hline 21 & Important & 222 & 26 & Artists & 276 & 13 & Values & 163 \\
\hline 22 & Good & 206 & 27 & Music & 261 & 19 & Cultures & 127 \\
\hline 23 & Growing & 203 & & & & 23 & Bank & 111 \\
\hline 24 & Global & 198 & & & & 24 & Museum & 109 \\
\hline 25 & big & 187 & & & & & & \\
\hline 24 & Global & & & & & & & \\
\hline
\end{tabular}

There are some examples found in COCA. e.g. 1. China's growing military power.
e.g. 2. Spearheaded by the growing economies.

It shows that China's development in economic and military power have aroused people's attendance.
e.g. 3. Modern African art is microcosmic of the imaginative and social achievements of Africans within and beyond their home continent.

The collocation with African also shows a better image of Africa.
e.g. 4. Asian -- Asian markets are big -- big importers, so China, Japan, Korea. Your Asian markets are very significant.
e.g. 5. Asian economies are fast-growing

\section*{5 Conclusion}

The purpose of the current study was to examine to what extend the frequency of gender and race-oriented words change diachronically and the collocation changes of those kinds of words. The related words were analyzed by COCA, which could interpret the frequency and context that support the findings.

This study has investigated in four types of gender-oriented words and four raceoriented words, and 8 collocation related to gender and race items. Findings show that most man-oriented words are used less frequently over the years, and part of female-oriented and gender-neutral words are used more frequently diachronically, but some of them are not. However, it still shows that the gender equality have aroused people's attention. In addition, the results of collocation show the better images of female and stereotyping races.

The current findings add substantially to our understanding of the use of appropriate words. The findings show that the society tend to admit the gender and race equality, so in a pedagogical area, teachers need to pay more attention on the use of gender-neutral words and race-oriented words. In addition, the application of COCA is helpful to the English learning, and it provides a large amount of examples for understanding.

However, there are some limitations of the study that need to be considered. First, although the frequency of some words may be on the decrease or increase, it is still hard to conclude that the tendency of society toward the equality issue already has been changed. Since if a word use shows a high frequency in a specific time, it may be because that word related to some events which are discussed for many times. Second, some words may have different meaning, that the frequency may not meet the expectancy, for instance, "china" could mean a type of clay. Third, male-dominated and race-oriented words occur on Newspaper or Academic area may be used to report the related problems or to conduct a research about the gender and race problem, such as this study. Fourth, the data of corpus is still limited that may affect the results.

It is recommended that further research be undertaken in the following areas: First, it could have more investigation on the reasons of frequency change diachronically, for example, a questionnaire of different ages, different genders and different races of people's attitudes toward the certain words. Second, it would be interesting to conduct a research on people using gender-oriented words or race-oriented words in what situations.

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\title{
A Study of the Relationship between the Use of Grammar Learning Strategies and Student Achievement
}

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\begin{abstract}
It is widely known that some learners learn a second language better or faster while the others do not even though they study in the same environment. Chastain (1988) states that all learners have their learning strategies but only some are successful. Therefore, the objective of this research is to investigate what Grammar Learning Strategies tertiary Asian learners use and whether there are any differences between the able learners and the less able learners in using grammar learning strategies. In addition to a focus group, the 35 -item questionnaires modified from the Strategy Inventory for Language Learning (SILL) developed by Oxford (1990) were distributed to 36 learners of two different English levels attained in the Hong Kong Diploma of Secondary Education Examination. The findings showed that the able learners and the less able learners showed differences in using grammar learning strategies. The former used a variety of strategies while the latter used 7 strategies only. The reasons behind are related to their learning attitudes. Besides, the less able learners only found 4 provided strategies useful whereas the able learners believed that at least more than 10 strategies are useful in English learning. The interview results also proved that the 2 groups of learners used different grammar learning strategies, so the results of their grammar learning differed significantly, and that their learning styles and motivation are found to be inextricably intertwined with their personality, thus playing important roles in their learning process. To help learners learn better, the strategies should be incorporated into teaching methodologies and activities designed so as to encourage the less able learners to use more strategies as the able learners do, and foster their conceptual change for better learning.
\end{abstract}

Keywords: Grammar Learning Strategies; second language learning; learning methodologies

\section*{1 Introduction}

It is known that some learners learn a second language better or faster while the others do not even though they study in the same environment. This, to a larger extent, relates to the learning strategies of learners, which are regarded as 'any set of operations, steps, plans routines used by the learner to facilitate the obtaining, storage, retrieved, and usage of information' (Wenden and Rubin, 1987, p.19). All learners have their learning strategies but only some are successful (Chastain, 1988) and there have been a lot of researches about characteristic of language learners. Oxford (1994) states that good language learners are
willing to make guesses, prepared to make mistakes, have a strong desire to communicate, make use of every chance of practice, and pay attention to language form and meaning.

To master a language, grammar is important because it is the substance of the language that makes it work. Teaching grammar, therefore, becomes a central concern in English language teaching because an effective learner has to master the structure of the language. It is also important for teachers to know how learners understand, learn and select learning strategies so as to help learners become proficient and competent learners. Hence, the objective of this research is to investigate what Grammar Learning Strategies tertiary Asian learners use and what impact they have on student achievement at English learning.

The results showed that learners do use Grammar Learning Strategies while learning English. However, the able learners and the less able learners showed differences in using grammar learning strategies. The former used a variety of strategies (i.e. 14 strategies on average) while the latter used 7 strategies only. The reasons behind are strongly related to their learning attitudes as the less able learners only found 4 strategies useful whereas the able learners believed that at least more than 10 strategies are useful in learning. The interview results also proved that the 2 groups of learners used different grammar learning strategies, so the results of their grammar learning differed significantly, and that their learning styles and motivation were found to be inextricably intertwined with their personality, thus playing important roles in their learning process. To help learners learn better, the strategies should be incorporated into teaching methodologies and activities designed so as to encourage the less able learners to use more strategies as the able learners do, and foster their conceptual change for better learning. It is suggested that language teachers can consciously teach their students those effective strategies identified by the able students and help their students achieve better language proficiency.

\section*{2 Literature Review}

Chamot (2004) defined learning strategies as "the conscious thoughts and actions that learners take in order to achieve a goal". These language learning strategies can be "specific actions, behaviors, steps, or techniques" (Oxford, 2002) that "can facilitate the internalization, storage, retrieval or use" (Oxford, 2002). Thus, learners use learning strategies to help enhance their language learning processes.

\subsection*{2.1 Different Types of Grammar Learning Strategies}

Numerous empirical studies in second language acquisition conducted to date have provided valuable insights into different types of grammar learning strategies such as reasons of learners' choice and use, their contribution to learning various skills, and the significance of strategy training programs (Oxford 2001, 2002; Chamot 2004; Oxford and Schramm 2007; Takeuchi et al. 2007; Rubin 2005; Chamot 2008).

Oxford (2001) identified four common features of language learning strategies, which are control, goal-directedness, autonomy, and self-efficacy. Learners use learning strategies to achieve proximal subgoals and later on larger goals in using a language (Oxford, 2001). Language learning strategies enhance learners' autonomy and self-efficacy so a learner has more conscious control of his or her own learning process while feels more confident that
he or she is able to complete different tasks (Oxford, 2001).
Many researchers have contributed to the classification of types of language learning strategies and Oxford's six basic types of language learning strategies are agreed to be "superior in accounting for the variety of strategies" (Chamot, 2004). Oxford's six basic types of language learning strategies are cognitive strategies, mnemonic strategies, metacognitive strategies, compensatory strategies for speaking and writing, affective strategies, and social strategies (Oxford, 2001). Although these strategies are theoretically distinct from one another, Oxford (2001) pointed out that the "boundaries are fuzzy" since more than one strategy are employed sometimes (Oxford, 2001).

There are language learning strategies focusing on each area of language use, which are reading strategies, writing strategies, speaking strategies, listening strategies, and strategies about learning grammar. For current directions in L2 strategy research, Anderson (2005) pointed out that "the role of strategies in the teaching of L2 grammar has focused more on the teachers' pedagogical strategies than on learner's strategies for learning the grammar of a language" (Anderson, 2005). He cited support from other researchers, including Larsen-Freeman, Smith, Krashen, and Ellis, and argued that in order to "get learners to learn grammar", the focus should be placed on "teaching learners the skill of 'grammaring'" (Anderson, 2005). A more learner-oriented approach is needed. Thus, Anderson suggested that more research ought to be done targeting on identifying what learning strategies L2 learners use to learn grammar (2005). This is one of the objectives of this study.

\subsection*{2.2 Connection between Grammar Learning Strategies and Other Learner Variables}

Some common studies also focus on identifying and describing learning strategies used by language learners and examining the connection of the strategies with other learner variables, for instance proficiency level, age, gender, motivation, and the like (El-Dib, 2004; Green \& Oxford, 1995; Oxford \& Burry-Stock, 1995). Oxford (1990) pointed out that "older learners may use ... different strategies than younger learners". Whether there is gender difference in the use of learning strategies is not quite clear since previous studies obtained diverse results (Chamot, 2008). Some found that "females use more strategies than males" do while some results are the opposite (Chamot, 2008). Other found that there is no difference at all (Vandergrift, 1997, cited in Chamot, 2008) while El-Dib (2004) found that the key lies in the type of strategy used. Motivation is generally agreed to be an important factor of strategy use (Oxford, 2002). Greater motivation to learn a language relates to more frequent strategy use while learners who lack motivation use learning strategies less frequently. Takeuchi, Griffiths \& Coyle's study on New Zealand learners (2007) also supported this belief. Career orientation is another factor of strategy use. Learners who are more aspired to learn English for the sake of their future career use more learning strategies (Takeuchi, Griffiths \& Coyle, 2007; Mullis, 1992 and Davis and Abas, 1991 cited in Oxford \& Burry-stock, 1995). Since career orientation offers a motivation to learners to learn a language better, it is natural for learners with a career orientation related to English to be a more motivated learner, and thus use more learning strategies. Lastly, the culture and context of the learners' society play an important role in strategy use. Bedell (1993) found that "different cultural groups use particular types of strategies at different levels of frequency" (cited in Oxford \& Burry-stock, 1995). For instance, Olivares-Cuhat
(2002) reported a study on the relationship of the language learning strategies of learners in a university advanced Spanish writing class with the achievement on a writing sample between those learners speaking Spanish as a first language and those learning Spanish as a foreign language. And the result showed that learners with a Spanish language background had higher marks on their writing samples than the other learners, and showed a greater preference for affective strategies, and memory strategies which were highly correlated with writing achievement (Chamot, 2004). In particular, the relationship between language learning strategies and the student's proficiency level is quite clear as research showed that more proficient language learners use more different learning strategies (Anderson, 2005; Bruen, 2001; Chamot \& El-Dinary, 1999; Green \& Oxford, 1995).

\subsection*{2.3 The Relationship between Language Learning Strategies and Learners' Proficiency Levels}

Among all relevant learner variables, the relationship between language learning strategies and the learners' proficiency levels is particularly interesting. In the past, it was believed that more proficient learners use learning strategies while the less proficient ones do not. Yet, further and more in-depth studies obtained interesting results. Some studies found that " \([\mathrm{m}]\) ore proficient language learners use a great variety and often a great number of learning strategies" (cited in Chamot, 2008). For instance, Takeuchi, Griffiths \& Coyle (2007) conducted a qualitative study on individual variables in language learning in New Zealand. The results, in terms of the relationship between learners' proficiency level and strategy use, align with previous results that more proficient learners use more learning strategies on a more frequent basis (Takeuchi, Griffiths \& Coyle, 2007). Further studies also found that the range of strategies used, how to apply the strategies to the tasks, as well as whether the strategies are appropriately applies are also important (Chamot, 2008). Therefore, the determining factor does not lie in whether learners use learning strategies or not, nor how many strategies they use but "how learning strategies are used ... determines how useful they are" (Chamot, 2008).

However, these studies are western-based studies and cultural difference may be a significant variable in the studies. It is doubtful whether the results are applicable to Asian learners, especially Hong Kong learners who are nurtured in a cosmopolitan city with a mixture of western culture and Chinese tradition. Therefore, the current research is so designed as to investigate the effect of the grammar learning strategies, especially the selection and use of learning strategies, on Asian student achievement.

The implications of this study are that language teachers need to find out what learning strategies learners use for different tasks they undertake in the language classroom and understand what cultural and contextual factors may influence their learners. This can then minimize the chance of a mismatch between the task's demands and learners' learning strategies.

\section*{3 Methodology}

\subsection*{3.1 Background}

Two groups of Year 1 learners studying English for Academic Studies (Business) I in the Hong Kong Community College were selected as the subjects of this research. Their main study programme is business-related subjects and thus the module was designed to help them learn English topics in business context. There were 22 students in the first group which was considered to be the able learners getting Level 3 or above in the English subject of the Hong Kong Diploma of Secondary Education Examination (HKDSE) whereas there were 14 students in the second group which included the less able learners getting Level 2 in the examination. The first group studied the module in the first semester while the second group studied the same module in the second semester because the latter needed to finish a foundation English course first. They were provided with a lot of grammar revision strategies and exercises in the module. At the same time, they were asked to fill in a Grammar Learning Strategies Questionnaire after they had finished the grammar revision.

\subsection*{3.2 Instruments \& Data Collection}

Three instruments were used to collect data including the DSE results of the subjects and the scores of the Grammar Learning Strategies questionnaire which covered three aspects including cognitive strategies, metacognitive strategies and social/affective strategies. The 35 -item questionnaire was modified from the Strategy Inventory for Language Learning (SILL) developed by Oxford (1990). This instrument has been used extensively to collect data on large numbers of mostly foreign language learners (Nyikos \& Oxford, 1993; Olivares-Cuhat, 2002; Oxford, 1990; Oxford \& BurryStock, 1995; Wharton, 2000). Meanwhile, a Likert scale was adopted in order to assess the subject levels of agreement or disagreement in a quantifiable manner:

Part I How often do you use this strategy?
\begin{tabular}{lll} 
Never & \(=\) & 1 \\
Seldom \(=\) & 2 & \\
Sometimes & \(=\) & 3 \\
Usually \(=\) & 4 & \\
Always \(=\) & 5 &
\end{tabular}

Part II I think this is a useful strategy (even though I may not use it.).
Totally disagree \(=1\)
Partly agree \(=2\)
Totally agree \(=3\)
The average score for the first part (i.e. How often do you use this strategy?) was measured and ranked based on the score of 3.5 or above. For the second part (i.e. I think this is useful strategy.), the average score was ranked based on the score of point 2 or above. Furthermore,
a focus group, which consisted of 2 students chosen from each level, was interviewed to collect in-depth information of the strategies used.

\subsection*{3.3 Research Questions}

To achieve the above objectives, the study aims to answer the following research questions:
1. Do the learners use Grammar Learning Strategies while learning English?
2. Is there a relationship between the strategy use and the student achievement in English learning?
3. Are there any differences between the able learners (those who got Level 3 or above in the English examination of the Diploma of Secondary Education) and the less able learners (those who got Level 2 or below in the English examination of the Diploma of Secondary Education) in using grammar learning strategies?
4. What are the differences in the use of grammar learning strategies between the able learners and the less able learners?

\section*{4 Findings \& Discussion}

\subsection*{4.1 Analysis of the Results of Grammar Learning Strategies Used by All Learners}

According to the results of the questionnaires, students do use Grammar Learning Strategies while learning English. Below is a summary of the frequency and usefulness of the 35 Learning Strategies (the following rankings are sorted by Means).

Table 1. The frequency and usefulness of the 35 learning strategies used by all students
\begin{tabular}{|c|l|l|}
\hline Ranking & \multicolumn{1}{|c|}{ Frequency } & \multicolumn{1}{c|}{ Usefulness } \\
\hline \(\mathbf{1}\) & \begin{tabular}{l} 
S9 I take notes when my teacher explains a \\
new grammar structure (e.g. I write down \\
the meaning and the usage of the structure.)
\end{tabular} & \begin{tabular}{l} 
S35 I encourage myself to speak English even \\
when I am afraid of making a grammar \\
mistake.
\end{tabular} \\
\hline \(\mathbf{2}\) & \begin{tabular}{l} 
S34 If I am not sure of a grammar structure \\
while writing or speaking, I try to use \\
another one.
\end{tabular} & \begin{tabular}{l} 
S31 I try to notice my grammar mistakes and \\
find out the reasons for them. \\
S30 I pay attention to grammar rules when I \\
speak or write.
\end{tabular} \\
\hline \(\mathbf{3}\) & \begin{tabular}{l} 
S30 I pay attention to grammar rules when I \\
speak or write.
\end{tabular} & \begin{tabular}{l} 
S16 I review the grammar structures I learn \\
regularly.
\end{tabular} \\
\hline \(\mathbf{4}\) & \begin{tabular}{l} 
S21 I examine the mistakes which my \\
instructor has marked in a written \\
assignment, and try to correct them.
\end{tabular} & \begin{tabular}{l} 
S9 I take notes when my teacher explains a \\
new grammar structure (e.g. I write down the \\
meaning and the usage of the structure.)
\end{tabular} \\
\hline \(\mathbf{5}\) & \begin{tabular}{l} 
S35 I encourage myself to speak English \\
even when I am afraid of making a \\
grammar mistake. \\
S31 I try to notice my grammar mistakes \\
and find out the reasons for them.
\end{tabular} & \\
\hline
\end{tabular}
\begin{tabular}{|c|l|l|}
\hline \(\mathbf{6}\) & \begin{tabular}{l} 
S27 I try to practice a new grammar \\
structure by speaking or writing.
\end{tabular} & \\
\hline \(\mathbf{7}\) & \begin{tabular}{l} 
S11 I underline, use different colors or \\
capital letters to emphasize the important \\
parts of grammar rules and explanations.
\end{tabular} & \\
\hline \(\mathbf{8}\) & \begin{tabular}{l} 
S6 When I see a new grammar structure, I \\
try to infer the rules about that structure
\end{tabular} & \\
\hline
\end{tabular}

The most frequently used strategies are S9 (taking notes), S34 (using another grammar structures when unsure about the intended ones), and S30 (paying attention to grammar rules) while the top 3 most useful strategies as perceived by the students are S35 (encouraging themselves to speak English despite the fear of being wrong), S31 (noticing mistakes and finding out the reasons), S30 (paying attention to grammar rules), and S16 (reviewing regularly). Interestingly, learners used the strategies but they did not find such strategies as S34, S21, S27, S11 and S6 useful. This corresponds to the previous studies that the determining factor for effective learning does not simply lie in whether learners use learning strategies or not, nor how many strategies they use but "how learning strategies are used ... determines how useful they are" (Chamot, 2008). They may consistently adopt the strategies, though they may not be aware of its effectiveness. In this sense, it is advised to conduct a research with a group of the able students so as to find out how they use the strategies specifically and examine the effectiveness of the strategies used.

\subsection*{4.2 Analysis of the Results of Grammar Learning Strategies and the Students' Academic Levels}

Below is a summary of the frequency and usefulness of the 35 Learning Strategies sorted by DSE results (level \(2 \&\) level 3) (the following rankings are sorted by Means).

Table 2. The frequency of the 35 learning strategies used by the two groups with different levels
\begin{tabular}{|c|l|l|}
\hline Ranking & \multicolumn{1}{c|}{ Level 2 } & \multicolumn{1}{c|}{ Level 3 } \\
\hline \(\mathbf{1}\) & \begin{tabular}{l} 
S9 I take notes when my teacher explains a \\
new grammar structure (e.g. I write down \\
the meaning and the usage of the structure.)
\end{tabular} & \begin{tabular}{l} 
S34 If I am not sure of a grammar structure \\
while writing or speaking, I try to use another \\
one.
\end{tabular} \\
\hline \(\mathbf{2}\) & \begin{tabular}{l} 
S16 I review the grammar structures I learn \\
regularly. \\
S30 I pay attention to grammar rules when
\end{tabular} & \begin{tabular}{l} 
S9 I take notes when my teacher explains a new \\
grammar structure (e.g. I write down the \\
meaning and the usage of the structure).
\end{tabular} \\
\hline \(\mathbf{l}\) I speak or write. \\
S35 I encourage myself to speak English \\
even when I am afraid of making a \\
grammar mistake.
\end{tabular}\(\quad\)\begin{tabular}{l} 
S21 I examine the mistakes which my \\
instructor has marked in a written \\
assignment, and try to correct them.
\end{tabular}\(\quad\)\begin{tabular}{l} 
S21 I examine the mistakes which my instructor \\
has marked in a written assignment, and try to \\
correct them. \\
S27 I try to practice a new grammar structure by \\
speaking or writing. \\
S30 I pay attention to grammar rules when I \\
speak or write.
\end{tabular}
\begin{tabular}{|c|l|l|}
\hline & & \begin{tabular}{l} 
S31 I try to notice my grammar mistakes and \\
find out the reasons for them.
\end{tabular} \\
\hline \(\mathbf{4}\) & \begin{tabular}{l} 
S3 When I learn a new grammar structure, I \\
compare it with my own language by \\
thinking of its equivalent in my native \\
language. \\
S34 If I am not sure of a grammar structure \\
while writing or speaking, I try to use \\
another one.
\end{tabular} & \begin{tabular}{l} 
S35 I encourage myself to speak English even \\
when I am afraid of making a grammar \\
mistake.
\end{tabular} \\
\hline \(\mathbf{5}\) & & \begin{tabular}{l} 
S11 I underline, use different colors or capital \\
letters to emphasize the important parts of \\
grammar rules and explanations.
\end{tabular} \\
\hline \(\mathbf{6}\) & & \begin{tabular}{l} 
S15 I try to notice the new grammar structures \\
that appear in a listening or a reading text.
\end{tabular} \\
\hline \(\mathbf{7}\) & & \begin{tabular}{l} 
S6 When I see a new grammar structure, I try \\
to infer the rules about that structure. \\
S26 I remember a new grammar structure by \\
thinking of the context/situation it is used in.
\end{tabular} \\
\hline \(\mathbf{8}\) & & \begin{tabular}{l} 
S13 I think about the situations in which I can \\
use the newly learnt grammar structures. \\
S29 I try to combine the new structure with \\
my previous knowledge to express new ideas \\
or to make longer sentences.
\end{tabular} \\
\hline \(\mathbf{9}\) & & \begin{tabular}{l} 
S24 I write one or two sentences using the \\
new grammar structure so that I can remember \\
that structure.
\end{tabular} \\
\hline
\end{tabular}

For Level 2 learners, the top 3 most used strategies are \(\mathbf{S 9}\) (taking notes), \(\mathbf{S 1 6}\) (reviewing regularly), S30 (paying attention to grammar rules), \(\mathbf{S 3 5}\) (encouraging themselves to speak English despite the fear of being wrong), and \(\mathbf{S 2 1}\) (examining mistakes in written assignments). It is found that they tend to use more often the strategies that they believe are more useful. The top 3 most used strategies correspond to the top 3 most useful strategies as shown above.

For Level 3 learners, the top 3 most used strategies are \(\mathbf{S 3 4}\) (using another grammar structures when unsure about the intended ones), \(\mathbf{S 9}\) (taking notes), \(\mathbf{S 2 1}\) (examining mistakes in written assignments), S27 (practicing new grammar structures by speaking or writing), S30 (paying attention to grammar rules), and \(\mathbf{S 3 1}\) (noticing mistakes and finding out the reasons). Nevertheless, the top 3 most useful strategies perceived including \(\mathbf{S 3 5}\) (encouraging themselves to speak English despite the fear of being wrong), S30 (paying attention to grammar rules), S31 (noticing mistakes and finding out the reasons), \(\mathbf{S 7}\) (asking teachers to repeat when I do not understand), S9 (taking notes), and S20 (determining structures that have trouble and trying to improve) are different from what they frequently used.

These findings correspond to some studies that " \([\mathrm{m}]\) ore proficient language learners use a great variety and often a great number of learning strategies" (cited in Chamot, 2008). The results, in terms of the relationship between learners' proficiency level and strategy use, align with previous results that more proficient learners use more learning strategies on a more frequent basis (Takeuchi, Griffiths \& Coyle, 2007).

Table 3. The usefulness of the 35 learning strategies used by the two groups with different levels
\begin{tabular}{|c|l|l|}
\hline Ranking & \multicolumn{1}{|c|}{ Level 2 } & \multicolumn{1}{c|}{ Level 3 } \\
\hline \(\mathbf{1}\) & \begin{tabular}{l} 
S16 I review the grammar structures I learn \\
regularly.
\end{tabular} & \begin{tabular}{l} 
S35 I encourage myself to speak English even \\
when I am afraid of making a grammar mistake.
\end{tabular} \\
\hline \(\mathbf{2}\) & \begin{tabular}{l} 
S30 I pay attention to grammar rules when I \\
speak or write. \\
S31 I try to notice my grammar mistakes \\
and find out the reasons for them. \\
S35 I encourage myself to speak English \\
even when I am afraid of making a \\
grammar mistake.
\end{tabular} & \begin{tabular}{l} 
S30 I pay attention to grammar rules when I \\
speak or write. \\
S31 I try to notice my grammar mistakes and \\
find out the reasons for them.
\end{tabular} \\
\hline \(\mathbf{3}\) & & \begin{tabular}{l} 
S7 If I do not understand my teacher's \\
explanation of a new structure, I ask him/her to \\
repeat. \\
S9 I take notes when my teacher explains a new \\
grammar structure (e.g. I write down the
\end{tabular} \\
& & \begin{tabular}{l} 
meaning and the usage of the structure). \\
S20 I determine the grammar structures that I \\
have trouble with and make an effort to improve \\
them.
\end{tabular} \\
\hline \(\mathbf{4}\) & & \begin{tabular}{l} 
S16 I review the grammar structures I learn \\
regularly.
\end{tabular} \\
\hline \(\mathbf{5}\) & & \begin{tabular}{l} 
S22 I ask my teacher questions about his/her \\
corrections of my grammatical mistakes.
\end{tabular} \\
\hline
\end{tabular}

For Level 2 learners, the top 2 most useful strategies are \(\mathbf{S 1 6}\) (reviewing regularly), S30 (paying attention to grammar rules), \(\mathbf{S 3 1}\) (noticing mistakes and finding out the reasons), and \(\mathbf{S 3 5}\) (encouraging themselves to speak English despite the fear of being wrong). It is found that they tend to use more often the strategies that they believe are more useful. The top 3 most used strategies correspond to the top 3 most useful strategies as shown above.

For Level 3 learners, the top 3 most useful strategies perceived are \(\mathbf{S 3 5}\) (encouraging themselves to speak English despite the fear of being wrong), \(\mathbf{S 3 0}\) (paying attention to grammar rules), S31 (noticing mistakes and finding out the reasons), S7 (asking teachers to repeat when I do not understand), \(\mathbf{S 9}\) (taking notes), and \(\mathbf{S 2 0}\) (determining structures that have trouble and trying to improve).

The able learners and the less able learners do show differences in using grammar learning strategies. In terms of frequency, the able learners use grammar learning strategies more often than the less able learners. The means for the frequency of strategy are generally higher for the able learners. As the able learners use grammar learning strategies more often, they spend more time in learning English and thus have more exposure to the language. This can be a reason that explains the relationship between grammar learning strategy use and student achievement.

For the differences in grammar learning strategy use, the able learners use S34 (using another grammar structures when unsure about the intended ones) the most often. This is
the \(4^{\text {th }}\) most often used strategy for the less able learners. Learners tend to fear being wrong probably because of the traditional culture that "face-saving" is prominent and making mistakes in front of people should be avoided. When learners are unsure about some grammar structures, they could use other ones they feel more sure about so as not to be wrong. This is, more importantly, a very useful skill for assessments and exams. This could explain why the able learners who use this strategy the most do better academically.

Another difference lies in the fact that \(\mathbf{S 1 6}\) (revising regularly) is the most often used strategy by the less able learners while this strategy is not popular among the able learners (ranked \(17^{\text {th }}\) ). Although revision can enhance learning and performance, the less able learners, even though they revise regularly, still do not yield better results. One possible reason could be that the less able learners do not have effective revision skills. On the contrary, the able learners would rather choose grammar structures they are confident in than the unsure ones. Yet, they do not revise regularly. This is an important skill for assessment and exams.

Hence, we can conclude that there is a relationship between the strategy use and the student achievement in English learning. The able learners use grammar learning strategies more often and more effectively. These findings echo with the relationship between language learning strategies and the student's proficiency level that more proficient language learners use more different learning strategies (Anderson, 2005; Bruen, 2001; Chamot \& El-Dinary, 1999; Green \& Oxford, 1995) which could generate better learning.

\subsection*{4.3 Analysis of the Results of Grammar Learning Strategies and Other Learner Variables}

Some common studies showed that there is a connection between the strategies and other learner variables such as motivation, culture, learning style and personality. The findings from the focus group also indicated that the learners are strongly affected by the variables in terms of the selection and adoption of the strategies. Firstly, motivation is generally agreed to be an important factor of strategy use (Oxford, 2002). Greater motivation to learn a language relates to more frequent strategy use while learners who lack motivation use learning strategies less frequently. For instance, Fion, who attained level 3 for English at HKDSE, stated that she used many grammar learning strategies as she was self-motivated and learnt with what she found useful for herself. In contrast, Jason, who got level 2 for English at HKDSE, mentioned a lot of times during the interview that he was lazy and afraid of being wrong and thus he did not use most of the strategies, though he admitted that they were useful. Instead of using a lot of strategies consciously, he liked learning from mistakes and this could be reflected by his popular strategies including 20 (making efforts to improve grammar structures he has trouble with) and 21 (examining and trying to correct mistakes found in written assignments).

In addition to motivation, learning style also plays a significant role in grammar learning strategies. Gigi, who attained level 3 for English at HKDSE, said she liked learning with fun, and strongly affected by friends because she felt comfortable to learn with her friends. Thus, two of the most used strategies are 8 and 23 , which are to ask friends for help when not understanding teacher's explanation and studying English grammar with friends or relatives respectively. Similarly, Jack, who attained level 2 for English at HKDSE, reckoned that grammar is important to English learning and he emphasizes on a scientific
and structured approach in learning grammar. He opted for a spoon-feeding approach, and memorized all the stuff without a complete understanding. He used grammar learning strategies sometimes. The most frequently used strategy is strategy 35 , which is to encourage himself even when he is afraid of making a grammar mistake. He saw it as a chance to practice, which is a way to get exposure to English. He tended to use those strategies that require him to correct mistakes, such as strategies \(6,7,9,11,14,20,21,22\), \(24,29,30,31,33\), and 34 .

To conclude, it is found that the 2 groups of learners do use different grammar learning strategies and they all agreed that grammar learning is important, though their learning styles as well as their motivation have effects on their learning process. To get learners to learn grammar effectively, as Anderson (2005) commented, the emphasis of teaching and learning should be placed on "teaching learners the skill of 'grammaring'". Through grammaring, the less able learners should gradually master the skills and achieve higher proficiency.

\section*{5 Conclusion}

In summary, this study shows that there is a strong relationship between grammar learning strategies and proficiency level as most studies do. Learners adopt at least few strategies in grammar learning, no matter what cultural background they have and their English level is. Therefore, the next question should be asked is what strategies can bring effectiveness? What strategies can really enhance students' English proficiency? As seen, the able learners use more strategies effectively whereas the less able learners tend to use less or are unable to benefit from the strategies used. Therefore, it is suggested that a further research should be conducted to examine how the able learners apply the strategies to English learning in contexts through a longitudinal study. Furthermore, the strategies identified by the able learners could be incorporated into teaching methodologies and activities designed so as to encourage the less able learners to use more strategies and foster their conceptual change for better learning.

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\title{
A Comparison Study of Vocabulary Learning Strategies by the "New Oriental" and the "Li Yang Crazy English" on English Vocabulary Acquisition
}

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\begin{abstract}
The aim of this study is to examine which vocabulary learning strategy (VLS) is more effective on acquiring English vocabulary and students' attitudes regarding these two VLSs. Ninety-six senior high school students participated in this study; they were divided into two experimental groups. The experiment was conducted to compare the effectiveness of two vocabulary learning strategies proposed by well-known English institutions such as the "New Oriental" (NO) and the "Li Yang Crazy English" (LYCE). Participants took a pretest, a treatment session, and two posttests (immediate and delayed). After the treatment session, all participants took an immediate and a one-week delayed posttest to test their mastery of target vocabulary. In addition, a questionnaire was administered to collect their attitudes toward using those VLSs. The results indicate that 1) The VLS of the NO helped English language learners to acquire more vocabulary than the VLS of the LYCE; 2) The NO group showed more positive attitudes than the NYCE group. The findings provide some pedagogical implications on teaching vocabulary in EFL context.
\end{abstract}

Keywords: vocabulary learning strategy, "New Oriental", "Li Yang Crazy English", students' attitudes

\section*{1 Introduction}

English is a lingua franca that is used by many countries all over the world. Because vocabulary is the basic element of English, it is important to learn vocabulary in English learning. There are many vocabulary learning strategies (VLSs) available for learners. However, students are still not sure about which one would be the best option regarding their English proficiency in second language learning.

Two famous domestic English institutions advertised their VLSs in China. One methodology is used in the NO institution and the other is used in the LYCE institution (McTernan, 1999). The vocabulary learning method of the NO is using the word part strategy (prefixes, roots and suffixes) to help learners memorize the definition of vocabulary. For example, the prefix of 'refund', 'reclaim' and 'refrain' is 're-', students could learn these three words through learning the prefix 're-'. On the other hand, the LYCE institution uses the method that learners read English aloud to help them memorize the definition of
vocabulary. Although Chinese students are familiar with these two strategies, it is not yet clear which method is more effective when learning a vocabulary. This research will compare the two VLSs through an experiment. There are two research questions in this study.
1) To what extent does vocabulary learning strategy of the "New Oriental" and the "Li Yang Crazy English" affect the acquisition of vocabulary?
2) To what extent does vocabulary learning strategy of the "New Oriental" and the "Li Yang Crazy English" affect students' attitudes toward vocabulary learning?
- Which vocabulary learning strategies would the students prefer?
- What are their attitudes towards using two different vocabulary learning strategies?
According to the results of this research, students will be able to choose the effective strategy to learn English vocabulary. In addition, teachers can find the effective method of learning vocabulary between these two methods. They are able to make some improvements according to the results of research and find the most appropriate VLSs of Chinese students. A few studies that have examined the NO and the LYCE, but the research gap is that no studies have compared these two methods yet.

\section*{2 Literature Review}

Word, also known as lexicon, is one of the fundamental elements of language. Carter (1998) defines it as the smallest unit which conveys specific meanings. In terms of second language learning, vocabulary learning attaches its significance.

VLS of the NO (I will use the "NO" henceforth.) is the application of "memory strategies". Schmitt (1997) suggested that through understanding the rules of prefixes, suffixes and roots, learners can also grasp the meanings of vocabularies. Cognitive strategies can be resected in the VLS of the LYCZ (I will use the "LYCZ" henceforth). Gershman (1970, as cited in Gu \& Johnson, 1998) said that repeating vocabulary aloud could facilitate learners' acquisition rather than reciting silently.

Bound morphemes, known as prefixes and suffixes, are the linguistics units which are particularly used to make a new word or transfer an existing word into a different word class (Yule, 2010). Fromkin, Rodman and Hyams (2011) consider this process as derivation. For example, in the word such as 'refund, 're-' is the derivational prefix which forms the original word 'fund' with a different definition. In the word 'happiness', '-ness' is the derivational suffix which alters this word from adjective into noun. Apart from suffix and prefix, Fromkin, Rodman and Hyams (2011) introduced the concept of bound roots, which produced the meaning by integrating with other morphemes. For example, 'vers' is the root of word 'reverse'.

The mechanism of the NO derived from Nation's (2001) "word parts strategy". According to Nation (2001), the core procedure of word part strategy was to find the meaning of a new word by referring to the meanings of its word parts. For example, if students had already known the meaning of 'face' and the prefix 'inter-', they would further get the correct meaning of the new vocabulary 'interface'. A total of 15 prefixes and 10 suffixes were used frequently in English learning (Nation, 1990). Learners can learn English vocabulary according to their prefixes and suffixes.

In recent years，there have been only few studies that have examined the NO．Zhao（2012） analyzed the VLSs used by students in New Oriental School by using questionnaires and classroom observation．The findings indicated that students preferred learning vocabulary alone rather than working with others．Moreover，word part strategy helped learners found the principle of word formation．Those principles in their mind improved their vocabulary learning（Zhao，2000）．

The LYCE is a combination of repetition，reading aloud and context－based vocabulary strategy．The repetition here can be considered as the massed repetition，which＂gives repeated attention＂to words in a short term（Nation，2001，p．76）．A few scholars recommended that repeating one word for at least seven times would lead to a deeper impression（Nation，2001）．Apart from word reading repetition，the supplementary use of example sentences is also crucial．According to Seal（1991），understanding the meaning of a specific word requires the learners to know related context it will fit in．

The LYCE provides sentences for each word to consolidate students＇understanding of word usage in a sentence level．Until now，only a few studies have examined the LYCE． Woodward（2008）made a survey of the LYCE．The method of the LYCE focused on speaking vocabulary aloud．Three rules were emphasized for participation in the LYCE： Speak Loud，Speak Fast，and Speak Clearly（2008）．No quantitative or qualitative data were shown to measure its effectiveness．

Word part strategies in the NO and reading vocabulary aloud in the LYCE were already been familiar with vocabularies learning strategies for Chinese ESL learners．Both of them had a relatively entire theoretical framework but few investigations to examine their effectiveness on improving the accuracy of memorizing vocabulary．Due to two vocabulary learning strategies＇social impact and popularity，there is a need to compare these two strategies＇effectiveness．

\section*{3 Methodology}

The experiment of the research was conducted in The Senior High School Attached to Beijing Normal University at Zhuhai（北师大珠海附中）．Ninety－six grade 2 students at this senior high school participated in this experiment．All the students were divided into two classes with 46 students in Group A and 50 students in Group B．All students are divided into classes randomly；therefore，the participants are in same English level．

Group A participants received the NO and Group B participants received the LYCE．A pre－test，a treatment session of learning vocabulary with different methods，an immediate posttest and a one－week delayed posttest were administered in the experiment．

\section*{3．1 Procedures}

Both the experiment and questionnaire were used in the research．All the participants agreed and signed for the consent form for taking part in the experiment．Two types of data were collected，quantitative and qualitative．The experiment and the closed question about the preference of the specific strategies in questionnaire collected quantitative data．In addition， the open－ended question about the participants＇attitudes towards strategies in the
questionnaire collected qualitative data. The effectiveness of two kinds of strategies that are promoted by the NO and the LYCE were measured through experiment. The attitudes toward strategies of students were collected through questionnaire.

In this study, the treatment session was the independent variable (Group A: NO; Group B: LYCE). The dependent variables were the participants' scores of two tests (an immediate posttest, a one-week delayed test) and their preference and attitudes toward two strategies.

