



BUKU MATERI POKOK
MPB15104/3SKS/MODUL 1 - 9

APPLIED LINGUISTICS

Refnaldi

PENERBIT UNIVERSITAS TERBUKA

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Tinjauan Mata Kuliah

Mata kuliah Applied Linguistics (Linguistik Terapan) ini terdiri dari 9 modul (3 SKS). Mata kuliah ini berisi tentang konsep-konsep yang mendasari linguistik terapan (Applied Linguistics) dan contoh-contoh bagaimana konsep-konsep tersebut digunakan baik dalam pembelajaran bahasa, khususnya bahasa Inggris, dan di dalam bidang disiplin ilmu lainnya.

- Modul satu : membahas tentang hakikat dari linguistik terapan itu sendiri, dilanjutkan dengan topik-topik hangat dalam linguistik terapan, dan diakhiri dengan pembahasan tentang dampak linguistik terapan.
- Modul dua : membahas tentang pemerolehan bahasa kedua, yang secara khusus berisi tentang hakikat pemerolehan bahasa kedua, perbedaan-perbedaan pembelajar secara individu di dalam pemerolehan bahasa kedua, dan pendekatan-pendekatan linguistik di dalam pemerolehan bahasa kedua
- Modul tiga : membahas tentang pembelajaran bahasa Inggris untuk penutur bahasa lainnya, khususnya tentang pengenalan terhadap TESOL, bagaimana mengajarkan keterampilan berbahasa, dan bagaimana mengajarkan unsur-unsur kebahasaan.
- Modul empat : membahas secara khusus tentang deskripsi bahasa, yang mencakup fonetik dan fonologi, morfologi dan sintaksis, dan semantik
- Modul lima : membahas tentang penggunaan bahasa dan disiplin ilmu lainnya, khususnya tentang penggunaan bahasa dalam kehidupan sehari-hari, bahasa dalam pembelajaran, dan penggunaan bahasa untuk keperluan keahlian
- Modul enam : membahas tentang hakikat penerjemahan, pendekatan-pendekatan dalam penerjemahan, dan pelatihan dan penelitian penerjemahan
- Modul tujuh : mengkaji analisis wacana, khususnya konsep-konsep dasar analisis wacana, pendekatan-pendekatan dalam analisis wacana, dan tema-tema dalam analisis wacana kontemporer
- Modul delapan : mengkaji linguistik forensik, yang merupakan salah satu bidang penggunaan bahasa untuk keahlian tertentu

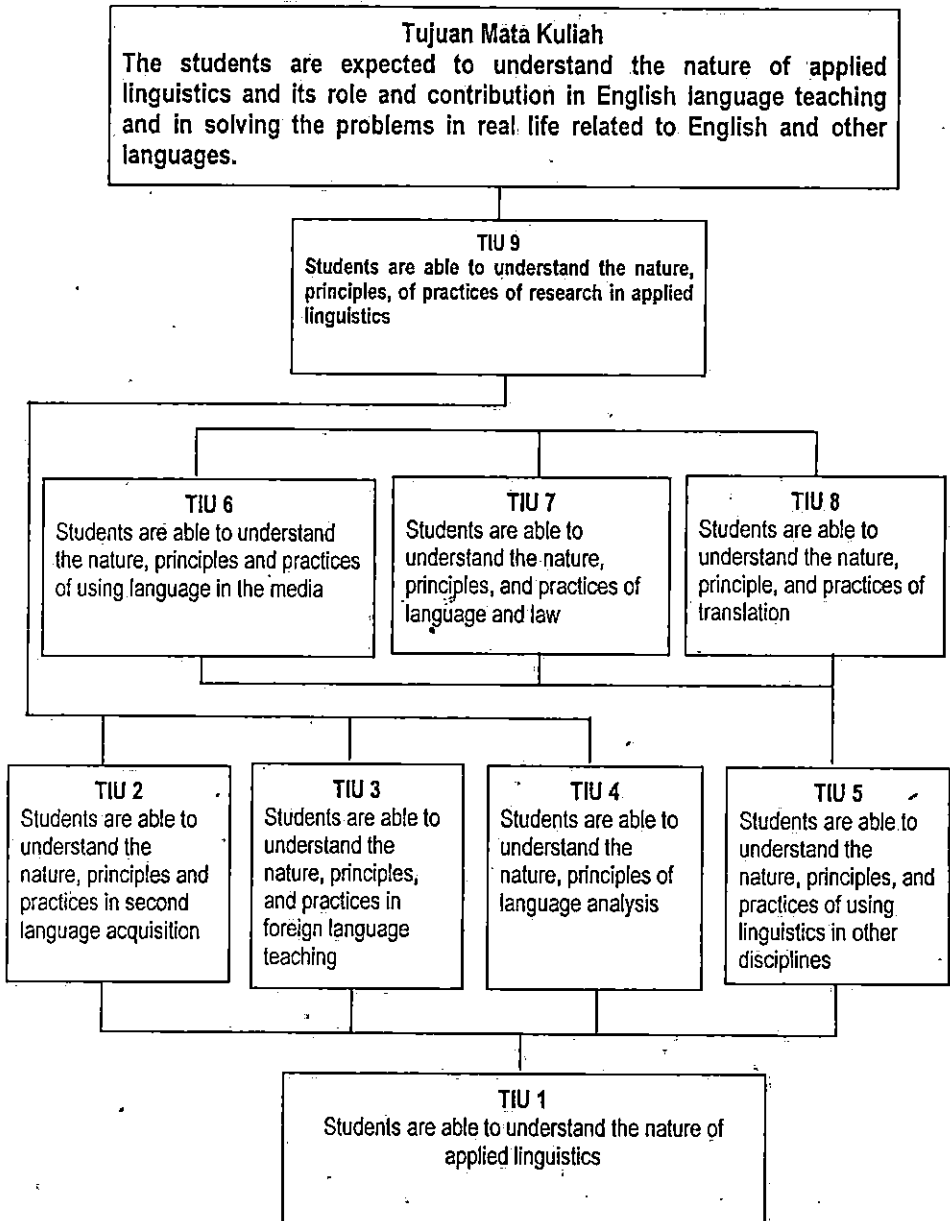
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Modul sembilan : membahas tentang penelitian dalam linguistik terapan, khususnya penelitian kuantitatif dalam linguistik terapan dan penelitian kualitatif dalam linguistik terapan

Pada setiap modul anda diberikan penjelasan berbagai teori dan contoh yang berkenaan dengan topik yang dibahas dan berbagai bentuk latihan untuk lebih memantapkan pemahaman anda tentang topik untuk setiap modul.

Selamat Belajar!!!!

Peta Kompetensi
Applied Linguistics/MPBI5104 - 3Sks



APPLIED LINGUISTICS: AN OVERVIEW

Dr. Refnaldi, M.Litt.

INTRODUCTION

Dear students! Welcome to module 1 concerning an overview of applied linguistics. This is the first of nine modules in Applied Linguistics. This module mainly deals with the nature of applied linguistics. As matter of fact, the materials and discussion on the nature of applied linguistics are too broad to pack in one module. Thus the explanation in this module focuses on three broad areas, namely the definition, topics in applied linguistics, and the impact of applied linguistics.

After finishing this module, you are kindly expected to be able to:

1. mention and argumentatively criticize the available definitions of applied linguistics;
2. formulate and state definition(s) of applied linguistics by using your own words;
3. differentiate between linguistics and applied linguistics
4. differentiate between applied linguistics and linguistics applied
5. mention and argumentatively discuss the topics of applied linguistics;
6. mention, argue, and verbally state the impact of applied linguistics on other fields.

To achieve the objectives academically, the presentation and explanation of learning materials, including the exercises of this module are elaborated in three units. Unit 1 is about the definitions of applied linguistics which is highly aimed at achieving objectives 1, 2, 3 and 4. Unit 2 deals with the topics of applied linguistics which leads you to successfully come to objective 5. Then, Unit 3 is talking about the impact of applied linguistics to other fields, such as like language teaching, forensic linguistics, translation studies, which leads you to have knowledge and inspiration related to objective 6. Please keep in your mind that the general objective of Module 1

is to serve you to be able to understand and have argumentations on the overview of applied linguistics.

As this subject belongs to content subject in linguistics, reading activities and academic discussion in groups or in pairs are highly suggested. Therefore, the following activities are kindly suggested to do in order to learn this module successfully.

1. Please read carefully the materials and explanation in each unit;
2. then, read further related references and information by means of independent learning and reading;
3. do not forget to add relevant examples and have discussion in groups or in pairs;
4. sometimes it is not easy to have better understanding on certain complex and complicated concepts. If it is so, read the materials again and you may have comparative discussion with your partners;
5. do all the exercises and compare your answers with those of your friends before consulting the key answers provided!

All right students, do your best and good luck!

UNIT 1

OF APPLIED LINGUISTICS

applied linguistics?
applied linguistics and linguistics applied

Linguistics for definitions of applied linguistics on the Internet
books, you may have been struck by how similar most of
the systematic study of language structure, the acquisition of first and
subsequent languages, the role of language in communication, and the status
of language as the product of particular cultures and other social groups'.
Second, Wikipedia.org defines applied linguistics as 'an interdisciplinary
field of linguistics' that covers "bilingualism and multilingualism; computer-
mediated communication (CMC), language assessment, literacies, contrastive
linguistics, sign linguistics, second language acquisition, pragmatics, forensic
analysis, language pedagogy, interlinguistics, stylistics, lexicography,
language planning and policy, interlinguistics, stylistics, pragmatics can be
linguistics and translation'. A typical definition of Applied Linguistics
found on the website of the International Association for Applied Linguistics
(AILA), the leading professional organization in the field. According to
AILA: Applied linguistics is 'an interdisciplinary field of research and practice
dealing with practical problems of language and communication that can be
identified, analyzed or solved by applying available theories, methods or
results of Linguistics or by developing new theoretical and methodological
frameworks in linguistics to work on these problems.

The definition proposed in this paper covers areas like child language, second language acquisition, multilingualism, and language therapy. Linguistics (Richards & Rodgers, 2001) defines linguistics as 'the study of language and its use in communication'. Second, Oxford Advance Learner Dictionary defines linguistics as 'the study of language and its use in communication'. Next, Macmillan Dictionary.com defines linguistics as 'the study of language for its practical uses, for example in teaching or speech therapy'. Many textbooks on applied linguistics also provide the definition of applied linguistics. Corder (1973) in his phenomenal book entitles 'Introducing Applied Linguistics' states that "Applied linguistics is the utilization of the knowledge about the nature of language achieved by linguistic research for the improvement of the efficiency of some practical tasks in which language is a central component". Schmitt and Celce-Murcia offer the following definition of Applied Linguistics: 'Applied Linguistics is using what we know about (a) language, (b) how it is learned, and (c) how it is used, in order to achieve some purpose or solve some problem in the real world' (Schmitt & Celce-Murcia, 2002: 1). They point out that traditionally, the primary concerns of Applied Linguistics have been second language acquisition theory, second language pedagogy and the interface between the world, whether they be learners, teachers, supervisors, academics, lawyers, service providers, those who need social services, test takers, policy developers, dictionary makers, translators, or a whole range of business clients" (Grabe, 2002: 9).

Perhaps all of the above definitions are neatly encapsulated in the best-known and most frequently-cited definition of all, originally formulated by the eminent applied linguist Chris Brumfit (1995: 27) says that '[applied linguistics is] the theoretical and empirical investigation of real-

world problems in which language is a central issue'. Brumfit's useful and concise definition of applied linguistics is both widely accepted and widely quoted. Cook and North (2010: 1) say that as the broad definition it has a number of advantages. First, it makes applied linguistics different from other branches of linguistics by focusing its orientation towards language-related problems, and it implies that the work in applied linguistics can have some impact upon those problems, potentially influencing how decisions are made about them. Second, it is also general enough to encompass the many disparate activities and areas of enquiry that call themselves applied linguistics.

Several handbooks of applied linguistics also provide a wide variety of definitions related to applied linguistics. Simpson, the editor of *The Routledge Handbook of Applied Linguistics*, defines applied linguistics as "the academic field which connects knowledge about language to decision making in the real world . . . In this sense applied linguistics mediates between theory and practice" (Simpson, 2011: 1). Kaplan, in *The Oxford Handbook of Applied Linguistics*, says that "Applied linguistics is a difficult notion to define." He goes on to say that the Handbook does not talk about the definitive definition of the field. Thus, these two very recent handbooks provide a wealth of examples of work in applied linguistics, which help to demonstrate the difficulty the editors faced in constructing a usefully precise and inclusively accurate definition of the field.

Davies and Elder, editors of *The Handbook of Applied Linguistics* published by Blackwell, present a definition in concrete terms through multiple examples of the types of problems that applied linguists work on:

Applied linguistics is often said to be concerned with solving or at least ameliorating social problems involving language. The problems applied linguistics concerns itself with are likely to be: How can we teach languages better? How can we improve the training of translators and interpreters? How can we write a valid language examination? How can we evaluate a school bilingual program? How can we determine the literacy levels of a whole population? How can we helpfully discuss the language of a text? What advice can we offer a Ministry of Education on a proposal to introduce a new medium of instruction?

How can we compare the acquisition of a European and an Asian language? What advice should we give a defense lawyer on the authenticity of a police transcript of an interview with a suspect?

(Davies & Elder, 2004: 1)

When we pay attention to the above examples of questions we begin to realize that applied linguists address begin to rein in the “theory of everything.” In the questions one can see applied linguistics in terms of the areas of research it can encompass. At the same time, however, such questions because of their origin in everyday social practices may not reflect the academic and scholarly dimension of applied linguistics. One can easily find instances where someone offers an improvement for foreign language teaching, translator training, language-test development, and so forth, having no connection whatsoever to applied linguistics.

The definition of applied linguistics then needs to extend beyond the questions posed because, as Bygate pointed out, “apparently simple questions conceal matters of complexity and sensitivity, which on closer scrutiny raise more general issues, which also characterize the broader field of applied linguistics” (Bygate, 2004: 6). Bygate identified five main issues in the broader field including (a) evaluating the appropriateness of the granularity and perspective researchers use to specify a problem under investigation, (b) establishing trustworthiness of data interpretation, (c) creating an appropriate degree of collaboration between researcher and participants, (d) communicating research results to participants in a manner that allows for sufficient follow up, and (e) understanding the best relationship of theory and data collection and interpretation.

These issues underlie the discussion of language-related problems that readers find in the Encyclopedia. However, such issues stated generally can be said to underlie any social science more generally. To characterize applied linguistics, one needs to include explicitly the linguistic dimension of the field. The authors of *Mapping Applied Linguistics* accomplish this by defining applied linguistics as a mode of inquiry about language-related problems requiring consideration of “both the social and cognitive nature of language” (Hall, Smith, & Wicaksono, 2011: 19). Other ingredients of mode of inquiry are taking into account the needs of clients such as learners, test-score users, and businesses, being responsive to contextual factors affecting research, and engaging in collaboration in the design and evaluation of

findings and recommendations. In short, Hall, Smith, and Wicaksono see applied linguistics as a mode of inquiry engaged with real people and issues arising in a political environment where academic perspectives and research alone may or may not be important in conceptualizing problems and finding solutions. In such an environment, problem solvers must genuinely engage with local knowledge and practice in seeking solutions.

Based on all the definitions stated above, we can say that it is the belief that linguistics can offer insights and ways forward in the resolution of problems related to language in a wide variety of contexts that underlies the very existence of the discipline usually called applied linguistics. Applied linguists try to offer solutions to 'real-world problems in which language is a central issue' (Brumfit 1991:46), however tentative or 'implied' those solutions may be. What, then, might fall within the domain of typical applied linguistic problems? A list of such problems will certainly be wide-ranging and potentially endless, but might include the following:

1. A speech therapist sets out to investigate why a four-year-old child has failed to develop normal linguistics skills for a child of that age.
2. A teacher of English as a foreign language wonders why groups of learners sharing the same first language regularly make a particular grammatical mistake that learners from other language backgrounds do not.
3. An expert witness in a criminal case tries to solve the problem of who exactly instigated a crime, working only with statements made to the police.
4. An advertising copy writer searches for what would be the most effective use of language to target a particular social group in order to sell a product.
5. A mother-tongue teacher needs to know what potential employers consider important in terms of a school-leaver's ability to write reports or other business documents.
6. A historian wishes to understand the meanings of place-names in a particular geographical area and how they have changed over time.
7. A person constructing a language test for non-native speakers for entry into further education needs to know what the key linguistic or psycholinguistic indicators are of reading ability in a second or foreign language.

8. A literary scholar suspects that an anonymous work was in fact written by a very famous writer and looks for methods of investigating the hypothesis.
 9. A dictionary writer ponders over possible alternatives to an alphabetically organized dictionary.
 10. A computer programmer wrestles with the goal of trying to get a computer to process human speech or to get it to translate from one language into another.
 11. A group of civil servants are tasked with standardizing language usage in their country, or deciding major aspects of language planning policy that will affect millions of people.
 12. A body is set up to produce an international, agreed language for use by air-traffic controllers and pilots, or by marine pilots and ships' captains.
 13. A zoologist investigates the question whether monkeys have language similar to or quite distinct from human language and how it works.
 14. A medical sociologist sets out to understand better the changes that occur in people's use of language as they move into old age.
- (Cited from McCarthy, 2001: 1-2)

Look at the problem no. 2 in the above list. The problem is "A teacher of English as a foreign language wonders why groups of learners sharing the same first language regularly make a particular grammatical mistake that learners from other language backgrounds do not." In this case the teacher tries to understand why learners from the same language background are having difficulties with a particular grammatical structure in English. McCarthy (2001: 8) states that the teacher's potential recourse to linguistics is likely to involve different areas depending on what questions are asked. The following figure shows some questions asked by the teacher.

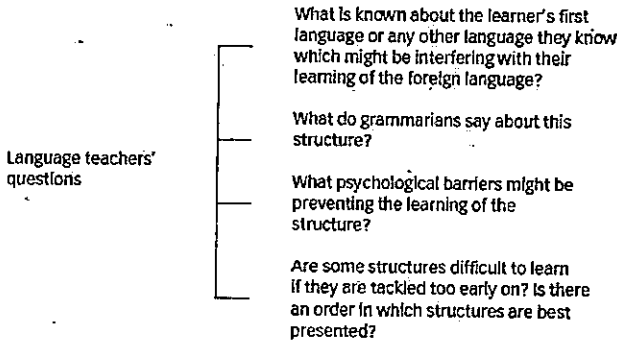


Figure 1.1: linguistic questions for the solution of a grammatical problem

If we consider another of the problems, that of the dictionary writer looking for alternatives to the alphabetical dictionary, McCarthy (2001: 8) says that the different set of questions that might be asked by the lexicographers is shown in the following figure.

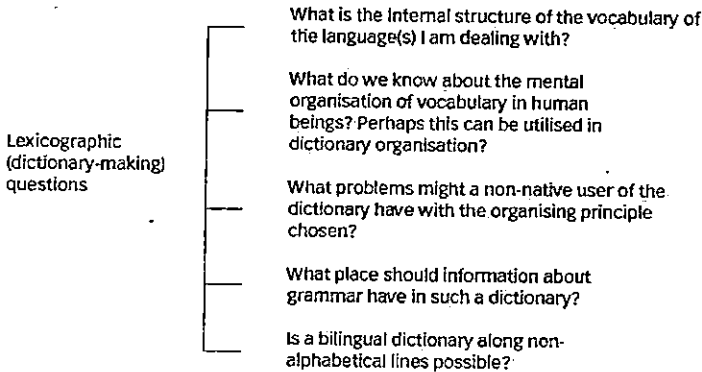


Figure 1.2: Linguistic questions for the solution of a lexicographic problem

The dictionary writer, like the language teacher, confronts the same basic questions: Can linguistics offer an approach or a solution to the problem at hand? If so, which branch(es) of linguistic study, and by what method(s)? How reliable is the information offered by linguists? How tenable are their theories and models of the language? How willing and ready are linguists to

contribute to this kind of practical undertaking? The title of a paper by McCawley (1986), 'What linguists might contribute to dictionary making if they could get their act together', strikes a slightly pessimistic tone in this regard. If there is conflicting information to be had from the findings of linguists, how does one best evaluate which approach is likely to be most useful? Can the non-linguist take on such a task, or is this a job for highly trained specialists?

Cook (2003: 5) provides some concrete examples of the kind of problems in language implicated and how they might be investigated. Here are a number of imaginary but representative situations in which decisions about language need to be taken.

- The head teacher of a London school is thinking of offering another foreign language in addition to French. The options are Chinese (the world's largest first language), Spanish (one of the world's largest and most widely distributed languages), or the Indian language Gujarati (the largest second language in the school and local community, and one which has approximately forty-three millions speakers worldwide). Which of these languages should be taught, and why?
- A business executive wants to learn Japanese in preparation for taking up a post in Tokyo. There are three courses available. Course One has a strong emphasis on learning to write. Course Two focuses on the spoken language, claiming that learning to write too early is demotivating. It does, however, explain the rules of Japanese grammar in English and use translation. Course Three's approach is 'natural', with no translation or explanation of rules, but only a series of communicative classroom activities and tasks. Which course is the best choice, and why?

(Cook, 2003: 5-6)

Furthermore, Cook (2003: 6) also says that in order to respond to the above language related problem, we can do several things. First, we can use our common sense and experience to evaluate the choice. However, if we recommend a particular course of action, we can obtain the benefit from more information derived from using the systematic approach, like doing needs analysis. Second, we can study what other people say on similar matters. It is also possible for us to make our own investigation by interviewing the parents and children in the school, do the observation, and

consult experts in language teaching. Thus, this process constitutes applied linguistics as an academic discipline.

Linguistics and Applied Linguistics

The role and relationship of the field of linguistics within applied linguistics has been variously interpreted in large part due to the ambiguity of the term applied linguistics. What is applied? Is it only linguistics? What is it applied to? Who is (not) an applied linguist? Is a degree in linguistics assumed? Or is it enough to be working with language-related issues?

We should perhaps first clarify that general linguistics is different from 'applied linguistics'. Hall, Smith and Wicaksono (2011: 41-42) say that General linguistics describes and theorizes about language and languages, and is an umbrella term for a number of sub-disciplines. General linguistics analyses the sound systems, grammars, vocabularies and discourse-organizing principles and practices of different languages, classifying various features, and identifying universal patterns as well as distinctive localized phenomena (this is the province of mainstream descriptive or theoretical linguistics). General linguistics also explores how these systems vary in time and space and context of use, and tries to describe and explain their acquisition and cognitive functioning.

Moreover, Hall, Smith and Wicaksono (2011: 32) say that Sociolinguistic research explores variation, by collecting and analyzing data from different groups of users and in different situations, including bi- and multilinguals. Psycholinguistic experiments try to tap into mind-internal processes of learning, memory and use of one or more languages. General linguists use a range of methods, including speakers' intuitions, language data collected from informants, non-linguistic data which correlates with language use (e.g. brain scans or translation times) and the analysis of massive computerized samples of language expression in writing and speech (corpus linguistics).

What is the relation between linguistics and applied linguistics? When we look at the term applied linguistics literally, we simply say that applied linguistics is the application of linguistic theories. This opinion is supported by Hall, Smith and Wicaksono (2011: 32) who state that many people might think that a definition of applied linguistics would follow on quite naturally as another sub-discipline of general linguistics, presumably like applied physics follows from pure physics, where, for example, the latter can be used

in seismology and engineering for the very practical purposes of earthquake detection and damage limitation. Hence, applied physics could be defined as 'physics applied for practical use'. By analogy, then, the term 'applied linguistics' should refer to the application of general linguistics to practical use in additional language teaching, translation, speech therapy, etc. And indeed the findings, descriptions and theoretical models of general linguistics were originally so applied (almost exclusively to language learning and teaching). But that's not what a good many present-day applied linguists believe their discipline is about, or what they themselves actually do.

Actually there are many opinions about the relationship between linguistics and applied linguistics. Bearns and Matsuda (2006: 4) say that there are three positions to explain their relationship. First, applied linguistics, because linguistics is part of its name, is linked to linguistics, which is sometimes referred to as the 'parent' discipline. The literal interpretation of applied linguistics as 'linguistics applied' reinforces this view. From this perspective, linguistics is the authoritative source for all that is needed to meet the aims of applied linguistics. The description of language and the concepts and terms offered by linguistic inquiry apply directly and unilaterally. The process or activity of applied linguistics is carried out by taking the known research and theory of linguistics and applying a linguistic analysis to specific contexts outside linguistics proper (e.g., language teaching, interpreting and translating, or lexicography).

The second view is known as 'autonomous applied linguistics.' Autonomous applied linguistics sees applied linguistics as at least semiautonomous, if not completely autonomous, from linguistics or any source discipline and allows that anyone can be an applied linguist. While acknowledging that linguistics may be part of applied linguistics, practitioners do not rely exclusively on linguistics.

A third view is known as the 'applied linguistics' position, so called because applied linguists are linguists engaged in application. It is distinguished from other views in its recognition that the knowledge and skills of a linguist are inadequate to the task of solving problems related to the uses and users of language. To address this inadequacy, the applied linguist calls upon the skills and knowledge of other professionals both inside and outside the academic world. Holders of this view more or less agree on what the field is, but the question of who can claim to be an applied linguist remains open.

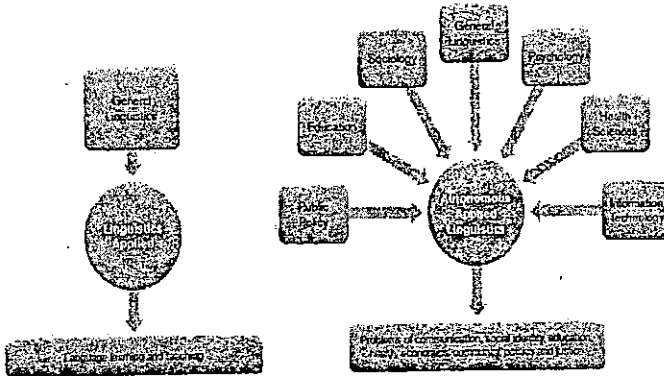
For many, applied linguistics is a sister (rather than a sub-) discipline of general linguistics. It is 'applied' in the 'applied physics' sense in that it deals with 'practical use', but it is not limited to applying the findings of general linguistics. Widdowson (2000) has called early conceptualizations of the field 'linguistics applied', placing the emphasis on (general) linguistics. For the moment, let's use the term 'autonomous applied linguistics' for the contrasting conceptualization of applied linguistics as a sister discipline to general linguistics. We should point out, though, that despite the impression given by the many pages dedicated to the relationship in applied linguistics books and journals, not all teachers and researchers in the area have been preoccupied with the field's legacy of association with general linguistics: indeed, many have no association with that field, don't see a sharp division between them and/or don't think it matters much. Brumfit (1995: 27) takes the focus of linguistics in his definition of the field as 'the theoretical and empirical investigation of real-world problems in which language is a central issue', and we think that's a sensible move.

Autonomous applied linguistics is a discipline concerned with the role language and languages play in perceived problems of communication, social identity, education, health, economics, politics and justice, and in the development of ways to remediate or resolve these problems. Scholars in autonomous applied linguistics address an increasingly broad range of language-related issues. Here's a random sample of four topics to illustrate the scope of the subject:

- the assessment of language proficiency and consequent social processes (e.g. identity construction) in sign language learners;
- the analysis of the social, professional and economic impact of IT resources for translators;
- the study of treatment and educational options for those minority language children who also happen to have language deficits;
- the development of literacy norms for use in dictionaries as part of actions to maintain endangered languages.

Because of this broad scope, autonomous applied linguistics draws on theory, findings and method from many other scholarly fields aside from general linguistics, including education, anthropology, sociology, public policy, health sciences, information technology and others. 'Autonomous applied linguistics' thus differs from 'linguistics applied' largely in terms of

the scope of its objectives, methods and inputs. The following figure shows the differences between these two terms.



(Hall, Smith, and Wicaksono, 2011:16)

Figure 1.3: Views of the relationship between linguistics and applied linguistics

It may be that a helpful way of distinguishing between what linguistics and applied linguistics are concerned with is to distinguish between theory and data. Kaplan proposed that applied linguistics is simply not in the business of developing new theories. Its concern is with new data. Looking forward, Kaplan suggests that applied linguists “are likely to move toward the analysis of new data, rather than continue to argue new theory” (Kaplan, 2002: 514). As such, the linguistics that will be of most use to the upcoming applied linguistics will be descriptive linguistics.

Davies and Elder (2004) distinguish linguistics and applied linguistics in terms of difference of orientation. While linguistics is primarily concerned with language in itself and with language problems in so far as they provide evidence for better language description or for teaching a linguistic theory, applied linguistics is interested in language problems for what they reveal about the role of language in people’s daily lives and whether intervention is either possible or desirable. What this means is that applied linguistics is as much concerned with context as with language and will therefore be likely to draw on disciplines other than linguistics, for example, anthropology, education, psychology. It also means that the language problems with which

applied linguistics concerns itself are often concerned with institutions, for example the school, the work-place, the law-court, the clinic.

What is 'Applied' about Applied Linguistics?

According to Groom and Littlemore (2011: 5), there are two contrasting types of applied subjects in higher education. The first type of applied subjects focuses very clearly on the practical applications of a single branch of academic knowledge. Applied mathematics, for example, studies how mathematical theories, concepts and processes can be used to solve practical problems in fields as diverse as engineering, computer science and economics. Similarly, applied geology investigates how academic knowledge produced in the 'pure' scientific field of geology can be exploited in practical areas such as mineral exploration, natural resource management and the construction industry.

The second type is the applied subjects that have no 'pure' or 'theoretical' equivalents, and focus instead on a single (although often very broad) practical domain (Groom and Littlemore, 2011: 6). An example of the type is civil engineering. Civil engineering focuses on problems, questions and issues related to the built environment. The second example is education. It focuses on problems, questions and issues related to teaching and learning. Everybody knows that there is no 'pure civil engineering' or 'theoretical education' against which civil engineering or education as applied subjects can be contrasted. Thus, subjects such as civil engineering and education are not branches of any single academic discipline at all, but are entirely interdisciplinary in nature. Civil engineering draws on mathematics, physics, materials science, geography, geology, ecology and business management, among many other fields, without being reducible to any one of them. Likewise, education draws on research in disciplines as diverse as psychology, sociology, philosophy, economics and politics, but still maintains its own distinct identity as an academic subject area, and its own distinctive set of goals.

Now we come the question 'what kind of applied subject is applied linguistics?' if we look at the name, we might say that applied linguistics belong to the first type of applied subject. However, applied linguistics is not the same as applied mathematics. Groom and Littlemore (2011: 6) say that although the name 'applied linguistics' suggests that it is an applied subject in the same way that applied mathematics and applied geology are applied

subjects, applied linguistics is in reality closer in spirit to the second type of applied subjects like civil engineering or education. While it is certainly true that many if not most applied linguists see the academic discipline of linguistics as their nearest neighbor and most important source of intellectual inspiration, it is also the case that many applied linguists look to other fields for relevant insights into real-world language problems as well – to biology, cultural studies, economics, education, philosophy, politics, psychology and sociology, among others. There are even applied linguists who do not draw on linguistics at all. Researchers working in ‘critical’ applied linguistics, for instance, base their work almost entirely on theoretical concepts and frameworks derived from postmodernist critical theory, and regard academic knowledge in linguistics as ‘fairly irrelevant’ to their concerns (Pennycook 2004: 801).

In summary, although applied linguistics enjoys a strong and productive working relationship with linguistics (as we hope to demonstrate throughout this book), our answer to the question ‘what is the difference between linguistics and applied linguistics?’ is this: applied linguistics is not a branch of linguistics, or of any other academic discipline, for that matter. It is an academic subject area in its own right, with its own set of concerns, its own academic journals, its own professional associations, its own academic qualifications, and its own professional pathways.

Applied Linguistics and Linguistics Applied.

Somewhere in the previous section we have introduced the two related terms; Applied Linguistics (AL) and Linguistics Applied (LA). In this section we are going to discuss in details these two terms. Widdowson presents the question in terms of linguistics applied and applied linguistics:

The differences between these modes of intervention is that in the case of linguistics applied the assumption is that the problem can be reformulated by the direct and unilateral application of concepts and terms deriving from linguistic enquiry itself. That is to say, language problems are amenable to linguistics solutions. In the case of applied linguistics, intervention is crucially a matter of mediation . . . applied linguistics . . . has to relate and reconcile different representations of reality, including that of linguistics without excluding others.

(Widdowson, 2000: 5)

Davies and Elder (2004: 9) state that the “linguistics applied” view seems to derive from the coming together of two traditions, the European philological tradition which was exported to the USA through scholars such as Roman Jakobson and the North American tradition of linguistic-anthropological field-work which required the intensive use of non-literate informants and the linguistic description of indigenous languages for the purposes of cultural analysis. The social value of applications of linguistics was widely canvassed. Bloomfield (1933: 509) hoped that “The methods and results of linguistics. . . [and] the study of language may help us toward the understanding and control of human affairs.” In the 1970s R. H. Robins, representing the European tradition, was eager to encourage the use of linguistic ideas and methods: “The teacher who understands and can make use of the methods of scientific linguistics will find the task of presenting a language to his pupils very much lightened and facilitated” (1971/1980: 308). Fifty years after Bloomfield, Douglas Brown (1987) was still making a similar claim: “Applied linguistics has been considered a subset of linguistics for several decades, and it has been interpreted to mean the applications of linguistics principles to certain more or less practical matters”.

What of the applied-linguistics tradition? Davies and Elder (2004: 10) say that the two traditions overlap in the work of Henry Sweet. Howatt claims that “Sweet’s work established an applied tradition in language teaching which has continued uninterruptedly to the present day” (Howatt, 1984: 189). Howatt also refers to the influence of J. R. Firth, holder of the first Chair of General Linguistics in the UK, who had first-hand experience of language learning and teaching in India, and who with the anthropologist Bronislaw Malinowski and their pupil Michael Halliday promoted the notion of the context of situation. No doubt because of Firth’s lead, the identity of the context of situation school is still that of linguistics-applied in spite of its strong social orientation. John Trim records his view of the origin of the British Association of Applied Linguistics in an address which represents the view of the linguist looking at society’s problem. Actually, the real push to a coherent conception of the activity, an applied linguistics view, came from Corder who, while insisting on the centrality of linguistics, accepted the need for other inputs. It came even more strongly from Strevens who was eclectic in what he saw as a growing discipline. His account of the founding of the British Association for Applied Linguistics emphasizes the sociological and institutional reasons for forming a new professional group.

Davies and Elder (2004: 11) see the distinction between applied linguistics and linguistics applied that Applied Linguistics (AL) looks outward, beyond language in an attempt to explain, perhaps even ameliorate social problems, while Linguistics Applied (LA) looks inward, concerned not to solve language problems "in the real world" but to explicate and test theories about language itself. So LA uses language data to develop our linguistic knowledge about language, while AL studies a language problem with a view to correcting it.

Furthermore, Davies and Elder (2004: 12) says that Applied Linguistics is a coherent activity which theorizes through speculative and empirical investigations real-world problems in which language is a central issue. They intend to offer a coherent account of applied linguistics as an independent and coherent discipline, which, like similar vocational activities (for example general medicine, business studies, applied psychology, legal studies) seeks to marry practical experience and theoretical understanding of language development and language in use.

The difference between Linguistics Applied and Applied Linguistics is sustainable only at the extremes. For example, the topics on language attrition or language description may be regarded as largely Linguistics Applied (LA), while the concerns of second language learning or of computer assisted language learning are mainly to do with Applied Linguistics (AL). But in between the distinction is hard to make. It is probably easiest for those topics in AL which deal with issues of language learning and language teaching because they have to do with the "real world," that locution we all refer to when we think of how language is used rather than how it is studied. However, even in the area of language learning and language teaching the distinction falters and changes. Thus the topics of contrastive analysis and error analysis, which were both central to applied linguistics in its concern with language learning and language teaching, have evolved into the highly theoretical concern of Second Language Acquisition (SLA) Research which is now less involved with language learning and language teaching and more concerned with linguistic and cognitive theorizing.



EXERCISE 1

- 1) After reading several definitions of applied linguistics you find that most of them are similar. What do you think most of them are similar?
- 2) State your own definition of applied linguistics!
- 3) Many people tend to agree with the inclusive or broad definition of applied linguistics. What are the advantages of using the broad definition?
- 4) McCarthy (2001) proposes a list of real problems that need to be solved in the field of applied linguistics. One of them is: *A person constructing a language test for non-native speakers for entry into further education needs to know what the key linguistic or psycholinguistic indicators are of reading ability in a second or foreign language.* List at least five questions a language teacher asks to solve this problem!
- 5) What is the relationship between linguistics and applied linguistics?
- 6) What is the main difference between Applied Linguistics and Linguistics Applied?



SUMMARY

We have learned many definitions of applied linguistics. These definitions actually can be classified into inclusive definition (broad definition) and exclusive definition (narrow definition). Despite the differences among the definitions provided, all definitions of applied linguistics deal with real world problems related to language. In addition to the discussion of the definitions, this unit also discusses the different relationship between linguistics and applied linguistics. Some people say that applied linguistics is a branch of linguistics because it applies linguistic theories in solving real world problems related to language, others say that it will be better to view applied linguistics as a sister rather than the sub-discipline of linguistics because the linguistics knowledge itself is not enough to solve the real problems related to language. Applied linguistics requires knowledge from other fields like education, psychology, sociology, cognitive science, and computer science. Finally, it is also important to differentiate between applied linguistics and linguistics applied. Applied Linguistics (AL) looks outward, beyond language in an attempt to explain social problems, while Linguistics Applied (LA) looks inward, concerned not to solve

language problems “in the real world” but to explicate and test theories about language itself. So LA uses language data to develop our linguistic knowledge about language, while AL studies a language problem with a view to correcting it.



FORMATIVE TEST 1

- 1) Study the following definitions of applied linguistics carefully and explain the similarities and the differences among these three definitions!

‘Applied linguistics’ (AL) is one of several academic disciplines focusing on how language is acquired and used in the modern world. It is a somewhat eclectic field that accommodates diverse theoretical approaches, and its interdisciplinary scope includes linguistic, psychological and educational topics. Although the field’s original focus was the study of foreign/second languages, this has been extended to cover first language issues, and nowadays many scholars would consider sociolinguistics and pragmatics to be part of the AL rubric. Recently, AL conferences and journals have reflected the growing influence of psychology-based approaches, which in turn is a reflection of the increasing prevalence of cognitive (neuro)science in the study of human mental functions. (Zoltán Dörnyei: Professor of Psycholinguistics, University of Nottingham)

Applied linguistics is a discipline which explores the relations between theory and practice in language with particular reference to issues of language use. It embraces contexts in which people use and learn languages and is a platform for systematically addressing problems involving the use of language and communication in real-world situations. Applied linguistics draws on a range of disciplines, including linguistics. In consequence, applied linguistics has applications in several areas of language study, including language learning and teaching, the psychology of language processing, discourse analysis, stylistics, corpus analysis, literacy studies and language planning and policies. (Dawn Knight Research Associate, University of Nottingham)

Applied linguistics is a broadly interdisciplinary field concerned with promoting our understanding of the role language plays in human life. At its centre are theoretical and empirical investigations of real-

world issues in which language plays a leading role. Applied linguistics focuses on the relationship between theory and practice, using the insights gained from the theory-practice interface for solving language-related problems in a principled way. (Juliane House: Professor of Foreign Language Teaching, Universität Hamburg)

- 2) De Bot (2015) classifies the definitions of applied linguistics in inclusive and exclusive definitions. The inclusive definition is the open one in line with the range of topics at the conferences of the Association Internationale de Linguistique Appliquée (AILA), avoiding any risk that someone would not feel welcome. The exclusive definitions is the restricted definitions, usually proposed by an individual based on his/her area of expertise. Find two examples of inclusive definitions and two examples of exclusive definitions and provide the reasons for choosing the examples.
- 3) McCarthy (2001) proposes a list of real problems that need to be solved in the field of applied linguistics. One of them is: "A teacher of English as a foreign language wonders why groups of learners sharing the same first language regularly make a particular grammatical mistake that learners from other language backgrounds do not". List at least five questions a language teacher asks to solve this problem!
- 4) Study the following language problem carefully and then provide some questions that should be answered to solve the problem.

Many teachers of English as a second or foreign language will be familiar with errors such as the following in their students' written work:

A teacher has set an essay entitled 'Traffic in Jakarta'. A student writes the title at the top of the page:

Traffic in Jakarta

And then begins the first paragraph of the essay:

It is a very big problem nowadays and many cities in the world suffer from it. . . . etc.

The teacher crosses out the first *it* and puts *traffic* instead.

Traffic

It is a very big problem nowadays and many cities in the world suffer from it. . . . etc.

Another student writes:

Jakarta is the big city. It is a problem in Jakarta and many big cities... etc

The teacher crosses out *it* and puts *traffic* instead.

Traffic

Jakarta is the big city. It is a problem in Jakarta and many big

- 5) Why do many people view applied linguistics as a sister (rather than a sub-) discipline of general linguistics?

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 2

TOPICS IN APPLIED LINGUISTICS

Introduction

In this unit we discuss in some of the most important and enduring topics and themes that applied linguistics has addressed since its inception. Our aim is not to provide comprehensive coverage here. Instead, what we want to do is give you a sense of the range, variety and vitality of the topics that applied linguistics encompasses, and introduce you to some of the issues that you may come across at some point in your own studies.

Applied linguistics has undergone a process of rapid and dramatic expansion in recent decades. Where once the subject was focused very narrowly on second language teaching and learning, it is now increasingly regarded as covering a much wider range of theoretical and practical concerns. This is not to say that applied linguistics is now moving away from foreign language teaching and learning, however. On the contrary, second language pedagogy remains by far the largest area of research activity in contemporary applied linguistics, and this is likely to remain the case for the foreseeable future. Accordingly, we will begin by looking at some of the main subfields within this key area of applied linguistic research, before moving on to survey some of the newer and less pedagogically-focused developments that have come to the fore in recent years. Our aim in this part is to provide a broad outline of the sorts of topics that applied linguists often focus on.

Davies and Elder (2004) include a wide range of topics in their book entitled *The Handbook of Applied Linguistics*. They classify the topics into two broad categories, Linguistics-Applied (L-A) and Applied Linguistics (A-L). Some topics that are classified into Linguistics-Applied are (a) language descriptions, (b) lexicography, (c) second language acquisition, (d) language corpora, (e) discourse analysis, (f) assessing language attitude, (g) language attrition, (h) language, thought and culture, (i) conversation analysis, (j) language and law, (k) language and gender, (l) language and politics, and (m) stylistics. Some topics that are classified in Applied-Linguistics (A-L) are (a) native speaker in applied linguistics, (b) language minorities, (c) second language learning, (d) literacy studies, (e) fashions in language teaching methodology, (f) Computer Assisted Language Learning (CALL), (g)

language for specific purposes, (h) bilingual education, (i) language maintenance, (j) language planning, (k) language testing, and (l) critical applied linguistics.

Schmitt and Celce-Murcia (2010: 1) state that there are 16 topic areas illustrated by the call for papers for the American Association of Applied Linguistics (AAAL) 2010 conference. Those topic areas include:

- Analysis of discourse and interaction
- Assessment and evaluation
- Bilingual, immersion, heritage and language minority education
- Language and ideology
- language and learner characteristics
- language and technology
- language cognition and brain research
- language, culture, socialization and pragmatics
- language maintenance and revitalization
- language planning and policy
- reading, writing and literacy
- second and foreign language pedagogy
- second language acquisition, language acquisition and attrition
- sociolinguistics
- text analysis (written discourse)
- translation and interpretation.

An applied linguistics textbook entitles *Mapping Applied Linguistics: A guide for students and practitioners* written by Hall, Smith and Wicaksono (2011) classify topics in applied linguistics into three parts. The first one is language and everyday use. This part includes (a) language variation, (b) key population, discourse analysis, and (c) language policy and planning. The second part is language, learning and education. This part discusses (a) literacy, (b) language and education, (c) bilingual and multilingual education, and (d) additional language education. The last part is language and expert uses. This part includes (a) translation, (b) lexicography, (c) forensic linguistics, (d) language pathology, and (e) prospects and perspectives.

Groom and Littlemore (2011) in chapter 2 of their book entitles *Doing Applied Linguistics: A Guide for Students* explain some of the most important topics in applied linguistics. These topics include (a) language teaching methodology, (b) syllabus and materials design, (c) language

testing, (d) language for specific purposes, (e) second language acquisition, (f) language policy and planning, (g) forensic linguistics, (h) sociolinguistics and critical discourse analysis, (i) translation studies, and (j) lexicography.

Simpson (2011) includes a wide range of topics from a variety of perspectives in her handbook entitled *The Routledge Handbook of Applied Linguistics*. She classifies these topics into five sections, namely (a) applied linguistics in action, (b) language learning, language education, (c) language, culture and identity, (d) perspectives on language in use, and (e) description of language for applied linguistics.

The next sections in this unit discuss some important topics in applied linguistics that are commonly discussed in applied linguistics textbooks. They are language teaching methodology, syllabus and materials design, language testing, languages for specific purposes, second language acquisition, bilingual education, language policy and planning, forensic linguistics, sociolinguistics and critical discourse analysis, translation studies, and lexicography.

Language Teaching Methodology

Language teaching methodology is one of the areas in applied linguistics that are commonly discussed and becomes one of the most important topics in applied linguistics. Nunan (1991: 1) says that overcoming the pendulum effect in language teaching is an important task of applied linguists and teachers concerned with second language teaching and foreign language teaching. This effect can be seen clearly in the area of language teaching methodology. In this area, for example, theories of grammar come and go with monotonous regularity. There is ongoing debate about the role of explicit grammar teaching in the language classroom, and this has been a fruitful area for a great deal of applied linguistic research. Although there remain a number of different positions on this question, the general consensus is that language learners do benefit from having their attention drawn to target language structures and patterns, but that the teaching of rigid 'grammar rules' can sometimes do more harm than good as they do not accurately describe the way the language actually works.

Groom and Littlemore (2011: 15) say that the relative effectiveness of different ways of teaching reading, writing, listening and speaking in a second or foreign language has become the traditional focus in the area of language teaching methodology. Research findings and theoretical

developments in this area have led to some radical changes in the way languages are taught. Up until the 1950s, the most common approach to language teaching was through the study of grammar rules, followed by exercises involving translation. Since then, there has been a general move towards the use of methods that attempt to create a more genuine need for communication in the language classroom, thus (in theory, at least) making the learning process more natural. Many of these types of methods come under the umbrella heading of the Communicative Approach to language teaching.

Language teaching methodology itself is a broad area in applied linguistics. There is a wide range of small topics in language teaching methodology. These small topics can be found in chapters or sub-chapters of textbooks on language teaching methodology. For example, Nunan (1991), in his textbook entitled *Language Teaching Methodology: A Textbook for Teachers* discusses the issues on teaching listening comprehension, speaking in second language, reading: a discourse perspective, developing writing skills, mastering the sounds of the language, teaching vocabulary, focus on form: the role of grammar, focus on the learner, focus on the teacher, and material development. Larsen-Freeman (2000), in her textbook entitled *Techniques and Principles in Language Teaching*, talks about some approaches/methods that are commonly used in language teaching. She talks in details about The Grammar-Translation Method, The direct Approach, The Audio-Lingual Method, The Silent Way, Desuggestopedia, Community Language Learning, Total Physical Response, Communicative Language Teaching, and Content-Based, Task-Based and Participatory Approaches. She also provides the answers to the following questions in each approach/method she discusses:

- What are the goals of teachers who use this method?
- What is the role of the teacher? What is the role of the students?
- What are some characteristics of the teaching/learning process?
- What is the nature of student-teacher interaction? What is the nature of student-student interaction?
- How are the feeling of the students dealt with?
- How is the language viewed? How is the culture viewed?

- What areas of language are emphasized? What language skills are emphasized?
- What is the role of students' native language?

(Larsen-Freeman, 2000: 7)

Moreover, Richards and Rodgers (2014), in their 3rd edition of *Approaches and Methods in Language Teaching*, also focus their discussion on some methods in language teaching. The methods that they discuss are Audiolingual Method, Communicative Language Teaching, Content-Based Instruction and Content and Language Integrated Learning (CLIL), Whole Language, Competency Based Language Teaching, Task-Based Language Teaching, Text-Based Instruction, The Lexical Approach, Multiple Intelligences, Cooperative Language Learning, The Natural Approach, Total Physical Response, The Silent Way, Community Language Learning, and Suggestopedia. Richards and Rodgers provide detail explanation of the approach used in each method. The discussion of approach covers theory of language and theory of learning. They also discuss the design of each method by providing the explanation about the objectives of the method, the syllabus, types of learning and teaching activities, learner roles, teacher roles, and the role of instructional materials. Finally, they talk about the procedure use in each method through focusing on the way a method handles the presentation, practice, and feedback phases of teaching.

Regarding the research in language teaching methodology, much of the work in the area involves classroom research. Groom and Littlemore (2011) say that research in language teaching methodology can be classified into two broad traditions. Action research, which is usually qualitative and carried out by researchers who are also practising teachers, involves examining specific aspects of a particular teaching/learning situation in a single period of time, generally with the intent of making modifications to the teaching/learning process that (it is hoped) will lead to discernible improvements in educational outcomes. Experimental research, which is usually quantitative, often involves looking at linguistic features or teaching/learning practices that are recordable or observable, and aims to make general statements about how particular linguistic skills or abilities might best be taught.