The researcher found 45 words from the IELTS vocabulary book which published by the NO. The pre-test consisted of 45 words, and the participants wrote down the Chinese definitions of the words to check if they already familiar with the given words. They were not allowed to use dictionary or discuss with others. This was the first section of data collection. The researcher checked if they were able to give correct definitions in the test.

After the pre-test data was collected, the 18 words that participants answered incorrectly the most were chosen to be used in the second part of the experiment. The materials of two groups should be prepared in different forms because of two different VLSs. In the material of Group A which the participants learned vocabulary with using affixes, two prefixes, two roots and two suffixes were showed with three words in one small group. Each word was divided into several parts according to the affixes, and the Chinese definitions were also provided.

The strategy that is promoted by the LYCE institution focuses on reading English aloud. In the material of Group B, the vocabulary was ordered randomly and some example sentences were provided. To help the participants of Group B read the words that they do not know in the material, the materials was recorded by one native speaker of English. The participants were able to learn the vocabulary with reading the English sentences aloud followed by the recording.

In the second phase of the experiment, students were taught these problematic words using the two different methods. One lesson ( 40 minutes) was chosen to do the experiment. The participants of two treatment groups took part in the experiment in different lessons of the same day separately. Each vocabulary learning method was briefly explained by the researcher at the beginning of the lessons. The participants in Group A learned the VLS that used in the NO institution and the participants in Group B learned another strategy that used in the LYCE institution.

In the first 25 minutes of the lesson, the participants were asked to use these VLSs to learn the definitions of the 18 words already prepare. The material of 18 words was designed in different forms. The aim of the treatment session was two group participants used two VLSs respectively to memorize the definitions of the 18 words. After 25 minutes, there was an immediate posttest where the 18 words were provided and the participants were required to write down the correct Chinese definitions of each word. The participants were given 10 minutes to complete the immediate posttest. This represented the second sample of data collection.

The researcher marked all test papers and analyzed the accuracy of their answers. One week after the experiment, the participants took a delayed posttest to see if how many words they still remember. A short questionnaire was administered after the delayed posttest. The first question was a closed question about how much the students like the VLS that they used. There were five options of the answer with different extent of preference. The second question was an open-ended question about the attitudes of participants towards the strategies. This was the final sample of data collection. The researcher marked the test papers and analyzed the accuracy of answers.

\section*{4 Results}

\subsection*{4.1 Acquisition of Vocabulary}

The first research question is concerned with the extent of the NO and the LYCE effect on the accuracy of vocabulary learning. In order to answer this question, quantitative methods were used to analyze the data. For quantitative data, the results of the pre-test, the immediate posttest and the one-week delayed posttest were analyzed by the researcher. The full mark of the immediate posttest was 18 . The results of the immediate posttest are shown in the Table 1.

Table 1. The Results of the Immediate Posttest
\begin{tabular}{cccc}
\hline & Group A (NO) & Group B (LYCE) & Total \\
\hline Mean & \(13.9(77.22 \%)\) & \(11.59(64.39 \%)\) & \(12.79(71.06 \%)\) \\
SD & 4.011 & 4.609 & 4.460 \\
\hline
\end{tabular}

First, there were 50 participants in Group A and 46 participants in Group B. The average of Group A, where the participants used the NO, is \(13.9(S D=4.011)\). Second, it appeared that the Group B, where the participants used the LYCE, showed the average is 11.59 ( \(S D=4.609\) ).

For statistical analysis, data was derived from the independent-sample \(t\)-test through SPSS. The means between Group A and Group B, it is at least \(95 \%\) confident that Group A was significantly different from Group \(\mathrm{B}(t=2.601, p<.05)\). The results suggested that the NO was more effective than the LYCE to acquire the vocabulary. One week after the treatment session of two groups, the participants took a one-week delayed posttest. The survey consisted of two main parts. Table 2 presents the results of the first question in the one-week delayed posttest.

Table 2. The Results of the First Part of One-week Delayed Posttest
\begin{tabular}{cccc}
\hline & Group A (NO) & Group B (LYCE) & Total \\
\hline Mean & \(8.08(44.89 \%)\) & \(5.54(30.78 \%)\) & \(6.86(38.11 \%)\) \\
SD & 5.075 & 3.705 & 4.647 \\
\hline
\end{tabular}

Fifty participants finished the one-week delayed posttest in Group A, representing an average of 8.08 ( \(S D=5.075\) ). The average of Group B was \(5.54(S D=3.705)\). For statistical analysis, t-tests were used to analyze the relationship between the data of Group A and Group B. The means between the Group A and Group B, it was at least 95\% confident that Group A was significantly different from Group B \((t=2.748, p<.05)\). It showed the word part strategy to learn vocabulary was more effective for participants' vocabulary retention than the VLS of reading English aloud.

The participants did not have revision during the week between the immediate posttest and the one-week delayed posttest. Thus, the total average score of the one-week delayed posttest was lower than the average score of the immediate posttest. According to the

Ebbinghaus's Forgetting Curve, learners could only retain \(25.4 \%\) of the new knowledge 6 days after they learned it without reviewing (Murre \& Dros, 2015). Thus, the results of two tests were reasonable.

\subsection*{4.2 Attitudes of Participants}

Five options which described the different extent of participants' preference towards two VLSs were given in the second question for each group. The pie chart below shows the preference of Group A participant toward word part strategy.


Figure. 1. The Preference of Group A Participants
As shown in Figure 1, half of Group A participants adopted the neutral position of the word part strategy to learn English vocabulary. About \(32 \%\) of participants liked this strategy and only \(2 \%\) of participants expressed strong likable feelings towards this strategy. However, \(16 \%\) of students were unsatisfied and nobody strongly disliked this VLS. Furthermore, the participants provided the reasons why they chose their answers in this question.

It can be seen from the data in the Figure 2 that the amount of participants who disliked and were neutral about this strategy is equal ( \(42 \%\) ). \(16 \%\) of participants liked this strategy, of which \(5 \%\) of participants strongly liked it.



Figure. 2. The Preference of Group B Participants

Comparing Figure 1 and Figure 2, the percentage of Group A participants with positive attitudes toward the VLS was larger than those in Group B ( \(34 \%\) and \(16 \%\) respectively). However, the amount of Group A participants with negative attitudes was less than the
amount of those in Group B ( \(16 \%\) and \(42 \%\) respectively). Furthermore, there was little difference between the participants with neutral opinion about the two strategies: \(50 \%\) of participants in Group A and \(42 \%\) of participants in Group B. Through the answer of this question, more participants preferred the word part strategy to learn English vocabulary. The table illustrates some of the main reasons of the preference of Group B participants.

The third question of the one-week delayed posttest was about the attitudes of participants with regard to two VLSs. Figure 3 shows the attitudes of Group A students toward the word part strategy to learn English vocabulary. Half of participants thought that this VLS was useful, but \(20 \%\) of them had the opposite idea. About \(30 \%\) of participants had other opinions about this strategy.


Figure. 3. The Attitudes of Group A Participants

Figure 4 shows the attitudes of Group B students toward the VLS that reading English aloud to learn English vocabulary. About 35\% of participants thought that this strategy was useful and \(41 \%\) of them had other ideas. However, about a quarter of the Group B students thought that this strategy was useless. After comparing the attitudes of participants in Group A and Group B, participants had more positive attitudes of the word part strategy rather than reading English aloud to learn vocabulary ( \(50 \%\) and \(35 \%\) respectively). The percentage of students who had negative attitudes toward the strategy of Group A was less than those of Group B ( \(20 \%\) and \(24 \%\) respectively).


Figure. 4. The Attitudes of Group B Participants

\section*{5 Discussion}

From the results of experiment in this study, the NO was more effective than the LYCE in
learning vocabulary with regard to the accuracy of vocabulary and the students' attitudes. The accuracy of two VLSs was shown through both the results of the immediate posttest and the first part of one-week delayed posttest. The content of these two parts was the definitions of 18 words. In the results of immediate posttest, the mean of Group A was larger than Group B and it showed the NO was more effective than the LYCE.

The results showed that both two groups' participants could not even retain the definitions of half of vocabulary that they had learned in the treatment session one week before. Using prefixes, roots and suffixes to learn English vocabulary could let students get a longer and stable memory than reading English aloud because the average score of Group A was higher than Group B.

In terms of the accuracy of vocabulary that students used two VLSs in the experiment, the NO was more effective than the LYCE. Since the target vocabulary could have been too challenging for learners, it is likely that students were not be able to acquire them through the LYCE. The LYCE advocates students to learn vocabulary with reading English aloud, and it may be useful for simple vocabulary. Most Chinese students begin to learn English when they go to the primary school, and the commonly used English learning strategy for those beginners is verbal repetition of English texts. Some students with low English proficiency level believe that reading English aloud can benefit them to learn English. The strategy of the LYCE may be suitable for ESL learners with low proficiency level.

According to Woodward (2008), students could not improve their English writing, reading and listening skills through reading English aloud. This strategy could only improve the speaking skills of students. More spoken practice in ESL classrooms may be the only academic success of the LYCE. This strategy may not suitable for learning vocabulary, but for practicing English speaking skill.

With regard to the preference and attitudes of participants, a short questionnaire with two questions about students' attitudes toward VLSs of the NO and the LYCE were provided in the one-week delayed posttest. The students' preferences toward these two strategies were investigated through the first question. Five options were arranged in a sequence according to the level of popularity. The five options were 'Strongly Like', 'Like', 'Neutral', 'Like'and 'Strongly Like'. To compare with Group A, more participants disliked the LYCE that reading English aloud (42\%) and fewer students liked this strategy (16\%).

In terms of the results of this question, neutral attitude was the larger part in both two groups. The treatment session was the only period that the participants used these two strategies to learn vocabulary. Therefore, they did not have clear attitudes toward the VLSs that they used.

Additionally, nearly half participants of Group B had negative attitudes toward the LYCE. A deal of negative news of Li Yang may also a cause for Group B students' negative attitudes. In September 2011, Kim Li, Li Yang's former wife, prosecuted Li Yang because she was barely surviving at home as a victim of domestic violence. General public showed disappointment to Li Yang because he did not have good personality even he was a teacher. Due to Li Yang was a perpetrator, both Li Yang himself and the LYCE which he established had a lower public trust during that period. This event may influence participants' attitudes. In the contrast, Yu Minhong as the founder of the NO is a positive role model in the society. Because of his innovative education theories and great leadership, the NO was listed in the New York Stock Exchange in 2006. Yu Minhong is not only an excellent English teacher and CEO of NO, but he published some inspirational books like "The Relentless Pursuit of Success". The different impressions of founders of the NO and the LYCE may also be an
important cause for the participants' preferences toward two VLSs.
With regard to the last question in the questionnaire, it was an open-ended question toward students' attitudes. The answers of participants were classified according to three types 'Useful', 'Useless' and 'Other ideas'. To conclude, the word part strategy was more useful than the strategy that reading English aloud.

It is likely a reason that participants of Group B could only read English aloud without writing the vocabulary down. Some students thought that writing the vocabulary down on paper could bear them in the mind. A deal of participants of both Group A and Group B indicated that rote memorization was suitable than other strategies for them. They did not want to change the VLS because they have been already familiar with the strategy that they used before. Different people may have various attitudes toward VLSs, and the best strategy is the one that most suitable for you.

\section*{6 Conclusion}

The comparative experiment was conducted in this research to investigate the effectiveness of two VLSs regarding the NO and the LYCE. Ninety-six senior high school students joined in three tests and did the questionnaires. The word part strategy of the NO that uses prefixes, roots and suffixes was more effective than the reading aloud method of learning vocabulary used in the LYCE. More participants had positive preferences toward the strategy of the NO and more students believed the strategy of the NO was useful.

With regard to the verbal reading of the LYCE, although there was no improvement in students' reading and writing comprehension, the method could be used to practice spoken English. English teachers may design some teaching activities through reading English aloud, like drama plays in the ESL classrooms. Not only could ESL learners learn the pronunciations, but it could also help them build confidence in public speaking. In addition, students could write the vocabulary down when they use the LYCE. Reading English aloud and writing them down at the same time could deepen the impression of the learning materials.

In terms of the NO that uses prefixes, roots and suffixes to learn vocabulary, this strategy could also be used in the ESL classroom. According to Nation (2001), three kinds of "gamelike activities" include "word-making and word-taking", "Bingo-type games" and "analysis activities" could be organized in the English lessons that learners could learn vocabulary through these activities after they have learned some prefixes, roots and suffixes. For instance, learners could use cards with affixes that they already learned, and try to put cards together to make words through group work.

From the results of this research, the difficulty of learning different prefixes, roots and suffixes was one reason some of Group A participants had negative attitudes toward the word part strategy. In ESL classroom, teachers may design some activities to help students learn affixes. These activities may focus on the formation process of English vocabulary. Then, the teacher should help students categorize various prefixes, roots and suffixes. For some affixes which students show poor understanding, the teacher can further provide authentic examples for student to practice.

The results of this study were subject to two limitations. Firstly, the time of the treatment session in the experiment was too short for the participants to understand the VLSs that
they used. The treatment session was the only period that they used these two strategies to learn vocabulary. The results of the experiment would be more convincing if the participants had enough time to understand the VLSs and used them over a longer period of time. Additionally, only 18 words with two sets of prefixes, roots and suffixes were used in the experiment because of time limit. Insufficient vocabulary and word parts involved could not make the experiment obtain convincing results in regards to the two learning methods. For further research, a longer period treatment session could be designed and the participants may have enough time to realize and use the particular VLSs.

Secondly, the memorization of definitions of vocabulary was regarded as vocabulary learning in this experiment. In fact, vocabulary learning included learning the definitions, usage, forms, spelling and pronunciation of the vocabulary. It was not comprehensive that this experiment only focused on the definitions of vocabulary. Further research studies regarding the VLSs may include all the aspects of vocabulary. The results would be more comprehensive and convincing.

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\title{
Conjunctive Cohesion in ESL Argumentative Writing: The Use of Conjunctions and Their Errors by University Students in China
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\begin{abstract}
Served as a cohesive device, conjunctions are widely used by writers to interconnect ideas or facilitate arguments in a text. However, conjunction errors including misuse, overuse, and omission of conjunctions are problematic to English-as-a-second-language (ESL) students with different proficiency levels. A mixedmethods study was undertaken to examine the use of conjunctions and their errors by university students with high and middle-proficiency levels in BNU-HKBU United International College in China. A total of 50 English argumentative essays were collected from the two proficiency groups, and their use of conjunctions were classified according to Martin and Rose's (2003) taxonomy. Native English-speaking teachers were invited to identify the conjunction errors in those scripts. Ten student participants were also interviewed for their learning experiences on using conjunctions in ESL writing. The results indicated that (1) highly proficient students used conjunctions of consequence more frequently while middling proficient students preferred to use addition; (2) conjunction errors concerning informal use of addition were frequently identified in essays from both the high-proficiency and the middleproficiency group; (3) incomprehensive understanding of the nature of punctuations and conjunctions may lead to incorrect use of punctuations in sentences interconnected by conjunctions; and (4) learners tend to learn how to use conjunctions appropriately by referring to authentic materials. Findings have implications on teaching for teachers and self-learning strategies for ESL learners.
\end{abstract}

Keywords: conjunction; conjunction error; argumentative essay; English proficiency level

\section*{1 Introduction}

According to Test Taker Performance 2015 (British Council, 2016), Chinese candidates got an average band of 5.3 in the writing test of International English Language Testing System (IELTS) for Academic training, which ranked the 33rd place among 40 top regions. It has been observed that Chinese candidates' current writing competence fall far short of their foreign counterparts. Inappropriate choice of vocabulary items, grammatical errors and unclear text structure might lead to students' poor performance in writing (Corder, 1974; Bitchener \& Ferris, 2012). Among the potential factors, the use of conjunctions is most problematic to even advanced learners of English. Muller (2015) reported that
conjunction errors are still found in the essays of IELTS band 6.5 students, who are considered as the competent user in English.

Conjunction serves as the cohesive device, which set up the connection between sentences in a text (Halliday \& Hasan, 1976; Martin \& Rose, 2003). Researchers have investigated some issues about cohesion in the writing of ESL learners in China. With regard to high school students' performance in writing, there is no identifiable structure in the development of ideas (Chan, 2004; Ma, 2009). Similar problems have been found in university students' writing. Mao (2003) indicates that university students lacked the sense of using transitional phrases and clauses in their compositions. A lack of appropriate and systematic instruction from teacher can affect students' understanding of cohesion and cause conjunction errors in writing. In an investigation on teachers' pedagogical strategy of writing, only 53 percent of participants reported that teachers sometimes taught how to use the logical connectors (Ma, 2009).

Hence, the present study was conducted to examine students' actual performance on using conjunctive cohesions in ESL writings so that teachers can make informed decisions on what needs to be taught regarding the use of conjunctions in writing.

\subsection*{1.1 Research Questions}

The research was carried out in BNU-HKBU United International College (UIC), which was a Sino-foreign university located in Zhuhai. English was the medium of instruction in the college. Students' argumentative essays written in their English courses were collected and analyzed to answer the following research questions.
1) What types of conjunctions are frequently used in the academic essays of university students with high and middle English proficiency levels?
2) What types of conjunction errors are frequently produced by university students with different proficiency levels in ESL argumentative writing?
3) What are students' learning experiences on using conjunctions in argumentative essays?

\section*{2 Literature Review}

\subsection*{2.1 Cohesion and Conjunction}

Halliday and Hasan (1976) firstly came up with the concept of cohesion, which referred to the logico-semantic relations of "meaning that exist within the text" (p.4). A text is defined as a unity of passages (1967, p.1). Canale (1983) regards cohesion as the proper and flexible use of cohesive devices like logical connectives and pronouns from the perspectives of communication. The semantic function of cohesion is to "distinguish a text from disconnected sequence of sentences" (Halliday \& Hasan, 1967, p. 1), which can be displayed in cohesive ties. According to Halliday and Hasan (1976), the five categories of cohesive ties are: reference, ellipsis, substitution, conjunction and lexical cohesion.

Halliday and Hasan (1976) define conjunction as the logical connection between proceeding and following sentences. It can also be referred to 'logical connectives' (Canale 1983; Pinkham, 1998). It depicts "the certain meanings which presuppose the presence of
other components in the discourse" (Halliday \& Hasan, 1976, p.226). There are four types of conjunctive cohesion: addictive, adversative, causal and temporal (Halliday \& Hasan, 1976). From the lexico-grammar level to the discourse level, Martin and Rose (2003) define the conjunction as "logical connections between figures" (p.110). The figure is a combination of a process, its participants and relevant social context (Halliday \& Matthiessen, 2004). Four kinds of conjunctions are involved: addition, comparison, time and consequences. Furthermore, Martin and Rose (2003) analyzed how internal conjunction interconnect and develop supporting ideas in arguments. Internal conjunction item like 'in addition' is used to enrich authors' thesis with more instances and 'in a nutshell' to restate the crucial opinions. Common temporal conjunctions like 'first of all', 'then' and 'last but not least' in students' argumentative essays express how writers defend their views step by step.

In this research study, the researcher focused on learners' performance in argumentative writing. In that way, Martin and Rose's taxonomy of internal conjunction could match the genre of scripts and be applied in categorizing frequent conjunction types.

\subsection*{2.2 Common Errors Types on Conjunctive Cohesion}

Research studies have identified various types of frequent errors on conjunctive cohesion by Chinese ESL learners. Chan (2010) indicated the existence of misuse conjunctions at lexico-grammatical level by analyzing 387 English essays collected from a secondary school and a university in Hong Kong. For example, students might put a pair of cohesive devices "because" and "so" on both clauses of a complex sentence (2010, p.8) due to L1 interference. Zhang (2000) identified the errors in 107 university students' expository writing and found that students misused addictive, adversative and temporal conjunctions frequently. In addition, Zhang (2000) found out that students tended to overuse conjunctive cohesion and she attributed this phenomenon to the difference between Chinese and English. Moreover, Yang and Sun (2012) summarized three types of conjunction error from 100 argumentative ESL writings: (a) 'redundant use of conjunctions'; (b) 'unreasonable lack of conjunctions' and (c) 'misuse conjunctions'. Field and Oi (1992) conducted a comparative analysis on the use of conjunctive cohesions in English argumentative essays between English native speakers and Cantonese speakers in Hong Kong and identified the overuse 'on the other hand' and misuse 'besides' among Cantonese speakers in Hong Kong.

By integrating categories of conjunctive errors identified in the above-mentioned investigations, a taxonomy of conjunction errors has emerged for the present study. According to Ellis and Barkhuizen (2005, p.58), the process to identify these errors "involves a comparison between what the learner has produced and what a native speaker counterpart would produce in the same context". Hence, the identification of errors was based on rules abided by native English speakers in this research study.
(1) Additional use of conjunction. It refers to linguistic redundancy where the writer applies unnecessary conjunction. It might be grammatical correct. But the choices of conjunctions among sentences cannot establish clear logical relationships and disturb readers' comprehension about the text.
(2) Omission of conjunction. It defines the conjunction errors as the loss of necessary conjunctions, which makes written discourse disorder.
(3) Misuse conjunction. It relates to learners' incompetence to choose correct conjunction in setting up intersentential and intrasentential relationship. In this situation, there is another choice of conjunction that benefits readers' comprehension.

\section*{3 Methodology}

\subsection*{3.1 Participants}

Thirty-five UIC students who were Year-Three and Year-Four students in ten different majors were invited to participate in the present study and contribute one or two argumentative essays, which was an assignment for the course English III. Mandarin was their first language. Among these participants, there were 18 students with intermediate English proficiency level and 17 students with high English proficiency level. The proficiency levels were classified according to the final grade of English III. English III was a compulsory English Course provided by the English Language Center (ELC). Students who got a final grade of 'A' or 'A-' in English III were classified into a highproficiency group while students who achieved 'B-', 'B' or 'B+' in English III were put into a middle-proficiency group.

Participants who identified the conjunction errors were two English teachers working in ELC. They were native English speakers, who came from the U-S and the UK respectively, majored in English and had at least five-year ESL teaching experience.

\subsection*{3.2 Conjunction Identification and Classification}

Copies of 50 argumentative essays were collected from 35 participants. These argumentative essays were written in English III before the English teachers provided any written corrective feedback. The topics included environment protection, comments on social issues, education, crime and health. The length of each script varied from 350 to 600 words. These participating students followed the five-paragraph academic writing structure that consisted of thesis statement, three supporting ideas and conclusion.

The researcher identified conjunctions in each essay, classified them according to Martin and Rose's (2003) taxonomy on conjunctions which included additional use, misuse and omission, and counted the frequency of each type of conjunctions found in all essays. The target conjunction was not just about the property of a certain English word class. It can be realized by adverbs (e.g. firstly, finally), conjunctions (e.g. thus, because, while) and phrases (e.g. due to, by contrast). External conjunctions interconnect sentences while internal conjunctions organize and develop different stages in an argumentative text (Martin \& Rose, 2003). Adverbs like 'Unfortunately' and phrases like 'to be honest' were considered as the "commentary markers", which were used to express opinions on the following figures (Fraser, 1996).

\subsection*{3.3 Identification and Classification of Conjunction Errors}

In this stage, the participating teachers identified the conjunction errors on each script by circling the errors only. The criterion was based on the taxonomy mentioned in Section 2.2, which contained (1) additional use of conjunction; (2) omission of conjunction and (3) misuse conjunction. A guideline listing the criteria of identifying the three types of conjunction errors and their examples was provided to the participating teachers. To ensure the inter-rater reliability on error identification in the argumentative essays, the conjunction errors were double-checked by the two English raters. After that, the researcher classified each conjunction errors and counted the frequency.

\subsection*{3.4 Interview with Participants}

In this stage, five participants from high-proficiency group and five from the middleproficiency group were selected randomly to invite for one-on-one interview. Three openended questions were included, asking about their perspectives on the functions of conjunctions and their experience on learning to use conjunctions appropriately. All interviews were audio-recorded for later analysis.

\section*{4 Results}

\subsection*{4.1 Frequency of Different Types of Conjunctions}

The frequency of a particular kind of conjunction in present study referred to its occurrence (including both correct and incorrect use of conjunction) per 100 words in an argumentative essay. Table 1 shows the average frequency of each category of external and internal conjunctions (per 100 words) in 25 argumentative essays produced by students of the highproficiency group. Overall, 4.436 conjunctions on average were found per 100 words in essays collected. With regard to external conjunctions, the most frequent conjunction was consequence ( 1.513 per 100 words). For internal conjunction, consequence is frequently used as well ( 0.350 per 100 words).

Table 1. Mean Frequency of Each Type of External and Internal Conjunctions (per 100 words) in 25 Argumentative Essays by University Students with High-proficiency Level
\begin{tabular}{llllll}
\hline Types of external conj. & Mean & S.D. & Types of internal conj. & Mean & S.D. \\
\hline Consequence & 1.513 & 0.524 & Consequence & 0.350 & 0.209 \\
Addition & 1.168 & 0.643 & Addition & 0.190 & 0.220 \\
Comparison & 0.493 & 0.306 & Comparison & 0.230 & 0.229 \\
Time & 0.312 & 0.274 & Time & 0.180 & 0.196 \\
\hline Total external & \(\mathbf{3 . 4 8 6}\) & \(\mathbf{0 . 6 7 3}\) & Total internal & \(\mathbf{0 . 9 5 0}\) & \(\mathbf{0 . 2 2 4}\) \\
conjunctions & & & conjunctions & & \\
\hline
\end{tabular}

Table 2 shows the average frequency of various kinds of internal and external conjunctions (per 100 words) in middle-proficiency students' argumentative essays. Addition was the most frequent type of external conjunctions in the scripts, at 1.375 per 100 words. As for internal conjunctions, the use of consequence ranked the top, representing 0.348 .

Table 2. Mean Frequency of Each Type of External and Internal Conjunctions (per 100 words) in 25 Argumentative Essays by University Students with Middle-proficiency Level
\begin{tabular}{llllll}
\hline Types of external conj. & Mean & S.D. & Types of internal conj. & Mean & S.D. \\
\hline Addition & 1.375 & 0.513 & Addition & 0.226 & 0.234 \\
Consequence & 1.148 & 0.519 & Consequence & 0.348 & 0.255 \\
Comparison & 0.435 & 0.324 & Comparison & 0.223 & 0.187 \\
Time & 0.337 & 0.233 & Time & 0.209 & 0.270 \\
\hline \begin{tabular}{l} 
Total external \\
conjunctions
\end{tabular} & \(\mathbf{3 . 2 9 5}\) & \(\mathbf{0 . 6 1 0}\) & \begin{tabular}{l} 
Total internal \\
conjunction
\end{tabular} & \(\mathbf{1 . 0 0 6}\) & \(\mathbf{0 . 2 4 5}\) \\
& & & & \\
\hline
\end{tabular}

With regard to external conjunctions, no significant differences were found in the use of addition \((t=-1.233, p=0.224)\), comparison \((t=0.641, p=0.525)\) and time \((t=-0.349\), \(p=0.729\) ) between students different proficiency levels. However, there was sufficient evidence to show that the use of consequence ( \(t=2.425, p=0.019\) ) was significantly different between two proficiency groups at a \(\alpha=0.05\) confidence level. Moreover, the results denoted that there was no significant difference in the use of four types of internal conjunction between two proficiency groups at a \(\alpha=0.05\) confidence level.

\subsection*{4.2 Identification and Classification of Conjunction Errors}

Apart from three main categories of conjunction errors (see the taxonomy of conjunction errors in Section 2.2); informal use of conjunctions in academic writing was also found in students' scripts. It defined as the fourth type of conjunction errors. Ferris (2002) identified it as an error and denoted that L2 learners were very likely to choose informal vocabularies (known as clichés) in formal academic writing.

As can be seen, the most common external conjunction error was informal use of addition ( 0.037 per 100 words). The mean frequency of all types of errors identified in addition ranked the top, representing 0.083 per 100 words. These results also showed that highly proficient learners produced most frequent errors in additional conjunctions.

Table 3. Mean Frequency of Each Type of Conjunction Errors per 100 words in 25 Argumentative Essays Produced by University Students with High-proficiency Level
\begin{tabular}{llllll}
\hline & \multicolumn{5}{l}{ Mean frequency (S.D.) } \\
& Misuse & Additional use & Omission & Informal use & All error types \\
\hline Addition & \(0.025(0.099)\) & \(0.021(0.066)\) & 0.000 & \(0.037(0.116)\) & \(0.083(0.162)\) \\
Comparison & \(0.014(0.058)\) & \(0.020(0.140)\) & \(0.004(0.029)\) & \(0.007(0.035)\) & \(0.035(0.083)\) \\
Time & \(0.015(0.060)\) & \(0.004(0.027)\) & 0.000 & \(0.004(0.026)\) & \(0.022(0.069)\) \\
Consequence & \(0.024(0.074)\) & \(0.012(0.138)\) & \(0.031(0.086)\) & \(0.007(0.034)\) & \(0.073(0.133)\) \\
\hline
\end{tabular}

Table 4 summarized the frequent conjunction errors produced by middle-proficiency students. Informal use of addition ( 0.058 per 100 words) ranked the top in 25 scripts. The most errors were found in consequence, representing 0.146 per 100 words.

Table 4. Mean Frequency of Each Type of Conjunction Errors per 100 words in 25 Argumentative Essays Produced by Students with Middle-proficiency Level
\begin{tabular}{llllll}
\hline & \multicolumn{5}{l}{ Mean frequency (S.D.) } \\
& Misuse & Additional use & Omission & Informal use & All error types \\
\hline Addition & \(0.028(0.064)\) & \(0.026(0.084)\) & \(0.015(0.051)\) & \(0.058(0.163)\) & \(0.127(0.233)\) \\
Comparison & \(0.023(0.071)\) & \(0.019(0.073)\) & \(0.007(0.033)\) & \(0.018(0.075)\) & \(0.067(0.141)\) \\
Time & \(0.012(0.046)\) & \(0.014(0.054)\) & \(0.000(0.000)\) & \(0.011(0.056)\) & \(0.036(0.085)\) \\
Consequence & \(0.052(0.140)\) & \(0.031(0.082)\) & \(0.039(0.100)\) & \(0.024(0.073)\) & \(0.146(0.184)\) \\
\hline
\end{tabular}

There were no statistically significant differences on the errors of each conjunction type produced by highly proficient and middling proficient students. However, regarding the mean frequency, high-proficiency group produced fewer errors than middle-proficiency group on all conjunction types.

\subsection*{4.3 Interview with Participants}

A total of ten students who have contributed the essays to the study participated in the one-on-one interview. The interview contained four open-ended questions.

First of all, respondents were asked about the functions of using conjunctions, a majority \((80 \%)\) commented that effective use of conjunctions built strong transition throughout the text. Half of the participants ( \(50 \%\) ) specified the transition as the logical connection between different supporting ideas. The overall responses to this question reflected that all interviewees had a basic understanding about the purpose of using conjunctions in argumentative essays.

Question Two and Three related to university teachers' in-class teaching strategies about using conjunctions in academic writing. Three respondents ( \(30 \%\) ) said they did not have clear impression about whether any English courses had introduced conjunctions. In contrast to the rest of participants, they indicated that courses named Academic Reading and Writing, Project Presentation and extra-curricular TOFEL training have taught the use of conjunctions. The majority of them ( \(70 \%\) ) said the lecture was the essential way to teach conjunctions. Two respondents ( \(20 \%\) ) mentioned their teacher gave some extra fill in the
blanks and error identification tasks to practice. These exercises were kind of boring but did help them memorized the meaning of some common conjunctions.

With regard to the last question about independent learning about the use of conjunctions, only two respondents ( \(20 \%\) ) did not have related experiences. A common view amongst interviewees was that referring to experts' academic writing and underlining some conjunctions for memorizing would be helpful. A respondent indicated that she searched for various substitutions of common conjunctions (e.g. using therefore, and hence rather than so) to avoid unnecessary lexical duplication so that the teacher appeared to give higher grade in her compositions. Together these comments from respondents provided important insights into the self-learning strategies in learning the use of conjunctions. Nevertheless, it might reveal a common situation that a majority of interviewees ( \(70 \%\) ) learnt the use of conjunctions in order to get a better score from the teachers.

\section*{5 Discussion}

\subsection*{5.1 Frequent Types of Conjunctions in ESL writing}

Regarding the use of external conjunctions, the current study found that high-proficiency level students tended to use consequence most frequently. In contrast, Chan (2006) and Sung \& Yang (2012) who investigated the use of conjunctive cohesion found that the conjunctions of comparison were used most often while Liu and Braine (2005) found that the conjunctions of addition were frequently used by highly proficient students. In this current study, highly proficient learners in United International College appeared to use more consequences like because, so, therefore, thus and hence to established cause-effect relationship between 1) original theories and social application; 2) examples in real-world situation and potential outcomes to support their stance.

In addition, the results of current study indicated that addition was the most frequent conjunction type in essays written by middle-proficiency students. This outcome differed from several published studies. Jin (2001) and Sun \& Yang (2010) demonstrated consequences were the most frequent conjunctive cohesion used by middling proficient learners. However, it was consistent with earlier studies which determined that the conjunctions of addition were frequently used by intermediate-proficiency students (e.g. Zhang, 2000; Chen, 2006). It is likely that students with middle proficiency level prefer using additions like and, both ... and ..., furthermore, in addition and moreover to put related events together or add supporting ideas to strengthen their argument.

\subsection*{5.2 Conjunction Errors and Related Writing Issues}

The most frequent type of conjunction error produced by both high-proficiency and middleproficiency group was informal use of addition. In contrast, Zhang (2000) found that overuse addition, misuse addition and misuse comparison were main conjunction errors produced by middle-proficiency leaners. According to Sun and Yang (2012), omission of conjunction was more often identified in both middle and high-proficiency leaners' writing.

Informal use of conjunction was a new discovery when the researcher was classifying various conjunction errors. Few studies in the similar research filed have highlighted that before, so it was not originally involved in the taxonomy of conjunction errors. There were two ways of informality found in high-proficiency students' essays. One was about using colloquial English in academic English writing such as last but not least, what is more and besides. Osmond (2013) described these words or phrases as "clichés", which would decrease the objectivity of the writing. The use of informal conjunctions in the text is grammatically correct, but these conjunctions are not acceptable in the registry of academic writing. The other informality referred to using conjunctions and, but, so and because at the head of a sentence. It might be accepted in verbal English expression, but it would lead to sentence fragment in formal essay writing.

Both high-proficiency and middle-proficiency English learners are capable to distinguish the language use in verbal English and academic writing. The cause of informality maybe be students' careless or deficiency in understanding academic writing style. Once they notice the informal patterns in their own writing and their negative effects on formal writing, they would be likely to reduce this kind of error gradually.

One unanticipated finding was punctuation errors. When participants used external conjunctions to interconnect two sentences, punctuation like comma or semicolon was used inappropriately. In example [1], external addition and is misused in this sentence, and the corresponding comma before it is omitted. Aside from the omission of comma, some learners ignored the importance of using semi-colons. According to Straus and Kaufman (2014), a semi-colon should be used before conjunctive adjuncts if an independent clause is followed. In example [2], before the external consequence therefore, a semi-colon should be used instead of a comma (a full stop is also accepted).

Example [1] \#M016-B
More and more people support premarital sex \({ }^{\wedge}\) and the premise is both of them glad to have sex.
Example [2] \#H007-A
Hardly any people in the world can have the same perfect body shape of face as that on the picture, therefore, the number of people who take cosmetic surgery increase.
The focus of part of research study was about conjunction errors, the researcher still found it crucial to indicate the existence of punctuation errors in participants' writing. Although sometimes conjunctions are used correctly between sentences, misuse or omission of necessary punctuation may mislead readers' reading comprehension.

\subsection*{5.3 Pedagogical Implications}

Both high-proficiency and middle-proficiency learners produce conjunction errors in English academic writing. It is a common writing issue that needs teachers' attention. Providing a table which contains different types of conjunction to students is suggested, but the teacher should give further explanation about their appropriate usages. Summarizing some frequent conjunction errors with real-world examples is highly recommended.

Authentic materials are good pedagogical resources for students to learn the use of conjunctions. They can notice the gap between their actual use of conjunctions in own compositions and those applied by native speakers in formal writing. For university
students, when they read a number of academic journals and books, they are exposed to appropriate use of conjunctions by experts. Formal use of conjunctions, correct use of punctuation and effective conjunctions to establish logical relationships can be learnt by referring to these academic resources.

\subsection*{5.4 Limitations}

The participants were university students with high-proficiency level and middleproficiency level but would tend to miss students who were with low proficiency level. Another main weakness of this study was the paucity of participants and sufficient argumentative essays. Although all scripts collected were argumentative essays, their topics, word count and requirements of instructors varied. In addition, these essays were written in previous time by participants under different teachers' instruction. To provide a more comprehensive picture about the use of conjunctions and the errors, potential researchers is required to examine more essays with different genres (such as expository essays) but have unified topic, word counts and requirements on format.

\section*{6 Conclusion}

The present research study has found that highly proficient learners used consequences more frequently while middle proficient learners tended to use additions more often. Regarding the frequent conjunction errors in participants' argumentative essays, the informal use of conjunctions was identified as the fourth frequent types of conjunction errors. Students with high proficiency and middle proficiency level frequently produced informal use of addition. Apart from conjunction errors, misuse and omission of punctuations were found in pairs of sentences, which were interconnected by conjunctions.

An important implication from the one-on-one interviews with ten participants was that student should take advantage of authentic materials to deepen the understanding of the use of conjunctions in argumentative essays. ESL learners may also need to develop selfawareness of applying effective conjunctions in their writing to establish logical relationship between sentences or different argumentative ideas. In terms of teachers, they should consider how to give grammar lecture about conjunction use in ESL writing class. They are highly recommended to enrich the types of tasks in teaching. Error correction, filling in the blanks, reading comprehensions are available for teachers to choose.

It would be comprehensive to compare the use of conjunctions and their errors by students with low, middle and high-proficiency levels. In addition, further research regarding the correlation between the appropriate use of conjunctions and writing quality could be conducted, if more participants are available to join in the investigation and contribute their essays. Corpus is highly recommended as medium to get the resources of essays.

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[^0]:    ${ }^{1}$ The mentioned constraints will soon be defined in the following sections.
    ${ }^{2} 5$ and 4 are marked as $\mathrm{H}, 3$ as M , and 2 and 1 as L .

[^1]:    ${ }^{3}$ The tableau of /ML-ML/ $\rightarrow[\mathrm{LH}-\mathrm{ML}]$ is approximately identical to that of other tonal alternations. In this paper, for the sake of space, only tableaux that can show significant differences would be provided.

[^2]:    ${ }^{4}$ Please refer to McCarthy (2003) for a detailed explanation.

[^3]:    ${ }^{1}$ This project is sponsored by The Education University of Hong Kong, The project number is KT_2016-2017-0012.

    * Corresponding author.

[^4]:    ${ }^{1} \mathrm{CS} / \mathrm{TU}$ means the proportion of code-switched utterances to the total number of utterances.
    ${ }^{2}$ The letter ( F ) denotes the father side and the letter (M) denotes the mother side.