In both of these traditions a range of instruments is used to examine and measure factors which influence language learning success, learners' attitudes and beliefs and interaction in the language classroom. An interesting

finding from this research area is that, contrary to expectations, language learners do not always learn from corrective feedback in the way one might expect them to. In other words, if a learner makes a mistake and the teacher repeats what they said using the correct form, the learner may not take this information on board immediately, and may well go on to make the same mistake in future. This is due to the fact that language teaching and learning involves much more than straightforward knowledge transfer.

In order to understand the language learning process more deeply, it is important to consider what is already in the learner's mind when they come to class. By gaining insights into the ways in which learners process incoming information, researchers aim to identify ways in which language teaching can be improved. Researchers conduct and draw on relevant research into learner autonomy, language learning styles and strategies, the role of memory and mental schemas, embodied cognition, affective factors, cultural frameworks and differences between the students' mother tongue and the language they are learning in order to make concrete proposals as to how language teachers can use their knowledge of learner cognition to make their teaching more effective.

Syllabus and Materials Design

Another important topic in applied linguistics is syllabus and materials design: Researchers into syllabus and materials design are interested in the order, and the way, in which learning material should be presented to the learner. Researchers' and teachers' views with respect to this issue usually reflect their own understanding of how languages are learned and how they are structured, and in many cases their views are shaped by the way they themselves were taught. Four widely-used syllabus types are:

- the grammatical/structural syllabus;
- the notional/functional syllabus;
- the lexical syllabus; and
- content-based instruction and the task-based syllabus.

The most popular of these four syllabus types is the grammatical/structural syllabus, where the focus is on the ordering of grammatical structures from the simplest to the most complex. Vocabulary and grammar tend to be treated as separate phenomena and the language presented tends to

be somewhat artificial, in order to allow for the systematic introduction of grammar 'rules'.

Functional/notional syllabi are those which are ordered according to lists of functions and notions which the syllabus designer deems relevant to learners at a particular level. Functions are the 'communicative purposes' for which language is used and include things such as 'advising' or 'persuading', and notions are the contexts in which these functional communicative acts take place.

Lexical syllabi have vocabulary rather than grammar as their organizing principle, and are heavily influenced by research on computerized language corpora.

Unlike the other three syllabus types, the task-based syllabus emphasizes the successful completion, through interaction and communication between learners, of a variety of tasks which are preselected by the teacher or syllabus designer for their suitability in promoting the process of acquisition, or for their relevance to learners' needs, rather than the learning of pre-selected linguistic content. Research in this area has had an increasingly strong influence in recent years on the design of published textbooks and on the content of language teacher training programs.

Language testing

Groom and Littlemore (2011) say that like syllabus and materials design, work in the area of language testing is an important aspect of research into how languages are taught and learned. The focus is on how a learner's language ability can be assessed. A distinction is generally drawn here between achievement testing (which sets out to establish whether learners have met a set of pre-determined linguistic skills which they were specifically taught in class) and proficiency testing (which sets out to establish whether learners have reached an independent 'level' of the target language, at which they can be expected to perform in a variety of situations). In specific, based on the purposes of the test itself, Brown and Abeywickrama (2010: 9-10) classify test into achievement test, proficiency test, diagnostic test, placement test, and aptitude test.

Researchers into language testing are interested in answering questions such as: is language learning ability related to general intelligence or is it something different? Is there a subset of skills that combine to create an underlying 'gift for language learning', for which the more technical term is

language aptitude? How do different types of tests (such as dictations, gap-fill tests and oral examinations) measure different types of language ability? And to what extent are these different tests reliable indicators of language ability?

McNamara (2004: 763) says that language testing has undergone a rapid evolution in the past 50 years, mirroring the development of applied linguistics more broadly. The replacement in the immediate post-war period of traditional assessment techniques, such as the translation and the composition by “scientific” tests based on linguistics (structuralism) and psychology (behaviorism), paralleled the advent of audiolingualism within language teaching. Similarly, the introduction of communicative methods in the 1970s and 1980s was matched by a greater emphasis on performance tests within language testing, where candidates were required to display practical control of language knowledge under realtime processing conditions, and within specified contexts of use. Language testing received a great impetus from the development of specific purpose language teaching associated with the explosion of English language courses for students and professionals operating within an international context in the 1970s. Most recently, language tests are under somewhat of a challenge, as they respond to critiques of individualistic notions of performance and are increasingly being scrutinized for their social accountability, in line with the critical turn in applied linguistics generally.

The importance of language tests is a function of the social and political roles they play. Language tests have marked social relevance in the contemporary world, as they play a role in socially very significant institutional and political processes. The idea of formal tests of knowledge or ability emerged in traditional China, where they were used for the selection of individuals who would go on to be trained to be the ruling elite. Tests thus played a crucial role in constructing the fundamental character of Chinese cultural and political life over many centuries.

McNamara (2004: 763) also says that in the modern world, language tests control access to international education by students studying through the medium of a second language (especially, but not exclusively, English), they play an important role in the management of the language education of the children of immigrants, they have been used as a weapon in intergroup conflicts, they act as controls in the mobility of professionals and other workers. They are used for certification of achievement in education, and in

many countries control the transition between school and higher education. Given this social significance, language testing faces an ethical challenge: language testers need to make their language tests as fair as possible, and need to be aware of their social responsibilities in their work.

Language for Specific Purposes

Language for Specific Purposes (LSP) is generally used to refer to the teaching and research of language in relation to the communicative needs of speakers of a second language in facing a particular workplace, academic, or professional context. In such contexts language is used for a limited range of communicative events. For example, in a university context, spoken language is typically used by students in events such as participating in seminars and tutorials, presenting papers, and asking and answering questions in class. Analysis of language in such events generally reveals that language is used in constrained and fairly predictable ways. Thus, the analysis of questions in university lectures reveals the frequent use of a four-part routine (asking for clarification, interpretation check, digression, and challenge).

Groom and Littlemore (2011: 18) state that the main focus of Languages for Specific Purposes (LSP) is at the features of different types of language with a view to teaching learners who are going to have to use these specific types of language in their everyday lives. The groups of people who use specific types of language for a common purpose are sometimes referred to as discourse communities, and the aim of researchers in the area of LSP is to investigate how teachers can best help students to enter these communities.

According to Basturkmen and Elder (2004) LSP courses usually focus on the specific language needs of fairly homogeneous groups of learners in regard to one particular context referred to as the target situation. For example, LSP courses may involve a group of language learners who all intend to study at university, work as engineers, or aim to work as nurses in the future. The aim of such courses is to help the learners deal with the linguistic demands of their academic, workplace, or professional target situations.

LSP courses can be “pre-experience” or “post-experience” (Robinson, 1991). The former refers to courses designed for learners aspiring to enter particular workplace, academic, or profession situations. In these cases the courses aim to teach the learners the language skills and knowledge they will need in order to gain entrance. The latter refers to courses designed for

learners already involved in the target situation. In these cases the courses aim to help the learners become better equipped linguistically to cope with the communicative demands they face in their work or study situations. Major divisions in LSP are Language for Academic Purposes, and Language for Occupational Purposes, the latter comprising Language for Professional Purposes and for Vocational Purposes (Dudley-Evans & St John, 1998). LSP courses can be highly specific or more general, referred to as narrow and wide angled respectively. For example, teaching Language for Academic Purposes may involve one of two options: Language for General Academic Purposes or Language for Specific Academic Purposes (Jordan, 1997; Dudley-Evans & St John, 1998). In the former, students from a range of disciplines are grouped together and instruction focuses on their common academic needs and skills, such as note taking skills, lecture comprehension, seminar skills, the structure of an argumentative essay, and so forth. In the latter, students are grouped according to their disciplines and instruction focuses on features of language use and the language skills critical for successful communication in them. So, for example, instruction for law students might focus on specific genres significant in legal studies, such as the legal problem answer.

A major sub-branch of LSP^a is English for Academic Purposes (EAP), whose main aim is to help prepare international students for study at English-speaking universities. According to Groom and Littlemore (2011: 18), researchers in this area study the types of language that are used in lectures, seminars and written papers across the range of disciplines that are offered at universities where English is the medium of instruction. They are also interested in studying how the types of language used vary across different disciplines, and across the different spoken and written genres of higher education (e.g. lectures, seminars, research articles, textbooks, argumentative essays, laboratory reports, etc.). They also investigate the effectiveness of different modes of delivery, including for example team teaching with subject lecturers. Related to this is the field of academic literacy. The focus here is more on native speakers of the language who for one reason or another may not be familiar with the linguistic conventions that are common in academic discourse. Again the focus is on describing and teaching or critiquing these conventions in order to enhance student learning levels in higher education.

Another major branch of ESP, Business English, endeavors to describe the major business genres (business correspondence, meetings, negotiations) as well as dealing with the topic of intercultural communication, which is of central importance in the business world. Work in this area feeds into the development of Business English textbooks and business training courses. ESP research also overlaps with the subfield of workplace communication. Among other things, research in this area has led to the production of training materials for healthcare professionals who work in linguistically diverse communities.

Second Language Acquisition

Researchers in the area of Second Language Acquisition (SLA) are interested in questions such as: is there a natural order of acquisition that remains constant across all language learning situations? To what extent does the acquisition of a second language resemble that of a first language? How is language organized in the mind of a person who speaks more than one language? How does exposure to the target language translate into intake and learning? Traditionally, researchers working in this area have tended to distinguish between learning, which is a conscious process that usually takes place in a classroom, and acquisition, which is a less conscious process that normally takes place outside the classroom (for example when immigrants learn the language of their destination country simply by living there). However the distinction between these two processes quickly becomes problematic as soon as we start to look at authentic language learning situations, which usually involve a combination of conscious and unconscious learning mechanisms. Indeed, recent research suggests that such simple dichotomies do not accurately reflect the process of second language acquisition at all, and that it may be better to conceptualize this process as a 'complex system', drawing on theoretical notions of complexity that are now increasingly commonplace in many other academic fields.

Within the field of Second Language Acquisition researchers who look at bilingualism (or even multilingualism) are interested in the ways in which children born into multilingual families or communities develop an ability to speak more than one language. Given that the majority of the world's population is at least bilingual, this is no small endeavor. They are interested in the ways in which the different languages interact in the brain, how bilingual people switch between their different languages in different

situations, and how bilingualism is best fostered. An interesting observation that has been made by researchers working in this area is that people who can already speak more than one language well tend to have some cognitive advantages (for instance greater cognitive flexibility) compared to people who only speak one language, and they find it much easier to learn subsequent languages.

As SLA researchers are interested in studying what goes on in the minds of people who are using and/or learning second languages, they often draw on research in the area of psycholinguistics, which explores the relationship between language and the mind. Psycholinguists look at how language is stored and accessed and at how we derive meaning from the language to which we are exposed. A sub-branch of psycholinguistics called neurolinguistics focuses on the brain itself and looks at the neurological processes underlying the use of language. Psycholinguists are also interested in language impairments and the development of language ability in children. Psycholinguistic research seeks to explain why it is that during spoken and written communication people tend to hear and read what they expected to hear and read, rather than what was actually said or written. It also seeks to explain why slips of the tongue occur and why people tend to find it much harder to learn languages as they get older.

Bilingual Education

Baker (2010: 243) says that the term bilingual education has multiple meanings, with varying positive and negative associations, and a varied history. First, bilingual education is loosely used to refer to schools attended by bilingual children (e.g., Latinos and Latvians in U.S. schools, Greek and Gujarati children in U.K. schools). However, bilingualism is not fostered in such schools. Rather, the aim is to shift the child rapidly from the home, minority language to the dominant, majority language. Second, the term refers to children who are allowed to use their home language in the classroom for only a short period (e.g., one or two years) until they switch to the majority language (called transitional bilingual education). Third, bilingual education appears a more appropriate label for schools in which students learn through two languages in the classroom. For example, there are dual language schools in the United States that teach students through Spanish for one day and the next day through English. In Europe, there are elite bilingual programs (e.g., Luxembourg, Switzerland) in which children

both learn, and learn through two or more prestigious languages (e.g., German, French, English).

Hall, Smith and Wicaksono (2011: 178) state that the purposes of bilingual and multilingual education programs are similarly diverse, ranging from development of advanced levels of proficiency and academic achievement in both target languages to the promotion of academic skills in a dominant language but not in the pupils' home language. Similarly, some programs aim to help learners develop knowledge about a particular cultural group in addition to their own, while others have as their primary orientation and mission the promotion of assimilation and acculturation of linguistically diverse learners into a mainstream or dominant culture. We note increasing interest in programs seeking to develop 'multilingual, culturally adept citizens who can prosper and contribute to our increasingly global society' Hall, Smith and Wicaksono (2011: 178) present a three-part framework for understanding how education in multiple languages is commonly organized. They distinguish between frames that are (1) language-based, (2) content-based and (3) context based. These ways of looking at programs are not mutually exclusive, of course. To some extent, all programs must take into account the language and subject matter learning needs of their students, as well as the contextual features and constraints of the larger context in which they are based. We argue that much more can be learned about particular schools and programs by examining them from all three frames.

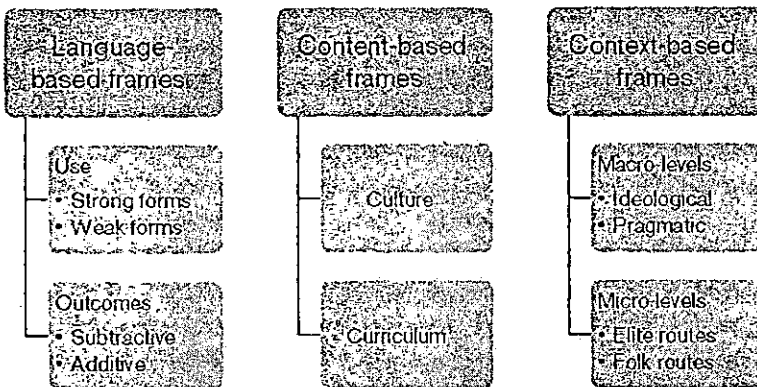


Figure 1.4: Three frameworks for understanding bilingual and multilingual education

One key way of looking at bilingual and multilingual programs is in terms of language use and language outcomes. A clear example of a focus on use is the distinction between 'strong' forms – in which two or more languages are used systematically for academic purposes, including reading and writing in subject areas such as Maths, science and history – and 'weak' forms, where the non-dominant languages are used sparingly, typically to clarify instructions or for interpersonal communication only (Baker, 2006). Despite its apparent simplicity, the strong– weak dichotomy reminds us to pay close attention to the manner in which and the extent to which bilingual and multilingual programs actually use each of the target languages. Asymmetry in the use of the dominant and non-dominant languages is problematic for many programs, and human, material and technological resources tend to be concentrated in the dominant language unless special steps are taken to address this imbalance. This is especially true for combinations that include a language of wider communication, such as English, French or Mandarin, with less prestigious or less widely spoken languages.

Language policy and planning

According to Groom and Littlemore (2011: 20) language policy and planning is a subfield of applied linguistics looks at the way language is controlled at international, national and local levels. At the international level it looks at the spread of English around the world and analyses the socioeconomic and political causes and consequences of this. At the national level it looks at the role of official languages in maintaining national identity and explores the relationship between official and minority languages. Researchers are interested in issues such as whether immigrants should be forced to speak the same language as the indigenous population, and whether schools should deliver lessons in more than one language. The fact that countries such as Canada or Switzerland are bilingual or even multilingual is in part due to language policy and planning. In other countries minority languages are more likely to be suppressed because of the language policies of the ruling party. At a more local level, the focus might be on the ways in which power relations are established and maintained within an organisation through the use of language. A key concept to emerge from this research is that of linguistic human rights. Some applied linguists have become powerful advocates of the linguistic human rights of minority language speakers in

many countries, and have been increasingly successful in raising public awareness of these issues at local, national and international levels.

Language planning is a deliberate effort to influence the function, structure, or acquisition of a language or language variety within a speech community. Language planning is often associated with government planning, but it is also used by a variety of non-governmental organizations. The goal of language planning differ depending on the nation or organization, but generally include making planning decisions and possibly changes for the benefit of communication. Planning or improving effective communication can also lead to other social changes, such as language shift or assimilation, thus providing another motivation to plan the structure, function and acquisition of language.

There are three different types of planning. The first one is status planning. Status planning is the allocation or reallocation of a language or variety to functional domain within a society, thus affecting the status, or standing, of a language. The second one is corpus planning. Corpus planning refers to the prescriptive intervention in the forms of a language, whereby planning decisions are made to engineer changes in the structure of the language. Three groups of corpus planning are graphisation, standardization, and modernization. The third one is acquisition planning. Acquisition planning is a type of language planning in which a national, state or local government system aims to influence aspects of language, such as language status, distribution and literacy through education

Forensic linguistics

Forensic linguistic is one of the important current topics in applied linguistics. It is perhaps surprising that forensic linguistics is a relative newcomer in the area of centrality of language to life in general and the law in particular when we compare to fingerprint identification and shoeprint analysis. In general, forensic linguistics is defined as the application of linguistics to legal questions and issues. However, the word application is not necessarily being used in the same sense as in the phrases applied mathematics or applied statistics. It is the application of linguistic knowledge to a particular social setting, namely the legal forum (Olsson, 2008: 3). So, the forensic linguists apply linguistic knowledge and techniques to the language implicated in legal case or proceeding, or private disputes between parties which may at a later stage result in legal action.

Groom and Littlemore (2011: 21) state that forensic linguistics studies the relationship between language and the law. Forensic linguists look at how language is used in the legal process, focusing on the discourse of the police, lawyers, judges and legal documents, and courtroom interaction. Under its narrower definition, forensic linguistics refers to the examination of linguistic evidence in court. It is used in cases of disputed authorship of written texts (such as police statements) and where there are issues of plagiarism. Forensic linguists provide information that helps jurors decide whether a particular person is likely to have been the author of a particular text. They also study cases where inaccurate translations of statements made by nonnative speakers have led to miscarriages of justice, and are therefore able to advise on the treatment of people (such as children, non-native speakers or people with learning difficulties) who may have difficulties with – and thus potentially be disadvantaged by – the language of the legal system.

The major areas of study, according to Gibbons and Turell (2008: 1), covers the written language of the law, particularly the language of legislation, spoken legal discourse, particularly the language of court proceeding and police questioning, the social justice issues that emerge from the written and spoken language of the law, the provision of linguistic evidence, which can be divided into evidence on identity/authorship, and evidence on communication, the teaching and learning of spoken and written legal language, and legal translation and interpretation.

Sociolinguistics and critical discourse analysis

Sociolinguistics looks at the relationship between language and society. The focus is on variation in the way people use language as well as on language change. Researchers in this area are interested in how people use language to create and maintain social structures and hierarchies. They also look at the role of language in creating and maintaining a person's identity. The language one speaks, the accent one has, the ways in which people change their accent (or even their language) when speaking to different people in different social situations all come under the microscope of the sociolinguist.

One of the key findings to emerge from research in sociolinguistics is that variables such as accent, dialect and gender are intimately bound up with social inequalities and injustices of various kinds. For example, sociolinguists have shown that speakers who have certain regional accents are less likely to

be successful at job interviews than are speakers of more prestigious dialectal variants. Similarly, research on gender and language has shown how girls and boys are socialized from a very early age into talking in ways that are deemed 'correct' for their gender identity, and sanctioned in various ways if they transgress these implicit linguistic boundaries. Taking such observations as its starting point, critical discourse analysis (CDA) has developed into a distinct branch of applied linguistic research that adopts an explicitly political stance towards the analysis of the relationship between language and society. For practitioners of CDA, it is not enough simply to describe or diagnose the linguistic determinants of social inequality; rather, the CDA agenda is one that aims to ameliorate social inequality and promote social justice. This is usually done by combining linguistic analysis with theoretical insights drawn from sociology and cultural studies in order to identify and critique the ideologies that, it is argued, lie behind individual texts. Much of the focus in CDA since its inception has been on the mass media; researchers working in this area have sought to uncover the underlying rhetorical objectives and ideological positions reflected in news coverage of public events, thereby showing how powerful groups in society attempt to manipulate public opinion. More recent work has broadened this perspective somewhat, to include analyses of everyday language that – often unwittingly – promotes discrimination against minority groups in society.

Translation studies

The term 'translation' has several meanings. First, it may refer to the general field introduced in linguistics department. Second, it may refer to the product, that is the text that has been translated. Third, it may refer to the process, that is the act of producing the translation, also known as translating. The process of translation between two different written languages involves the translator changing an original written text, known as source text, in the original verbal language, known as source language, into a written text, the target text, in a different verbal language, known as target language. Translation studies is an academic research area that has expanded explosively in recent years. Translation was formerly studied as a language-learning methodology or as a part of comparative literature, translation 'workshops' and contrastive linguistics course. Today the name and the nature of translation studies proposed both a name and a structure for the

field: Translation study is the discipline that concerns itself with the theory and practice of translation (Hatim, 2013: 3).

Researchers in translation studies study the choices that people make when translating from one language to another. There is often a trade-off between achieving loyalty to the original text and achieving naturalness in the target language, and translators will make choices depending on the target audience of the translated document, as well as for their own personal or ideological reasons (Groom and Littlemore, 2011: 22). For example, in an English text, a writer might refer to someone as their 'right hand man'. If this expression does not exist in the language that the text is being translated into, the translator may find an alternative corresponding expression, or they may try to retain authenticity by translating it directly, or if they have strong feminist sentiments, they may opt to change the wording to 'person'. Translation studies researchers look at these types of choices in an attempt to access the thought processes that take place in the mind of the translator while he or she is translating.

Translation studies scholars are also interested in studying the impact that translations or collections of translations have had in the sociocultural situation of the languages involved. They attempt to use existing theories of translation to predict what the process of translation is likely to involve for particular pairs of languages and types of text. This work has applications in translator training, the preparation of translation aids, such as dictionaries, grammars, term banks and in recent years, automatic translators, the establishment of translation policy (which involves giving advice on the role of the translator in a given socio-cultural context, deciding on the economic position of the translator, deciding which texts need to be translated, or deciding what role translation should play in the teaching of foreign languages), and translation criticism, which concerns itself with the development of criteria for the evaluation of the quality or effectiveness of the translation product.

Lexicography

Another specialist field that enjoys a 'semi-autonomous' relationship with applied linguistics is lexicography. Lexicography is the practice of compiling dictionaries, and lexicographers are the specialist authors who carry out the process of dictionary compilation. In applied linguistics, however, the field of lexicography is also understood as including

investigations of the decisions that lexicographers make when compiling dictionaries, and on the look-up strategies that dictionary users deploy when consulting them. Recent debates in this field have focused on the relative merits of traditional and full-sentence definition styles, and on how the different senses of polysemous words (i.e. words with multiple meanings) should be ordered in learners' dictionaries. For example, some lexicographers argue that the word 'back' should be presented as an adverb (as in go back, lean back, or back home) before it is presented as a noun describing a part of the human body, on the grounds that the adverbial usage is much more frequent in native speaker usage. Other lexicographers argue for the opposite policy, on the grounds that the literal meaning expressed by the noun is the basic or 'prototypical' meaning from which all the non-literal adverbial meanings of 'back' are derived.

Kirkness (2004) says that lexicography is almost as old as writing. From its beginnings several thousand years ago it has served primarily the real-life needs of written communication between members of human communities using different languages or different varieties of one language. Those needs change just as all living languages constantly change. In many literate societies lexicography has a centuries-old tradition with word lists and word books in scripts based on hieroglyphs, logograms, or letters and in media from clay tablets to the computer. Since print culture replaced scribal culture some five centuries ago and ushered in the modern period in European lexicography, the printed book has predominated. Worldwide, no book on a language or on languages has been and is more widely used in education systems and in communities at large than the dictionary. It has long been and still is an essential source, if not indeed the principal source, of information on language for all members of literate societies who might have questions on any aspect of the form, meaning, and/or use of a word or words in their own or in another language.

Lexicographers can be regarded as descriptive linguists in that they empirically analyze and describe (a) language with a traditional emphasis on individual items of vocabulary. However, they do not require linguistic knowledge alone, but according to the particular dictionary project may draw on other non-linguistic disciplines including information technology, publishing, history, and the natural and social sciences amongst others. Nor is their description of (a) language primarily an end in itself. Its aim is not primarily to advance linguistic theory, however much theoretical linguists

may and do draw on lexicography for their own purposes and however much lexicographers might seek to apply relevant findings of theoretical linguistics in their work. Rather it is in principle a means to an end, namely to make knowledge about (a) language available to various sectors of the wider public and to mediate between different kinds of language knowledge and different kinds of user needs. This aim is clearly reflected in the vast range of different dictionary types designed to respond to the different needs and interests of different user groups.



EXERCISE 2

- 1) Davies and Elder (2004) classify a wide range of topics into two broad categories, namely the topics that belong to linguistics applied and the topics that belong to applied linguistics. Mentions some topics that belong to linguistics applied and the topics that belong to applied linguistics. Provide your reasons for this classification.
- 2) Language teaching methodology is one of the areas in applied linguistics that are commonly discussed and becomes one of the most important topics in applied linguistics. How is the theory of grammar treated language teaching methodology?
- 3) Find as much as information about audiolingual method. Then answer the following questions!
 - What are the goals of teachers who use this method?
 - What is the role of the teacher? What is the role of the students?
 - What are some characteristics of the teaching/learning process?
 - What is the nature of student-teacher interaction? What is the nature of student-student interaction?
 - What areas of language are emphasized? What language skills are emphasized?
 - What is the role of students' native language?
- 4) What are the main differences between grammatical syllabus and functional syllabus?
- 5) Explain the types of language test based on the purposes of conducting the test!
- 6) What is language for specific purposes?
- 7) What is the difference between English for Academic Purposes (EAP) and English for Occupational Purposes?

- 8) Provide your explanation about a three-part framework for understanding how education in multiple languages is commonly organized!
- 9) What do you know about the different types of planning?
- 10) What is sociolinguistics?



SUMMARY

We have learned in this unit some most important topics in applied linguistics. The first topic is language teaching methodology, which deals with different ways of teaching language, especially second or foreign language. The second topic, syllabus and materials design, deals with the way in which learning materials should be presented to the learners. The topic on language testing talks about types of assessment used in measuring a learner's language ability. Language for specific purposes is about teaching and research of language in relation to the communicative needs of speakers of a second language in facing a particular workplace, academic, or professional context. The topic of second language acquisition talks about how a second language is acquired and to what extent does the acquisition of a second language resemble that of the first language. Finally, some other topics that are also discussed in brief are bilingual education, language policy and planning, forensic linguistics, sociolinguistics and critical discourse analysis, translation studies, and lexicography.



FORMATIVE TEST 2

- 1) Schmitt and Celce-Murcia (2010) mention 16 topic areas illustrated by the call for papers for the American Association of Applied Linguistics (AAAL) 2010 conference. Those topic areas include:
 - Analysis of discourse and interaction
 - Assessment and evaluation
 - Bilingual, immersion, heritage and language minority education
 - Language and ideology
 - language and learner characteristics
 - language and technology
 - language cognition and brain research

- language, culture, socialization and pragmatics
- language maintenance and revitalization
- language planning and policy
- reading, writing and literacy
- second and foreign language pedagogy
- second language acquisition, language acquisition and attrition
- sociolinguistics
- text analysis (written discourse)
- translation and interpretation.

Classify these topics in the ones that belong to linguistics applied and the one that belong to applied linguistics.

- 2) Find as much as information about total physical response. Then answer the following questions!
 - What are the goals of teachers who use this method?
 - What is the role of the teacher? What is the role of the students?
 - What is the nature of student-teacher interaction? What is the nature of student-student interaction?
 - How are the feeling of the students dealt with?
 - How is the language viewed? How is the culture viewed?
 - What areas of language are emphasized? What language skills are emphasized?
 - What is the role of students' native language?
- 3) What are the main differences between grammatical syllabus and task based syllabus?
- 4) Explain some characteristics of a good test!
- 5) What is the main focus of language for specific purposes?
- 6) What is bilingual education?
- 7) What is language planning?
- 8) What is forensic linguistics?
- 9) What do you know about translation and translation studies?

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 3

THE IMPACT OF APPLIED LINGUISTICS

Introduction

In unit 2 we have discussed the kinds of topics that applied linguists are interested in. In this unit we go into more depth, describing in detail a number of real-world studies where applied linguistic research has had an impact on the wider world. We start by looking at work in applied linguistics that has influenced both the ways in which languages are taught and the types of language that learners are exposed to. From this, we then broaden our approach to look at how research in applied linguistics has led to a better understanding of different types of discourse, outlining a number of studies whose findings have helped people to engage with or become members of particular social and cultural groups. Finally we turn to a particularly important area to which linguistics has been applied: the legal system. We discuss cases where the work of linguists has helped send the guilty to prison as well as prove innocence. We close this learning activity by examining the important contribution that applied linguistics has made to cross-cultural understanding, and discuss studies whose findings have had particular relevance for people involved in international business communication.

Applied linguistics and Second Language Teaching

Work in applied linguistics has had a significant impact on the way in which second and foreign languages are taught. Work in language teaching has followed two interrelated strands. The first looks at how language should be taught, the focus here being on how language is best presented to learners and what kinds of activities are most conducive to language learning. In this case, we find several approaches and methods used by the teachers in teaching language, especially in teaching second or foreign language. We recognize grammatical translation method as one of the oldest language teaching methods, direct method, and audiolingual method. We also recognize some alternative approaches and methods in the twentieth century. They are the-natural approach, total physical response, the silent way, community language learning, and suggestopedia. Some current approaches

and method in language teaching are communicative language teaching (CLT), content based instruction and content and language integrated teaching (CLIL), whole language, competency based language teaching, task based language teaching, text based instruction, the lexical approach, multiple intelligences, and cooperative language teaching. Further explanation on these types of approaches and methods can be found in Module 4.

The second focuses more on what kind of language should be taught. Recent studies have revealed that spoken language has its own grammar which differs in places from the grammar of the written language (Carter and McCarthy 2006). Traditionally the grammar components of language classes have tended to focus on written grammar, but the advent of spoken corpora has revealed patterns in spoken language that could usefully be taught to language learners. We begin, however, by looking at how applied linguistic research has affected the ways in which languages are taught.

The impact of applied linguistic research on the teaching of languages has been substantial. Its main manifestation has been in the form of an increased focus on communication and meaning, which has led to more communicative approaches to language teaching. The key tenets of communicative approaches to language learning and teaching are that learning a language is about learning to communicate, and that learning can actually take place through communication. In other words:

- Learners learn a language through using it to communicate
- Authentic and meaningful communication is the goal of classroom activities
- Fluency is an important part of communication
- Communication involves the integration of different language skills
- Learning is a process of creative construction and involves trial and error

(Richards and Rodgers 2014: 105)

For some people, the beginning of communicative language teaching is marked by a functional theory of language that focuses on language as means of communication. The goal of language teaching is to develop what Hymes (1972) referred to as “communicative competence” as opposed to Chomsky’s theory of competence. In Hymes’s view, a person who acquires

communicative competence acquires both knowledge and ability for language use with respect to:

1. whether (and to what degree) something is formally possible
2. whether (and to what degree) something is feasible in virtue of the means of implementation available
3. whether (and to what degree) something is appropriate (adequate, happy, successful) in relation to a context in which it is used and evaluated
4. whether (and to what degree) something is in fact done, actually performed, and what its doing entails

(Hymes, 1972: 281)

According to Groom and Littlemore (2011: 31), the beginning of the communicative movement is marked by H.G. Widdowson's *Teaching Language as Communication* (published in 1978), and by Brumfit and Johnson's (1979) book *The Communicative Approach to Language Learning*, which argued that language learning should not just be about learning grammar rules and vocabulary, but should focus on teaching learners how to use the language that they have learned to express themselves effectively, and to understand how linguistic meanings relate to the social and situational contexts in which they occur. That language teaching up until this point was not in any way 'communicative' in this sense is of course an overstatement, but it is fair to say that this period marked the beginning of a systematic examination of what it means to 'communicate' in a foreign language, and of what language learners need to learn if they are to 'communicate' effectively.

Communicative approaches to language teaching thus differ from previous approaches to language learning in that they are competency based. That is to say, they tend to focus on the outcomes of learning. They look at what learners might be expected to do with the language, and use these to inform the ways in which the language is taught. Ultimately, then, the goal of communicative language teaching is to foster 'the ability not only to apply the grammatical rules of a language in order to form grammatically correct sentences but also to know when and where to use these sentences and to whom' (Richards et al. 1992: 65).

Communicative competence itself consists of several competencies that should be acquired by language learners. Various suggestions have been made as to how this can be done. Canale and Swain (1980) propose four

types of competencies that should be included in communicative competence. They are grammatical competence, sociolinguistic competence, discourse competence, and strategic competence. Hedge (2000) divides communicative competence into five components: linguistic competence; pragmatic competence; discourse competence; strategic competence; and fluency. According to Celce-Murcia et.al. (1995), the components of communicative competence are linguistic competence, socio-cultural competence, actional competence, discourse competence, and strategic competence. Discourse competence is the center of communicative competence, while strategic competence functions as ways to achieve other competencies. The following figure describes the interrelation among the five competencies.

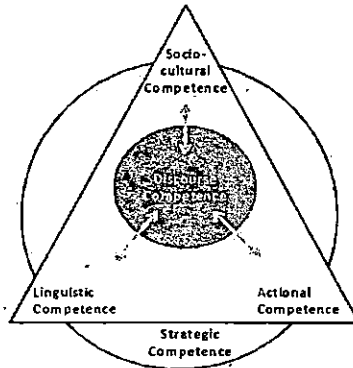


Figure 1.5: The model of communicative competence based on Celce-Murcia et.al (1995)

Furthermore, Celce-Murcia (2007) revises the model of communicative competence that Celce-Murcia et.al. (1995) propose. She adds one more component into the diagram. The new component is the formulaic competence. The following figure shows the revised model of communicative competence proposed by Celce-Murcia.

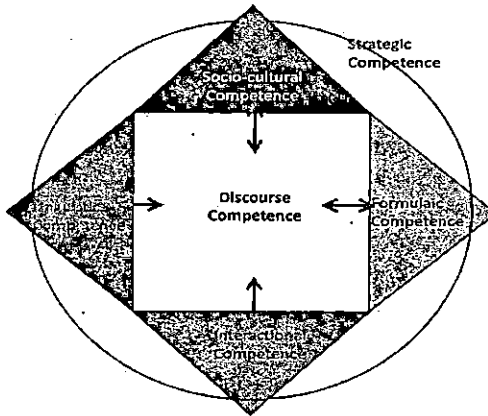


Figure 1.6: The model of communicative competence based on Celce-Murcia (2007)

The first element of communicative competence is sociocultural competence. This most recent model maintains the top-down role of sociocultural competence. Sociocultural competence refers to the speaker's pragmatic knowledge, i.e. how to express messages appropriately within the overall social and cultural context of communication. This includes knowledge of language variation with reference to sociocultural norms of the target language. In fact a social or cultural blunder can be far more serious than a linguistic error when one is engaged in oral communication. The pedagogical challenge lies in the fact that second and foreign language teachers typically have far greater awareness and knowledge of linguistic rules than they do of the sociocultural behaviors and expectations that accompany use of the target language. Even when good cultural descriptions are available, it is hard to get learners to change their native verbal behavior based on a new set of assumptions.

Celce-Murcia et al. (1995: 23–24) describe several sociocultural variables, three of which are most crucial in terms of the current model.

- social contextual factors: the participants' age, gender, status, social distance and their relations to each other re: power and affect.
- stylistic appropriateness: politeness strategies, a sense of genres and registers.

- cultural factors: background knowledge of the target language group, major dialects/regional differences, and cross cultural awareness.

The above competencies can be acquired in part through some knowledge of the life and traditions as well as knowledge of the history and literature of the target language community. An extended living experience among members of the target language group is probably the best experience for language acquisition if the learner has an adequate basic preparation in both linguistic and sociocultural competence coupled with good powers of observation.

The second component is linguistic competence. Groom and Littlemore (2011: 31) say that linguistic competence refers to one's knowledge of the language itself, and includes knowledge of vocabulary, morphology, syntax and phonology, as well as knowledge about how the different parts of a text fit together and are generally organized. It is important to remember that linguistic competence is indeed a component of communicative competence, and that it is incorrect to say that communicative language teaching is all about 'communication', and that it therefore does not involve grammar teaching. In fact the teaching of grammar should be an important component of communicative approaches to language teaching.

Linguistic competence includes four types of knowledge:

- phonological: includes both segmentals (vowels, consonants, syllable types) and suprasegmentals (prominence/stress, intonation, and rhythm).
- lexical: knowledge of both content words (nouns, verbs, adjectives) and unction words (pronouns, determiners, prepositions, verbal auxiliaries, etc.).
- morphological: parts of speech, grammatical inflections, productive derivational processes.
- syntactic: constituent/phrase structure, word order (both canonical and marked), basic sentence types, modification, coordination, subordination, embedding.

The third component is formulaic competent. Formulaic competence is the counterbalance to linguistic competence. Linguistic competence entails the recursive, open-ended systems listed above. Formulaic competence refers to those fixed and prefabricated chunks of language that speakers use heavily

in everyday interactions. It had been largely ignored prior to seminal work by Pawley and Syder (1983), Pawley (1992), and Nattinger and DeCarrico (1992), whose work brought this domain to general attention.

- routines: fixed phrases like of course, all of a sudden and formulaic chunks like How do you do? I'm fine, thanks; how are you?
- collocations: verb-object: spend money, play the piano, adverb-adjective: statistically significant, mutually intelligible adjective-noun: tall building, legible handwriting
- idioms: e.g., to kick the bucket = to die; to get the ax = to be fired/terminated
- lexical frames: e.g., I'm looking for _____. See you (later/tomorrow/ next week, etc)

Formulaic competence has grown in importance; it is now acknowledged that fluent speakers of a language draw on formulaic knowledge of the target language as often as they use systematic linguistic knowledge (Hunston, 2002). Much language pedagogy has yet to catch up with this fact.

The fourth component is interactional competence. The bottom-up counterpart to the more global top-down socio-cultural competence is the hands-on component of interactional competence. Interactional competence has at least three sub-components relevant to the current model:

- Actional competence: knowledge of how to perform common speech acts and speech act sets in the target language involving interactions such as information exchanges, interpersonal exchanges, expression of opinions and feelings, problems (complaining, blaming, regretting, apologizing, etc.), future scenarios (hopes, goals, promises, predictions, etc.)
- Conversational competence: inherent to the turn-taking system in conversation described by Sachs et al. (1974) but may be extendable to other dialogic genres:
 - how to open and close conversations
 - how to establish and change topics
 - how to get, hold, and relinquish the floor
 - how to interrupt
 - how to collaborate and backchannel, etc.

- Non-verbal/paralinguistic competence includes:
 - kinesics (body language), non-verbal turn-taking signals, backchannel behaviors, gestures, affect markers, eye contact.
 - proxemics (use of space by interlocutors)
 - haptic behavior (touching)
 - non-linguistic utterances with interactional import (e.g. ahhh! Uh-oh. Huh?) the role of silence and pauses

The central component of communicative competence is discourse competence. Discourse competence refers to those abilities that are required to create and understand coherent written and spoken discourse (Groom and Littlemore, 2011: 32). It is perhaps most useful to think of these rules in terms of cohesion (i.e. lexical and grammatical links) and coherence (i.e. appropriate combination of groups of utterances in terms of their communicative function). Both cohesion and coherence refer to the ways in which words and ideas are linked in a text. Discourse competence applies not only to references to other parts of the text but also to things outside the text. There is also a need to understand ellipsis (the omission of grammatically non-essential words, phrases and clauses) and to grasp a speaker's intentions when very little information is actually provided in the exact words used by the speaker.

The last component is strategic competence. Strategic competence, according to Canale and Swain (1980: 30), 'is made up of verbal and non-verbal communication strategies that may be called into action to compensate for breakdowns in communication due to performance variables or to insufficient competence'. So if for example, you don't know the word 'chess board' you might say something like: 'It's a game. There is a square. It's got black and white squares, and small figures move around on it'. Canale and Swain divide communication strategies into two types: those that compensate for lack of knowledge of grammatical forms, and those that compensate for lack of sociolinguistic knowledge.

So what effects has this focus on communicative competence had on the way languages are actually taught? In language teaching circles there has been much debate about how communicative language teaching methodologies can best be implemented in the language classroom. This has led to an increased popularity of teaching methods such as task-based learning. This involves the use of tasks where the focus is primarily on

meaning, and work on form follows. There are different ways of defining a 'task' but one of the most comprehensive definitions is that proposed by Nunan (2004: 4):

a piece of classroom work that involves learners in comprehending, manipulating, producing or interacting in the target language while their attention is focused on mobilizing their grammatical knowledge in order to express meaning, and in which the intention is to convey meaning rather than to manipulate form. The task should also have a sense of completeness, being able to stand alone as a communicative act in its own right with a beginning, a middle and an end.

Many textbooks, particularly those published in the area of English language teaching, now have a predominantly communicative focus, and elements of task-based learning can be found in a wide variety of course books and language teaching syllabi worldwide. However, this is not to say that the change has been universal. There are many places where, for very good local reasons, communicative approaches to language teaching have not been adopted. What applied linguistics has done is to raise the issue of communicative competence and define it in a way that is useful to language educators. Whether or not they act on this information remains a matter of choice, such as in Australia where systemic functional linguistics has been heavily influential on government policy for the teaching of English to immigrants. This approach places a strong emphasis on the analysis of form-function relationships, and thus priorities what Hedge would call pragmatic competence.

How exactly do applied linguists go about making the sorts of discoveries that have been mentioned in this section? Although 'communicative language ability' and 'communicative competence' began life as theoretical constructs there has since been a great deal of work investigating the nature of the competences that need to be acquired in different contexts, and on the most effective ways of fostering these competencies in language learners. Other work has involved empirical studies designed to investigate the relative effectiveness of different language teaching approaches that focus on different degrees and aspects of communicative competence. This has involved a mixture of different types of research including quantitative approaches, where the outcomes of different language teaching techniques are compared in terms of the impact they have on the language learned by the students, and more qualitative approaches,

involving classroom observation and interviews, which have attempted to ascertain, for example, how the different language teaching approaches affect classroom dynamics and student motivation.

Applied Linguistics and Discourse Analysis

Strongly related to the language description work we have just seen is the area of applied linguistic research that investigates the features of different types of discourse. Groups of people who use specific types of language for a common purpose are sometimes referred to as discourse communities, and the language spoken by these discourse communities often has its own unique features. In order to fully understand these communities, or to become a member oneself, it is useful to be aware of the characteristics of the particular language features used when producing or participating in genres that are typical of those communities.

The important position that discourse analysis occupies in applied linguistics has come about because it enables applied linguists to analyse and understand real language data, for example, texts written by first and second language learners, or recordings of the spoken output of second language learners, or of the interaction between teachers and learners or among learners themselves in classrooms. It also enables us to understand better the kinds of discourse that language learners are exposed to outside the classroom: the language of service encounters in shops, banks, restaurants, etc., the language of newspapers, the language of everyday informal conversation. In addition, such analyses can assist language teachers and materials writers to evaluate language course books in terms of how closely they approximate authentic language, or what needs to be modified when authentic texts are brought into the classroom. Language testing can also gain a great deal from looking at real language use as a source of criteria for the evaluation of test performances.

Discourse analysis is the analysis of language in its social context. Discourse analysts are just as interested in the analysis of spoken discourse as they are in the analysis of written discourse. When the focus in linguistics was primarily on written language and restricted to the study of isolated sentences, spoken language was seen as formless and ungrammatical and written language as highly structured and organized. Beattie (1983) wrote: 'Spontaneous speech is unlike written text. It contains many mistakes,

sentences are unusually brief and indeed the whole fabric of verbal expression is riddled with hesitations and silences' (Beattie, 1983: 33).

However, research on the analysis of spoken discourse (Halliday, 1985; Eggins and Slade, 1997; McCarthy, 1998) shows that spoken English does have a consistent and describable structure and that in many respects the language patterning is the same as written English. Halliday (1985: 77) provides an explanation for the myth of the 'formlessness' of spoken language, arguing that it derives from the analysis of written transcriptions of conversation, with all their pauses, repetitions and false starts. He contends that an author's first draft, with its crossings-out and re-writings, would look just as ramshackle. Beneath its surface 'imperfections' (which are an essential part of its dynamic flexibility) spoken language exhibits a highly elaborate organization, and is grammatically intricate, though in a way which is quite different from the language which we read and write.

One way of approaching differences between speaking and writing is to plot individual texts along scales or dimensions. The following figure maps different kinds of spoken and written texts along such a scale. At one end of the scale, we have the most informal, concrete, interactions and, at the other, the most formal and abstract interactions.

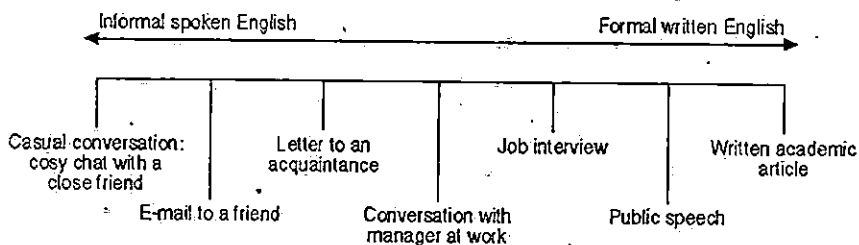
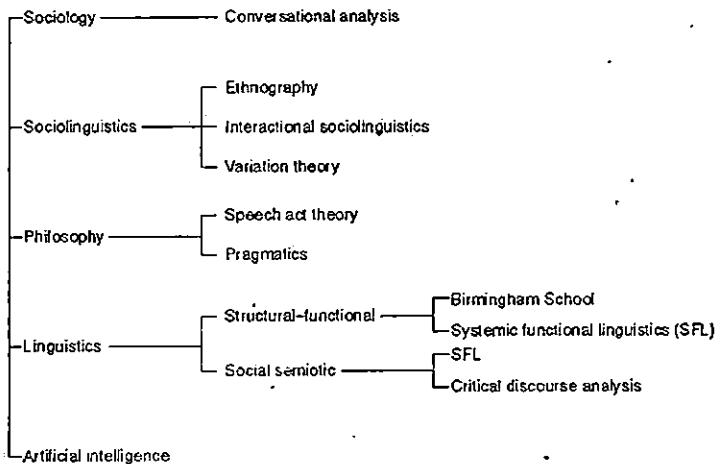


Figure 1.7: The cline between spoken discourse and written discourse

Language teachers will be aware that most traditional grammars derive from analysis of written texts. However, recently there has been the development of grammars that deal with both spoken and written English (Halliday, 1994; Biber et al., 1999; Carter, Hughes and McCarthy, 2001). Discourse analysis, provides valuable insights into the way we pattern and organize our speech. In every way possible, learners should be alerted to the

special qualities of spoken language and encouraged to accord equal 'validity' to both spoken and written formulations of language.

There are different approaches in analyzing discourse. They come from a number of different academic disciplines and the field is vast. We will not, therefore, attempt to provide a comprehensive review of approaches to discourse analysis, as this has been done elsewhere (see Levinson (1983), McCarthy (1991), Schiffrin (1994), Coulthard (1985), Eggins and Slade (1997)) but will, rather, focus on those approaches that have the greatest relevance to applied linguistics and language education. The different approaches that have developed since the mid-twentieth century may be classified according to different criteria. The most prominent, according to disciplinary origins, are shown in the following Figure.



(Cited from Eggins and Slade, 1997)

Figure 1.8: Different approaches in discourse analysis

The major contribution to the study of spoken discourse has come from sociology, in particular from conversational analysis. Within sociolinguistic approaches those relevant to the analysis of spoken discourse are the ethnography of speaking; interactional linguistics, research on narrative within variation theory. From philosophy, speech act theory and pragmatics have shed light on how people interpret particular utterances. Within linguistics, the Birmingham School and systemic functional linguistics (SFL)

have both made significant contributions to an understanding of spoken and written discourse in English. Recently, perspectives have emerged from interdisciplinary connections between linguistics and critical and cultural theory, including critical linguistics and critical discourse analysis (CDA).

Conversation analysis is concerned with the detailed organization of everyday interaction; thus, it contrasts with much of the work in mainstream sociology which focuses on large-scale categories of class, gender, age groups and so on. It is concerned mainly with dialogic, spoken discourse of a fairly informal character. Conversation analysis was stimulated by Garfinkel's ethnomethodology and Goffman's frame analysis, and was developed into a distinctive field of enquiry by Sacks, Schegloff, Jefferson and others. Conversation analysis focuses on conversation because it offers a particularly appropriate and accessible resource for sociological enquiry. It favors fine-grain analyses, often of quite short stretches of conversation. Key questions for conversation analysts are:

- How do people take turns in conversation?
- How do people open and close conversations?
- How do people launch new topics, close old ones, shift topic, etc.?
- How is it that conversation generally progresses satisfactorily from one utterance to the next?

Ethnographic approaches to conversation have been led by Hymes and are concerned with 'the situation and uses, the patterns and functions, of speaking as an activity in its own right. Hymes developed a schema for analyzing context that has the 'speech event' in which language occurs as its prime unit of analysis:

The speech event is to the analysis of verbal interaction what the sentence is to grammar ... It represents an extension in the size of the basic analytical unit from the single utterance to stretches of utterances, as well as a shift in focus from ... text to ... interaction.

(Hymes, 1972: 17)

Speech events include interactions such as a conversation at a party or ordering a meal, etc. Any speech event comprises several components and these are listed in the grid in the following table. With each letter acting as an abbreviation for a different component of communication, Hymes's grid has become known as the 'SPEAKING grid'.

Table 1.1: Hymes's SPEAKING grid (Hymes, 1972).

S	Setting	scene temporal and physical circumstances subjective definition of an occasion
P	Participant	speaker/sender/addressor hearer/receiver/audience/ addressee
E	Ends	ends purposes and goals outcomes
A	Act	sequence message form and content
K	Key	tone, manner
I	Instrumentalities	channel (verbal and non-verbal; physical forms of speech drawn from community repertoires)
N	Norms	norms of interaction and interpretation specific properties attached to speaking interpretations of norms within cultural belief system
G	Genre	textual categories

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The SPEAKING grid provides a necessary reminder of the contextual dimensions that determine our use of language. Hymes's ethnographic framework led not only to broader notions of the 'communicative competence' language users display but also to a recognition of the close relationship between speech events and their social or cultural contexts.

Discourse analysts also investigate how language is used, either consciously or subconsciously, to convey ideology. Findings from this research, which is sometimes referred to as Critical Discourse Analysis, have direct applications in the political arena. One of the most widely used models of Critical Discourse Analysis is proposed by Fairclough (2003). This model combines a focus on the internal properties of texts (i.e. the uses that they make of grammar, semantics, lexis and phonology) with a focus on their external properties (i.e. the relations that they have with more general social practices). Critical discourse analysts are interested in what speech functions are prominent in the texts, how people and ideas are represented, and what kind of stance or attitude is conveyed. Drawing on this information, they attempt to identify what the writer is trying to do with the text, and how he or she is using the text to represent the world. Fairclough's model assumes that no discourse can be completely neutral, and that a speaker's or writer's language choices convey particular ideologies, even at very microscopic levels.

Applied Linguistics and Forensic Linguistics

For lots of people, the word forensic will evoke images of white-coated scientists conducting lab tests on guns to see if they've recently been fired or dusting for fingerprints at the scene of a murder – the stuff of TV shows like CSI or *Waking the Dead*. Although in the USA the term forensics is normally associated with criminal investigation, it is used more broadly in the UK to refer to any activity or process related to the law enforcement and justice systems. In this sense, forensic linguists are those who study or interpret language use in the legal process, from crime scene to courtroom, either in the pursuit of justice or for general or applied linguistic scholarship.

Forensic linguistics is a booming sub-field of applied linguistics, with international professional organizations, journals, research centres and conferences (see Coulthard and Johnson, 2007: 5–7). From its roots in English language scholarship in the 1960s, it is now fast becoming a truly global area of scholarship and professional practice. According to a list from 2007 (Blackwell, 2008), the subject is taught at over forty institutions in more than fifteen countries, from Hong Kong to Kenya, Malaysia to Malta, Israel to Australia. In some it may be a single course on legal language in a law program; in others it may be a complete master's degree. In the couple of

years since that list was compiled, new courses have opened in the Czech Republic, Singapore and beyond.

Legal language, or 'jargon' as it is sometimes called, can be extremely difficult for the lay person to understand. This can lead to communication difficulties that have disastrous consequences for those involved. Linguists working in this area are interested in helping people to understand this jargon so that they do not 'trip up' linguistically and end up in prison. In a related field of study, which is sometimes referred to as forensic linguistics, researchers use linguistic tools to identify, for example, the likely authorship of blackmail notes, suicide notes and disputed plagiarism cases. Their evidence is sometimes used in court to establish whether or not it is likely that a person accused of writing for instance a blackmail letter did in fact write the letter, on the basis of linguistic comparisons made with other pieces of writing that they have produced (Eagleson 1994). These comparisons are based not just on the handwriting itself (if indeed the letter has been handwritten) but also on the writer's typical choices of vocabulary, collocation and phraseological patterning. It is worth noting at this point that authorship attribution is also well established in historical literary studies.

A well-known case of forensic linguistic intervention, cited by Olsson (2009), involves an investigation into the disappearance of a teenage girl from her home in Yorkshire. Since her disappearance her parents had been receiving texts from her mobile phone, but the police suspected that they may have been sent by her abductor in order to create the impression that she had left home voluntarily. A forensic linguist who was involved with the case observed that these texts were substantially longer than those that had been sent by the girl before she disappeared, and there were also significant differences in style. For example, whereas the girl tended to leave few spaces in her texts, using phrases like 'ave2go' to mean 'have to go', the texts that her parents had been receiving contained gaps between words, as in: 'ave 2 go'. The texts also contained abbreviations such as 'didn't' and 'aint' which the girl herself tended not to use. They also featured words such as 'mite' instead of 'might', and 'of' instead of 'off'. The identification of these small linguistic differences eventually led to the arrest of the girl's boyfriend. They were found to be features of his texting style rather than hers; he subsequently confessed to having faked the texts and was eventually jailed for her abduction and murder.

Sometimes forensic linguists have used linguistic data to show that evidence has been fabricated by the police. They have been able to demonstrate this by pointing out cases where the police have used words and expressions that the suspect would never themselves have used. For example, evidence provided by the eminent forensic linguist Malcolm Coulthard (1994) was instrumental in securing the release of the 'Birmingham Six'; a group of innocent men who had been wrongfully imprisoned for planting a terrorist bomb in the centre of the second largest city in the UK. Coulthard was able to establish that the so-called 'confessions' used to secure the convictions of these men had been fabricated by the police by pointing out a number of features of the language in the confessions that are characteristic of written rather than spoken discourse, and that would never have been used by these men.



EXERCISE 3

- 1) There are two interrelated strands of work in language teaching, how language should be taught and what kind of language should be taught. What are the focuses of the first strand?
- 2) What is Widdowson and Brumfit's view of language learning?
- 3) What is the main difference between the model of communicative competence proposed by Celce-Murcia et. al (1995) and the model of communicative competence proposed by Celce-Murcia (2007)?
- 4) What is the main difference between linguistic competence and formulaic competence?
- 5) One approach that is commonly used in analyzing discourse, especially spoken discourse, is ethnography of speaking proposed by Hymes. Provide your explanation about this approach.



SUMMARY

In this chapter we have looked at just a few of the ways in which applied linguistic research has had a real impact in different walks of life beyond the realms of academia. As we have seen, this desire to engage with – and be accountable to – the wider public is one of the hallmarks of applied linguistics as a field of study, and is one of the main reasons

why applied linguistics is such a dynamic and exciting field to be involved in. This is not to say that applied linguistics is a purely practical endeavor, however. On the contrary, applied linguistics remains an academic subject first and foremost, and in the next module we will take a closer look at what studying applied linguistics at university level actually involves.



FORMATIVE TEST 3

- 1) There are two interrelated strands of work in language teaching, how language should be taught and what kind of language should be taught. What are the focuses of the second strand?
- 2) What is Richards' view of communicative language teaching?
- 3) Explain some variables included in sociocultural competence!
- 4) Why is discourse competence important in applied linguistics?
- 5) What do you understand about forensic linguistics?

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next

		unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

Answer Key

Exercise 1:

- 1) After reading several definitions of applied linguistics you find that most of them are similar. Why do you think most of them are similar?

Answer:

Because most of the definitions of applied linguistics deal with the interdisciplinary field that covers or involves not only linguistics but also other fields like sociology, psychology, anthropology, communication, education, politics, law, computer science, and many other fields. Almost all definitions of applied linguistics deal with the real or practical problems involving language.

- 2) State your own definition of applied linguistics!

Answer:

The answer will vary, but the definition proposed should include at the keywords such as application, interdisciplinary field, real or practical problem involving language.

- 3) Many people tend to agree with the inclusive or broad definition of applied linguistics. What are the advantages of using the broad definition?

Answer:

There are two advantages of using broad definition. First, it makes applied linguistics different from other branches of linguistics by focusing its orientation towards language-related problems, and it implies that the work in applied linguistics can have some impact upon those problems, potentially influencing how decisions are made about them. Second, it is also general enough to encompass the many disparate activities and areas of enquiry that call themselves applied linguistics.

- 4) What is the relationship between linguistics and applied linguistics?

Answer:

Looking at the term applied linguistics literally, many people say that applied linguistics is the application of linguistic theories. This opinion is supported by Hall, Smith and Wicaksono (2011: 32) who state that many

people might think that a definition of applied linguistics would follow on quite naturally as another sub-discipline of general linguistics, presumably like applied physics follows from pure physics. Applied physics could be defined as 'physics applied for practical use'. By analogy, then, the term 'applied linguistics' should refer to the application of general linguistics to practical use in additional language teaching, translation, speech therapy, etc.

Another opinion says that there three positions to explain their relationship. First, applied linguistics, because linguistics is part of its name, is linked to linguistics, which is sometimes referred to as the 'parent' discipline. The literal interpretation of applied linguistics as 'linguistics applied' reinforces this view. From this perspective, linguistics is the authoritative source for all that is needed to meet the aims of applied linguistics. The second view is known as 'autonomous applied linguistics.' Autonomous applied linguistics sees applied linguistics as at least semiautonomous, if not completely autonomous, from linguistics or any source discipline and allows that anyone can be an applied linguist. While acknowledging that linguistics may be part of applied linguistics, practitioners do not rely exclusively on linguistics. A third view is known as the 'applied linguistics' position, so called because applied linguists are linguists engaged in application. It is distinguished from other views in its recognition that the knowledge and skills of a linguist are inadequate to the task of solving problems related to the uses and users of language. To address this inadequacy, the applied linguist calls upon the skills and knowledge of other professionals both inside and outside the academic world.

- 5) What is the main difference between Applied Linguistics and Linguistics Applied?

Answer:

Following the opinion from Davies and Elder, we can say that Applied Linguistics (AL) looks outward, beyond language in an attempt to explain, perhaps even ameliorate social problems, while Linguistics Applied (LA) looks inward, concerned not to solve language problems "in the real world" but to explicate and test theories about language itself. So LA uses language data to develop our linguistic knowledge about language, while AL studies a language problem with a view to

correcting it. Applied Linguistics is a coherent activity which theorizes through speculative and empirical investigations real-world problems in which language is a central issue. They intend to offer a coherent account of applied linguistics as an independent and coherent discipline, which seeks to marry practical experience and theoretical understanding of language development and language in use.

Exercise 2:

- 1) Davies and Elder (2004) classify a wide range of topics into two broad categories, namely the topics that belong to linguistics applied and the topics that belong to applied linguistics. Mention some topics that belong to linguistics applied and the topics that belong to applied linguistics. Provide your reasons for this classification.

Answer:

Some topics that are classified into Linguistics-Applied are language descriptions, lexicography, second language acquisition, language corpora, discourse analysis, assessing language attitude, language attrition, language, thought and culture, conversation analysis, language and law, language and gender, language and politics, and stylistics.

Some topics that are classified into applied linguistics are native speaker in applied linguistics, language minorities, second language learning, literacy studies, fashions in language teaching methodology, Computer Assisted Language Learning (CALL), language for specific purposes, bilingual education, language maintenance, language planning, language testing, and critical applied linguistics.

The classification is based on the extent of the use of linguistics in solving problems related to each topic. If the involvement of the linguistic theories is greater, then we classify the topic into linguistics applied. On the other hand, the involvement of the other fields, such as education, sociology, computer science, is greater, we classify the topic into applied linguistics.

- 2) Language teaching methodology is one of the areas in applied linguistics that are commonly discussed and becomes one of the most important topics in applied linguistics. How is the theory of grammar treated language teaching methodology?

Answer:

Theories of grammar come and go with monotonous regularity. There is ongoing debate about the role of explicit grammar teaching in the language classroom, and this has been a fruitful area for a great deal of applied linguistic research. Although there remain a number of different positions on this question, the general consensus is that language learners do benefit from having their attention drawn to target language structures and patterns, but that the teaching of rigid 'grammar rules' can sometimes do more harm than good as they do not accurately describe the way the language actually works.

3) Find as much as information about audiolingual method. Then answer the following questions!

- What are the goals of teachers who use this method?

The teacher wants his/her students to be able to use the target language communicatively so that they need to overlearn the target language, to learn it automatically without stopping to think. The student achieve this by forming new habits in the target language.

- What is the role of the teacher? What is the role of the students?

The teacher is like an orchestra leader, directing and controlling the language behavior of the students and responsible for providing the students with a good model for imitation. Students are imitators of teacher's model. They follow the teacher's directions and respond as accurately and as rapidly as possible.

- What are some characteristics of the teaching/learning process?

New vocabulary and structural pattern are presented through dialog and the dialogs are learned through imitation and repetition. Drills are conducted based on the patterns present in the dialog. Grammar is induced from the examples given and explicit grammar rules are not provided.

- What is the nature of student-teacher interaction? What is the nature of student-student interaction?

- There is student-to-student interaction in chain drills or when students take different role in dialogs but this interaction is teacher-directed and most of the interaction between teacher and students is initiated by the teacher.

- What is the role of students' native language?

The target language is used in the classroom. Not the students' native language because the habits of the native language interfere with the students' attempts to master the target language.

- 4) What are the main differences between grammatical syllabus and functional syllabus?

Answer:

The grammatical syllabus focuses on the ordering of grammatical structures from the simplest to the most complex. Vocabulary and grammar tend to be treated as separate phenomena and the language presented tends to be somewhat artificial, in order to allow for the systematic introduction of grammar 'rules'.

Functional syllabus is the syllabus that is ordered according to lists of functions and notions which the syllabus designer deems relevant to learners at a particular level. Functions are the 'communicative purposes' for which language is used and include things such as 'advising' or 'persuading', and notions are the contexts in which these functional communicative acts take place.

- 5) Explain the types of language test based on the purposes of conducting the test!

Answer:

- Achievement test is the test used to measure students' progress on a certain type of learning process.
- Proficiency test is the test used to measure someone's performance regardless of any training or learning process he/she has followed.
- Placement test is the test used to position the students in the appropriate level of language training.
- Diagnostic test is the test used to find the strengths and weaknesses of the students.

- 6) What is language for specific purposes?

Answer:

Language for Specific Purposes (LSP) is generally used to refer to the teaching and research of language in relation to the communicative needs of speakers of a second language in facing a particular workplace, academic, or professional context. In such contexts language is used for

a limited range of communicative events. For example, in a university context, spoken language is typically used by students in events such as participating in seminars and tutorials, presenting papers, and asking and answering questions in class. Analysis of language in such events generally reveals that language is used in constrained and fairly predictable ways.

- 7) What is the difference between English for Academic Purposes (EAP) and English for Occupational Purposes?

Answer:

A major sub-branch of LSP is English for Academic Purposes (EAP), whose main aim is to help prepare international students for study at English-speaking universities. According to Groom and Littlemore (2011: 18), researchers in this area study the types of language that are used in lectures, seminars and written papers across the range of disciplines that are offered at universities where English is the medium of instruction. They are also interested in studying how the types of language used vary across different disciplines, and across the different spoken and written genres of higher education (e.g. lectures, seminars, research articles, textbooks, argumentative essays, laboratory reports, etc.). They also investigate the effectiveness of different modes of delivery, including for example team teaching with subject lecturers. Related to this is the field of academic literacy. The focus here is more on native speakers of the language who for one reason or another may not be familiar with the linguistic conventions that are common in academic discourse. Again the focus is on describing and teaching or critiquing these conventions in order to enhance student learning levels in higher education.

- 8) Provide your explanation about a three-part framework for understanding how education in multiple languages is commonly organized!

Answer:

The three-part framework consists of (1) language-based, (2) content-based and (3) context based. These ways of looking at programs are not mutually exclusive, of course. To some extent, all programs must take into account the language and subject matter learning needs of their

students, as well as the contextual features and constraints of the larger context in which they are based. We argue that much more can be learned about particular schools and programs by examining them from all three frames.

- 9) What do you know about the different types of planning?

Answer:

There are three different types of planning. The first one is status planning. Status planning is the allocation or reallocation of a language or variety to functional domain within a society, thus affecting the status, or standing, of a language. The second one is corpus planning. Corpus planning refers to the prescriptive intervention in the forms of a language, whereby planning decisions are made to engineer changes in the structure of the language. Three groups of corpus planning are graphisation, standardization, and modernization. The third one is acquisition planning. Acquisition planning is a type of language planning in which a national, state or local government system aims to influence aspects of language, such as language status, distribution and literacy through education

- 10) What is sociolinguistics?

Answer:

Sociolinguistics studies the relationship between language and society. The focus is on variation in the way people use language as well as on language change. Researchers in this area are interested in how people use language to create and maintain social structures and hierarchies. They also look at the role of language in creating and maintaining a person's identity.

Exercise 3:

- 1) There are two interrelated strands of work in language teaching, how language should be taught and what kind of language should be taught. What are the focuses of the first strand?

Answer:

The focus of the first strand is on how language is best presented to learners and what kinds of activities are most conducive to language learning. In this case, we find several approaches and methods used by

the teachers in teaching language, especially in teaching second or foreign language. We recognize grammatical translation method as one of the oldest language teaching methods, direct method, and audiolingual method. We also recognize some alternative approaches and methods in the twentieth century. They are the natural approach, total physical response, the silent way, community language learning, and suggestopedia. Some current approaches and method in language teaching are communicative language teaching (CLT), content based instruction and content and language integrated teaching (CLIL), whole language, competency based language teaching, task based language teaching, text based instruction, the lexical approach, multiple intelligences, and cooperative language teaching.

- 2) What is Widdowson and Brumfit's view of language learning?

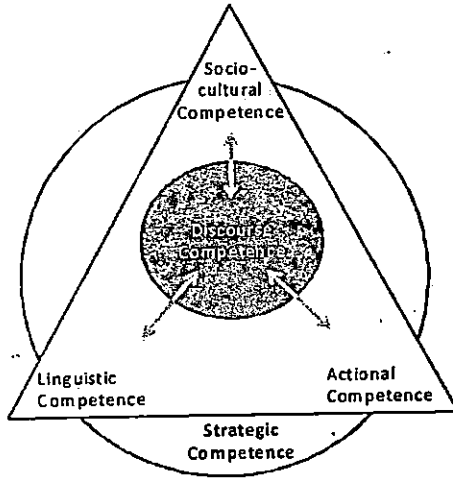
Answer:

Language learning should not just be about learning grammar rules and vocabulary, but should focus on teaching learners how to use the language that they have learned to express themselves effectively, and to understand how linguistic meanings relate to the social and situational contexts in which they occur.

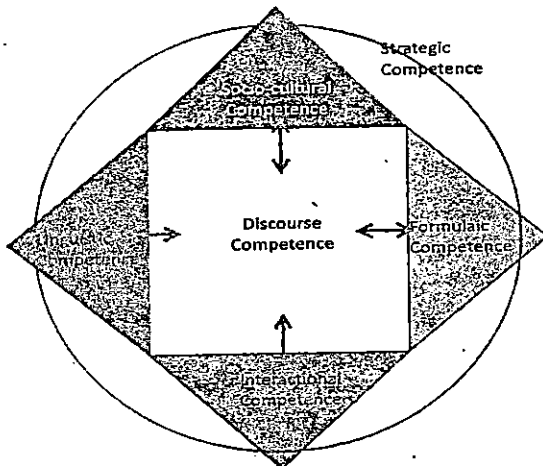
- 3) What is the main difference between the model of communicative competence proposed by Celce-Murcia et. al (1995) and the model of communicative competence proposed by Celce-Murcia (2007)?

Answer:

Celce-Murcia et.al. (1995) say that the components of communicative competence are linguistic competence, socio-cultural competence, actional competence, discourse competence, and strategic competence. Discourse competence is the center of communicative competence, while strategic competences function as ways to achieve other competencies. The following figure describes the interrelation among the five competencies.



Celce-Murcia (2007) revises the model of communicative competence that Celce-Murcia et.al. (1995) propose. She adds one more component into the diagram. The new component is the formulaic competence. The following figure shows the revised model of communicative competence proposed by Celce-Murcia.



- 4) What is the main difference between linguistic competence and formulaic competence?

Answer:

Linguistic competence refers to one's knowledge of the language itself, and includes knowledge of vocabulary, morphology, syntax and phonology, as well as knowledge about how the different parts of a text fit together and are generally organised. Linguistic competence includes four types of knowledge:

- phonological: includes both segmentals (vowels, consonants, syllable types) and suprasegmentals (prominence/stress, intonation, and rhythm).
- lexical: knowledge of both content words (nouns, verbs, adjectives) and unction words (pronouns, determiners, prepositions, verbal auxiliaries, etc.).
- morphological: parts of speech, grammatical inflections, productive derivational processes.
- syntactic: constituent/phrase structure, word order (both canonical and marked), basic sentence types, modification, coordination, subordination, embedding.

Formulaic competence is the counterbalance to linguistic competence. Linguistic competence entails the recursive, open-ended systems listed above. Formulaic competence refers to those fixed and prefabricated chunks of language that speakers use heavily in everyday interactions. Formulaic competence includes:

- routines: fixed phrases like of course, all of a sudden and formulaic chunks like How do you do? I'm fine, thanks; how are you?
- collocations: verb-object: spend money, play the piano, adverb-adjective: statistically significant, mutually intelligible; adjective-noun: tall building, legible handwriting
- idioms: e.g., to kick the bucket = to die; to get the ax = to be fired/terminated
- lexical frames: e.g., I'm looking for _____. See you (later/tomorrow/ next week, etc)

- 5) One approach that is commonly used in analyzing discourse, especially spoken discourse, is ethnography of speaking proposed by Hymes. Provide your explanation about this approach.

Answer

Ethnographic approaches to conversation are concerned with 'the situation and uses, the patterns and functions, of speaking as an activity in its own right. Hymes developed a schema for analysing context that has the 'speech event' in which language occurs as its prime unit of analysis. Speech events include interactions such as a conversation at a party or ordering a meal, etc. Any speech event comprises several components and these are listed in the grid in the following table. With each letter acting as an abbreviation for a different component of communication, Hymes's grid has become known as the 'SPEAKING grid'.

- | | |
|---|---|
| S | Setting scene temporal and physical circumstances subjective definition of an occasion |
| P | Participant speaker/sender/addressor hearer/receiver/audience/addressee |
| E | Ends ends purposes and goals outcomes |
| A | Act sequence message form and content |
| K | Key tone, manner |
| I | Instrumentalities channel (verbal and non-verbal; physical forms of speech drawn from community repertoires) |
| N | Norms norms of interaction and interpretation specific properties attached to speaking interpretations of norms within cultural belief system |
| G | Genre textual categories |

Key to Formative Tests

Formative Test 1:

- 1) Study the following definitions of applied linguistics carefully and explain the similarities and the differences among these three definitions! 'Applied linguistics' (AL) is one of several academic disciplines focusing on how language is acquired and used in the modern world. It is a somewhat eclectic field that accommodates diverse theoretical approaches, and its interdisciplinary scope includes linguistic, psychological and educational topics. Although the field's original focus

was the study of foreign/second languages, this has been extended to cover first language issues, and nowadays many scholars would consider sociolinguistics and pragmatics to be part of the AL rubric. Recently, AL conferences and journals have reflected the growing influence of psychology-based approaches, which in turn is a reflection of the increasing prevalence of cognitive (neuro)science in the study of human mental functions. (Zoltán Dörnyei: Professor of Psycholinguistics, University of Nottingham)

Applied linguistics is a discipline which explores the relations between theory and practice in language with particular reference to issues of language use. It embraces contexts in which people use and learn languages and is a platform for systematically addressing problems involving the use of language and communication in real-world situations. Applied linguistics draws on a range of disciplines, including linguistics. In consequence, applied linguistics has applications in several areas of language study, including language learning and teaching, the psychology of language processing, discourse analysis, stylistics, corpus analysis, literacy studies and language planning and policies. (Dawn Knight Research Associate, University of Nottingham)

Applied linguistics is a broadly interdisciplinary field concerned with promoting our understanding of the role language plays in human life. At its centre are theoretical and empirical investigations of real-world issues in which language plays a leading role. Applied linguistics focuses on the relationship between theory and practice, using the insights gained from the theory-practice interface for solving language-related problems in a principled way. (Juliane House: Professor of Foreign Language Teaching, Universität Hamburg)

- 2) De Bot (2015) classifies the definitions of applied linguistics in inclusive and exclusive definitions. The inclusive definition is the open one in line with the range of topics at the conferences of the Association Internationale de Linguistique Appliquée (AILA), avoiding any risk that someone would not feel welcome. The exclusive definition is the restricted definitions, usually proposed by an individual based on his/her area of expertise. Find two examples of inclusive definitions and two

examples of exclusive definitions and provide the reasons for choosing the examples.

Answer:

The definition provided by the International Association for Applied Linguistics (AILA) is an example of the inclusive definitions.

Applied linguistics is 'an interdisciplinary field of research and practice dealing with practical problems of language and communication that can be identified, analyzed or solved by applying available theories, methods or results of Linguistics or by developing new theoretical and methodological frameworks in linguistics to work on these problems.

The definition proposed by AILA is classified inclusive because it covers many different areas like child language acquisition, language and communication disorders, multilingualism, language testing, communication in the workplace, and so on.

The second example of the inclusive definition is the definitions proposed by Davies and Elder (2004):

Applied linguistics is often said to be concerned with solving or at least ameliorating social problems involving language. The problems applied linguistics concerns itself with are likely to be: How can we teach languages better? How can we improve the training of translators and interpreters? How can we write a valid language examination? How can we evaluate a school bilingual program? How can we determine the literacy levels of a whole population? How can we helpfully discuss the language of a text? What advice can we offer a Ministry of Education on a proposal to introduce a new medium of instruction? How can we compare the acquisition of a European and an Asian language? What advice should we give a defense lawyer on the authenticity of a police transcript of an interview with a suspect?

(Davies & Elder, 2004: 1)

The definition proposed by Davies and Elder is also classified as the inclusive definition because it is broad and covers many different areas like language teaching, translation and interpretation, language

assessment, bilingualism, literacy, language planning and policy, language acquisition, language and law, etc.

The first example of exclusive definition is the definition proposed by Corder (1973):

“Applied linguistics is the utilization of the knowledge about the nature of language achieved by linguistic research for the improvement of the efficiency of some practical tasks in which language is a central component”.

The definition is considered exclusive because this definition limits its scope on the use of knowledge about language in solving practical problems related to language.

The second example of exclusive definition is the one proposed by Schmitt and Celce-Murcia:

‘Applied Linguistics is using what we know about (a) language, (b) how it is learned, and (c) how it is used, in order to achieve some purpose or solve some problem in the real world’

This definition is considered exclusive because the primary concerns of Applied Linguistics have been second language acquisition theory, second language pedagogy and the interface between the two.

- 3) McCarthy (2001) proposes a list of real problems that need to be solved in the field of applied linguistics. One of them is: A teacher of English as a foreign language wonders why groups of learners sharing the same first language regularly make a particular grammatical mistake that learners from other language backgrounds do not. List at least five questions a language teacher asks to solve this problem!
- 4) Study the following language problem carefully and then provide some questions that should be answered to solve the problem.

Many teachers of English as a second or foreign language will be familiar with errors such as the following in their students' written work: A teacher has set an essay entitled 'Traffic in Jakarta'. A student writes the title at the top of the page:

Traffic in Jakarta

And then begins the first paragraph of the essay:

It is a very big problem nowadays and many cities in the world suffer from it. . . . etc.

The teacher crosses out the first *it* and puts *traffic* instead.

Traffic

It is a very big problem nowadays and many cities in the world suffer from it. . . . etc.

Another student writes:

Jakarta is the big city. It is a problem in Jakarta and many big cities...etc

The teacher crosses out *it* and puts *traffic* instead.

Traffic

Jakarta is the big city. It is a problem in Jakarta and many big cities...etc

- 5) Why do many people view applied linguistics as a sister (rather than a sub-) discipline of general linguistics?

Answer:

Because they view applied linguistics as a discipline concerned with the role language and languages play in perceived problems of communication, social identity, education, health, economics, politics and justice, and in the development of ways to remediate or resolve these problems. Scholars in this view address an increasingly broad range of language-related issues. They draw on theory, findings and method from many other scholarly fields aside from general linguistics, including education, anthropology, sociology, public policy, health sciences, information technology and others. Thus they differ largely in terms of the scope of objectives, methods and inputs.

6) What is the main focus of applied linguistics in Australia?

Answer:

Following McNamara's opinion, we can say that Australian applied linguistics took as its target the applied linguistics of modern languages and the languages of immigrants, rather than of English, especially the considerable work in the applications of linguistics to the development of teaching materials and writing systems for aboriginal languages. English in general came on the applied linguistics rather late, and it was in the context of mother tongue teaching and of the teaching of English to immigrants (ESL) rather than as a foreign language (EFL). What has been distinctive about applied linguistics in Australia has been its concern for language in education, both with regard to new migrant languages (and linking with language-maintenance) and with regard to literacy in English.

Formative Test 2:

1) Schmitt and Celce-Murcia (2010) mention 16 topic areas illustrated by the call for papers for the American Association of Applied Linguistics (AAAL) 2010 conference. Those topic areas include:

- Analysis of discourse and interaction
- Assessment and evaluation
- Bilingual, immersion, heritage and language minority education
- Language and ideology
- language and learner characteristics
- language and technology
- language cognition and brain research
- language, culture, socialization and pragmatics
- language maintenance and revitalization
- language planning and policy
- reading, writing and literacy
- second and foreign language pedagogy
- second language acquisition, language acquisition and attrition
- sociolinguistics
- text analysis (written discourse)
- translation and interpretation.

Classify these topics in the ones that belong to linguistics applied and the one that belong to applied linguistics.

Answer:

There may be many possible classification. The classification depends on the degree of the involvement of linguistic theories in each of the topics. One of the classifications are as follow:

Linguistics applied:

- Analysis of discourse and interaction
- Language and ideology
- language and learner characteristics
- language and technology
- language, culture, socialization and pragmatics
- language planning and policy
- second language acquisition, language acquisition and attrition
- text analysis (written discourse)

Applied linguistics:

- Assessment and evaluation
- Bilingual, immersion, heritage and language minority education
- language cognition and brain research
- language maintenance and revitalization
- reading, writing and literacy
- second and foreign language pedagogy
- sociolinguistics
- translation and interpretation.

2) Find as much as information about total physical response. Then answer the following questions!

- What are the goals of teachers who use this method?
Teachers using TPR believe in the importance of having their students enjoy their experience in learning to communicate in a foreign language.
- What is the role of the teacher? What is the role of the students?
The teacher is the director of all students behavior. The students are imitators of teacher's nonverbal model.
- What is the nature of student-teacher interaction? What is the nature of student-student interaction?

The teacher interacts with the whole group and with individual students. Initially the teacher speaks and students respond it through action, then students become more verbal and the teacher responds nonverbally

- How are the feeling of the students dealt with?
TPR is develop to reduce stress and anxiety when studying foreign language. So learners are allow to speak when they are ready and forcing them to speak will create anxiety. One way to relieve anxiety is to create learning as enjoyable as possible.
- How is the language viewed? How is the culture viewed?
Oral language is the primary one and culture is the life style of people who speak the language natively
- What areas of language are emphasized? What language skills are emphasized?
Vocabulary and grammatical structure are emphasized. Understanding spoken language is emphasized over written language.
- What is the role of students' native language?
TPR is usually introduced in the student's native language. After the introduction the native language is rarely used because meanig is made clear through body movement.

3) What are the main differences between grammatical syllabus and task based syllabus?

Answer:

The grammatical syllabus focuses on the ordering of grammatical structures from the simplest to the most complex. Vocabulary and grammar tend to be treated as separate phenomena and the language presented tends to be somewhat artificial, in order to allow for the systematic introduction of grammar 'rules'.

The task-based syllabus emphasizes the successful completion, through interaction and communication between learners, of a variety of tasks which are preselected by the teacher or syllabus designer for their suitability in promoting the process of acquisition, or for their relevance to learners' needs, rather than the learning of pre-selected linguistic content.

- 4) Explain some characteristics of a good test!

Answer:

The first characteristic of a good test is validity. The test is called valid when it measures what it supposes to measure. The second characteristic is reliability. The test is reliable when it measures consistently. The third characteristic is practicality. The test is called practical when it is easy to administer, does not spend a lot of budget, and is easy to score.

- 5) What is the main focus of language for specific purposes?

Answer:

The main focus of Languages for Specific Purposes (LSP) is at the features of different types of language with a view to teaching learners who are going to have to use these specific types of language in their everyday lives. The groups of people who use specific types of language for a common purpose are sometimes referred to as discourse communities, and the aim of researchers in the area of LSP is to investigate how teachers can best help students to enter these communities.

LSP courses usually focus on the specific language needs of fairly homogeneous groups of learners in regard to one particular context referred to as the target situation. For example, LSP courses may involve a group of language learners who all intend to study at university, work as engineers, or aim to work as nurses in the future. The aim of such courses is to help the learners deal with the linguistic demands of their academic, workplace, or professional target situations.

- 6) What is bilingual education?

Answer:

Bilingual education has multiple meanings. First, bilingual education is loosely used to refer to schools attended by bilingual children, such as Greek and Gujarati children in U.K. schools. Bilingualism is not fostered in this school because the aim is to shift the child rapidly from the home, minority language to the dominant, majority language. Second, the term refers to children who are allowed to use their home language in the classroom for only a short period (e.g., one or two years) until they switch to the majority language (called transitional bilingual education). Third, bilingual education appears a more appropriate label for schools

in which students learn through two languages in the classroom. For example, there are dual language schools in the United States that teach students through Spanish for one day and the next day through English.

7) What is language planning?

Answer:

Language planning is a deliberate effort to influence the function, structure, or acquisition of a language or language variety within a speech community. It is often associated with government planning, but it is also used by a variety of non-governmental organizations. The goal of language planning differs depending on the nation or organization, but generally includes making planning decisions and possibly changes for the benefit of communication. Planning or improving effective communication can also lead to other social changes, such as language shift or assimilation.

8) What is forensic linguistics?

Answer:

Forensic linguistics broadly deals with the relationship between language and the law. It looks at how language is used in the legal process, focusing on the discourse of the police, lawyers, judges and legal documents, and courtroom interaction. Under its narrower definition, forensic linguistics refers to the examination of linguistic evidence in court. It is used in cases of disputed authorship of written texts (such as police statements) and where there are issues of plagiarism. Forensic linguists provide information that helps jurors decide whether a particular person is likely to have been the author of a particular text. They also study cases where inaccurate translations of statements made by nonnative speakers have led to miscarriages of justice, and are therefore able to advise on the treatment of people who may have difficulties with the language of the legal system.

9) What do you know about translation and translation studies?

Answer:

Translation has several meanings. First, it may refer to the general field introduced in linguistics department. Second, it may refer to the product, that is the text that has been translated. Third, it may refer to the process,

that is the act of producing the translation, also known as translating. The process of translation between two different written languages involves the translator changing an original written text, known as source text, in the original verbal language, known as source language, into a written text, the target text, in a different verbal language, known as target language.

Translation study is an academic research area or the discipline that concerns itself with the theory and practice of translation. Researchers in translation studies study the choices that people make when translating from one language to another. Translation studies scholars are also interested in studying the impact that translations or collections of translations have had in the sociocultural situation of the languages involved. They attempt to use existing theories of translation to predict what the process of translation is likely to involve for particular pairs of languages and types of text.

Formative Test 3:

- 1) There are two interrelated strands of work in language teaching, how language should be taught and what kind of language should be taught. What are the focuses of the second strand?

Answer:

The second strand focuses more on what kind of language should be taught. Traditionally the grammar components of language classes have tended to focus on written grammar, but the advent of spoken corpora has revealed patterns in spoken language that could usefully be taught to language learners. Recent studies have revealed that spoken language has its own grammar which differs in places from the grammar of the written language. The second component is vocabulary. Traditionally, the main focus of teaching vocabulary was the vocabulary of written language. But nowadays, vocabulary is taught based on the context.

- 2) What is Richards' view of communicative language teaching?

Answer:

Communicative approaches to language teaching differ from previous approaches to language learning in that they are competency based. The main focus is on the outcomes of learning. They look at what learners might be expected to do with the language, and use these to inform the

ways in which the language is taught. The ultimate goal of communicative language teaching is to foster the ability not only to apply the grammatical rules of a language in order to form grammatically correct sentences but also to know the appropriate time and place to use these sentences and to the appropriate audience.

3) Explain some variables included in sociocultural competence!

Answer:

Sociocultural competence refers to the speaker's pragmatic knowledge, i.e. how to express messages appropriately within the overall social and cultural context of communication. This includes knowledge of language variation with reference to sociocultural norms of the target language.

Three most crucial variables of sociocultural competence are:

- social contextual factors: the participants' age, gender, status, social distance and their relations to each other re: power and affect.
- stylistic appropriateness: politeness strategies, a sense of genres and registers.
- cultural factors: background knowledge of the target language group, major dialects/regional differences, and cross cultural awareness.

4) Why is discourse competence important in applied linguistics?

Answer:

Because discourse analysis enables applied linguists to analyze and understand real language data, for example, texts written by first and second language learners, or recordings of the spoken output of second language learners, or of the interaction between teachers and learners or among learners themselves in classrooms. It also enables us to understand better the kinds of discourse that language learners are exposed to outside the classroom: the language of service encounters in shops, banks, restaurants, etc., the language of newspapers, the language of everyday informal conversation. In addition, such analyses can assist language teachers and materials writers to evaluate language course books in terms of how closely they are approximate authentic language, or what needs to be modified when authentic texts are brought into the classroom. Language testing can also gain a great deal from looking at

real language use as a source of criteria for the evaluation of test performances.

- 5) What do you understand about forensic linguistics?
The answer will vary.

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SECOND LANGUAGE ACQUISITION

Dr. Refnaldi, M.Litt.



INTRODUCTION

Congratulations! You have successfully finished Module I. Welcome to Module II. This module deals with second language acquisition. As a matter of fact, the materials and discussion of second language acquisition are too broad to pack in one module. Thus, the main issues discussed in this module are the basic concepts of second language acquisition, individual learner differences, and the linguistic approaches of second language acquisition.

After finishing this module, you are kindly expected to be able to:

1. mention and argumentatively criticize the available definitions of second language acquisition, and formulate and state definition(s) of second language acquisition by using your own words;
2. tell the story of second language acquisition
3. Explain and criticise the key issues in second language acquisition
4. Explain the roles of age, aptitude, motivation, and personality in Second Language Acquisition (SLA)
5. Explain the roles of learning styles and learning strategies in SLA
6. Explain and criticise contrastive analysis, error analysis and interlanguage in SLA
7. Explain and criticise monitor model, universal grammar, and some functional approaches in SLA

To achieve these objectives systematically, the materials of this module are presented respectively as follow:

1. Unit 1 : The Nature of Second Language Acquisition (SLA)
2. Unit 2 : Individual Learner Differences in SLA
3. Unit 3 : The Linguistic Approaches to SLA

As this subject belongs to content subject in linguistics, reading activities and academic discussion in groups or in pairs are highly suggested. Therefore, the following activities are kindly suggested to do in order to learn this module successfully.

1. Please read carefully the materials and explanation in each unit;
2. then, read further related references and information by means of independent learning and reading;
3. do not forget to add relevant examples and have discussion in groups or in pairs;
4. sometimes it is not easy to have better understanding on certain complex and complicated concepts. If it is so, read the materials again and you may have comparative discussion with your partners;
5. do all the exercises and compare your answers with those of your friends before consulting the key answers provided!

All right students, do your best and good luck!

UNIT 1

The Nature of Second Language Acquisition (SLA)

What is second language acquisition (SLA)? Is it different from second language learning? Absolutely not. SLA is simply a term given to the methodical study of second language learning or, for that matter, third language learning. SLA scholars are 'applied linguists'. Unlike scholars of general linguistics their prime objective is not to describe a language. Rather, they look for relationships between a language and the people who are speaking it or attempting to speak it. They wonder what might be the complex influences that contribute to the huge range of second language learning outcomes. They ask themselves why some learners learn faster than others and why some learners achieve ultimately higher levels than others. They investigate why some learners have a burning desire to learn a language while others do it simply because they are forced to. SLA researchers want to know whether there is something about the second language that causes this variation or whether it is something inherent in the learner's first language. Like other 'social scientists' SLA researchers also investigate the 'old chestnut' about the balance between nature and nurture. Is second language learning ability something we are born with or is it the case that aspects of the society we are in enable some people to learn better than others? All these questions, then, are of interest to SLA scholars.

A. DEFINITIONS

Just like applied linguistics, it is also quite difficult to define second language acquisition (SLA) due to its broad areas and scopes. However, we read some textbooks on second language acquisition and we find the similarities and differences among the definition proposed by the experts in second language acquisition. The following explanation is the definitions of second language acquisition stated in several textbooks on second language acquisition.

The first definition is stated by Ellis. Ellis (1997: 3) says that second language acquisition is the systematic study of how people acquire a second

language. At first sight, the meaning of the term 'second language acquisition' seems transparent but, in fact, it requires careful explanation. For one thing, in this context 'second' can refer to any language that is learned subsequent to the mother tongue. Thus, it can refer to the learning of a third or fourth language. Also, 'second' is not intended to contrast with 'foreign'. In other words, it can be stated that whatever we learn a language naturally as a result of living in a country where it is spoken, or learning it in a classroom through instruction, it is customary generically of 'second' language acquisition.

The second definition is derived from Gass and Selinker in their textbook entitled 'Second Language Acquisition: An Introductory Course'. Gass and Selinker (2008: 7) say that *Second Language Acquisition (SLA)* is the common term used for the name of the discipline. In general, SLA refers to the process of learning another language after the native language has been learned. Sometimes the term refers to the learning of a third or fourth language. The important aspect is that SLA refers to the learning of a nonnative language *after* the learning of the native language. The second language is commonly referred to as the L2. As with the phrase "second language," L2 can refer to any language learned *after* learning the L1, regardless of whether it is the second, third, fourth, or fifth language. By this term, Gass and Selinker mean both the acquisition of a second language in a classroom situation, as well as in more "natural" exposure situations. Some might prefer the term *Second Language Studies (SLS)* as it is a term that refers to anything dealing with using or acquiring a second/foreign language.

Gass and Selinker also differentiate between foreign language learning and second language acquisition. Foreign language learning is generally differentiated from second language acquisition in that the former refers to the learning of a nonnative language in the environment of one's native language (e.g., Indonesian speakers learning English in Indonesia or Spanish speakers learning French in Spain, Argentina, or Mexico). This is most commonly done within the context of the classroom. Second language acquisition, on the other hand, generally refers to the learning of a nonnative language in the environment in which that language is spoken (e.g., Indonesian speakers learning English in Sydney or Punjabi speakers learning English in the United Kingdom). This may or may not take place in a classroom setting. The important point is that learning in a second language environment takes place with considerable access to speakers of the language

being learned, whereas learning in a foreign language environment usually does not.

The third definition is proposed by Ortega in his textbook entitled 'Understanding Second Language Acquisition'. According to Ortega (2008: 1-2), second language acquisition (SLA, for short) is the scholarly field of inquiry that investigates the human capacity to learn languages other than the first, during late childhood, adolescence or adulthood, and once the first language or languages have been acquired. It studies a wide variety of complex influences and phenomena that contribute to the puzzling range of possible outcomes when learning an additional language in a variety of contexts.

According to Savile-Troike (2012: 2) Second Language Acquisition (SLA) refers both to the study of individuals and groups who are learning a language subsequent to learning their first one as young children, and to the process of learning that language. The additional language is called a second language (L2), even though it may actually be the third, fourth, or tenth to be acquired. It is also commonly called a target language (TL), which refers to any language that is the aim or goal of learning. The scope of SLA includes informal L2 learning that takes place in naturalistic contexts, formal L2 learning that takes place in classrooms, and L2 learning that involves a mixture of these settings and circumstances. For example, "informal learning" happens when a child from Japan is brought to the USA and "picks up" English in the course of playing and attending school with native English-speaking children without any specialized language instruction, or when an adult Guatemalan immigrant in Canada learns English as a result of interacting with native English speakers or with co-workers who speak English as a second language. "Formal learning" occurs when a high school student in England takes a class in French, when an undergraduate student in Russia takes a course in Arabic, or when an attorney in Colombia takes a night class in English. A combination of formal and informal learning takes place when a student from the USA takes Chinese language classes in Taipei or Beijing while also using Chinese outside of class for social interaction and daily living experiences, or when an adult immigrant from Ethiopia in Israel learns Hebrew both from attending special classes and from interacting with co-workers and other residents in Hebrew.

Tavakoli (2012: 9-10) says that in the study of the growth of language in children, acquisition is a term referring to the process or result of learning

(acquiring) a particular aspect of a language, and ultimately the language as a whole. First language acquisition (or child language acquisition) is the label usually given to the field of studies involved. The subject has involved the postulation of 'stages' of acquisition, defined chronologically, or in relation to other aspects of behavior, which it is suggested apply generally to children; and there has been considerable discussion of the nature of the learning strategies which are used in the process of acquiring language, and of the criteria which can decide when a structure has been acquired. Some theorists have made a distinction between 'acquisition' and 'development', the former referring to the learning of a linguistic rule (of grammar, phonology, semantics), the latter to the further use of this rule in an increasingly wide range of linguistic and social situations. Others see no clear distinction between these two facets of language learning, and use the terms interchangeably. The term 'child language development' has also come to be used for discourse-based studies of child language. Acquisition is also used in the context of learning a foreign language: 'foreign-' or 'second-language' acquisition is thus distinguished from 'first language' or 'mother-tongue' acquisition. In this context, acquisition is sometimes opposed to 'learning'. The former is viewed as an environmentally natural process, the primary force behind foreign-language fluency; the latter is seen as an instructional process which takes place in a teaching context, guiding the performance of the speaker.

Thus, an examination of some introductory or overview texts on second language acquisition would reveal similar definitions and discussions of the scope of SLA research. Moreover, such definitions would include a concern for both processes and products involved in how languages are learned, as the field is informed by a variety of disciplines such as linguistics, psychology, and education.

Some make the distinction between foreign language learning and second language acquisition. The former is used to refer to language learning in contexts in which the language is not normally spoken outside the classroom, such as learning French in Newcastle, United Kingdom or Greek in Omaha, Nebraska in the United States. SLA is used by some to refer to those contexts in which the language is used outside the classroom, as in the case of learning English in the United States or learning Spanish in Spain. While such distinctions are useful from a sociological perspective, they have little linguistic or psychological validity. As has been argued repeatedly in

the literature, people and the mechanisms they possess for language learning do not change from context to context. The mind/brain still has to do what it has to do whether instruction in language is present or not, and whether there is presence or absence of opportunities to interact with speakers of the language. To be sure, context impacts rate and ultimate proficiency, but context does not impact the underlying processes involved in learning another language. Thus, it is common in SLA to place all contexts of learning under the umbrella term second language acquisition.

Looking at the various definitions of SLA what emerges is a concern about learners and learning. The field of SLA addresses the fundamental questions of how learners come to internalize the linguistic system of another language and how they make use of that linguistic system during comprehension and speech production. Although, we can draw some pedagogical implications from theories and research in SLA, the main objective of SLA research is learning and not teaching.

B. A BRIEF HISTORY OF SLA

Ortega (2008: 2) says that SLA began in the late 1960s as an emerging interdisciplinary enterprise that borrowed equally from the feeder fields of language teaching, linguistics, child language acquisition and psychology (Huebner, 1998). During the 1980s and 1990s SLA expanded considerably in scope and methodology, to the point that by the end of the twentieth century, after some 40 years of exponential growth, it had finally reached its coming of age as an autonomous discipline (Larsen-Freeman, 2000). The growth of SLA continues to be prodigious today.

Macaro (2010: 5) says that the question "When did the study of SLA begin?" is a tricky question. There are some opinions about it. Some would point out that it has been informally studied for centuries. Others might argue that its birth was not noticed until the beginning of the twentieth century when links between language learning and the description of a language were first being made. However, with far greater conviction, we can pinpoint the late 1960s as a time when authors first began to draw on many fields of learning including the fields of linguistics, language teaching, sociology and psychology, and in doing so started a process of systematic reflection on language learning, based on collecting research evidence and theory building. Then in the 1980s the production of SLA research underwent a veritable

explosion, in part linked to the expansion of English language teaching world-wide (both as a second and as a foreign language) and in part as a result of a perceived need to establish an equilibrium between those who saw second language learning as merely a continuation of first language learning and those who saw it as a completely different enterprise. In fact this debate about whether learning to speak an L2 is as natural as learning to speak the first language, or whether it involves radically different mental capacities and processes, has remained at the heart of SLA research to the present day

Van Patten and Benati (2010: 2) claim that the contemporary research in SLA has its roots in two seminal publications. The first is S. Pit Corder's 1967 essay "The Significance of Learners' Errors." Concerned largely with teaching, Corder noted that advances in language instruction would not occur until we understood what language learners bring to the task of acquisition. Influenced by L1 research—which had repudiated any kind of strict behaviorist account of child language acquisition—Corder suggested that like children, perhaps L2 learners came equipped with something internal, something that guided and constrained their acquisition of the formal properties of language. He called this something "the internal syllabus" noting that it did not necessarily match the syllabus that instruction attempted to impose upon learners. Corder also made a distinction between input and intake, defining input as the language available from the environment, but intake as that language that actually makes its way into the learner's developing competence. This distinction is one still held today in the field.