[^5]:    ${ }^{1}$ The terms null object and object drop will be used interchangeably in this paper.

[^6]:    ${ }^{2}$ Rizzi (1986: 245) accounts for "the objectless uses of some verbs by postulating a lexically governed rule that allows the direct theta-role to be saturated in the lexicon rather than being projected in the syntax" (see Rizzi, 1986).
    ${ }^{3}$ Cole (1987) proposes four types of object drop across languages: a. English-type languages that do not allow null objects; b. Chinese-type languages that allow null variable objects; c. Imbabura Quechua-type languages that allow only (null) pro objects, and d. Thai-type languages that allow both variable and (null) pro objects (see Cole, 1987).
    ${ }^{4}$ Massam and Roberge (1989: 137) point out that a specific object can be omitted in recipe contexts, for instance, 'Take a crepe. Cover one half with the ham. Fold $\qquad$ over onto itself and sprinkle with sugar'.

[^7]:    ${ }^{5}$ Other than this contrast, some other contrasts of linguistic features between English and Chinese can also be found from the perspective of language acquisition research, such as in the studies of Wang et al. (1990) and Pérez-Leroux et al. (2008).
    ${ }^{6}$ Despite those studies related to null cognate objects in English, in Jone's (1988) work, sentences with a cognate object are exemplified as (a.) John died a gruesome death and (b.) Harry lived an uneventful life. He (1988) explicitly states that the status of those cognate objects is determined by the semantic relation between the head noun and the verb rather than as a lexical property of the head noun (see Jone, 1988 'Cognate Objects and the Case-Filter’ for details).

[^8]:    ${ }^{7}$ Hong (1990) explains that, as in laugh a laugh, a laugh is regarded as the cognate object. As a cognate object, a laugh 1) serves the delimitative function on the action of the verb, 2) bears the same form of the verb, and 3) is the syntactic object of the verb. Hong (1990) argues that cognate objects in English are characterized by the above three features (see Hong, 1990 'Cognate objects in Chinese' for details).

[^9]:    ${ }^{8}$ As for scopal ambiguous in languages with a bare noun, it should also be noted that Huang, et. al (2009: 8) have pointed out that "bare noun in Chinese can be definite or indefinite and may be singular or plural", and they illustrate this in the following example:
    wo kandao gou
    I saw dog
    "I saw a dog/dogs."
    They state that bare nouns in Chinese clearly can be the interpretive equivalents of the English as shown above, that is, a narrow reading is allowed.

[^10]:    ${ }^{9}$ Holmberg (2005) argues that in the context of a feature theory like the one in Chomsky (1995: ch. 4,2001 ) the phi-features of I (or T) are themselves uninterpretable (or unvalued), being assigned interpretation (or value) by agreement with the subject, so they cannot specify the value of the subject. Instead, he argues, the null subject pronoun has features just like an overt pronoun. "Following the Chomskyan approach to agreement, the null pronoun has interpretable phi-features and assigns values to the inherently unvalued features of Agr." (Holmberg 2005: 548). Holmberg further points out that: as for consistent Null Subject Languages (NSL) like Italian, they have referential agreement, i.e. the phi-features in I/T include the feature [D(efinite)]; as for partial NSLs like Finnish, they have agreement, but it is not referential, i.e. there is no [D] feature in I/T; as for discourse pro-drop languages like Chinese, they have no unvalued phi-features in I/T (no subject-verb agreement) (Holmberg 2005: 559).

[^11]:    ${ }^{1}$ The first author was supported by Initiative for College of Humanities' Research and Education, Sogang University.

[^12]:    ${ }^{2}$ Passive sentences, when regarded as related to the active counterparts, may be defined syntactically as those sentences whose subject NP is the active counterpart's object NP with the semantic role of patient (or recipient) (Chang 1996). In this vein, although the passive subject may be compatible with a -eykey/-hanthey '-by' phrase, the passivization here is only testified by the compatibility with a -ey uyhay '-by' phrase which typically appears with the passive verb.
    ${ }^{3}$ As Chang (1996) points out, there are some lexical words with an inherent passive meaning, as will be shown. However, we will suggest that when the idiomatic verb with the inherent passive meaning undergoes movement to the null passive morpheme on vpass belonging to the idiomatic domain, an idiomatic interpretation is realized.

[^13]:    ${ }^{4}$ Some object-verb idioms may undergo morphological passivization where the passive morphemes $-i /-h i /-l i /-k i$ appear, but they may not undergo (-a/e) ci-passivization without their having the head VCAUS or VPASS belonging to the idiomatic interpretation below ( $-a / e$ ) ci on Voice (Lee \& Lee 2017). ${ }^{5}$ The multiple (accusative) case marking construction is allowed in the sentence where body-part or kinship-type nominals appear. When the verbal theme forms an idiom, it may be used in the multiple (accusative) case marking construction. At this point, case may be overt or covert (D. Lee 2017). This means that the idiomatic entities are categorized under the non-compositional stage, which is matter of our ongoing research (cf. S. Lee 2017)

[^14]:    ${ }^{6}$ The clear empirical evidence for the idiomatic passive verb readily comes from the so-called malfunction type whose subject has the semantic role of patient, not that of agent.

[^15]:    ${ }^{7}$ The verb mac may or may not appear as an idiomatic passivized verb. While the verb in (16) is a passive verb, that in (i) is a simple transitive one. Note that a -ey uhay '-by' phrase with the agent (i.e. sensayngnim-ey uhay 'teacher-by') cannot appear with the verb in the active voice. Note that the null passive morpheme is only compatible with the verb of a malfunction type whose subject has the semantic role of patient.

    | (i) | Chelswu-ka | sihem-eyse | (??sensayngnim-ey uhay) | mancem-ul |
    | :---: | :---: | :---: | :---: | :---: |
    |  | C-NOM | exam-in | (??teacher-by) | 100 point-ACC |
    |  | $\mathrm{mac} / \mathrm{pat}(/ *-\mathrm{hi} / *-\mathrm{e}-\mathrm{ci} / *-\mathrm{hi}-\mathrm{e}-\mathrm{ci})$-ass-ta) |  |  |  |
    |  | get(/*-PASS/*-CI/*-PASS-CI)-PST-DC |  |  |  |
    |  | ${ }^{\text {'Chelswu wa }}$ | ned 100 poi | marks] in the exam (by the | acher).' |

    
    (idiomatic transitive)

    | pwuphay kiep-i | cengpwu-ey uyhay | chelthoy-lul |
    | :---: | :---: | :---: |
    | corrupt enterprise-NOM government-by iron mace-ACC |  |  |
    | c- $\emptyset$ (/*-hi/*-e-ci/*-hi-e-ci)-ass-ta |  |  |
    | hit- $\emptyset$ (/*-PASS/*-CI/*-PASS-CI)-PST-DC |  |  |
    | 'The corrupt enterprise got cracked down by the government.' |  |  |
    |  |  |  |
    |  |  | 1 morpholog |

    In interim conclusion, the accusative-marked object can appear with the passive morpheme, but not with the passive form (a/e) ci. In this vein, the inherent passive verb in the above examples patterns with the morphological passive verb. The accusative case is assigned to the object by the phase head $\mathrm{v}_{\mathrm{DO}}$. Thus, we argue that the null passive morpheme $\emptyset$ should be on $\mathrm{v}_{\text {PASS }}$ as in (20). Note that only when the inherent passive verb undergoes movement to $\emptyset$ on veass belonging to the idiomatic interpretation, can its idiomatic interpretation be realized.
    (20)
    

    If the phase head $v_{\text {pAss }}$ with the null passive morpheme $\emptyset$ does not appear, the sentence becomes ungrammatical since the lexical verb of the active voice cannot be compatible
    with a -ey uyhay '-by' phrase with the agent. Note that the -ey uyhay '-by' phrase with the agent is licensed by the head $\mathrm{v}_{\text {PASS. }}$. The above passive idiomatic constructions illustrate that the phase head $\mathrm{v}_{\text {pass }}$ which the null passive morpheme $\emptyset$ belonging to the idiomatic interpretation occupies appears only when the passive subject has the semantic role of patient (or recipient).

    ## 4 Extension to Non-Idiomatic Verbs

    If our above analytic track that the passive idiomatic interpretation is realized when the idiomatic root phrase is merged with $\emptyset$ on veAsS is correct, we may put forward the suggestion that the non-idiomatic verb compatible with a -ey uyhay '-by' phrase with the agent may be, in fact, a passive verb. Such verbs with inherent passive meaning cannot occur with any passive morpheme or (a/e) ci. At this point, we argue that when the verbal root is merged with the null passive morpheme $\emptyset$ on vPASS, its passive interpretation is realized. Additionally, note that the accusative-marked object can appear with the passive morpheme, but not with the passive form (a/e) ci. Thus, the passivized verb (i.e. mek in (21b) and ip in (22b)) patterns with the morphological passive verb. The accusative case is assigned to the object by the phase head $\mathrm{v}_{\mathrm{DO}}$.
    (21a) simphankwan-i han senswu-lul pelcem-ul mek-i-ess-ta referee-NOM one player-ACC penalty-ul eat-CAUS-PST-DC 'The referee made a player receive a penalty.'
    (21b) han senswu-ka simpahnkwan-ey uyhay pelcem-ul
    one player-ACC referee-by penalty-ACC
    mek- $\emptyset(/ *-\mathrm{i} / *-\mathrm{e}-\mathrm{ci} / *-\mathrm{i}-\mathrm{e}-\mathrm{ci})$-ess-ta
    eat-Ø(/*-CAUS/*-CI/*-CAUS-CI)-PST-DC
    'A player was given a penalty by the referee.'
    ( $\varnothing=$ null passive morpheme) (morphological null passive)

    | Yenghi-ka | Chelswu-lul | phihay-lul | ip-hi-ess-ta |
    | :--- | :--- | :--- | :--- |
    | Y-NOM | C-ACC | damage-ACC | wear-CAUS-PST-DC |
    | 'Yenghi made Chelswu get damaged.' |  |  |  | (idiomatic morphological causative)


    | Chelswu-ka | Yenghi-ey uyhay | phinay |
    | :---: | :---: | :---: |
    | C-NOM | Y-by | damage-AC |
    | ip-Ø(/*-i/*-e-ci/*-i-e-ci)-ess-ta |  |  |
    | wear-Ø(/*-CAUS/*-CI/*-CAUS-CI)-PST-DC |  |  |
    | Chelswu got damaged by Yenghi.' |  |  |

    ( $\emptyset=$ null passive morpheme) (morphological null passive)

    However, the lexical verb of active voice cannot be compatible with a -ey uyhay '-by' phrase with the agent, as shown in (23).

    | (23a) | Yenghi-ka <br> Y-NOM <br> 'Yenghi ate rice (*by mother).' | (*emeni-ey uyhay) | pap-ul <br> rice-ACC | mek-ess-ta <br> eat-PST-DC |
    | :--- | :--- | :--- | :--- | :--- |
    | (23b) | Chelswu-ka | (*Yenghi-ey uyhay) | os-ul <br> C-NOM | (*Y-by) |

    In this case, the phase head $v_{\text {pass }}$ with the null passive morpheme $\emptyset$, which licenses a -ey uyhay '-by' phrase with the agent in the outer Spec-v by the Spec-head agreement, cannot appear since the sentences are a typical transitive construction.

    ## 5 Conclusion

    When a root phrase is merged with the functional head $v_{\text {CAUS }}$ or $\mathrm{v}_{\text {PASS }}$ belonging to the idiomatic interpretation, an idiomatic expression may be realized. Keeping this notion in mind, we have focused on the phenomenon that the accusative-marked object-verb idioms may be (null-)morphologically passivized, preserving their idiomatic meaning. This has been testified by the compatibility with a -ey uyhay '-by' phrase, which is a crucial factor for passivizability of object-verb sequences. The accusative-marked object can appear with the passive morpheme, but not with the passive form (a/e) ci. In this vein, we have shown that the inherent passive verbs such as mek, ip, and mac appearing with a -ey uyhay '-by' phrase with an agent patterns with the morphological passive verb in that they occur with the null passive morpheme $\emptyset$ on vpass licensing a -ey uyhay '-by' phrase with an agent. Based on this observation, we have argued that when the idiomatic verbal root is merged with the null passive morpheme $\varnothing$ on VPASS , its idiomatic interpretation comes true. We have further shown that the non-idiomatic verb compatible with -ey uyhay '-by' phrase with an agent can also become a passive verb by being merged with the null passive morpheme $\emptyset$ on vpass.

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    # Production of English Consonants by Cantonese Speakers 

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    #### Abstract

    This paper presents the preliminary results of an analysis of the pronunciations of English consonants and consonant clusters by five male and five female young Cantonese-speaking adults. The test materials used for analysis consisted of a large number of English monosyllabic and polysyllabic words that contain the different types of consonant singletons and clusters in the initial and final positions. A variety of pronunciation errors were identified in the utterances of the Cantonese speakers. The more common pronunciation errors in the English consonants include (i) devoicing the voiced obstruents $/ \mathrm{bdg} \mathrm{d} \mathrm{v}$ б z $3 /$, (ii) pronouncing the final plosives $/-\mathrm{p}-\mathrm{t}-\mathrm{k}-\mathrm{b}-\mathrm{d}-\mathrm{g} /$ with no audible release, (iii) substitution of the consonants $/ \theta \delta / / / \int_{3} /$, and $/ \mathrm{f}$ d $\mathrm{d} /$ by the Cantonese consonants [ ft ], [ s$]$, and [ $\mathrm{s}^{h} \mathrm{ts}$ ] of the same manner or place of articulation, (iv) simplification of the final clusters by omitting one or two consonants from the clusters, and (v) metaphasis between the consonants standing next to each other in the final clusters. The paper offers explanations for the pronunciation errors.


    Keywords: English consonants, pronunciation errors, Cantonese speakers

    ## 1 Introduction

    Many native Cantonese students in Hong Kong speak English with a heavy Cantonese accent, even after taking English classes for many years since kindergarten. This is believed due primarily to a large difference in sound system between English and Hong Kong Cantonese (HKC, henceforth). Prosodically while English is a stress and polysyllabic language, Cantonese is a tone and monosyllabic language, and segmentally the two languages differ substantially in sound inventory. As presented in Table 1, English (Roach, 2004) has both voiced and voiceless obstruents, including the plosives $/ \mathrm{b} \mathrm{d} \mathrm{g} /$ and $/ \mathrm{pt} \mathrm{k} /$, fricatives $/ \mathrm{v} \partial \mathrm{z} 3 /$ and $/ \mathrm{f} \theta \mathrm{s} \int \mathrm{h} /$, and affricates $/ \mathrm{d} \zeta /$ and $/ \mathrm{f} /$, and the four approximants $/ \mathrm{I} 1 \mathrm{j}$ $\mathrm{w} /$. As for the sounds of HKC (Zee, 1999), they consist only of the voiceless obstruents, including the plosives $/ \mathrm{p}^{\mathrm{h}} \mathrm{t}^{\mathrm{th}} \mathrm{k} \mathrm{k}^{\mathrm{h}} \mathrm{k}^{\mathrm{w}} \mathrm{k}^{\mathrm{wh}}$, fricatives / $\mathrm{f} \mathrm{h} /$, affricates /t $\mathrm{ts}^{\mathrm{h}}$, in addition to the three approximants $/ \mathrm{l} \mathrm{j} /$. Due to the lack of voiced obstruents in HKC, Cantonese speakers pronounce the English voiced obstruents as the voiceless equivalents, for instance, $/ \mathrm{bdg} / \rightarrow[\mathrm{ptk}], / \mathrm{v}_{\mathrm{y}} \mathrm{z} / \rightarrow[\mathrm{f} \theta \mathrm{s} f]$, and /d弓/ $\rightarrow[\mathrm{t}]$ (Edge, 1991; Chan and Li, 2000; Hung, 2000, 2002; Peng and Setter, 2000; Peng and Ann, 2004; Stibbard, 2004; Chan, 2006a, 2007; Meng, Wang, and Lau, 2007; Chan, 2010a). As for the English consonants which are non-occurring in HKC, they are substituted by 'similar' Cantonese consonants, for instance
    $/ \mathrm{v} / \rightarrow[\mathrm{w}], / \mathrm{\delta} \theta / \rightarrow[\mathrm{t}]$ or $[\mathrm{f}], / \mathrm{J} / \rightarrow[\mathrm{s}], / \mathrm{dz} / \rightarrow[\mathrm{ts}], / \mathrm{f} / \rightarrow[\mathrm{ts}]$, and $/ \mathrm{x} / \rightarrow[\mathrm{w}]$ or [l] (Chan and Li, 2000; Hung, 2000, 2002; Chan, 2010a; Stibbard, 2004; Munro and Derwing, 2006; Meng, Wang, and Lau, 2007; Deterding, Wong, and Kirkpatrick, 2008).

    Table 1. Consonant inventories of English (ENG) and Hong Kong Cantonese (HKC) based on Roach (2004) and Zee (1999).

    |  |  | Bilabial | Labiodental | Dental | Alveolar | Postalveolar | Palatal | $\begin{gathered} \text { (Labial-) } \\ \text { Velar } \end{gathered}$ | Glottal |
    | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
    | Plosive | $\begin{aligned} & \text { ENG } \\ & \text { HKC } \end{aligned}$ | $\begin{array}{lr} \mathrm{p} \\ \mathrm{p} \mathrm{p}^{\mathrm{h}} \end{array}$ |  |  | $\begin{array}{ll} \mathrm{t} & \mathrm{~d} \\ \mathrm{t}^{\mathrm{h}} \end{array}$ |  |  | k g $\mathrm{k} \mathrm{k}^{\mathrm{h}}$ $\mathrm{k}^{\mathrm{w}} \mathrm{k}^{\mathrm{wh}}$ |  |
    | Fricative | $\begin{aligned} & \text { ENG } \\ & \text { HKC } \end{aligned}$ |  | $\begin{array}{ll} \hline f & v \\ f & \end{array}$ | $\theta$ ð | $\begin{array}{lr} \mathrm{s} & \mathrm{Z} \\ \mathrm{~S} & \end{array}$ | $\int 3$ |  |  | $\begin{aligned} & \mathrm{h} \\ & \mathrm{~h} \end{aligned}$ |
    | Affricate | $\begin{aligned} & \text { ENG } \\ & \text { HKC } \end{aligned}$ |  |  |  | ts ts ${ }^{\text {h }}$ | t d ${ }^{\text {d }}$ |  |  |  |
    | Nasal | ENG <br> HKC | $\begin{aligned} & \mathrm{m} \\ & \mathrm{~m} \end{aligned}$ |  |  | n n |  |  | y y |  |
    | Approximant | ENG <br> HKC |  |  |  | 1 1 | I | j | w w |  |

    Aside from the differences in consonant inventory between English and HKC, the two languages also differ in the phonological variations and phonotactics. For instance, the final plosives /-p -t -k/ occur in both English and Cantonese, however, they are unreleased, i.e., [-p` -t’ -k] in Cantonese. This explains why Cantonese speakers pronounce the final /-p -t $-\mathrm{k} /$ in English as unreleased (Chan and Li, 2000; Stibbard, 2004; Chan, 2006a). As for the initial nasal /n-/ and the initial lateral /l-/, while they are distinguished in English, /n-/ has merged into /l-/ in HKC. This explains why Cantonese speakers pronounce the initial /n-/ in English words as [1-] (Chan and Li, 2000; Hung, 2000, 2002; Munro and Derwing, 2006; Meng, Wang, and Lau, 2007; Deterding, Wong, and Kirkpatrick, 2008). Furthermore, Cantonese speakers tend to omit the final/-n/ in English words, when the nasal is preceded by a diphthong (Chan and $\mathrm{Li}, 2000$ ) and omit the final /-1/ in English words when the lateral is preceded by a back vocalic sound, such as $/ \mathrm{u} /, / \mathrm{\rho} /$, or $/ \partial \sigma /$, but vocalize $/-1 /$ as a $[\mathrm{u}]-l i k e$ vowel when the lateral is preceded by the other vowels (Chan and Li, 2000; Chan, 2006a, 2007; Deterding, Wong, and Kirkpatrick, 2008; Chan, 2010a). This is because the Cantonese $/-\mathrm{n} /$ is not allowed to occur after a diphthong, and $/-1 /$ does not occur in Cantonese.

    English and HKC also differ in syllable structure. Consonant clusters, including the initial CC- and CCC- clusters and the final -CC, -CCC, and -CCCC clusters with two, three, or four consonant, are allowable in English (Roach, 2009), but not in Cantonese. In most previous studies of the mispronunciation of the English consonants by Cantonese speakers, less attention has been paid to the consonant clusters than singletons. Chan (2006b, 2010b) and Setter (2008) are the few studies which investigate the pronunciation of the English consonant clusters by Cantonese speakers in Hong Kong. In Chan (2006b, 2010b), a large number of English monosyllabic and disyllabic words with the initial CC- and CCCclusters were elicited from 12 Cantonese students through word-list reading, picture description, passage reading, and conversational interview. A common pronunciation error observed is simplification of the initial clusters by (i) omitting usually a liquid $/ \mathrm{l} /$ or $/ \mathrm{I} /$ in
    the clusters, e.g., /spl-/ $\rightarrow$ [sp-] in 'spleen' and /fi-/ $\rightarrow$ [f-] in 'free', or (ii) coalescing the clusters into a single sound, e.g., /tu-/ or $/ \theta_{\mathrm{I}-/} \rightarrow[\mathrm{tg}-]$ in 'tree' and 'thrust'. Other pronunciation errors include devoicing of the English voiced obstruents and substitution of the English consonants with the 'similar' Cantonese sounds. Setter (2008) investigates the English initial CC- and final -CC clusters from 20 Cantonese-speaking university students. However, the aim of the study is to determine the types of the English CC clusters that are frequently used by Cantonese speakers, rather than pronunciation errors.

    As shown above, the previous studies are chiefly concerned with the pronunciation of the English singletons or clusters in the initial position by Cantonese speakers. The present study is a comprehensive investigation of the pronunciation of the English consonant singletons and clusters in both the initial and final positions by Cantonese speakers in Hong Kong.

    ## 2 Method

    The present study aims to identify all the possible cases of mispronunciation of the English consonant singletons and consonant clusters in the initial and final positions in the speech of the Cantonese young adults in Hong Kong.

    ### 2.1 Subjects

    Ten Cantonese speakers, 5 male and 5 female, who were undergraduate students of the academic departments other than English at the City University of Hong Kong, provided speech samples for this study. All the speakers were born into and grew up in Cantonesespeaking families in Hong Kong.

    ### 2.2 Test Materials

    The subjects were asked to utter a randomized set of English words which are primarily monosyllabic and disyllabic. The test words contain the 23 consonant singletons in the word-initial or syllable-initial position, 21 consonant singletons in the word-final or syllable-final position, 31 clusters in the word-initial position, and 133 clusters in the wordfinal position as presented in Table 2. The test words selected for the investigation are commonly used. A few of them which may be considered uncommon were also included, as some English consonants and consonant clusters occur in a limited number of words, such as the initial /3-/ in 'genre', the final /-3/ in 'beige', and the initial /skl-/ in 'sclerosis'.

    Table 2. Test consonant singletons and clusters investigated in the study.

    | Singletons |  | Clusters |  |
    | :---: | :---: | :---: | :---: |
    | C- | -C | CC-/CCC- | -CC/-CCC/-CCCC |
    | p-t-k- | -p-t-k | sp- st- sk- | -lp -lt -lk -ls -lf -10 |
    | b-d- g- | -b-d -g | sm- sn- | -lps -lpt -lts -lks -lkt -lst -lfe -lf0s |
    | tf-ds- | -t 5 -ds | sl- $\int \mathrm{I}-\mathrm{sw}$ - | -lb -ld -lv -lz -lm |
    | $\theta$ - f- s- $\int-\mathrm{h}-$ | $-\theta-\mathrm{f}-\mathrm{s}-\mathrm{\int}$ | pl- kl- fl- | -lbz -ldz -lvz -lvd -lmz -lmd |
    | ð- v- z- 3- | -ð -v-z-3 | bl- gl- |  |
    | m- n - | -m -n -y | p.I- tı- kıI- f.I- $\theta_{\text {I- }}$ |  |
    | 1- I - | -1-I | b.J- d. ${ }^{\text {d }}$ g.J- |  |
    | j- w- |  | tw- kw- 0 w - | -.Ibz -.Ibd -.Idz -.Idzd -.Ivz -..vd |
    |  |  | dw- | -.ımz -..md -..nz -..nd -..lz - .lld -..m $\theta$ |
    |  |  | spl- skl- | -mp -nt -nk -nt -ns -n $\theta-\eta \theta$ |
    |  |  | $\begin{aligned} & \text { sp.I- stı- sk.ı- } \\ & \text { skw- } \end{aligned}$ |  <br>  |
    |  |  |  | -sp -st -sk -sps -spt -sts -sks -skt |
    |  |  |  | -ps -ts -ks -pt -kt -fft -p $\theta$-t $\theta$ |
    |  |  |  | -pts -pst -kts -kst -p s -t日s -ks $\theta$-ksts -ks $\theta$ s |
    |  |  |  | -bz -dz -gz -bd -gd -dzd -d $\theta$ |
    |  |  |  | -fs -ft -f $\theta-\theta \mathrm{s}-\theta \mathrm{t}-\mathrm{ft}-\mathrm{fts}-\mathrm{f} \theta \mathrm{s}$ |
    |  |  |  | -vz -vd -ðz -ðd -zd |

    ### 2.3 Data Collection and Analysis

    Audio recordings of speech samples from the subjects were performed in the sound-proof booth in the Phonetics Lab of the Department of Linguistics and Translation at the City University of Hong Kong, using a high quality digital recorder TASCAM HD-P2. The subjects were instructed to read the test words on the list at a normal rate of speech. Before recording, the subjects were given time to familiarize with the complete set of test words. Any test words which are not familiar to the subjects were excluded during the recording. Table 3 presents the number of test words elicited from each of the ten subjects, making up of a total of 6,028 test tokens for analysis in this study.

    Table 3. Number of test words elicited from each of the ten subjects, five males (M1 to M5) and five females (F1 to F5), for analysis.

    | M1 | M2 | M3 | M4 | M5 | F1 | F2 | F3 | F4 | F5 |
    | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
    | 587 | 608 | 608 | 601 | 602 | 600 | 598 | 609 | 609 | 606 |

    The recorded speech samples were transcribed by a research assistant who has received training in phonetics and is experienced in IPA transcription of the speech sounds of English and Cantonese. The transcriptions were double-checked by the investigator of this study who is a trained phonetician, with the help by performing acoustic analysis.

    ## 3 Results

    The following sections present the results of the pronunciation of the English consonant singletons and consonant clusters in the test words elicited from ten Cantonese speakers.

    ### 3.1 Consonant Singletons

    Both English and Cantonese have the initial consonants /p-t-k-f-s-h-m-n-1-j-w-/ and the final consonants $/-\mathrm{p}-\mathrm{t}-\mathrm{k}-\mathrm{m}-\mathrm{n}-\mathrm{y} /$. However, only English has the initial $/ \mathrm{b}-\mathrm{d}-\mathrm{g}-\mathrm{t} \mathrm{d}-\mathrm{dj}-$ $\theta-$ б- v- z- $\int-3-\mathrm{I}-/$ and the final $/-\mathrm{b}-\mathrm{d}-\mathrm{g}-\mathrm{t} 5-\mathrm{db}-\theta-$ - $-\mathrm{v}-\mathrm{z}-\int-3-\mathrm{x}-1 /$.

    Voiceless plosives /ptk/. The Cantonese speakers pronounce the initial /p- $\mathrm{t}-\mathrm{k}$-/ in English correctly as [ $\mathrm{p}^{\mathrm{h}}-\mathrm{t}^{\mathrm{h}}-\mathrm{k}^{\mathrm{h}}$-] in all the target words $(100 \%, 100 \%, 100 \%)$. As for the final /-p -t $-\mathrm{k} /$ in English, they are pronounced correctly with audible release in most of the target words $(64.4 \%, 93.6 \%, 82 \%)$, but as unreleased, i.e., [ $\left[\mathrm{p}^{\top}-\mathrm{t}^{\top}-\mathrm{k}^{\wedge}\right]$, similar to the Cantonese final plosives in some other words ( $33.6 \%, 3.1 \%, 14.8 \%$ ).

    Voiceless affricate / $\mathrm{f} /$. The Cantonese speakers pronounce correctly the initial $/ \mathrm{ff}$-/ in English with aspiration, i.e., [ $\left.\mathrm{ft}^{\mathrm{h}}-\right]$, in the majority of the test words ( $94.6 \%$ ), but as [ $\left.\mathrm{t}^{\mathrm{h}}-\right]$, similar to the Cantonese alveolar affricate in a few cases (5.4\%). Similarly, the final /-ff/ is pronounced correctly as $[-5]$ ] in most of the test words ( $81.1 \%$ ), but as [-ts] in some other words (14.5\%).

    Voiced plosives /b d g/. Due to the lack of voiced obstruents in Cantonese, the Cantonese speakers pronounce the English plosives /b d g/ as voiceless [p t k] in both the initial position $(96.5 \%, 95.5 \%, 95.3 \%)$ and final position $(93.6 \%, 90 \%, 84.2 \%)$. In the final position, $/-\mathrm{b}-\mathrm{d}-\mathrm{g} / \rightarrow[-\mathrm{p}-\mathrm{t}-\mathrm{k}]$ with audible release is more frequent $(65.4 \%, 65 \%, 55.3 \%)$ than $/-\mathrm{b}-\mathrm{d}-\mathrm{g} / \rightarrow\left[-\mathrm{p}{ }^{7}-\mathrm{t}^{\top}-\mathrm{k}^{\top}\right]$ with no release ( $28.2 \%, 25 \%, 28.9 \%$ ).

    Voiced affricate /dj/. The English initial/dz-/ and final /-d3/ produced by the Cantonese speakers are frequently devoiced as $[\mathrm{t}-]$ ( $86.7 \%$ ) and $[-\mathrm{tg}]$ ( $82 \%$ ), while in some target words as the alveolar [ts-] ( $10 \%$ ) and [-ts] ( $16 \%$ ).

    Voiceless fricatives /f $\boldsymbol{\theta} \mathbf{s} \mathbf{h} /$. The Cantonese speakers pronounce correctly the English initial /f- s- h- $\int-/(100 \%, 98.4 \%, 98.1 \%, 96.3 \%)$ and final $/-\mathrm{f}-\mathrm{s}-\mathrm{f} /(100 \%, 100 \%, 92.5 \%)$ in nearly all the target words, despite Cantonese has only /f- s- h-/. As for the English fricative $/ \theta /$, the Cantonese speakers pronounce it correctly in about half of the target words, in the initial $(60 \%)$ or final $(40 \%)$ position. In the other target words, the Cantonese speakers frequently replace the English / $\theta$ / with [f] which occurs in Cantonese ( $37.3 \%$ in the initial position and $55 \%$ in the final position).

    Voiced fricatives $/ \mathbf{v} \boldsymbol{\partial}_{\mathbf{z}} 3 /$. In the majority of the test words, the Cantonese speakers pronounce the initial $/ \mathrm{v}-\mathrm{z}-3-/$ as $\left[\mathrm{f}-\mathrm{s}-\int-\right](84.5 \%, 94.3 \%, 89.1 \%)$ and the final $/-\mathrm{v}-\mathrm{z}-3 /$ as [-f -s -f] $(97.8 \%, 98.2 \%, 87.5 \%)$. In this study, $/-3 /$ was tested in a single uncommon word 'beige' of French origin. The word-final '-ge' is mispronounced as [-5] instead of the correct $/-3 /$. The Cantonese speakers are assumed to be aware of the fact that in English, '-
    $g e$ ' in the word-final position is pronounced as an affricate, rather than a fricative. As for the English fricative $/ \delta /$, it is often devoiced as $[t-](51.7 \%)$ or $[\theta-](26.7 \%)$ in the initial position and as $[-\mathrm{f}](80 \%)$ or $[-\theta](20 \%)$ in the final position.

    Nasals /m n y/. The two English initial nasals /m-/ and /n-/ are pronounced correctly as [ $\mathrm{m}-$ ] and [ $\mathrm{n}-$ ] in all the target words, except for the word ' $\underline{\boldsymbol{n}}$ amed', with $/ \mathrm{n}-/ \rightarrow[1-]$ by one Cantonese speaker (F2). The Cantonese speakers also pronounce correctly the English final $/-m-n-\eta /$ as $[-m-n-\eta]$ in the majority of the test words $(98 \%, 89.6 \%, 90 \%)$, while there are a few words with $/-n / \rightarrow[-n](9.7 \%)$ and $/-n / \rightarrow[-n](8.6 \%)$ for some speakers. The mispronunciations may be related to the confusion between the final $/-\mathrm{n} /$ and $/-\mathrm{y} /$ in the present-day Cantonese.

    Approximants $/ \mathbf{I} \mathbf{j} \mathbf{j} \mathbf{w} /$. The Cantonese speakers pronounce the four initial approximants /l- $\mathrm{I}-\mathrm{j}-\mathrm{w}$-/ in English correctly as [l- $\mathrm{I}-\mathrm{j}-\mathrm{w}-$ ] in almost all the test words $(95.1 \%, 93 \%$, $100 \%, 99 \%$ ). There are only a few cases for some speakers with $/ 1-/ \rightarrow[n-](4.9 \%)$ and $/ \mathrm{I}-/$ $\rightarrow[\mathrm{w}-](6 \%)$. The English final /-1/ and /-I/ pronounced by the Cantonese speakers often have a change. For instance, $/-1 /$ is vocalized as a $[\mathrm{u}]$-like sound $(71.1 \%)$ when it is preceded by a non-back vowel, such as [ I$]$ in 'skill', [ə] in 'signall', and $[\varepsilon]$ in 'tell $\underline{\text { ', but omitted }}$ ( $28.9 \%$ ) when it is preceded by a back vowel, such as [ 0 ] in 'small', [u] in 'rule', [ə0] in 'hole'. The final $/-\mathrm{I} /$ is often omitted ( $84.1 \%$ ), where there is no general pattern of the omission of /-I/ across the Cantonese speakers.

    ### 3.2 Consonant Clusters

    In English, there are many different types of consonant clusters with two (CC-) or three (CCC-) members in the initial position and with two (-CC), three (-CCC), or four (-CCCC) members in the final position. In Cantonese, consonant clusters do not occur.

    Initial CC- clusters. In English, the initial CC- clusters begin with the voiceless plosives /p- t- k-/, voiced plosives /b- d- g-/, or voiceless fricatives /f- $\theta-\mathrm{s}-\mathrm{\int}-/$. While the initial /p-$\mathrm{t}-\mathrm{k}$ - b- d- g- f- $\theta-/$ are followed by $/ \mathrm{l} \mathrm{I} \mathrm{w} /$, $/ \mathrm{f}-/$ is only followed by $/ \mathrm{I} /$ and $/ \mathrm{s}-/$ followed by $/ \mathrm{pt} \mathrm{k} /, / \mathrm{m} \mathrm{n} /$, and $/ \mathrm{l} \mathrm{w} /$.

    For /pl- pı- t. $-\mathrm{tw}-\mathrm{kl}-\mathrm{kl}-/$, the Cantonese speakers pronounce correctly the initial /p- $\mathrm{t}-$ k -/ as aspirated in all the cases. However, while /p-/ and /k-/ are pronounced as [ $\left.\mathrm{p}^{\mathrm{h}}-\right]$ ( $100 \%$ ) and $\left[\mathrm{k}^{\mathrm{h}}-\right](100 \%), / \mathrm{t}-/$ is pronounced as $\left[\mathrm{ts}^{\mathrm{h}}-\right](63.9 \%)$ or $\left[\mathrm{t}^{\mathrm{t}}-\right]$ ( $36.1 \%$ ).

    For /bl- bi- d.l- dw- gl- g.I-/, the initial /b- d- g-/ are devoiced in the clusters by the Cantonese speakers. While /b-/ and /g-/ are devoiced as [p-] (100\%) and [k-] (99.2\%), /d-/ is pronounced as [ts-] ( $63.1 \%$ ) or [t-] ( $35.4 \%$ ).

    For /fl- f.I- $\theta_{\mathrm{I}}-\mathrm{sl}-\mathrm{sw}-\int_{\mathrm{I}}-/$, the initial $/ \mathrm{f}-/$ and $/ \mathrm{s}$-/ are pronounced correctly by the Cantonese speakers as [f-] $(100 \%)$ and $[s-](100 \%)$, while the initial $/ \theta-/$ is pronounced as [ $\theta$-] $(56.3 \%)$ or [f-] ( $41.7 \%$ ) and the initial $/ \int-/$ as [ $\left.\int-\right](71.1 \%)$ or [s-] ( $28.9 \%$ ).

    The second consonant in any type of the English initial CC- clusters is pronounced correctly by the Cantonese speakers, including /p t k/ in /sp- st- sk-/ $(97.8 \%, 100 \%, 100 \%)$,
     k.I- g.I- f. $\theta_{\mathrm{I}}-\int_{\mathrm{I}}-/(94.6 \%)$, and $/ \mathrm{w} / \mathrm{in} / \mathrm{tw}-\mathrm{dw}-\mathrm{sw}-/(90 \%)$. There are only a few cases (about $10 \%$ ) where $/ \mathrm{l} . \mathrm{m}$ w/ have a change in the CC- clusters, e.g., $/ \mathrm{l} / \rightarrow[\mathrm{x}]$ in ‘fly, click', $/ \mathrm{l} / \rightarrow[\mathrm{n}]$
    in 'slow, sleep', /I/ $\rightarrow$ [1] in 'shrine, fruit', and $/ 1 \mathrm{I} \mathrm{w} / \rightarrow \varnothing$ (omitted) in 'please, close', 'free, press', and 'qu्urtz, thwack'.

    In general, the Cantonese speakers retain the two consonants when pronouncing the English initial CC- clusters.

    Initial CCC- clusters. The initial CCC- clusters in English have the structure of $/ \mathrm{s} /+/ \mathrm{p}$ $\mathrm{t} \mathrm{k} /+/ \mathrm{l} \mathrm{m}$ /, including /spl- sp.ı- stı- skl- skı- skw-/. The initial /s-/ and the final /l $\mathrm{I} \mathrm{w} / \mathrm{in}$ the clusters are pronounced correctly by the Cantonese speakers as [s-] (99.5\%), [1] (97\%), [.] $(100 \%)$, and [w] $(96.6 \%)$. In the second position of the CCC- clusters, $/ \mathrm{p} /$ and $/ \mathrm{k} /$ are also correctly pronounced as [p] ( $98.3 \%$ ) and [k] ( $99.4 \%$ ), but $/ \mathrm{t} / \mathrm{is}$ pronounced as [ t ] $(67.8 \%)$ or omitted $(32.2 \%)$. In general, the Cantonese speakers pronounce all the three component consonants during the initial CCC- clusters, except for $/ \mathrm{t} / \mathrm{in} / \mathrm{sta}-/$.

    Final -CC, -CCC, and -CCCC clusters. In English, the final clusters, -CC, -CCC, and -CCCC, contain a liquid (/l $\mathrm{I} /$ ), nasal (/ $\mathrm{m} \mathrm{n} \mathrm{g} /$ ), voiceless obstruent ( $/ \mathrm{ptkt} \mathrm{ft} /$ ), or voiced obstruent $(/ \mathrm{bdg} \mathrm{d} \mathrm{Vz} /)$ as the first consonant.
    $-/ / / \mathbf{C},-/ / / \mathbf{C C}$, and -///CCC. During the final clusters with /-1/ in the first position, the Cantonese speakers omit /-1/ when it is preceded by a back vocalic sound, such as [p $0 \mathrm{u} \Lambda$ əv] in 'golf, solve, rules, pulse, gold' ( $53.6 \%$ ), but pronounce /-1/ as a [u]-like sound when it is preceded by a non-back vocalic sound, such as [i 1 \& aI eI] in 'field, millk, self, mild, sale, $(20.4 \%)$. However, exceptions are when /-l/is preceded by [ $\varepsilon \wedge$ I] in some words, such
     a [u]-like sound or omitted across different speakers.

    In the final $-/ / / \mathrm{C},-/ / / \mathrm{CC}$, and $-/ / / \mathrm{CCC}$ clusters, the second consonant following $/-1 /$ is a nasal (/m/), voiced obstruent (/bdvz/), or voiceless obstruent (/ptkfis/). The Cantonese speakers pronounce correctly the nasal $/ \mathrm{m} /(97.7 \%)$ and the voiceless obstruents $/ \mathrm{ptkfs} /$ $(100 \%, 91.1 \%, 88 \%, 96.5 \%, 100 \%)$ in most of the test words. The voiceless $/ \theta /$ however is pronounced as $[\theta](40 \%)$ or $[\mathrm{f}](60 \%)$. The voiced obstruents $/ \mathrm{b} \mathrm{v} \mathrm{z/} \mathrm{are} \mathrm{devoiced} \mathrm{as} \mathrm{[p} \mathrm{f} \mathrm{s} \mathrm{]}$ $(95 \%, 95.5 \%, 100 \%)$, and /d/ is either devoiced ( $59.3 \%$ ) or omitted ( $40.7 \%$ ).

    The third and the fourth consonants in the final $/-1 / \mathrm{CC}$ and $/-1 / \mathrm{CCC}$ clusters are the voiced $/ \mathrm{z} \mathrm{d} /$ or voiceless $/ \mathrm{st} \theta /$. The Cantonese speakers pronounce $/ \mathrm{s} /(100 \%)$ and $/ \mathrm{t} /(100 \%)$ correctly in all the test words, but often omit $/ \theta /(88.9 \%)$ and pronounce $/ \mathrm{z} /$ and $/ \mathrm{d} /$ as $[\mathrm{s}$ ] ( $98.9 \%$ ) and [t] ( $100 \%$ ).
    $-/ \mathrm{x} / \mathrm{C}$ and $-/ \mathrm{x} / \mathrm{CC}$. The liquid /-I/ in the first position of the final clusters is optionally omitted ( $67.2 \%$ ). There is no general pattern of the omission of $/-\mathrm{I} /$ in the final clusters observed across the Cantonese speakers. Some speakers, such as M1 (87.6\%), F2 (94.3\%), and F3 $(100 \%)$, tend to omit $/-\mathrm{I} /$, while the others, such as F5 $(89.7 \%)$, tend to retain $/-\mathrm{I} /$.

    The second consonant following $/-\mathrm{I} /$ in the $-/ \mathrm{I} / \mathrm{C}$ and $-/ \mathrm{I} / \mathrm{CC}$ clusters is a nasal ( $/ \mathrm{m} \mathrm{n}$ ) , lateral ( $/ \mathrm{l} /$ ), voiced obstruent ( $/ \mathrm{b} \mathrm{d}$ ds $\mathrm{v} /$ ), or voiceless obstruent ( $/ \mathrm{ptht} \mathrm{f} \theta \mathrm{s} \mathrm{f} /$ ). The Cantonese speakers pronounce $/ \mathrm{m} \mathrm{n} /(97.7 \%, 98.9 \%)$ and $/ \mathrm{p} \mathrm{k} \mathrm{f} \mathrm{s} / /(98.3 \%, 94.3 \%, 96.7 \%$, $97.4 \%, 90 \%$ ) correctly in the large majority of the test words. The rate of correct pronunciation is also considered high for $/ \mathrm{t} /(76.8 \%)$ and $/ \mathrm{f} /(74.1 \%)$, but in some test words $/ \mathrm{t} /$ is pronounced as [?] $(12.1 \%)$ or omitted $(11.1 \%)$ and $/ \mathrm{t} /$ is pronounced as [ t$](15.5 \%)$ or $[J](10.3 \%)$. The voiceless $/ \theta /$ is pronounced as $[\theta](42 \%)$ or $[\mathrm{f}](48 \%)$, and the voiced $/ \mathrm{b}$ $\mathrm{vdd} /$ are often devoiced as $[\mathrm{pft} \mathrm{f}](97.8 \%, 97 \%, 85 \%, 73.3 \%)$, while in some other test
    words / d / is pronounced as [?] ( $7.5 \%$ ) or omitted ( $6.3 \%$ ) and /ds/ is pronounced as [ t ] ( $15 \%$ ), [ [J] (6.7\%), or [s] (5\%).

    In the $-/ \mathrm{x} / \mathrm{CC}$ final clusters, the third consonant is a coronal obstruent (/st $\theta \mathrm{zd}$ ). In the majority of the test words, the Cantonese speakers pronounce $/ \mathrm{s} /$ and $/ \mathrm{t} /$ correctly as [s] $(99.2 \%)$ and $[\mathrm{t}](96.3 \%)$, but pronounce $/ \theta /$ as $[\mathrm{f}](80 \%)$ and the voiced $/ \mathrm{z} /$ and $/ \mathrm{d} /$ as voiceless [s] (95.8\%) and [t] (92.2\%).
    -NC, -NCC, and -NCCC. The nasals (N) /-m $-\mathrm{n}-\mathrm{y} /$ in the first position of the final clusters are pronounced correctly as $[-\mathrm{m}-\mathrm{n}-\mathrm{n}](98.7 \%, 83.4 \%, 96.9 \%)$ by the Cantonese speakers. The correct rate is lower for $/-\mathrm{n} /$, as in some test words $/ \mathrm{n} / \mathrm{is}$ omitted $(5.1 \%)$ or pronounced as [ -y ] ( $11.3 \%$ ) when it is preceded by a low vowel (e.g., [a p] in 'branch, beyond') or a high lax vowel (e.g., [eI av] in 'strange, found').

    The consonant in the second position of the final -NC, -NCC, and -NCCC clusters is a voiceless obstruent (/ptkts $\theta /$ ) or voiced obstruent (/d d $\mathrm{z} /$ ). The voiceless plosives /pt $\mathrm{k} /$ only follow the homorganic nasals $/ \mathrm{m} \mathrm{n} \mathrm{y} /$. The Cantonese speakers pronounce $/ \mathrm{p} /$ as $[\mathrm{p}$ ] $(45 \%), / \mathrm{t} /$ as $[\mathrm{t}](77.5 \%)$, and $/ \mathrm{k} /$ as $[\mathrm{k}](91.7 \%)$. In the mispronunciation cases, $/ \mathrm{p} /(54.1 \%)$ and $/ t /(22.5 \%)$ may be omitted, especially in the -NCC and -NCCC clusters. As for $/ \mathrm{t} \mathrm{s} \theta /$ in the -NC and -NCC clusters, / $\mathrm{t} /$ and $/ \mathrm{s} /$ only follow $/-\mathrm{n} /$, while $/ \theta /$ follows $/-\mathrm{n} /$ or $/-\mathrm{y} /$. In these clusters, the rate of correct pronunciation is high for $/ \mathrm{t} / \rightarrow[\mathrm{t}](75 \%)$ and $/ \mathrm{s} / \rightarrow[\mathrm{s}]$ ( $90 \%$ ), while $/ \mathrm{f}$ / is pronounced as [ t ] in some cases ( $21.7 \%$ ). As for $/ \theta /$, it is pronounced as $[\theta](42.4 \%)$ or $[\mathrm{f}](32.3 \%)$ or omitted ( $17.2 \%$ ). The voiced obstruents $/ \mathrm{z} \mathrm{d} /$ in the -NC and -NCC clusters follow any one of the nasals / $-\mathrm{m}-\mathrm{n}-\mathrm{y} /$, whereas /dz/ only follows $/-\mathrm{n} /$. $/ \mathrm{zd} \mathrm{d} /$ are often devoiced as $[\mathrm{s}](97.1 \%)$, tt$](73.1 \%)$, and $[\mathrm{tg}]$ ( $66.7 \%$ ), and in some test words $/ \mathrm{d} /$ is omitted $(21.6 \%)$ and $/ \mathrm{d} /$ is pronounced as $[\mathrm{ts}]$ ( $21.7 \%$ ).

    In the final -NCC and -NCCC clusters, the third and fourth consonants are the voiceless $/ \mathrm{st} /$ or voiced $/ \mathrm{z} \mathrm{d} /$. The Cantonese speakers pronounce $/ \mathrm{s} /(96.6 \%)$ and $/ \mathrm{z} /(100 \%)$ as $[\mathrm{s}$ ] and pronounce $/ \mathrm{t} /(92.3 \%)$ and $/ \mathrm{d} /(80 \%)$ as [t]. Omission of $/ \mathrm{d} /(16.7 \%), / \mathrm{s} /(2 \%)$, and $/ \mathrm{t} /$ (5.4\%) is also observed in some cases.

    Other-CC, -CCC, and -CCCC. The rest of the final cluster types in English consist of two, three, or four voiceless obstruents (/p tk ff s $\theta \mathrm{f} /$ ) or voiced obstruents ( $/ \mathrm{b} \mathrm{dg} \mathrm{g} \mathrm{d} \mathrm{vz}$ ) ).

    The voiceless affricate $/ \mathrm{f} /$ and fricatives $/ \mathrm{f} \mathrm{f} /$ only occur in the first position of the final -CC and -CCC clusters. They are pronounced correctly by the Cantonese speakers as [tf $\int$ f] $(55.2 \%, 75 \%, 83.1 \%)$ in over a half of the target words. In the rest of the cases, $/ \mathrm{f} / \mathrm{f} / \mathrm{is}$ pronounced as [ts] ( $17.2 \%$ ) or [ $\left.\int\right]$ ( $27.6 \%$ ), $/ \mathrm{J} /$ as [s] ( $25 \%$ ), and /f/ as [ $\left.{ }^{\mathrm{f}} \mathrm{f}\right](9 \%)$ or [p] (5.6\%).

    The voiceless plosives $/ \mathrm{p} /$ and $/ \mathrm{k} /$ occur in the first or the second position of the final CC and -CCC clusters. The rate of correct pronunciation of $/ \mathrm{p} /$ as $[\mathrm{p}]$ is $93 \%$ when $/ \mathrm{p} /$ is in the first position of the clusters, but only $30.3 \%$ when $/ \mathrm{p} /$ in the second position. In the second position, $/ \mathrm{p} /$ especially when following [ s$]$ often undergoes metathesis ( $65.2 \%$ ), switching position with the preceding [s], e.g., /-sp/ $\rightarrow$ [-ps] in 'gasp, crisp'. As for $/ \mathrm{k} /$, the Cantonese speakers pronounce $/ \mathrm{k} /$ as $[\mathrm{k}]$ with a rate of $65.6 \%$ when $/ \mathrm{k} /$ is in the first position of the final clusters and $75.6 \%$ when $/ \mathrm{k} /$ in the second position. In the other cases, $/ \mathrm{k} /$ in the first position of the clusters is frequently pronounced as [?] ( $15.6 \%$ ) or omitted (18.8\%). In the second position, $/ \mathrm{k} /$ is frequently omitted $(18.9 \%)$ or switched position $(4.4 \%)$ with the preceding /k/ /-s/, e.g., /-sk/ $\rightarrow$ [-ks] in 'asked, masked'.
    $/ \mathrm{t} \theta \mathrm{s} /$ can be in any position of the final -CC and -CCC clusters and /s/ can also be in the fourth position of the final -CCCC clusters. For /t/, the Cantonese speakers pronounce it as
    [t] $(36.7 \%)$, [?] $(20 \%)$, or [k] ( $30 \%$ ) and may omit it ( $13.3 \%$ ) when occurring in the first position. When $/ \mathrm{t} / \mathrm{is}$ in the second or the third position, it is pronounced as [ t$](74 \%, 66.7 \%)$ or omitted ( $23.7 \%, 30.8 \%$ ). In a few cases, /ts/ switch position (1.7\%), e.g., /ts/ $\rightarrow$ [st] in 'gifts, sects'. As for $/ \theta /$ in the final clusters, the Cantonese speakers more often pronounce it as [f] than [ $\theta$ ], when $/ \theta$ / is in the first position ( $50 \%$ for [f] and $14 \%$ for $[\theta]$ ), the second position ( $34.4 \%$ for [f] and $11.5 \%$ for $[\theta]$ ), or the third position ( $35 \%$ for [f] and $25 \%$ for $[\theta])$ position of the final clusters. $/ \theta /$ may also be omitted in the final clusters, which is more often in the second position ( $45.9 \%$ ) or the third position (35\%), rather than the first position ( $12 \%$ ). As for $/ \mathrm{s} /$ in the final clusters, the rate of correct pronunciation is higher when $/ \mathrm{s} /$ is in the second position ( $95 \%$ ) than in the first ( $64.9 \%$ ), the third ( $74.1 \%$ ), or the fourth (55\%) position. In the first position, $/ \mathrm{s} /$ in some cases undergoes metathesis ( $24.3 \%$ ), switching position with the following consonant, a plosive in particular. In the third position $(21.6 \%)$ or the fourth position $(45 \%), / \mathrm{s} /$ is omitted in some cases.

    As for the voiced obstruents in the final -CC and -CCC clusters, $/ \mathrm{b} \mathrm{g} \mathrm{ds} \mathrm{v} /$ only occur in the first position. The Cantonese speakers pronounce /b/ as [p] ( $100 \%$ ) and /v/ as /f/ ( $95 \%$ ) both in almost all the cases. The voiced $/ \mathrm{g} /$ and $/ \mathrm{d} /$ are frequently devoiced as $[\mathrm{k}](80 \%)$ and [ $t$ ] $(60.7 \%)$, respectively, while in some other cases $/ \mathrm{g} /$ is pronounced as [?] ( $18.3 \%$ ) and $/ \mathrm{d} / \mathrm{Js}[\mathrm{J}](25 \%)$ or $[\mathrm{ts}](14.3 \%)$. The coronal $/ \mathrm{d} \delta /$ can be in the first or second position of the - CC and -CCC clusters and $/ \mathrm{z} /$ in any position in the clusters. In a number of cases, $/ \mathrm{d} /$ is pronounced as [t] $(42.6 \%)$ or [?] ( $34.7 \%$ ) or omitted ( $20.4 \%$ ) in the first position, but basically devoiced as $[\mathrm{t}](94.6 \%)$ in the second position. The fricative $/ \delta /$ is devoiced as $[\theta]$ or [f] when it is in the first $(20.4 \%, 69.4 \%)$ or second $(65.3 \%, 31.6 \%)$ position. As for $/ \mathrm{z} /$, it is too basically devoiced as [s] when it is in the first ( $100 \%$ ), the second $(99.2 \%)$, or the third ( $90 \%$ ) position of the -CC and -CCC clusters

    In general, in the final clusters, aside from the liquids $/-1 /$ and $/-\mathrm{I} /$, the obstruents are quite often omitted. As shown in Table 4, the obstruent omission is more frequent in the -CCCC clusters, whether the clusters contain a liquid $/-1 /(100 \%)$, a nasal ( $80 \%$ ), or a voiceless obstruent (85) as the first consonant. The rate of the obstruent omission is also high in the -CCC clusters, especially those consisting of a voiceless (50.2\%) or voiced (70\%) obstruent as the first consonant in the clusters. The obstruent omission is more frequent in the final position ( $64.7 \%$ ) than in the first position ( $34.5 \%$ ) in the -CC clusters. In the -CCC clusters, the obstruent omission is more frequent in the second position ( $63.6 \%$ ) and final position $(28 \%)$ than in the first position ( $5.2 \%$ ). In the -CCCC clusters, the obstruent omission is more frequent in the second position (29.4\%) and third position (35.3\%) than in the first ( $0 \%$ ) and final ( $5.9 \%$ ) position. There are cases in which two obstruents, usually the final two in the clusters, are omitted in the -CCC (3.2\%) and -CCCC (29.4\%) clusters. The obstruents in the final clusters involved in the omission mostly the plosives $/ \mathrm{ptkd} /$ and fricatives $/ \theta \mathrm{s} /$. The omission often takes place (i) when $/ \mathrm{ptdk} /$ follow a homorganic nasal in the - NC, -NCC, and -NCCC clusters, (ii) when $/ \mathrm{t} \mathrm{d} \mathrm{k} \theta /$ are standing next to other obstruents of the same manner or place of articulation in the clusters, such as $/ \mathrm{t} \mathrm{d} \mathrm{k} /$ next to another plosive, /t/ next to an alveolar consonant, and $/ \theta /$ next to a fricative, and (iii) when $/ \mathrm{td} \theta \mathrm{s} /$ occur in the -CCC or -CCCC clusters, functioning as a suffix morpheme, such as $[-\mathrm{t}]$ or $[-\mathrm{d}]$ for ' $-e d$ ', $[-\theta]$ for ' $-t h$ ', and $[-\mathrm{s}]$ for ' $-s$ '.

    Table 4. Rates (in \%) of the obstruent omission in different types of final clusters consisting of $/-1 /$, $/-\mathrm{I} /$, a nasal $(\mathrm{N}=/ \mathrm{m} \mathrm{n} \mathrm{y} /$ ), a voiceless obstruent $(\mathrm{O}=/ \mathrm{ptg} \mathrm{f} \mathrm{f} \theta \mathrm{s} / /)$, or a voiced obstruent $(\mathrm{O}=/ \mathrm{b} \mathrm{d}$ $\mathrm{g} \mathrm{d} \mathrm{d} \mathrm{v} / /)$ as the first consonant $\left(1^{\text {st }} \mathrm{C}\right)$.

    |  | $1^{\text {st }} \mathrm{C}=/-1 /$ | $1^{\text {st }} \mathrm{C}=/-\mathrm{I} /$ | $1^{\text {st }} \mathrm{C}=\mathrm{N}$ | $1^{\text {st }} \mathrm{C}=$ voiceless O | $1^{\text {st }} \mathrm{C}=$ voiced O |
    | :--- | :---: | :---: | :---: | :---: | :---: |
    | -CC | $2.2 \%$ | $1 \%$ | $8.2 \%$ | $14.6 \%$ | $6.8 \%$ |
    | -CCC | $19.4 \%$ | $7.6 \%$ | $30.4 \%$ | $50.2 \%$ | $70 \%$ |
    | -CCCC | $100 \%$ | (n.a.) | $80 \%$ | $85 \%$ | $(n . a)$. |

    ## 4 Discussion

    This paper has presented the Cantonese speakers' correct and incorrect pronunciation of the English consonant singletons and clusters in the initial and final positions. The findings of the present study concerning the consonant singletons and the initial consonant clusters are in many ways similar to those reported in the previous studies. For instance, the Cantonese speakers devoice the English voiced obstruents /b dg ḑ v d z 3/, pronounce the English final plosives /-p -t -k -b-d -g/ with no audible release, and substitution of the English consonants $/ \theta \delta /, / \int 3 /$, and $/ \mathrm{f} \mathrm{d} \mathrm{d} /$ by the Cantonese consonants [ ft ], [ s ], and [ts ts ] of the same manner or place of articulation. There are also mispronunciations of the English consonants, e.g., $/ \mathrm{v}-/ \rightarrow[\mathrm{w}-], / \mathrm{I}-/ \rightarrow[\mathrm{w}-]$ or [l-], /n-/ $\rightarrow[1-]$, omission of the final $/-\mathrm{n} /$ after a diphthong, and omission of $/ 1-/$ or $/ \mathrm{I}-/$ in the initial consonant clusters. The previous studies reported that these pronunciation errors were found to be highly frequent across Cantonese speakers in Hong Kong. However, this is not true anymore, as according to the findings of the present study the frequency of those pronunciation errors is much lower than what was previously reported, an indication of a noticeable improvement of the pronunciation of English by Cantonese speakers. This may be due to the fact that more recently in Hong Kong the high school teachers of English whose first degree is not in English studies are required to receive formal training in teaching English as a second language.

    This paper has also reported on the pronunciation errors in the English consonants in the final clusters made by Cantonese speakers. To my knowledge, these errors have not been well-documented in previous studies. The final clusters, in particular the ones with more than two consonant members, i.e., -CCC and -CCCC, frequently undergo simplification by omitting one or two consonants from the clusters. The simplification of the English consonant clusters by Cantonese speakers is explainable by the fact that there are no consonant clusters in the Cantonese sound system. Furthermore, the cases of metathesis between the consonants standing next to each other in the final clusters, such as $/$-sp -st $\mathrm{sk} / \rightarrow[-\mathrm{ps}-\mathrm{ts}-\mathrm{ks}]$ presented earlier, may be explained by the fact that only a stop ending, such as $/-\mathrm{p} /, /-\mathrm{t} /$, or $/-\mathrm{k} /$, is allowed in the final position in the Cantonese syllables, but not $/-\mathrm{s} /$. It is assumed the final $/-\mathrm{p}-\mathrm{t}-\mathrm{k} /$ are therefore preferred by the Cantonese speakers over $/-\mathrm{s} /$ in the first position of the final clusters.

    ## 5 Conclusion

    In conclusion, all the pronunciation errors in the English consonants and consonant clusters made by Cantonese speakers may in fact be explained by the differences in phonetics and phonology between English and Cantonese. In a way, all the pronunciation errors in English made by Cantonese speakers are not just explainable but also predictable. It appears that a theoretically significant aim of the research on the pronunciation errors in English by second language learners is to substantiate what is predictable through collection and analysis of the empirical data on mispronunciation.

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    # A Phase-Based Approach to Object Marking in Mandarin Chinese 

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    #### Abstract

    Chinese is known as a SVO language. But there are cases in which the objects are moved to the preverbal position. When the objects are preposed, sometimes they are marked with $b a$ and sometimes they aren't. Yang and van Bergen (2007) propose that such phenomenon can be explained by Aissen's (2003) Differential Object Marking (DOM) with some modifications. They claim that $b a$ can be used to differentiate the object from the subject and whether it is needed is determined by animacy, definiteness, and the syntactic position of the object. We provide some examples to show that their proposal makes incorrect predictions. We argue that the presence of $b a$ is to avoid a derivational crash at the interface between syntax and phonology. Such a crash is caused by a Distinctness violation (Richards, 2010) that sees two nodes of the same type in the same phase being unable to be linearized. The function of $b a$ is to create a phase boundary to ensure that the subject DP and the preposed object DP are in different Spell-Out domains and can be linearized. Thus, $b a$ is obligatory, not optional. We also provide additional argument that preposed objects without $b a$ marking are internal topics, supporting the idea of Paul $(2002,2005)$ and Badan and Del Gobbo (2015). Like ba-phrases, internal topics have a silent topic marker that helps to seal the topicalized DP in a different phase in order to avoid the Distinctness violation and achieve linearization.


    Keywords: ba-construction, Differential Object Marking, Distinctness violation, phase

    ## 1 Introduction

    In this paper we argue that the modified version of Aissen's (2003) Differential Object Marking (DOM) proposed by Yang and van Bergen (2007) can not fully explain the marking on the preposed objects in Chinese. We point out some examples that are contradictory to the predictions made by their proposal and claim that preposed objects without marking have different meaning and syntactic position from those in the $b a$-construction. We believe that $b a$ is obligatory and its function is to save the derivation from crashing at the interface between syntax and phonology by creating a phase boundary. We follow Paul $(2002,2005)$ and Badan and Del Gobbon (2015) in interpreting preposed objects without $b a$ as internal topics. Drawing on parallels from Japanese and Korean, we propose that these topicalized objects have a silent topic marker which has exactly the same structural function as $b a$. This silent marker creates a phase boundary so that the topicalized DP and the subject DP are spelled out in different phases and thus can be linearized.

    The paper is organized as follows. In section 2, preposed objects with the marking of $b a$ in Chinese are introduced. Section 3 introduces Aissen's (2003) approach to DOM. Section 4 describes the modified approach to DOM by Yang and van Bergen (2007) and how it applies to the Chinese data. Then problems with this proposal are discussed. Section 5 introduces Richards' (2010) Distinctness theory and how it helps to explain the function of $b a$. This section also provides evidence to show that preposed objects without $b a$ are internal topics and how the phase-based approach can explain the absence of marking on the them.

    ## 2 Preposed Objects and Their Marking with Ba in Chinese

    Chinese is known as a SVO language, but information packaging of a sentence can lead to the object being preposed to the preverbal position. The $b a$-construction is a well-known construction with SOV word order and has the following characteristics that have been generally acknowledged: the preposed objects are usually definite or specific and are marked with $b a$; only verbs with certain disposal or affectedness meaning are appropriate and they must take another element to form a complex verb; the semantic focus of the $b a$ construction is on the complex verb and emphasizes how it affects the object. (1) shows a typical example of the $b a$-construction compared with its non- $b a$ counterpart. While the $b a$-sentence emphasizes that the car is not in my possession anymore, the canonical SVO sentence emphasizes that the object being sold is a car.
    (1) a. Wo ba wode che maile. ${ }^{1}$

    I BA my car sell PERF
    'I sold my car.'
    b. Wo mai le wo-de che.

    I sold PERF my car
    'I sold my car.'
    The issue of interest in this paper is the marking of $b a$ on the preposed objects. It seems that in some situations, $b a$ is obligatory as shown by examples in (2). And in other situations, it seems that $b a$ is optional as shown in (3).
    (2) a. $\mathrm{Ta} *(\mathrm{ba})$ laoshi tui-dao le
    he BA teacher push-over PERF
    'He pushed over the teacher.'
    b. Ta *(ba) she da-si le.
    he BA snake hit-dead PERF
    'He killed the snake.' (examples (15)-(16) from Yang and van Bergan, 2007)
    (3) $\mathrm{Ta}(\mathrm{ba}$ ) na-ge pingguo chi le
    he BA that-CL apple eat PERF
    'He ate that apple.'

    Based on these observations in which the object takes obligatory marking or optional marking and taking into consideration that the object in the canonical SVO word order is never marked by $b a$, Yang and van Bergen (2007) argue that DOM also exists in Chinese. They propose that object marking with $b a$ is determined by animacy, definiteness and the syntactic position of the object. In the following, we will describe Aissen's (2003) DOM system and how Yang and van Bergen modified it to explain the $b a$-marking in Chinese.

    ## 3 Aissen (2003) on DOM

    Some languages have overt case-marking on objects, but only some objects get casemarked and others do not. This is known as the Differential Object Marking (DOM) phenomenon, first discussed by Bossong (1985). Aissen (2003) develops a formal approach to DOM within the framework of Optimality Theory (OT) (Prince and Smolensky, 1993) and argues that the cross-linguistic variation in DOM can be explained by the two scales formed by animacy and definiteness in terms of prominence.
    (4) Animacy scale: Human > Animate > Inanimate
    (5) Definiteness scale: Pronoun > Proper Noun > Definite NP >

    Indefinite Specific NP > Indefinite Non-specific NP
    On these two scales, items on the left have higher prominence than items on the right. The two scales can play a role in DOM separately or jointly. For example, in Sinhalese and Hebrew, DOM is solely determined by animacy and definiteness respectively. But in Romanian, DOM is affected by both animacy and definiteness. Though DOM is determined by different semantic properties of the object, the general rule is that "the higher in prominence a direct object, the more likely it is to be overtly case-marked" (Aissen 2003, p.436).

    Though with some exceptions, the function of DOM has been generally understood to disambiguate subjects from objects. For this reason, Aissen proposes that a third scale, the scale of grammatical functions (or the relational scale) shown in (6) should be considered in DOM.
    (6) Relational scale: Subject > Object

    This relational scale should be aligned with both the animacy scale and the definiteness scale in order to compare subject with object in terms of markedness. Take the animacy scale and the relational scale as an example. Through harmonic alignment, a formal operation in OT (Prince and Smolensky, 1993/2004), two new hierarchies that express markedness as shown in (7) can be created ("x $>y$ " means " $x$ is less marked than $y$ "):
    (7) a. Subj/Hum $>$ Subj/Anim $>$ Subj/Inan
    b. Obj/Inan $>\mathrm{Obj} /$ Anim $>\mathrm{Obj} / \mathrm{Hum}$
    (7a) shows that a human subject is most unmarked and an inanimate subject is most marked. (7b) shows that an inanimate object is most unmarked and a human object is most marked. Taken together, we see what is marked for a subject is unmarked for an object, and vice versa. This is known as markedness reversal (Battistella 1990, 1996; Croft 1990) in the literature. Reversing (7b) yields a constraint hierarchy shown in (8), which says that a human object is most marked, and because it resembles the subject most it should be avoided most.

    ## (8) $* \mathrm{ObJ} / \mathrm{Hum} \gg * \mathrm{ObJ} / \mathrm{ANIM} \gg * \mathrm{ObJ} / \mathrm{InAN}$

    In a similar manner, applying the harmonic alignment operation to the definiteness scale and the relational scale will generate another constraint hierarchy as shown in (9). This constraint indicates that the more marked an object in terms of definiteness, the more it is to be avoided. Therefore, the object pronoun is to be avoided most because it is most marked.

    ## 

    For clarity and ease of discussion, we combine (8) and (9) and repeat them in (10). The two constraints in (10) show that the markedness of objects can be ranked on a scale in terms of animacy and definiteness and the degree of their avoidance is predictable. However, in languages across the world, these constraints are often violated and marked object types are not avoided. If a language chooses not to avoid an object type, it tolerates it by casemarking it. And if an object type on the two scales in (10) is case-marked, all other object types on its left will also get case-marked.
    (10) a. $* \mathrm{OBJ} / \mathrm{HUM} \gg * \mathrm{ObJ} / \mathrm{ANIM} \gg * \mathrm{OBJ} /$ InAN b. $* \mathrm{Obj} / \mathrm{Pro} \gg \mathrm{Obj} / \mathrm{Pn} \gg \mathrm{Obj} / \mathrm{DEF} \gg \mathrm{Obj} / \mathrm{Spec} \gg \mathrm{Obj} / \mathrm{NsPEC}$

    Languages vary with respect to the object types they choose to mark and not to mark. To provide a unified account of this variation, Aissen (2003) introduces two more constraints from OT, the iconicity constraint in (11) and the economy constraint in (12). These two constraints are in conflict and are universal in all languages. The different DOM systems in different languages are results of the reconciliation of these two conflicts through ranking.
    (11) $* \emptyset_{\mathrm{C}}$ 'STAR ZERO': penalizes the absence of a value for the feature CASE.
    (12) $*$ STRUC $_{\mathrm{C}}$ : penalizes a value for the morphological category CASE

    Ranking (11) and (12) in either order is not helpful in explaining the cross-linguistic DOM patterns because the results make all languages either not case-mark all objects or casemark all objects. Aissen (2003) solves the problem by performing the operation of Local Constraint Conjunction (Smolensky 1995). This operation integrates the iconicity constraint in (11) to the two constraint hierarchies in (10) and generates two new hierarchies in (13).
    (13) a. $* \mathrm{Obj} / \mathrm{Hum} \& * \emptyset_{\mathrm{C}} \gg$ ObJ/ANIM $\& * \emptyset_{\mathrm{C}} \gg$ OBJ/InAN $\& * \emptyset_{\mathrm{C}}$
    b. $*$ ObJ/Pro $\& * \emptyset_{\mathrm{C}} \gg$ ObJ/Pn $\& * \emptyset_{\mathrm{C}} \gg$ Obj/DEF $\& * \emptyset_{\mathrm{C}} \gg$ Obj/Spec $\& * \emptyset_{\mathrm{C}}$
    $\gg *$ ObJ/NSPEC \& $* \emptyset_{\mathrm{C}}$
    (13a) shows that not case-marking a human object is worse than not case-marking an animate object, which is worse than not case-marking an inanimate object. (13b) can be understood in a similar way, but in terms of definiteness.
    By interpolating (12) at a certain point in the two scales in (13), a particular language shows how it solves the conflict between iconicity and economy and displays its DOM system. For example, DOM in Dhargari is only determined by animacy and the economy constraint is inserted between $*$ ObJ/ANIM $\& * \emptyset_{\mathrm{C}}$ and $*$ ObJ/InAN $\& * \emptyset_{\mathrm{C}}$ as shown in (14). Therefore, all animate objects in Dhargari are case-marked.
    (14) $*$ OBJ/Hum $\& * \emptyset_{\mathrm{C}} \gg$ OBJ/ANIM $\& * \emptyset_{\mathrm{C}} \gg$ STRUC $_{\mathrm{C}} \gg *$ ObJ/InAN $\& * \emptyset_{\mathrm{C}}$

    If DOM in a language is only determined by definiteness, then the ranking is between the interaction of the definiteness scale and the economy constraint. If DOM is determined by both animacy and definiteness, the ranking is complex and involves interpolating the economy scale with both the two scales in (13) at the same time. Besides, if the ranking between *STRUCC and an object type on the two scales in (13) is undecided, then that object type is the cut-off point for optional case-marking. Yang and van Bergen (2007) argue that this is the case with Chinese. Examples will be discussed in the next section.

    ## 4 Yang and van Bergen's Proposal (2007)

    ### 4.1 A Modified DOM in Chinese

    Yang and van Bergen (2007) argue that DOM also exists in Chinese. For the $b a$ construction, in which the object moves to the preverbal position, the differential casemarker $b a$ can be used to distinguish the subject from the object. Like other languages, whether a preposed object in Chinese is marked with $b a$ or not can be affected by animacy and indefiniteness. However, prominence on these two dimensional scales seems to have opposite influence on DOM in Chinese.

    Animacy prominence affects the object marking with $b a$ in Chinese in the same way as it does in other languages. Therefore, the aforementioned iconicity constraint in (10a) is still active in Chinese. Since animate and human objects are obligatorily marked with ba and inanimate objects are optionally marked with $b a$, they simplify the iconicity constraint of animacy in (15).

    ```
    *OBJ/[Hum/ANIM] & *Ø
    ```

    As for definiteness prominence, in other languages, the more prominent an object on the definiteness scale, the more likely it is case-marked; in Chinese it is the least prominent object in terms of definiteness that gets obligatorily case-marked. To explain this difference,

    Yang and van Bergen (2007) argue that in Chinese the definiteness scale is not combined with the relation scale through the harmonic alignment operation. Rather, it is combined with the syntactic position scale shown in (16), which says that preverbal position is more prominent than postverbal position. The result of this harmonic alignment gives us (17).
    (16) Syntactic position scale: Preverbal > Postverbal
    (17) a. $\mathrm{Pre} / \mathrm{Pn}>\mathrm{Pre} /$ Noun $>\mathrm{Pre} /$ Def $>\mathrm{Pre} / \mathrm{Spec}>\mathrm{Pre} /$ NSpec
    b. Post/NSpec $>$ Post/Spec $>$ Post/Def $>$ Post/Noun $>$ Post/Pn

    Reversing (17a) yields the constraint hierarchy shown in (18). Then applying Local Conjunction to (11) and (18) generates the complex iconicity constrain shown in (19).
    (18) *PRE/NSPEC>> *PRE/SPEC >>*PRE/DEF >>*PRE/NOUN >>*PRE/PN
    (19) $*$ PRE/NSPEC $\& * \emptyset_{C} \gg * \operatorname{PRE} /$ Spec $\& * \emptyset_{\mathrm{C}} \gg * \operatorname{PRE} /$ DEF $\& * \emptyset_{\mathrm{C}} \gg *$ PRE/NOUN $\& *$ $\emptyset_{\mathrm{C}} \gg * \operatorname{PRE} / \mathrm{PN} \& * \emptyset_{\mathrm{C}}$

    Because the cut-off point between obligatory marking and optional marking of ba lies between nonspecific indefinite objects and all other object types, Yang and van Bergen (2007) simplified (19) as (20).

    ## (20) $*$ PRE/NSPEC \& * $\emptyset_{C} \gg * \operatorname{Pre}[S P E C / D E F / N O U N / P N] \& * \emptyset_{C}$

    Conjoining the item on the right of (15) with (20) (Noun and PN on the right are omitted because they don't concern us here), we can get (21):

    ## (21) $*$ Pre/NsPEC \& * ObJ/INAN \& * $\emptyset_{\mathrm{C}} \gg *$ PRE/[SPEC/DEF] \& $*$ ObJ/INAN \& * $\emptyset_{\mathrm{C}}$

    (21) needs to be ranked with $*$ STRUC $_{c}$. But since only the preverbal object in Chinese sometimes gets case-marked with $b a$ and the unscrambled object in the canonical SVO word sentences never gets case-marked with $b a$, the economy constraint in (12) needs to be subdivided into two parts: $*$ STRUC $_{C} /$ UnSCR and $*$ STRUC $_{C} /$ SCRAM. And because SOV is more marked than SVO, these two subconstraints form the following hierarchy, which shows that it is worse to case-mark an unscrambled object than a scrambled object.

    ## (22) $*$ STRUCC/UNSCR $\gg *$ STRUCC/SCRAM

    Ranking the left item in (15), both items in (21) and the right item in (22), Yang and van Bergan (2007) provide a complex ranking shown in the OT Tableau 1 and 2. As can be seen from these tableaux, $*$ OBJ/[HUM/ANIM] \& $* \emptyset_{\mathrm{C}}$ and $* \operatorname{PRE} / \mathrm{NSPEC} \& * \mathrm{OBJ} / \mathrm{INAN} \& * \emptyset_{\mathrm{C}}$ have the same ranking; *STRUC $/$ /Scram and $* \operatorname{Pre} /[$ Spec/DEF $] \& * \mathrm{ObJ} /$ InAN $\& * \emptyset_{\mathrm{C}}$ have the same ranking; and the former two outrank the latter two. This ranking of constraints can explain the object marking situations in all $b a$-sentences. But we only provide examples with an inanimate definite object and a human definite object because these two types of objects make their proposal problematic as pointed out in the next section. In tableau 1, both candidate sentences violate one constraint. Since *STRUCC/SCRAM and *Pre/[SPEC/DEF] \& *ObJ/InAN \& $* \emptyset_{\mathrm{C}}$ do not differ in the strength of violation, both
    candidates survive as grammatical sentences. In tableau 2, both candidate sentences violate one constraint. However, since $* \mathrm{OBJ} /[\mathrm{HUM} / \mathrm{ANIM}] \& * \emptyset_{\mathrm{C}}$ ranks higher than *STRUC ${ }_{C} /$ SCRAM, the second candidate wins the competition.