A second seminal publication was the 1972 publication of Larry Selinker's "Interlanguage." In this article, Selinker argued that L2 learners possessed an internal linguistic system worthy of study in its own right, a language system that had to be taken on its own terms and not as some corrupted version of the L2. He called this system an "interlanguage" because the system was neither the L1 nor the L2, but something in-between that the learner was building from environmental data. Selinker also posited a number of constructs still central today in L2 research, notably L1 transfer and fossilization. Thus, these two critical thinkers laid the foundation upon which the next decades of work on SLA was forged.

The 1970s

According to Van Patten and Benati (2010: 3) 1970s is one of the most important periods in the development of second language acquisition studies. The 1970s was marked largely by descriptive studies that sought to refute behaviorism and to apply the basic ideas of Corder and Selinker. During this time frame we saw the emergence of research on acquisition orders (the famous “morpheme studies”) that replicated both the methodology and the findings of L1 acquisition research in the L2 context. We also saw the emergence of research on transitional stages of competence, which again replicated important findings from L1 research. The picture that began to take shape was that indeed L2 learners possessed built-in syllabi that directed their course of development just as Corder had previously suggested. This time period also gave birth to error analysis, the careful examination of learner output with particular attention to “errors” (deviations from L2 normative language). From error analysis scholars began to minimize L1 influence on SLA; that is, researchers revealed that L1 transfer was not as widespread as once thought. To be sure, this period was heavily marked by research on English as a second language, especially by non-classroom learners, leaving some professionals in other languages to dismiss the findings as inapplicable to classroom learners and to learners of other languages. However, research in the 1980s and 1990s would subsequently demonstrate that the general tenets of SLA were applicable to all languages in all contexts.

The 1980s

The second period, according to Van Patten and Benati (2010: 4) is the 1980s. By the early 1980s, Krashen’s ideas on acquisition were mainstream. He had posited that learners acquire language through interaction with language, most notably through comprehension of the input they are exposed to. While fundamentally true, Krashen’s ideas left a good amount of acquisition unexplained and the 1980s overall is marked by a critical review of his ideas and the quest for more explanatory models about the specifics of acquisition. For example, if L1 influence is limited, why was it limited? If learners had a built-in syllabus, what was this built-in syllabus and where did it come from? And if all learners needed was exposure to input, why were so many L2 learners non-native-like after so many years of interaction with the language?

It is in this time frame, then, that we see the application of theories from other domains. For example, Lydia White led the charge to use linguistic theory to describe learner competence and to speculate why that competence looked the way it did. Manfred Pienemann began to explore the use of Lexical Functional Grammar and speech processing models to explain the developmental nature of learner output. We also see the beginnings of the application of cognitive theory and other psychological approaches (e.g., connectionism) to SLA, applications that would not reach any real impact until the 1990s. The point here is that SLA researchers began looking seriously at the nature of theories and what theories needed to do in order to explain SLA.

The 1990s

Van Patten and Benati (2010: 4-5) say that the 1990s witnessed a burgeoning of competing theoretical ideas and approaches regarding SLA, with an additional plethora of isolated hypotheses that took hold in the general literature (e.g., noticing, the Output Hypothesis, the Interaction Hypothesis—all of which had roots in the 1980s). Nonetheless, two major approaches dominated the field: the application of linguistic theory and the application of certain psychological approaches, namely, skill theory and the modern version of associationism. The linguistic theoretical approach continued to be concerned with an adequate description of interlanguage as well as its explanation. That is, scholars in this camp focused on the nature of the learner's internal mental representation and what constrained it. A central tenet of this approach is that language is special. By special these scholars meant that language is uniquely human, is encapsulated in its own module in the mind/brain, and comes equipped from birth with a set of language-specific constraints called Universal Grammar. Thus, acquisition was a particular kind of experience for humans that involved the interaction of Universal Grammar with data from the outside world.

Scholars in the psychological camp tended to eschew any linguistic description of an interlanguage and indeed some went so far as to say that there was no mental representation at all. Interested largely in behavior, this camp did not concern itself with underlying knowledge per se but more with what learners did with language. Because they saw language as just another instance of human behavior, the belief was that theories of behavior should

be sufficient to account for SLA and thus there was no need to posit unique faculties of the mind that dealt exclusively with language. As such, there was nothing special about language—and if indeed the learner had any mental representation that could be called language, it was an artefact of learning, a latent structure that emerged based on data the learner encountered in the environment. Language acquisition was the interaction of general human learning mechanisms with data from the outside world.

Again, other approaches emerged such as Processability Theory, input processing, and others, but in many ways these theories could be seen as compatible with either linguistic theory or cognitive theory, depending on the particulars of each theory. One theory that emerged in the 1990s largely due to concerns with educational practice was Sociocultural Theory. As an account of SLA, it dismissed both linguistic theory and cognitive theory as being too “mind/brain” oriented and instead situated the learner as an active agent in learning within particular social contexts.

The 2000s and beyond

Van Patten and Benati (2010: 2-5) say that SLA looks pretty much like it did in the second half of the 1990s in terms of foci. As a discipline, it is splintered, with certain camps not in dialogue with others. Both linguistic and cognitive approaches continue to dominate the field and we do not envision this changing in the near future; largely because of the sheer number of people working within these fields and also because of the healthy research agenda both camps enjoy outside the field of SLA; that is, linguistic theory is alive and well and is applied to a range of endeavors from child first language acquisition to natural language processing, and psychology as a discipline is very well situated within academia and has been for over a century. Thus, we see the field of SLA staying largely focused on the mind/brain. After all, that's where language resides, either as a special mental representation as the linguists would have it or as some manifestation of behavioral imprints as the psychologists would have it. In the end, even those who take a strong social context approach to acquisition would have to admit that language is a property of the mind and although learning may happen through interaction and through “dialogic discourse,” language ends up in the mind/brain of the learner.

C. KEY ISSUES IN SECOND LANGUAGE ACQUISITION

First Language (L1) learning vs. second language (L2) learning

Saville-Troike (2012: 16) compares L1 and L2 learning in three phases. The first is the initial state, which many linguists and psychologists believe includes the underlying knowledge about language structures and principles that is in learners' heads at the very start of L1 or L2 acquisition. The second phase, the intermediate states, covers all stages of basic language development. This includes the maturational changes which take place in what is called "child grammar," and the L2 developmental sequence which is known as learner language (also interlanguage or IL). In this phase, there is the comparison between the processes of L1 and L2 development, and the conditions which are necessary or which facilitate language learning. The third phase is the final state, which is the outcome of L1 and L2 learning.

Table 2.1. First vs. second language development

First Language	Second Language
INITIAL STATE	
Innate capacity	Innate capacity? L1 knowledge World knowledge Interaction skills
INTERMEDIATE STATES	
Child grammar	Learner language
Basic processes	
Maturation	Transfer
Necessary conditions	
Input Reciprocal interaction	Input
Facilitating conditions	
	Feedback Aptitude Motivation Instruction
FINAL STATE	
Native competence	Multilingual competence

(Source: Saville-Troike, 2012: 17)

Saville-Troike (2012: 18) says that the initial state of L1 learning thus is composed solely of an innate capacity for language acquisition which may or may not continue to be available for L2, or may be available only in some limited ways. The initial state for L2 learning, on the other hand, has resources of L1 competence, world knowledge, and established skills for interaction, which can be both an asset and an impediment.

There is complete agreement, however, that since L2 acquisition follows L1 acquisition, a major component of the initial state for L2 learning must be prior knowledge of L1. This entails knowledge of how language (in general) works, as well as a myriad of language-specific features which are only partially relevant for production of the new L2. This prior knowledge of L1 is responsible for the transfer from L1 to L2 during second language development, which we will consider as part of the second phase of L1 versus L2 learning.

L2 learners also already possess real-world knowledge in their initial state for language acquisition which young children lack at the point they begin learning their L1. This has come with cognitive development and with experience by virtue of being older. The initial state for L2 learning also includes knowledge of means for accomplishing such interactional functions as requesting, commanding, promising, and apologizing, which have developed in conjunction with L1 acquisition but are not present in the L1 initial state.

According to Saville-Troike (2012: 18), both L1 and L2 learners go through intermediate states as they progress from their initial to their final state linguistic systems. There is similarity in that the development of both L1 and L2 is largely systematic, including predictable sequencing of many phenomena within each and some similarity of sequencing across languages, and in the fact that L1 and L2 learners both play a creative role in their own language development and do not merely mimic what they have heard or been taught.

Development, as we have seen, is a spontaneous and largely unconscious process in L1 child grammar, where it is closely correlated with cognitive maturation. As noted above, as children mature, so do their language abilities. In contrast, the development of learner language (or interlanguage) for L2 learners occurs at an age when cognitive maturity cannot be considered a significant factor; L2 learners have already reached a level of maturity where they can understand and produce complex utterances in their

L1, and level of maturity is not language-specific. Processes other than maturation must be involved to explain development in SLA.

There is general agreement that cross-linguistic influence, or transfer of prior knowledge from L1 to L2, is one of the processes that is involved in interlanguage development. Two major types of transfer which occur are:

- positive transfer, when an L1 structure or rule is used in an L2 utterance and that use is appropriate or “correct” in the L2; and
- negative transfer (or interference), when an L1 structure or rule is used in an L2 utterance and that use is inappropriate and considered an “error.”

Many skills for social interaction which have been developed in L1 also transfer to L2, as I suggested above. These often also involve positive transfer and facilitate IL development, but some are inappropriate for L2 contexts.

Language input to the learner is absolutely necessary for either L1 or L2 learning to take place. Children additionally require direct, reciprocal interaction with other people for L1 learning to occur. They cannot learn L1 exclusively from such experiences as listening to radio or watching television. In contrast, while face-to-face social interaction generally facilitates SLA, it is not a necessary condition. It is possible for some individuals to reach a fairly high level of proficiency in L2 even if they have input only from such physically or temporally more remote sources as radio, television, or written text. Evidence of such L2 learning is found among highly motivated individuals whose L2 input was limited entirely to electronic media and books because of geographical or political isolation.

While L1 learning by children occurs without instruction, and while the rate of L1 development is not significantly influenced by correction of immature forms or by degree of motivation to speak, both rate and ultimate level of development in L2 can be facilitated or inhibited by many social and individual factors. Identifying and explaining facilitating conditions essentially addresses the fundamental why question of SLA: why are some L2 learners more successful than others?

Saville-Troike (2012: 21) says that the final state is the outcome of L1 or L2 learning. The final state of L1 development – by definition – is native linguistic competence. While vocabulary learning and cultivation of specialized registers (such as formal academic written style) may continue into adulthood, the basic phonological and grammatical systems of whatever

language(s) children hear around them are essentially established by the age of about five or six years, along with vocabulary knowledge and interaction skills that are adequate for fulfilling communicative functions.

On the other hand, the final state of L2 development – again by commonly held definition – can never be totally native linguistic competence, and the level of proficiency which learners reach is highly variable. Some learners reach at least “near-native” or “native-like” competence in L2 along with native competence in L1, but many cease at some point to make further progress toward the learning target in response to L2 input, resulting in a final state which still includes instances of L1 interference or creative structures different from any that would be produced by a native speaker of the L2 (a “frozen” state of progress known as fossilization in SLA).

Second language acquisition vs. foreign language acquisition

Just as it is difficult to define a first, second or third language in such a way that it applies to all cases, it is often difficult to distinguish between the terms *second* and *foreign* language learning.

According to the traditional definition, second language acquisition typically takes place in a setting in which the language to be learned is the language spoken in the local community. Therefore, an Indonesian speaker learning English in England is generally defined as a second language learner. In some definitions of second language acquisition, the acquisition needs also to take place in a non-instructed setting.

Foreign language acquisition takes place in a setting in which the language to be learned is not the language spoken in the local community. So the learning of English by Indonesian students in Indonesia would be an example of foreign language acquisition. In most cases, foreign language acquisition takes place in a setting with formal language instruction.

Second language acquisition and second language teaching

Van Patten and Benati (2010: 6) say that the contemporary field of SLA research has its roots in concerns for language instruction, and it is natural for many language teaching professionals to look to SLA research for insights into teaching. In the early days of SLA research, for example, people wondered how information on acquisition orders could be applied to language teaching. Should we teach language structures in the order in which

they are acquired? Because these structural elements are acquired in a fixed order anyway, should we forget about teaching them altogether and just let them emerge on their own? These and similar questions have “stalked” the field since the mid-1970s and by the 1980s there seemed to be some pressure on SLA specialists to “produce applicable results” for language teachers.

Van Patten and Benati (2010: 7) also state that a subfield within SLA research emerged to address the role of formal instruction on second language development: instructed SLA. Unlike general SLA research, which focuses on the learner and the development of language over time, instructed SLA focuses on the degree to which external manipulation (e.g., instruction, learner self-directed learning, input manipulation) can affect development in some way. Since the mid-1980s, a good deal has been learned about the effects of formal instruction, some of which are described elsewhere in this book. The point here is that the picture that now exists is the following: any focus on instruction must consider what we already know about SLA more generally. That is, both instruction and instructed SLA cannot ignore the findings of SLA research and must be informed by it.

According to Van Patten and Benati (2010: 7), even though a significant gap exists between research on SLA and teacher expectations, there is enough of SLA research in existence that is useful for general teacher edification. The more one understands the nature of the object of one’s profession, the better one is situated to make choices, answer questions, and to best utilize one’s time and efforts. Unfortunately, language teachers are often woefully undereducated in the general findings of SLA. While a general course on SLA often forms the background of those prepared at the graduate level in TESOL, this is not the case for those who teach other languages and is certainly not the case for those who enter the language teaching profession with a baccalaureate degree or equivalent.

The role of the first language

Ellis (1985: 19) states that many people believe that the learner’s first language strongly influences second language acquisition. This belief was very clearly supported by the foreign accents in the second language speech of the learners. For example, when an Indonesian speaks English, his/her English sounds Indonesian. The other language components, such as grammar and vocabulary are also affected by the learner’s first language. It is

also a popular belief that the role of the first language in SLA is a negative one. The first language gets in the way or interferes with the learning of the second language. In his case, the features of the L1 are often transferred into the L2. In the case of similarities between the first language and the second language, language transfer functions positively, while in the case of differences it functions negatively.

Acquisition vs. learning

A particularly tricky but also controversial distinction is the one between *acquisition* and *learning*. Krashen and Terrell (1983) defined 'acquisition' as the product of a 'subconscious' process, very similar to the one children use in learning their first language, and learning as the product of formal teaching, which results in 'conscious' knowledge about the language, but the distinction cannot be as simple as that.

Schmidt (1990: 134) has pointed out that the term 'subconscious' may be misleading, and that it is not used in a technical sense here as in consciousness research, where it would imply totally 'without awareness', an unlikely proposition. In a non-technical sense, the term could mean 'not being aware of having noticed something', which would be related to subliminal learning, a way of learning that takes place, for example, while listening to a tape while sleeping. Apparently, there is some evidence that people may pick up subliminal signals that they already know, but there is no evidence as yet that new information may be picked up in such a manner. Subliminal language learning is therefore considered extremely unlikely. In consciousness research, it is commonly accepted that some level of attention is required to be able to notice something, and that noticing is crucial in obtaining new information or uptake.

Probably, Krashen and Terrell (1983) used the term 'subconscious' in another nontechnical sense, namely as the inability to explain what one knows. In other words, learners may use language forms correctly without being able to say exactly why the forms are the way they are. Defined as such, acquisition is seen as a natural process of growth of knowledge and skills in a language without a level of metaknowledge about the language, while learning is seen as an artificial process in which the 'rules' of a language are focused on. Krashen claimed that learning the rules could not lead to an automatic use of language as in acquisition.

Input versus intake

'Input' is everything around us we may perceive with our senses, and 'uptake' or 'intake' is what we pay attention to and notice. Some level of attention is required to be able to notice something, and that noticing is crucial in obtaining new information. For example, there is a lot of information in our environment, but what we use of all that information depends on our needs and interests. We may not be interested in the color of our neighbor's eyes, but for someone else, or even for ourselves at another moment in time, it may become a very relevant piece of information. And at that point, we will notice.

The same is true for language learning. There is little doubt that input is the main source of information for learning, but not all input becomes intake, which is necessary for learning. It is not particularly easy to know under what conditions input is actually used for learning. From experiments in consciousness, we do know that unexpected events often capture attention. In addition, expectations are important determinants of perceptibility and noticeability, so it is plausible that instruction may have an awareness-raising effect, increasing the likelihood of noticing features in input through the establishment of expectation and comprehending. For intake, at least some minimal level of processing needs to take place. There must be some awareness of new information that is relevant for the learning system to incorporate. Intake may refer to information that strengthens existing knowledge, or it may fill a gap in knowledge that was noticed by the learner before.

Implicit versus explicit learning

Very much related to the acquisition versus learning distinction is the debate on implicit versus explicit learning: the difference between the two is captured well by R. Ellis (1994: 2), who uses the phrase 'unconscious operation' in yet another sense, namely whether general principles in language can be induced without really being able to formulate an understanding of them.

Some things we just come to be able to do, like walking, recognizing happiness in others, knowing that *th* is more common than *tg* in written English, or making simple utterances in our native language. We have little insight into the nature of the processing involved – we learn to do them

implicitly like swallows learn to fly. Other of our abilities depend on our knowing *how* to do them, like multiplication, playing chess, speaking pig Latin, or using a computer programming language. We learn these abilities explicitly like aircraft designers learn aerodynamics.

Implicit learning is acquisition of knowledge about the underlying structure of a complex stimulus environment by a process that takes place naturally, simply and without conscious operations. Explicit learning is a more conscious operation where the individual makes and tests hypotheses in a search for structure. Knowledge attainments can thus take place implicitly (a non-conscious and automatic abstraction of the structural nature of the material arrived at from experience of instances), explicitly through selective learning (the learner searching for information and building then testing hypotheses), or, because we can communicate using language, explicitly via given rules (assimilation of a rule following explicit instruction).

According to Schmidt (1990) the implicit learning issue is the most difficult to resolve. On the one hand, there is evidence for it, but there is also evidence that conscious understanding helps in the acquisition process.

There is not much evidence on which to base an evaluation of the question of implicit rule acquisition in second language learning. There is evidence that giving learners explicit rules helped in an experimental study (Van Baalen, 1983), and the results of larger scale studies also slightly favor an explicit focus on grammar (Chaudron, 1988). At the most general level, studies of the global role of instruction in second language learning indicate that it is facilitative, but such studies do not say whether such effects are due to increased learner understanding as a result of instruction, or increased salience of forms leading to awareness only at the level of noticing (Schmidt, 1990: 146).

Incidental versus intentional learning

Another related and much debated distinction in the SLA literature is the one on incidental versus intentional learning. A prime example of intentional learning is learning words from a bilingual list in a decontextualised manner. Learning words by reading and inferring meanings from context is usually seen as incidental learning.

However, a clear distinction between incidental and intentional learning is difficult to formulate. Most of the work on this has focused on lexical

knowledge. For example, when a person reads for pleasure and doesn't bother to look up a word he or she doesn't know in a dictionary, but a few pages later realizes what that word means, then incidental learning is said to have taken place. If a teacher instructs a student to take a text and read it and find out the meanings of unknown words, then it becomes an intentional learning activity.

According to Schmidt (1990), the incidental versus intentional learning question is related to whether noticing is required and, if so, whether such noticing is automatic or requires attention. Apparently, incidental learning without 'paying attention' is both possible and effective, but only when the demands of a task focus attention on what is to be learned. However, paying attention is probably facilitative, and may be necessary if adult learners are to acquire grammatical conventions that are difficult to discern such as the difference between 'he'd' meaning 'he had' or 'he would'.

What learners notice is constrained by a number of factors, but incidental learning is certainly possible when task demands focus attention on relevant features of the input. Incidental learning in another sense, picking up target language forms from input when they do not carry information crucial to the task, appears unlikely for adults. Paying attention to language form is hypothesized to be facilitative in all cases, and may be necessary for adult acquisition of redundant grammatical features. In general, the relation between attention and awareness provides a link to the study of individual differences in language learning, as well as to consideration of their role of instruction in making formal features of the target language more salient and facilitating input encoding (Schmidt, 1990: 49).

The point is that an L2 learner who is rather fluent in the L2 may pay attention only to a message as a whole rather than to any particular forms of the language with which the message is expressed. In such a case, it is likely that he will learn something new from the information provided by the message, but it is unlikely that he will learn anything new about the forms of the language. If, on the other hand, he has to pay some attention to a particular form to understand the message, then it is likely that he will learn something about that form.

Instructed versus non-instructed SLA

Neither the distinction nor the interaction between instructed and non-instructed SLA is completely clear either. In many settings, acquisition takes place through a mix of instructed and non-instructed learning.

On the one hand, some languages are learned mainly through education. For example, when a person learns Swedish in Ireland, there is little chance for him to meet Swedish people and find a Swedish setting in which he can pick up the language. His main source of contact and input is the institute or school, but he may also 'pick up' some of the language through reading on his own.

On the other hand, some languages are learned mainly through informal interaction. Many migrants throughout the world move into a setting in which they have to learn the local language on their own in order to survive. In many such settings there is no formal system of education to learn that language, so people have to pick up the language from what they hear and see in their environment. However, it is possible that a migrant follows some language courses in a community centre or he may be told what he is saying incorrectly through interaction with another speaker.

The English language is typically a language that is acquired in a setting in which there is a combination of instructed and non-instructed SLA. An example of such a situation is Norway, where English is taught at school and English is very prominently present in many parts of society. There are many English-language programs on TV, computer software is only partly available in Norwegian, and in higher education, industry and trade English is emerging as the dominant language.

**EXERCISE 1**

- 1) What are the similarities and the differences between the definition of second language acquisition stated by Ellis (1997) and the one proposed by Gass and Selinker (2008)?
- 2) Discuss the similarities and the differences between first language acquisition and second language acquisition
- 3) Van Patten and Benati (2010: 2) claim that the contemporary research in SLA has its roots in two seminal publications. The first is S. Pit Corder's 1967 essay "The Significance of Learners' Errors." A second seminal publication was the 1972 publication of Larry Selinker's

“Interlanguage.” Provide your own explanation about these two critical thinkers.

- 4) According to Van Patten and Benati (2010: 3) 1970s is one of the most important periods in the development of second language acquisition studies. Why do they think so?
- 5) Provide your explanation about the relationship between input and intake.
- 6) How is incidental learning related to and different from intentional learning?



SUMMARY

Second Language Acquisition (SLA) involves a wide range of language learning settings and learner characteristics and circumstances. For a variety of reasons, the majority of people in the world know more than one language. The first language is almost always learned effortlessly, and with nearly invariant success; second language learning involves many different conditions and processes, and success is far from certain. This may be at least partly because older learners no longer have the same natural ability to acquire languages as do young children, and because second language learning is influenced by prior knowledge of the first and by more individual and contextual factors. This unit has identified a number of theoretical frameworks which provide the bases for different approaches to the study of SLA that we will consider. All of these approaches address the basic *what*, *how*, and *why* questions that we posed, but they have different foci of interest and attention. Linguistic frameworks differ in taking an internal or external focus on language; psychological frameworks differ in whether they focus on languages and the brain, on learning processes, or on individual differences; and social frameworks differ in placing their emphasis on micro or macro factors in learning. Like the lenses with different color filters used in photographing Mars, these complement one another and all are needed to gain a full spectrum picture of the multidimensional processes involved in SLA. Even so, much remains a mystery, stimulating continued research.



FORMATIVE TEST 1

- 1) Find three other definitions of second language acquisition and discuss the similarities and the differences among those three definitions
- 2) What are the distinction between second language acquisition and foreign language learning?
- 3) What do you know about positive transfer and negative transfer?
- 4) What are the roles of the first language in second language acquisition?
- 5) What are the differences between implicit learning and explicit learning?
- 6) Provide your own definition and examples of instructed SLA and non-instructed SLA.

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 2

Individual Learner Differences In SLA

Why do some people almost achieve the native speaker's levels of competence in a foreign language while others never seem to progress much beyond a beginner's level? Some second language learners make rapid and apparently effortless progress while others progress only very slowly and with great difficulty. The reason probably is that people are not homogenous! They have different personalities and styles. Thus, each individual is different from the other. These individual differences, according to Dörnyei (2005), are "enduring personal characteristics that are assumed to apply to everybody and on which people differ by degree."

Humans differ from each other due to many biological or conditioned factors (affected by nature) or unconscious forces (affected by past experiences). The many ways in which one learns about these differences are usually similar, through introspection and interaction with other people, or by reading books and watching television or cinema. However, in order to conduct research in individual differences, it is necessary to have rigorous instruments, and a scientific way of providing reliable and valid. The differences that one can explore are age, sex, aptitude, motivation, learning styles, learning strategies, and personality.

The above mentioned differences are intricately interlocked with each other and in totality play important roles in language learning. Language teachers should be aware of their effects. In comparison to the linguistics factors, these non-linguistic factors are not given much importance in SLA research. Still many researchers over the years have made significant efforts at exploring the role of these factors. This unit will discuss these differences and their role in second language learning.

A. AGE

Cook (2008) says that undoubtedly, children are popularly believed to be better at learning second languages than adults. People always know one friend or acquaintance who started learning English as an adult and never managed to learn it properly, and another who learnt it as a child and is indistinguishable from a native. Linguists as well as the general public often

share this point of view. Chomsky (1959) has talked of the immigrant child learning a language quickly, while 'the subtleties that become second nature to the child may elude his parents despite high motivation and continued practice'.

But Saville-Troike (2012: 89) warns us against such easy assumptions and argues that that one must define the term 'success'. According to her, some people say that "success" is the initial rate of learning while other studies define it as ultimate achievement. Also, some studies define "success" in terms of how close the learner's pronunciation is to a native speaker's, others in terms of how closely a learner approximates native grammaticality judgments and still others in terms of fluency or functional competence". She further warns that the evaluative criteria clearly must be kept clearly in mind while judging conflicting claims about success.

This belief in the superiority of young learners was enshrined in the critical period hypothesis: the claim that human beings are only capable of learning their first language between the age of two years and the early teens (Lenneberg, 1967). A variety of explanations have been put forward for the apparent decline in adults: physical factors such as the loss of 'plasticity' in the brain and 'lateralization' of the brain; social factors such as the different situations and relationships that children encounter compared to adults; and cognitive explanations such as the interference with natural language learning by the adult's more abstract mode of thinking (Cook, 2008).

It is believed that there is a critical period for first language acquisition. Children are believed to have only a limited number of years during which normal acquisition is possible. Beyond that, physiological changes cause the brain to lose its plasticity, or capacity to assume the new functions that learning language demands. Individuals who for some reason are deprived of the linguistic input which is needed to trigger first language acquisition during the critical period will never learn any language normally. One famous case that provides rare evidence for this point is that of Genie, an abused girl who was kept isolated from all language input and interaction until she was thirteen years old. In spite of years of intensive efforts at remediation, Genie never developed linguistic knowledge and skills for her L1 (English) that were comparable to those of speakers who began acquisition in early childhood.

For a long time, a debate on the existence or absence of a critical period of language learning has been going on in the field of SLA. A critical period

means that beyond a particular age successful acquisition of a second language is not possible due to physiological changes in the brain. Moreover, as one gets older, one becomes more self-conscious which hinders him/her from making full use of his/her language skills, especially speaking skills.

A more sophisticated version of the critical period hypothesis is the concept of „sensitive“ period for language learning by Slobin (1982). The sensitive period implies that there is a period in one’s life (during childhood) when second language acquisition is optimized. Slobin (1982) argues that of the sensitive period of language learning is proven by the fact that the universal age of onset of production, rate of acquisition and age of completion of language learning is the same and it is relatively unaffected by the environmental variations and individual cognitive ability. It is hypothesized that once this critical/ sensitive period is over, a child deprived of input and chances to communicate is never able to regain his/her ability to acquire language as happened in the case of „Genie“ who after her release from solitary captivity since early childhood was not able to learn even the basic language skills after she was rescued at the age of thirteen.

So how much difference does age make? Long (1990) argues that for language learners of more than 15 years of age, it is difficult to acquire native like fluency and an absence of an „accent“. Saviile-Troike (2012: 89) agrees with Long (1990) that, “some older learners can achieve native-like proficiency, although they definitely constitute a minority of second language learners.” The critical/ sensitive period hypothesis is yet to be tested at the scientific level and SLA theorists have a long way to before they find a clear and final answer to the fascinating question of why and how children seem to be better (second) language learners.

How should a language teacher take the student’s age into account? One question is when L2 teaching should start. This also involves how long the learners are going to be studying. If they are intending to spend many years learning the second language, they might as well start as children rather than as adults since they will probably end up better speakers. If they are going to learn the second language for a few years and then drop it, like the majority of learners perhaps, there is an advantage for adults, who would reach a higher standard during the same period. But, as Spolsky (1989) points out, ‘Educational systems usually arrive first at a decision of optimal learning age on political or economic grounds and then seek justification for their

decision.' When to teach children a second language is seldom decided by language teachers or L2 learning experts.

A related question is whether the use of teaching methods should vary according to the age of the students. At particular ages students prefer particular methods. Teenagers may dislike any technique that exposes them in public; role play and simulation are in conflict with their adolescent anxieties. Adults can feel they are not learning properly in play-like situations and prefer a conventional, formal style of teaching. Adults learn better than children from the 'childish' activities of total physical response – if you can get them to join in! Age is by no means crucial to L2 learning itself. Spolsky in Cook (2008) describes three conditions for L2 learning related to age:

1. 'Formal' classroom learning requires 'skills of abstraction and analysis'. That is to say, if the teaching method entails sophisticated understanding and reasoning by the student, as for instance a traditional grammar-translation method, then it is better for the student to be older.
2. The child is more open to L2 learning in informal situations. Hence children are easier to teach through an informal approach.
3. The natural L2 situation may favor children. The teaching of adults requires the creation of language situations in the classroom that in some ways compensate for this lack. An important characteristic of language spoken to small children is that it is concerned with the 'here and now', rather than with the absent objects or the abstract topics that are talked about in adult conversation – adults do not talk about the weather much to a 2-year-old! That is to say, ordinary speech spoken by adults to adults is too sophisticated for L2 learning. Restricting the language spoken to the beginning L2 learner to make it reflect the here and now could be of benefit. This is reminiscent of the audio-visual and situational teaching methods, which stress the provision of concrete visual information through physical objects or pictures in the early stages of L2 learning. But it may go against the idea that the content of teaching should be relevant and should not be trivial.

B. SEX

Although it is fair to argue that males and females are equal human beings, they demonstrate different features – not just physically; which in most cases is rather obvious, but also mentally. They are said to perform differently in everyday activities, to think in different ways or sometimes even to transform a surface structure to different deep structures and to misunderstand each other in this way. As the way of thinking is closely related to use of language (be it the first or a foreign language); if the thinking of the two sexes differs, it is quite predictable that the ways they learn and acquire languages will be different.

Many studies (e.g., Oxford, 1993; Young & Oxford 1997) have found that gender can have a significant impact on how students learn a language. Although the study of gender as a variable in language learning is still at an early stage (Oxford, 1993), studies of individual language learner differences related to sex (biological) or gender (socially constructed) have shown that females tend to show greater integrative motivation and more positive attitudes to L2, and use a wider range of learning strategies, particularly social strategies. As a matter of fact, as for the problem whether difference exists between male and female in terms of learning a language, Larsen-Freeman & Long (2000) believed that in the process of first language acquisition female excel male, at least at the early stage. Zhuanglin (1989) highlighted that, it was generally believed that male and female are born with different linguistic advantages, such as, female learn to speak earlier than male, and female learn a foreign language faster and better than male, etc.

Studies of actual results suggest females are typically superior to males in nearly all aspects of language learning, except listening vocabulary. Kimura (as cited in Saville-Troike, 2012)) reports that higher levels of articulatory and motor ability have been associated in women with higher levels of estrogen level during the menstrual cycle.

C. APTITUDE

Everybody knows people who have a knack for learning second languages and others who are rather poor at it. For example, some immigrants who have been in a country for twenty years are very fluent. Others from the same background and living in the same circumstances for

the same amount of time speak the language rather poorly. Given that their ages, motivations, and so on, are the same, why are there such differences? So far, the broad term 'knack' for learning languages has been used. The more usual term, however, is 'aptitude'; some people have more aptitude for learning second languages than others. Aptitude has almost invariably been applied to students in classrooms. It does not refer to the knack that some people have for learning in real-life situations, but to the ability to learn from teaching

Skehan, (1989) believes that aptitude has consistently been linked with L2 success, but remains one of the under investigated areas of SLA. Saville-Troike (2012) suggests that assumption that there is a talent which is specific to language learning has been widely held for many years. Many language aptitude tests like TOEFL, IELTS have been used for a long period to test the aptitude of a second language learner of English. Carroll (1963), along with Sapon, created the Modern Language Aptitude Test (MLAT) which was designed to predict success foreign language learning, provides us with the following four types of abilities that constitute aptitude:

- Phonemic coding ability (discriminates and encodes foreign sounds)
- Grammatical sensitivity (recognizes functions of words in sentences)
- Inductive language learning ability (infers or induces rules from samples)
- Memory and learning (makes and recalls associations between words and phrases in L1 and L2)

Cook (2008) states that such tests are not neutral about what happens in a classroom, nor about the goals of language teaching. They assume that learning words by heart is an important part of L2 learning ability, and the spoken language is crucial, and that grammar consists of structural patterns. In short, MLAT predicts how well a student will do in a course that is predominantly audio-lingual in methodology rather than in a course taught by other methods.

Krashen (1981) suggests aptitude is important for 'formal' situations such as classrooms, and attitude is important for 'informal' real-world situations. While aptitude tests are indeed more or less purpose-designed for classroom learners, this still leaves open the existence of a general knack for learning languages in street settings.

Many scholars believe that aptitude alone does not determine the language learning ability of an individual. Skehan (1989) suggests that individual ability may vary by other factors. Other factors like personality, language learning style and motivation must be considered before taking into account. Skehan (1989) further concludes that language-learning aptitude “is not completely distinct from general cognitive abilities, as represented by intelligence tests, but it is far from the same thing”. Moreover, aptitude can only predict success in second language acquisition; it cannot explain the reasons behind it.

Skehan (1998) developed a slightly different set of factors out of MLAT, namely:

1. Phonemic coding ability. This allows the learner to process input more readily and thus to get to more complex areas of processing more easily.
2. Language analytic ability. This allows the learner to work out the ‘rules’ of the language and build up the core processes for handling language.
3. Memory. This permits the learner to store and retrieve aspects of language rapidly.

These three factors reflect progressively deeper processing of language and hence may change according to the learner’s stage. While true in an overall sense, they relate loosely to the ideas of processing and memory seen. It is unclear, for example, which model of memory might fit this scheme and how analytic ability relates to parsing.

Cook (2008) says that the problem for language teachers is what to do once the students have been tested for academic language learning aptitude. She also says that there are at least four possibilities:

1. Select students who are likely to succeed in the classroom and bar those who are likely to fail. This would, however, be unthinkable in most settings with open access to education.
2. Stream students into different classes for levels of aptitude, say high-flyers, average and below-average. The Graded Objectives Movement in England, for instance, set the same overall goals for all students at each stage, but allowed them different periods of time for getting there.

3. Provide different teaching for different types of aptitude with different teaching methods and final examinations. This might lead to varied exercises within the class, say, for those with and without phonemic coding ability, to parallel classes, or to self-directed learning. In most educational establishments this would be a luxury in terms of staffing and accommodation, however desirable.
4. Excuse students with low aptitude from compulsory foreign language requirements. In some educational systems the students may be required to pass a foreign language which is unrelated to the rest of their course. An extremely low aptitude for L2 learning may be grounds for exemption from this requirement if their other work passes.

The overall lesson is to see students in particular contexts. The student whose performance is dismal in one class may be gifted in another. Any class teaching is a compromise to suit the greatest number of students. Only in individualized or self-directed learning perhaps can this be overcome.

D. MOTIVATION

One reason for some L2 learners doing better than others is undoubtedly because they are better motivated. The child learning a first language does not have good or bad motivation in any meaningful sense. Language is one means through which all children fulfill their everyday needs, however diverse these may be. One might as well ask what the motivation is for walking or for being a human being. In these terms, the second language is superfluous for many classroom learners, who can already communicate with people and use language for thinking. Their mental and social life has been formed through their first language.

Motivation to learn a language is considered one of the most plausible reasons of success at second language acquisition. According to Gardner (1985) Motivation = effort + desire to achieve goal + attitudes. Saville-Troike (2012) claims that motivation is the second strongest predictor (after aptitude) of second language success. She further argues that motivation largely determines the level of effort that learners expend at various stages in their L2 development, often a key to ultimate level of proficiency.

According to Gardner and Lambert (1972) the following two types of motivation exist:

- Integrative: found in individuals who want are interested in the second language in order to integrate with and become a part of a target community/ culture; here the learner wants to resemble and behave like the target community.
- Instrumental: found in individuals who want to get learn a second language with the objective of getting benefits from the second language skill. Objectives, such as business advancement, increase in professional status, educational goals etc. motivate an individual to learn a second language in this case.

Both the types of motivations have different roles to play. Both can lead to success. According to Saville-Troike (2012) the relative effect of one or the other is dependent on complex personal and social factors. L2 learning by a member of the dominant group in a society may benefit more from integrative motivation, and L2 learning by a subordinate group member may be more influenced by instrumental motivation.

The distinction between integrative and instrumental motivation has been used as a point of reference by many researchers. Dornyei (2005) argues that it is biased towards the Canadian situation where there is a particular balance between the two official languages, English and French. He therefore tested the motivation of learners of English in the European situation of Hungary. He found that an instrumental motivation concerned with future careers was indeed very powerful. Though an integrative motivation was also relevant, it was not, as in Canada, related to actual contact with native groups, but to general attitudes and stereotypes; it became more important as the learners advanced in the language, as was the case in England. In addition, he identified two factors relating to classroom learning. One was the need for achievement – trying to improve yourself in general, more specifically to pass an examination; the other, attributions about past failures – whatever else the learners blame their failures on.

Cook (2008) states that students will find it difficult to learn a second language in the classroom if they have neither instrumental nor integrative motivation, as is probably often the case in school language teaching, or if they feel negatively about bilingualism or are too attached to monolingualism. Schoolchildren have no particular contact with the foreign

culture and no particular interest in it, nor do their job prospects depend on it; their attitudes to L2 users may depend more on the stereotypes from their cultural situations than on any real contact.

In a teacher's ideal world, students would enter the classrooms admiring the target culture and language, wanting to get something out of the L2 learning for themselves, eager to experience the benefits of bilingualism and thirsting for knowledge. In practice, teachers have to be aware of the reservations and preconceptions of their students. What they think of the teacher, the course and L2 users in general heavily affects their success. These are the factors that teachers can influence, rather than the learners' more deep-seated motivations.

Motivation also goes in both directions. High motivation is one factor that causes successful learning; in reverse, successful learning causes high motivation. The process of creating successful learning which can spur high motivation may be under the teacher's control, if not the original motivation. The choice of teaching materials and the information content of the lesson, for example, should correspond to the motivations of the students.

E. LEARNING STYLES

Language learning styles refer to cognitive variations in learning a second language. It is about an individual's "preferred way of processing, that is, of perceiving, conceptualizing, organizing, and recalling information related to language learning. The language learning styles are the overall patterns that give general direction to learning behavior. Brown (2000) states that unlike factors of age, aptitude, and motivation, its role in explaining why some L2 learners are more successful than others has not been well established, it involves a complex (and as yet poorly understood) interaction with specific L2 social and learning contexts.

The following cognitive styles have been identified by Knowles (as cited in Lochart & Richards, 1994):

1. Concrete learning style

Learners with a concrete learning style use active and direct means of taking in and processing information. They are interested in information that has immediate value. They are curious, spontaneous, and willing to take risks. They like variety and a constant change of pace. They dislike

routine learning and written work, and prefer verbal or visual experiences. They like to be entertained, and like to be physically involved in learning.

2. Analytical learning style

Learners with an analytical style are independent, like to solve problems, and enjoy tracking down ideas and developing principles on their own. Such learners prefer a logical, systematic presentation of new learning material with opportunities for learners to follow up on their own. Analytical learners are serious, push themselves hard, and are vulnerable to failure.

3. Communicative learning style

Learners with a communicative learning style prefer a social approach to learning. They need personal feedback and interaction, and learn well from discussion and group activities. They thrive in a democratically run class.

4. Authority-oriented learning style

Learners with an authority-oriented style are said to be responsible and dependable. They like and need structure and sequential progression. They relate well to a traditional classroom. They prefer the teacher as an authority figure. They like to have clear instructions and to know exactly what they are doing; they are not comfortable with consensus-building discussion.

It is important for a learner to be aware of one's learning style but Oxford (2003: 3) warns us against being too rigid about the types as they "are not dichotomous (black or white, present or absent). Learning styles generally operate on a continuum or on multiple, intersecting continua."

F. LEARNING STRATEGIES

The learning strategies are the strategies a learner selects for language acquisition. Brown (2000) argues that the choice of learning strategies is strongly influenced by the nature of their motivation, cognitive style, and personality, as well as by specific contexts of use and opportunities for learning.

Many studies in SLA have ventured out to identify which strategies are used by relatively good language learners, with the expectation that such strategies can be taught or otherwise applied to enhance learning. According

to O'Malley and Chamot (1990) strategies are the tools for active, self-directed involvement needed for developing L2 communicative ability. O'Malley and Chamot, (1990) have identified the following strategies:

1. *Cognitive strategies*. Cognitive strategies "operate directly on incoming information, manipulating it in ways that enhance learning". Some of these strategies are
 - Repetition: imitating other people's speech overtly or silently;
 - Resourcing: making use of language materials such as dictionaries;
 - Directed Physical Response: responding physically "as with directives";
 - Translation: using the first language as a basis for understanding and/or producing the L2;
 - Grouping: organizing learning on the basis of "common attributes";
 - Note-taking: writing down the gist etc of texts;
 - Deduction: conscious application of rules to processing the L2;
 - Recombination: putting together smaller meaningful elements into new wholes;
 - Imagery: visualizing information for memory storage;
 - Auditory Representation: keeping a sound or sound sequence in the mind;
 - Key Word: using key word memory techniques, such as identifying an L2 word with an L1 word that it sounds like;
 - Contextualization: placing a word or phrase in a meaningful language sequence;
 - Elaboration: relating new information to other concepts in memory;
 - Transfer: using previous knowledge to help language learning;
 - Inferencing: guessing meanings by using available information;
 - Question for Clarification: asking a teacher or native speaker for explanation, help, etc..

2. *Metacognitive strategies*. Metacognitive strategies are skills used for planning, monitoring, and evaluating the learning activity; "they are strategies about learning rather than learning strategies themselves". The following are some of the metacognitive strategies
 - Advance Organizers: planning the learning activity in advance;

- Directed Attention: deciding to concentrate on general aspects of a learning task;
 - Selective Attention: deciding to pay attention to specific parts of the language input or the situation that will help learning;
 - Self-management: trying to arrange the appropriate conditions for learning;
 - Advance Preparation: planning the linguistic components for a forthcoming language task;
 - Self-monitoring: checking one's performance as one speaks;
 - Delayed Production: deliberately postponing speaking so that one may learn by listening;
 - Self-evaluation: checking how well one is doing against one's own standards;
 - Self-reinforcement: giving oneself rewards for success.
3. *Social and affective strategies.* Social and affective strategies involve interacting with another person to assist learning or using control to assist a learning task. These strategies are:
- Questioning for Clarification: Asking for explanation, verification, rephrasing, or examples about the material; asking for clarification or verification about the task; posing questions to the self.
 - Cooperation: Working together with peers to solve a problem, pool information, check a learning task, model a language activity, or get feedback on oral or written performance.
 - Self-talk: Reducing anxiety by using mental techniques that make one feel competent to do the learning task.

According to Lombaard (2006: 20) Language learning styles characterize the consistent and rather enduring traits, tendencies, or preferences that may differentiate you from another person while strategies are specific methods of approaching a problem or task, modes of operation for achieving a particular end, or plan designed for controlling and manipulating certain information. Strategies vary widely within an individual, while styles are more constant and predictable.

Oxford (2003) argues for need for awareness amongst teachers regarding the types of strategies used by students in a class as she believes that it foolhardy to think that a single L2 methodology could possibly fit an entire

class filled with students who have a range of stylistic and strategic preferences.

G. PERSONALITY

Human personality in all its shapes and colors brings variety to this world. Personality studies have been the core of the study of human psychology for more than 150 years. Eminent psychologists like Freud, Skinner and Allport focused their studies on human personality. In SLA the study of the relation of personality and language learning has been the subject of scholars like Krashen (1985), Skehan (1989), Gass & Selinker, (1994) etc. one tends to agree that there is a clear relationship between personality and SLA as personality determines what people feel comfortable with. As a result, people tend to choose and consequently do what they feel comfortable with and get better at the given skills. Thus, a second language learner will make choices of strategies and skills according to bent of his/her personality. There are a number of personality characteristics that may affect L2 learning, such as (1) extroversion vs. Introversion, (2) Self esteem, (3) Inhibition, (4) Risk-taking, and (5)Anxiety

The first characteristic is extroversion vs. introversion. Extroversion and introversion are a part of a continuum. Extroverts are considered sociable and impulsive. They seem to dislike solitude, take risks, impulsive. Whereas, introverts are believed to be introspective, quiet, retiring and reserved. An extrovert is said to receive energy from outside sources, whereas an introvert is more concerned with the inner world of ideas and is more likely to be involved with solitary activities. This trait does not just describe whether a person is outgoing or shy, but considers whether a person prefers working alone or feels energized and at home working in a team.

The SLA theorists often argue that an extroverted person is well suited to language learning. SLA literature suggests that the more extravert language learners would increase the amount of input (Krashen, 1985), prefer communicative approaches (Cook, 2008), the more they are likely to join the group activities (McDonough, 1986). Therefore, they increase their interaction in the language which maximizes the language output (Swain, 1985), hence yield a better product i.e. language proficiency. However, research does not always support this conclusion. Some studies have found that learners' success in language learning is associated with extroversion

such as assertiveness and adventurousness, while others have found that many successful language learners do not get high scores on measures of extroversion.

The second characteristic is self-esteem. Many researchers claim that no successful learning activity can take place without some self-esteem and self-confidence. Coopersmith (1967) defines self-esteem as a personal judgment of worthiness that is expressed in the attitudes that the individual holds towards himself/herself. Brodkey and Shore (1976) revealed that self-esteem appears to be an important variable in SLA, particularly in view of cross-cultural factors of second language learning.

Gardner and Lambert (1972) studied self-esteem and concluded that it was an important factor in second language acquisition. Hyde's Self-Esteem Study (1979) also concluded that self-esteem generated by high involvement of teachers led to better results in second language acquisition. MacIntyre, Dörnyei, Clement, & Noels (1998) studies the role of self-confidences in their model of "willingness to communicate" in a foreign language. Their results showed that a better ability to communicate did lead to more willingness to communicate. A number of factors appear to contribute to predisposing one learner to seek, and another learner to avoid, second language communication. They suggested that not one but many factors that lead to willingness to communicate. Of these, motivation, personality, intergroup climate, and two levels of self-confidence are a few. Of the two levels of self-confidence the first level resembles "state communicative self-confidence"; the second, a general level "L2 self-confidence". Both self-confidence factors assume important roles in determining one's willingness to communicate. But as has been the case with many other individual factors, it is believed that high self-esteem alone cannot cause language success or vice versa.

The third characteristic is inhibition. Inhibition is the set of defenses an individual builds to protect himself/herself. The presence of a language ego is considered to be a major hindrance to the process of second language acquisition. The process of making mistakes, learning from those mistakes and a consequent improvement in the language skills get inhibited by this ego. With an adaptive language ego, the learner lowers the inhibitions. An overtly self-critical nature perceives the mistakes committed during language learning process as an insult and further slows down the process.

The fourth characteristic is risk-taking. According to Brown (2007) language teaching approaches in the last three decades have been

characterized by the creation of contexts in which students are made to feel free to take risks and to orally try out hypotheses. He further claims that it broke down some of the barriers that often make learners reluctant to try out their new language. One would clearly agree with him when he argues that if we never ventured to speak a sentence until we were absolutely certain of its total correctness, we would likely never communicate productively at all (Brown, 2007).

Risk-Taking is “the ability to make intelligent guesses” (Rubin & Thompson, 1994). Beebe (1983) described some of the reasons that create fear of risk-taking:

- In the classroom: a bad grade in the course, a fail on the exam, a reproach from the teacher, a smirk from a classmate, punishment or embarrassment imposed by oneself.
- Outside the classroom: fear of looking ridiculous, fear of the frustration coming from a listener's blank look, fear of the alienation of not being able to communicate and thereby get close to other human beings & fear of losing their identity.

Though risk taking is useful to some extent, high risk-taking will not always yield positive results in second language learning. A number of studies have found that successful language learners make willing and accurate guesses. Thus, it is not always good to be impulsive.

The last characteristic is anxiety. Anxiety is a factor that is closely related with self-esteem and inhibition and risk-taking. Anxiety can play an important role in L2 learning if it interferes with the learning process. Even though it is a common feeling, it is not easy to define. It comes with the feelings of uneasiness, frustration, self-doubt, apprehension, or worry. A learner's willingness to communicate has also been related to anxiety. It is often affected by the number of people present, the topic of conversation, and the formality of the circumstances.