    Table 1. An inanimate definite scrambled object (tableau 8 from Yang and van Bergan, 2007)

    | Input: 'he ate this apple' | $\begin{gathered} \text { *OBJ/ } \\ \text { [Hum/ANIM] } \\ \& * \emptyset_{\mathrm{C}} \end{gathered}$ | $\begin{gathered} * \text { PRE/NSPEC } \\ \& \\ * \text { OBJ/InAN } \\ \& * \emptyset_{\mathrm{C}} \\ \hline \end{gathered}$ | *STRUCC/SCRAM | $\begin{gathered} * \text { PRE/[SPEC/DEF ] } \\ \& * \text { ObJ/InAN } \\ \& * \emptyset_{\mathrm{C}} \end{gathered}$ |
    | :---: | :---: | :---: | :---: | :---: |
    | Ta zhe-ge pingguo chi le. he this-CL apple eat PERF |  |  |  | * |
    | Ta ba zhe-ge pingguo chi le. he BA this-CL apple eat PERF |  |  | * |  |

    Table 2. A human definite scrambled object (tableau 10 from Yang and van Bergan, 2007)

    | Input: 'he hit this teacher' | *OBJ/ [HUM/ANIM] $\& * \emptyset_{\mathrm{C}}$ | $\begin{gathered} \text { *PRE/NSPEC } \\ \& \\ * \mathrm{OBJ} / \text { INAN } \\ \& * \emptyset_{\mathrm{C}} \end{gathered}$ | *STRUC ${ }_{\text {c }} /$ SCRAM | $\begin{gathered} * \text { PRE/[SPEC/DEF ] } \\ \& * \text { ObJ/InAN } \\ \& * \emptyset_{\mathrm{C}} \end{gathered}$ |
    | :---: | :---: | :---: | :---: | :---: |
    | Ta zhe-ge laoshi da le. he this-CL teacher hit PERF | *! |  |  |  |
    | Ta ba zhe-ge aoshi da le. he BA this-CL teacher hit PERF |  |  | * |  |

    ### 4.2 Problems with Yang and van Bergen's (2007) Proposal

    While Yang and van Bergen's (2007) proposal seems to be able to explain the object marking in all $b a$-sentences, their proposal is problematic because it makes some wrong predictions. First, their proposed rankings predict that when the preposed object is inanimate definite the marking of $b a$ is optional. Therefore, they treat the two sentences in tableau 1 , slightly modified and repeated in (23), as identical $b a$-sentences except that in (23b) $b a$ is omitted.
    (23) a. Ta ba na-ge pingguo chi le.
    he BA that-CL apple eat PERF
    'He ate that apple.'
    b. Ta na-ge pingguo chi le.
    he that-CL apple eat PERF
    'He ate that apple.'
    However, if (23a) and (23b) are identical and $b a$ is only a case marker, its optionality should not be affected by the presence of an adverb. In other words, in (24) ba should also be optional because the object is inanimate definite. But the fact is that $b a$ in this case is obligatory.
    (24) Ta manmande $*$ (ba) na-ge pingguo chi le. he slowly BA that-CL apple eat PERF
    'He ate that apple slowly.'
    A similar case can be found in (25) where negation is added before the preposed object.
    (25) a. wo mei ba na-ge pingguo gei ta.

    I NEG BA that-CL apple give him
    'I did not give that apple to him.'
    b. * wo mei na-ge pingguo gei ta.

    When negation is present in a $b a$-sentence, $b a$ is also obligatory regardless of the object type.
    (24) (24) and (25) provide evidence that (23a) and (23b) may have different structures because certain adverbs can change the $b a$-marking on the object. Therefore, (23b) should not be simply treated as a $b a$-sentence without case-marking.

    Second, their ranking predicts that when the object is human definite, it is obligatorily marked with $b a$ as tableau 2 shows. Such prediction is wrong when we extend the sentence like (26). When the two objects in (26) bear a stress to indicate contrast, $b a$ is optional before the first object and is banned before the second object.
    (26) Ta (ba) zhe-ge laoshi da le, (*ba) na-ge laoshi mei da. He BA this-CL teacher beat PERF, BA that-CL teacher NEG beat. 'He beat this teacher, didn't beat that teacher.'

    Last but not least, their DOM system is unable to explain the following sentences in (27).
    (27) a. Gou *(ba) na-ge pingguo chi le.
    dog BA that-CL apple eat PERF
    'The dog ate that apple.'
    b. wo (*ba) zhe-ben shu hen xihuan.

    I BA this-CL book very like
    'I like this book very much.'
    c. wo (*ba) Beijing qu-guo.

    I BA Beijing go-EXP
    'I've been to Beijing.'
    According to Yang and van Bergen (2007), if the object marking of $b a$ is merely determined by animacy, definiteness, and the syntactic position of the object, then all the three objects in (27) should be optionally marked because they are all inanimate definite. However, none of these situations are borne out by the data.

    ## 5 A Phase-Based Approach to Object Marking in the Ba-Construction in Chinese

    ### 5.1 Distinctness by Richards (2010)

    We propose that the case-marking phenomenon in Chinese is not relevant to the semantic properties of the object (animacy or definiteness), that is, DOM doesn't paly a role in the object marking in Chinese. Rather, case-marking an object is to save a derivational crash at the interface between syntax and phonology. Our proposal is based on the Distinctness theory of Richards (2010). Following Chomsky (1995, 2000, 2001), Richards assumes that the syntactic structure is built up in phases, which include CP and transitive $v \mathrm{P}$. When syntactic operations are completed within each phase, the Spell-Out domain, that is the complement of the phase head, undergoes transfer for phonological and semantic interpretation. After Spell-Out, the components in the phase, except for the phase head, are not visible for further syntactic operations. The Distinctness theory is a hypothesis regarding the syntax-phonology interface. It is a new restriction on the linearization statement by Kayne (1994). Take (28) (example (4) from Richards, 2010) as an example, the two DPs are in an asymmetric c-command relation and therefore will generate a linearization statement so that the two DPs can be pronounced and contribute to phonological interpretation.
    (28)
    

    In Richards' (2010) proposal, when the material in (28) is sent to PF, the two DPs in this statement do not contain any other information, such as the lexical contents (John and Mary) or syntactic positions (one is the specifier, the other is the complement). All that is known during Spell-Out is that both of them are DPs and simply saying a DP precedes the other DP is not helpful at all in linearizing them. So these two DPs can not be linearized and this uninterpretable linearization statement will cause the derivation to crash at SpellOut. For this reason, Richards puts forward a new constraint on linearization: the syntactic derivation will crash if two nodes in the same phase are of the same type even if they are in an asymmetric c-command relation. This idea is captured in (29).
    (29) Distinctness:

    If a linearization statement <a.a> is generated, the derivation crashes. (Richards, 2010, p.5)

    To eliminate this Distinctness violation and save the derivation from crashing, Richards (2010) posits several methods, such as removing conflicting structure, adding a phase boundary, banning movement, and enforcing movement. In support of his argument, Richards proposes KP ("Kase") and PP as strong phases, in addition to CP and transitive $\nu$ P. Also, following Nissenbaum (2000), Richards assumes that the edge of a phase is linearized with the contents in the higher phase. To illustrate his idea and facilitate our discussion on the object marking in the $b a$-construction, we will show how Chaha resolves the Distinctness violation by creating a phase boundary. (30) is from Richards. It shows that when the object is specific, it is obligatorily marked with ya. (31) is the tree structure of (30a).
    (30) a. Giyə yə-fərəz nək ${ }^{\mathrm{w}}$ əsənim (Chaha) dog yo horse bit 'A dog bit a (specific) horse.'
    b. Giyə fərəz nəkəsənim dog horse bit
    'A dog bit a (nonspecific) horse.' (example (46) from Richards, 2010)
    (31)
    

    In Richards' (2010) analysis, marking the object with ya makes it a KP, which is a strong phase. Since the object DP is within the KP phase, it is spelled out in this phase. By the time the higher subject DP is introduced, it is to be linearized with the KP. Since they have different nodes, no Distinctness violation is incurred.

    ### 5.2 A Phase-Based Approach to the Object Marking with Ba

    In line with Richards’ (2010) analysis, we propose that ba plays exactly the same role as the prefix yo in Chaha. Its function is to circumvent the Distinctness violation. Take (23a) (repeated as (32)) as an example. Its tree structure is shown in (33)
    (32) Ta ba na-ge pingguo chi le.
    he BA that-CL apple eat PERF
    (33)
    'He ate that apple.'
    

    When the object DP is moved to the preverbal position, it enters the same Spell-Out domain with the subject DP. These two DPs can't be linearized and will cause the derivation to crash. To save this crash, the object DP is merged with $b a$ first in order to create a KP phase. Since the DP is dominated by the KP after merge, it is spelled out in a different domain. Therefore, merging the subject DP later will not see any Distinctness violation.

    Following this analysis, the reason that the object DP in the canonical SVO sentence in Chinese does not require $b a$ marking is self-evident. In the SVO structure, the subject DP and the object DP are not in the same Spell-Out domain. The object is in the Spell-Out domain of $v \mathrm{P}$ and the subject is in the Spell-Out domain of CP. Therefore, they can be linearized without any problem and object marking is not needed.

    ### 5.3 Internal Topics and Distinctness Violation

    As mentioned previously, Yang and van Bergen (2007) argue that $b a$ is optional when the object is specific and $b a$ is obligatory when the object is animate. For the former case, we pointed out that adding an adverb such as slowly between the subject and the preposed object will force the use of $b a$. For the latter, we argue that when the animate object has a contrastive meaning, it doesn't have to be marked with $b a$. For these reasons, we believe that preverbal objects may have different syntactic positions. In fact, there has been much discussion on the clause-internal hierarchical positions in Chinese that host information structure, such as focus and topic. Ernst and Wang (1995), Shyu (1995, 2001), Tsai (2000), and Zhang (1997) argue that the preposed object is an internal focus; Paul (2002) argues that the preposed object is an internal topic and has a designated position below the subject but above $\nu \mathrm{P}$; Paul (2005) further shows that the low periphery in Chinese has the following hierarchy: IP > inner TopicP > even-Focus > $v \mathrm{P}$. Agreeing with Paul on such a hierarchical structure, Badan and Del Gobbo (2015) provide further evidence to show that the preposed
    object has a contrastive interpretation and thus should be treated as a contrastive topic; Hsu (2008) posits that preposed objects can be either topic or focus within the clause-internal domain in correct contexts and they are ordered in a restricted way, the internal topic higher than the internal focus. Due to space limitation, we will not go into these discussions. Readers may refer to these works for their views. In line with Paul and Badan and Del Gobbo, we assume two of their points to be true: the preposed object is an internal topic and its position is below the subject and above the even-Focus. In the following, we will argue against the examples that Hsu has used to defend the idea that the preposed object is an internal focus.

    Hsu (2008) argues that the preposed object can be either topic or focus. For example, (34) can be the answer to both (35) and (36). When it is the answer to (35) the preposed object is a topic and can be optional. When it is the answer to (36), which is a wh-queston, the preposed object is a focus and is obligatory.
    (34) wo zuoye xie-wan le

    I assignment write-finish PERF
    'I am done with the assignment.'
    (35) Ni zuoye xie-wan le ma?
    you assignment write-finish PERF Q-PART
    'Are you done with your assignment?'
    (36) Ni shenmo xiewan le?
    you what write-finish PERF
    'What have you finished?'
    We think this argument doesn't stand true. The reason is that the wh-word itself can be topicalized. $W a$ is known as a topic marker in Japanese, but it can also mark the wh-word as (37) shows (reproduced from Miyagawa 1987, example (8) and (9)).
    (37) context: speaker A says that he knew both Taro and Hanako wanted to go to the circus, but heard only one of them did so.

    Speaker B: dare wa itte, dare wa ikanakatta no?
    Who Top go:GER who Top didn't-go QU
    Who went, and who didn't?
    Miyagawa (1997) has pointed out that $W H w a$ is appropriate in this context because speaker A has brought into the conversation two individuals who were relevant to the event of going to the circus. Bearing this information in mind, speaker B asks who went and who didn't with the $W H$ wa question. If speaker B doesn't know the identities of these two individuals, using $W H$ wa would be inappropriate.

    The reason (36) is felicitous is similar to the Japanese case. The difference is that instead of marking the $w h$-word with $w a$, Chinese uses syntactic position to topicalize the $w \mathrm{~h}$-word. In the context where (36) is uttered, the speaker must first know that the listener has been working on different tasks, such as a homework assignment and a report, and wants to be informed of which of these two tasks has been finished by the listener. This indicates that the object in (34) is not new information, but is a topic with contrastive interpretation. If the speaker has no idea of what the listener has been writing and wants to know it, then the wh-word should follow the verb. In this case, the answer should also have the object follow
    the verb. In the SVO situation, since the object brings out total new information, it is a case of informational focus.

    In her second point, Hsu (2008) treats bare shi as a case of the shi...de construction, which is generally believed to be the cleft construction in Chinese, and uses example (38) to show that the the preposed object can also be a focus because it can be clefted with bare shi.
    (38) a. Ni shenmo xi-wan le? (Baogao?)
    you what write-finish PERF (paper)
    'What did you finish? (Paper?)'
    b. wo [(shi) zuoye] xiewan le (,baogao hai mei)

    I SHI assignment write-finish PERF (,paper not yet)
    'It is the assignment that I finished (, not the paper).
    We think this is not well grounded. First, the above mentioned reason still holds in this example. In fact, (38a) supports our argument that the wh-word in the preverbal position is only appropriate when the speaker has its referent(s) in mind. Second, Paul (2002) has provided evidence that preposed objects can not be clefted by means of shi...de. This is shown in (39).
    (39) a. Women gugong qu-guo le.

    We imperial palace go-EXP PERF
    'We have been to the imperial palace before.' (example (21) from Paul, 2002)
    (39)
    b. *Women shi gugong qu-guo de.
    we SHI imperial palace go-EXP DE

    Third, we think (38b) is not a 'real' test of the cleft construction. Paul and Whitman (2008) argue that bare shi is different from shi...de. According to them, shi...de is the cleft construction, and the clefted part can be the adjunct or the subject. Shi is associated with focus and any part to the right of shi can be focused by intonation prominence. Therefore, bare shi is in some way analogous to the English emphatic do. Due to the limitation of space, we will not review their argument. We will only provide additional evidence that bare shi is not the cleft construction and Hsu's (2008) test is problematic. If bare shi is a real cleft, then it should behave like the English cleft construction. Compare (40) and (41):
    (40) It is a book that I bought.
    (41) a. *wo shi yi-ben shu mai le.

    I SHI one-CL book buy PERF
    'It is a book that I bought.' (intended meaning)
    b. wo shi mai de yi-ben shu.

    I SHI buy DE one-CL book
    'It is a book that I bought.'
    (40) shows that the English cleft is compatible with an indefinite. (41) shows that to do so $s h i \ldots d \mathrm{e}$ instead of bare shi is used. This shows that bare shi is not the same as shi...de and can't be regarded as cleft construction. Thus, Hsu's (2008) test is invalid. However, our
    arguments do not deny the grammaticality of (38b). Then why is the preposed object still a topic when bare shi is associated with focus? We believe it must have something to do with its contrastive meaning. We agree with Paul and Whitman (2008) that content to the right of bare shi can be associated with focus by means of intonation prominence. However, they don't mention cases where objects are preposed. We postulate that since the preposed objects are specific (cf.(41)), they are topics with contrastive interpretations.
    In her third argument, Hsu (2008) follows Li and Thompson (1981) that the topic in Chinese can not be indefinite. Therefore, the following example from Tsai (1994) must indicate that the relevant preposed object is a topic because it is indefinite.
    (42) wo yi-pian lunwen keyi yingfu (, liang-pian jiu bu xing le ) I one-CL paper can handle 2-CL then not can PERF
    'I can handle ONE PAPER (, but not two).'
    As Hsu (2008) herself agrees that such sentences are only licit when the indefinite phrases are quantitative, we think that these quantitative indefinites are specific in some sense. What makes the semantic meaning of the phrase fit into the context is not its identity, but its quantity. So in the above example, what matters is not the type of the paper and the point in focus is "one instead of two". This situation is similar to the ba-construction. It's universally agreed that the $b a$-phrase must be specific or definite. However, specific indefinite phrases are also allowed and quantified ba-phrases are also permitted. For example, in (43), the object is indefinite and could be any tiger. But it doesn't make the sentence bad because the quantity of the tiger outranks the identity of the tiger in contributing the semantic meaning.
    (43) Liang-zhi gou keyi ba yi-zhi laohu da-bai.
    two-CL dog can BA one-CL tiger beat-lose
    'Two dogs can beat one tiger.'
    For the above motioned reasons, we think that Hsu's (2008) arguments don't hold well and the preposed objects are indeed internal topics.

    Then how is the internal topic distinct from the subject DP and how are the two DPs linearized? We postulate that the two DPs are also in two phases. Specifically, we propose that the preposed object forms a topic phrase with a silent topic marker before it merges with the verb. Consider the contrastive interpretation that the internal topic has (Badan and Del Gobbo 2015), we call this topic phrase CtrP. In this way the object is linearized within this CtrP phase. When the CtrP is moved to the higher position above $\nu \mathrm{P}$ and joins the subject DP in the same Spell-Out domain, no Distinctness violation will occur. Our proposal that Chinese has a silent topic marker is based on the fact that internal topics in some languages are overtly marked.

    Nakamura (2008) has pointed out that elements topic-marked with WA in Japanese can appear not only sentence-initially, but also sentence-internally as shown in (44). When topics appear sentence-internally, they have contrastive readings and are often accompanied by stress or intonation peaks.
    (44) a. Takusan-no kankoo-kyaku-ga Kyoto-ni-WA maitoshi yatte-kuru. a lot of tourists-NOM Kyoto-To-Top every_year come-Pres 'A lot of tourists come to Kyoto every year.'
    b. Kyoto-ni-wa takusan-no kankoo-kyaku-ga maitoshi yattekur-u. Kyoto-Loc-Top alotof tourists-NOM every_year come-Pres 'To Kyoto, a lot of tourists come every year.'

    Vermeulen (2009), contrary to the view that nun-marked topics in Korean can only appear in clause-initial position, argues that there exist cases where nun-marked phrases are contrastive topics and can appear elsewhere other than clause-initial position. For example, in (45), SUE-HANTEY-MAN is a contrastive focus and $i$ chayk-un is a contrastive topic and both of them are in clause-internal positions.
    (45) (context: Speaker A: To whom did John give this CD? Speaker B: Well, I don't know about this CD, but...)

    John-i SUE-HANTEY-MAN i chayk-un ecey cwuesse
    John-NOM Sue-to-only this book-NUN yesterday gave
    'As for this book, John gave it only to Sue.'
    Since internal topics in Japanese and Korean can have an overt marker, we postulate that internal topics in Chinese also have a marker, except that it is a silent marker. It is phonologically null but has a role in syntax just like $b a$. The following shows the tree diagram for (23b).
    (46)
    

    ## 6 Conclusion

    In this paper, we argue that the Chinese DOM system of Yang and van Bergen (2007) makes some incorrect predictions concerning the marking of preposed objects. Contrary to their proposal that $b a$ is optional, we argue that $b a$ is obligatory in all $b a$-sentences. Its function is not to differentiate the object from the subject in a semantic sense. Rather, it plays a role in the interface between syntax and phonology. It creates a phase boundary so that the Distinctness violation (Richards, 2010) can be avoided and the subject DP and the object DP can be spelled out in different domains in order to achieve linearization. We further provide evidence that bare preposed objects in Chinese are internal topics instead of internal foci. These objects carry a silent topic marker which can also create a phase boundary for the purpose of linearization just like $b a$.

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    # Native-Speakerism in ELT: The Attitudes of EFL Stakeholders in China 

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    #### Abstract

    The ideology of Native-speakerism is being challenged by the scholarship of the glocalization of the English language and the nonnative English Speaking teachers (NNESTs) movement. To investigate the effects of those anti-discourses, an empirical study is being conducted with a focus on the EFL education in mainland China. This paper will give a report on the results of a parallel questionnaire survey of 976 non-English-major students of different disciplinary areas and 146 Chinese English teachers at six universities in North China. Statistical analysis suggests that 'unprofessional favoritism' were accorded to Native English speaking teachers (NESTs) by most teachers ( $87 \%$ ) and students ( $76 \%$ ), and to American/British English by $85.6 \%$ of the teachers and $68 \%$ of students. Meanwhile, over $90 \%$ of the two groups of participants expressed the desire to acquire the native speaker (NS) or the approximated NS pronunciation. In contrast, more than $80 \%$ of the teachers and students expressed that English textbooks should represent multiculturalism rather than reflecting merely the Anglo-American culture. Similarly, teaching approaches developed by Inner Circle countries were expected to be adjusted according to Chinese educational culture by a large number of teachers ( $87.0 \%$ ) and students $(59.1 \%)$. These statistical figures reflect a similar complicated mentality among the two groups of participants. On the one hand, they continued to buy into the Standard English ideology and the native speaker fallacy; on the other hand, they realized the necessity to promote multiculturalism and localized the teaching methodology imported from Inner Circle countries. Such findings reveal that those anti-Nativespeakerism discourses have achieved limited success, as the Native-speakerist specter is still lingering in the mind of EFL stakeholders.


    Keywords: Native-speakerism, attitudes, China, ideology

    ## 1 Introduction

    Native-speakerism has long been observed dominant in the worldwide English language teaching (ELT) arena (Holliday, 2005, 2008, 2013, 2015). Influenced by this ideology, preferences are usually accorded to native English speaker teachers (NESTs) over nonnative English speaker teachers (NNESTs), the native-speaker (NS) English over the non-NS English, the NS culture-embedded teaching material over the non-NS cultureembedded one, and teaching approaches originated in Western English speaking countries over those developed in EFL countries. This is particularly true of English as a foreign
    language (EFL) education in "Expanding-circle" countries (Braj Kachru, 1985). However, this ideology is being challenged by the institutional and scholarly efforts of the NNESTs Movement launched "to create a nondiscriminatory professional environment for all TESOL members regardless of native language and place of birth" (Braine, 2010, p. 4). Added to the critique is the scholarship on World Englishes (WE) (B Kachru, 1985; 1992), English as an international language (EIL) (e.g., Matsuda, 2012; McKay, 2002) and English as a lingua franca (ELF) (e.g., Jenkins, 2007, 2012). These scholarly works call attention to the "hybridity, innovation and accommodation" (MOE, 2000, p. 76) of the English language in the current world and the concomitant necessity for re-conceptualizing the "ownership of English" (Widdowson, 1994). Along with the discursive struggles, a large number of studies (e.g., Butler, 2007; Chinh, 2013; Chowdhury \& Phan, 2008; Karim, 2004; Moussu, 2002, 2006) have been conducted to explore ELT stakeholders' attitudes toward Native-speakerist practices, revealing an emerging phenomenon, viz. different studies have different and even contradictory findings. A similar phenomenon is also observed in studies, though small in number, focusing on EFL education in China (He \& Zhang, 2010; Hu, 2005; Rao, 2002; Wang, 2013).

    The emergence of this new phenomenon regarding ELT stakeholders' attitudes can be regarded as an epitome of the discursive and ideological conflicts in most social fields. The dominant discourse usually constructs mainstream social and/or individual attitudes or beliefs, whereas resistance from below may contribute to changes of the dominant discourse in truth value or normative validity (Chouliaraki \& Fairclough, 1999; Thompson, 1984) and then to reshaping the general socially shared beliefs in a sociopolitical context (Fairclough, 2013; Van Dijk, 2008). Nevertheless, most of the empirical studies mentioned above are descriptive in design, without taking the socio-cultural and socio-political factors into consideration. Meanwhile, they only focus on one or two aspect(s) of the Nativespeakerist practice and no study has incorporated different aspects of Native-speakerism systematically. In addition, fewer studies have been conducted on EFL education in China vis-à-vis the gigantic size of its EFL education.

    In face of this situation, an empirical study was conducted to explore whether - if so, to what extent - Native-speakerism continues to serve as the "regime of truth" (Foucault, 1984) in EFL education in China by investigating the attitudes of EFL teachers and students toward Native-speakerist practices through questionnaire survey. To attain this goal, three research questions were set up.

    1. What EFL teacher, English variety, English pronunciation, teaching approach and textbook cultures are preferred by Chinese EFL students, and why?
    2. How do Chinese EFL teachers view these dimensions of EFL education, and what are the possible reasons?
    3. Are there any inter-group similarities and/or differences in attitude and in reason?

    In this article, we will report the findings based on the paralleled section of two questionnaires designed respectively for Chinese EFL teachers and students in regard to their preference for English language teachers, English varieties, teaching approaches and textbook-embedded culture. Since ideology is context specific, the socio-historical and socio-political situation of ELF education in China is taken as an important reference point.

    ## 2 Contemporary EFL Education in China

    Within China, key steps influencing the development of EFL education have been threefold: first, the transformation from Russian back to English in the early 1960s when the relationship with the former Soviet Russia deteriorated; second, the country's open-door policy since 1978; and third, China's entry into the WTO in 2001 and Beijing's hosting of the 2008 Olympics. The last two phases of sociopolitical changes are perceived as the key steps in promoting the popularity of English learning amongst Chinese people (Lam, 2002).

    As observed from the national EFL requirements for different educational sectors issued by China's Ministry of Education (MOE) in these two periods, there is a strong pronativeness ideology. What is most evident is that the NS-English and culture are established as the teaching and learning targets. For example, the 2007 College English Course Requirement (CERE) for non-English-major undergraduates stated explicitly the objectives of College English education (CE). With regards to English language skills, the idealized learners are expected "to be able to understand generally the TV programs of English speaking countries, comprehend the main idea and catch the gist, and to be able to understand personnel from English speaking countries when they speak [English] at a normal speed" (MOE, 2007, p. 7, my translation). The 2011 National English Curriculum (NEC) for primary and junior middle schools declares that students are expected to develop intercultural awareness and the ability of intercultural communication by experiencing different cultures, in addition to improving their competence in using English language. Nevertheless, culture is defined in this syllabus as "the target culture countries' history and geography, local people's features, natural conditions and social customs, living habits, behavior norms, arts and literature as well as values and ideology" (MOE, 2011, p. 23).

    Apart from the emphasis placed on the lingua-culture of Western English speaking countries, the adoption of teaching approaches from these countries has also been a normative practice. In the 1980s, Grammar-Translation and Audio-Lingual methodologies were adopted as the main teaching methods at different school sectors. In early 1990s, Communicative Language Teaching (CLT) approach was introduced to EFL education in China, and was required to serve as the main teaching methodology for primary and Junior middle schools in the 2000 NEC, though encountering strong resistance from both Chinese teachers and students (Rao, 2002, 2013). Currently, Task-based Language Teaching (TBLT), the upgraded version of CLT, is being promoted at primary and secondary schools; learnercentered or individualized learning model becomes a zeitgeist in CE education. As stipulated in the 2007 CECR,

    Colleges and universities should make full use of the modern information technology and adopt a computer- and classroom-based English teaching model in order to better the classroom teaching mode dominated solely by the teachercentered instruction. The new model should rely on modern information technology [...] to make English teaching and learning [...] develop along the line of individualized and independent study (MOE, 2007, p. 5, my translation).

    In addition to the emphasis laid on the NS lingua-culture and teaching approaches, the pro-nativeness ideology is also reflected in both policies and practices regarding the employment of foreign English teachers and/or foreign experts. According to the official document, Work Permit Service Guidance for Foreign Experts to Work in China, issued by

    China's State Administration of Foreign Experts Affairs (SAOFEA),
    [Foreign] language teachers should hold a Bachelor's degree and have a twoyear language education experience, and in principle they should come from English as a native language (ENL) countries. Applicants from non-ENL countries should hold a Bachelor's degree or above received from ENL countries (SAOFEA, 2015, p. 21, my translation).

    Although the regulation states that "in principle" applicants should be native English speakers, the NS status serves as the absolute priori criterion in actual hiring practices. Meanwhile, this priori criterion often accompanies racial and/or ethnical prejudice. For example, a non-NS white applicant from a European country outside the British Isles may be able to secure a job if he/she can speak good English with a minimum of non-English accent, though foreign EFL teachers are expected from ENL countries (Jeon \& Lee, 2006, p. 54). In contrast, native English speakers with the Chinese pedigree are often rejected due to the long-held assumption in ELT profession that "only Caucasians are NS of English" (Braine, 2010, p. 39).

    From what is discussed above, it is evident that the pro-nativeness ideology resides in China's EFL education policies. Since education in China is controlled by the government, these policies are implemented faithfully, with the mentality of teachers and learners affected inevitably.

    ## 3 Relevant Attitudinal Studies in China

    In contrast to the proliferation of research projects on ELT stakeholders' attitudes toward Native-speakersim, studies focusing on the EFL context in China are comparatively small in number. Among these studies, most are descriptive in design without taking the social and historical context of China into account. Meanwhile, they tend to focus on one or two dimension(s) of Native-speakerism, without exploring it in a comprehensive way. In addition, findings vary across these studies. Some studies suggest a pro-nativeness mentality whereas others indicate an anti-nativeness mood.

    In terms of the issue about NESTs vs. NNESTs, Jin (2005) conducted a small-scale attitudinal study among Chinese undergraduate English-major students. Data collected via group discussion and interview suggest a general preference for NESTs. More recently, He and Miller (2011) adopted a mixed research approach to examine the beliefs of students and teachers about the ideal English teacher. 820 non-English-major undergraduate students and 210 Chinese English teachers participated in the questionnaire survey. Results indicate that $79 \%$ (777) of the participants preferred a combination of NESTs and NNESTS in teaching, in contrast to $36 \%$ (357) who insisted on the NESTs-only pattern. Interview data also shows that a large portion of participants recognized the respective strength and weakness of the two types of teachers, though Matched-guise test (MGT) suggests that the higher rating was accorded to NESTs.

    Regarding the attitudes of Chinese English teachers and students toward different English varieties, Hu (2004) found that all her student participants (English majors and non-English majors) considered American or British English the normative English. This is corroborated by the study of Wang (2013), the majority of whose participants (English
    majors and non-English majors) expressed strong desires to learn American English and to remove their Chinese accent. Similar mentality is also exposed in the study with teachers by Hu (2005). A large scale study was conducted by He and Zhang (2010), who investigated the attitudes of both teachers and non-English-major students toward Standard English and China English. 795 Chinese non-English major students and 189 English teachers were recruited from four universities, which are of different academic rank and located in different parts of China. Questionnaire findings suggest that $56.6 \%$ of the teachers expected their students to acquire a native-like pronunciation whilst $58.2 \%$ of the students preferred accented intelligibility. MGT indicates that Standard English was rated higher than China English, but the difference is not significant. Interview data show that many students and teachers preferred a pedagogy combining the NS English with China English. It seems that the attitudes of Chinese teachers and students toward different English varieties have turned to be more liberal, though limited in degree. In addition, a mismatch in attitude can be observed between teachers and students, with the former group more inclined to the NS norms. However, He \& Zhang (2010) did not provide reasons for this discrepancy.

    From the even smaller number of studies investigating the attitudes of Chinese EFL teachers and learners toward and the cultural basis of EFL textbooks and the CLT approach, complicated results can be observed. In China, EFL textbooks certified by MOE are generally embedded in the cultures of Inner Circle countries (e.g., Gong, 2009). This is evident in the study of Liu, Zhang, and May (2015), who discovered that Anglo-American culture is overwhelmingly represented in 10 sets of CE textbooks. Contrary to the pronativeness inclination of MOE and textbook editors and publishers, more than half of the student participants (58.2\%) in the study by Zhang and Ma (2004) expressed that EFL learning materials should incorporate cultural elements of different countries, including those of China. As regards the attitudes toward teaching approaches, Rao (2002) found that most of his participants acknowledged the advantage of CLT, but preferred noncommunicative classroom activities. In contrast, an overwhelming number of the students in Meng and Cheng (2010) considered 'task-based', 'learner-centered' and 'teacher-asfacilitator' approach beneficial.

    The studies reviewed above are generally descriptive in design, focus on one or two dimension(s) of Native-speakerism and present different findings. To get a clear picture of the effects of Native-speakerism on EFL education in China, it is therefore necessary to conduct further studies by incorporating more aspects of Native-speakerism and different stakeholder groups. At the same time, the socio-historical and socio-political context surrounding EFL education in China should be taken into account.

    ## 4 Methodology

    This study is aimed at exploring the effects of Native-speakerism on EFL education in China. Data were collected through two sets of questionnaires administered to students and teachers engaged in CE education, a two-year English course for non-English-major undergraduate students at most universities in China. Then data were processed in reference to the socio-historical and socio-political situation surrounding EFL education in China.

    976 sophomore students and 146 Chinese English teachers from six universities were invited to participate in the questionnaire survey. Normally, most sophomore students in China have received CE education for one year and they are therefore familiar with the
    course. As suggested in Table 1, among the students at the age of about 20, $45.59 \%$ (445) are males and $54.41 \%$ (531) are females. The programs they are taking sit in three different disciplinary areas of engineering (558), social science (329), and business (89). Of the 146 Chinese English teachers (see Table 2), $80.82 \%$ (118) are female and $19.18 \%$ (28) are male. Four ( $2.74 \%$ ) held doctoral degrees, 114 ( $78.08 \%$ ) Master's and 28 (19.18\%) Bachelor's. Their professional ranks varied, with 13 ( $8.90 \%$ ) of them being professors, 26 ( $17.81 \%$ ) associate professors, $76(52.05 \%)$ lecturers and 11 (7.53\%) teaching assistants. The average age of teachers was about 40.

    Table 1. Gender, Discipline Distribution of Student Participants

    |  | Engineering |  | Social science |  | Business |  | Total |  |
    | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- | :--- |
    |  | N | $\%$ | N | $\%$ | N | $\%$ | N | $\%$ |
    | Male | 310 | 31.76 | 109 | 11.17 | 26 | 445 | 45.59 |  |
    | Female | 248 | 25.41 | 220 | 22.54 | 63 | 6.46 | 531 | 54.41 |
    | Total | 558 | 51.17 | 329 | 33.71 | 89 | 9.12 | 976 | 100 |

    Of the two sets of questionnaires designed for each group of the participants, there is a paralleled section, identical in content despite slight changes in wording. As Appendix 1 shows, different than Timmis (2002) and He and Zhang (2010), the questions were extended to include five items in reference to teachers' first language (L1) identity, English varieties, English pronunciation, teaching approaches, and the cultural basis of English textbooks. The participants were asked to indicate their choices and provide the reasons.

    Question Item 1 was designed to investigate the attitudes toward four EFL teachers differentiated from each other in L1 background. Teacher A refers to a native English speaker from an Inner Circle country; Teacher B, like Teacher A, is also a native English speaker, but descended from a Chinese pedigree; Teacher C comes from an Outer Circle country, with English as a second language; Teacher D is a local Chinese EFL teacher.

    Question Item 2 was formulated to detect the attitudes toward three different English varieties, named Variety A, Variety B, and Variety C, in line with Inner Circle English (British and/or American English in particular), Outer Circle English and China English.

    Question Item 3 was to measure the attitudes toward different English pronunciation styles represented by three types of students. Student A is almost indistinguishable from a native English speaker in pronunciation. Student B has a slight Chinese accent; Student C speaks English fluently with a heavy Chinese accent, which, however, does not affect his/her communication with (non)native English speakers.

    Question Item 4 aimed at discovering the cultural orientation of EFL education by investigating the attitudes toward three types of textbooks. Textbook A is based solely on Anglo-American culture; Textbook B is dominated by Anglo-American culture, but incorporates a small portion of Chinese culture. In Textbook C, the cultural information of Inner Circle countries, China and other countries is almost equal in proportion.

    Question Item 5 was targeted at measuring the attitudes toward different teaching approaches. Approach A refers to the original version of CLT/TBLT; Approach B is a version of CLT/TBLT modified according to the educational culture in China; Approach C refers to the conventional 'teacher-centered' teaching approach in China.

    The data collected from this paralleled is both quantitative and qualitative in nature. The quantitative were processed via SPSS 20.0 and the qualitative were analyzed in line with the principle of thematic agreement.

    Table 2. Gender, Discipline Distribution of Teacher Participants

    |  | PhD | MA | BA | Prof | Assoc Prof | Lecturer | Teaching Assistant | Total |
    | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
    |  | N \% | N \% | N \% | N \% | N \% | N \% | N \% | N \% |
    | Male | 21.37 | 1812.33 | 85.48 | 42.74 | 64.11 | 1510.27 | 32.05 | 2819.18 |
    | Female | $\begin{array}{lll}2 & 1.37\end{array}$ | 9665.75 | 2013.70 | 96.16 | 2013.70 | 6141.78 | 85.48 | 11880.82 |
    | Total | 42.74 | 11478.08 | 2819.18 | 138.90 | 2617.81 | 7652.05 | 117.53 | 146100 |

    ## 5 Results

    As stated previously, this article will report on the results of the survey based on the paralleled section of the two sets of questionnaires. What follows is the account of the findings of the five question items. In reporting the results of each question, the attitudinal choices are presented in percentage, followed by the justifications arranged in thematic order. The inter-group comparisons are conducted simultaneously.

    ### 5.1 Idealizing NESTs as the Owner of English and/or Expert in English Culture

    According to the statistical information in Table 3, both groups of participants expressed preference for Teacher A and Teacher B. Within the student group, the highest value was given to Teacher B (45.4\%), followed by Teacher A (31.1\%). In contrast, $57.5 \%$ of teachers selected Teacher A and $29.5 \%$ chose Teacher B.

    Table 3. Response Frequencies (in percent) for Question Item 1

    | I want (my students) to attend the class <br> of Teacher A/B/C/D. | A | B | C | D | Total |
    | :--- | :---: | :---: | :---: | :---: | :---: |
    | Students | $31.1 \%$ | $45.4 \%$ | $4.1 \%$ | $19.4 \%$ | $100 \%$ |
    | Teachers | $57.5 \%$ | $29.5 \%$ | $1.4 \%$ | $11.6 \%$ | $100 \%$ |

    Note: Students $(\mathrm{N}=976)$; Teachers $(\mathrm{N}=146)$

    The dominant reasons for choosing Teacher A among teachers and students are similar, and can be divided into two categories: a) Teacher A' speaks Standard English and b) Teacher A knows more about English culture. Therefore, learning English with Teacher A is beneficial. Reproduced below are the typical reasons collected.

    Because Teacher A comes from an English country, with English as the mother tongue, he/she knows more about the culture of English speaking countries, and
    is familiar with the rules on how to use English. (Student No.127)
    The English language of Native English teachers is real and authentic, their pronunciation is the standard one, and they have profound knowledge of the English culture. They can lead students to experience real Anglo-American culture. (Teacher No. 132)

    Most of the students who chose Teacher B claimed that Teacher B could also speak real, authentic English and that they felt close in heart to Teacher B due to the shared ethnic origin. Similar opinions can also be found among teachers in favor of Teacher B.

    As to the significant difference in percentage between students and teachers in regard to Teacher A and Teacher B, most of the teachers would rather believe that white AngloSaxon Caucasians are the authentic owners of the English language and culture due to the genealogical heritage, as stated explicitly in a typical answer.

    If there is no difference in teaching qualification, white British or American teachers may be more acceptable to students, because they have the [linguacultural] capital of a native English speakers that has been accumulated for many generations. (Teacher No. 36)

    ### 5.2 Supporting Inner Circle Englishes as Normative and the Representative of English Culture

    Suggested by Table 4, Variety A collects the predominant favor from both students (68\%) and teachers ( $85.6 \%$ ). This can be ascribed largely to the Standard English ideology and the assumed intelligibility of Variety A.

    I think that American or British English are Standard English. Once you learn it, it will be easier for you to be understood, when you communicate with others. (Student No. 672)

    Also accountable is the claim about the inseparability of language and culture.
    The American and British English symbolize Anglo-American culture. I choose them because they are representative of that culture. (Student No. 773)

    Regarding the difference in percentage between teachers (85.6\%) and students (68\%) in choosing Variety A, there are multiple causes, such as teachers' own educational experiences (We taught British or American English while at school. Teacher No.3), the current educational regulations (We are required to teach British or American English. Teacher No. 87) and the cultural content of textbooks (All textbooks are about British and American English, and so I teach them. Teacher No. 123). In addition, even if many teachers are aware of the globalization of the English language like those who chose Variety B, they still prefer to teach Variety A to meet the assumed demand of students. As one teacher put it,

    All students want to learn standardized English and its associated culture. Besides, most of the students who want to go abroad to pursue further study
    usually take the UK or USA at the destination. (Teacher No.21)

    Table 4. Response Frequencies (in percent) for Question Item 2

    | I want (my students) to learn Variety A/B/C. | A | B | C | Total |
    | :--- | :---: | :---: | :---: | :---: |
    | Students | $68 \%$ | $18.8 \%$ | $13.2 \%$ | $100 \%$ |
    | Teachers | $85.6 \%$ | $12.3 \%$ | $2.1 \%$ | $100 \%$ |

    Notes: Students ( $\mathrm{N}=976$ ); Teachers $(\mathrm{N}=146)$

    ### 5.3 Upholding the NS or NS-Like Pronunciation as a Symbolic and Practical Capital

    Similar to the findings of Question Items 1 and 2 that suggest a strong pro-nativeness tendency among the two groups of participants, the overwhelming favor was also given to the NS or the approximated NS pronunciation. Suggested by Table 5, 44.7\% and $46.2 \%$ of the students and $47.3 \%$ and $48.6 \%$ of the teachers chose Student A and Student B respectively. No significant difference exists between the two participant groups.

    Table 5. Response Frequencies (in percent) for Question Item 3

    | I want (my students) to be like Student A/B/C. | A | B | C | Total |
    | :--- | :---: | :---: | :---: | :---: |
    | Students | $44.7 \%$ | $46.2 \%$ | $9.1 \%$ | $100 \%$ |
    | Teachers | $47.3 \%$ | $48.6 \%$ | $4.1 \%$ | $100 \%$ |

    Notes: Students ( $\mathrm{N}=976$ ); Teachers $(\mathrm{N}=146)$
    For the students who chose Student A, two dominant reasons were found. One comes from the belief that to acquire the NS pronunciation is a symbol of personal capability and personal achievement. For example, one student (No. 283) argued that "To be able to speak English like a native English speaker represents your learning ability and qualification." The other has to do with the assumed practical value of the NS pronunciation. In other words, "To have the NS accent, you will find it easy to find a well-paid job in a joint venture company" (Student No. 781). This value is also shared by most of the teachers who selected Student A. For them, to achieve the NS pronunciation is the objective of EFL education, as stated by a teacher,

    It is the ultimate goal of English learning programs to help students to acquire the NS pronunciation or the pronunciation approximate to it. (Teacher No. 106)

    As for the support of Student B, the popular viewpoint held by teachers is that it is almost impossible to acquire the NS pronunciation completely. However, "it is a misfortune to take Student C as the model" (Teacher No. 48). Although the reason of impracticality is shared by some of the students who chose Student B, a large number of others considered it a symbol
    of national identity to have a slight Chinese accent, as observed in the remarks of Student (No. 116),

    To have a clear pronunciation is functionally enough for communication and suitable for one's work. As Chinese students, we should keep our national identity. Chinese accent can help to distinguish our identity.

    ### 5.4 Supporting Bi- and Multi-Cultural Textbooks for Political Motive and/or Globalization Need

    Different from the pro-nativeness findings of the three questions discussed above, Textbook A received the least support from both students and teachers. Of all the students, $44.7 \%$ selected Textbook B and $40.1 \%$ chose Textbook C. Within the teacher group, Textbook B collects the most support ( $52.1 \%$ ). The obvious difference between students and teachers lies in the choice of Textbook C.

    Table 6. Response Frequencies (in percent) for Question Item 4

    | I want (my students) to use Textbook A/B/C. | A | B | C | Total |
    | :--- | :---: | :---: | :---: | :---: |
    | Students | $15.3 \%$ | $44.7 \%$ | $40.1 \%$ | $100 \%$ |
    | Teachers | $19.2 \%$ | $52.1 \%$ | $28.8 \%$ | $100 \%$ |

    Notes: Students ( $\mathrm{N}=976$ ); Teachers ( $\mathrm{N}=146$ )
    Data collected suggest two popular reasons shared by students and teachers for the strong preference for Textbook B and Textbook C. One reflects the current discourse that the objective of EFL education in China is to transmit Chinese culture to the world, as evident in the remarks made by students and teachers.

    The purpose of learning English is not to know about Anglo-American culture, but to use English to express learners' own cultures in cross-cultural communications. (Student No. 650)

    The purpose of EFL education is to transmit Chinese culture to the outside world and Textbook B and Textbook C can help students learn how Chinese culture is expressed in English. (Teacher No. 52)

    The other has to do with the awareness of developing intercultural competence in regard to the cultural reality in the current age of globalization. However, their awareness was found to differ in that students seem to have a broader vision of globalization whereas teachers' understanding is more confined to bi-culturalism. This may explain the percentage difference between students and teachers in selecting Textbook B and Textbook C. Reproduced below are two typical answers.

    On this large stage of the globalization, the contact or merge of different cultures
    is a symbol of our modern world. English Textbooks should represent different cultures. (Student No. 429)

    Even if we need to help students to develop intercultural competence, we need focus more on British or American culture, since all students are Chinese and they know Chinese culture. (Teacher No.37)

    ### 5.5 Expecting Localized Teaching Approaches Due to Pedagogical Practicability

    Observed from Table 7, most students (59.1\%) and teachers (87.0\%) expressed preference for Approach B. They expected the localization of the original CLT/TBLT from Western English speaking countries. However, Approach A was selected by about one third of the student participants. Approach C was almost rejected by both students and teachers.

    Table 7. Response Frequencies (in percent) for Question Item 5

    | I want (my teacher) to use Teaching approach A/B/C. | A | B | C | Total |
    | :--- | :---: | :---: | :---: | :---: | :---: |
    | Students | $34.3 \%$ | $59.1 \%$ | $6.6 \%$ | $100 \%$ |
    | Teachers | $9.6 \%$ | $87.0 \%$ | $3.4 \%$ | $100 \%$ |

    Notes: Students ( $\mathrm{N}=976$ ); Teachers ( $\mathrm{N}=146$ )
    Among the students and the teachers who chose Approach B, the most popular reason is that CLT/TBLT originated from the Inner Circle countries represents an advanced education philosophy, but should be modified according to the culture of teaching and learning in China, the learning need of students and their actual English proficiency level. Typical reasons are exemplified below.

    We are living in a non-English-speaking country. To use the modified TBLT approach is more beneficial for us to learn English. (Student No. 338)

    The application of ELT methods in China must take the educational culture of China into consideration. The original British or American ELT pedagogical model cannot succeed in China, and is particularly inapplicable to ELT for nonEnglish majors. (Teacher, No. 89)

    For the students who chose Approach A, there is no concrete reasons except the expectation to experience the original CLT/TBLT. However, this can account for the intergroup difference in preference for Approach A and B.

    Based on the findings of the five questions, it can be seen that most of the teachers and the students are in favor of the NS teachers and English varieties and pronunciation norms. In contrast, they attach a high value to bi- and multi-cultural EFL textbooks and the CLT/TBLT approach modified according to the culture of teaching and learning in China. Since ideology is context specific, these findings should be interpreted in reference to the socio-historical and socio-political factors surrounding EFL education in China.

    ## 6 Discussion and Conclusion

    This article reports part of the findings of a questionnaire survey conducted to investigate whether - if so, to what extent - ELT in China is still affected by Native-speakerism by investigating the attitudes of Chinese English teachers and learners at the tertiary level. Data analysis suggests an attitudinal complex. On the one hand, predominant preference is still accorded to the NESTs, Inner Circle English and the NS or NS-like pronunciation. Major reasons were found to include the traditional Standard English ideology, the anthropological episteme of the inseparability between language and culture, and the symbolic value of the NS pronunciation. On the other hand, textbooks based solely on NS culture meet with strong resistance from teachers and students, as proved by the dominant preference attached to bi- and multi-cultural textbooks. Reasons stated by the participants rest with the political consideration of transmitting Chinese culture to the world and the awareness of developing intercultural competence in the current era of globalization. As to the overwhelming support of the localized CLT/ELT, the concern about pedagogical suitability was found to be accountable. Between the two groups of participant groups, teachers are more supportive of the NS teachers and language norms, whereas students express more preference for multicultural textbooks and the original CLT/TBLT. Almost no difference exists in regard to pronunciation preference. To find out what lies behind this complicated phenomenon, it is necessary to refer to the context of EFL education in China.

    The predominant preference for NESTs, the NS English and pronunciation revealed in this study seems to prove that the Native-speakerist discourse is still kicking in the arena of EFL education in China. As noted earlier, EFL education in China is oriented toward the pro-nativeness paradigm in tradition, with learners expected to achieve the NS competence (e.g., Wen, 2012). This orientation has been constantly reconstructed by the series of EFL education policies issued by China's MOE since the adoption of "Open Door Policy" in late 1970s (see 2000 NEC, 2011 NEC, 2007 CERE). At the same time, the pro-NESTs criterion in regulations on the employment of foreign English teachers (e.g., NFEB, 2015) also helps to legitimate the prestigious status of NESTs. Since education in China is controlled by the government, these policies and regulations are followed strictly in ELT practices, resulting in a reified discourse that the NS English are the authentic English language and that EFL should therefore be taught by NESTs, as if all Chinese English learners should or have to acquire the Inner Circle English (Gong \& Holliday, 2013). This socio-political context seems to constitute the main reason why NESTs enjoy the widespread support from most participants in this study and why claims such as "to acquire real, authentic English" are frequently heard.

    The positive attitudes toward the bi- and multi-cultural textbooks and the localized teaching approaches demonstrate the resistance to the Native-speakerist discourse and related practices. As to the attitudes toward the textbook-embedded culture, what was frequently voiced by most participants is that one of the purpose of learning English in China is to transmit Chinese culture to the world. Although it is difficult to locate the exact sources of this resisting discourse, it may be related to the "English as threat" thesis arising in China toward the end of the $20^{\text {th }}$ century and to China's current economic status in the world (Pan \& Seargeant, 2012), as well as the current political discourse in China about establishing self-confidence in Chinese culture. In terms of the opposition to Western teaching approaches, CLT/TBLT in particular, most teachers and students simply stated that it should be modified in line with the educational culture of China for the sake of
    pedagogical applicability. This popular voice indicates that more teachers and students have started to realize that EFL pedagogy should be context sensitive. However, no in-depth explanations were provided. The participants may not be aware that Western teaching approaches are colonial constructs (e.g., Kumaravadivelu, 2008; Pennycook, 1998), which are invented to correct the learning habit or even learning culture of the Periphery (Holliday, 2005; Pennycook, 1998). Notwithstanding the limitation, this countering discourse reflects ideological changes about the Western epistemology within the EFL terrain in China.

    The inter-group attitudinal discrepancy consists in teachers' more support of the NS teachers, language and culture vis-à-vis students' stronger preference for multicultural textbooks and the original CLT/TBLT. It may be related to their different educational experiences, since difference in experience often leads to differing attitudes toward the same social entities (Van Dijk, 2008). In China, most EFL teachers are graduates from EFL programs for English majors, in which students are expected to achieve the NS or NS-like lingua-cultural competence (MOE, 2000). In contrast, there is no such strict requirement for non-English-major students. This disparity may account for divergent views of the lingua-cultural target. In addition, the age gap between teachers (average 40 years old) and students (average 20 years old) also entails different educational experiences to do with the discrepancy in attitude toward CLT/TBLT approach. In this study, all the students started learning English at school after the year 2000, when CLT/TBLT was promoted widely in China (see 2001 NEC). In contrast, most teachers were taught in the conventional EFL education context where Grammar-Translation and Audio-Visual methods were mainly adopted. This difference may be able to explain students' more positive attitude toward the original CLT/TBLT approach. As to the difference in attitude toward the cultural basis of EFL textbooks, what is accountable can be ascribed to students' broader vision of globalization. However, further research is needed to unearth the reason for the different vision scopes.

    In summary, what is reported in this article suggests an attitudinal complex among Chinese EFL teachers and students. It seems that Native-speakerism still finds a firm foothold in areas concerning EFL teachers' L1 identity and English language norms, but is encountering resistance in terms of teaching approach and the cultural orientation of textbooks. All these findings are evident of the influence of the socio-historical and sociopolitical factors on EFL education in China. They also reflect the dynamics of discursive struggles over Native-speakerism within the international ELT profession. Albeit these valuable findings, there is one weak point in this article, i.e., in analyzing the data and reporting the findings, each group of participants are treated as if they were homogeneous. However, this weakness will be repaired in the follow-up data analysis, wherein individual factors of the participants are to be taken into consideration.

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    ## Appendix

    ## The paralleled section of the questionnaires for teachers and students

    There are three to four descriptions under each question item. Please make your favorite choice and provide the reasons.

    1. Of the following four English language teachers with almost the same teaching qualifications, whose class do you want (your students) to attend most?
    Teacher A: a native English speaker from an Inner Circle country
    Teacher B: a native English speaker from an Inner Circle country, but with a Chinese ancestry
    Teacher C: a person from an Outer Circle country, with English as his/her first language Teacher D: a local Chinese English teacher, with English as a foreign language
    Your choice: $\qquad$
    Reasons:
    2. Of the following three English varieties, which one do you want to teach (learn) most? Variety A: Inner Circle English, British or American English in particular
    Variety B: Outer Circle English
    Variety C: China English
    Your choice: $\qquad$
    Reasons:
    3. Which of the following student do you want (your students) to be?

    Student A: His/her pronunciation is indistinguishable from that of a native English speaker.
    Student B: He/she has a slight Chinese accent.
    Student C: He/she speaks English fluently with a heavy Chinese accent, but it does not affect his/her communication with (non)native English speakers
    Your choice: $\qquad$
    Reasons:
    4. Of the following three sets of English as a foreign language (EFL) textbooks with different cultural content, which one is your favorite in teaching (learning) English? Textbook A: focusing merely on Inner Circle culture, particularly British/American culture
    Textbook B: incorporating not merely Inner Circle culture, particularly

    British/American culture, but also a small portion of Chinese culture
    Textbook C: cultures of Inner Circle countries, China and other countries equally distributed
    Your choice: $\qquad$
    Reasons:
    5. Of the following three teaching approaches, which one do you prefer most? Approach A: the communicative language teaching (CLT) approach or its upgraded version, Task-based Language Teaching (TBLT) from Inner Circle countries, Approach B: a version of CLT/TBLT modified according to the educational culture in China
    Approach C: the conventional 'teacher-centered' teaching approach in China Your choice: $\qquad$
    Reasons:

    # An Investigation into WEs in Business English Communication Course: A Case Study of Songkhla Rajabhat University 

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    #### Abstract

    With the globalization and growing aspect of World Englishes around the world, many scholars are paying much more attention to the incorporation of World Englishes into published materials in terms of language teaching. This case study is aimed to examine the current published materials in use for the course of Business English Communication provided at Songkhla Rajabhat University from the perspective of linguistic variations and cultural contents by implementing the impressionist analysis proposed by McGrath (2002). Other investigations involve gathering data from 25 third-year business administration students majoring in general management, two teachers teaching the course, 15 business managerial positions, 30 fourth year business administration management students who are currently working as trainees in the business service sectors as a part of their field experience practices in this specific Southern part of Thailand where such varieties exist. An in-depth semi-structured interview has been implemented to obtain in-depth information regarding the teacher's knowledge, pedagogical practices, teachers and students' perceptions towards WEs, the stakeholders' views as well as problems encountered by trainee students who are currently working in this specific community. The results from the study indicated that the pedagogical roles of the teachers underlying published materials affect students' knowledge and perceptions towards such varieties. An attempt on this investigation is to propose ways for teachers to adapt the existing materials by incorporating the notion of World Englishes so as to raise the students' awareness, perceptions and help prepare them to cope with such varieties they are likely to encounter in the real business situations in the Southern part of Thailand.


    Keywords: World Englishes; Material evaluation; Material adaptation

    ## 1 Introduction

    With the increasing important role of English as a lingua franca during the last two decades, English has become an international language for communication widely use in the aspect of international business, diplomacy and politics. Such spread of English has provided room for the development of World Englishes in which the language covers not only the mainstream users but also involves those who use such varieties in their daily lives. Since the communication nowadays is between non-native speakers to non-native speakers than between native speakers to native speakers. English as a lingua franca is, therefore, has
    become the most common form of English in the world (Jenkins, 2003, Graddol, 2006,). The varieties in terms of accents, structures, lexis and pragmatic features are now widespread used as a contact language across multi-cultures among non-native speakers, and those who choose English as a foreign language for communication for the purposes of business transaction, tourism, tourism, political negotiation or social interaction (Jenkins, 2003; Crystal, 2003).

    In the aspect of language teaching and learning, one of the key issues is the concern over the incorporation of World Englishes into the teaching materials. "Since the users of English is now not only limited to those who are mainstreams but also spread to non-native speakers in the Outer circle and Expanding circle (Mauranen, 2003 cited in Le, 2005), the roles of ELT materials should focus on preparing learners to use English both with other non-native speakers as a lingua franca and with native speakers" (Tomlinson, 2005, p. 3). This correlate with the studies of Nickerson (2005) who proposed the future of English as a business lingua franca in a way that materials should be developed for those who are nonnative speakers.

    As similar to most language classrooms in Thailand, commercial textbooks have been extensively used by many teachers at Songkhla Rajabhat University. In one of ESP classes, for example, Business English Communication, a mixture of various commercial textbooks has been used as a primary source of language teaching. With all of these concerns over the aspect of implementing World Englishes and the role of ELT materials, the purpose of this study is to examine the current published material in use in terms of the varieties of English and cultural content, the students' and the teachers' knowledge and perceptions about WEs, the stakeholders' and trainees' views during the actual site visit as well as propose possible ways for the adaptation of materials to be more related to such varieties. In order to explore the features of the current materials in use, impressionist analysis described by McGrath (2002), are applied to the investigation.

    In this study, four following research questions are raised to analyze respectively by drawing upon the current commercial textbooks.

    1. What are the overall features of the current material in use for Business English communication course in terms of the variety of Englishes and the cultural contents?
    2. What are the students' and teachers' knowledge and perceptions about WEs?
    3. What are the stakeholders' and trainees' views during the actual site visit of their field experience?
    4. How can the varieties of English be incorporated into the existing published materials?

    ## 2 Literature Review

    ### 2.1 Material Evaluation

    The process of evaluating materials, particular course books is very important for English teachers who select the published materials for their students. It is quite impossible to know
    whether any materials one designs or published materials currently uses are possibly effective without undertaking a first-glanced textbook evaluative process. McDonough and Shaw (1993) suggest that teachers usually begin the process with an external evaluation consist of the introduction and the table of contents, the proficiency level, the context which the material writers intend to use, the way the language has been organized into teachable units before undertaking internal evaluation which is principally concerned with content. In order to evaluate published materials, McGrath (2002) proposes three possible methods consist of the impressionistic method in which the general impression is analyzed, the checklist method consist of "a comprehensive set of criteria based on basic linguistic, psychological and pedagogical principles underlying modern methods of language learning" (Tucker, 1978, p. 219 cited in McGrath, 2002), and the in-depth method in which the in-depth analysis is taking place.

    In response to McGrath (2002)'s proposals, the impressionistic method is implemented in this present study so as to gain an overview of the features of the current published materials in use in terms of the linguistic variations and cultural contents. By implementing this method, I have skim through "the publisher's blurb", "the content page", "organization and topics" (McGrath, 2002, p. 25). I also took into consideration Cunningsworth (1995 cited in McGrath, 2002, p. 2)'s suggestions by looking though "particular language elements".

    ### 2.2 English as a Lingua Franca

    English has been seen as an international language and has been spoken by both native and non -native speakers all over the world. It is used as a contact language across multi-cultures among non-native speakers, and for those who choose English as a foreign language for communication (Jenkins, 2003). The results of the widespread use of English demonstrated that the standard varieties of English may not limit to only those of British or American English but also a variety called "World Englishes", which comes with local linguistic and cultural influences affecting the way such English is spoken in its L2 locations in terms of accents, structures, lexis, pragmatic features and etc (Jenkin, 2003). In the aspect of business, Charles (2006) states that English as a lingua franca and business English as a lingua franca function differently. Whereas Business English as a lingua franca emphasize the importance of communication skills due to the diversity of World Englishes, English as a lingua franca focuses more on language skills than communication skills, seeing linguistic skills more important. Therefore, in order to acquire effective communication, both language skills and communication skills may need to work collaboratively and that language teaching and learning cannot fail to put an emphasis on communication skills.

    ### 2.3 Language and Culture

    Since language is associated with culture, the study of language cannot be separated from the study of culture. Moran (2001) claims that language cannot be separated from the products, practices, perspectives, communities, and persons of the culture. He indicates that "In the culture, the language is literally everywhere. Anyone immersed in the culture sees and hears the language all around. In this context, language and culture are clearly focused;
    one reflects the other. To practice the culture, we also need language. We need to be able to express ourselves and to communicate with members of the culture as we engage with them in the myriad practices and products that make up their way of life" (Moran, p. 35). Similarly, Seelye (1984 cited in Harumi, 2002, p. 36) indicates that "one cannot learn to use the language without learning something about the culture of the people who speak that language.

    Some aspects in cross-cultural pragmatics and discourse clearly illustrate that language and culture are closely linked. When performing speech acts such as apologizing, requesting or thanking, what people say and how they say it often varies across culture. What is implied through a speech act in one culture might not have the same implication in another culture. Therefore, when one learns a language, one needs to know about culture so as to gain an insight into the underlying meaning of language and intention of the interlocutor in order to avoid cross-communication failure. Apart from language ability, cultural awareness is also a requirement for effective communication with people from other culture (Thomas, 1983).

    ### 2.4 Teaching Language and Culture in the English Language Classroom

    Because of the close relationship between language and culture, it is impossible that teaching a language does not involve teaching culture in language classrooms. In the field of English language teaching, several scholars indicate the importance of introducing cultural aspects in language classrooms. Byam and Feng (2004) states that language and culture are inseparable elements in the learning process as students learn a language and its cultural implications, even when they are learning it as a lingua franca. As a result, teaching English should include not only grammatical structure, vocabulary or language skills but also the cultural aspects for mutual understanding of the speaker's utterance. To support this issue,

    Byram and Fleming (1998:7) develop the following framework for language learning and teaching which consist of:

    - An integration of linguistic and cultural learning to facilitate communication and interaction
    - A comparison of others and self to stimulate reflection on and (critical) questioning of the mainstream culture into which learners are socialized.
    - A shift in perspective involving psychological processes of socialization
    - The potential of language teaching to prepare learners to meet and communicate in other cultures and societies than the specific one usually associated with the language they are learning.
    McKay (2004) explores the role of culture in EIL teaching in terms of the cultural content of teaching materials and in reference to the use of EIL. As English is now an international language, the use of English is no longer connected to the culture of Inner Circle countries. One of the primary functions of English is to enable the speakers to describe their own cultures and concerns to the others. The teaching of English is becoming much more closely related to the host culture as those countries use local places and issues as the content for their teaching materials. Similar to McKay's notions, Kushner (2003 cited in Sweeney, 2006) emphasizes the importance of focusing on local needs and local identities due to the rising of many Englishes.


    ## 3 Methodology

    ### 3.1 Participants

    The participants in the study were 25 third-year business administration students majoring in general management who were taking the course, two teachers teaching Business English Communication classes, 15 business managerial positions in service sectors in Hat Yai, Songkhla where we usually send our trainees for their field experience, and thirty fourthyear business administration management students who were currently working as trainees in ten different service sectors such as hotel, tourism and Thailand Tourist Police in Hat Yai District, the biggest business area in the Southern part of Thailand.

    ### 3.2 Research Instruments and Procedures

    To examine the characteristics of the current existing published materials in use for Business English Communication course, the impressionist analysis described by McGrath (2002) was implemented. A focus group semi-structured interview with third-year students, a semi-structured interview with two teachers teaching the course as well as a semistructured interview with stakeholders who were in their managerial positions and trainee students during an actual site visit were conducted so as to gain in-depth information about the knowledge, the perceptions of the two groups of the students and teachers, the stakeholders' views towards the varieties of English as well as the problems encountered during the fourth -year students' field experience.

    Before conducting the research as follows, all participants were informed and signed the consent form about the project.

    1. Two teachers were first interviewed to examine their knowledge about WEs as well as their experiences in incorporating it into classes.
    2. Twenty-five third-year business administration students majoring in general management were divided into five groups for a focus group interview. Each group consisted of five people. They were then interviewed and were restricted to answer only the questions concerning their knowledge, their awareness and their views towards the existence and their future encounter with the varieties of English.
    3. The last part of the research study was the semi-structured interview with fifteen business managerial positions and thirty fourth-year trainee students during an onsite visit of their field experience. The two groups were being interviewed separately. Similar predetermined questions were about how the students handled the duties, the problems they encountered, the views towards the recommendations to solve such problems; thus allow for a flexible follow-up questions about what they perceived as difficulties in terms of the experience with both native and non-native speakers. Then, I listened to their response to see if there are any clues for me to probe the next questions.

    ## 4 Results and Discussions

    The results are demonstrated below according to the sequence of the research questions.

    1. What are the overall features of the current material in use for Business English Communication course in terms of the variety of Englishes and the cultural contents?

    By implementing the impressionist analysis proposed by MaGrath (2002), I have found that the features of current existing published materials in use for Business English Communication course contains the normal characteristics like other published materials produced for the widest audience. In terms of the linguistic variations and the variety of Englishes, it can be concluded that the core structure including the main texts, the content, exercises, morphological and syntactic functions as well as the choices of vocabulary and spelling is typically based on the standard form of American English and British English. The communicative tasks presented in business interactions are likely to focus on the communications and interactions between native speakers including British, American and Australian. In the aspect of cultural content, the current published materials contain approximately $10 \%$ of the intercultural communications.

    Such features of the current published materials in use for Business English Communication course at Songkhla Rajabhat University are quite similar to those of the textbooks produced for the global market. Since most of the commercial textbooks writers and publishers are those who are in the Inner circle countries, it can be indicated that American English and British English are still the mainstream presented. The evaluation of the textbooks being used in other Asian countries, for example, Japan, also had the same results in which the features of the standard form of the Inner Circle stood out significantly. (Matsuda, 2002)

    As we can see here, in spite of the existence of the varieties of English, the mainstream American English and British English still plays the significant roles in the majority of the commercial textbooks, thus differs markedly from the varieties EFL learners are likely to encounter in the real world. Such existing features can be claimed to be not realistic in terms of authentic future professional fields for EFL learners in the regional context.
    2. What are the students' and teachers' knowledge and perceptions about WEs?

    This question has been probed up so as to investigate whether the features of the current published materials have any correlation with the knowledge of the students and the pedagogic roles of the teachers in class.

    Since the teachers participated in this study have a master's degree in Teaching English as an International language, the results from the interview revealed that the two teachers already had good background knowledge about World Englishes and feel that it would be important to add knowledge about WEs into Business English Communication classes. Despite of such awareness on this matter, both of them admitted that they hardly introduced the concept of WEs into their classes as they were likely to follow the content and the instructions already provided in the published materials. Only one teacher who had previous experience working in a business sector admitted that she used to pass on the knowledge of WEs to her students. This came from her explicit experiences of working in a tourism business sector for two years.

    The interview results with the teachers consistent with the results gained from the interview with the students attending the classes. The findings indicated that 13 out of 25 volunteered students claimed that they had heard about World Englishes before. However, when being asked to define the concept of World Englishes, none of them demonstrated a true understanding of World Englishes. The examples of their answers were as follow:

    - Varieties of Englishes are the kind of Englishes with different accents.
    - It's American English or British English with different accents.
    - Different word meanings, for example, like or dislike.
    - It is mainly the cultural differences.

    As we can see here, such definitions demonstrated that the students truly misunderstand the concept of World Englishes. After the true definitions of World Englishes were clarified by the researcher, the students agreed that they occasionally acknowledged the existences of such varieties from many Malaysian and Singaporean tourists in Hat Yai before and were aware that they might encounter such varieties in their future professions. However, all of them stated that they would prefer to practice a native-like accent and that people should use the standard form of American English and British English for effective business communications. Implementing the variety of Englishes would lead to confusions, thus resulting in communication failures.
    3. What are the stakeholders' and trainees' views during the actual site visit of their field experience?

    The results gained from the semi-structured interview with 15 stakeholders who were in their managerial positions indicated the importance of incorporating the variety of Englishes into Business English Communication course in this specific Southern local context of Thailand. All of them mentioned that $80 \%$ of the tourists who they were normally in contact with were non-natives from Malaysia, Singapore, Indonesia, Philippines, China, and European countries including Russia. Therefore, the students should be exposed to such varieties in order to be able to communicate effectively. $100 \%$ of the domain experts indicated that listening and speaking were the two most important skills being used and also the skills our students needed to improve most from their observation during the students' field experiences. They elaborated that almost $100 \%$ of the students lacked their self confidence in speaking which stemmed from many reasons including their own worries about being $100 \%$ like native speakers in terms of accents and grammar structures, the inability to understand the variety of accents of those non-natives as well as their various non-verbal gestures according to individual own cultures. These answers seem to be correlated $100 \%$ with those of our trainees who indicated that they were not confident to speak with non-natives with variety of accents and couldn't understand their various accents and gestures. Besides, all of the business managerial positions participated in the interview mentioned the importance of the establishment of Asean Economic Community and that the university and the teachers should prepare the students to be ready for such integration and the regional competitiveness.

    The results derived from the semi-structured interview with our trainee students during the supervision visits also reflected clearly how they perceived such varieties in their working lives as trainees. Twenty-five students, with eighteen working at three different hotels in Hat Yai and seven working at Thailand Tourist Police kept complaining about the difficulties they encountered with the Malaysian and Singaporean guests in terms of the
    unfamiliar accents and languages. Even though each of them encountered different situations, they were similarity in a way of developing negative attitudes towards those who were from the Outer circle. Here was one of the comments derived from the interview: Participant number 18.
    "I always have problems with those Malaysian and Singaporean guests. They speak with a completely weird accent. I never understand what they are trying to say and I feel so annoyed every time they asked me to do something. Those people should use a standard form of English and make it understandable to others."

    As we can see here, there are similarities in the perceptions of third-year and fourth- year students towards the varieties of English. Because of their lack of knowledge and familiarity interactions with other non-native speakers, the students tend to privilege native speakers of English. All of them indicated their perceptions of American English and British English as correctness, standard, acceptable, professional, understandable and should be the only form everyone should follow.
    The interview results with the teachers, the students attending this course as well as the trainees demonstrated how published materials and teachers' pedagogical practices influence both the teachers and the students. Prabhu (1988 cited in Tomlinson, 2003) indicated how commercial textbooks are claimed to have an effect to the creative role of teachers in class. As the basic teaching activities for the teachers are to adjust the input and encourage classroom practice (Robinson, 1991), by relying mainly on the textbook, "Teachers are not much encouraged to adapt insufficient exercises or extend additional tasks and only tend to present their material already prepared by others" (Richard, 2001, p. 255). Another factor such as the teacher's experience in teaching also affects their pedagogical approaches in class. Research on the investigation of commercial business communication textbooks demonstrated the constrained role of teachers especially those with only little experience. By relying mostly on published materials, they had limited ways to enhance their pedagogical practice including the choices of activities and exercise types (Chan, 2009). This result related to this study that only one teacher who had experiences working in a hotel business incorporated the varieties of English in her language teaching.

    Apart from the effect on teachers, commercial textbooks are also claimed to have an effect on the students in this present study. As teachers are likely to follow only the content presented in the textbook, the students are constrained to learn only the standard form of language and culture of those from the Inner circle countries, with only a few touches on those from Outer Circle and Expanding Circle. Thus, the current textbook doesn't prepare students to the real world when they have to interact with the varieties of English. The results from the interview with the trainees demonstrate that once the students are not familiar with such varieties apart from what they learn in class, they are likely to develop negative attitudes towards those non-natives, thus resulting in problems in their future occupations.

    From my perspective, the results from the interview with the students emphasize the importance of incorporating the varieties of English into the existing teaching materials. Since Southern Thailand attracts tourists and businesses from all around the world, our students need to contact people from various backgrounds. The misunderstanding and negative perceptions towards those who are not the mainstreams could lead to problems
    when the students enter their future professions. The results derived from the three research questions allowed me to probe the fourth research questions and propose how WEs can be incorporated into the existing materials from my own perspective.
    4. How can the varieties of English be incorporated into the existing published materials?

    In order to raise the students' knowledge and awareness of such varieties, the role of material adaptation was implemented. By employing Madsen and Bowen (1978, p. ix)'s techniques, the teacher can adapt the materials by "supplementing, editing, expanding, personalizing, simplifying, modernizing, localizing, or modifying cultural/situational content". In this present study, apart from relying on commercially available textbooks only, the teachers can create their own supplementary materials by adding the reading texts on the varieties of English, linguistics variations, features of other varieties of English from the Expanding circle/Outer circle as well as tasks focused on the variety of English dialects (video clips of people in many countries) to give them the opportunities to expose more to a variety of Englishes as well as raise the students' language awareness of the linguistic varieties of Englishes they will have to encounter in the real business context.

    As a researcher, I also would like to pay attention to the importance of raising the cultural awareness as one of the key aspect of material adaptation. By drawing upon Cortazzi and Jin (1999 cited in McKey, 2002, p. 88), the cultural content in language teaching materials should contain three sources of culture: "source materials that draw on the learners own culture, target culture that draw on the culture of a country where English is spoken as a first language and international target culture that use a great variety of cultures in English and non-English speaking countries around the world". Such proposals to incorporate three types of cultures into the materials emphasize the role of English in helping students share ideas and cultures. In order to prepare students to encounter such varieties in their future professions, it is important to expose the students to other cultures different from their own especially those who are non-natives (Matsuda, 2003). Therefore, an on-site visit with other two Malaysian Universities, Universiti Sains Malaysia \& Universiti Utara Malaysia in which Songkhla Rajabhat University has MOU with should be incorporated in the adapted material as part of the classroom practice so as to familiar students with the speakers of other varieties and develop their positive attitudes at the end.

    ## 5 Conclusion

    In conclusion, it is hoped that this paper has given insights into the aspect of material adaptation in the perspective of incorporating WEs into the existing published materials of Business English Communication course at Songkhla Rajabhat University. By examining the current commercial textbooks in use from the perspective of the variety of linguistic variations and cultural contents, I have demonstrated that native-speakers from Inner circle countries still play an integral role in the current material in-use. Despite such concerns of the varieties of English from the views of the teachers, their pedagogic roles in class are still limited to those of the mainstreams. Such existences on the roles of the teachers not only has an effect on the current students' knowledge and negative views towards those
    who are from Outer circle and Expanding circle countries but also affect the trainee students who are about to encounter such varieties in the real world/authentic business situations in Southern Thailand.

    Being one of the teachers who used to teach both Business English courses and Business English Communication courses for two years, I have gradually concern on how importance it is to incorporate World Englishes into the existing materials from my WEs class. From my own experiences of working in a business sectors for five years, I have encountered such varieties in my real life and realize how importance it is to prepare my students to be ready to cope with such differences, something completely different from what they learn in the current published materials. From my perspective, in order to succeed in business world, the course should also focus on practicing students to be able to communicative effectively not only internationally but also locally and regionally. The interview results with the students from this present study demonstrates clearly that it is now should be a time to change the mindset, the attitude and the point of view of the students enrolling in Business English Communication classes at Songkhla Rajabhat University towards those who are non-native speakers in order to prepare them for the establishment of Asean Economic Community and the regional competitiveness.

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    # English as a Multicultural Language: Roles of Simplified English in Support for Foreign Residents in Contemporary Japan 

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    #### Abstract

    Japan is now a country with over two million officially registered foreigners (The Ministry of Justice, 2016), and there is a possibility that this number will keep rising. In other words, the country is becoming a multilingual society where various languages are spoken. Among the recent changes in social conditions, Japan is encouraged to raise their awareness toward an ethnically diverse society. In reality, however, the historical belief of homogeneity is still recognizable. Cases of linguistic isolation and social inconveniences that foreign residents may experience were reported (Kado, 2016). Kawahara (2007) argues that what they need is linguistic support to make their lives secured. This paper attempts to examine actual conditions of language support for foreign residents focusing on simplified English to help them take part in society. Interviews with foreign residents were conducted between 2013 and 2016 in middle-sized cities with a heavy concentration of foreign residents. The results show that many respondents report that although the recent automatic translation systems and public services in different languages can be obtained more easily than before, they have difficulties in communicating with Japanese people. Four significant language and cultural related barriers including (1) social isolation from the mainstream community, (2) difficulty in understanding social systems, (3) educational inequality for children, and (4) linguistic problems of children such as difficulty in learning Japanese for school subjects and maintaining their own language were revealed. In order to provide language support that meets the needs of foreign residents for active participation in society, expected roles of simplified English as a multicultural language are to be discussed and suggestions would be offered from multidimensional perspectives for further exploration of the promising language.