The two types of anxiety have been identified are trait anxiety—more permanent tendency to be anxious—and state anxiety, a type of anxiety experienced in relation to some particular event or act which can be temporary and context-specific. Brown (2007) further states that three components of foreign language anxiety have been identified. They are:

- Communication apprehension, arising from learners' inability to adequately express mature thoughts and ideas;

- Fear of negative social evaluation, arising from a learner's need to make a positive social impression on others;
- Test anxiety or apprehension over academic evaluation.

Recent research acknowledges that not all anxiety is bad and a certain amount of tension can have a positive effect and facilitate learning. According to its usefulness, two types of anxiety have been identified. They are Debilitative Anxiety (harmful anxiety) and Facilitative Anxiety (helpful anxiety). Facilitative anxiety, a positive factor, is the kind of anxiety, concern or apprehension needed to accomplish is. Brown (2007) suggests that it can keep one poised, alert, and just slightly unbalanced to the point that one cannot relax entirely (a symptom of just enough tension to get the job done). Bailey (1983) studied the benefits of facilitative anxiety in learning foreign languages and found that while competitiveness sometimes hindered her progress, at other times it motivated her to study harder. In Bailey's study of competitiveness and anxiety in second language learning, facilitative anxiety was one of the keys to success, closely related to competitiveness.



EXERCISE 2

- 1) From your own experience, do you agree that adults in learning a second language have differential success than children in learning a first language? In learning a second?
- 2) What does Spolsky say about the three conditions for second language learning related to age?
- 3) Consider the term sex differences. What can you say about sex differences in second language acquisition?
- 4) What is motivation in learning a second language? And what are the differences between integrative motivation and instrumental motivation?
- 5) What do you know about learning style?
- 6) Look up the dictionary definition of the word strategy. Does the definition(s) you found seem appropriate to the discussion on learning strategies?
- 7) What are the differences between extrovert and introvert personality characteristics?
- 8) What is risk-taking and why is it useful in second language acquisition?



SUMMARY

From the details in the sections given above, one can conclude that individual learner differences play a crucial role in the acquisition of second language. However, despite the efforts of many researchers at reaching a conclusive theory with regard to this, success has eluded them. At present, the scientific study of the role of these differences in second language learning may not be very sophisticated and advanced, but it can be hoped that the growing awareness of the need to focus on the individual student and his individuality in a language learning situation will fuel the need to study the phenomenon in a detailed and empirical manner. Moreover, the analysis of these differences reiterates the commonly held belief that a teacher, especially a language teacher, apart from imparting knowledge must also be a psychologist who can modify his/ her teaching methodology according to the factors related to the individual differences of his/ her students. It is not enough to just know that all students are different from each other. The teacher should also be skilled and willing enough to help the students use these differences to their advantage in the process of second language acquisition. Thus it is hoped that the study of individual differences and their pedagogical implications will further lead to the kind of teaching practices that increase the success ratio at second language acquisition.



FORMATIVE TEST 2

- 1) Provide your explanation about the critical period for first language acquisition and second language acquisition
- 2) Consider the term individual differences. What does this notion mean to you?
- 3) Now consider the notion aptitude in language learning. How does aptitude play a role in accounting for final SLA outcomes? What is Krashen's opinion about aptitude?
- 4) If personality types can affect one's ability to learn a second language, what implications might there be for teaching? That is, would learning be more successful if like learners were put in a classroom with a like teacher and a conducive methodology (e.g., one that requires significant analysis)? Why or why not?

- 5) If we know what the characteristics are of a good language learner, and if we know what strategies good language learners use, does it follow that teaching so-called poor language learners to use these same strategies will result in their successful language learning? Why or why not?
- 6) Provide some examples of cognitive learning strategies and metacognitive learning strategies
- 7) What is self-esteem and what is its role in second language acquisition?
- 8) In what ways does anxiety play important role in second language acquisition?

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 3

The Linguistics Approaches to SLA

Both linguistic and psychological theories have influenced studies in second language acquisition. One of the fundamental differences between theories developed in these two disciplines is the role they hypothesize for internal and external factors in the learning process. Some linguists have suggested that language acquisition is based on the presence of a specialized module of the human mind containing innate knowledge of principles common to all languages. In contrast, most psychologists have argued that language is processed by general cognitive mechanisms that are responsible for a wide range of human learning and information processing and requires no specialized module. Thus, in this unit, the discussion is totally related to the linguistic factors in second language acquisition.

A. CONTRASTIVE ANALYSIS

Contrastive Analysis (CA) is an approach to the study of SLA which involves predicting and explaining learner problems based on a comparison of L1 and L2 to determine similarities and differences (Saville-Troike, 2012: 36). This approach was heavily influenced by theories which were dominant in linguistics and psychology within the USA through the 1940s and 1950s, Structuralism and Behaviorism. The goal of CA was primarily pedagogical in nature: to increase efficiency in L2 teaching and testing.

According to Gass and Selinker (2008: 96) Contrastive analysis is a way that can be used to compare two or more languages in order to identify potential errors for the ultimate purpose of deciding what needs to be learned and what does not need to be learned in a situation of second language learning. We do a structure-by-structure comparison of the sound system, morphological system, syntactic system, and even cultural system of two languages so that we can identify the similarities and the differences between two languages. If there are more differences than similarities, we can predict that the second language is more difficult to learn.

For example, when we make the comparison between Indonesian and English, in term of sound systems, we find that the English sounds like /θ/ in 'method', /ð/ in 'with', /ʃ/ in 'shy', and /z/ in 'pleasure', are not available in

Indonesian. Thus, we can predict that Indonesian students learning English as a second or foreign language will get difficulties in pronouncing those English sounds

Robert Lado is one of the experts in CA approach. Lado (1957: vii) states in his introduction to *Linguistics Across Cultures* that we can rest on the assumption that we can predict and describe the patterns that will cause difficulty in learning, and those that will not cause difficulty, by comparing systematically the language and culture to be learned with the native language and culture of the student. In our view, the preparation of up-to-date pedagogical and experimental materials must be based on this kind of comparison.

Following notions in structuralist linguistics, Saville-Troike (2012: 36) says that the focus of CA is on the surface forms of both L1 and L2 systems, and on describing and comparing the languages one level at a time – generally contrasting the phonology of L1 and L2 first, then morphology, then syntax, with the lexicon receiving relatively little attention, and nonverbal structures and discourse still less. Following notions in behaviorist psychology, early proponents of CA assumed that language acquisition essentially involves habit formation in a process of Stimulus–Response–Reinforcement (S–R–R). Learners respond to the stimulus (linguistic input), and reinforcement strengthens (i.e. habituates) the response; they imitate and repeat the language that they hear, and when they are reinforced for that response, learning occurs. The implication is that “practice makes perfect.”

Another assumption of this theory is that there will be transfer in learning: in the case of SLA, this means the transfer of elements acquired (or habituated) in L1 to the target L2. The transfer is called positive (or facilitating) when the same structure is appropriate in both languages, as in the transfer of a Spanish plural morpheme *-s* on nouns to English (e.g. *lenguajes* to *languages*). The transfer is called negative (or interference) when the L1 structure is used inappropriately in the L2, as in the additional transfer of Spanish plural *-s* to a modifier in number agreement with the noun: e.g. *lenguajes modernas* to *moderns languages*, or *greens beans* (for ‘green beans’).

Gass and Selinker (2008: 96–97) state that the pedagogical materials that resulted from contrastive analysis are based on a number of assumptions. They are:

- Contrastive analysis is based on a theory of language that claims that language is habit and that language learning involves the establishment of a new set of habits.
- The major source of error in the production and/or reception of a second language is the native language.
- One can account for errors by considering differences between the L1 and L2
- In line with the differences between L1 and L2, we can say that the greater the differences, the more errors will occur
- What one has to do in learning a second language is learn the differences. Similarities can be safely ignored as no new learning is involved. In other words, what is dissimilar between two language is what must be learned
- Difficulty and ease in learning is determined respectively by differences and similarities between the two languages in contrast.

There are two positions that develop with regard to the Contrastive Analysis Hypothesis (CAH) framework (Johnson, 2004: 22-23). The first position is the strong version which is also known as a priori version. The essence of the strong version is we can predict and describe the patterns that will cause difficulties in learning, and those that will not cause difficulties, by comparing systematically the language and culture to be learned with the native language and culture of the students. The proponents of the strong version claim that it would be possible, based on careful investigation, to predict all difficulties in learning L2, and it would be possible to help the teacher to create pedagogical materials that would alleviate in advance the students' difficulties in learning L2.

The second position is the weak version, which is also known as a posteriori version. The weak version is less confident in its power to predict and decide the problems with learning a L2. It does not begin with the process of comparing languages, but comparison is done after the actual problems occur. Based on the actual and recurring difficulties exhibited in the student's performance, the weak version of CAH attempts to account for their occurrence based on a careful analysis of the differences between L2 and L2.

Saville-Troike (2012: 39) claims that the CA approach of the 1940s to 1960s was not adequate for the study of SLA in part because the behaviorist learning theory to which it is tied cannot explain the logical problem of

language learning. Another problem was that CA analyses were not always validated by evidence from actual learner errors. Many of the L2 problems which CA predicts do not emerge; CA does not account for many learner errors; and much predicted positive transfer does not materialize. A major limitation in application to teaching has been that instructional materials produced according to this approach are language-specific and unsuitable for use with speakers of different native languages.

On the other hand, CA approach still stimulates the preparation of hundreds of comparative grammars, and its analytic procedures have been usefully applied to descriptive studies and to translation, including computer translation. Further, there has been a more recent revival and revision of CA procedures, including contrasts of languages at more abstract levels, and extension of the scope of analysis to domains of cross-cultural communication and rhetoric. There is also renewed interest in the contributions of positive transfer to SLA.

B. ERROR ANALYSIS

As the name suggests, Error Analysis (EA) is a type of linguistic analysis that focuses on the errors that students make. Unlike CA, the comparison made is between the errors a learner makes in producing the L2 and the L2 form itself. Saville-Troike (2012: 40) states that Error Analysis (EA) is the first approach to the study of SLA which includes an internal focus on learners' creative ability to construct language. It is based on the description and analysis of actual learner errors in L2, rather than on idealized linguistic structures attributed to native speakers of L1 and L2 (as in CA). EA largely augmented or replaced CA by the early 1970s because of the following developments:

- Predictions made by CA did not always materialize in actual learner errors, as noted above. More importantly, perhaps, many real learner errors could not be attributed to transfer from L1 to L2.
- As linguistic theory changed, the exclusive focus on surface-level forms and patterns by structural linguists shifted to concern for underlying rules.
- The behaviorist assumption that habit formation accounts for language acquisition was seriously questioned by many linguists and psychologists. There was a shift to Mentalism in explanations of

language acquisition, with emphasis on the innate capacity of the language learner rather than on external influences.

- The study of SLA was no longer motivated as strongly by teaching concerns as it had been for CA. L2 learning came to be thought of as independent of L2 teaching to some extent, and researchers began to separate issues in SLA from pedagogical concerns. Learning processes became an important focus for study in their own right.

(Saville-Troike, 2012: 40)

The study of error analysis formally started in 1967 when Corder published his most influential article entitled “The significance of learners’ errors,” which calls on applied linguists to focus on L2 learners’ errors not as “bad habits” to be eradicated, but as sources of insight into the learning processes. Corder claimed that errors provide evidence of the system of language which a learner is using at any particular point in the course of L2 development, and of the strategies or procedures the learner is using in his “discovery of the language.” In a sense, errors are windows into the language learners’ mind. In this approach, learner language is viewed as a target of analysis which is potentially independent of L1 or L2, and the state of learner knowledge is seen as transitional competence on the path of SLA. Further, Corder claimed that the making of errors is significant because it is part of the learning process itself: “a way the learner has of testing his hypothesis about the nature of the language he is learning.” This includes testing whether aspects of existing L1 knowledge can be used in the L2. Errors are thus a sign that the learner is (perhaps unconsciously) exploring the new system rather than just experiencing “interference” from old habits.

Researchers in the field of applied linguistics usually distinguish between two types of errors: performance errors and competence errors. Performance errors are those errors made by learners when they are tired or hurried. Normally, this type of error is not serious and can be overcome with little effort by the learner. Competence errors, on the other hand, are more serious than performance errors since competence errors reflect inadequate learning. In this connection, it is important to note that researchers distinguish between *mistakes* which are lapses in performance and *errors* which reflect inadequate competence.

Other researchers distinguish between *local* and *global* errors. Local errors do not hinder communication and understanding the meaning of an utterance. Global errors, on the other hand, are more serious than local errors because global errors interfere with communication and disrupt the meaning of utterances. Local errors involve noun and verb inflections, and the use of articles, prepositions, and auxiliaries. Global errors, for example, involve wrong word order in a sentence.

Finally, language learning errors involve all language components: the phonological, the morphological, the lexical, and the syntactic. An example of a phonological error is the lack of distinction between the phoneme /p/ and the phoneme /b/ among Arab ESL learners; so we hear them saying *pird* and *brison*, for example, instead of *bird* and *prison*. An example of a morphological error is the production of such errors as *womans*, *sheeps*, and *furnitures*. A lexical error involves inappropriate direct translation from the learner's native language or the use of wrong lexical items in the second language. Examples of lexical errors are: This is the *home* that my father built, and The *clock* is now ten. Finally, examples of syntactic errors are errors in word order, subject-verb agreement, and the use of the resumptive pronoun in English relative clauses produced by Arab ESL learners as illustrated in: The boy that I saw *him* is called Ali.

When we analyze students' errors there are some steps that can be followed. Ellis (2008) proposes the following steps in doing error analysis:

- Collect a sample of learner language. Most samples of learner language which have been used in EA include data collected from many speakers who are responding to the same kind of task or test. Some studies use samples from a few learners that are collected over a period of weeks, months, or even years in order to determine patterns of change in error occurrence with increasing L2 exposure and proficiency.
- Identify the errors. Corder (1967) distinguishes between systematic errors (which result from learners' lack of L2 knowledge) and mistakes (the results from some kind of processing failure such as a lapse in memory), which he excludes from the analysis.
- Describe the errors. Errors are usually classified according to language level (phonological, morphological, syntactic, etc.), general linguistic category (e.g. auxiliary system, passive sentences,

negative constructions), or more specific linguistic elements (e.g. articles, prepositions, verb forms).

- Explain the errors. Explaining why an error was made is the most important step in trying to understand the processes of SLA. Two of the most likely causes of L2 errors are interlingual (“between languages”) factors, resulting from negative transfer or interference from L1 and intralingual (“within language”) factors, not attributable to cross-linguistic influence. Intralingual errors are also considered developmental errors and often represent incomplete learning of L2 rules or overgeneralization of them.
- Evaluate the errors: This step involves analysis of what effect the error has on whomever is being addressed: e.g. how “serious” it is, or to what extent it affects intelligibility, or social acceptability (such as qualifying for a job).

The following example shows how errors are analyzed. The following passage was in a text written by a native Indonesian. The errors are underlined and numbered.

The weather is been (1) very hot in the (2) Jakarta. There climate (3) last week warm.

The first error (1) is the use of ‘is’ instead of ‘has’ with ‘been’ (intralingual/developmental error). This is evidence that the speaker/writer is learning the English auxiliary verb system, but hasn’t yet mastered the distinction between forms of ‘be’ and ‘have’, which doesn’t exist in Indonesian. The second error (2) is the use of ‘the’ with a place name (intralingual/developmental error). This is evidence that the speaker/writer is learning to use articles in front of nouns but hasn’t yet learned that they don’t occur before most place names. The third error (3) ‘There climate’ is a direct translation of the Indonesian phrase which would be used in this context (interlingual/interference error).

Saville-Troike (2012: 42-43) states that EA continues as a useful procedure for the study of SLA, but a number of shortcomings have been noted and should be kept in mind. These include:

- Ambiguity in classification. It is difficult to say, for instance, if a Chinese L1 speaker who omits number and tense inflections in

English L2 is doing so because of L1 influence (Chinese is not an inflectional language) or because of a universal developmental process (also present in L1 acquisition) which results in simplified or “telegraphic” utterances.

- Lack of positive data. Focus on errors alone does not necessarily provide information on what the L2 learner has acquired (although I have inferred from the examples I gave above what the Korean L1 speaker/writer has learned about English auxiliary verbs and articles); further, correct uses may be overlooked.
- Potential for avoidance. Absence of errors may result from learners’ avoidance of difficult structures, and this will not be revealed by EA (Chomsky makes the point that Chinese and Japanese L1 speakers make few errors in English L2 relative clauses because they avoid using them).
- Influence of L2 curricula. Some L2 teachers attribute the variation in student errors to the natures of students’ prior L2 learning experiences: e.g. whether it was informal or formal in nature, and if formal, whether grammar versus communicative activities or written versus oral skills dominated. Even when very similar approaches to teaching are represented in these experiences, teachers and textbooks may have included different content, different emphases, and different sequencing. These and other possible curricular variables may have a significant influence on subsequent student errors, although most have received little attention in research that tries to explain why some learners are more successful than others.

C. INTERLANGUAGE

Under the same influences from linguistics and psychology as Corder, and building on his concepts and procedures for EA, Larry Selinker (1972) introduced the term Interlanguage (IL) to refer to the intermediate states (or interim grammars) of a learner’s language as it moves toward the target L2. As in EA and first language studies of the 1960s and 1970s, Selinker and others taking this approach considered the development of the IL to be a creative process, driven by inner forces in interaction with environmental factors, and influenced both by L1 and by input from the target language. While influence from L1 and L2 language systems in a learner’s IL is clearly recognized, emphasis is on the IL itself as a third language system in its own

right which differs from both L1 and L2 during the course of its development.

An interlanguage has the following characteristics:

- **Systematic.** At any particular point or stage of development, the IL is governed by rules which constitute the learner's internal grammar. These rules are discoverable by analyzing the language that is used by the learner at that time – what he or she can produce and interpret correctly as well as errors that are made.
- **Dynamic.** The system of rules which learners have in their minds changes frequently, or is in a state of flux, resulting in a succession of interim grammars. Selinker views this change not as a steady progression along a continuum, but discontinuous progression “from stable plateau to stable plateau”.
- **Variable.** Although the IL is systematic, differences in context result in different patterns of language use.
- **Reduced system, both in form and function.** The characteristic of reduced form refers to the less complex grammatical structures that typically occur in an IL compared to the target language (e.g. omission of inflections, such as the past tense suffix in English). The characteristic of reduced function refers to the smaller range of communicative needs typically served by an IL (especially if the learner is still in contact with members of the L1 speech community).

Selinker (1972) stresses that there are differences between IL development in SLA and L1 acquisition by children, including different cognitive processes involved:

- Language transfer from L1 to L2
- Transfer of training, or how the L2 is taught
- Strategies of second language learning, or how learners approach the L2 materials and the task of L2 learning
- Strategies of second language communication, or ways that learners try to communicate with others in the L2
- Overgeneralization of the target language linguistic material, in which L2 rules that are learned are applied too broadly.

Also unlike L1 acquisition is the strong likelihood of fossilization for L2 learners – the probability that they will cease their IL development in some respects before they reach target language norms, in spite of continuing L2 input and passage of time. This phenomenon relates to age of learning, with older L2 learners more likely to fossilize than younger ones, but also to factors of social identity and communicative need (see e.g. Selinker 1992). Such factors are at the core of discussions concerning the basic question of why some learners are more successful than others. “Relative success” can be defined in this approach as the level of IL development reached before learning stops.

The beginning and end of IL are defined respectively as whenever a learner first attempts to convey meaning in the L2 and whenever development “permanently” stops, but the boundaries are not entirely clear. The initial state and very early stages of L2 development in naturalistic (i.e. unschooled or untutored) settings often involve only isolated L2 words or memorized routines inserted in an L1 structural frame for some period of time. For example, we recorded the following utterances from children who were just beginning to acquire English (Saville-Troike, Pan, and Dutkova 1995):

Chinese L1 : Zheige delicious. ‘This is delicious.’

Navajo L1 : Birthday cake deed aa’. ‘We ate a birthday cake.’

Czech L1 : Yili sme bowling. ‘We went bowling.’

IL probably cannot properly be said to begin until there is some evidence of systematic change in grammar. The endpoint of IL is difficult to identify with complete certainty since additional time and different circumstances might always trigger some resumption in learning.

Identification of fossilization, or cessation of IL development before reaching target language norms, is even more controversial (though primarily for social and political rather than linguistic reasons). Should individuals be considered “fossilized” in L2 development because they retain a foreign accent, for instance, in spite of productive fluency in other aspects of the target language?

There is also the issue of what the concept of “target language” entails as the goal of SLA, especially as it applies to English usage in parts of the world where English has been adopted as an auxiliary or official language but differs from any native variety in Britain or the USA. “Native-like”

production is neither intended nor desired by many speakers, and assuming that it is or should be the ultimate goal for all L2 learners may be considered somewhat imperialistic.

The concept of an IL as a system of learner language which is at least partially independent of L1 and L2 has been highly productive in the study of SLA. It is generally taken for granted now, although controversies remain concerning its specific nature and whether "progress" should be measured against native-speaker norms.

D. MONITOR MODEL

One of the last of the early approaches to SLA which has an internal focus is the Monitor Model, proposed by Stephen Krashen (1978). It explicitly and essentially adopts the notion of a Language Acquisition Device (or LAD), which is a metaphor Chomsky used for children's innate knowledge of language.

Krashen's approach is a collection of five hypotheses which constitute major claims and assumptions about how the L2_c code is acquired. Caution is required, however, that Krashen's model has frequently been criticized by researchers because many of its constructs (e.g. what constitutes comprehensible input) and the claimed distinction between learning and acquisition are vague and imprecise, and because several of its claims are impossible to verify (see McLaughlin 1987). The hypotheses forming the model are the following:

- Acquisition-Learning Hypothesis. There is a distinction to be made between acquisition and learning. Acquisition is subconscious, and involves the innate Language Acquisition Device which accounts for children's L1. Learning is conscious and is exemplified by the L2 learning which takes place in many classroom contexts.
- Monitor Hypothesis. What is "learned" is available only as a monitor, for purposes of editing or making changes in what has already been produced.
- Natural Order Hypothesis. We acquire the rules of language in a predictable order.
- Input Hypothesis. Language acquisition takes place because there is comprehensible input. If input is understood, and if there is enough of it, the necessary grammar is automatically provided.

- Affective Filter Hypothesis. Input may not be processed if the affective filter is "up" (e.g. if conscious learning is taking place and/or individuals are inhibited).

In spite of being severely criticized by researchers, Krashen's model had a major influence on language teaching in the USA in the 1980s and 1990s, including avoidance of the explicit teaching of grammar in many hundreds of classrooms. The pendulum has since begun to swing back in the opposite direction, with formal grammar teaching increasingly being introduced, especially with adults, who are able to benefit from (and may even need) an explicit explanation of grammatical structure.

The early period for linguistic study of SLA which we have just reviewed ended with some issues in rather spirited debate among proponents of different approaches, but there was widespread consensus on some important points. These include:

- What is being acquired in SLA is a "rule-governed" language system. Development of L2 involves progression through a dynamic interlanguage system which differs from both L1 and L2 in significant respects. The final state of L2 typically differs (more or less) from the native speakers' system.
- How SLA takes place involves creative mental processes. Development of both L1 and L2 follows generally predictable sequences, which suggests that L1 and L2 acquisition processes are similar in significant ways.
- Why some learners are more (or less) successful in SLA than others relates primarily to the age of the learner.

As we reach the 1980s in this survey, new proposals in Chomskyan theoretical linguistics were about to have a major impact on the study of SLA, and Universal Grammar was to become the dominant approach with an internal focus.

E. UNIVERSAL GRAMMAR

Universal Grammar (UG) continues the tradition which Chomsky introduced in his earlier work. Two concepts in particular have been of central importance:

- 1) What needs to be accounted for in language acquisition is linguistic competence, or speaker/hearers' underlying knowledge of language. This is distinguished from linguistic performance, or speaker-hearers' actual use of language in specific instances.
- 2) Such knowledge of language goes beyond what could be learned from the input people receive. This is the logical problem of language learning, or the poverty-of-the-stimulus argument.

Trawinsky (2005) says that Chomsky claimed that human mind relies on an inborn mechanism, called Language Acquisition Device (LAD), the function of which is to initiate, supervise and facilitate the language acquisition process. The three major functions of LAD are to help the learner to (a) attend the language he/she is exposed to, (b) make hypothesis about the language, and (c) develop its grammatical system. The LAD does not require any specially modified language input as it is triggered by any linguistic input that a human being is exposed to.

According to Ellis (1985: 193), Chomsky also introduced another concept to support the claim that language acquisition ability is inborn. This concept is called Universal Grammar (UG), the role of which is to "constrain the form which the grammars of individual languages can take". Universal Grammar includes some invariant principles, i.e. principles that are generally true across languages, as well as parameters which allow for variation from language to language. These principles provide the learner with a framework to build a grammar of his/her language on. They state which rule is and which is not possible in human languages.

Trawinsky (2005: 13) says that the Universal Grammar principles set parameters (possible linguistic choices), which are selected and modified by the learner on the basis of the particular language he/she is exposed to. Therefore, the principles may be defined as universal features of all languages, and the parameters as the rules of the particular language discovered through exposure to the language. Universal Grammar helps to form the core of the language. However, languages contain elements not 'regulated' by Universal Grammar, called by Chomsky as the periphery. These are rules from the history of a language (e.g. exceptions to grammar rules present in idioms, proverbs) or ones borrowed from other languages (e.g. irregular plural of some words of Greek origin), and therefore not necessarily following the core system of grammar.

Chomsky and his followers have claimed since the 1950s that the nature of speaker/hearers' competence in their native language can be accounted for only by innate knowledge that the human species is genetically endowed with. They argue that children (at least) come to the task of acquiring a specific language already possessing general knowledge of what all languages have in common, including constraints on how any natural language can be structured. This innate knowledge is in what Chomsky calls the language faculty, which is "a component of the human mind, physically represented in the brain and part of the biological endowment of the species" (Chomsky 2002: 1). What all languages have in common is Universal Grammar.

If a language faculty indeed exists, it is a potential solution to the "logical problem" because its existence would mean that children already have a rich system of linguistic knowledge which they bring to the task of L1 learning. They wouldn't need to learn this underlying system, but only build upon it "on the basis of other inner resources activated by a limited and fragmentary linguistic experience" (Chomsky 2002: 8). In other words, while children's acquisition of the specific language that is spoken by their parents and others in their social setting requires input in that language, the acquisition task is possible (and almost invariably successful) because of children's built-in capacity. One of the most important issues in a UG approach to the study of SLA has been whether this innate resource is still available to individuals who are acquiring additional languages beyond the age of early childhood.

Until the late 1970s, followers of this approach assumed that the language acquisition task involves children's induction of a system of rules for particular languages from the input they receive, guided by UG. How this could happen remained quite mysterious. (Linguistic input goes into a "black box" in the mind, something happens, and the grammatical system of a particular language comes out.) A major change in thinking about the acquisition process occurred with Chomsky's (1981) reconceptualization of UG in a Principles and Parameters framework (often called the Government and Binding [GB] model), and with his subsequent introduction of the Minimalist Program (1995).

Since around 1980, the construct called Universal Grammar has been conceptualized as a set of principles which are properties of all languages in the world. Some of these principles contain parameters or points where there

is a limited choice of settings depending on which specific language is involved. Because knowledge of principles and parameters is postulated to be innate, children are assumed to be able to interpret and unconsciously analyze the input they receive and construct the appropriate L1 grammar. This analysis and construction is considered to be strictly constrained and channeled by UG, which explains why L1 acquisition for children is relatively rapid and always successful; children never violate core principles nor do they select parametric values outside of the channel imposed by UG, even though there might be other logical possibilities.

Other principles and parameter settings that account for variations between languages include those that determine whether or not agreement between subject and verb must be overtly expressed, and whether or not a subject must be overtly present (the "null subject" parameter). For example, English speakers must say *It is raining*, with a meaningless overt subject *it*, whereas subjects are omitted in Chinese *Xia yu* 'down rain' and Spanish *Está lloviendo* 'is raining.' There is no complete listing of invariant principles and principles with parametric choices in UG, and there perhaps will never be one, since proposals concerning their identity change as the theory evolves. In any case, the specification of universal principles and parameters is relevant to theoretical developments and understandings, and may have practical value in L2 teaching. Principles and parameters per se are not, cannot, and need not be learned in L1 acquisition, as they are assumed to be built into the Language Acquisition Device (LAD) we are born with. This may also partially hold true for older second language learners, though an awareness of parameter settings in an L2 may help focus perception on input and thus facilitate learning.

F. FUNCTIONAL APPROACHES

While UG has been the dominant linguistic approach to SLA for many years, many researchers have rather chosen to take an external focus on language learning. The more influential of these approaches are based on the framework of Functionalism. Functional models of analysis date back to the early twentieth century and have their roots in the Prague School of linguistics that originated in Eastern Europe. They differ from structuralist and early generative models by emphasizing the information content of

utterances, and in considering language primarily as a system of communication rather than as a set of rules.

The term function has several meanings in linguistics, including both structural function (such as the role which elements of language structure play as a subject or object, or as an actor or goal) and pragmatic function (what the use of language can accomplish, such as convey information, control others' behavior, or express emotion). Approaches to SLA which are characterized as functional differ in emphasis and definition but share the following characteristics in general opposition to those in the Chomskyan tradition:

- Focus is on the use of language in real situations (performance) as well as underlying knowledge (competence). No sharp distinction is made between the two.
- Study of SLA begins with the assumption that the purpose of language is communication, and that development of linguistic knowledge (in L1 or L2) requires communicative use.
- Scope of concern goes beyond the sentence to include discourse structure and how language is used in interaction, and to include aspects of communication beyond language.

Two of the functional approaches which have been influential in SLA are Systemic Linguistics and Functional Typology.

I. Systemic Linguistics

Systemic Linguistics has been developed by M. A. K. Halliday, beginning in the late 1950s. This is a model for analyzing language in terms of the interrelated systems of choices that are available for expressing meaning. Basic to the approach is the notion, ultimately derived from the anthropologist Malinowski, that language structures cannot be idealized and studied without taking into account the circumstances of their use, including the extralinguistic social context. From this functional view,

language acquisition . . . needs to be seen as the mastery of linguistic functions. Learning one's mother tongue is learning the uses of language, and the meanings, or rather the meaning potential, associated with them. The structures, the words and the sounds are the realization of this meaning potential. Learning language is learning how to mean. (Halliday 1973: 345)

To relate this notion to the question about what language learners essentially acquire, in Halliday's view it is not a system of rules which govern language structure, but rather "meaning potential": "what the speaker/hearer can (what he can mean, if you like), not what he knows" (1973 :346). The process of acquisition consists of "mastering certain basic functions of language and developing a meaning potential for each" (1975: 33). Halliday (1975) describes the evolution of the following pragmatic functions in early L1 acquisition (he calls them "functions of language as a whole"), which are universal for children:

- Instrumental—language used as a means of getting things done (one of the first to be evolved): the "I want" function.
- Regulatory—language used to regulate the behavior of others: the "do as I tell you" function.
- Interactional—use of language in interaction between self and others: the "me and you" function.
- Personal—awareness of language as a form of one's own identity: the "here I come" function.
- Heuristic— language as a way of learning about things: the "tell me why" function.
- Imagination – creation through language of a world of one's own making: the "let's pretend" function.
- Representational—means of expressing propositions, or communicating about something (one of the last to appear): the "I've got something to tell you" function.

According Saville-Troike (2012), linguistic structures which are mastered in the developmental process are "direct reflections" of the functions that language serves; their development is closely related to the social and personal needs they are used to convey. One application of Halliday's model to the study of SLA comes with seeing L2 learning as a process of adding multilingual meaning potential to what has already been achieved in L1. This is an approach that some of my colleagues and I have taken in our research. We have concluded that "Second language acquisition is largely a matter of learning new linguistic forms to fulfill the same functions within a different social milieu". In studying children who had just arrived in the USA from several different countries, for instance, we found that all of them could accomplish a wide range of communicative functions

even while they still had very limited English means at their disposal. What we observed and recorded over a period of several months for every child in our study was not the emergence of new functions (as we would expect in early L1 development), but emergence of new language structures to augment existing choices for expressing them. This structural emergence follows the same general sequence for each function (not unlike early stages of L1). For example:

- a. Nonverbal
 Regulatory: (Hitting another child who is annoying.)
 Interactional: Unh ? (Uttered as a greeting.)
 Heuristic: (Pointing at an object [with a questioning look] to request the English term for it.)
- b. L2 formula or memorized routine
 Regulatory: Don't do that!
 Interactional: Hi!
 Heuristic: What's it?
- c. Single L2 word
 Regulatory: He! (Pointing out another child's offending behavior to a teacher.)
 Interactional: Me? (An invitation to play.)
 Heuristic: What? (Asking for the English term for an object.)
- d. L2 phrase or clause
 Regulatory: That bad!
 Interactional: You me play?
 Heuristic: What name this?
- e. Complex L2 construction
 Regulatory: The teacher say that wrong!
 Interactional: I no like to play now.
 Heuristic: What is name we call this?

2. Functional Typology

Saville-Troike (2012) states that another approach within the functional framework is Functional Typology, which is based on the comparative study of a wide range of the world's languages. This study involves the classification of languages and their features into categories (or "types");

hence “typology”), with a major goal being to describe patterns of similarities and differences among them, and to determine which types and patterns occur more/less frequently or are universal in distribution. The approach is called “functional” because analysis integrates considerations of language structure, meaning, and use. Functional Typology has been applied to the study of SLA most fruitfully in accounting for developmental stages of L2 acquisition, for why some L2 constructions are more or less difficult than others for learners to acquire, and for the selectivity of cross-linguistic influence or transfer (i.e. for why some elements of L1 transfer to L2 and some do not). A particularly important concept which is tied to these accounts is markedness – the notion of markedness deals with whether any specific feature of a language is “marked” or “unmarked.” A feature is “unmarked” if it occurs more frequently than a contrasting element in the same category, if it is less complex structurally or conceptually, or if it is more “normal” or “expected” along some other dimension. The concept applies to all levels of linguistic analysis. For example:

- In phonology, the most common syllable structure which occurs in languages of the world is CV (consonant + vowel, as in me and banana) , so this structure is “unmarked.” It is much less common to have a sequence of consonants at the beginning or end of syllables; English sequences like street [stri:t] and fence [fents] are “marked” in this respect.
- In vocabulary, the preposition into denotes location while the preposition in is more complex, denoting both location and directionality. Into is thus “marked” in contrast with in because it is both structurally and conceptually more complex.
- In syntax, the basic word order in sentences of SVO (subject-verb-object) is more common in languages of the world than is SOV. SVO is thus relatively “unmarked” and SOV relatively “marked.”
- In discourse, the expected “unmarked” response to the English formulaic greeting How are you? is Fine. How are you? (no matter how the respondent is actually feeling). A response which reports information about one’s health or other personal conditions is not expected in this routine exchange, and is “marked.” Similarly, the “unmarked” response to a question requesting information is an answer about the same topic. Silence or a comment on a different

topic is a "marked" response because it is not in accord with "normal" conversational practice.

In accounting for order and relative difficulty for acquisition, unmarked elements are likely to be acquired before marked ones in children's L1, and to be easier for a learner to master in L2. In phonology, for instance, the babbling and first words of a child in L1 are likely to have an unmarked CV syllabic structure (no matter what the native language), and marked CC sequences appear only at a later stage of development. It is also likely that L2 learners will find marked CC sequences more difficult to produce, especially if they do not occur at all in the speakers' L1. A markedness account of selective transfer from L1 to L2 predicts that unmarked features in L1 are more likely to transfer, as well as that marked features in L2 will be harder to learn. For example, the pronunciation of the marked consonant sequence [sk] in school should be difficult for Spanish L1 speakers, whose native phonological system is "simpler" than English in this respect because it does not allow two voiceless consonants to occur together. It is indeed common for beginning Spanish L1 learners of English L2 to break this [sk] combination apart into two syllables and pronounce the word as [es-kul], thus avoiding the marked structure. In reverse, learners of Spanish L2 should have no comparable problem pronouncing *escuela* [es-kwe-la] 'school,' since it contains no consonant cluster in any syllable.

One implication that we might draw from this approach is that some aspects of some languages are more difficult to learn than others, in spite of the traditional claim within linguistics that all languages are equally complex. Another issue that we might speculate about is why some types and patterns of features are more or less frequent than others in both native and second languages. Functional explanations tend to refer to extralinguistic factors, or elements outside of language. Certain factors that have been suggested are: perceptual salience, ease of cognitive processing, physical constraints (e.g. the shape of the human vocal tract), and communicative needs.



EXERCISE 3

- 1) Match the following theories with their central figures:

a. Contrastive Analysis	1. Krashen
b. Error Analysis	2. Dulay and Burt
c. Interlanguage	3. Corder
d. Morpheme Order Studies	4. Chomsky
e. Monitor Model	5. Lado
f. Universal Grammar	6. Selinker
- 2) Explain and criticise the use of contrastive analysis in the study of second language acquisition!
- 3) Explain the concept of interlanguage in second language acquisition.
- 4) As they can be understood in Chomsky's theory of Universal Grammar, what is the difference between linguistic performance and linguistic competence?
- 5) According to a Functionalist perspective, what is the primary purpose of language?
- 6) Proponents of Universal Grammar believe that language ability is innate, whereas Functionalists believe that we develop language primarily because of a need to communicate. Which theory do you believe in? Why?



SUMMARY

Ability to use a language requires a complex of knowledge and skills that is automatically available to everyone when they acquire L1 as a child. However, a comparable level is seldom achieved in L2, even if learners expend a great deal of time and effort on the learning task. Different linguistic approaches have explored the basic questions about SLA with either an internal or an external focus of attention. Views on what is being acquired range from underlying knowledge of highly abstract linguistic principles and constraints, to ability to structure and convey information in a second language; views on how SLA takes place differ in their emphasis on continued innate UG capacity for language learning or on requirements of communicative processing; views on why some learners are more or less successful range from

factors which are largely internal to language and mind, to explanations which involve communicative need and opportunity. Purely linguistic approaches, though, have largely excluded psychological and social factors. To gain an in-depth, "stereoscopic" understanding of L2 acquisition, we unquestionably need to view the process through more than one lens. The still-fuzzy nature of the present picture reflects the need for more refined theoretical models and additional research.



FORMATIVE TEST 3

- 1) Review the different types of interference hypothesized by Lado's (1957) Contrastive Analysis Hypothesis, and match the following examples to their interference type.

	Interference types		Examples
A	same form and meaning, different distribution	1	A native Lao speaker declares 'I have two son' instead of saying 'sons.' Lao does not mark plural on nouns, but relies on numbers, other quantifiers or context to convey plural meaning.
B	same meaning, different form	2	A native Italian speaker with a sore throat says 'I do not have voice' instead of 'I lost my voice,' translating literally from the Italian expression <i>non avere voce</i> (not to have voice).
C	same meaning, different form and distribution	3	A French speaker says 'He reads always novels' (<i>Il lit toujours des romans</i>) instead of 'He always reads novels' because of a difference between adverb placement rules in English and French.
D	different form, partial overlap in meaning	4	An English-speaking student of German wants to tell her teacher that she will study all day for her test. She uses the expression <i>alle Tage</i> , which actually means 'every day,' because she has seen it before and assumes it means 'the whole day' because it's like the English form.
E	similar form, different meaning	5	A non-native US English speaker is confused when the doctor says 'You'll need to ice your foot twice a day' because he would never think that 'ice' should be a verb. In his language, 'ice' can only be a noun, and a verbal expression would be required, such as 'apply

			ice to foot', or 'take ice, put on foot'.
		6	A native Italian speaker says 'My climbing shoes are easier to carry than these' (referring to high-heeled shoes she is wearing). (In Italian, the verb portare means both 'to carry' and 'to wear'.)
		7	A native Italian speaker says 'that's a good way to hold up it' instead of 'hold it up'. (There are no separable verbs in Italian the pronoun 'it' (lo) would go at the end of the infinitive (tener)- tenerlo).

- 2) Explain and criticize the error analysis in the study of second language acquisition!
- 3) Explain and criticize the concept of universal grammar in second language acquisition
- 4) Explain and criticize the concept of monitor model in second language acquisition.
- 5) If you have studied a second language, what are some of the linguistic elements that have been most difficult for you to master (morphology, phonology, syntax, etc.)? Why do you think they have been harder?
- 6) Some teachers attribute variation in learner errors to the nature of students' prior learning experiences, such as whether learning was formal or informal, communicative or grammar-oriented, and even which teachers and textbooks were parts of the learners' experiences. Considering your own learning, do you feel such variables played a role in your L2 development? Cite specific examples.

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

Answer Key

Unit 1

Exercises

- 1) Both definitions agree that SLA refers to the process of learning a language after learning the mother tongue or the native language. This covers learning a third, a fourth, or a fifth language.

Ellis does not make any differences between second language acquisition and foreign language learning, while Gass and Selinker state that there is a main difference between second language acquisition and foreign language learning. Foreign language learning is generally differentiated from second language acquisition in that the former refers to the learning of a nonnative language in the environment of one's native language (e.g., Indonesian speakers learning English in Indonesia). Foreign language learning is most commonly done within the context of the classroom. On the other hand, second language acquisition is the learning of a nonnative language in the environment where that language is spoken (e.g., Indonesian speakers learning English in Sydney). This may or may not take place in a classroom setting. The important point is that learning in a second language environment takes place with considerable access to speakers of the language being learned, whereas learning in a foreign language environment usually does not.

- 2) Following Saville-Troike explanation, we can compare first language acquisition and second language acquisition in three phases, the initial state, the intermediate states, and the final state. The initial state of L1 acquisition is composed solely of an innate capacity for language acquisition which may or may not continue to be available for L2, or may be available only in some limited ways. The initial state for L2 acquisition has resources of L1 competence, world knowledge, and established skills for interaction, which can be both an asset and an impediment. There is complete agreement that since L2 acquisition follows L1 acquisition, a major component of the initial state for L2 learning must be prior knowledge of L1. This prior knowledge of L1 is responsible for the transfer from L1 to L2 during second language development. L2 learners also already possess real-world knowledge and knowledge of means for accomplishing such interactional functions as

requesting, commanding, promising, and apologizing, which have developed in conjunction with L1 acquisition but are not present in the L1 initial state.

Both L1 and L2 learners go through intermediate states as they progress from their initial to their final state linguistic systems. There is similarity in that the development of both L1 and L2 is largely systematic, including predictable sequencing of many phenomena within each and some similarity of sequencing across languages, and in the fact that L1 and L2 learners both play a creative role in their own language development and do not merely mimic what they have heard or been taught.

Development is a spontaneous and largely unconscious process in L1 child grammar, where it is closely correlated with cognitive maturation. In contrast, the development of learner language (or interlanguage) for L2 learners occurs through transfers; positive transfer and negative transfer. Language input to the learner is absolutely necessary for either L1 or L2 learning to take place. Children additionally require direct, reciprocal interaction with other people for L1 learning to occur. In contrast, while face-to-face social interaction generally facilitates SLA, it is not a necessary condition. It is possible for some individuals to reach a fairly high level of proficiency in L2 even if they have input only from such physically or temporally more remote sources as radio, television, or written text.

The final state is the outcome of L1 or L2 learning. The final state of L1 development is native linguistic competence. On the other hand, the final state of L2 development can never be totally native linguistic competence, and the level of proficiency which learners reach is highly variable.

- 3) The first one is S. Pit Corder. Corder is famous of the theory of error analysis with his publication "The Significance of Learners' Errors." Corder noted that advances in language instruction would not occur until we understood what language learners bring to the task of acquisition. Corder suggested that like children, perhaps L2 learners came equipped with something internal, something that guided and constrained their acquisition of the formal properties of language. He called this something "the internal syllabus" noting that it did not necessarily match the syllabus that instruction attempted to impose upon learners. Corder

also made a distinction between input and intake, defining input as the language available from the environment, but intake as that language that actually makes its way into the learner's developing competence. This distinction is one still held today in the field.

A second seminal publication was the 1972 publication of Larry Selinker's "Interlanguage." In this article, Selinker argued that L2 learners possessed an internal linguistic system worthy of study in its own right, a language system that had to be taken on its own terms and not as some corrupted version of the L2. He called this system an "interlanguage" because the system was neither the L1 nor the L2, but something in-between that the learner was building from environmental data. Selinker also posited a number of constructs still central today in L2 research, notably L1 transfer and fossilization. Thus, these two critical thinkers laid the foundation upon which the next decades of work on SLA was forged.

- 4) Because during the 1970s there were some many descriptive studies that sought to refute behaviorism and to apply the basic ideas of Corder and Selinker. The first one is the emergence of research on acquisition orders that replicated both the methodology and the findings of L1 acquisition research in the L2 context. The second one is the emergence of research on transitional stages of competence, which replicated important findings from L1 research. This time period also gave birth to error analysis, the careful examination of learner output with particular attention to "errors". From error analysis scholars began to minimize L1 influence on SLA; that is, researchers revealed that L1 transfer was not as widespread as once thought. To be sure, this period was heavily marked by research on English as a second language, especially by non-classroom learners, leaving some professionals in other languages to dismiss the findings as inapplicable to classroom learners and to learners of other languages.
- 5) The relation between input and intake is input is the source of intake. Input is everything around us we may perceive with our senses, and intake is what we pay attention to and notice. Some level of attention is required to be able to notice something, and that noticing is crucial in obtaining new information. There is little doubt that input is the main source of information for learning, but not all input becomes intake, which is necessary for learning. It is not particularly easy to know under

what conditions input is actually used for learning. From experiments in consciousness, we do know that unexpected events often capture attention. In addition, expectations are important determinants of perceptibility and noticeability, so it is plausible that instruction may have an awareness-raising effect, increasing the likelihood of noticing features in input through the establishment of expectation and comprehending. For intake, at least some minimal level of processing needs to take place. There must be some awareness of new information that is relevant for the learning system to incorporate. Intake may refer to information that strengthens existing knowledge, or it may fill a gap in knowledge that was noticed by the learner before.

- 6) A clear distinction between incidental and intentional learning is difficult to formulate. We can provide some examples. When a person reads for pleasure and doesn't bother to look up a word he or she doesn't know in a dictionary, but a few pages later he realizes what that word means, then incidental learning is said to have taken place. If a teacher instructs a student to take a text and read it and find out the meanings of unknown words, then it becomes an intentional learning activity. The incidental versus intentional learning question is related to whether noticing is required and, if so, whether such noticing is automatic or requires attention. Apparently, incidental learning without 'paying attention' is both possible and effective, but only when the demands of a task focus attention on what is to be learned.

Formative Test

- 1) The answer will vary
- 2) Second language acquisition typically takes place in a setting in which the language to be learned is the language spoken in the local community. For example, an Indonesian speaker learning English in Australia is generally defined as a second language learner. In some definitions of second language acquisition, the acquisition needs also to take place in a non-instructed setting. Foreign language learning, on the other hand, takes place in a setting in which the language to be learned is not the language spoken in the local community. So the learning of English by Indonesian students in Indonesia would be an example of foreign language acquisition. In most cases, foreign language acquisition takes place in a setting with formal language instruction.

- 3) What do you know about positive transfer and negative transfer?
 - positive transfer , when an L1 structure or rule is used in an L2 utterance and that use is appropriate or “correct” in the L2; and
 - negative transfer (or interference) , when an L1 structure or rule is used in an L2 utterance and that use is inappropriate and considered an “error.”
- 4) The learner’s first language strongly influences second language acquisition. This is very clearly supported by the foreign accents in the second language speech of the learners. For example, when an Indonesian speaks English, his/her English sounds Indonesian. The other language components, such as grammar and vocabulary are also affected by the learner’s first language. It is also a popular belief that the role of the first language in SLA is a negative one. The first language gets in the way or interferes with the learning of the second language. In his case, the features of the L1 are often transferred into the L2. In the case of similarities between the first language and the second language, language transfer functions positively, while in the case of differences it functions negatively.
- 5) Implicit learning is acquisition of knowledge about the underlying structure of a complex stimulus environment by a process that takes place naturally, simply and without conscious operations. Explicit learning is a more conscious operation where the individual makes and tests hypotheses in a search for structure. Knowledge attainments can thus take place implicitly (a non-conscious and automatic abstraction of the structural nature of the material arrived at from experience of instances), explicitly through selective learning (the learner searching for information and building then testing hypotheses), or, because we can communicate using language, explicitly via given rules (assimilation of a rule following explicit instruction.
- 6) On the one hand, some languages are learned mainly through education. For example, when an Indonesian learns English in Indonesia, there is little chance for him to meet an English person and find the English setting in which he can pick up the language. His main source of contact and input is the school, but he may also ‘pick up’ some of the language through reading on his own. On the other hand, some languages are learned mainly through informal interaction. Many migrants throughout the world move into a setting in which they have to learn the local

language on their own in order to survive. In many such settings there is no formal system of education to learn that language, so people have to pick up the language from what they hear and see in their environment.

Unit 2

Exercises

- 1) Actually the order of acquisition is similar in different age groups. However, there are some differences. In terms of rate of acquisition, adults outperform children, especially in the acquisition of grammar. In terms of the ultimate attainment, children are able to achieve accent-free, native-like performance whereas adult starters' achievement is limited to grammatical and lexical subsystem. Adults are more inhibited than children and their identity as speakers of L1 is firmly established. As a result, they do not fully benefit from interaction, do not accommodate the L2 input, and do not achieve accent-free pronunciation. Children are believed to receive a better-quality input, and receive more input as they more willingly participate in interaction.
- 2) Spolsky describes three conditions for L2 learning related to age:
 - 'Formal' classroom learning requires 'skills of abstraction and analysis'. That is to say, if the teaching method entails sophisticated understanding and reasoning by the student, as for instance a traditional grammar-translation method, then it is better for the student to be older.
 - The child is more open to L2 learning in informal situations. Hence children are easier to teach through an informal approach.
 - The natural L2 situation may favor children. The teaching of adults requires the creation of language situations in the classroom that in some ways compensate for this lack.
- 3) Sex (gender) differences influence second language acquisition because many studies have found that sex differences can have a significant impact on how students learn a language. For example, studies of individual language learner differences related to sex (biological) or gender (socially constructed) have shown that females tend to show greater integrative motivation and more positive attitudes to L2, and use a wider range of learning strategies, particularly social strategies. A study conducted by Larsen-Freeman & Long shows that in the process of first language acquisition females excel males, at least at the early stage.

Zhuanglin states that male and female are born with different linguistic advantages, such as, female learn to speak earlier than male, and female learn a foreign language faster and better than male. Studies of actual results suggest females are typically superior to males in nearly all aspects of language learning, except listening vocabulary.

- 4) Motivation in learning a second language is the effort supported by desire to achieve the goal and the good attitude for mastering a second language. Motivation is the second strongest predictor (after aptitude) of second language success and largely determines the level of effort that learners expend at various stages in their L2 development, often a key to ultimate level of proficiency.

According to Gardner and Lambert (1972) the following two types of motivation exist:

- Integrative: found in individuals who are interested in the second language in order to integrate with and become a part of a target community/culture; here the learner wants to resemble and behave like the target community.
 - Instrumental: found in individuals who want to get learn a second language with the objective of getting benefits from the second language skill. Objectives, such as business advancement, increase in professional status, educational goals etc. motivate an individual to learn a second language in this case.
- 5) Language learning styles refer to cognitive variations in learning a second language. It is about an individual's "preferred way of processing, that is, of perceiving, conceptualizing, organizing, and recalling information related to language learning. The language learning styles are the overall patterns that give general direction to learning behavior.

There are four types of learning styles.

- Concrete learning style. Learners with a concrete learning style use active and direct means of taking in and processing information. They are interested in information that has immediate value. They are curious, spontaneous, and willing to take risks. They like variety and a constant change of pace.
- Analytical learning style. Learners with an analytical style are independent, like to solve problems, and enjoy tracking down ideas and developing principles on their own. Such learners prefer a

- logical, systematic presentation of new learning material with opportunities for learners to follow up on their own.
- Communicative learning style. Learners with a communicative learning style prefer a social approach to learning. They need personal feedback and interaction, and learn well from discussion and group activities. They thrive in a democratically run class.
 - Authority-oriented learning style. Learners with an authority-oriented style are said to be responsible and dependable. They like and need structure and sequential progression. They relate well to a traditional classroom. They prefer the teacher as an authority figure.
- 6) The answer will vary..
 - 7) Extroverts are considered sociable and impulsive. They seem to dislike solitude, take risks; impulsive. Whereas, introverts are believed to be introspective, quiet, retiring and reserved. An extrovert is said to receive energy from outside sources, whereas an introvert is more concerned with the inner world of ideas and is more likely to be involved with solitary activities. This trait does not just describe whether a person is outgoing or shy, but considers whether a person prefers working alone or feels energized and at home working in a team. The SLA theorists often argue that an extroverted person is well suited to language learning. SLA literature suggests that the more extravert language learners would increase the amount of input, prefer communicative approach, the more they are likely to join the group activities.
 - 8) Risk-Taking is defined as the ability to make intelligent guesses. Risk taking is used because to some extent it can avoid students from a bad grade in the course, a fail on the exam, a reproach from the teacher, a smirk from a classmate, punishment or embarrassment imposed by oneself. It can also help student to avoid the fear of looking ridiculous, fear of the frustration coming from a listener's blank look, fear of the alienation of not being able to communicate and thereby get close to other human beings & fear of losing their identity.

Formative Test

- 1) A critical period means that beyond a particular age successful acquisition of a second language is not possible due to physiological changes in the brain. It is believed that there is a critical period for first language acquisition. Children are believed to have only a limited

number of years during which normal acquisition is possible. Beyond that, physiological changes cause the brain to lose its plasticity, or capacity to assume the new functions that learning language demands. Individuals who for some reason are deprived of the linguistic input which is needed to trigger first language acquisition during the critical period will never learn any language normally.

While it is true for first language acquisition, there is a debate on the existence or absence of a critical period of language learning has been going on in the field of SLA.. Moreover, as one gets older, one becomes more self-conscious which hinders him/her from making full use of his/her language skills, especially speaking skills. A more sophisticated version of the critical period hypothesis is the concept of "sensitive" period for language learning by Slobin. The sensitive period implies that there is a period in one's life (during childhood) when second language acquisition is optimized. the sensitive period of language learning is proven by the fact that the universal age of onset of production, rate of acquisition and age of completion of language learning is the same and it is relatively unaffected by the environmental variations and individual cognitive ability.

- 2) The individual difference is the difference that is caused by internal factors of the individual learner himself/herself. For example the English language learner in one classroom may have different age, different aptitude, different motivation to learn, different learning styles and learning strategies, and different personality. These all factors cause the success of second language acquisition.
- 3) Language aptitude is a set of cognitive abilities needed for second language acquisition. Some people have more aptitude for learning second languages than others. Aptitude has almost invariably been applied to students in classrooms. Aptitude does not refer to the knack that some people have for learning in real-life situations, but to the ability to learn from teaching. There are four components of language aptitude:
 - Phonemic coding ability (discriminates and encodes foreign sounds)
 - Grammatical sensitivity (recognizes functions of words in sentences)
 - Inductive language learning ability (infers or induces rules from samples)

- Memory and learning (makes and recalls associations between words and phrases in L1 and L2)

Actually there is the major doubt about aptitude concerns its role in SLA because most of the components of language aptitude refer to academic skills, not communicative skills. Because of that, the role of language aptitude is limited to the process of learning and not the process of acquisition.

Krashen suggests aptitude is important for 'formal' situations such as classrooms, and attitude is important for 'informal' real-world situations. While aptitude tests are indeed more or less purpose-designed for classroom learners, this still leaves open the existence of a general knack for learning languages in street settings.

- 4) The answer will vary
- 5) Using the same strategy in teaching both good language learners and poor language learners will result on the different success in language learning. If the strategy being used is appropriate for good language learners, they will get the maximum benefit from using that strategy and the poor language learners will get the minimum benefit. On the other hand, if the strategy being used is appropriate for poor language learners, they are going to get the maximum benefit from using that strategy, while the good language learners will get the minimum benefit.
- 6) *Cognitive strategies*. Cognitive strategies "operate directly on incoming information, manipulating it in ways that enhance learning". Some of these strategies are
 - Repetition: imitating other people's speech overtly or silently;
 - Resourcing: making use of language materials such as dictionaries;
 - Directed Physical Response: responding physically "as with directives";
 - Translation: using the first language as a basis for understanding and/or producing the L2;
 - Grouping: organizing learning on the basis of "common attributes";
 - Note-taking: writing down the gist etc of texts;
 - Deduction: conscious application of rules to processing the L2;
 - Recombination: putting together smaller meaningful elements into new wholes;
 - Imagery: visualizing information for memory storage;

Metacognitive strategies. Metacognitive strategies are skills used for planning, monitoring, and evaluating the learning activity; “they are strategies about learning rather than learning strategies themselves”. The following are some of the metacognitive strategies

- Advance Organizers: planning the learning activity in advance;
 - Directed Attention: deciding to concentrate on general aspects of a learning task;
 - Selective Attention: deciding to pay attention to specific parts of the language input or the situation that will help learning;
 - Self-management: trying to arrange the appropriate conditions for learning;
 - Advance Preparation: planning the linguistic components for a forthcoming language task;
 - Self-monitoring: checking one's performance as one speaks;
- 7) Self-esteem is a personal judgment of worthiness that is expressed in the attitudes that the individual holds towards himself/herself. Self-esteem is an important factor in second language acquisition. Self-esteem generated by high involvement of teachers let to better results in second language acquisition. A better ability to communicate did lead to more willingness to communicate.
- 8) Anxiety is a state of uneasiness, tension or stress usually as a reaction to certain situation or in some case as a permanent characteristic of one's personality. It comes with the feelings of uneasiness, frustration, self-doubt, apprehension, or worry. A learner's willingness to communicate has also been related to anxiety. It is often affected by the number of people present, the topic of conversation, and the formality of the circumstances. Anxiety does not directly affect the process of SLA itself, but it can motivate the learner to put in more effort, or lead to learner demotivation, resulting in the abandonment of learning task.

The two types of anxiety that have been identified are trait anxiety—more permanent tendency to be anxious—and state anxiety, a type of anxiety experienced in relation to some particular event or act which can be temporary and context-specific. Not all anxiety is bad and a certain amount of tension can have a positive effect and facilitate learning. According to its usefulness, two types of anxiety have been identified. They are Debilitative Anxiety (harmful anxiety) and Facilitative Anxiety

(helpful anxiety). Facilitative anxiety, a positive factor, is the kind of anxiety, concern or apprehension needed to accomplish is.

Unit 3

Exercises

1) Match the following theories with their central figures:

- | | |
|---------------------------|---------------------|
| a. Contrastive Analysis | 5. (Lado) |
| b. Error Analysis | 3. (Corder) |
| c. Interlanguage | 6. (Selinker) |
| d. Morpheme Order Studies | 2. (Dulay and Burt) |
| e. Monitor Model | 1. (Krashen) |
| f. Universal Grammar | 4. (Chomsky) |

2) Contrastive Analysis (CA), pioneered by Lado, is an approach to the study of SLA which involves predicting and explaining learner problems based on a comparison of L1 and L2 to determine similarities and differences. Contrastive analysis is a way that can be used to compare two or more languages in order to identify potential errors for the ultimate purpose of deciding what needs to be learned and what does not need to be learned in a situation of second language learning. We do a structure-by-structure comparison of the sound system, morphological system, syntactic system, and even cultural system of two languages so that we can identify the similarities and the differences between two languages. If there are more differences than similarities, we can predict that the second language is more difficult to learn. For example, when we make the comparison between Indonesian and English, in term of sound systems, we find that the English sounds like /θ/ in 'method', /ð/ in 'with', /ʃ/ in 'shy', and /z/ in 'pleasure', are not available in Indonesian. Thus, we can predict that Indonesian students learning English as a second or foreign language will get difficulties in pronouncing those English sounds

There are some criticisms on contrastive analysis. Contrastive Analysis (CA) is not adequate for the study of SLA in part because the behaviorist learning theory to which it is tied cannot explain the logical problem of language learning. Another problem is that CA analyses are not always validated by evidence from actual learner errors. Many of the L2

problems which CA predicts do not emerge; CA does not account for many learner errors; and much predicted positive transfer does not materialize. A major limitation in application to teaching has been that instructional materials produced according to this approach are language-specific and unsuitable for use with speakers of different native languages. On the other hand, CA approach still stimulates the preparation of hundreds of comparative grammars, and its analytic procedures have been usefully applied to descriptive studies and to translation, including computer translation.

3) Larry Selinker introduced the term Interlanguage (IL) to refer to the intermediate states of a learner's language as it moves toward the target L2. An interlanguage has the following characteristics:

- Systematic. At any particular point or stage of development, the IL is governed by rules which constitute the learner's internal grammar. These rules are discoverable by analyzing the language that is used by the learner at that time – what he or she can produce and interpret correctly as well as errors that are made.
- Dynamic. The system of rules which learners have in their minds changes frequently, or is in a state of flux, resulting in a succession of interim grammars.
- Variable. Although the IL is systematic, differences in context result in different patterns of language use.
- Reduced system, both in form and function. The characteristic of reduced form refers to the less complex grammatical structures that typically occur in an IL compared to the target language (e.g. omission of inflections, such as the past tense suffix in English). The characteristic of reduced function refers to the smaller range of communicative needs typically served by an IL.

There are some differences between IL development in SLA and L1 acquisition by children, including different cognitive processes involved:

- Language transfer from L1 to L2
- Transfer of training, or how the L2 is taught
- Strategies of second language learning, or how learners approach the L2 materials and the task of L2 learning
- Strategies of second language communication, or ways that learners try to communicate with others in the L2

Overgeneralization of the target language linguistic material, in which L2 rules that are learned are applied too broadly.

- 4) Linguistic competence is the speaker/hearer's underlying knowledge of language. Linguistic performance is the speaker- hearers' actual use of language in specific instances.
- 5) According to a Functionalist perspective, the primary purpose of language is a system of communication rather than as a set of rules. The term function has several meanings in linguistics, including both structural function (such as the role which elements of language structure play as a subject or object, or as an actor or goal) and pragmatic function (what the use of language can accomplish, such as convey information, control others' behavior, or express emotion). Approaches to SLA which are characterized as functional because the focus is on the use of language in real situations (performance) as well as underlying knowledge (competence) and the purpose of language is communication, and that development of linguistic knowledge (in L1 or L2) requires communicative use.
- 6) The answer will vary

Formative Test

- 1) 1-B, 2-B, 3-A, 4-E, 5-C, 6-C, 7-B
- 2) Error Analysis (EA) is a type of linguistic analysis that focuses on the errors that students make by comparing the errors a learner makes in producing the L2 and the L2 form itself. Error analysis is based on the description and analysis of actual learner errors in L2, rather than on idealized linguistic structures attributed to native speakers of L1 and L2. Researchers in the field of applied linguistics usually distinguish between two types of errors: performance errors and competence errors. Performance errors are those errors made by learners when they are tired or hurried. Competence errors reflect inadequate learning. We can also distinguish between *local* and *global* errors. Local errors do not hinder communication and understanding the meaning of an utterance. Global errors interfere with communication and disrupt the meaning of utterances. Local errors involve noun and verb inflections, and the use of articles, prepositions, and auxiliaries. Global errors, for example, involve wrong word order in a sentence. Then, language learning errors involve

all language components: the phonological, the morphological, the lexical, and the syntactic errors.

Although Error Analysis (EA) is one of the useful procedures in the study of SLA, It has a number of shortcomings (Saville-Troike, 2012: 42-43). They are:

- Ambiguity in classification. It is difficult to say, for instance, if a Chinese L1 speaker who omits number and tense inflections in English L2 is doing so because of L1 influence (Chinese is not an inflectional language) or because of a universal developmental process (also present in L1 acquisition) which results in simplified or “telegraphic” utterances.
- Lack of positive data. Focus on errors alone does not necessarily provide information on what the L2 learner has acquired; further, correct uses may be overlooked.
- Potential for avoidance. Absence of errors may result from learners’ avoidance of difficult structures, and this will not be revealed by EA makes the point that Indonesian L1 speakers make few errors in English L2 relative clauses because they avoid using them.
- Influence of L2 curricula. Some L2 teachers attribute the variation in student errors to the natures of students’ prior L2 learning experiences: e.g. whether it was informal or formal in nature. Teachers and textbooks may also have included different content, different emphases, and different sequencing. These and other possible curricular variables may have a significant influence on subsequent student errors.

- 3) Universal Grammar (UG) is the concept introduced by Chomsky to support the claim that language acquisition ability is inborn. Chomsky claimed that human mind relies on an inborn mechanism, called Language Acquisition Device (LAD), the function of which is to initiate, supervise and facilitate the language acquisition process. The three major functions of LAD are to help the learner to (a) attend the language he/she is exposed to, (b) make hypothesis about the language, and (c) develop its grammatical system. The LAD does not require any specially modified language input as it is triggered by any linguistic input that a human being is exposed to.

The role of Universal Grammar is to constrain the form which the grammars of individual languages can take. Universal Grammar includes

invariant principles, that is principles that are generally true across languages, as well as parameters which allow for variation from language to language. These principles provide the learner with a framework to build a grammar of his/her language on. They state which rule is and which is not possible in human languages.

The Universal Grammar principles set parameters (possible linguistic choices), which are selected and modified by the learner on the basis of the particular language he/she is exposed to. Therefore, the principles may be defined as universal features of all languages, and the parameters as the rules of the particular language discovered through exposure to the language. Universal Grammar helps to form the core of the language. However, languages contains elements not 'regulated' by Universal Grammar, called as the periphery. These are rules from the history of a language (e.g. exceptions to grammar rules present in idioms, proverbs) or ones borrowed from other languages (e.g. irregular plural of some words of Greek origin), and therefore not necessarily following the core system of grammar.

- 4) Monitor model in SLA is proposed by Stephen Krashen through adopting explicitly and essentially the notion of a Language Acquisition Device (LAD) sed by Chomsky. According to Krashen, there are five hypotheses which constitute major claims and assumptions about how the L2 code is acquired. They are:
- Acquisition-Learning Hypothesis. There is a distinction between acquisition and learning. Acquisition is subconscious, and involves the innate Language Acquisition Device which accounts for children's L1. Learning is conscious and is exemplified by the L2 learning which takes place in many classroom contexts.
 - Monitor Hypothesis. What is "learned" is available only as a monitor, for purposes of editing or making changes in what has already been produced.
 - Natural Order Hypothesis. We acquire the rules of language in a predictable order.
 - Input Hypothesis. Language acquisition takes place because there is comprehensible input. If input is understood, and if there is enough of it, the necessary grammar is automatically provided.

- Affective Filter Hypothesis. Input may not be processed if the affective filter is “up” (e.g. if conscious learning is taking place and/or individuals are inhibited).

Krashen's model has frequently been criticized by researchers because many of its constructs (e.g. what constitutes 'comprehensible input') and the claimed distinction between learning and acquisition are vague and imprecise, and because several of its claims are impossible to verify.

5) The answer will Vary

Example:

Phonology might be one of the most difficult one to master because there is no one to one correspondence between the spelling and the relevant sound. For example, the letter c is pronounced /k/ in the words 'cop', 'come', 'because' and 'cry'. But the same letter is pronounced /s/ in the words 'produce', 'practice', 'lice', and 'price'. The letter s is pronounced /s/ in the words 'sea', 'sit', and 'same', but it is pronounced /ʒ/ in the word 'sure' and it is pronounced /z/ in the word 'pleasure', 'measure'.

6) The answer will vary.

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Teaching English To Speakers Of Other Languages (TESOL)

Dr. Refnaldi, M.Litt



PENDAHULUAN

Congratulations! You have successfully finished Module II. Welcome to Module III. This module deals with Teaching English to Speakers of Other Languages (TESOL). As we know, language is the centre of human life. We need language to express our feelings, to achieve our goals and develop our careers, or to pray. Through language we plan our lives and tell about our past; we exchange ideas and experiences; we form our social and individual identities. Language is the most unique thing about human beings. As means of communication, many languages are different from each other for each community. Knowing another language may mean: getting a job or a chance to get educated. A second language affects people's careers and possible futures, their lives and their very identities. Helping people acquire second languages more effectively is an important task for the twenty-first century. This module is designed to be applicable to a wide range of language teaching contexts.

We realise that the materials and discussion of TESOL are too broad to pack in one module. Thus, the main topic of this module is an introduction to TESOL, which is related to methods, syllabus, materials, and evaluation in English language teaching and learning in the classroom. Besides, this module will provide a framework on teaching listening, speaking, reading, writing, pronunciation, vocabulary, and grammar.

After finishing this module, you are kindly expected to be able to:

1. Explain some common language teaching methods in TESOL
2. Explain the concepts of syllabus, teaching materials and evaluation in English language teaching
3. Explain and critically argue the key issues in teaching language skills, such as listening, speaking, reading and writing

4. Explain and critically argue the key issues in teaching pronunciation, vocabulary, and grammar.

To achieve these objectives systematically, the materials of this module are presented respectively as follow:

1. Unit 1 : Introduction to TESOL
2. Unit 2 : Teaching Language Skills
3. Unit 3 : Teaching Language Components

As this subject belongs to content subject in linguistics, reading activities and academic discussion in groups or in pairs are highly suggested. Therefore, the following activities are kindly suggested to do in order to learn this module successfully.

1. Please read carefully the materials and explanation in each unit;
2. then, read further related references and information by means of independent learning and reading;
3. do not forget to add relevant examples and have discussion in groups or in pairs;
4. sometimes it is not easy to have better understanding on certain complex and complicated concepts. If it is so, read the materials again and you may have comparative discussion with your partners;
5. do all the exercises and compare your answers with those of your friends before consulting the key answers provided!

All right students, do your best and good luck!

UNIT 1

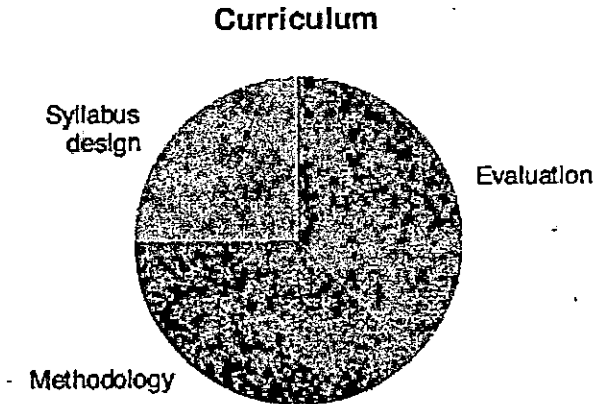
Introduction To Tesol

TESOL stands for Teaching English to Speakers of Other Languages. It is a 'blanket' term covering situations in which English is taught as an L2, as well as those in which it is taught as a foreign language. ESOL (English for speakers of other languages) is a term widely used throughout the world, especially in the United States. In fact, TESOL may refer to two things; TESOL as professional organization and TESOL as a training program to teach English to speakers of other languages (in the US or abroad). The TESOL Association was formed fifty years ago as a global education association (Nunan, 2015) with 13,000 members in over 120 countries.

TESOL has some related terms, such as, if you would like to teach or plan to teach English in an English speaking country or as its lingua franca instead of their own language (i.e. New Zealand, Singapore, Hong Kong, India) an, this is an ESL (English as a Second Language) context. Then, if you would like to teach in a country whose first language is not English (i.e. Indonesia), then you are teaching in an EFL (English as a Foreign Language) context. Within both ESL and EFL contexts, there are specialized areas; such as ESP (English for Specific Purposes), EAP (English for Academic Purposes), EOP (English for Occupational Purposes), and so on. In general, it is called as English Language Teaching (ELT).

In order to plan for effective second language teaching, a comprehensive view is needed to view of language program development. Language curriculum development is concerned with planning, implementation, evaluation, management, and administration of education programs. Moreover, there are three subcomponents to curriculum development: syllabus design, methodology, and evaluation (Tyler, 1949; Nunan, 2013; 2015). It would be appropriate to begin with a clarification of these terminological definitions. **Curriculum** is concerned with making *general statements* about language learning, *learning purpose*, *experience*, *evaluation*, and the role and relationships of teachers and learners (Candlin, 1984: 31, Richards, 1990:1; Nunan, 1993:8). **Syllabuses**, on the other hand, are more localized and are based on *accounts* and *records* of *what actually happens* at the classroom level as teachers and learners apply a *given curriculum* to their own situation (narrower definition).

It shows that curriculum has a bigger scope. Syllabus, on the other hand, focuses on *content*, which deals not only with what we should teach, but also the order in which the content is taught and the reasons for teaching this content to our learners (Nunan, 2013; 2015). Moreover, the selection and sequencing of content is the domain of *syllabus design* and the selection and sequencing of learning tasks and activity is the domain of *methodology*. All of these components should be in harmony with one another: methodology should be tailored to the syllabus, and evaluation/assessment should be focused on what has been taught. The portion of these three components can be drawn in graphic 1.



(Nunan, 2015:6).

Graphic 1. The three components of the curriculum 'pie'

Thus, it is clear **Syllabus design**, according Nunan (2013:66), has to do with selecting and sequencing content; meanwhile **methodology** has to do with selecting and sequencing appropriate learning experiences, and **evaluation** with appraising learners and determining the effectiveness of the curriculum as a whole. Now, let us discuss these subcomponents.

A. SYLLABUS DESIGN

Syllabus design is related to making a decision about the "units" of classroom activity, and the "sequence" in which they are to be performed (Long & Doughty, 2009:294; Nunan, 2013; 2015: 6). The syllabus thus is

realized as the content to be learned in a domain of knowledge or behavior, and arranged this content in a succession of interim objectives. There are some options in and differing theoretical rationales to be adopted in specifying and sequencing pedagogic content for second language (L2) learners. In this case the syllabus will be a definition of the contents of classroom activity. However, sequencing decision can also be made during classroom activity. The sequence can be based on the easiest, most learnable, most frequent, or most communicatively important to be presented earlier before the harder, less frequent one (Long & Doughty, 2009: 295-296).

Based on those considerations, several distinct types of language teaching syllabi have been proposed, and these different types may be implemented in various teaching situations. Krahnke (1987: 10) has proposed six types of syllabi as follows:

1. **Structural Syllabus.** A structural syllabus is a kind of syllabus which puts the content of language teaching as a collection of the forms and structures. It usually focuses on grammatical elements such as verbs, nouns, past tense and so on.
2. **Lexical Syllabus.** A lexical syllabus puts the content of the language as a collection of vocabulary that must be mastered by the language learners. Lexical syllabuses are motivated by the argument that language learning can be built around a growing repertoire of vocabulary that is relevant and purposeful for the learner. The proposals for appropriate lexical syllabuses have been significantly mobilized by the coincidental availability of large lexical corpora on computer databases. It is most likely that computer-based corpora of authentic language use will be a major factor in the future organization of syllabus content.
3. **Notional/Functional Syllabus.** A functional-notional syllabus in the 1970s in Europe was developed by Van Ek (1973) and Wilkins (1976) who initiated a new way of how teaching materials were organized. The functional-notional syllabus attempted to show what learners need to do with language and what meanings they need to communicate, and organized the syllabus around functions and notions. This content of the language is a collection of the functions that are to be performed when language is used, or of the notions that language is used to express. Functions are communicative speech acts such as, asking, requesting, informing, agreeing,

denying, arguing, describing, and promising, and so on. Notional categories include concepts such as "time" or "location." Notions and functions are different from topics and situations as they express more precise categories. For example, a topic may be "family," the situation "coming for a visit and having dinner." The function and the notion that is addressed in this unit may involve "inviting" and "time past" (e.g., past tenses, expressions like "last week," "a few days ago").

4. **Situational Syllabus.** A situational syllabus is one in which the content of language teaching is a collection of real or imaginary situations in which language occurs or is used. For example: seeing the dentist, asking directions in a new town, buying a book in a bookshop.
5. **Task Based Syllabus.** A task-based syllabus considers the content of the teaching as a series of complex and purposeful tasks that the students want or need to perform with the language they are learning. The tasks are defined as activities with a purpose other than language learning, but, as in a content-based syllabus, the performance of the tasks is approached in a way that is intended to develop second language ability. Language learning is subordinate to task performance, and language teaching occurs only as the need arises during the performance of a given task. Tasks integrate language (and other) skills in specific settings of language use. Task-based teaching differs from situation-based teaching. Situational teaching has the goal of teaching the specific language content that occurs in the situation, meanwhile task-based teaching has the goal of teaching students to draw on resources to complete some piece of work (a process). The students draw on a variety of language forms, functions, and skills, often in an individual and unpredictable way, in completing the tasks. Tasks that can be used for language learning are, generally, tasks that the learners actually have to perform in any case. Examples include: applying for a job, talking with a social worker, getting housing information over the telephone, and so on.
6. **Content-Based Syllabus.** A content-based-syllabus has the primary purpose of instruction is to teach some content or information using the language that the students are also learning. The students are

simultaneously language students and students of whatever content is being taught. The subject matter is primary, and language learning occurs incidentally to the content learning. The content teaching is not organized around the language teaching, but vice-versa. Content-based language teaching is concerned with information, while task-based language teaching is concerned with communicative and cognitive processes. An example of content-based language teaching is a science class taught in the language the students need or want to learn, possibly with linguistic adjustment to make the science more comprehensible.

B. MATERIALS AND MEDIA

1. ELT Materials

In general 'materials' according Tomlinson (2001:61) include anything which can be used to facilitate the learning of a language. The materials can be linguistic, visual, auditory or kinesthetic, and they can be presented in print, through live performance or display, or on cassette, CD-ROM, DVD or the internet. They can be instructional in that they inform learners about the language, they can be experiential in that they provide exposure to the language in use, and they can be elicitive in that they stimulate language use, or they can be exploratory in that they seek discoveries about language use.

As language teachers, we have a common task selecting, adapting, and creating teaching materials. There are two options: use commercially produced materials or teacher-developed materials. Both materials are related both a field of study and a practical undertaking. As a field it studies the principles and procedures of the design, implementation and evaluation of language teaching materials. Nunan (1991:208) says that we need to consider some criteria in evaluating materials. As an undertaking it involves the production, evaluation and adaptation of language teaching materials, by teachers for their own classrooms and by materials writers for sale or distribution. Ideally these two aspects of materials development are interactive in that the theoretical studies inform and are informed by the development and use of classroom materials (e.g. Tomlinson 1998c).

Mostly, government and school adopt commercial materials from commercial publisher since it saves teacher's time creating such material. The

most important point in selecting material is that the materials must match with the goals and objectives of the teaching program (Nunan, 1991:209). Related to material evaluation, Littlejohn and Wendeatt (in Nunan, 1991) propose some questions as follow: (1) do the materials extend learner's general or specialist knowledge?, (2) what view of knowledge the materials present? What implication might this have for how learners attempt to learn?, (3) do the materials develop the learner's understanding of what is involved in language learning and how they may help themselves?, (4) how do the materials structure the teacher-learner relationship? What frame if any is place on classroom interaction, (5) do the material develop the learner's general cognitive abilities? Is language learning presented as reproduction or as problem solving?, (6) what social attitude do the materials present? The criteria and procedure in evaluating and investigating materials can be read in Nunan (1991:208-227). Most commercially produced material can be adapted to fit the needs and goal. Reputable publisher and reputable author have been carefully written and extensively trialed. Therefore, Nunan (1991) suggests to teach based on the way suggested before adapting it.

Related to the content of materials, actually, Tomlinson (2008:4) says that materials for learner at all level must provide exposure to authentic use of English through spoken and written text with the potential to engage the learners cognitively and actively. In this case, the learners must be provided with authentic materials. Using authentic materials mean "exposure to real language and its use in its own community" (Widdowson, 1990). Harmer (1991) defines authentic texts as "materials which are designed for native speakers; they are real texts; designed not for language students, but for the speakers of the language". Therefore, authentic materials are not written or printed for language teaching purposes.

Peacock (1997) describes authentic materials as materials that have been produced to fulfill some social purpose in the language community. What we understand that is common in these definitions is "exposure to real language and its use in its own community" in other words it is the benefit students get from being exposed to the language in authentic materials. In short, "authentic materials are materials that we can use with the students in the classroom and that have not been changed in any way for ESL students. A classic example would be a newspaper article that's written for a native-English-speaking audience".

How could the teacher choose and select authentic materials to be developed in language class? The most commonly used authentic materials perhaps are: newspapers, TV programs, menus, magazines, the internet, movies, songs, brochures, comics, literature (novels, poems and short stories), advertisements for events, course catalogues from schools and so forth. Such materials have their advantages and disadvantages to classroom students. Finally, materials are important component within the curriculum and then often the most tangible and visible component of pedagogy. Teacher needs to evaluate by using checklist and evaluative questions presented in Nunan (1991).

2. ELT Media

According to Van Els et al. (1984), media are all aids which may be used by teachers and learners to attain certain educational objectives. Moreover, Heinich (1993) states that media are considered as instructional media when they carry messages with an instructional purpose, i.e., to facilitate communication. In line with the ideas of stated previously, Richards (1991) defines the instructional media as the media which are used within the instructional design and are determined by the requirements of the objective content and instructional method. Based on discussion above, it can be concluded that media is a kind of teaching/learning instructional design aids to achieve certain educational purpose.

There are some function and role of media in language teaching. Davies (1980:193) divides the function of media into two kinds. Media functions as aids to instruction and aids to learning. The first function is that media serve to help teachers and instructors manage instruction more efficiently. Media assist teachers to communicate more effectively and take over the operating role of instruction from teacher and instructors. The second function is that media serve to help students learn more efficiently. Media promote understanding, assist in the transfer of training, and assist in assessment. Media can be used in assessing mastery performance.

Moreover, instructional media can give some advantages in the language teaching process, such as heighten motivation for learning, provide freshness, alive, and variety, appeal to students of varied abilities, attract and encourage active participation, give needed reinforcement, saving the time, assure order and continuity of thought, and widen the range of students' experience (Dale, 1969; Gutchow, 1981; Brown, 1983; Finocchiaro, 1993). Gutchow stresses

that instructional media are instrument of motivation and they can also stimulate interest in language program even with the help of media, the use of the students' mother tongue can be avoided. Besides, media are able to make the students memorize some prior experiences and events more easily as stated by Richard (1990) states that instructional media function to assist learners in learning and remembering the important concepts of a lesson. Thus, media can save the time mean that most media presentation requires a short time to transmit their messages.

Callahan (1982:360) identifies that the effectiveness of involving media in teaching middle school students is as follows: Audio-visual materials and devices can add interest and variety to your classes. Skillful use of audio visual material can be great motivator and can add life and color to the classroom. Furthermore, the use of audio-visual aids puts your points across. Well-used audio-visual aids add to the impact of the presentation. The cliché that one picture is worth a thousand words is true. The more important truth is that the skillfully used audio-visual aids reinforce the presentation so that you have both the picture and the thousand words work for you.

Based on the advantages above, in general we can classify the roles of instructional media as follows: attention role, communicative role, and retention role. Attention role of media is to attract the students' attention, to heighten the students' curiosity, and to convey the information. Media can make the information more attractive. Picture and real objects are easily processed to catch and hold the young learner's attention.

As communicative role, media can function to enhance comprehension and to assist the learner in understanding the message. Instructional media can increase the communicative power of the instruction by explaining the message contained in the instruction. In other words, the communication role of media is a way of clarifying the message by making explicit certain concepts of the lesson.

The retention role of Instructional media concerns with retention of information presented in the instruction. Retention media, although seen and recorded by the learner during the lesson, have their effect later on when the time comes to remember the information. Many people believe that images are better retained in memory than words. It should be noted that memory processes are complex, and images are not necessarily the main determinant of retention. Instructional media are used to assist learner in learning and in remembering the important concepts of a lesson.

In general, there are three kinds of instructional media. They are audio, visual, and audio visual media (Finocchiaro and Bonomo, 1973; Kasbolah, 1993). **Audio media** are media that can be listened to, such as, record player, tape recorder, and language laboratory; while **visual media** are media that can be seen. The instructional media that involve the senses of sight and hearing are named as **audio visual media**, such as, film, television, and programmed instruction. Those media can be downloaded from internet.

From various functions of instructional media above, it can be concluded that instructional media are really important in teaching and learning process. English teachers need to use instructional media in achieving the teaching objectives. However, the use of instructional media needs to be carefully made and planned. Wright (1989) mentions some consideration in selecting media. **First**, it should be easy to prepare. If it is difficult to prepare, the teacher should not do it. If it takes a lot of time and the teacher can use it many times with different classes, it is worth the effort. **Second**, it should be easy to organize in the classroom. He has to consider that many activities require organizational time and energy. **Third**, it should be interesting to the students and the teachers. If the teacher's activity does not make the students interested, then he will question whether it is worth doing. **Fourth**, the language and the way the teacher wants the students to use media will be authentic to the activity. The students will get more if the language they use is vital to the situation. **Fifth**, the activity must give rise to a sufficient amount of language in order to justify its conclusion in the language lesson. If it does not, the teacher should not do it.

Then related to the development of technology, its influence has permeated into all facets of life, including English language teaching. In modern era of English language teaching, media technology such as video, pictures, animation and interactive games, CDs or DVDs, the use of internet, chat rooms and video conferencing and iPad have narrowed distance and turned the whole world into a global community. These new digital media provides opportunities to learners to converse not only with local community but with global community as well therefore, students can perform diverse task with the computer and internet. Kajder (2003) claims that with the help of hypermedia (e.g. World Wide Web), multimedia becomes a more powerful tool for language learning. He maintains that one of the advantages of using hypermedia for language teaching is that it provides learners with a more authentic learning environment, as, for example, listening can be

combined with seeing. It is supported by Jackson et al (2006) who say that students, who used the internet more, got higher scores and grades. Therefore, as a teacher we need to consider this media.

Thus, in choosing and using kinds of media, a teacher should consider the importance of the media in obtaining the objectives of the work, the availability of the media as compared with other media, and the effectiveness of the media as compared to the other media. It means that in using the media, the teacher must be sure that the media used important, good, and suitable for the class condition and material given. After the teacher feels sure that the media have fulfilled the requirements above, the teacher can use the media in class. However, it is also important to note that the teacher cannot use the same media too often because it makes the students feel bored.

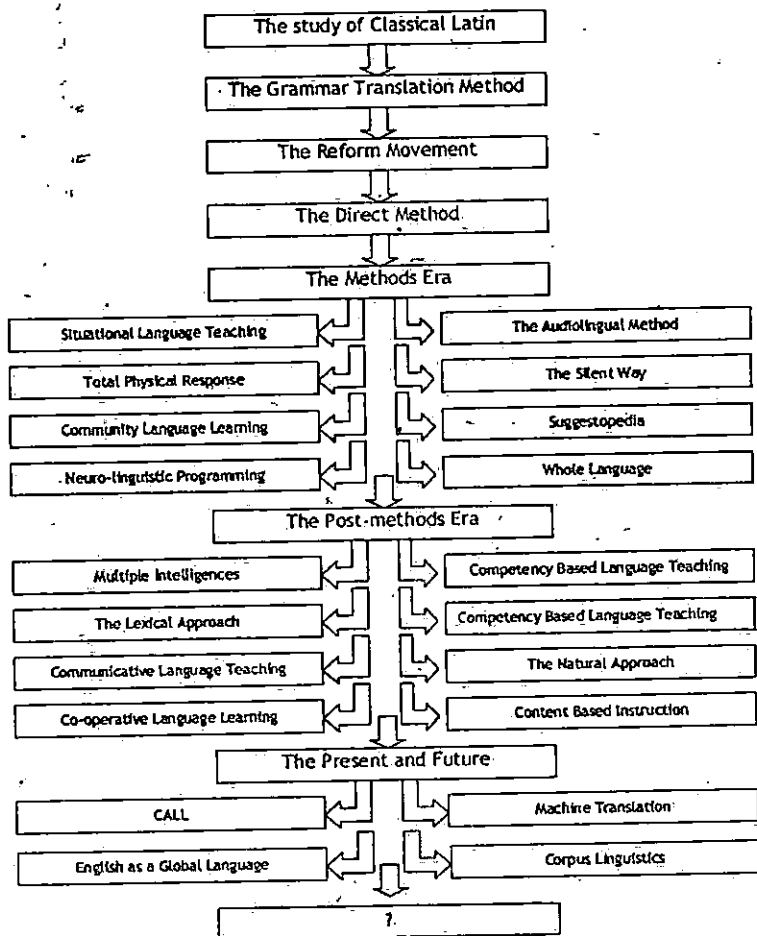
C. ELT METHODOLOGY

Methodology is related to selecting and sequencing appropriate learning experiences. Methodology in language teaching has been characterized in a variety of ways. According to Richards et al. (1987), methodology is “the study of the practices and procedures used in teaching, and the principles and beliefs that underlie them.” Unlike syllabus design, which focuses on content, methodology focuses on classroom techniques and procedures and principles for sequencing these.

The history of language teaching methods has a long history in accordance with the development of theory, technology, and the research results conducted by educational experts, language teaching experts, and linguistics experts. It is because language teaching profession has been obsessed with the search for the one ‘best’ method of teaching a second or foreign language. Starting from the Classic Latin in Europe, then the theory of language teaching continuously develops for various methods, approach. In general, the history of language teaching can be in Graphic 1.

Actually, the first language teaching methodology for acquiring a foreign language was the one applied for learning Latin. Due to the fact that Latin was the language of education 500 years ago its study was immensely important for educated learners. The detailed study of grammar, as for example studying conjugations and declensions, doing translations and writing sample sentences was seen as central in the teaching methodology at the time. The teaching methodology used for learning Latin was, after its

decline from a spoken language to a school subject, adopted for learning foreign languages in general. This approach to foreign language teaching became known as the Grammar-Translation Method (Richards & Rodgers 2007: 3-4). The future of TESOL is likely to continue to grow and develop as a profession.



Source: Shearon (chief-ALT Advisor Miyagi Board of Education)

Graphic 2. The Development of language teaching

1. Grammar-Translation Method

The grammar-translation method (also known as the classical method) was based on the belief that different kinds of knowledge were located in separate sections of the brain. This method was mainly promoted by the German scholars Johann Seidenstücker, Karl Plötz, H. S. Ollendorf and Johann Meidinger and became known in the USA as Prussian Method (Richards & Rodgers 2007: 5).

One of the main components of the Grammar-Translation Method was its focus on the detailed study of grammar rules that was taught deductively, followed by the application of the learned rules in translation-exercises first into and then out of the target language (Dendrinos 1992:106; Thornbury 2000:21; Richards & Rodgers 2007:5). The main focus was on writing and reading, whereas little attention was paid to speaking or listening. Accuracy was an important feature of this method as well, since students were expected to achieve high standards in translating sentences, which was tested in written exams. Communicating in the language was not a goal, the explanation of grammar rules and for instructions the language used in class was the native language of the students, and the teacher made no effort to emphasize correct pronunciation of the language.

In grammar exercises pupils had to apply the learned rule by completing already constructed sentences and then by formulating new ones, showing that they had understood how the rule had to be used. In the implementation, learners also spend much time translating from the first to the second language and vice versa. Therefore, the method could only be used in classrooms where the learners shared a common language.

Grammar-translation faced many critics during World War II. The criticism then intensified during the Cold War. The point of the criticism was that students who had been taught a language through the grammar-translation method knew a great deal about the target language, but could not actually use it to communicate (Nunan, 2015:9). Fortunately, this method is not widely used today in teaching English to English language learners. However, emphasis on reading and translating passages, conjugation of verbs, and explanation and memorization of grammatical rules still are observed in some foreign language classrooms.

2. Direct Method

The direct method was developed at the end of the nineteenth century. (Thornbury, 2000: 21). This method dates back to 1884 when the German scholar and psychologist F. Frankle provided a theoretical justification for the method by writing about the direct association between forms and meaning in the target language. It is also based on the work of Gouin, who in the 1880s observed children learning language in natural settings. The emphasis is on the direct associations the student makes between objects and concepts and the corresponding words in the target language. The primary goals are for students to think and speak in the target language directly. The use of the native language is avoided; the use of the target language is emphasized at all times.

Teachers employ objects, visuals, and realia to make the input comprehensible. Instruction revolves around specific topics. Aspects of grammar are taught inductively through the handling of the topic. For example, when studying different types of sports that people practice, students are also introduced to verbs. The focus is not verbs and verb conjugations, but the context is a logical way to expose students to aspects of grammar. By much exposure and handling of the content, students inductively learn the appropriate use of different verbs that relate to sports. In addition, cultural aspects of the countries where the target language is spoken are also included in the lessons.

However, the Direct Method was also strongly criticized. Richards and Rodgers (2007: 12-13) point out that the method failed to consider the practical classroom realities: for example, the Direct Method required teachers who were native speakers or spoke with a native-like fluency. Thus, the success of the method depended on the teachers' skills. It was further criticized that the method lacked a basis in applied linguistics and was "the product of enlightened amateurism" (Richards & Rodgers 2007: 13). It was also criticized that the exclusive use of the target language was sometimes counterproductive since it was often easier to translate a word or phrase instead of "performing verbal gymnastics", as stated by Roger Brown (quoted in Richards & Rodgers 2007: 13).

The Direct Method declined by the 1920s in Europe. According to the British applied linguist Henry Sweet, the method gave innovations at the level of teaching procedures but lacked a clearly defined methodological

basis. Sweet and other applied linguists advocated for the integration of sound methodological principles as basis for language teaching techniques.

3. Audiolingual Methods

Audiolingual Method was developed in the United States in World War II since grammar-translation method had not produced people who were able to speak or communicate in the foreign languages they had studied. Thus, the government appointed American universities to develop foreign language programs for military personnel (Richards & Rodgers, 2007:50). One main aspect of this “Army Method” was intensive oral drilling (Richards & Rodgers, 2007:51). Based on the behavioristic psychology, the audio-lingual method was developed.

In the Audiolingual method most emphasis was put on the “mastery of the formal properties of language”, which means good grammatical habits or memorization of a series of dialogues and the rote practice of language structures (Dendrinis, 1992:113; Zainuddin et al, 2011:65). The basic premises on which the method was based were that language is speech, not writing, and language is a set of habits..It was believed that much practice of the dialogues would develop oral language proficiency. The use of the native language was avoided. Grammar or ‘structure’ was the starting point of teaching and language was manifested by its basic sentence patterns and grammatical structures.

The method became very popular and powerful method in the 1960s (Nunan, 2015: 9). Language laboratories began to surge, and students were required to listen to audiotapes and repeat dialogues that captured aspects of daily living. In addition, specific structural patterns of the language studied were embedded in those dialogues. Students were required to participate in a number of practice drills designed to help them memorize the structures and be able to plug other words into the structure. For example, in a substitution drill, the structure might have been:

I am going to the post office.

Students were then required to substitute the word post office for other words, such as supermarket, park, beach, or drugstore. Actually, the key principle according to Richards of audiolingualism is behaviorism. The psychological theory on which it is based, was largely discredited many years

ago, some of the techniques spawned by the method such as various forms of drilling remain popular today (Nunan, 2015: 9). The belief was that students, through much practice, would form a “habit” and be able to speak the language when needed.

Although the intent was to develop fluent and proficient speakers by providing much oral practice of the dialogues and the use of numerous drills to help in this endeavor, the reality was that language proficiency was not the outcome. Years later, students who studied with the audiolingual method still remembered the dialogues but could not speak the foreign language they had studied. Thus, the method was not successful at accomplishing the main goal. In the 1970s, audiolingualism were criticized.

4. Suggestopedia

Suggestopedia was developed by Bulgarian psychiatrist–educator Georgi Lozanov (1982), who wanted to eliminate the psychological barriers that people have to learning. It uses drama; art, physical exercise, and desuggestive–suggestive communicative psychotherapy as well as the traditional modes of listening, speaking, reading, and writing to teach a second language. The influence of the science of suggestology is clear in this method that calls class meetings “sessions” (Freeman and Freeman, 1998).

In this method, the classroom atmosphere is crucial. Creating a relaxed, nonthreatening learning environment is essential for its success. The goal is that students will assimilate the content of the lessons without feeling any type of stress or fatigue. Classrooms are equipped with comfortable seating arrangements and dim lighting in an effort to provide an inviting and appealing environment. Soothing music is employed to invite relaxation and allow students to feel comfortable in the language classroom. The use of the native language is also allowed, especially to give directions and to create that welcoming atmosphere. Based on the belief that how students feel about learning will make a difference in the learning process.

The use of drama, songs, and games provides for much practice, yet in a less-threatening and more enjoyable fashion. As in the ALM, dialogues are employed, but they are presented in an enhanced fashion through creative dramatics. The rehearsing of roles provides the necessary practice, yet there is a purpose for practicing. When people are preparing for dramatic roles, they most likely spend much time rehearsing. However, suggestopedia has not been widely adopted in the United States since it is impractical for large

classes (Zainuddin et al, 2011:66). In addition, current textbooks do not embrace this methodology, thus making it difficult for teachers to apply the principles in regular classrooms.

5. Silent Way

Developed by Caleb Gattegno, the Silent Way requires that the teachers remain silent much of the time, thus its name. In this method, students are responsible for their own learning. Based on the belief that students are initiators of learning and capable of independently acquiring language, the Silent Way provides a classroom environment in which this can take place. The teacher models and the students are then given the opportunity to work together to try to reproduce what has been modeled.

Beginners are initially taught the sounds of the new language from color-coded sound charts. Next, teachers focus on language structures, sometimes using colored, plastic rods to visually represent parts of words or sentences. As students begin to understand more of the language, they are taught stories using the rods as props. At all stages of the method, the teacher models as little as possible, and students try to repeat after careful listening with help from each other. The teacher leads them toward correct responses by nods or negative head shakes (Ibid).

The Silent Way is a fairly complex method that requires the teacher to receive extensive training in the use of the methodology. Students also need to be well versed in the use of the charts and the rods to participate effectively in the lessons. Because, according to research, teachers speak from 65 percent to 95 percent of the time in traditional classrooms, it is difficult to find teachers who are comfortable with the required "silence" of the Silent Way, thus limiting the number of teachers available to teach employing this method.

6. Total Physical Response

The total physical response (TPR) method was developed by psychologist James Asher (1974). This method is based on the principle that people learn better when they are involved physically as well as mentally. In TPR, students are required to respond nonverbally (physically) to a series of commands. As the teacher gives a command and the students respond physically, the teacher ascertains students' comprehension of the command. Initially, the teacher begins with simple commands such as:

- Teacher : Stand up! (teacher models)
 Students : Respond by standing up. (physical response, not verbal)
 Teacher : Walk to the front of the room.
 Students : Respond by walking to the front of the room.
 Teacher : Turn around and walk back to your seats.
 Students : Respond by turning around and walking to their seats.
 Teacher : Sit down.
 Students : Respond by sitting down.