    Keywords: English as a multicultural language, language support, simplified English

    ## 1 Introduction

    Japan is now a country with approximately 2.96 million foreign residents from at least fifty countries, comprising nearly 1.8 percent of the total population (The Ministry of Justice, 2016). The Chinese are the largest in number ( 665,847 people), followed by Koreans $(457,772)$, Filipinos $(229,595)$, Brazilians $(173,437)$, and Vietnamese $(146,956)$. With the increasing number of foreign residents over the past years, Japan can no longer be homogeneous. Japan is steadily becoming a multilingual society where various languages are spoken. In reality, however, as Ogata (2015) points out, its island-country ideology is
    still identifiable, especially when it comes to the issue of absorbing immigrants harmoniously into Japanese society. Likewise, Tai (2009) claims that many Japanese believe in line with the ideology of monoethnicity or only Japanese from the view of xenophobic reaction to the increase of foreigners as reported by the media. On the one hand, people of the same nationality are apt to gather together and establish their own "island-within-an-island" communities. It could be easier that way, and more convenient as no language barriers exist in a segregated society. On the other hand, however, foreign residents may experience linguistic isolation and social disadvantages partly due to this historical Japanese insularism. In fact, cases of a wide range of consulting requests have been reported. According to West (Nishi) Tokyo Multicultural and International Center in Tokyo (2015), 348 were requests for advice were received and various concerns including Japanese language education, education, obtaining of a visa, family, employment, residence, and health, welfare and medical care between 2010 and 2013 were revealed.

    In view of this situation, language support for foreign residents may be helpful to encourage them to participate in society more actively without social exclusion. Noyama (2007) claims that the importance of language support is becoming more widely appreciated as Japan is rapidly shifting into a multilingual society due to an influx of people from overseas. There have been more cases of social services with the increase of foreigners in need of Japanese, such as helping foreign children with their homework in Japanese or aged foreigners with their daily lives in their homes. Contrarily, studies and cases of linguistic support in not just Japanese but also different languages have seldom been sufficient. This paper attempts to examine the actual condition of language support for non-Japanese residents from the view of English as a multilingual language. Language support for nonJapanese residents could play an active role in enabling them to maintain their linguistic and ethnic identities as long as languages are a key to live in society.

    Two questions are addressed in this study: (1) what problems non-Japanese residents may face in their daily lives, and (2) how public information provided by the local government is formulated in English to examine the understandability of English. Based on the results, simplified English as a multicultural language is verified in order to enhance language support for non-Japanese residents in contemporary Japan.

    ## 2 Background

    It is relevant to see that foreign-language education in Japan is synonymous with English teaching and learning. In one sense, it is standard for the Japanese to learn English since the language is widely spoken and regarded as an international language. In another sense, however, it should be unreasonable as the variety of Englishes are not paid much attention.

    ### 2.1 English as a Multicultural Language

    Kachru (1997) estimates that speakers of English from the outer circle (OC) and the expanding circle (EC) outnumber the speakers of English from the inner circle (IC). This estimation suggests that more chances to interact in English with non-native speakers than with native speakers of English could be expected. It should be perceived that these circles include the extension of OC and EC into IC countries. It is quite likely that the issues of

    English proficiency may become more complex, and people, including those who come into IC would be asked for more tolerance of diverse varieties to facilitate communication in a context where a constant migration between a wide variety of English and communities exists. Apparently, the boundary between IC and OC is becoming less clear. On the whole, countries in the world seem to be becoming more multilingual and multicultural with a constant flow of people of various nationalities. These people who are clearly from different cultural backgrounds may bring varied Englishes. Bearing in mind this current phenomenon, Japan needs to react to the diversity of languages and cultures regardless of the fact that the country falls into EC.
    Regarding various Englishes, as English is commonly viewed as one of the main languages of international communication, even those who are not speakers of English may know some words. A language with varieties of characteristic entails varieties of culture. Cheshire (1991) and Swan \& Smith (2001) argue that English as an international language should pay more attention to a variety of Englishes as each of these varieties has unique linguistic characteristics such as grammar, pronunciation and vocabulary. From the perspectives of a variety of Englishes, English can be acknowledged as a multicultural language in a multicultural society. In response to this linguistic reality, it is practical to provide people of various nationalities with opportunities to use a rich variety of English. Contemporary Japan is in the situation of a society where diversified ethnicities, languages, and cultures maintain contact with each other without social exclusion.

    In consideration of the linguistic and cultural trends of recent years observed worldwide, Japan should be no longer isolated from this diverse community. Its immediate concern is what measures should be taken to meet the situation of being a multilingual Japan in a multicultural society rather than staying with the historical belief of its insularity.

    ### 2.2 Language Support

    What is language support and what is it for? On a technical note, Kawahara (2007) refers to language support as assistance given to non-Japanese residents to help them participate more actively in Japanese society without social exclusion. He maintains that immigrants to Japan should be able to maintain their own language, culture, and identity (Kawahara, 2007, p.12). Specifically, the preservation of their linguistic, cultural and ethnic identities should be more encouraged. Concerning the question of which language should be used for linguistic assistance, three an available choice of languages (1) their mother tongue, (2) simplified Japanese, and (3) simplified English are given (Kawahara, 2007, p.13). Ideally, it should be the most reasonable way to offer assistance in their own mother tongue or their first language, yet it is impractical due to financial reasons and limited manpower. The second option, simplified Japanese, seems to be potential as it would not cost that much. Even simplified Japanese, however, could be futile and substantial language barriers for those who have trouble in understanding Japanese. It would be more reasonable to use English since the language is considered as one of the main languages of international communication, and even people who are not speakers of English often are familiar with English words.
    In regards to language support, some local governments have taken the lead in implementing various measures such as publishing a bimonthly multilingual newsletter so that foreign residents can get necessary information in a familiar writing system. For
    another, city authorities set up a consulting service and recruited staff members from among foreign residents who volunteered so that people can talk with compatriots and let off stream. A list of interpreters also has been created to help those who need to solve problems. On the other hand, it is reported that these language support services, unfortunately, may not reach many of foreign residents. Accordingly, support for foreign residents would not function as well as expected. Further improvement of language support for them, thus, is imperative.

    ### 2.3 Simplified English

    Studies on simplified English as an alternative have gradually been reported from the view of English as World Englishes. Yoneoka (2006) studied on artificially simplified Englishes and categorized them according to different types (shown in Table 1) from the view of English as an international language.

    Table 2. Artificially Simplified Englishes

    | Variation | Targets | Number of Words |
    | :--- | :--- | :--- |
    | Basic English | English learners | $850+150$ technical |
    | Special English | English learners | 1,500 |
    | Plain English | L1 speakers | Not specific |
    | Simplified English | Air space | 823 technical words |
    | Easy English | Spread of Bible | 12,00 (Level A) |
    |  |  | 28,00 (Level B) |
    | Specialized English | Christian Radio | approx. 1,500 |
    |  |  | (Source: Yoneoka, 2006, p.4) |

    As seen in Table 1, there are six types of English, basic, special, plain, simplified, easy and specialized in terms of its simplicity to understand based on Ogden's Basic English (1930). These varieties of English in Table 1 can be interpreted as (1) basic English is for learners of English and has a basic 850 words, plus another 150 technical words, (2) special English is for those who learn English, more precisely, American English and has a basic 150 words, (3) plain English is to simplify administrative English such as government publications and documentation for speakers of English as the first language, and has no particular word list, (4) simplified English is based on American English, aiming at engineers working in the aeronautical and space industries, and has a basic vocabulary of 823 words, in addition to technical terms, (5) easy English was actually developed to make the Bible appreciated and it is based on British English, having two levels where Level A has a vocabulary list of 1,200 words, and Level B has 2,800 words, and (6) specialized English was developed to promote Christian ideology, and is based on a mixture of British and American English, having a vocabulary list of about 1,500 words. According to the concept of Basic English (Ogden, 1930), 850 words are adequate for ordinary communication so that English can be clear and precise.
    Takagaki (2015) views that these six different types of English may share such seven parameters as (1) express in as few words as possible, (2) paraphrase in simple words, (3) use short sentences, (4) do not use more than one topic in one sentence, (5) avoid jargon, (6) avoid idioms, and (7) avoid the passive tense. If a message in English meets these factors,
    simplified English (Yoneoka, 2006) then could be reasonable to convey necessary information clearly and precisely. Takagaki (2015) suggests these seven parameters should be applied to simplified English as one of the practical approaches of language support for foreign residents.

    ## 3 Method

    In order to identify problems that foreign residents may face and see how helpful simplified English could be as a language support, a mixed method was used. First, questionnaires in English about living and working in Japan were distributed to foreign residents in four middle-sized cities between 2013 and 2015. Second, interviews with city officers including foreign residents were conducted in between 2013 and 2016. In this study, the findings of the interviews are to be reported.

    ### 3.1 Method

    In order to confirm difficulties foreign residents may face in their daily live, interviews with foreign residents were conducted in a medium-sized shipbuilding city in Japan. The interviews were audio recorded and transcribed, and key words were extracted. Addition to this hearing investigation, such written materials as an English newsletter for foreign residents offered by Fukuyama with another guidebook of the other region, Kamigyo Ward were analyzed based on the concept of simplified English to verify how English was presented and simplified English could be helpful.

    ### 3.2 Participants

    Eleven foreign residents living in Fukuyama, Hiroshima Prefecture cooperated in this interview. The participants comprise such eight nationalities as Chinese, Koreans, Brazilians, Vietnamese, Americans, Canadians, British and New Zealanders. More details of their profiles are shown in Table 2 below.
    Most of the participants are workers and at least a third of them have a full-time permanent employment working for a manufacturing factory. Their length of living in Japan varies; some have lived just two years and others have lived for more than twenty years. The average length of their stay is ten years and five months. As for their proficiency of the Japanese language, seven participants consider their language skills limited or not enough to use it proficiently. One-third indicated that they understood Japanese well enough to communicate with Japanese people, while the others described that differences in languages and cultures in Japan are substantial language barriers regardless of the period of their stay.

    Table 2. Profile of Participants

    | No. | Question Items | Profile (The number of the respondents) |
    | :---: | :---: | :---: |
    | 1. | Gender | $\cdot$ Male (4) - Female (7) |
    | 2. | Nationality | - China (3) •Vietnam (2) •Korea (1) • Brazil (1) <br> - England (1) •America (1) • Canada (1) <br> - New Zealand (1) |
    | 3. | Mother Tongue | - Chinese (3) •Vietnamese (2) • English (4) <br> - Korean (1) • Portuguese (1) • Samoan (1) |
    | 4. | Qualification of Stay | - Permanent resident (4) • Foreign students (3) <br> - International business (1) • Employees (2) •Trainee (1) |
    | 5. | Length of Stay | - $1-5$ yrs (5) • 6-10 yrs (0) • 11-15 yrs (3) <br> - 15 or more than 15 yrs (3) |
    | 6. | Occupation | - Professional (3) • Craft (2) - Other (1) |
    | 7. | Self-evaluation of Japanese Ability | - Reading and Speaking: a little (5) <br> - Only daily conversation: very well (1) <br> - All four skills: very well (3) <br> - All four skills: very limited (2) |

    Note: Figures in parenthesis indicate the number of participants.

    ### 3.3 Field Site: The Regional Nature of Multiculturalism

    Fukuyama is a medium-sized city with a population of approximately 47,000 located in the suburbs of Hiroshima Prefecture. According to the city statistics (2015), 6,208 nonJapanese residents live there. They are Chinese, Koreans, Brazilians, Indonesians, Filipinos, and Vietnamese have steadily been increasing. In other words, nearly one in eighty residents comes from a different country. Consequently, in town, there are public signs written in Japanese, English, Chinese, Portuguese and Korean informing residents of an emergency evacuation area. As for their notable industries, shipbuilding, automobile, and processing and assembly-type industries are important. Many foreigners living in the city work at small to middle-sized related factories.

    ## 4 Findings and Discussion

    The overall findings imply that simplified English could be of help, particularly for those who speak English as a second or a foreign language with limited knowledge or skills of Japanese. As for difficulty in understanding English public materials offered by the local government including notices given by school, most of the participants clarified that special terms, long sentences and refined expressions are difficult. Their limited knowledge of grammar and vocabulary could influence on their understanding of a material in a written form. In terms of the proficiency of their Japanese, most of them answered that they managed to speak Japanese without any serious problems, and but were not confident in reading and writing. Seven out of eleven participants are from Asian countries, and therefore, assumingly, they would use English as a foreign language a littler more easily
    than Japanese to communicate in their daily lives partly due to more complexities in learning Japanese. Besides their linguistic problems, the participants expressed difficulty in understanding complex social systems, or their children's school systems (Table 3). Different social systems and cultural contexts could be distinctive factors that may have created difficulties among human relationships between the people of two countries (Kado, 2016). All of these problems mentioned above should be concerned with a language.

    ### 4.1 Inconveniences Foreign Residents Encounter

    As mentioned above, some problems were related to linguistic and social system differences, and others seemed to have been caused by limited knowledge of the Japanese language. Table 3 shows that the participants may face various problems.

    Table 3. Difficulties Foreign Residents Encounter

    | Q \# | Areas | Difficulties |
    | :--- | :--- | :--- |
    | 1. | Education/ | • a gradual loss of one's mother tongue (2) |
    |  | school | • difficulty in learning Japanese (4) |
    |  |  | • difficulty in introducing one's own language and culture (2) |
    |  |  | • difficulty in communicating with a school teacher (1) |

    Note: The figures in the parenthesis indicate the number of participants.
    On the whole, their concerns can be broadly classified into the following two categories. First, some problems were caused by a lack of knowledge of Japanese social systems. Another category of difficulties was related to more immediate problems in their daily lives. It is noted that these problems seem to be common with the general concerns of foreign residents reported by West (Nishi) Tokyo Multicultural and International Center (2015) as mentioned earlier.
    For one thing, it was revealed that relations with their children's education were the source of strain (see Q1 in Table 3). Five participants had children, and four of them found it difficult to teach their children about the language and culture of their own country of origin, and three were concerned that their children were neither fluent in their own language nor Japanese. According to them, as far as learning subjects at school, even children who are fluent in Japanese often struggle and fall behind in class due to their limited knowledge or skills in Japanese for academic purposes. Second, it could be interpreted that immigrant children gradually lose their own mother tongue when living in a foreign country even when their parents try to talk to them in their mother tongue. A notable example of their concern, the process of losing one's own language is possibly explained as language attrition found
    in immigrants language. As Yukawa (1991) maintains that one's decline in proficiency in his/her own first language could result from both isolation from other speakers of their first language and interference from the second language they are acquiring. The role of the mother tongue cannot be de-emphasized much as it is deeply rooted in one's own identity. Regarding identity, to lose it is to lose part of themselves and their heritage (Kawahara, 2007, p.13).

    For another, two of the residents described that they had trouble in understanding school systems such as "sweeping or cleaning duty" and bringing one's own "lunch box" (see Q1 in Table 3). One parent noted that his child often felt isolated at lunch time bringing just a lunch box without any food contained or bringing one's own local lunch according to their own culture. Another parent noted that her child felt offended due to the negligence of one's turn to sweep or clean as a school duty. On the other hand, three participants experienced difficulties in communicating with teachers at schools. They stated that they faced problems in reading notices given in a contact notebook between a teacher and parents that their children brought home from school. In the end, they were unable to respond appropriately and to provide adequately for their children's school-related needs.
    Secondly, health-related concerns were also revealed (see Q2 in Table 3). Eight participants had trouble finding hospitals where doctors and staff spoke their own language, and medical-related information provided in English or their own languages. They further explained that they found they were uneasy communicating with a doctor or a nurse in even simple English.
    Finally, immediate trouble in their daily lives is worth noting (see Q3 in Table). Two residents reported that the concept of sorting out garbage into inflammable, recyclable, and kitchen garbage was still complicated. By failing to sort out their garbage properly, they explained that they had upset their neighbors and assimilation was a key word to survive.

    ### 4.2 Simplified English

    The findings gained from an English guidebook are to be focused on for further consideration of simplified English. A short passage from the first page of the Globe published in May, 2012 provided by the International Exchange Association of the city was used as an example to show the accessibility of English given in the newsletter. Table 4 shows these two texts, one is the original and the other is an alternative version replaced for the original. The English version of the newsletter was written by a native speaker of English on a volunteer basis. The other was a simplified version of the English was written by a Japanese English teacher.

    Table 4. Simplification of English

    | Simplified English |  |
    | :---: | :---: |
    | By a Native Speaker of English | By a Japanese English Teacher |
    | So it's that time of year again-the | It's that time of year again-the |
    | annual Fukuyama Rose Festival is upon us! | Fukuyama Rose Festival is here! This |
    | This month's issue of The Globe will provide you with all you need to know | month's issue of The Globe will give you information about some of the events |
    | about some of the events going on during | during the city's biggest yearly event, the |
    | the city's biggest annual event, the Rose | Rose Festival on Saturday, May 15 and |
    | Festival, on Saturday, May, 15 and Sunday, May 16. (p.1) | Sunday, May 16. |

    (The Globe, May, 2010)
    As shown in the simplified English version of the newsletter which is artificially simplified some elaborate words and common simpler vocabulary items such as "so" and the complex noun phrase in Table 4, "all you need to know" are replaced by the relatively acceptable noun "information" and the verb "provide" is replaced by "give". It becomes a much more intelligible piece of English by adhering to the above guidelines, and using a linguistic sense of what may be acceptable to non-Japanese residents, in particular, nonEnglish speakers of foreign residents. The use of sense, however, should be discussed and developed into concrete guidelines that could be applied to document for the needs of a large variety of non-Japanese residents. It will be necessary to find a way of writing simplified English that can be accessible to various people of different countries.

    On the other hand, each of the simplified English studied by Yoneoka (2006) mentioned earlier has an associated word list, but there is a large discrepancy in the number of words allowed from 850 to 1,500 or more. Word lists for ESL including the Ogden Word List with 850 words and the Voice of America Word List with 1,500 words may give hints on how to improve readability.

    Another example of an English guidebook for foreign residents indicates the accessibility of the guidebook (See Table 5). As seen in Table 5, the words in the simplified version appear on the VoA list whereas some essential and commonly used words, such as "earthquake" and "electricity" do not appear in the Ogden Word List which may give some hints to improve the readability.

    Table 5. Simplification of English Based on the Ogden Word List

    | Original English Guidebook (written by native speakers of English working for the city as a translator) | Simplified English (revised by English speakers based on the booklet in simplified Japanese) |
    | :---: | :---: |
    | Whenever the boundaries in the bedrock beneath our feet shift, or when great pressure is exerted onto the bedrock's interior and the bedrock breaks, the shaking from that event is transmitted to the surface. When a major earthquake occurs, electricity and water lifelines can be cut and falling buildings may cause fires or other secondary damage. | We do not know when or where an earthquake will happen. The ground shakes, and houses and buildings are destroyed. Water, electricity and gas may stop. There may be fires. |

    (The Guidebook for Foreigners Living in Kamigyo Ward, 2016)

    The original English in the guidebook shown on the left would expect a reader to have about 13 to 15 years of English learning, namely, one who uses English at tertiary level. The guidebook in the original English contains seemingly higher level of words and longer sentences. This is seemingly closer to the level which can be expected to be easily read by a non-native speaker of English. As for the simplified English version, the grammar and phrases are simplified and the sentences are short in simplified English.

    Summarizing above, the seven parameters of simplified English (Takagaki, 2015) suggest that explanation in English provided by a local government tends to be difficult to understand for in particular speakers of other languages than English. Simplified English thus could help them reduce their anxiety in multicultural society and should be more considered positively as an alternative communication tool for foreign residents A comprehensive language-support system with more consideration of simplified English will function.

    ## 5 Conclusion and Implication

    This study has explored the possibilities of simplified English as a multicultural language from the standpoint of language support for non-Japanese residents living in Japan to meet the actual situations of an ethnically diverse society in Japan. Based on such two questions addressed earlier as (1) what problems non-Japanese residents may face in their daily lives, and (2) how public information provided by the local government is formulated in English, the results of this study can be summarized that (1) problems foreign residents commonly face are social isolation from mainstream society, and difficulty in understanding different social systems, (2) such educational inequality for children as linguistic problems of children including learning Japanese and children's gradual decline of their own language Concerning language support, the following two suggestions (1) simplified English can be helpful for either those who have a lack of knowledge or skills in Japanese, or those who use English as their second or foreign language, and (2) more automatic translation systems can be shared with foreign residents on the local government's website can be given. In short, it is suggested that simplified English as one of the three language choices for assistance, or, simplified Japanese and their mother tongue (Kawahara, 2007) will be encouraged in order to support foreign residents, including those who are not so called native speakers of English.

    There are some limitations which need to be acknowledged. The first is the small sample size and consequent lack of statistical power. Studies with larger numbers of non-Japanese residents need to be conducted to determine the actual number of people to whom this applies in the future. Second, the findings may still be inadequate to understand how constructive and intelligible automatic-translation systems which have made a dramatic progress would be.

    Despite these limitations, the findings of this study provide some implications for simplified English as a multicultural language. It is hoped that the results gained from this study would serve as a basis for further exploration into the realization of simplified English as a multicultural language in an ethnically diverse society and that better support for foreign residents may help both Japanese and foreign citizens foster mutual understanding with the help of simplified English. What a multicultural language, eventually, implies is that there
    is a constant effort to understand the differences among people，and to respect those differences．Japan needs to learn and benefit from diversity rather than staying with a deep－ rooted belief of insularity．

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    # A Corpus-Driven Research of Authentic Usages of Words for Animals 

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    #### Abstract

    Animal words play a significant role in language. This research aimed to investigate the using of animal words in authentic English. The research selected four animal words: monkey, pig, dog, and snake to analyze. The research investigated three aspects of each animal word: meaning (including literal meaning and metaphorical meaning), collocation and idioms. There was also a comparison between spoken English and academic English in terms of meanings of each word. This research used Corpus of Contemporary American English to investigate. The research had three main findings. Firstly, although there is a large amount of meanings of animal words, the most frequent usage is the literal meaning which refers to the animal. Additionally, there were differences between spoken English and academic English. Generally, spoken English had more diversity in the using of different meanings. Academic English had higher frequency in the using of collocations, slangs, idioms and proper nouns. Spoken English had higher frequency in the using of the meanings referring to a person. Secondly, the collocation of animal words always had four types: the nouns or adjectives that associated with animal words to represent certain types of animals; the verbs that were always associated with animal words; the adjectives that were used to modify animals; the denotingperson nouns. Thirdly, for the aspect of idioms, each word had idioms that were used to depict human behaviors or human characteristics.


    Keywords: animal words, literal meaning, metaphorical meaning, collocation, idiom

    ## 1 Introduction

    The words and expressions of animals had become a basic part in vocabularies of many languages (Anjomshoa \& Sadighi, 2015). In China, English animal words are the most basic and primary vocabularies for an English learner - each version of English textbook of elementary book comprises at least one unit which is about animal vocabularies. However, the learning of animal vocabularies for second language learners usually is limited to literal meanings.

    In real life usage, animal does dot only refer to living creature. They have various metaphorical meanings in authentic English, and many of them also have collocations and idioms. The factors that related to animal words' metaphorical meanings were diverse. Because of the diversity of the factors that contribute to animal terms' metaphorical
    meanings, it is tough to understand and grasp the animal expressions and metaphorical meanings for a second language learner.

    The metaphorical expressions of animal terms play a significant role in language. They could express human's "feelings, thoughts and fantasies" (Kellert, 1997). Lawrence (1993) also suggested that animal words can meet the human needs for metaphorical expression to the maximum extent. Additionally, a second language learner is hard to have an overview of animal words and expressions by their own. Thus, this research aims to provide an overview and a clear explanation of the authentic usage of animal words with the help of corpus.

    This research will be supported by corpus which is a new tool to learn vocabulary. Corpus is an online language database which includes authentic materials from writing and speech transcripts. Searching on corpus can get a large amount of authentic sentences of the word or phrase with context. Therefore, corpus-based method can be an effective way to study animal words and expressions.

    The corpus used for this research is Corpus of Contemporary American English (C0CA) COCA contains massive data of American English. COCA includes data from five categories: spoken, fiction, magazine, newspaper and academic texts. It contains more than 520 million words from 1990 - 2015.
    This research aims to investigate the using of animal words in authentic English from different aspects, and investigate whether animal metaphors are used frequently in authentic English? Monkey, pig, dog, and snake are four words that will be analyzed in this research.

    There are three research questions:

    1. How are four animal words (dog, pig, snake, and monkey) used in authentic English, from the aspects of meaning, collocation, and idioms?
    2. What is the frequency of each usage? Which usage is more frequent in COCA?
    3. Is there any difference of the frequency of the using of different meanings in spoken English and academic English?

    At the beginning, there is a review of the previous research in this field, and pointing out the need for doing this research. Then, there is a description of methodology including descriptions of data collection, procedure and data analysis. Thirdly, the results of the research are shown. Then there is a discussion part about the results. At last, the conclusion of the research, the implications, the limitation and further suggestions are provided.

    ## 2 Literature Review

    Lehrer (1985) reported that in the development of semantic change, animal words had several extended meanings which were metaphorical meanings, except for the original meanings which were literal meanings. The extended meanings became conventional gradually. Thus, people did not need to infer or compute the metaphorical meaning of animal terms. In other words, animal metaphors became conceptualized ideas. According to Pourhossein (2016), "conceptualizing is a process of structuring abstract concepts in terms of more concrete concepts." Therefore, the figurative meaning of animals as abstract concepts could refer to certain types of behaviors or attributes which are concrete concepts.

    According to Kövecses (2002), the interaction between human and animals resulted in plentiful animal proverbs using human as metaphors. In other words, "human as animal" was a common and frequent used metaphor which existed in many culture and languages (Kovecses, 1997). Dowker \& Wang (2008) also pointed out that animal metaphor usually can refer to human behaviors. Metaphorical meanings of animal words could relate to human personalities in both positive and negative aspects. Newmark (1988) indicated that animal metaphors are often used to "describe inferior or undesirable human habits and attributes". Newmark's opinion was supported by other scholars. Pourhossein (2016) reported that animal proverbs were often used to describe negative features of human behaviors. However, Kobia (2016) hold the opposite opinion. Kobia (2016) conducted a research that analyzed Swahili proverbs using chicken metaphor as references. The results suggested that chicken was always used to depict positive characteristics of human being, such as "caring, protective, motherly, gentle, and peaceful" (Kobia, 2016). Nesi (1995) stated that there were more animal metaphors which referred to the positive human attributes than which referred to negative human attributes.

    Furthermore, there are plenty of researches about the contrastive study of animal metaphors in different languages. In Anjomshoa and Sadighi's research (2015), they compared the difference of animal words meanings and expressions in English and Persian. The results showed that there are some differences between English and Persian because of religious, culture-specific, history, and customs. Dowker \& Wang (2008) conducted a research to study the difference of animal metaphors in Chinese and English. The results showed that there are few differences of animal metaphors between Chinese and English.

    Many research suggested that the cultural context could be a factor that affects people's understanding of animal words. Nesi (1995) conducted a research to investigate that does the culture affect people's understanding of animal metaphors. The results showed that cultural context was a significant factor that could influence people's understanding of animal metaphors. The unfamiliarity of culture would impede people's identification of figurative meanings of animal words. Some participants in this research had lived in English context for a period, but they still could not identify all animal metaphors. In addition, participants from the same region showed similar ability and identification of the understanding of animal metaphors.

    Most previous researches focused on the animal metaphorical meanings for human personalities and contrastive study, while there were few researches discussing an overall usage of animal words and expressions. Additionally, most of previous researches were based on dictionary, and few of them used corpus-based method. This research will use a corpus-based method to do an overview research of the authentic usage of animal words.

    ## 3 Methodology

    ### 3.1 Data Collection

    This research selected four animal words which have both literal meaning and metaphorical meaning: monkey, pig, dog, and snake. Each word was researched from both dictionaries and COCA. The dictionaries used in this research were two online dictionaries: Oxford Advanced Learners Dictionary and Longman dictionary of Contemporary English. The
    data from COCA included 1100 example sentences for each word: 500 sentences were selected randomly to analyze the usage of each meaning; 300 sentences from spoken English and 300 sentences from academic English used for the comparison in meaning between spoken English and academic English. The meaning and idiom parts used both dictionaries COCA, and collocation part only used COCA to research.

    ### 3.2 Procedure

    Firstly, all meanings of four animal words from two online dictionaries were concluded. Secondly, each word was searched in COCA with 500 randomly selected sentences, 300 spoken English sentences and 300 academic English sentences.
    To answer the first and the third question, the meaning of each word was classified in tables with its frequency in selected example sentences from COCA. For ensuring the accuracy, several uncertain sentences were consulted with native speakers of English to check whether the classifications of word meaning were correct. The classification of each word meaning was displayed in tables. Each meaning was displayed with two example sentences from COCA in the discussion section.

    Table 1. The Classification of Word Meaning

    | Rank | Meaning | Frequency in COCA |
    | :--- | :--- | :--- |
    | 1 | Meaning 1 |  |
    | 2 | Meaning 2 |  |

    Then the collocations of each animal word were researched in COCA. The collocation with high frequency were chosen and classified into collation map. The collocation maps were classified based on word class. The span chosen for this research was four to left and four to right.
    

    Fig. 1. The Option of Collocation in COCA
    

    Fig. 2. The Collocation Map

    Idioms with animal words were from both dictionaries and COCA. Firstly, the idioms were selected from dictionaries. Then each idiom was searched in COCA. The idioms with higher frequency in COCA were analyzed in this research.

    ## 4 Results and Discussion

    ### 4.1 Monkey

    4.1.1 Meaning The table shows that although the word "monkey" has several meanings except for its literal meaning, the most frequently used meaning is its literal meaning. The literal meaning occupies $85 \%$ of all meanings of "monkey".

    Table 2. The Meaning Category of "monkey"

    |  | Meaning | Frequency <br> in 500 <br> sentences | Frequency in <br> spoken <br> English | Frequency in <br> academic <br> English |
    | :--- | :--- | :---: | :---: | :---: |
    | A | Animal (literal meaning) | 425 | 254 | 229 |
    | B1 | Naughty children | 3 | 0 | 0 |
    | B2 | A person who is under other's <br> control | 1 | 2 | 0 |
    | C | A sum of $£ 500$ | 0 | 0 | 0 |
    | D | A type of hammer machine | 0 | 0 | 0 |
    | E | Trick, tease | 1 | 6 | 1 |
    | F | Imitate | 0 | 0 | 0 |
    | G | Collocation, slangs, idioms | 28 | 35 | 12 |
    | H | Proper nouns | 42 | 3 | 58 |

    In addition, the collocations, slangs, idioms and proper nouns also have relative high frequency. It means that the word "monkey" is often used to be associated with another word to produce a new meaning or be a part of a name of a place, a film and so on. However, other meanings concluded from two dictionaries are seldom used.

    For the aspect of collocation, slangs and idioms, the most frequent items are "monkey bars", "monkey business", and "monkey wrench". These items have new meanings without connection with the meaning of "monkey". For the aspect of proper nouns, the word "monkey" occurs in the name of a place, a film, or a company. These items also have no connection with the meaning of "monkey".
    "Monkey" also refers to naughty children who like to play tricks on others. The example sentence from COCA is listed below:
    (1) Roy is a monkey boy; Twinkies and milk for Roy. He was a uniquely unappealing child.

    When the word "monkey" is a verb, it can mean to trick or to tease somebody. There are only one sentence with the meaning of "trick or tease" among 500 sentences from COCA.
    (2) American fingerprints are still viewed as illegitimate fingerprints. I think when we start to monkey around in the internal politics of these countries, we aren't very good at ...

    When "monkey" refers to a person, it can represent a person who is under one's control. This usage is always associated with organ grinders. The example sentence is listed below: (3) ... face in the bottom corner of the screen; it was the organ grinder's monkey in his mustard-colored suit, and she smiled and let him in.

    There is no sentence with meanings of "a sum of $£ 500$ ", "a type of hammer machine", and "imitate". The possible reason for the absence of these meaning is that these meanings are not frequently used and they have low frequency in corpus data. Therefore, they did not occur in the selected 500 sentences that this research used to analyze.

    In addition, in spoken English and academic English, the most frequently used meaning is also the literal meaning. The most significant difference is the usage of collocations, slangs, idioms and proper nouns. In spoken English, the frequency of collocations, slangs, idioms is much more than the frequency of proper nouns. However, in academic English, the contrary is the case. Moreover, the frequency of collocations, slangs, idioms in spoken English is three times of which in academic English. The frequency of proper nouns in academic English is almost 20 times of which in spoken English. Furthermore, the semantic usage in spoken English is more diverse, although the frequency of each meaning except for literal meaning is low.

    The possible reason for which academic English had less usage for collocations, slangs and idioms is that collocations, slangs and idioms are considered as an informal or less academic expression way. Therefore, in academic English, the usage of them tries to be avoided. The reason for which spoken English had less usage for proper nouns could be that in communication speakers always use pronouns, such as it, to represent the name of a place, a film and so on, while in academic, authors try to write the full form of the name of a place, a film and so on. Therefore, the frequency of proper nouns is higher in academic English. Additionally, some usages are considered informal, thus academic English tries to avoid them. However, in spoken English, all kinds of meanings can be used in communication. As a result, the meaning in spoken English has more diversity.
    4.1.2 Collocation The collocations of "monkey" were classified based on the word classes. The most frequently used collocations were divided into four categories.
    

    Fig. 3. The collocation map of "monkey"

    The box A shows some nouns that collocate with monkey to represent different types of monkeys.

    The box B shows some verbs that collocate with monkey.
    The box C shows some nouns that collocate with monkey, representing some types of tools.

    The box D shows some nouns that collocate with monkey, representing some terms related to biology.
    4.1.3 Idiom According to Longman Dictionary of Contemporary English and Oxford Advanced Learners Dictionary, "monkey" has five common idioms. Each idiom was searched in COCA for the frequency and example sentences. The results show that "monkey business" and "monkey around" are the most frequent used idioms.

    Table 3. Idioms of "monkey"

    | Idioms | Frequency |
    | :--- | :---: |
    | Monkey business | 96 |
    | Monkey around | 27 |
    | Make a monkey (out) of somebody | 4 |
    | A monkey on your back | 2 |
    | Not give a monkey's | 2 |

    Among the idioms listed in two dictionaries, "monkey business" and "monkey around" are two idioms that are used relative frequently in authentic English.

    Monkey business "Monkey business" is an American idiom which refers to prankish, deceitful or immoral behaviors. The idiom relates to the characteristic of the animal monkey. Monkey is usually a piquant and mischievous animal. The monkey's naughty feature is transferred to a person's behavior as a metaphor. The example sentence from COCA:
    (4) She happily reunited with her baboon troop. Looks like everyone's relieved that this monkey business is over.

    Monkey around "Monkey around" means that doing stupid or unproductive actions with a waste of time. In this phrase, "monkey" is a verb, and it can refer to the meaning "trick and tease". The example sentence from COCA:
    (5) ... can do. But there we stop. It's unpredictable what happens if you monkey around too much. Maybe you get a super-kid, maybe an imbecile. It ...

    ### 4.2 Pig

    4.2.1 Meaning The table suggests that the literal meaning is the most frequently used meaning. The literal meaning includes both animal and its flesh.

    Table 4. The Meaning Category of "pig"

    |  | Meaning | Frequency <br> in 500 <br> sentences | Frequency in <br> spoken English | Frequency in <br> academic <br> English |
    | :--- | :--- | :---: | :---: | :---: |
    | A1 | A type of animal | 409 | 205 | 232 |
    | A2 | Pig's flesh as food | 23 | 8 | 9 |
    | B1 | A person who overeats or is <br> greedy | 11 | 13 | 0 |
    | B2 | A pig like, untidy, unkind person | 13 | 20 | 5 |
    | C | An impolite word for police <br> officers | 0 | 1 | 0 |
    | D | Cast iron | 5 | 1 | 0 |
    | E | A barrier or a device with gas <br> and oil pipeline | 0 | 0 | 0 |
    | F | Engorge | 5 | 0 | 0 |
    | G | People crowd in dirty and <br> chaotic condition | 0 | 0 | 0 |
    | H | Give birth to a pig | 0 | 1 | 0 |
    | I | Use the pig device | 34 | 46 | 52 |
    | J | Proper nouns |  |  | 0 |

    "Pig" is often used in proper nouns as a name of a place and an album. Additionally, the meaning that refers to a person is also used frequently in authentic English.

    When using "pig" as a metaphor to refer to people, it also relative high frequency. It can refer to greedy or overeaten people, and it also can refer to untidy, unpleasant and pig like people. Example from COCA:
    (6) ...you suppose this would have on Nicole? That is, being called a fat pig by her husband while she's pregnant? You know, what effect would that...

    When "pig" is a noun, it also can refer to cast iron. The full of this meaning is pig iron. Example from COCA:
    (7) ...was the only thing anybody wanted to talk about. Assembling a hunk of obsolete pig iron had become a bigger conversation topic than the new Corvette Z06. We auto...

    The verb usage of "pig" - engorge - has 5 examples in 500 selected sentences in COCA. It always collocates with the preposition "out". It uses the metaphorical meaning of "pig". Two example sentences:
    (8) Or barter with the merchants at the South Street farmers market, then pig out at Pat's King of Steaks, ...

    Furthermore, in spoken English and academic English, the most frequently used meaning is the literal meaning. The most difference is the meaning refers to a person. Spoken English has higher using frequency of the meaning referring to a person. Furthermore, the semantic usage in spoken English is more diverse, although the frequency of each meaning except for literal meaning is low.

    The spoken English had more diversity in the usage of different meanings, because some usages are too casual or informal which are not appropriate for academic English. In
    addition, academic English had less frequency in the meanings referring to people, which is because using "pig" to represent a person is not polite and formal. Therefore, academic English tried to avoid this usage.

    ### 4.2.2 Collocation

    

    Fig. 4. The collocation map of "pig"
    The box A, B, and C contains words that are before the word "pig". The box D contains words that are after the word "pig".

    The box A includes some nouns and adjectives that collocate with pig to represent different types of pigs or animals.

    The box B shows some adjectives used to modify pig, such as the color, the figure. These collocations also refer to the literal meaning of "pig".

    The box C includes some adjectives that collocate with pig to express certain types of people. These collocations refer to the metaphorical meaning of pig - unpleasant people.

    The box D includes nouns that always collocate with pig expressing places that pigs live in. They refer to the literal meaning of "pig".
    4.2.3 Idiom Among the five idioms listed in two dictionaries, "in pig" and "pig in a poke" are two idioms that are used relative frequently in authentic English.

    Table 5. Idioms of "pig"

    | Idioms | Frequency |
    | :--- | :---: |
    | In pig | 38 |
    | In a pig's eye | 17 |
    | Make a pig's ear of something | 0 |
    | Pig in a poke | 31 |
    | Pig might fly | 0 |

    In pig "In pig" means pregnant. It always refers to a sow. It could be the metaphor of one of the meaning of "pig": give birth to a pig. The sentence from COCA with the idioms "in pig".
    (9) The first indication that a sow is 'in pig' is failing to come back in season after being mated.

    Pig in a poke "Pig in a poke" refers to something that you bought without careful observation and that is less valuable. The example sentences from COCA:
    (10) ... prosecutors will tell you is they don't want to buy a pig in a poke. They want to know exactly what they're going to get if, indeed ...