Once the students have practiced a number of times, the teacher simply gives the command and the students respond. Eventually the students will give the commands, thus developing oral proficiency. In TPR, teachers can employ pictures, objects, and realia for students to manipulate as they respond nonverbally. For example, the students are studying a unit on “emotions.” The teacher can pass out pictures of people displaying different emotions. Then, the teacher can give the commands, such as, “raise the picture of the girl who seems sad”. Then, the student raises the appropriate picture. It can also be done by giving such command “stand up if you have a picture of two boys who seem happy”. Then, any student(s) who has such picture stand up.

Commands become more complex as the students continue to develop listening comprehension and knowledge of subject matter. For example, with the assistance of pictures, students can be asked to categorize modes of transportation by land, water, or air, or they could be asked to rearrange pictures to show the life cycle of a butterfly. TPR is an excellent method to employ with students who are in the preproduction/silent stage of language development. Students who are not yet speaking are able to be involved in lessons and respond nonverbally. Thus, these students begin to feel a sense of belonging and success as they participate in the lessons. The students benefit from the involvement in the lessons, and the teachers are able to ascertain whether or not the students are developing listening comprehension.

TPR is somewhat limited within the confines of a classroom; however, with the use of pictures, and other types of manipulative, a resourceful teacher can bring the outside world into the classroom.

7. The Natural Approach

Tracy Terrell (1977, 1981) developed the natural approach based on Krashen’s monitor model. The main goal of this method is to develop

immediate communicative competency. For this reason, most, if not all, classroom activities are designed to encourage communication. Terrell suggested that the entire class period be devoted to communication activities rather than to explanation of grammatical aspects of language. In this method, the key to comprehension and oral production is the acquisition of vocabulary. Thus, much opportunity for listening/speaking (when ready) is afforded to students. Class time is not devoted to grammatical lectures or mechanical exercises.

According to Terrell (1977), error correction is negative in terms of motivation and attitude; thus, he does not advocate the correction of speech errors in the process of oral language development. This position reflects Krashen's affective filter hypothesis, which purports that when students experience an embarrassing situation, the affective filter goes up, interrupting the language acquisition process. Thus, error correction would have a negative effect on the process.

The natural approach bases language acquisition on the natural order of native language development. The emphasis is on listening comprehension, so if students respond in their native language, they are demonstrating comprehension. At the same time, students can be exposed to a wide variety of topics and still be comfortable in the communication process. In this method, teachers provide comprehensible input at all times. The use of visuals (graphs, charts, pictures, objects, realia), gestures, demonstrations, and motherese/parentese (slower speech, simpler language repetition, rephrasing, clear enunciation) is required.

8. The Communicative Approach

The communicative approach to language teaching is based on several theoretical premises: (a) the communication principle: Activities that involve communication promote the acquisition of language. (b) The task-principle: Activities that engage students in the completion of real-world tasks promote language acquisition. (c) The meaningfulness principle: Learners are engaged in activities that promote authentic and meaningful use of language.

The main goal in this approach is for the learner to become communicatively competent. The learner develops competency in using the language appropriately in given social contexts. Much emphasis is given to activities that allow the second language learner to negotiate meaning in activities that require oral communication in the second language. Thus,

Nunan (2014) says that communicative language teaching was less a method than a broad philosophical approach to language. The methodological 'realization' of CLT is task-based language teaching.

In the communicative approach, it is important to create an "information gap" between speakers. Thus, communication must take place to narrow the gap and accomplish the task (i.e., "I/we have what you need, and you have what I/we need to complete our task"). The task cannot be completed individually; partners must work together to successfully complete the assigned task. Classroom activities must be varied and must include interactive language games, information sharing activities, social interactions, need for impromptu responses, and the use of authentic materials, such as the newspaper for oral discussions on current events. Sauvignon (2002) suggests designing the curriculum to include language arts (or language analysis activities), language-for-a-purpose (content-based and immersion) activities, personalized language use, theatre arts (including simulations, role-plays, and social interaction games), and language use "beyond the classroom" (including planning activities that take the learners outside the classroom to engage in real-world encounters).

Currently, there is also a combination of language teaching method in the learning process simultaneously. The teacher blends together all activities from two different methods and approach. This melding of techniques and procedures from more than one methods is called as the "the eclectic method" (Nunan, 2015:11). The eclectic method usually combine the traditional method (TPR, Silent way, or audiolingual at the beginning) and then followed by communicative approach which embraces the principle of "learning by doing," encouraging the use of English. Thus, language acquisition takes place as a result of using the second language in meaningful communication from the onset in the process. Of course, in order to succeed in learning a foreign language, the learners have to do the hard work. The teachers' job is to eazify the learning for the learners (Nunan, 2015).

D. EVALUATION

At the end of a book or learning activities, it is usually followed by evaluation and assessment. It gives the impression that assessment and evaluation are the last activities to be carried out in the teaching/learning process. While it is true that we assess our students and evaluate our

programs at the end of the course (this is known as **summative assessment and evaluation**). Besides, we also carry out assessment and evaluation tasks during a course, it is known as **formative assessment and evaluation**.

Evaluation is related to appraising learners and determining the effectiveness of the curriculum as a whole. **Assessment** is concerned with how well our learners have done. Thus, evaluation is much broader or bigger and is concerned with how well our program or course has served the learners (Nunan, 2015: 6). It consists of a set of procedures aimed at helping us answer the question (Nunan, 2015: 169). The question will be "How well did the course (and how well did the teacher) do in meeting the needs of the students?" On the other hand, the focus of assessment is directly on the students and deals with the question "How well did the students do?" In a complete way, evaluation in TESOL settings is considered as a process of collecting, analyzing and interpreting information about teaching and learning in order to make informed decisions that enhance student achievement and the success of educational programs (Genesee, 2001:144).

Evaluation can focus on different aspects of teaching and learning (Genesee, 2008:144): such as, textbooks and instructional materials, student achievement, and whole programs of instruction. They also illustrate that evaluation can be undertaken for different reasons, and that the reasons impact in substantial ways. In detail, Genesee (2001:144-145) states that evaluation is process that includes four basic components, they are:

1. The purpose of the evaluation is first articulated: e.g. to decide whether to continue using new materials; to decide which students will be exempt from ESL instruction.
2. Information relevant to the purpose of evaluation is identified and collected: e.g. the teacher uses student scores on tests and his observations of performance to make decisions; school officials use feedback from teachers and school administrators as well as language test results in the new and regular programs to decide where and how to revise the new program.
3. Once collected, the information is analyzed and interpreted: feedback from students, their employers and teachers is interpreted impressionistically; test scores of students in the new program are compared to those of students in the regular program and responses to interviews and questionnaires from principals and students are interpreted qualitatively.

4. Finally, decisions are taken: the materials are kept, or rejected; each student is assigned to an ESL or non-ESL strand; decisions are made about how to modify the program.

The purpose of evaluation is **accountability**. That is to demonstrate that students are learning to the standards expected of them and/or that a curriculum or program of instruction is working the way it should. Formal program evaluation entails the selection of appropriate comparison groups, standardized tests and statistical methods for the interpretation of test results. Another important purpose of evaluation is to make **placement, advancement/ promotion** or related decisions about students' status in a program, course or unit within a course. In these cases, evaluation often relies heavily on language-test results and can involve classroom teachers or other school or district professionals. Evaluation for placement and advancement purposes tends to be summative whereas evaluation to determine the status of students within a program or course of student is formative test.

Another purpose of evaluation is to **guide classroom instruction** and enhance student learning on a day-to-day basis. Classroom-based evaluation, while considered informal relative to most program evaluation, is taking on increased importance as evaluation experts recognize the importance of day-to-day decisions teachers make on student learning and the effectiveness of educational program (Richards and Lockhart 1994). Classroom-based evaluation is concerned, e.g., with questions about: suitability, effectiveness, and adequacy.

Assessment of an individual student's progress or achievement is an important component of evaluation. It is part of evaluation that includes the collection and analysis of information about student learning. The primary focus of assessment in TESOL has been language assessment and the role of tests in assessing students' language skills. Evaluation goes beyond student achievement (and language assessment) to consider all aspects of teaching and learning, and to look at how educational decisions can be informed by the results of alternative forms of assessment.

Thus, assessment of learning provides information for external parties: the parents, the teachers, the institution, external funding authorities, and so on (Nunan, 2015:168). Assessment provides information for learners and teachers who can use the information to improve student performance. In other words, the assessment becomes a learning tool rather than a tool for

judging the student. Any teaching task can be an assessment task with the addition of criteria and feedback. Criteria are the statements that indicate how well the learner has to do in order to be deemed to be successful on a task. Criteria can be adjusted according to the level of the student and can relate to accuracy, fluency, or both.



EXERCISE 1

Answer the following questions

- 1) Differentiate curriculum and syllabus.
- 2) Why do we need evaluation in ELT?
- 3) What are the function and role of media in ELT? Give some example.
- 4) Why did direct method decline?
- 5) How could teacher create communicative activities to become authentic?



SUMMARY

TESOL is a 'blanket' term covering situations in which English is taught as an L2, as well as those in which it is taught as a foreign language. In order to plan for effective second language teaching, a comprehensive view is needed to view of language program development. Language curriculum development is concerned with planning, implementation, evaluation, management, and administration of education programs. Moreover, there are three subcomponents to curriculum development: **syllabus design**, **methodology**, and **evaluation**. **Curriculum** is concerned with making *general statements* about language learning, *learning purpose*, *experience*, *evaluation*, and the role and relationships of teachers and learners.

Syllabuses, are more localized and are based on *accounts* and *records* of *what actually happens* at the classroom level as teachers and learners apply *a given curriculum* to their own situation. There are several types of syllabuses. They are structural syllabus, lexical syllabus, notional/functional syllabus, situational syllabus, task based syllabus, and content-based syllabus. **Materials** include anything which can be used to facilitate the learning of a language. The materials can be linguistic, visual, auditory or kinesthetic, and they can be presented in print, through live performance or display, or on cassette, CD-ROM, DVD or the internet. **Media** are all aids which may be used by teachers

and learners to attain certain educational objectives. Media are considered as instructional media when they carry messages with an instructional purpose, i.e., to facilitate communication. In line with the ideas of stated previously.

Methodology is related to selecting and sequencing appropriate learning experiences. Methodology in language teaching has been characterized in a variety of ways. It is "the study of the practices and procedures used in teaching, and the principles and beliefs that underlie them." Unlike syllabus design, which focuses on content, methodology focuses on classroom techniques and procedures and principles for sequencing these. There are some common types of ELT Methodology. They are Grammar Translation Method, Direct Method, Audiolingual Method, Suggestopedia, Silent Way, Total Physical Response, The Natural Approach, and The Communicative Approach.

Evaluation is related to appraising learners and determining the effectiveness of the curriculum as a whole. **Assessment** is concerned with how well our learners have done. Thus, evaluation is much broader or bigger and is concerned with how well our program or course has served the learners. The purposes of evaluation are accountability, making placement and advancement/promotion, and guiding classroom instruction and enhancing student learning. Assessment provides information for learners and teachers who can use the information to improve student performance. In other words, the assessment becomes a learning tool rather than a tool for judging the students.



FORMATIVE TEST 1

- 1) Define 6 types of syllabus design.
- 2) What are the criteria to evaluate the Material in ELT?
- 3) Compare grammar translation method and audiolingual method?
- 4) What is the strength of Communicative Language Teaching Method compared to the previous method?
- 5) Differentiate assessment and evaluation!

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 2

Teaching Language Skills

The challenge for the teachers is to acquire the basic classroom skills needed to present and manage the lessons. Teaching from this perspective is an act of performance, how to carry the lesson. Teacher has to have a repertoire of techniques and routines at her fingertips (Richards, 2011: 9). These include routines and procedure for such things as:

- Opening the lesson
- Introducing and explaining tasks
- Setting up learning arrangements
- Checking students' understanding
- Guiding student practice
- Monitoring students' language use
- Making transitions from one task to another
- Ending the lesson

These routines should be done in various language skills and language components.

There are four skills in language learning. Language skills refer to listening, speaking, reading, and writing. Listening and reading are known as **receptive skills** (skills to receive target language input). Nation (2001:37) says that receptive carries the idea that we receive language input from others through listening or reading and try to comprehend it. On the other hand, speaking and writing are **productive skills**. Productive skills mean to carry the idea that we produce language forms by speaking and writing to convey messages to others (Nation, 2001:37). Actually, the terms receptive and productive are not completely suitable because there are productive features in the receptive skills - when listening and reading we produce meaning (Nation, 2001:37). Beside productive and receptive, those skills can be classified based on mode of communication, visual and aural (Nunan, 2015:77).

	Productive	Receptive
Visual	writing	Reading
Aural	speaking	listening

A. TEACHING LISTENING

The term listening in language teaching refers to a complex process that allows us to understand spoken language (Nunan, 2015: 34). Listening is not only a skill area in language performance, but is also a critical means of acquiring a second language (L2). Listening is the channel in which we process language in real time - employing pacing, units of encoding and pausing that are unique to spoken language.

Although listening and reading provide input, they are quite different. Whilst reading, we can pause, ponder, and reread, on the other hand, listeners often must process messages as they come, even if they are still processing what they have just heard, without backtracking or looking ahead. In addition, listeners must cope with the sender's choice of vocabulary, structure, and rate of delivery. The complexity of the listening process is magnified in second language contexts, where the receiver also has incomplete control of the language.

Underwood (1989) proposes three stages of teaching listening: (1) pre-listening, where the students activate their vocabulary and their background knowledge; (2) while-listening, where 'they develop the skill of eliciting messages'; (3) post-listening, which consists of extensions and developments of the listening task. Teaching listening means producing students who can use listening strategies to maximize their comprehension of aural input, identify relevant and non-relevant information, and tolerate less than word-by-word comprehension. To accomplish this goal, instructors focus on the process of listening rather than on its product. By raising students' awareness of listening as a skill that requires active engagement, and by explicitly teaching listening strategies, instructors help their students develop both the ability and the confidence to handle communication situations they may encounter beyond the classroom. In this way they give their students the foundation for communicative competence in the new language.

I. Bottom-up and Top-down Processing

As a goal-oriented activity, Richards (in Nunan, 2015: 39) states that listening involves 'bottom-up' processing (in which listeners attend to data in the incoming speech signals) and 'top-down' processing (in which listeners utilize prior knowledge and expectations to create meaning). Bottom-up process is text based; the listener relies on the language in the

message, that is, the combination of sounds, words, and grammar that creates meaning. It refers to the use of incoming data as a source of information about the meaning of a message (Nunan, 2015). From this perspective, the process of comprehension begins with the message received, which is analyzed at successive levels of organization – sounds, words, clauses and sentences – until the intended meaning is achieved. Comprehension is thus viewed as a process of decoding. Examples of bottom-up processing in listening include the following:

1. scanning the input to identify familiar lexical items
2. segmenting the stream of speech into grammatical constituents
3. using phonological cues to identify the information focus in an utterance
4. using grammatical cues to organize the input into constituents – for example, in order to recognize that in “the book which I lent you”.
5. listening for specific details
6. recognizing cognates
7. recognizing word-order patterns

Top-down processes, on the other hand, are listener based; the listener taps into background knowledge of the topic, the situation or context, the type of text, and the language. It refers to the use of background knowledge in understanding the meaning of a message (Nunan, 2015). Background knowledge may take several forms. It may be previous knowledge about the topic of discourse, it may be situational or contextual knowledge, or it may be knowledge stored in long-term memory in the form of “schemata” or “scripts” – plans about the overall structure of events and the relationship between them. This background knowledge activates a set of expectations that help the listener to interpret what is heard and anticipate what will come next. Top-down strategies include: (1) listening for the main idea, (2) predicting, (3) drawing inferences, (4) summarizing.

Both bottom-up and top-down processing are assumed to take place at various levels of cognitive organization: phonological, grammatical, lexical and propositional. This complex process is often described as a 'parallel processing model' of language understanding: representations at these various levels create activation at other levels. The entire network of interactions serves to produce a 'best match' that fits all of the levels (McClelland, 1987; Cowan, 1995).

Successful listeners use both bottom-up and top-down processing (Nunan, 2015). Thus, teachers need to teach students to use both bottom-up and top-down processing. Top-down processing involves drawing on background knowledge to help make sense of what we are listening to. Psychologists say that we do it by drawing on schemata. Schemata are like mental movie scripts that we build up from early childhood. For example we have sets of schemata for 'going to a restaurant.' In a Western context, think how different your schema is for Indonesia restaurant, such as 'serving food at Padang restaurant'. Learning is a process of building bridges between what we have known and the new.

2. Developing Listening Activities

As you design listening tasks, keep in mind that complete recall of all the information in an aural text is an unrealistic expectation to which even native speakers are not usually held. Listening exercises that are meant to train should be success-oriented and build up students' confidence in their listening ability.

- a. **Construct the listening activity around a contextualized task.** Contextualized listening activities approximate real-life tasks and give the listener an idea of the type of information to expect and what to do with it in advance of the actual listening. A beginning level task would be locating places on a map or exchanging name and address information. At an intermediate level students could follow directions for assembling something or work in pairs to create a story to tell to the rest of the class. Learners need to be exposed to a wide range of texts from monologues to dialogues.

A much discussed concept in communicative language teaching is that of authenticity (Nunan, 2015:41). There are two types of authenticity: text authenticity and task authenticity. Authentic listening texts are those that originally emerged in the course of some type of communication outside of the classroom – a casual conversation in a coffee shop, a news broadcast, a train announcement, and so on – and are subsequently imported into the classroom for teaching purposes.

- b. **Define the activity's instructional goal and type of response.** Each activity should have as its goal the improvement of one or more specific listening skills. A listening activity may have more than one goal or

outcome, but be careful not to overburden the attention of beginning or intermediate listeners.

Recognizing the goal(s) of listening comprehension in each listening situation will help students in selecting appropriate listening strategies. Some listening strategies are: (1) Identification: Recognizing or discriminating specific aspects of the message, such as sounds, categories of words, morphological distinctions; (2) Orientation: Determining the major facts about a message, such as topic, text type, setting; (3) Main idea comprehension: Identifying the higher-order ideas; (4) Detail comprehension: Identifying supporting details; (5) Replication: Reproducing the message orally or in writing.

- c. **Check the level of difficulty of the listening text.** These factors can help you judge the relative ease or difficulty of a listening text for particular group of students. They are: (1) How is the information organized? Does the story line, narrative, or instruction conform to familiar expectations? (2) How familiar are the students with the topic? (3) Does the text contain redundancy? (4) Does the text involve multiple individuals and objects? Are they clearly differentiated? (5) Does the text offer visual support to aid in the interpretation of what the listeners hear?
- d. **Use pre-listening activities to prepare students for what they are going to hear or view.** The activities chosen during pre-listening may serve as preparation for listening in several ways. During pre-listening the teacher may: (1) assess students' background knowledge of the topic and linguistic content of the text; (2) provide students with the background knowledge necessary for their comprehension of the listening passage or activate the existing knowledge that the students possess; (3) clarify any cultural information which may be necessary to comprehend the passage; (4) make students aware of the type of text they will be listening to, the role they will play, and the purpose(s) for which they will be listening; (5) provide opportunities for group or collaborative work and for background reading or class discussion activities.

In pre-listening activities, there are some activities that can be conducted, such as: (1) looking at pictures, maps, diagrams, or graphs; (2) reviewing vocabulary or grammatical structures; (3) reading something relevant; (4) constructing semantic webs (a graphic

arrangement of concepts or words showing how they are related); (5) predicting the content of the listening text; (6) going over the directions or instructions for the activity; (7) doing guided practice. By practicing these activities before listening, it will prepare students in while listening.

- e. **Match while-listening activities to the instructional goal, the listening purpose, and students' proficiency level.** While-listening activities relate directly to the text, and students do them during or immediately after the time they are listening.

While planning while-listening activities, the teachers should keep these points in mind: (1) a written task during or immediately after listening, allow them to read through it before listening. (2) Keep writing to a minimum during listening. Remember that the primary goal is comprehension, not production. (3) Organize activities so that they guide listeners through the text. (4) Use questions to focus students' attention on the elements of the text crucial to comprehension of the whole. Before the listening activity begins, have students review questions they will answer orally or in writing after listening. (5) Use predicting to encourage students to monitor their comprehension as they listen. (6) Give immediate feedback whenever possible.

There are some examples of while-listening activities, such as: listening with visuals, filling in graphs and charts, following a route on a map, checking off items in a list, listening for the gist, searching for specific clues to meaning, completing cloze (fill-in) exercises, distinguishing between formal and informal registers. These activities can be varied in every meeting.

Learners need to be exposed to a wide range of text types from monologues to dialogues, from casual conversations in which people are socializing, to interactions in which the speaker is trying to obtain goods and services and some authentic materials (Nunan, 2015). They should have the opportunity to watch all types television shows, from sitcoms to the news. Public announcements, recorded telephone messages, advertisements, and so on should also be incorporated into the listening lesson. Out of class, learners can work on their listening through the enormous range of texts available through the Internet: YouTube clips, TED talks, and also the specially modified news broadcasts from services such as the BBC and Voice of

America. These have been specially recorded to be more comprehensible to second language speakers.

B. TEACHING SPEAKING

We should differentiate between 'reproductive' speaking and 'creative' speaking. In reproductive speaking, the learner reproduces language forms provided by the teacher or some other aural model, meanwhile in creative speaking, the learners do not repeat the meanings of others, but create their own meanings (Nunan, 2015:49). Reproductive and creative speaking activities are necessary in developing speaking. Thus, be aware of the proportion of reproductive and creative speaking task they require of their learners. Good speaking teachers create a non-threatening environment and encourage learners to leave their comfort zone and engage in tasks that require creative language use.

The goal of teaching speaking skills is communicative efficiency. Learners should be able to make themselves understood, using their current proficiency and avoid confusion in the message due to faulty pronunciation, grammar, or vocabulary. To help students develop communicative competence in speaking, instructors can use a balanced activities approach that combines language input, structured output, and communicative output.

Language learners need to recognize that speaking involves three areas of knowledge:

- Mechanics (pronunciation, grammar, and vocabulary): Using the right words in the right order with the correct pronunciation
- Functions (transaction and interaction): Knowing when clarity of message is essential (transaction/information exchange) and when precise understanding is not required (interaction/relationship building)
- Social and cultural rules and norms (turn-taking, rate of speech, length of pauses between speakers, relative roles of participants): Understanding how to take into account who is speaking to whom, in what circumstances, about what, and for what reason.

In the communicative model of language teaching, instructors help their students develop this body of knowledge by providing authentic practice that prepares students for real-life communication situations. They help their students develop the ability to produce grammatically correct, logically

connected sentences that are appropriate to specific contexts, and to do so using acceptable (that is, comprehensible) pronunciation.

Language Input

Language input can be teacher talk, listening activities, reading passages, and the language heard and read outside of class. It gives learners the material they need to begin producing language themselves. Language input may be content oriented or form oriented. **Content-oriented input** focuses on information, whether it is a simple weather report or an extended lecture on an academic topic. Content-oriented input may also include descriptions of learning strategies and examples of their use. **Form-oriented input** focuses on ways of using the language: guidance from the teacher or another source on vocabulary, pronunciation, and grammar (linguistic competence); appropriate things to say in specific contexts (discourse competence); expectations for rate of speech, pause length, turn-taking, and other social aspects of language use (sociolinguistic competence); and explicit instruction in phrases to use to ask for clarification and repair miscommunication (strategic competence).

In everyday communication, spoken exchanges take place because there is some sort of information gap between the participants. Communicative output activities involve a similar real information gap. In order to complete the task, students must reduce or eliminate the information gap. In these activities, language is a tool, not an end in itself. To do so, teacher should know some speaking problems and their solution. Language learners who lack confidence in their ability to participate successfully in oral interaction often listen in silence while others do the talking. One way to encourage such learners to begin to participate is to help them build up a stock of minimal responses that they can use in different types of exchanges. Such responses can be especially useful for beginners. Minimal responses are predictable, often idiomatic phrases that conversation participants use to indicate understanding, agreement, doubt, and other responses to what another speaker is saying.

Developing Speaking Activities

Traditional classroom speaking practice often takes the form of drills in which one person asks a question and another gives an answer. The question and the answer are structured and predictable, and often there is only one

correct, predetermined answer. The purpose of asking and answering the question is to demonstrate the ability to ask and answer the question.

In contrast, the purpose of real communication is to accomplish a task, such as conveying a telephone message, obtaining information, or expressing an opinion. In real communication, participants must manage uncertainty about what the other person will say. Authentic communication involves an information gap; each participant has information that the other does not have. In addition, to achieve their purpose, participants may have to clarify their meaning or ask for confirmation of their own understanding.

To create classroom speaking activities that will develop communicative competence, instructors need to incorporate a purpose and an information gap and allow for multiple forms of expression. However, quantity alone will not necessarily produce competent speakers. Instructors need to combine structured output activities, which allow for error correction and increased accuracy, with communicative output activities that give students opportunities to practice language use more freely.

1. Structured Output Activities

Two common kinds of structured output activities are *information gap* and *jigsaw* activities. In both these types of activities, students complete a task by obtaining missing information, a feature the activities have in common with real communication. However, information gap and jigsaw activities also set up practice on specific items of language. In this respect they are more like drills than like communication.

a. Information Gap Activities

It is an example of information gap activity, filling the gaps in a schedule or timetable: Partner A holds an airline timetable with some of the arrival and departure times missing. Partner B has the same timetable but with different blank spaces. The two partners are not permitted to see each other's timetables and must fill in the blanks by asking each other appropriate questions. The features of language that are practiced would include questions beginning with "when" or "at what time." Answers would be limited mostly to time expressions like "at 8:15" or "at ten in the evening."

This activity may be set up so that the partners must practice more than just grammatical and lexical features. For example, the timetable activity gains a social dimension when one partner assumes the role of a student

trying to make an appointment with a partner who takes the role of a professor. Each partner has pages from an appointment book in which certain dates and times are already filled in and other times are still available for an appointment. Of course, the open times don't match exactly, so there must be some polite negotiation to arrive at a mutually convenient time for a meeting or a conference.

b. Jigsaw Activities

Jigsaw activities are more elaborate information gap activities that can be done with several partners. In a jigsaw activity, each partner has one or a few pieces of the "puzzle," and the partners must cooperate to fit all the pieces into a whole picture. The puzzle piece may take one of several forms. It may be one panel from a comic strip or one photo from a set that tells a story. It may be one sentence from a written narrative. It may be a tape recording of a conversation, in which case no two partners hear exactly the same conversation.

In one fairly simple jigsaw activity, students work in groups of four. Each student in the group receives one panel from a comic strip. Partners may not show each other their panels. Together the four panels present this narrative: a man takes a container of ice cream from the freezer; he serves himself several scoops of ice cream; he sits in front of the TV eating his ice cream; he returns with the empty bowl to the kitchen and finds that he left the container of ice cream, now melting, on the kitchen counter. These pictures have a clear narrative line and the partners are not likely to disagree about the appropriate sequencing.

With information gap and jigsaw activities, instructors need to be conscious of the language demands they place on their students. If an activity calls for language your students have not already practiced, you can brainstorm with them when setting up the activity to preview the language they will need, eliciting what they already know and supplementing what they are able to produce themselves. Structured output activities can form an effective bridge between instructor modeling and communicative output because they are partly authentic and partly artificial. Like authentic communication, they feature information gaps that must be bridged for successful completion of the task. However, where authentic communication allows speakers to use all of the language they know, structured output

activities lead students to practice specific features of language and to practice only in brief sentences, not in extended discourse.

2. Communicative Output Activities

Communicative output activities allow students to practice using all of the language they know in situations that resemble real settings. In these activities, students must work together to develop a plan, resolve a problem, or complete a task. The most common types of communicative output activity are *role plays* and *discussions*.

In role plays, students are assigned roles and put into situations that they may eventually encounter outside the classroom. Because role plays imitate life, the range of language functions that may be used expands considerably. Also, the role relationships among the students as they play their parts call for them to practice and develop their sociolinguistic competence. They have to use language that is appropriate to the situation and to the characters.

Students usually find role playing enjoyable, but students who lack self-confidence or have lower proficiency levels may find them intimidating at first. There are some preparations in order to succeed with role plays. Firstly, it needs to be *prepared carefully*. Introduce the activity by describing the situation and making sure that all of the students understand it. Then, *set a goal or outcome*: Be sure the students understand what the product of the role play should be, whether a plan, a schedule, a group opinion, or some other product. Teacher has to *use role cards*: Give each student a card that describes the person or role to be played. For lower-level students, the cards can include words or expressions that that person might use. Next let students *brainstorm*: Before you start the role play, have students brainstorm as a class to predict what vocabulary, grammar, and idiomatic expressions they might use. Teacher need to *keep groups small*: Less-confident students will feel more able to participate if they do not have to compete with many voices.

The next point, teacher has to *give students time to prepare*: Let them work individually to outline their ideas and the language they will need to express them. Teacher *presents as a resource*, not a monitor: Stay in communicative mode to answer students' questions. Do not correct their pronunciation or grammar unless they specifically ask you about it. *Allow students to work at their own levels*: Each student has individual language skills, an individual approach to working in groups, and a specific role to play in the activity. Do not expect all students to contribute equally to the

discussion, or to use every grammar point you have taught. *Do topical follow-up*: Have students report to the class on the outcome of their role plays. *Do linguistic follow-up*: After the role play is over, give feedback on grammar or pronunciation problems you have heard. This can wait until another class period when you plan to review pronunciation or grammar anyway.

Discussions, like role plays, succeed when the instructor prepares students first, and then gets out of the way. In order to succeed with discussions, teacher needs to *prepare the students*. Give them input (both topical information and language forms) so that they will have something to say and the language with which to say it. Then, teacher tries to *offer choices*. Let students suggest the topic for discussion or choose from several options. Discussion does not always have to be about serious issues. Students are likely to be more motivated to participate if the topic is television programs, plans for a vacation, or news about mutual friends. Set a goal or outcome: This can be a group product, such as a letter to the editor, or individual reports on the views of others in the group. Use small groups instead of whole-class discussion. Give students a defined period of time, not more than 8-10 minutes. Allow them to stop sooner if they run out of things to say. Not every student will feel comfortable talking about every topic. Do not expect all of them to contribute equally to the conversation. Finally, do a follow up. Have students report to the class on the results of their discussion.

C. TEACHING READING

In language instruction, reading materials have traditionally been chosen from literary texts that represent "higher" forms of culture. This approach assumes that students learn to read a language by studying its vocabulary, grammar, and sentence structure, not by actually reading it. In this approach, lower level learners read only sentences and paragraphs generated by textbook writers and instructors. The reading of authentic materials is limited to the works of great authors and reserved for upper level students who have developed the language skills needed to read them.

For second language learners, reading has a number of advantages. They do not need a partner in order to read, but can do it as an independent activity by themselves in their own time and space outside of the classroom. Not only does it build facility in the language, but it also fosters independent learning.

Two important functions of reading are, first of all, reading for communicative purposes, and second, reading for educational purposes. Our second language students also read to consolidate their knowledge of English and to develop the skills needed to extract information from texts written in English.

The communicative approach to language teaching has given instructors a different understanding of the role of reading in the language classroom and the types of texts that can be used in instruction. When the goal of instruction is communicative competence, everyday materials such as train schedules, newspaper articles, and travel and tourism Web sites become appropriate classroom materials, because reading them is one way communicative competence is developed. Instruction in reading and reading practice thus become essential parts of language teaching at every level.

1. Reading Purpose and Reading Comprehension

Reading is an activity with a purpose. A person may read in order to gain information or verify existing knowledge, or in order to critique a writer's ideas or writing style. A person may also read for enjoyment, or to enhance knowledge of the language being read. The purpose(s) for reading guide the reader's selection of texts.

The purpose for reading also determines the appropriate approach to reading comprehension. A person who needs to know whether she can afford to eat at a particular restaurant needs to comprehend the pricing information provided on the menu, but does not need to recognize the name of every appetizer listed. A person reading poetry for enjoyment needs to recognize the words the poet uses and the ways they are put together, but does not need to identify main idea and supporting details. However, a person using a scientific article to support an opinion needs to know the vocabulary that is used, understand the facts and cause-effect sequences that are presented, and recognize ideas that are presented as hypotheses and givens.

2. Reading as a Process

Reading is an interactive process that goes on between the reader and the text, resulting in comprehension. The text presents letters, words, sentences, and paragraphs that encode meaning. The reader uses knowledge, skills, and strategies to determine what that meaning is. Reader knowledge, skills, and strategies include some sub skills: (1) Linguistic competence: the ability to

recognize the elements of the writing system; knowledge of vocabulary; knowledge of how words are structured into sentences. (2) Discourse competence: knowledge of discourse markers and how they connect parts of the text to one another. (3) Sociolinguistic competence: knowledge about different types of texts and their usual structure and content. (4) Strategic competence: the ability to use top-down strategies, as well as knowledge of the language (a bottom-up strategy).

The purpose(s) for reading and the type of text determine the specific knowledge, skills, and strategies that readers need to apply to achieve comprehension. Reading comprehension is thus much more than decoding. A reading comprehension result when the reader knows which skills and a strategy are appropriate for the type of text, and understands how to apply them to accomplish the reading purpose.

3. Check the level of difficulty of the text

The factors listed below can help you judge the relative ease or difficulty of a reading text for a particular purpose and a particular group of students.

- How is the information organized? Does the story line, narrative, or instruction conform to familiar expectations? Texts in which the events are presented in natural chronological order, which have an informative title, and which present the information following an obvious organization (main ideas first, details and examples second) are easier to follow.
- How familiar are the students with the topic? Remember that misapplication of background knowledge due to cultural differences can create major comprehension difficulties.
- Does the text contain redundancy? At the lower levels of proficiency, listeners may find short, simple messages easier to process, but students with higher proficiency benefit from the natural redundancy of authentic language.
- Does the text offer visual support to aid in reading comprehension? Visual aids such as photographs, maps, and diagrams help students preview the content of the text, guess the meanings of unknown words, and check comprehension while reading.

Remember that the level of difficulty of a text is not the same as the level of difficulty of a reading task. Students who lack the vocabulary to identify all

of the items on a menu can still determine whether the restaurant serves steak and whether they can afford to order one.

4. Techniques for Teaching Reading

Instruction in reading strategies is not an add-on, but rather an integral part of the use of reading activities in the language classroom. Instructors can help their students become effective readers by teaching them how to use strategies before, during, and after reading.

Pre-reading: Plan for the reading task

The activities you use during pre-reading may serve as preparation in several ways. During pre-reading, teacher may do some activities. (1) Assess students' background knowledge of the topic and linguistic content of the text. (2) Give students the background knowledge necessary for comprehension of the text, or activate the existing knowledge that the students possess. (3) Clarify any cultural information which may be necessary to comprehend the passage. (4) Make students aware of the type of text they will be reading and the purpose(s) for reading. (5) Provide opportunities for group or collaborative work and for class discussion activities.

Pre-reading activities can be done by using the title, subtitles, and divisions within the text to predict content and organization or sequence of information. Besides, looking at pictures, maps, diagrams, or graphs and their captions. It can also be talking about the author's background, writing style, and usual topics.

Pre-reading activities are most important at lower levels of language proficiency and at earlier stages of reading instruction. As students become more proficient at using reading strategies, you will be able to reduce the amount of guided pre-reading and allow students to do these activities themselves.

While-reading activities

In while-reading activities, ask students to check their comprehension as they read. The purpose for reading determines the appropriate type and level of comprehension. There are some strategies that can help students read more quickly and effectively include some activities. Firstly, **Previewing**: reviewing titles, section headings, and photo captions to get a sense of the

structure and content of a reading selection. Next, *Predicting*: using knowledge of the subject matter to make predictions about content and vocabulary and check comprehension; using knowledge of the text type and purpose to make predictions about discourse structure; using knowledge about the author to make predictions about writing style, vocabulary, and content. Then, *Skimming and scanning*: using a quick survey of the text to get the main idea, identify text structure, confirm or question predictions. Moreover, *Guessing from context*: using prior knowledge of the subject and the ideas in the text as clues to the meanings of unknown words, instead of stopping to look them up. Finally, *Paraphrasing*: stopping at the end of a section to check comprehension by restating the information and ideas in the text.

Instructors can help students learn when and how to use reading strategies in several ways. Firstly, teachers can model the strategies aloud, talk through the processes of preview, predict, skim and scan, and paraphrase. This shows students how the strategies work and how much they can know about a text before they begin to read word by word. Secondly, by allowing time in class for group and individual previewing and predicting activities can be used as preparation for in-class or out-of-class reading. Allocating class time to these activities indicates their importance and value. Then, using cloze (fill in the blank) exercises to review vocabulary items are also good. This helps students learn to guess meaning from context. Finally, teacher can encourage students to talk about what strategies they think will help them approach a reading assignment, and then talk after reading about what strategies they actually used. This helps students develop flexibility in their choice of strategies. When language learners use reading strategies, they find that they can control the reading experience, and they gain confidence in their ability to read the language.

D. TEACHING WRITING

Like reading, writing is not only a tool for communication but also an instrument for intellectual growth and development. Teaching writing skill for other language learners is different from other skills in two ways (Reid, 2001:28). Maggie Sokolik (2003), a leading thinker and researcher in the field of second language writing, suggests that writing can be defined in terms of three key contrasts. First, she says, writing is both a physical as well

as a mental act. On the surface, writing is a manual process of committing symbols (letters of the alphabet, etc.) to paper or a computer screen by manipulating a pencil, pen, or keys on a keyboard. On the other hand, writing is a mental process of generating ideas and thinking about how to present them effectively in the form of a written text. Second, there are two purposes: to express and impress. "Writers," she says, "typically serve two masters: themselves, and their own desires to express an idea or feeling, and readers, also called the audience, who need to have ideas expressed in certain ways" (Sokolik, 2003: 88). The third contrast that Sokolik draws is between process and product. Process refers to the steps that a writer goes through in order to create a piece of written work. The product is the end result: the essay, recipe, report on a science experiment, and so on, which you can hold in your hand or see on a computer screen.

In fact, L2 writing was not viewed as a language skill to be taught to learners. Instead, it was used as a support skill in language learning to, for example, practice handwriting, write answers to grammar and reading exercises, and write dictation. Second, as the theory and practice of L2 composition teaching gradually developed. As EFL/ESL writing teachers, our main activities involve conceptualizing, planning, and delivering courses. When designing a language course and planning our own course of study, it is useful to be able to set learning goals that will allow us to use the language in the ways we want to. When we plan the vocabulary goals of a long term course of study, we can look at three kinds of information to help decide how much vocabulary needs to be learned - the number of words in the language, the number of words known by native speakers, and the number of words needed to use the language.

Research suggests that second language writing skills cannot be acquired successfully by practice in writing alone but also need to be supported with extensive reading (Krashen In Hyland). Whether assigned or voluntary, reading has been shown to be a positive influence on composing skills at various stages of proficiency. This is because both processes involve the individual in constructing meaning through the application of complex cognitive and linguistic abilities that draw on problem-solving skills and the activation of existing knowledge of both structure and content (Carson and Leki, 1993; Grabe, 2001). Reading may yield for students' new knowledge within a subject area, but more importantly it provides them with the

rhetorical and structural knowledge they need to develop, modify, and activate schemata which are invaluable when writing.

1. The Process Versus Product Debate

Probably one of the more contentious issues in the teaching of writing to second language speakers has been the controversy over product versus process approaches to instruction (Nunan, 2015:82). As the name suggests, product-oriented approaches focus on the final product, that is, the final text that the writer will produce. Process-oriented approaches, on the other hand, focus on the procedures involved in arriving at the final product – the thinking, planning, drafting, and revising that the writer engages in to arrive at an acceptable text.

In a product-oriented classroom, learners spend much of their time studying and then imitating model texts provided by the teacher or the textbook. Teachers concentrate on ensuring grammatical accuracy at the sentence level, the sentence being seen as the basic building block of the text. Proponents of process approaches argue that the product approach is mechanical and cripples the creativity of the writer.

Students cannot acquire everything they need to improve their writing skills at once, nor can they learn effectively from a random collection of exercises and assignments. Teachers therefore have to develop a systematic plan of what needs to be learned, selecting and sequencing the content and tasks that will lead to the desired learning outcomes. This requires teachers to devise a syllabus and plan lessons based on it. A syllabus is a coherent plan for a course of study, providing a map for both teachers and learners which specify the work to be accomplished by students based on explicit objectives. Teachers may not always have complete freedom to choose what their courses will include, and may find their syllabus handed down to them by administrators or prescribed in set texts. But there is usually some flexibility, and it is always good practice to plan teaching with reference to syllabus goals.

Some pedagogical issues are also similar across language programs, such as how to provide the most appropriate instruction, how to respond to student work in ways that help their language progress, and how to assess students fairly. Several resource books for English L2 writing teachers offer substantial information about theory and practice, methods and materials, as well as varied pedagogical perspectives.

Therefore, in this section, it will discuss about ways to teach students the writing process and will provide engaging ways to teach steps of the writing process and organize ideas while writing. Writing has several different purposes. It is done to give information, to persuade about a certain point of view, or for entertainment purposes. It can also be formal or informal. (1) **Formal writing** is usually done for academic or professional settings. This type of writing commonly is reviewed by someone else for critique or action to be taken in response to the writing. Examples of formal assignments include essays, literature reviews, summaries, letters, and published works. (2) **Informal writing** is writing that is usually done as a form of expression or to pull out creative ideas. This type of writing relies less on traditional rules with more focus put on the thoughts and meaning behind the writing. Examples of informal writing include diaries, response journals, personal letters, poetry, and creative writing.

There are usually basic steps or a certain format that is followed in teaching writing. These steps are referred to as the writing process. The writing process includes the following steps: (1) Pre-writing, (2) Drafting, (3) Editing, (4) Revising, (4) Publishing.

The Plan (Pre-Writing)

When teaching writing, you need to be sure students learn to plan and prepare to write (more so with informal writing, but it won't hurt with informal writing). This is often called pre-writing. There are some steps that should be taught to the students to help with pre-writing. (1) Identify your purpose for writing. What type of writing assignment are you doing, formal or informal? (2) Brainstorm and then decide on a topic and main points. (3) Decide a format to organize your pre-writing thoughts (an outline or a graphic organizer). (4) Create and develop the outline or graphic organizer of your choice by adding the thesis statements, main ideas or topic sentences, and details, etc. that you brainstormed.

The pre-writing stage is generally defined by idea generation, shaping, refining, and organization (Scarcella & Oxford, 1992). This stage may be characterized by many different activities including discussion, brainstorming or free-writing. As the research suggests that skilled writers spend more time on planning their writing and that planning time may affect the fluency, syntactic complexity and accuracy of L2 writing (Hurd & Lewis, 2008:108), independent language learners should be provided with specific strategies

that they can use to support their pre-writing activities. As the language in which pre-writing activities are conducted may affect writing outcomes, independent learners may want to conduct the following pre-writing activities in their L1. Three cognitive strategies independent learners can use during this stage of writing are resourcing, elaboration and grouping.

We have all heard the term 'must have' items. Make sure that before beginning the process of writing; you have presented lessons on writing 'must haves,' such as creating thesis statements, main idea and details, topic sentences, sequence, sentence structure, grammar, and transitions.

The Process (Drafting, Editing, Revising)

After teaching students strategies to help with pre-writing, students should be learn what it takes to complete the writing process. Let students know that it is okay to add to their 'plans' but to use that as a guide to keep their writing focused.

In drafting activity, teacher should encourage students to use their outline or graphic organizer to express the main points and purpose of their writing. Drafts are often called rough drafts, so explain to students that the drafting process is just a beginning stage of their writing. The process is not about perfection but creating content. It may be beneficial to have students write drafts in class or in a structured session in which they are only given a certain amount of time. For more student engagement, suggest using a special pen or writing in a special location to make this process more interesting and inspiring.

Writing is viewed as a recursive process and the writing stage certainly involves planning, editing, and revising. After writing the draft, ask the students to reread and edit any mistake in the draft. This allows the writer to focus on the flow of ideas rather than their lexical and grammatical accuracy. The writer may come back to that phrase at a later time and use another cognitive strategy, such as a resource or the development of substitutes, to solve the language issue. The following table might be used to guide the learners revise their draft.

Table 1. Question for Revision Process

(1) What is the purpose of my writing? Do I achieve it?
(2) Is my main idea or thesis presented clearly?
(3) Who is my intended reader? What is my relationship with the reader?

Does the style of my writing appropriately reflect our relationship?
(4) Is my writing interesting? Could I add anything to increase the reader's interest?
(5) Do I leave any questions unanswered? What are they and how can I address them?
(6) Are any of my ideas unclear? How can I clarify them?
(7) Do I provide too many details? Do I provide details that do not reflect my main idea or purpose?
(8) Is the text well organized? Does one idea flow logically to the next?
(9) Do I employ appropriate openings and closings?

Source: Hurd & Lewis, 2008

Successful writers spend more time revising the global components or content of their writing, providing independent L2 writers with a tool to help them assess their own writing could prove extremely valuable. The revising process must also include attention to linguistic form. This may be especially challenging for learners in ILL contexts who may not have access to native speakers, peers, tutors, or teachers and who must rely on self-evaluation of their linguistic content. Then, self-evaluation process can be guided by the proofreading checklist below:

Do my subjects and verbs agree?
Do I have verb tense inconsistencies?
Do I have any incomplete sentences?
Have I used any words I am unsure about?
Do I overuse any words or phrases?
Is my spelling accurate?
Have I correctly used punctuation conventions?

Source: Hurd & Lewis, 2008

As student reread a text to resolve questions of content and organization, independent learners can also benefit from rereading a draft for mechanical and grammatical issues. Writers may need a guide to help them know what to look for in their own writing. A checklist presented in Table 1 aims to provide independent L2 writers with a guided manner in which to proofread and edit their own writing. This is a general guide for proofreading as each target language may have specific linguistic features with which learners typically experience difficulty. In order to solve some of the problems

identified by proofreading, L2 writers may need to turn to various resources in order to access a model of L2 writing, an explanation of a grammatical rule, or information on vocabulary. However, the mere presence of resources does not guarantee learners will use them successfully. Independent learners need to develop the skills to evaluate the resources available to them and to use them effectively.

E. TEACHING INTEGRATIVE SKILLS

It is commonly heard that the real success in English teaching and learning is when the learners can actually communicate in English inside and outside the classroom (Davies & Pearse, 2000: 99). Teachers have been studying the ways of enabling learners to use English freely, effectively, and as far as possible accurately, in realistic communication, which has become not only the major goal of all English language teaching, but also the students' main concern when they make their efforts to study English. For various reasons, traditional ELT tends to train the four language skills—listening, speaking, reading and writing separately, and materials and activities designed usually focus on one specific skill and others are ignored. Undoubtedly, a separate focus on individual skills can play a useful role in accelerating students' language learning if it is well taught. However, since integrated skills use coincides the way we communicate in real life, and integrating the skills can bring plenty of benefits to English teaching, it is a worthwhile experiment in a communicative classroom despite its higher demanding for teachers.

It has been widely accepted that integrating the four skills can develop communicative competence because it focuses on the realistic communication, which is the main pursuit of teaching and learning in the modern society. The translation of communicative competence in language teaching practice is to develop learners' language skills, namely, listening, speaking, reading and writing. The goal of communicative language teaching is to develop students' communicative competence, which includes both the knowledge about the language and the knowledge about how to use the language appropriately in communicative situations. The ultimate goal of foreign language teaching is to enable the students to use the foreign language in work or life when necessary.

There are two types of integrated-skill instruction are content-based language instruction and task-based instruction. The first of these emphasizes learning content through language, while the second stresses doing tasks that require communicative language use. Both of these benefit from a diverse range of materials, textbooks, and technologies for the ESL or EFL classroom.

Content-Based Instruction

In content-based instruction, students practice all the language skills in a highly integrated, communicative fashion while learning content such as science, mathematics, and social studies. Content-based language instruction is valuable at all levels of proficiency, but the nature of the content might differ by proficiency level. For beginners, the content often involves basic social and interpersonal communication skills, but past the beginning level, the content can become increasingly academic and complex. The Cognitive Academic Language Learning Approach (CALLA), created by Chamot and O'Malley (1994), shows how language learning strategies can be integrated into the simultaneous learning of content and language.

At least three general models of content-based language instruction exist: theme-based, adjunct, and sheltered (Scarcella & Oxford, 1992). The theme-based model integrates the language skills into the study of a theme (e.g., urban violence, cross-cultural differences in marriage practices, natural wonders of the world, or a broad topic such as change). The theme must be very interesting to students and must allow a wide variety of language skills to be practiced, always in the service of communicating about the theme. This is the most useful and widespread form of content-based instruction today and it is found in many innovative ESL and EFL textbooks. In the adjunct model, language and content courses are taught separately but are carefully coordinated. In the sheltered model, the subject matter is taught in simplified English tailored to students' English proficiency level.

Task-Based Instruction

In task-based instruction, students participate in communicative tasks in English. Tasks are defined as activities that can stand alone as fundamental units and that require comprehending, producing, manipulating, or interacting in authentic language while attention is principally paid to meaning rather than form (Nunan, 1989).