    ### 4.3 Dog

    ### 4.3.1 Meaning

    Table 6. The Meaning Category of "dog"

    |  | Meaning | Frequency <br> in 500 <br> sentences | Frequency in <br> spoken <br> English | Frequency in <br> academic <br> English |
    | :--- | :--- | :---: | :---: | :---: |
    | A1 | Animal (dog) - literal meaning | 469 | 272 | 244 |
    | A2 | Male animals | 0 | 13 | 5 |
    | B | A sport of racing greyhound | 0 | 0 | 0 |
    | C1 | A reprehensible, contemptible, <br> dishonest man | 0 | 0 | 0 |
    | C2 | An offensive and impolite word <br> for unattractive women | 0 | 1 | 0 |
    | C3 | A playful term for a person | 1 | 5 | 0 |
    | C4 | A wretched person because of <br> harsh treatment | 0 | 1 | 1 |
    | C5 | A betrayer | 0 | 0 | 0 |
    | D | Something with poor quality | 0 | 1 | 0 |
    | E | Feet | 0 | 0 | 0 |
    | F | A type of gripping device | 0 | 0 | 0 |
    | G | Follow (someone) all the time | 2 | 1 | 0 |
    | H | Behave in a lazy way | 1 | 1 | 0 |
    | I | Grip | 0 | 0 | 0 |
    | J | Collocations, slangs, and idioms | 12 | 2 | 17 |
    | K | Proper nouns | 15 | 3 | 33 |

    Table 6 suggests that the literal meaning is the most frequently used meaning, although there are many other meanings. "Dog" is also used frequently as a proper noun.

    For the collocation, slang, and idiom, "hot dog" is the most frequent usage. "Dog days" also has relative high frequency which refers to the hot period in summer.

    When referring to verbs, "dog" has three meanings, but the meanings of "follow (someone) all the time" and "behave in a lazy way" have examples in 500 selected sentences. An example from COCA:
    (11) ...his top aides have been convicted of corruption. Allegations of cocaine use began to dog Barry after he made a 1981 visit to a topless club.

    Although there are five meanings that refer to a person, only the meaning of "a playful term for a person" occurs in the 500 selected sentences. There is only one example of this meaning:
    (12) ...for him and I certainly had plenty of temptations. I bet you did you dog. But was I happier then? No. " So he wasn't even --...

    Moreover, the literal meaning of "dog" is the most frequently used meaning in both spoken English and academic English. The difference is that spoken English is more diverse in the usage of different meanings. Moreover, academic English has higher frequency in collocations, slangs, idioms and proper nouns.

    The reason that academic English had less diversity is that academic English should be more formal and more academic. Therefore, academic English avoids some informal usages. Furthermore, spoken English may use pronouns to represent proper nouns, thus spoken English had less frequency in proper nouns.

    ### 4.3.2 Collocation

    

    Fig. 5. The collocation map of "dog"
    The box A, B, C, D, and E contains words that are before the word "dog". The box F and G contains words that are after the word "dog".

    The box A shows some nouns that collocate with dog to represent different types of dogs.

    The box B shows some verbs that collocate with dog, representing human actions on dogs.

    The box C shows some adjectives used to modify dog.
    The box D shows some adjectives that collocate with dog to express certain types of people.

    The box E shows some words that collocate with dog, representing some types of food or drink.

    The box F shows nouns collocation with dog and representing accessories that are attached to dogs.

    The box G shows denoting-person nouns collocating with dog and represent a person who control or own dogs
    4.3.3 Idiom According to Longman Dictionary of Contemporary English and Oxford Advanced Learners Dictionary, "dog" has seven common idioms. "A dog's life" and "the dogs of war" are the most frequent used idioms

    Tabe 7. Idioms of "dog"

    | Idioms | Frequency |
    | :--- | :--- |
    | A dog's life | 42 |
    | A dog's breakfast/ dinner | 8 |
    | Like a dog with two tails | 2 |
    | Every dog has its day | 5 |
    | Put on the dog | 10 |
    | The dogs of war | 18 |
    | Not a dog's chance | 0 |

    A dog's life A dog's life refers to a life which is hard, miserable and unpleasant. The metaphor is that a person lives a dog-like life that has low life quality. The sentence from COCA:
    (13) ... "my mother said. " Very sad. " \#" It's a dog's life!" I said. "Remember how you could never throw away...

    The dogs of war The dogs of war means the serious damage resulting from armed conflicts. The sentence from COCA:
    (14) ...Syria, will now have to return to put down the havoc caused by the dogs of war they have let slip.

    ### 4.4 Snake

    4.4.1 Meaning Table 8 suggests that the literal meaning is the most frequently used meaning among all of six meanings.

    Table 8. The Meaning Category of "snake"

    |  | Meaning | Frequency <br> in 500 <br> sentences | Frequency in <br> spoken English | Frequency in <br> academic <br> English |
    | :--- | :--- | :---: | :---: | :---: |
    | A | Animal | 415 | 270 | 226 |
    | B | An untruthful and deceitful <br> person | 9 | 6 | 1 |
    | C | An exchange rate system | 0 | 0 | 0 |
    | D | A type of wire used for cleaning <br> pipe cleaning | 0 | 2 | 0 |
    | E | Move in a twisty way, like a <br> snake | 21 | 4 | 4 |
    | F | Proper nouns | 47 | 18 | 69 |

    "Snake" is also used frequently as a proper noun. The meaning refers to a person and the verb usages have relative high frequency in authentic English.

    The usage of verb had relative high frequency. It uses the characteristic of the snake, which is sinuous and twisting. In addition, it always associates with the preposition "around", "through". An example from COCA:
    (15) ...Southern sections snake through Big Apple bedroom communities, long stretches follow road that skirts private landholdings...

    When using "snake" as a metaphor to refer to people, it also relative high frequency. It can refer to untruthful and deceitful people. An example from COCA:
    (16) ... to the law of Placa. People didn't trust him; he's a snake. " \# To make sense of the wrenching crisis at the Diocese of Rockville

    The reason that academic English had less diversity is that academic English should be more formal and more academic. Spoken English may use pronouns to represent proper nouns, thus spoken English had less frequency in proper nouns.

    Moreover, the literal meaning is the most frequently used meaning in both spoken English and academic English. In addition, both of them do not include the usage of the "exchange rate system". The difference is that spoken English is more diverse in the usage of different meanings. Moreover, academic English has higher frequency in proper nouns.

    ### 4.4.2 Collocation

    

    Fig. 6. The collocation map of "snake"
    Box A, B, and C contains words that are before the word "snake". Box D and E contains words that are after the word "snake".

    Box A shows some nouns that collocate with snake to represent different types of snakes. Box B shows some adjectives used to modify snake.
    The box C shows some verbs that collocate with snake, representing human actions on snakes.

    Box C and D both are verbs that collocate with "snake". The difference is that the actions in box C are conducted by people, while the actions in box D are conducted by snake itself.There are two sentences from COCA.

    Box D includes verbs that always collocate with snake.
    Box E shows denoting-person nouns collocating with snake. Their relationship mainly is controlling and being controlled, and selling and being sold.
    4.4.3 Idiom In Longman Dictionary of Contemporary English and Oxford Advanced Learners Dictionary, there is only one idiom of "snake", which is "snake in the grass". This idiom has 21 using frequency in COCA, which is a relative frequently used idiom.

    Table 9. Idioms of "snake"

    | Idioms | Frequency |
    | :--- | :--- |
    | Snake in the grass | 21 |

    "Snake in the grass" refers to hidden enemy, hidden danger or a person who is not trustworthy. It uses snake as a metaphor of danger and enemy. The example sentence from COCA:
    (17) ... you know, everybody is pointing to Jay Leno as, you know, the snake in the grass. GROSS: Yeah, as being like selfish, you know ...

    ## 5 Conclusion

    Animal words play an important role in language. This research investigated the using of animal words from three aspects: meaning, collocation, and idioms. Four animal words were selected to be analyzed: monkey, pig, dog, and snake. The research used corpus based method. Corpus of Contemporary American English (COCA), Oxford Advanced Learners Dictionary and Longman dictionary of Contemporary English were the instruments that were used in this research. All of the information was from dictionaries and COCA. All of the example sentences were randomly selected from COCA.

    The research suggested that although there were a large amount of meanings of animal words, the most frequent usage is the literal meaning which refers to the animal. Additionally, there were differences between spoken English and academic English. Generally, spoken English had more diversity in the using of different meanings. Academic English had higher frequency in the using of collocations, slangs, idioms and proper nouns. Spoken English had higher frequency in the using of the meanings referring to a person. Moreover, the collocation of animal words always had four types: the nouns or adjectives that associated with animal words to represent certain types of animals; the verbs that were always associated with animal words; the adjectives that were used to modify animals; the denoting-person nouns. Lastly, for the aspect of idioms, each word had idioms that were used to depict human behaviors or human attributes.

    This research provides pedagogical implications on classroom teaching. Firstly, the literal meaning of animal words is most frequent, and animal words have massive metaphorical meanings and other meanings. Therefore, teachers need to focus on the teaching of literal meaning of animal words. At the same time, teachers can teach some metaphorical meanings to enrich students' language knowledge. However, the expansion should depend on students' levels of language proficiency. Secondly, teachers can teach students the frequent collocations of animal words to avoid the errors of language usage, which is always a difficulty for second language learners. Lastly, teachers can teach several animal idioms to students. Second language learners always cannot understand idioms completely because of cultural difference. Learning idioms will help students to use English in a more authentic and natural way.

    There is limitation of this research. The scope of this research is a little bit small. Because of the word limit, there were only four animal words that were analyzed. Although each word had been researched thoroughly, four words may not have representativeness of the authentic using of animal words.

    It is recommended that further research could investigate the using of animal words in a larger scope, which is more representative. In addition, the research can involve more aspects of animal words, such as embodiment, instead of only focusing on meaning, collocation and idiom these three aspects.

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    # Unmarked Pre－Predicator Nominals in Chinese Clauses： What They Are and How to Label Them 

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    #### Abstract

    Subject and topic are two most frequently used terms of analyzing pre－ predicator nominals in Chinese，but they are problematic to define．Subject is the nominal that takes subjective case（i．e．nominative case）in Indo－European languages． Now that case is not used to differentiate different semantic roles in Chinese，there is actually no need to use subject in analyzing Chinese sentences．By dating back to the relationship between subject，case and semantic roles，the author attempts to analyze the semantic roles of unmarked pre－predicator clause elements in modern Chinese to replace subject and topic．The author discovers six unmarked pre－predicator nominals， namely subject（different from the traditional term linguists usually refer to），actor， patient，time，location，condition．


    Key words：Subject；Topic；Case；Semantic roles；Pre－predicator nominals

    ## 1 Introduction

    Unmarked pre－predicator nominals are the nominal phrases which are not introduced by adpositions or that are not marked by case markers or other markers placed before the predicator．The nominal phrases that do not have to be introduced by adpositions or marked by case markers or other markers are also included．To this day the two most frequently used terms in analysing unmarked pre－predicator nominals in Chinese clauses are subject and topic，which were introduced from western grammar into Chinese grammar in the late 19th century and in 1968 respectively（Ma Jianzhong 1898；Chao 1968）．

    As a grammatical term，subject was first brought into China by Ma Jianzhong（1898）in the late Qing Dynasty，though it was then called qici 起词 instead of zhuyu 主语．It was Li Jinxi（1924：13）who first translated subject into zhuyu 主语 and defined it as＂the word denoting entities such as people or thing＂．

    From then on，subject has become an indispensible term in analysing Chinese sentences． Chinese grammars seldom agree on what the subject is in a Chinese clause，and it seems that few have ever doubted the necessity of distinguishing the term＂subject＂in a syntactic analysis of a full Chinese clause or sentence．The most controversial sentence might be the following one：
    ［1］王冕

    | 王冕 | 七 岁 | 上 | 死了 | 父亲。 |
    | :--- | :--- | :--- | :--- | :--- |
    | Wangmian | qi sui | shang | si－le | fuqin． |
    | Wangmian | seven year | up | die－le | father． | When Wang Mian was seven years old，his father died．

    Xing Gongwan（1955），Zhang Qichun（1955），Ren Xueliang（1987），Guo Jiman（1990） and Yuan Yulin（1994）regard Wang Mian as subject．Cao Bohan（1956）maintains that Wang Mian is major subject and fuqin is minor subject．Cao Fengfu（1995）recognizes Wang Mian as the topic．Xu Jie $(1999,2001)$ thinks that［1］is transformed from the sentence＂死了王冕的父亲＂，in which the possessive determiner is raised as the subject．Pan Haihua \＆ Liang Hao（2002）regard Wang Mian as the subject．Pan Haihua \＆Han Jingquan（2005） put forward that Wang Mian is the topic instead of subject of［1］because it is located as the specifier of the complementizer phrase．And the subject of［1］is the specifier of the clause TP．It is an empty category called e，which could only be occupied by fuqin．Thus fuqin is eligible to take the nominative case and become the subject．Zhu Xingfan（2005）attempts to justify Wang Mian as the subject by positing that there is a light verb such as cunzai or fasheng lying between Wang Mian and si－le under the flamework of light verb theory．Shen Jiaxuan（2006）avoids to identify the subject in［1］．

    The reason why Chinese grammarians have divergent opinion on the same sentence is the lack of an agreed criterion to define subject．If they adopt the semantic criterion，which means the agent／actor should be the subject，Wang Mian is obviously not the subject．If the sequential criterion is used，Wang Mian is the subject．But it would be meaningless to distinguish subject and object．More importantly，there are many sentences which have two or more pre－predicator nominals in Chinese．Subjects in sentences like those are quite difficult to identify according to word order．Topic and subject belong to two different linguistic perspective．Thus，identifying Wang Mian as subject does not contradict with identifying Wang Mian as topic．Xu Liejiong \＆Liu Danqing（1998／2009）labels the pre－ predicator nominals as topic，subtopic，sub－subtopic and so forth，but it will still be of little help to learn to make grammatical Chinese sentences for foreigners．Furthermore，major subject and minor subject cannot solve the problem of defining subject either because subject is the person or thing that is predicated by the predicator and the predicator cannot predicate two things at the same time．Chen Ping（1994）makes out a sequential order of various semantic roles according to the prototypical agent features and argues that the nominal that has the most prototypical agent features should be subject．Similarly，Pan Haihua \＆Liang Hao（2002）concludes six constrains under the optimality theory and identifies subject as the nominal which violates the least constrains．However，Chinese native speakers seldom calculate those features or constrains discussed above when they speak．And subject would become a complicated term if such approaches are adopted． Assuming that fuqin is given the nominative case is not well－founded since the nouns and pronouns in modern Chinese do not have morphological changes representing case．Besides， by employing light verb theory，［1］is changed into another sentence in which the syntactic function of Wang Mian is also altered．

    By dating back to the relationship between subject，case and semantic roles，the author attempts to analyze unmarked pre－predicator nominals by means of semantic roles and generalizes the clause elements in terms of semantic roles in order to replace subject and topic．

    ## 2 Literature Review

    In traditional Indo－European grammars，case is a grammatical category that differentiates semantic roles performed by different morphological changes of nouns．According to Chenguohua（2015：102），there are five cases in old Greek，namely nominative，vocative， genitive，accusative and dative．There is also an ablative case in Latin．Nominative is the form of the word being predicated．Since the clause element which represents the predicated entity or thing is also called the subject and the nouns in English can only express the semantic role of genitive by adding＇－s＇apart from the nominative case，English grammar gradually abandons nominative case and names it subjective case instead．

    As for the relationship between case and other expressions in English，Jespersen（1924： 185）points out that＂Gradually，the purely concrete uses of the old cases came to be dropped＂．The reasons are as follows．Firstly，＂．．．chiefly because prepositions came into use， which indicated the local and other relations with greater precision than the less numerous cases had been able to do，and thus rendered these superfluous＂（ibid．）．Secondly，Jespersen （ibid．）argues，＂As time went on，the number of the old cases constantly dwindled， especially as a more regular word－order often sufficed to indicate the value of a word in the sentence．＂Thus，morphological changes in case were almost replaced by adpositions or expressed by word order．In other words，the semantic roles formerly expressed by case is now conveyed by adpositions and word order．

    Although case has been largely degenerated in English，while the English pronouns still distinguish subjective case，objective case and possessive case．Therefore，it is essential to distinguish subject，object and possessive determiner which respectively correspond to subjective case，objective case and possessive case in analyzing English sentences．Except for existential sentences，there is almost no controversy in identifying subject and object in English because of the morphological changes of subjective case and objective case of pronouns．

    Since the notion of subject has been introduced into Chinese grammar，it has always been a disputable term．The focus of the grammarians＇divergence is whether subject should be defined semantically or sequentially．There are three viewpoints．One is that subject should be defined semantically．The second is that subject is supposed to be defined according to word order．The third point of view takes both criteria into consideration．Thus， grammarians have quite different ideas on the identification of the subject in the same sentence．The clause elements underlined below are identified by different scholars as the subject in each sentence：

    | 他 | 什么 | 都 | 知道。 |
    | :--- | :--- | :--- | :--- |
    | ta | shenme | dou | zhidao． |
    | he | everything | all | know． |

    ［3］

    | 这个 问题， | 我们 | 还要 | 仔细 | 研究。 |
    | :--- | :--- | :--- | :--- | :--- |
    | zhege wenti， | women | hai yao | zixi yanjiu． |  |
    | this question， | we still need | to carefully study． |  |  |

    As for this question，we still need to study carefully．

    | ［4］ | 哪儿 我也 不 去。 |
    | :--- | :--- | :--- |
    | na－er | wo ye bu qu． |
    | anywhere | I also not go． |
    | I will not go to anywhere． |  |

    ［5］钱 也花完了，精力 也 绞尽了。
    qian ye hua wan－le，$\overline{\text { jingli }}$ ye jiaojin－le．
    money also used up，energy also exhausted。
    Money has been used up，and energy has been exhausted．
    ［6］台 台 至 $\quad$ 坐着 $\quad \begin{aligned} & \text { 主席团。 } \\ & \text { zhang－zhe } \\ & \text { zhuxituan }\end{aligned}$
    stage up sit－zhe presidium．
    The presidium／committee was on the stage．
    ［7］下 雨了。
    xia yu－le．
    down rain－le．
    It rains．
    ［8］脸 上 挂着 二条条 的眼泪。
    lian shang gua－zhe yi tiaotioa de yanlei．
    face up hang－zhe one strips DE tears．
    The face is hung with lines of tears．
    ［9］这 人 年纪 不小。
    zhe ren nianji bu xiao．
    this man age not small．
    The man is not young．
    ［10］ $\begin{array}{llll}\text { 二锅 } & \text { 饭 } & \text { 吃 } & \text { 三十个 个 人。 } \\ \text { yi guo } & \text { fan } & \text { chi } & \text { sanshi ge ren．}\end{array}$
    one pot meal eat thirty man．
    A pot of food can feed thirty men．

    The representative of the first viewpoint is Li Jinxi（1924）．He holds that the subject is the clause element whose semantic role is the actor．Thus，ta，women and $y u$ are subjects in ［2］，［3］and［7］．

    The second point of view is supported by Xing Gongwan（1955：44－47）and Zhang Zhigong（1953）．They argue that the nominal element before the predicator is the subject． Therefore，the sentence－initial nominal elements Wang Mian，qian，jingli and taishang in ［1］，［5］and［6］are the subjects．

    Grammarians such as Lü Jiping（1955：10－20），Xu Zhonghua（1955：37－40），Li Jinxi （1955：60－75），Cen Qixiang（1955：32－36），Zhang Qichun（1955：51），Lü Shuxiang（1979： 61－64）and Ren Xueliang（1987：138），who hold the last opinion，waver between the two criteria discussed above．Chen Fan（1955：30）points out，＂Where it is appropriate to adopt the semantic method，they use the semantic one；where it is reasonable to use word order， they use the word order．＂On one hand，they regard $t a$ and wo as subjects in［2］and［4］ according to their semantic roles．On the other hand，they treat qian and jingli as the subject according to its word order when there is no actor in［5］．

    The three criteria shown above are all problematic．Firstly，the semantic approach cannot apply to many Chinese sentences in which the pre－predicator nominal elements are neither actors nor patients．Secondly，the criterion of word order cannot help distinguish subject and object in Chinese since there are often two or more nominal elements before or after the predicator，as the case in［2］，［3］，［4］，［9］．Thirdly，a grammatical term should be defined according to one criterion．It is illogical and troublesome to employ both criteria．

    Researchers who advocate structuralism（Ding Shengshu et al．1961；Chao 1968；Zhu Dexi 1980，1982；Zhang Bin 2010）put forward major subject and minor subject in order to explain the cases of［2］，［3］and［9］．But it will be ungrammatical if there are two subjects in a sentence．Moreover，the term Zhuwei－predicator is not reasonable since subject cannot be a part of a predicator．

    Several scholars（Fillmore 1968；Shen Xiaolong 1987；Comrie 1989；Chen Naochong 1993；Van Valin 2005）doubt the necessity of subject to analyze Chinese．Fillmore（1968） indicates＂．．and in which such concepts as＇subject＇and＇indirect object＇are missing．The latter are regarded as proper only to the surface structure of some（but possibly not all） languages．＂Comrie（1989）maintains that：＂We are not committed a priori to the view that subject is a necessary descriptive category in the grammar of every language：there may well be languages where it is not appropriate，though equally there are languages（including English）where it is appropriate．＂Similarly，Van Valin（2005）argues：＂Grammatical relations like subject and direct object are not universal and cannot be taken as the basis for adequate grammatical theories＂．In order to replace subject and object，he creates a new term Privileged Syntactic Argument（PSA for short）．The breakthrough should give the credit to his deep concern in language typology．Van Valin（2014：588）points out，＂PSAs may be categorized functionally as controllers or pivots．Pivots are canonically the missing argument in a construction，while controllers prototypically supply the interpretation for a pivot．＂Analyzing a missing element may not make sense since it cannot be added， otherwise the sentence will become ungrammatical，as the case of＊［11b］．

    | $[11] \mathrm{a}$. | 我 | 劝 她 去 | 上学。 |  |
    | ---: | :--- | :--- | :--- | :--- |
    |  | wo | quan ta | qu | shangxue． |
    |  | I | persuade she go | school． |  |
    |  | I persuaded her to go to school． |  |  |  |


    | ＊b． | 我 | 劝 | 她 | 她 | 去 |
    | :--- | :--- | :--- | :--- | :--- | :--- |
    | wo 学。 |  |  |  |  |  |
    | I | quan | ta | ta | qu | shangxue． |
    | I | persuade she | she | go | school． |  |
    |  |  |  |  |  |  |
    | I persuaded her she to go to school． |  |  |  |  |  |

    Besides，it is quite hard to determine which argument the pivot is in sentence such as［12］ because the person who buys tofu is uncertain．

    | 一文 钱 买 | 豆腐，能 | 吃 | 三天 |
    | :--- | :--- | :--- | :--- | :--- | :--- |
    | yi wen qian mai | dofu，neng chi | san tian． |  |
    | yi wen money buy | dofu，can | eat | three day． |
    | The tofu that costs yi wen | is enough to eat for three days． |  |  |

    Topic is another term in analyzing unmarked pre－predicator nominals．It was Chao Yuan－ ren who first introduced topic in the analysis of Chinese sentences（Xu Liejiong \＆Liu Danqing 1998／2009）．Chao（1968：45）maintains：＂The grammatical meaning of subject and predicate in a Chinese sentence is topic and comment，rather than actor and action．＂ Afterwards，Li \＆Thompson（1976）have proposed that Chinese is topic－prominent．Since then，the study of topic has become a heated discussion in Chinese grammar．Cao Fengfu （1990／2005：137）attempts to identify what topic is in Chinese from a functional approach． According to Cao Fengfu（ibid．），a topic can be subject，direct object，indirect object and adjunct．The brand－new approach opens another door to the study of subject in Chinese， but he fails to clarify the relationship between subject and topic in Chinese．Actually， identifying the initial nominal element as the topic of a sentence does not mean it cannot be the subject or object．Therefore，the introduction of topic is of little help in defining what subject is in Chinese．

    After realizing that subject can not only represent actor，some researchers began probing into other semantic roles of subject．Ding Shengshu et al．（1961）do not define subject． Instead，they list various kinds of semantic roles subject could perform．They say that： ＂Subject can be agent，patient or the object being stated by the predicator＂．Fillmore（1968： 21）defines case as＂the underlying syntactic－semantic relationship＂in his Case Grammar． He（1968，1971，1977）lists altogether thirteen cases：agentive，instrumental，factitive， locative，objective，experiencer，source，go al，time，path，benefactive，comitative，essive／ translative．Tang Tingchi（1977）distinguishes eight kinds of semantic roles of subject．Zhu Dexi（1982：95－124）distinguishes six kinds of subject：time，location，patient，dative， instrument and predicative．Meng Cong et al．（1987）differentiates fourteen roles．Yuan Yulin（2002：10－22）distinguishes seventeen kinds of thematic roles．In Role and Reference Grammar，Van Valin（2005：55）posits two types of semantic roles，namely semantic macroroles and specific semantic relations．Semantic macroroles are actor and undergoer． 39 specific semantic roles are defined in terms of argument positions in state and activity layered structures．

    The discoveries above greatly expand the semantic roles of subject，but those descriptions could not be used to define what subject is．In fact，the biggest problem lies in the formal criterion of identifying semantic roles．From the perspective of predicator types， Zhu Xiaoli（2014）annotates the semantic roles of obligatory clause elements in Good English 1－3，which is suitable for 4－6 year－old children to read，and their Chinese versions． She also distinguishes 28 semantic roles requested by different kinds of predicators． Compared with other researchers，Zhu Xiaoli（2014）has moved the study much further． However，given that the corpora she studies are simple and incomprehensive and the Chinese corpus are translated，her research results may not be completely suitable to analyze the semantic roles of Chinese．

    ## 3 Unmarked Pre－Predicator Nominals

    The paper holds that the semantic roles of unmarked non－predicator clause elements in modern Chinese deserves much more attention．Apart from the formal marks such as adpositions and 地 de＇modifier marker＇，the semantic roles in modern Chinese are mainly expressed by word order．The study focuses on the semantic roles that cannot be or do not have to be introduced by adpostions and other markers in modern Chinese．Since the marked non－predicator clause elements are easy to identify and learn，they will not be discussed．

    Before analyzing semantic roles of pre－predicator nominals，it is essential to cut a sentence into clause elements．Among the clause elements，predicator can be in the first place identified．By referring to the approach of defining predicator in English（Chen Guohua 2016：75－76），the paper attempts to define predicator in Chinese from the perspectives of form，function and meaning．Functionally，the predicator is the clause element which predicates an object or makes requests．It is undertaken by verbal phrases whose head are verbs．Semantically，predicator expresses the speaker＇s subjective attitude or will．The subjectivity is formally realized by finiteness markers．Predicators with finiteness markers are called finite predicators，while those without finiteness markers are non－finite predicators．It can be said that the predicator is the only clause element which can be defined formally in modern Chinese．

    The classification of semantic roles falls into the category of semantics．Researchers are divergent in the number of semantic roles because they fail to discover the formal criterion． The paper puts forward that interrogation is an effective way to help identify what semantic role a clause element is．By interrogation，semantic roles can be unambiguous，such as yiluxianhua in［13］：
    ［13］此后，赵志坚 二路鲜花，成了 全国 劳模。 cihou，zhaozhijian yi lu xian hua，cheng－le quan guo laomo． afterwards，Zhaozhijian one way fresh flowers，become－le all nation work model． Afterwards，Zhaozhijian became the national model worker with flowers and applauses all the way．
    ＂In what way＂or＂how＂should be used to interrogate yiluxianhua，thus its semantic role is manner．

    By referring to Zhu Xiaoli＇s（2014）summary of semantic roles and with the help of interrogation，the paper differentiates 18 unmarked pre－predicator semantic roles，among which only subject cannot be introduced by adpositions or other formal markers．The other 17 semantic roles are actor，agent，cognizer，perceiver，speaker，possessor，patient，result， time，location，manner，instrument，material，condition，range，aspect and topic，which do not have to be introduced by adpositions or other markers．They can be summarized into six pre－predicator nominals：subject，actor，patient，time，location and condition．

    ## 3．1 Subject

    Subject ${ }^{1}$ denotes the persons or things to be judged and it is put before the copular verb． And the identity，attribute and state of the subject are called Complement，which is situated after the copular verb．For example：
    ［14］他是个演员。
    ta shi ge yanyuan．
    he be a actor．
    He is an actor．
    ［15］他很 热。
    ta hen re．
    he very hot．
    He is hot．

    Apart from shi，there are other copular verbs such as jiao，xiang，cheng and shu．
    ［16］他叫张三。
    ta jiao zhangsan．
    he call Zhangsan．
    He is called Zhangsan．
    ［17］她的脸 像 个 红 苹果 ta de lian xiang ge hong pingguo． she de face xiang a red apple． Her face is like a red apple．
    ［18］他成了 二位 名人。
    ta cheng－le yi wei mingren．
    he become－LE a
    celebrity．
    He became a celebrity．
    ［19］他属 马。
    ta she ma．
    he belong horse．
    He was born in the year of horse．

    ## 3．2 Actor

    Actor denotes the person or thing which performs the action expressed by the verb．The action in question can involve another entity either directly or indirectly．The default word order of actor is before the predicator．Actor，as a general role，consists of agent，cognizer， perceiver，speaker and possessor．The action can be physical，such as xiaoshi in［20］：


    ［20］他消失 在了 远方。
    ta xiaoshi zai－le yuanfang．
    he disappear be－LE distance．
    He disappeared in the distance．
    It can be mental，such as gaoxing in［21］：
    ［21］他很高兴。
    ta hen gaoxing．
    ta very happy．
    He is very happy．
    It can be perceptive，such as lei in［22］：
    ［22］他累了。
    ta lei－le．
    he tired－LE．
    He was tired．
    It can also be colloquial，such as $k u$ in［23］：
    ［23］他哭了。
    ta ku－le．
    he cry－LE．
    He cried．

    ## 3．3 Patient

    Patient and agent form a pair of opposite concepts．Agent denotes the performer of the action expressed by an action verb and patient refers to the person or thing that is directly affected by the action．The default word order of agent is before the predicator and that of patient is after the predicator．The action can be physical，such as［24］：

    > | > 爸爸 摆摆 手, | 又 喝了 | 二杯 |
    | :--- | :---: | :---: |
    | >  baba 酒。 |  |  |
    | > father wave hand, | you he-le | again drink-LE |
    | > Dad | a cup | wine. |
    | > Dad waved his hands, and drank a cup of wine. > |  |  |

    It can be a mental action，in which the cognizer is the agent and the cognized is the patient， such as［25］：

    | ［25］ | 他认识到了 | 那珄 | 事 | 的重要性。 |
    | :---: | :---: | :---: | :---: | :---: |
    |  | ta renshidao－le | na jian | shi | de zhongyaoxing |
    |  | he realize－LE | that | thing | de importance． |
    |  | He realized the | portanc | of th |  |

    It can be a perceptive action，in which the perceiver is the agent and the perceived is the patient，such as［26］：
    ［26］他 看见了 二只 猴子。
    ta kanjian－le yi zhi $\overline{\text { houzi．}}$
    he see－LE a monkey．
    He saw a monkey．
    It can also colloquial，in which the speaker is the agent and the utterance is the patient，such as［27］：
    ［27］妈妈自豪 地 说：＂你真 棒！＂
    mama zihao de shuo：＂ni zhen bang！＂
    Mum proud de say：＂you very good！＂
    Mum said proudly：＂You are brilliant！＂

    Result of an action，in a broad sense，is also a patient，such as zhezuofangzi in［28］：
    ［28］这座 房子 他建好了。
    zhe zuo fangzi ta jianhao－le．
    this seat house he build－LE．
    The house has been finished by him．

    Possessor denotes the one who possesses someone or something and is placed before the predicator．Possessed refers to the persons or things that are possessed．It is usually located after the predicator．Possessed can be put before the predicator if it is marked by markers such as yiqie in［30］．For example：
    ［29］她从此 有了 二个 幸福 的家 ta congci you－le yige xingfu de jia． she afterwards have－LE a happy de family． Since then，she had a happy family．
    ［30］
    $\underline{\text { 他一切 }} \quad$ 都 有了。
    ta
    he everything $\quad$ dou you－le．
    He has had everything．

    ## 3．4 Time

    Time denotes the time of an action expressed by the verb．It can either be a point or a period of time．When time is put before the predicator，it do not have to be introduced by the adposition zai．For example：
    ［31］去年 他 结婚了。 qunian ta jiehun－le． last year he marry－LE． Last year he got married．

    ## 3．5 Location

    Location denotes the place where an action takes place，such as xuexiao in［32］：
    ［32］学校 来了 很多 人。
    xuexiao lai－le henduo ren． school come－LE many people．
    There came lots of people in the school．
    Location，in a broad sense，consists of three subcategories，namely range，aspect and topic． Range denotes the range of things or people which is acted as patient．That is to say，patient is a part of the nomimal phrase functioned as range．

    | 这些 | 书 | 他只 | 看了 两 本。 |
    | :--- | :--- | :--- | :--- | :--- |
    | zhexie | shu | ta zhi | kan－le liang ben． |
    | these | book | he only look－LE two． |  |
    | Among these books，he read only two． |  |  |  |

    Aspect denotes the aspect in which the action expressed by the verb is accomplished or realized，such as gangqin and shufa in［34］：

    | 钢琴 | 他 得了 第二， | 不过 | 书法 | 他 | 得了 第一。 |
    | :--- | :--- | :--- | :--- | :--- | :--- |
    | gangqin ta de－le dier， | buguo | shufa | ta | de－le diyi． |  |
    | piano he get－LE second，but | calligraphy | he | get－LE first． |  |  |

    Topic denotes the person or thing about which the action is performed，such as zhejianshi in［35］：

    | ［35］ | 这 件 事 他的处理 办法 我有 意见。 <br> zhe jian shi ta de chuli banfa wo you yijian． <br> this thing he de handle way I have disagreement． |
    | :--- | :--- | :--- | :--- | :--- |
    |  |  |
    | In regard to this，I disagree with his solution． |  |

    ## 3．6 Condition

    Condition denotes the condition under which the action expressed by the verb can be accomplished，such as qingtian in［36］：

    | 晴天 就 去， | $\frac{\text { 下 }}{}$ 雨 | 就 | 不 去了。 |
    | :--- | :--- | :--- | :--- |
    | qingtian jiu qu， | xia yu | jiu | bu qu－le． |
    | sunny day will go， | down rain | will | not go－LE． | If it is fine，we will go；if it rains，we will not go．

    Condition，in a broad sense，is made up of 4 subclasses，namely condition，manner， instrument and material．Manner denotes the way of an action expressed by the verb．When
    manner is placed before the predicator，adpositions are usually not needed，such as yikou in ［37］and yiluxianhua in［13］．

    | ［37］ | 他 二 |  |  |
    | :--- | :--- | :--- | :--- |
    | ta yi | 口 | 干了 | 这 杯 酒。 |
    | he one mouth | drink up－LE | zhe bei jiu． |  |
    | this glass wine． |  |  |  |

    Instrument refers to the tool used to accomplish the action expressed by the verb，such as yibayaoshi in［38］．
    $\left[\begin{array}{llllll}\text {［38］} & \text { 二把 } & \text { 钥匙 } & \text { 开 } & \text { 一把 } & \text { 锁。 } \\ & \begin{array}{l}\text { yi } \\ \text { one }\end{array} & \begin{array}{ll}\text { yaoshi } \\ \text { key }\end{array} & \begin{array}{l}\text { kai } \\ \text { open }\end{array} & \begin{array}{l}\text { yi ba } \\ \text { one }\end{array} & \text { suo．} \\ & \text { lock．}\end{array}\right.$ Different keys are used to open different locks．

    Similarly，material denotes the material used to perform the action expressed by the verb， such as butongdemianhua in［39］：
     different de cotton weave different de cloth． Different cotton makes different cloth．

    ## 4 Conclusion

    By dating back to the relation of subject，object，case and semantic roles，the author attempts to analyze the semantic roles of unmarked pre－predicator clause elements in modern Chinese and their sequential features so as to replace subject and topic．Thus，those controversial pre－predicator nominal elements will not have to be classified into subject， object or other clause elements．Using semantic roles will greatly enhance the accuracy of analyzing modern Chinese and settle down the long－standing problem of defining subject． Foreign Chinese learners can also benefit from the research and make up correct Chinese sentences．

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    # Cognitive Configurations of Adverse Events in Japanese, Chinese and English 

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    #### Abstract

    This paper aims at showing that different limitations to expressing adverse events in Japanese, Chinese and English are due to their different mental space configurations in terms of the Mental Space Theory (Fauconnier 1997). In Japanese, an adversative event constructs both the Base and the Viewpoint, from which the Focus with its effect is set up. Since the person who suffers is not originally involved in the event, the whole event including the agent needs to be presented in the indirect passives. Furthermore, in Chinese an independent Base is needed to provide some background knowledge. The negative result is the Viewpoint, from which the Focus is set up showing it brings trouble to somebody. If the elements in the Viewpoint and the Base are not linked to each other, a causative-resultative complement is used to show the causal relationship between the two events. When someone takes an action to avoid disadvantage for her/himself although it causes others trouble, the event she/he causes construct the Viewpoint and the person who suffers fades into the background, consequently the nominative subject needs to be silent. On the other hand, if the affected person does not participate in the verb's event, an independent Focus showing its result cannot be set up in English. That is, Base, Viewpoint and Focus are fused into one only showing the event and if its result needs to be expressed, a new mental space is set up.


    Keywords: indirect passive, adverse event, mental space configuration

    ## 1 Introduction

    When someone is adversely affected by an event, an indirect passive form like (1a), (2a), (3a) is commonly used in Japanese. An indirect passive sentence is distinguished from a direct passive sentence in that the syntactic subject is not originally involved in the event denoted by the verb. However, this construction does not exist in English as shown in (1c), (2c), (3c) and it is restricted to several patterns in Chinese as shown in (1b), (2b), and (3b). Note that the transitive causative verb nònghuài 'break' in (1b) is simply passivized with its object diànnăo 'computer' remaining, while a causative-resultative de complement needs to be attached to the unergative intransitive verb $k \bar{u}$ 'cry' in (2b) and the nominative subject lăoshī 'teacher' should not appear in (3b).

    | (1) a. Japanese: | Watasi-wa otooto-ni pasokon-o kowas-are-ta. |  |
    | :--- | :--- | :--- | :--- |
    |  | I-TOP | brother-DAT computer-ACC break-PASS-PAST |
    |  | 'I was adversely affected by my brother's breaking the computer.' |  |

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    b. Chinese: Wǒ bèi dìdi nònghuài le diànnǎo.
    I PASS brother break PERF computer
    'I was adversely affected by my brother's breaking the computer.'
    c. English: * I was broken the computer by my brother.
    (2) a. Japanese: Kare-ga kanozyo-ni nak-are-ta.
    he-NOM her-DAT cry-PASS-PAST
    'He was adversely affected by her crying.'
    b. Chinese: Tā bèi tā k\overline{u}```