The task-based model is beginning to influence the measurement of learning strategies, not just the teaching of ESL and EFL. In task-based instruction, basic pair work and group work are often used to increase student interaction and collaboration. For instance, students work together to write and edit a class newspaper, develop a television commercial, enact scenes from a play, or take part in other joint tasks. More structured cooperative learning formats can also be used in task-based instruction. Task-based instruction is relevant to all levels of language proficiency, but the nature of the task varies from one level to the other. Tasks become increasingly complex at higher proficiency levels. For instance, beginners might be asked to introduce each other and share one item of information about each other. More advanced students might do more intricate and demanding tasks, such as taking a public opinion poll at school, the university, or a shopping mall.

In order to integrate the language skills in ESL/EFL instruction, teachers should consider taking these steps:

- Learn more about the various ways to integrate language skills in the classroom (e.g., content-based, task-based, or a combination).
- Reflect on their current approach and evaluate the extent to which the skills are integrated.
- Choose instructional materials, textbooks, and technologies that promote the integration of listening, reading, speaking, and writing, as well as the associated skills of syntax, vocabulary, and so on.
- Even if a given course is labeled according to just one skill, remember that it is possible to integrate the other language skills through appropriate tasks.
- Teach language learning strategies and emphasize that a given strategy can often enhance performance in multiple skills.



EXERCISE 2

Answer the following questions

- 1) What is the difference of top-down and bottom-up processing? How should a teacher treat these listening processes?
- 2) What are the key principles in teaching speaking?
- 3) What is the importance of pre-reading? How could a teacher do it?
- 4) What are the key principles in teaching reading?

- 5) Mention some reading strategies to increase reading comprehension effectively.
- 6) How could teacher teach language skills integratively?



SUMMARY

Listening in a second language is one of the most important skills for students learning English as a second or foreign language. In listening, actually there are two common processes involved; Top-down and bottom-up processing. The key principles in teaching listening are (1) expose learners to different ways of processing information, (2) expose students to different types of listening text, (3) teach a variety of tasks, (4) consider text difficulty and authenticity, and (5) teach listening strategies.

Speaking skill is also important for students. The key principles in teaching speaking are (1) be aware of the difference between second language and foreign language learning contexts, (2) give students practice with both fluency and accuracy, (3) provide opportunities for students to talk by using group work or pair work, and limiting teacher talk, (4) plan speaking tasks that involve negotiation of meaning, and (5) design classroom activities that involve guidance and practice in both transactional and interactional speaking.

Reading skill is another important skill in learning English. There are three common processes involved in reading; bottom-up, top-down, and interactive reading. The key principles in teaching reading are (1) build a strong vocabulary base, (2) teach for comprehension – read-then-test, comprehension monitoring; questioning the author, and (3) encourage readers to transform skills into strategies.

Writing is the skill that is considered the most difficult one to master. The key principles in teaching writing are (1) understand your students' reasons for writing, (2) provide many opportunities for your students to write, (3) make feedback helpful and meaningful, and (4) clarify for yourself and your students how their writing will be evaluated. What teachers need to know is the relationship between real-world tasks and pedagogical tasks; turning real-world tasks into learning tasks.



FORMATIVE TEST 2

- 1) What are the goals of teaching listening?
- 2) What are the key principles in teaching listening?
- 3) How do you differentiate reproductive and creative speaking? Give your examples.
- 4) What are the key principles in teaching writing?
- 5) What is pre-writing? What should the students do in pre-writing?
- 6) Mention some sub-competencies that are required to be a good reader.
- 7) What are the information that should be checked in revision process of writing?

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 3

Teaching Language Components

A. TEACHING PRONUNCIATION

English pronunciation is still neglected in EFL/ESL classrooms throughout the world including Asia today (Cheng, 1998) although Morley (1991b) recommended that it is necessary to teach English pronunciation in the ESL or EFL classroom. Various universities just put as elective even some do not put it as one of the subjects in the curriculum (Wei and Zhou 2002). One of the reasons that it is neglected or ignored is because not many English pronunciation teaching strategies or techniques are available to teachers in the classroom.

Each language uses a certain number of sounds called phonemes that distinguish words and morphemes from one other. Some languages have the phonemes of spoken language which connect one-to-one to the letters of alphabetic written language; the writing system is called transparent, as in Finnish or Italian (Cook, 2005: 70). Meanwhile, the English writing system is not transparent because there are many more sounds than letters to go round: 44 phonemes will not go into 26 letters. As the consequence, the letters used are very different from the spelling. Phonemes signal the difference between words and meanings. A phoneme is a sound which is conventionally used to distinguish meanings in a particular language. The problem for second language acquisition is that each language has its own set of phonemes and allophones. Two phonemes in one language may correspond to two allophones of the same phoneme in another language, or may not exist at L1.

Therefore, learning to pronounce a second or foreign language means building up new pronunciation habits and overcoming the bias of the first language. Only by saying 'car' /ka:/ and 'cow' /kau/ many times is the contrast between /a:/ and /au/ acquired. In other areas of language teaching, such as grammar, people would scorn making students simply repeat sentences. Nevertheless it remains a popular technique for pronunciation teaching. In teaching pronunciation requires the students to hear and repeat, such as 'I've found a mouse in the house' or 'This is the cleanest house in town', or traditional tongue-twisters such as 'He ran from the Indies to the Andes in his undies'. This activity emphasizes practice rather than

communication and sees pronunciation as a set of habits for producing sounds.

The component of a pronunciation course should consist of several important parts, they are:

- 1) **intonation:** The pitch of the voice with which a voiced sound is pronounced is called its intonation. Intonation is defined as “the pattern or melody of pitch changes in connected speech, esp. the pitch pattern of a sentence”. According to Scarcella and Oxford (1994) and Wong (1993), it conveys and performs grammatical functions in sentences. Brazil, Coulthard & Johns (1980) pointed out that intonation in English might also convey a speaker’s involvement in a conversation as well as a desire to take turn or leave a conversation.
- 2) **Stress and rhythm:** Scarcella and Oxford (1994) had a very good description about the relationship between stress and rhythm: “Stress contributes to rhythm. Linguists use the term rhythm to refer to the measured movement or musical flow of language. English has a rhythm in which stressed syllables normally occur at regular time intervals. Thus, in English, rhythmic patterns are based upon a fairly regular recurrence of stressed syllables. That is why English is often called a stress-timed language.
- 3) **Consonants:** Scarcella and Oxford (1994) explained, “Consonants are, or contain, noises that are pronounced with a blockage of some sort of the air passage.
- 4) **Vowels:** Scarcella and Oxford (1994) pointed out “Vowels are characterized by a free passage of air.”

So in teaching pronunciation, at least, we need to cover intonation, stress (word level stress, sentence level stress, linking), rhythm, consonants (substitution, omission, articulation, clusters and linking) and vowels (substitution, articulation, length, reduction and linking). Those are the basic contents of a pronunciation class. As a teacher we need to check whether the students can articulate the consonants and vowels correctly.

In the early days of the direct method, such phonetic scripts were often used directly for language teaching, and they are still common at advanced levels where people are often taught ‘ear-training’ by transcribing spoken language (Cook, 2008: 70). Most EFL course books use a phonetic script as a resource to be consulted from time to time rather than as the main vehicle for

teaching; charts of the phonetic alphabet for English can be seen pinned up in many classrooms.

There are some strategies proposed in teaching pronunciation. Lin, Fan and Chen (1995) suggested some strategies including drawing pitch lines/curves or arrows and using musical scores in teaching intonation. Here are some examples:

1. The most commonly used strategy is to draw pitch lines/curves. Besides drawing the pitch lines/curves, they suggested that the teacher blacken the last stress syllable and put a dot over it. In doing so, students can be expected to produce the appropriate intonation with the correct word stress.

Lisa: 'How was your trip? (rising/Falling intonation)

2. Arrows. Another simple strategy to teach intonation is to draw arrows over the place where pitch changes. For example,

A: Can we rent it or buy it? (Combination of intonation)

B: Our class meets Monday, Wednesday, and Friday.

3. Musical scores. The other effective visual effect is musical scores. For example, by differentiating score 1 as low, 2 medium, then 3 as high. Then give this number to the sentence to indicate the intonation.

Dalton & Seidlhofer (1994: 65-159) propose some procedures in teaching pronunciation:

1. Elicited mechanical production: This involves manipulation of sound patterns without apparent communicative reason and without offering learners an opportunity for making motivated choices of sounds, stress patterns, etc. Examples: manipulation of stress for prominence, as in Would you like to have dinner with us toNIGHT? Would you like to have dinner with US tonight? Would you like to have DINNer with us tonight?, etc. (compare Ponsonby 1987: 80). For individual sounds,

tongue twisters of the She sells sea shells on the sea shore kind are useful.

2. **Listen and repeat:** This is a time-honored technique involving learners in imitating chunks of language provided by the teacher or a recording; still widely used in course books which are accompanied by CD-ROM or tape and particularly popular in language lab exercises.
3. **Discrimination practice:** Students listen for sound contrasts to train their ears. Examples: reading contrasting sounds or words to a class and asking them to decide what has been uttered. This can take the form of a bingo-like game (Bowen and Marks 1992: 36f., 'sound discrimination exercise') or 'yes-no game' (Taylor 1993: 87). A variation of this particularly suitable for monolingual classes is 'bilingual minimal pairs' (Bowen and Marks 1992: 21), where learners listen for differences in articulatory settings in lists of L1-L2 word pairs, such as German Bild and English build.
4. **Sounds for meaning contrasts:** While 'listen and repeat' is often drill-like, exercises can be modified to make them more meaningful for the learner while retaining a focus on sounds.

Similarly, Cook (2008:81-82) suggest some standard techniques for teaching pronunciation. They are as follows:

- a. *Use phonetic script:* At advanced levels, students are sometimes helped by looking at phonetic transcripts of spoken language using IPA or by making transcripts of speech themselves. A familiarity with phonetic script enables students to look up the pronunciation of individual words.
- b. *Imitation:* Repetition of words or phrases has been the mainstay of pronunciation teaching asks students to 'Listen and repeat the words and sounds' and 'Copy the rhythm' -- whatever that means. Remember, repetition may not be helpful without feedback.
- c. *Discrimination of sounds:* Audio-lingual teaching believed that, if you cannot hear a distinction, you cannot make it. This led to minimal pair exercises in which the students have to indicate whether they hear 'lice', 'rice' or 'nice' in the sentence.
- d. *Consciousness raising:* we can use exercises to make students more aware of pronunciation in general, say, listening to tapes to discover aspects such as the speaker's sex, age, education, region, or the formality

of the situation. In other words, rather than concentrating on specific aspects of speech, the students' ears are trained to hear things better.

- e. *Communication*: pronunciation materials could use the actual problems of communication as a basis for teaching. For instance, both natives and non-natives confuse 'fifty' /fifti/ and 'fifteen' /fifti|n/ in real-world situations of shops, and so on, presumably because the final /n/ sounds like a nasalized vowel rather than a consonant.

Cook (2008) reminds that in teaching pronunciation teachers should: (1) recognize the diversity of levels of pronunciation in a language, including phonemes, allophones, syllables, intonation, and so on. (2) The learning of pronunciation involves aspects of the learner's first language, universal learning processes and aspects of the second language. (3) Teaching has mostly made use of conventional techniques of phonetic scripts, imitation, sound discrimination and communication. (4) Students can also be made more aware of sound features of language.

In addition, Nunan (2015:96) reminds teachers to pay attention on suprasegmentals. Suprasegmental features of language involve those phenomena that extend over one sound segment. These features include word stress, sentence stress, and rhythm along with adjustments in connected to speech (Celce-Murcia et al in Nunan, 2015). It is because comprehension problems for the listener are more likely to be caused by problems of stress, rhythm, and intonation than by inaccuracies in the pronunciation of individual vowels and consonants. Context can often help when it comes to figuring out meaning when a speaker has mispronounced an individual sound. For example, if you are by the waterfront and a stranger asks, "Excuse me, where is the sheep terminal?" you will naturally assume that they are referring to an ocean-going vessel rather than a fleecy, four-legged mammal.

Finally, in teaching pronunciation, teachers should consider at least four teaching principles. Firstly, we should begin with the comprehension before production. It means that we cannot pronounce sounds of a language if we cannot differentiate them aurally. Next, teacher should set realistic goals. Students will not be a native speaker; the goal is to make them speak intelligibly. Then, teacher should teach the connections between form and function. Finally, we should keep affective consideration firmly in mind. The way we speak is part of our personality; some may feel embarrassed to

pronounce in front of others. The solution might be some pronunciation software that have been released to checked students' pronunciation.

B. TEACHING VOCABULARY

When designing a language course and planning our own course of study, it is useful to be able to set learning goals that will allow us to use the language in the ways we want to. When we plan the vocabulary goals of a long term course of study, we can look at three kinds of information to help decide how much vocabulary needs to be learned - the number of words in the language, the number of words known by native speakers, and the number of words needed to use the language.

The most ambitious goal is to know all of the language. This is very ambitious because native speakers of the language do not know all the vocabulary of the language (Nation, 2001). It means, there is no need to master all vocabulary to be able to speak a foreign language. So, what and how vocabulary should be taught to the students of who learn ESOL? It is interesting to have some idea of how many words there are in the language. Then, what do you think the most important words in English that the students' need and do you teach them? Therefore it will focus the learning to the important words first. It will reduce the learning burden (the amount of effort required) of words by drawing attention to systematic patterns and analogies within the second language, and by pointing out connections between the second language and the first language. Teachers should be able to estimate the learning burden of words for each of the aspects of what is involved in knowing a word, so that they can direct their teaching towards aspects that will need attention and towards aspects that will reveal underlying patterns so that later learning is easier (Nation, 2015).

One of the criteria to choose the important words is based on the most frequently used words in the target language should be taught first (Cook, 2008: 46). Moreover, she says that almost all beginners' books limit the vocabulary in the first year about a thousand of the most frequent items. It suits to Corson's ideas (in Nation, 2001: 38) uses the terms active and passive to refer to productive and receptive vocabularies. Passive vocabulary, according to Corson, includes the active vocabulary and three other kinds of vocabulary - words that are only partly known, low frequency words not readily available for use, and words that are avoided in active use. These

three kinds of vocabulary overlap to some degree. Corson's description of active and passive vocabulary is strongly based on the idea of use and not solely on degrees of knowledge (Nation, 2001:38). Thus, for high frequency words, teachers should explain the meaning of words, and learners should do exercises, look up dictionaries, and think about the meanings (Nation, 2001:49). After brief attention to spelling and pronunciation however, experience in meeting and producing the word form should be left to encounters in meaning focused use.

However, it should be noted that words vary in how often they are used/frequency is only one factor in the choice of words to teach. It is unnecessary to worry about frequency too much. If the students are getting reasonably natural English from their coursebooks and their teachers, the common words will be supplied automatically. Moreover, knowing a word means its spoken and written forms, its grammatical and lexical properties and its meaning should be included altogether (Cook, 2008: 50-52). Vocabulary impinges on all areas of language acquisition and is not just learning sets of words and meanings.

Vocabulary level

Related vocabulary frequency and what vocabulary are being taught, Nation and Chung (2009:545) distinguish four vocabulary levels: high-frequency, academic, technical, and low-frequency words. This grouping is a way to increase the efficiency of the vocabulary focus is to make use of specially designed vocabulary lists.

High-frequency words make up a group of around 2,000 word families. The classic list is Michael West's A General Service List of English Words. This list needs updating (it does not contain words like computer, email, internet), but it still works reasonably well, and was made with young learners of English in mind.

Academic words are important for learners who wish to do academic study through the medium of English in senior high school or in tertiary education that is listed by Coxhead's (2000) Academic Word List. It has of 570 word families that are very common across a wide range of academic disciplines.

Technical words are related with the learners who have very specific study or work purposes. These are words that are very closely associated with a specialist area, in the way the words *dwang*, *truss*, *nog*, *eaves* are associated

with building, or that the words negotiation, interaction, phoneme, token are associated with applied linguistics. Research on technical vocabulary (Chung & Nation, 2003, 2004) shows that the amount of technical vocabulary in specialized texts has generally been underestimated.

Low-frequency words are the remaining words of the language. There are thousands of these of varying frequency, and as we have seen by looking at the coverage of the British National Corpus lists, many need to be learned, so that learners can reach the 98% coverage of text required for unassisted language use.

Ways and complexity of teaching vocabulary

In teaching vocabulary, according to Cook (2008:63-64) teacher needs to do the following things: (1) Teach the complexity of words. (2) Fit in with the students' strategies. (3) Teach basic-level words first. (4) Teach lexical relationships. (5) Think about the first presentation of the word. (6) Teach some words through components of meaning. (7) Remember that it is how the word is practiced, not how often, that is important. (8) Remember that students transfer L1 meanings as well as the words themselves. (9) Put words in their structural context.

Palmberg (1990) proposed two main types of teaching methods to improve vocabulary learning. The first focuses on the sense of L2 based exercises and activities, which stand as a main target of CLT, and has received much attention in recent vocabulary teaching practices and materials. The second, however, focuses on the development of learners' own L2 associations. This is difficult to build into the design of any published materials, as associations are partly dependent on learners' background of languages, and their learning experiences can be very different, especially in multi-lingual societies. Therefore, teachers need to include an element of uncertainty or flexibility into classroom activities to support the development of learners' own built-in lexical syllabus.

An aspect of vocabulary is how the word fits in to the structure of the sentence. As stated by Cook (2008) partly this is the argument structure of the verb described earlier, which for example, forces the verb 'faint' to have a grammatical subject 'Martin fainted', but never an object 'Martin fainted John', and requires the verb 'meet' to have an object 'He met John', not 'He met'. In addition, some verbs are followed by subordinate clauses, 'I hoped Mary would go' rather than grammatical objects 'I hoped Mary'. A speaker

of English knows not only what a word means and how it is pronounced, but also how it fits into sentences.

Words are multifaceted; we do not know a word properly until we have learnt its forms, its different types of meaning and the ways in which it is used in sentences. Vocabulary teaching has been diminished by being considered the provision of a list of separate items, each with a specific meaning. Instead it is building up the richness of vocabulary in the students' minds. In details, Nation (in Nunan, 2015:111) reminds a comprehensive knowledge of word should be included in teaching vocabulary, they are:

1. *Meaning*: What does the word mean? Are there multiple meanings? Are there connotations (implied additional meanings)?
2. *Written form*: What does the word look like? How is it spelled?
3. *Spoken form*: What does it sound like? How is it pronounced?
4. *Grammatical behavior*: In what patterns does it occur?
5. *Collocations*: What words are often used before or after the word? Are there certain words we must use with this word?
6. *Register*: Is the word formal or informal? Where can I expect to hear it or use it?
7. *Associations*: How does the word relate to other words? What words could we use in place of this one?
8. *Frequency*: Is this word common? Is it rare? Old-fashioned?

Based on these eight elements of words, teaching vocabulary cannot ignore that the student has to learn not just the meaning and pronunciation of each word, but also written and spoken form, grammatical behavior, collocation, register, association, and frequency. However, in teaching vocabulary, we need to be aware of these different dimensions to word knowledge. We must also make decisions about which of these aspects to teach. For beginners, for example, it is unlikely that we would want to teach collocations and associations as you first introducing a word. We also need to decide which words to teach for reception and which words we expect learners to be able to make part of their productive repertoire.

One simple way of doing this is the traditional task of getting the students to make up sentences using particular words. For example, in Just Right (Harmer, 2004), students have to say which words in a word list, 'absolutely . . . pirate . . . water tank', they already know and then to 'Write some sentences using them'. Moreover, learners may differ in the way they

build up the concept of a word. Elshout-Mohr and van Daalen-Kapteijns (in Nation, 2015:123) differentiate two styles of building up a concept of a word through repeated meetings with the word in context. Some learners used a holistic model of the word meaning which often meant abandoning a concept if seemingly conflicting information occurred.

More successful learners used a more analytic approach which involved developing a concept for a word which consisted of several separate meaning components. This analytic approach allowed the incorporation of new information and led to a more efficient building up of a concept (in Nation, 2015:124). This is important because learners need to develop a reasonably unchanging concept of what a word means. This allows learners to comprehend the word in new contexts, and enrich that meaning of the word cumulatively through new meetings.

When communicating the meaning of a word, the choice of the way of communicating meaning should be based on two considerations - the reason for explaining the meaning of the word, and the degree to which the way of explaining represents the wanted meaning for the word (Nation, 2001: 125). There are many ways of communicating word meanings. They are: (1) by performing actions, (2) By showing objects, (3) By showing pictures or diagrams, (4) By defining in the first language (translation), (5) By defining in the second language, (6) By providing language context clues (Nation, 2001: 125).

Real objects, pictures etc are often seen as the most valid way of communicating the meaning of a word, but as Nation (1978) points out, all ways of communicating meaning involve the changing of an idea into some observable form and all ways of communicating meaning are indirect, are likely to be misinterpreted, and may not convey the exact underlying concept of the word. An advantage of using actions, objects, pictures or diagrams is that learners see an instance of the meaning and this is likely to be remembered. If this way of communicating meaning is combined with a verbal definition then there is the chance that what Paivio calls "dual encoding" will occur (Paivio and Desrochers, 1981). That is, the meaning is stored both linguistically and visually. Because objects and pictures often contain a lot of detail, it may be necessary to present several examples so that learners can determine the essential features of the concept or accompany the object or picture with focusing information. A picture is not necessarily

worth a thousand words, but one which clearly represents the underlying concept of the word undoubtedly is.

Frequently, teachers use translation in teaching vocabulary. Actually, Nation (2001) says that translation is often criticized as being indirect, taking time away from the first language, and encouraging the idea that there is an exact equivalence between words in the first and second languages. These criticisms are all true but they all apply to most other ways of communicating meaning. For example, there is no exact equivalence between a second language word and its second language definition. Similarly, a real object may contain many features that are not common to all instances of the word it exemplifies. Pictures and demonstrations take time away from the second language in the same way that using the first language to communicate word meaning takes time away from the second language. Translation has the advantages of being quick, simple, and easily understood. Its major disadvantage is that its use may encourage other use of the first language that seriously reduces the time available for use of the second language.

Then, communicating meaning using the second language because this occurs very often in academic lectures and textbooks (Nation, 2001). Learners can benefit from practice in recognizing and interpreting these definitions. The definition appears in the text explicitly or implicitly. Flick and Anderson (in Nation, 2001) compared native speakers and non-native speakers understanding of explicit and implicit definitions in academic reading material. They found that implicit definitions were more difficult to understand than explicit definitions. The difference in difficulty was similar for both native speakers and non-native speakers.

In general, teachers should find the best way to teach that can fit in with the students' ways of learning vocabulary. For example, teachers implicitly draw on many of the strategies we have just outlined when they introduce new vocabulary. Showing a picture of a train may allow the students to guess what 'train' means from the context. Miming the action of flying may demonstrate the meaning of 'fly'. The teacher's attempts to explain a word through examples or definitions are similar to providing a human dictionary. Getting the students to sort vocabulary into sets relies on the strategy for organizing things in their minds.

Based on discussion above, there are some principles in teaching vocabulary (Nunan, 2015). Firstly, teachers need to introduce new vocabulary in context. Secondly, as teachers, we should focus on the most

useful vocabulary first. Among abundance words, choose the most useful and frequently used words. Next, teacher should teach the learners the strategies for vocabulary acquisition. Therefore, they can continually add to their repertoire. Finally, you should pay attention to repetition and spacing. It should be kept in mind that knowing a word is not an easy process; they need ten to twenty repetitions in different contexts. Meanwhile, space is related to distribution of using the new words. Do not expose all at once, but give space between the repetitions.

C. TEACHING GRAMMAR

Interestingly, as the advent of communicative language teaching, teaching grammar was challenged. Two versions of CLT developed: the strong view and the weak view (Nunan, 2015). The strong view argued that the explicit teaching of grammar is unnecessary, that learners will 'pick up' the grammar subconsciously when they engage in communicative language learning tasks (Krashen in Nunan, 2015). The weak view is that the explicit teaching of grammar is helpful to second language acquisition (Doughty & William in Nunan, 2015). Although the strong view is still accepted in some quarters, these days, the consensus is decisively in favor of the weak view.

Grammar is central to the teaching and learning of languages. It is also one of the more difficult aspects of language to teach well. What is grammar actually?

The first is that grammar has to do with how words are formed, and the second is that grammar is all about how words are combined to form sentences. The academic study of word formation is called morphology . . . while the study of ordering and combining words is called syntax.

(Nunan, 2013: 63)

Many people, including language teachers, hear the word "grammar" and think of a fixed set of word forms and rules of usage. They associate "good" grammar with the prestige forms of the language, such as those used in writing and in formal oral presentations, and "bad" or "no" grammar with the language used in everyday conversation or used by speakers of non-prestige forms. Language teachers who adopt this definition focus on grammar as a set of forms and rules. They teach grammar by explaining the forms and rules

and then drilling students on them. This results in bored, disaffected students who can produce correct forms on exercises and tests, but consistently make errors when they try to use the language in context.

Other language teachers, influenced by recent theoretical work on the difference between language learning and language acquisition, tend not to teach grammar at all. Believing that children acquire their first language without overt grammar instruction, they expect students to learn their second language the same way. They assume that students will absorb grammar rules as they hear, read, and use the language in communication activities. This approach does not allow students to use one of the major tools they have as learners: their active understanding of what grammar is and how it works in the language they already know.

The communicative competence model balances these extremes. The model recognizes that overt grammar instruction helps students acquire the language more efficiently, but it incorporates grammar teaching and learning into the larger context of teaching students to use the language. Instructors using this model teach students the grammar they need to know to accomplish defined communication tasks.

The goal of grammar instruction is to enable students to carry out their communication purposes. This goal has three implications:

- Students need overt instruction that connects grammar points with larger communication contexts.
- Students do not need to master every aspect of each grammar point, only those that are relevant to the immediate communication task.
- Error correction is not always the instructor's first responsibility.

Overt Grammar Instruction

Adult students appreciate and benefit from direct instruction that allows them to apply critical thinking skills to language learning. Instructors can take advantage of this by providing explanations that give students a descriptive understanding (declarative knowledge) of each point of grammar.

- Teach the grammar point in the target language or the students' first language or both. The goal is to facilitate understanding.
- Limit the time you devote to grammar explanations to 10 minutes, especially for lower level students whose ability to sustain attention can be limited.

- Present grammar points in written and oral ways to address the needs of students with different learning styles.

An important part of grammar instruction is providing examples. Teachers need to plan their examples carefully around two basic principles:

- Be sure the examples are accurate and appropriate. They must present the language appropriately, be culturally appropriate for the setting in which they are used, and be to the point of the lesson.
- Use the examples as teaching tools. Focus examples on a particular theme or topic so that students have more contact with specific information and vocabulary.

Relevance of Grammar Instruction

In the communicative competence model, the purpose of learning grammar is to learn the language of which the grammar is a part. Instructors therefore teach grammar forms and structures in relation to meaning and use for the specific communication tasks that students need to complete.

Compare the traditional model and the communicative competence model for teaching the English past tense:

Traditional: grammar for grammar's sake

- Teach the regular -ed form with its two pronunciation variants
- Teach the doubling rule for verbs that end in d (for example, wed-wedded)
- Hand out a list of irregular verbs that students must memorize
- Do pattern practice drills for -ed
- Do substitution drills for irregular verbs

Communicative competence: grammar for communication's sake

- Distribute two short narratives about recent experiences or events, each one to half of the class
- Teach the regular -ed form, using verbs that occur in the texts as examples. Teach the pronunciation and doubling rules if those forms occur in the texts.
- Teach the irregular verbs that occur in the texts.
- Students read the narratives, ask questions about points they don't understand.

Students work in pairs in which one member has read Story A and the other Story B. Students interview one another; using the information from the interview, they then write up or orally repeat the story they have not read.

Error Correction

At all proficiency levels, learners produce language that is not exactly the language used by native speakers. Some of the differences are grammatical, while others involve vocabulary selection and mistakes in the selection of language appropriate for different contexts.

In responding to student communication, teachers need to be careful not to focus on error correction to the detriment of communication and confidence building. Teachers need to let students know when they are making errors so that they can work on improving. Teachers also need to build students' confidence in their ability to use the language by focusing on the content of their communication rather than the grammatical form.

Teachers can use error correction to support language acquisition, and avoid using it in ways that undermine students' desire to communicate in the language, by taking cues from context. When students are doing structured output activities that focus on development of new language skills, use error correction to guide them.

Example:

Student (in class) : I buy a new car yesterday.

Teacher : You bought a new car yesterday. Remember, the past tense of buy is bought.

When students are engaged in communicative activities, correct their errors only if they interfere with comprehensibility. Respond using correct forms, but without stressing them.

Example:

Student (greeting teacher) : I buy a new car yesterday!

Teacher : You bought a new car? That's exciting!
What kind?

Strategies for Learning Grammar

Language teachers and language learners are often frustrated by the disconnect between knowing the rules of grammar and being able to apply those rules automatically in listening, speaking, reading, and writing. This disconnect reflects a separation between declarative knowledge and procedural knowledge. Declarative knowledge is knowledge about something. Declarative knowledge enables a student to describe a rule of grammar and apply it in pattern practice drills. Procedural knowledge is knowledge of how to do something. Procedural knowledge enables a student to apply a rule of grammar in communication.

For example, declarative knowledge is what you have when you read and understand the instructions for programming the DVD player. Procedural knowledge is what you demonstrate when you program the DVD player.

Procedural knowledge does not translate automatically into declarative knowledge; many native speakers can use their language clearly and correctly without being able to state the rules of its grammar. Likewise, declarative knowledge does not translate automatically into procedural knowledge; students may be able to state a grammar rule, but consistently fail to apply the rule when speaking or writing.

To address the declarative knowledge/procedural knowledge dichotomy, teachers and students can apply several strategies.

1. **Relate knowledge needs to learning goals.**
Identify the relationship of declarative knowledge and procedural knowledge to student goals for learning the language. Students who plan to use the language exclusively for reading journal articles need to focus more on the declarative knowledge of grammar and discourse structures that will help them understand those texts. Students who plan to live in-country need to focus more on the procedural knowledge that will help them manage day to day oral and written interactions.
2. **Apply higher order thinking skills.**
Recognize that development of declarative knowledge can accelerate development of procedural knowledge. Teaching students how the language works and giving them opportunities to compare it with other languages they know allows them to draw on critical thinking and

analytical skills. These processes can support the development of the innate understanding that characterizes procedural knowledge.

3. Provide plentiful, appropriate language input.

Understand that students develop both procedural and declarative knowledge on the basis of the input they receive. This input includes both finely tuned input that requires students to pay attention to the relationships among form, meaning, and use for a specific grammar rule, and roughly tuned input that allows students to encounter the grammar rule in a variety of contexts.

4. Use predicting skills.

Discourse analyst Douglas Biber has demonstrated that different communication types can be characterized by the clusters of linguistic features that are common to those types. Verb tense and aspect, sentence length and structure, and larger discourse patterns all may contribute to the distinctive profile of a given communication type. For example, a history textbook and a newspaper article in English both use past tense verbs almost exclusively. However, the newspaper article will use short sentences and a discourse pattern that alternates between subjects or perspectives. The history textbook will use complex sentences and will follow a timeline in its discourse structure. Awareness of these features allows students to anticipate the forms and structures they will encounter in a given communication task.

5. Limit expectations for drills.

- Mechanical drills in which students substitute pronouns for nouns or alternate the person, number, or tense of verbs can help students memorize irregular forms and challenging structures. However, students do not develop the ability to use grammar correctly in oral and written interactions by doing mechanical drills, because these drills separate form from meaning and use. The content of the prompt and the response is set in advance; the student only has to supply the correct grammatical form, and can do that without really needing to understand or communicate anything. The main lesson that students learn from doing these drills is: Grammar is boring.
- Communicative drills encourage students to connect form, meaning, and use because multiple correct responses are possible. In communicative drills, students respond to a prompt using the grammar point under consideration, but providing their own content.

For example, to practice questions and answers in the past tense in English, teacher and students can ask and answer questions about activities the previous evening. The drill is communicative because none of the content is set in advance:

Teacher : Did you go to the library last night?

Student 1 : No, I didn't. I went to the movies. (to Student 2): Did you read chapter 3?

Student 2 : Yes, I read chapter 3, but I didn't understand it. (to

Student 3) : Did you understand chapter 3?

Student 3 : I didn't read chapter 3. I went to the movies with Student 1.

Developing Grammar Activities

Many courses and textbooks, especially those designed for lower proficiency levels, use a specified sequence of grammatical topics as their organizing principle. When this is the case, classroom activities need to reflect the grammar point that is being introduced or reviewed. By contrast, when a course curriculum follows a topic sequence, grammar points can be addressed as they come up.

In both cases, instructors can use the Larsen-Freeman pie chart as a guide for developing activities. For curricula that introduce grammatical forms in a specified sequence, instructors need to develop activities that relate form to meaning and use.

- Describe the grammar point, including form, meaning, and use, and give examples (structured input)
- Ask students to practice the grammar point in communicative drills (structured output)
- Have students do a communicative task that provides opportunities to use the grammar point (communicative output)

For curricula that follow a sequence of topics, instructors need to develop activities that relate the topical discourse (use) to meaning and form.

- Provide oral or written input (audiotape, reading selection) that addresses the topic (structured input)
- Review the point of grammar, using examples from the material (structured input)

- Ask students to practice the grammar point in communicative drills that focus on the topic (structured output)
- Have students do a communicative task on the topic (communicative output)

When instructors have the opportunity to develop part or all of the course curriculum, they can develop a series of contexts based on the real world tasks that students will need to perform using the language, and then teach grammar and vocabulary in relation to those contexts. For example, students who plan to travel will need to understand public address announcements in airports and train stations. Instructors can use audiotaped simulations to provide input; teach the grammatical forms that typically occur in such announcements; and then have students practice by asking and answering questions about what was announced.

Textbooks usually provide one or more of the following three types of grammar exercises.

- 1) Mechanical drills: Each prompt has only one correct response, and students can complete the exercise without attending to meaning. For example: George waited for the bus this morning. He will wait for the bus tomorrow morning, too.
- 2) Meaningful drills: Each prompt has only one correct response, and students must attend to meaning to complete the exercise. For example: Where are George's papers? They are in his notebook.

To use textbook grammar exercises effectively, instructors need to recognize which type they are, devote the appropriate amount of time to them, and supplement them as needed. Before the teaching term begins, inventory the textbook to see which type(s) of drills it provides. Decide which you will use in class, which you will assign as homework, and which you will skip.

When deciding which textbook drills to use and how much time to allot to them, keep their relative value in mind.

- Mechanical drills are the least useful because they bear little resemblance to real communication. They do not require students to learn anything; they only require parroting of a pattern or rule.
- Meaningful drills can help students develop understanding of the workings of rules of grammar because they require students to make form-meaning correlations. Their resemblance to real

communication is limited by the fact that they have only one correct answer.

- Communicative drills require students to be aware of the relationships among form, meaning, and use. In communicative drills, students test and develop their ability to use language to convey ideas and information.

As stated in the beginning grammar should be taught deductive or inductive? Actually, each of these approaches has pros and cons. Nunan (2015) identifies that deductive approaches get straight to the point, thereby saving class time. They are also in line with the expectations of students in many learning contexts – they come into the classroom expecting to be told. On the other hand, certain learners, particularly younger ones, may not get the point, particularly if the explanation is covered in grammatical terminology. It also encourages the belief that language learning is simply a matter of learning the rules of that language.

On the other hand, Nunan (2015) also lists the advantages of inductive approaches. They stimulate a greater depth of processing, which makes learning more meaningful and memorable. Students are active constructors of their own learning rather than passive recipients of the teacher's wisdom. It fosters independent learning skills, and, if tasks are carried out collaboratively in the target language, learners actually get practice in using the language authentically while learning it. However, inductive learning takes more time – figuring something out for us takes more time than being told. The students may also reason their way to a wrong conclusion. Induction also places a greater burden on the teacher because the lesson is fewer teachers controlled than in a deductive classroom. Finally, it can be frustrating for students who have been conditioned, through prior learning experiences, to expect the teacher to tell them everything.

Thus, based on those discussion, there are some key principles in teaching grammar (Nunan, 2015:127-). Firstly, we should integrate both inductive and deductive approach into the teaching of grammar. Next, teachers should use tasks that make clear the relationship between grammatical form and communicative function. Finally, encourage learners to use language creatively rather than reproductively. Fill-in-the-blank exercises, sentence matching, listening, and repeating are all examples of reproductive language work. Creative language tasks, on the other hand,

require learners to use language authentically. They have to come up with their own utterances, not those provided by the teacher.



EXERCISE 3

Answer the following questions

- 1) What are the standard techniques for teaching pronunciation?
- 2) What are the supra-segmental features in pronunciation?
- 3) What are the principles in teaching vocabulary?
- 4) How should teacher react to error correction?
- 5) Why does teacher should teach grammar implicitly?



SUMMARY

Pronunciation is an important aspect of language components. The key principles of teaching pronunciation are (1) begin with comprehension before production, (2) set realistic goals, (3) teach the connections between form and function, and (4) keep affective considerations firmly in mind. The teacher should teach pronunciation in context and decide what pronunciation items to teach.

The second aspect of language component is vocabulary. The main issue in teaching vocabulary is "What does it mean to know a word?". The key principles in teaching vocabulary are (1) introduce new vocabulary in context, (2) focus on the most useful vocabulary first, (3) teach learners strategies for vocabulary acquisition so that they can continually add to their repertoire, and (4) pay attention to repetition and spacing.

The third aspect of language component is grammar. The main issue in teaching grammar is deductive versus inductive teaching. The key principles in teaching grammar are (1) integrate both inductive and deductive approaches into the teaching of grammar, (2) use tasks that make clear the relationship between grammatical form and communicative function, (3) focus on the development of procedural rather than declarative knowledge, and (4) encourage learners to use language creatively rather than reproductively.



FORMATIVE TEST 3

- 1) What are the principles that must be considered in teaching pronunciation?
- 2) Mention the category or level of vocabulary in teaching.
- 3) How do the communicative competence model of teaching grammar?
- 4) What are the key principles in teaching grammar?
- 5) Compare the strength and limitation of teaching grammar deductively and inductively.

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

Answer Key

Unit One

Exercises

- 1) **Curriculum** is more general than syllabus; it is general statements about language learning, related to planning, implementation, evaluation, management, and administration of education programs. Meanwhile **Syllabus** is more specifically focuses on account and records of what actually happens in the classroom level as teacher and learners apply in a given curriculum.
- 2) We need evaluation for several purposes.
 - i. provide **Accountability**, that is to demonstrate that students are learning to the standards expected of them and/or that a curriculum or program of instruction is working the way it should.
 - ii. make **placement, advancement/ promotion** or related decisions about students' status in a program, course or unit within a course.
 - iii. guide **classroom instruction and enhance student learning** on a day-to-day basis, with the questions: suitability, effectiveness, and adequacy.
 - iv. provide information for external parties: the parents, the teachers, the institution, external funding authorities, and so on who can use the information to improve student performance.
- 3) **Function of media in ELT**
 - instructional media can motivate and stimulate interest and avoid the use of the students' mother tongue.
 - manage instruction more efficiently and communicate more effectively and take over the operating role of instruction form teacher and instructors.
 - saving the time, providing a review, helping students learn to communicate ideas visually, providing medium for individual or group reports, and making a classroom dynamic, relevant, and attractive.
 - instructional media function to assist learners in learning and remembering the important concepts of a lesson.

Role of media in ELT

- Attention role of media is to attract the students' attention, to heighten the students' curiosity, and to convey the information. Media can make the information more attractive.
 - communicative role, media can function to enhance comprehension and to assist the learner in understanding the message. Instructional media can increase the communicative power of the instruction by explaining the message contained in the instruction.
 - retention role of Instructional media concerns with retention of information presented in the instruction. Retention media, although seen and recorded by the learner during the lesson, have their effect later on when the time comes to remember the information.
- 4) Direct method declines since it has some weaknesses:
- i. the method did not consider the practical classroom realities: for example, the Direct Method required teachers who were native speakers or spoke with a native-like fluency. Thus, the success of the method depended on the teachers' skills.
 - ii. the method lacked a basis in applied linguistics and was "the product of enlightened amateurism"
 - iii. the exclusive use of the target language was sometimes counterproductive since it was often easier to translate a word or phrase instead of verbalizing them.
- 5) Actually communication take place because there is some sort of information gap between the participants. Therefore, teacher should create activities involve a similar real information gap. The task cannot be completed individually; partners must work together to successfully complete the assigned task. Classroom activities must be varied and must include interactive language games, information sharing activities, social interactions, need for impromptu responses, and the use of authentic materials, such as the newspaper for oral discussions on current events.

Formative Test

1. The 6 types of syllabus design.

Name of Syllabus	Definition and focus
Structural syllabus	A structural syllabus is a kind of syllabus in which the content of language teaching is a collection of the forms and structures, usually grammatical elements such as verbs, nouns, past tense and so on.
Lexical Syllabus	A lexical syllabus is the one in which the content of the language is a collection of vocabulary that must be mastered by the language learners
Notional/functional	The functional-notional syllabus attempted to show what learners need to do with language and what meanings they need to communicate, and organized the syllabus around functions and notions. This content of the language is a collection of the functions that are to be performed when language is used, or of the notions that language is used to express.
Situational Syllabus	A situational syllabus is one in which the content of language teaching is a collection of real or imaginary situations in which language occurs or is used For example. Seeing the dentist, asking directions in a new town, buying a book in a bookshop.
Task based syllabus	A task-based syllabus is a kind of syllabus in which the content of the teaching is a series of complex and purposeful tasks that the students want or need to perform with the language they are learning. The tasks are defined as activities with a purpose other than language learning.
Content Based Syllabus	A content-based-syllabus has the primary purpose of instruction is to teach some content or information using the language that the students are also learning. The students are simultaneously language students and students of whatever content is being taught. The subject matter is primary,

	and language learning occurs incidentally to the content learning.
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2. Criteria in evaluation of ELT Material:

- a. materials extend learner's general or specialist knowledge,
- b. knowledge presented & implication for learners to learn,
- c. develop learner's understanding in language learning and how they may help themselves,
- d. structure of the teacher-learner relationship and frame place on classroom interaction,
- e. develop the learner's general cognitive abilities & language learning presented as reproduction or as problem solving,
- f. social attitude presented by the materials.

3. Comparison of Grammar Translation and Audiolingual method

Grammar Translation Method	Audiolingual Method
1) In the grammar-translation method (also known as the classical method), the emphasis was on teaching grammar and employing translation to ascertain comprehension.	1) The audio-lingual method (based on behavioristic psychology) emphasized the use of habit forming as a way to develop language proficiency.
2) The grammar-translation method did not produce speakers of the languages studied.	2) The main goal of the audio-lingual method was to develop fluent speakers of the languages studied.
3) In the grammar-translation method, much use of the native language was employed because the goal was not oral proficiency.	3) In the audio-lingual method, the emphasis was on the rote memorization of dialogues.
4) In the grammar-translation method, teachers did not necessarily have to be fluent speakers of the target language	4) In the audio-lingual method, the belief was that much oral practice (dialogue memorization) would result in communicative

<p>because the focus was not on communication.</p> <p>5) The grammar-translation method dominated public schools and university language teaching in the United States until World War II.</p> <p>6) Usually the learner has the same mother language</p>	<p>competence.</p> <p>5) The audio-lingual method was unsuccessful because students could recite the dialogues but could not “communicate” in the target language.</p>
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4. The strength of CLT
 - a. The communicative approach emphasizes meaningful communication in the ESOL classroom rather than grammar or vocabulary mastery only.
 - b. The communicative approach requires the use of varied activities where authentic communication takes place rather than memorizing.
 - c. The communicative approach embraces the principle of “learning by doing.”
 - d. Cooperative groups provide a vehicle or medium for language acquisition in the communicative approach.
 - e. The communicative approach is based on the need for an “information gap” as a means to encourage meaningful communication.

5. Assessment focus on learners’ achievement, meanwhile evaluation has wider aspects, it includes learners, teachers, materials, and methods effectiveness related to the curriculum as a whole.

Unit Two

Exercises

- 1) **Bottom-up** processing, listeners attend to data in the incoming speech signals. Bottom-up process is text based; the listener relies on the language in the message, that is, the combination of sounds, words, and grammar that creates meaning.

Top-down processing, listeners utilize prior knowledge and expectations to create meaning. It refers to the use of background knowledge in understanding the meaning of a message.

Teacher should activate or teach both bottom-up and top-down processing since successful listeners use both bottom-up and top-down processing.

- 2) The key principles in teaching speaking are (1) be aware of the difference between second language and foreign language learning contexts, (2) give students practice with both fluency and accuracy, (3) provide opportunities for students to talk by using group work or pair work, and limiting teacher talk, (4) plan speaking tasks that involve negotiation of meaning, and (5) design classroom activities that involve guidance and practice in both transactional and interactional speaking.
- 3) Pre-reading may serve as preparation in several ways. During pre-reading, teacher may do some activities. (1) Assess students' background knowledge of the topic and linguistic content of the text. (2) Give students the background knowledge necessary for comprehension of the text, or activate the existing knowledge that the students possess. (3) Clarify any cultural information which may be necessary to comprehend the passage. (4) Make students aware of the type of text they will be reading and the purpose(s) for reading. (5) Provide opportunities for group or collaborative work and for class discussion activities.
- 4) The key principles in teaching reading are (1) build a strong vocabulary base, (2) teach for comprehension – read-then-test, comprehension monitoring; questioning the author, and (3) encourage readers to transform skills into strategies.
- 5) Reading strategies:
 - a. **Previewing**: reviewing titles, section headings, and photo captions to get a sense of the structure and content of a reading selection.
 - b. **Predicting**: using knowledge of the subject matter to make predictions about content and vocabulary and check comprehension; using knowledge of the text type and purpose to make predictions about discourse structure; using knowledge about the author to make predictions about writing style, vocabulary, and content. Then,
 - c. **Skimming and scanning**: using a quick survey of the text to get the main idea, identify text structure, confirm or question predictions.

- d. *Guessing from context*: using prior knowledge of the subject and the ideas in the text as clues to the meanings of unknown words, instead of stopping to look them up.
 - e. *Paraphrasing*: stopping at the end of a section to check comprehension by restating the information and ideas in the text.
- 6) There are two types of integrated-skill instruction are content-based language instruction and task-based instruction. The first of these emphasizes learning content through language, while the second stresses doing tasks that require communicative language use. Both of these benefit from a diverse range of materials, textbooks, and technologies for the ESL or EFL classroom.

Formative Test

- 1) Teaching listening means producing students who can use listening strategies to maximize their comprehension of aural input, identify relevant and non-relevant information, and tolerate less than word-by-word comprehension.
- 2) The key principles in teaching listening are (1) expose learners to different ways of processing information, (2) expose students to different types of listening text, (3) teach a variety of tasks, (4) consider text difficulty and authenticity, and (5) teach listening strategies.
- 3) **Reproductive speaking** gives the learner chance to reproduce language forms provided by the teacher or some other aural model, for example: drilling or reading dialogue. Meanwhile in **creative speaking**, the learners do not repeat the meanings of others, but create their own meanings, for example asking students to practice role play, discussion.
- 4) The key principles in teaching writing are (1) understand your students' reasons for writing, (2) provide many opportunities for your students to write, (3) make feedback helpful and meaningful, and (4) clarify for yourself and your students how their writing will be evaluated.
- 5) Pre-writing stage is defined by idea generation, shaping, refining, and organization (Scarcella & Oxford, 1992). In this stage students are provided with learning experience of many different activities including discussion, brainstorming or free-writing to plan their writing. This planning time may affect the fluency, syntactic complexity and accuracy of L2 writing.

- 6) Sub-competence of reading:
- Linguistic competence: the ability to recognize the elements of the writing system; knowledge of vocabulary; knowledge of how words are structured into sentences.
 - Discourse competence: knowledge of discourse markers and how they connect parts of the text to one another.
 - Sociolinguistic competence: knowledge about different types of texts and their usual structure and content.
 - Strategic competence: the ability to use top-down strategies, as well as knowledge of the language (a bottom-up strategy).

7) Instrumen in revision process of writing:

(1) What is the purpose of my writing? Do I achieve it?
(2) Is my main idea or thesis presented clearly?
(3) Who is my intended reader? What is my relationship with the reader? Does the style of my writing appropriately reflect our relationship?
(4) Is my writing interesting? Could I add anything to increase the reader's interest?
(5) Do I leave any questions unanswered? What are they and how can I address them?
(6) Are any of my ideas unclear? How can I clarify them?
(7) Do I provide too many details? Do I provide details that do not reflect my main idea or purpose?
(8) Is the text well organized? Does one idea flow logically to the next?
(9) Do I employ appropriate openings and closings?

Unit Three

Exercises

- The standard technique for teaching pronunciation:
 - Use phonetic script:* A familiarity with phonetic script enables students to look up the pronunciation of individual words.

- b. *Imitation*: Ask students to 'Listen and repeat the words and sounds' and 'Copy the rhythm' – whatever that means. Repetition may not be helpful without feedback.
 - c. *Discrimination of sounds*: Audio-lingual teaching believed that, if you cannot hear a distinction, you cannot make it. It can be done through minimal pair exercises.
 - d. *Consciousness raising*: we can use exercises to make students more aware of pronunciation in general, say, listening to tapes to discover aspects such as the speaker's sex, age, education, region, or the formality of the situation.
 - e. *Communication*: pronunciation materials could use the actual problems of communication as a basis for teaching by using minimal pairs.
- 2) Supra-segmental features of language involve those phenomena that extent over one sound segment, these features include word stress, sentence stress, and rhythm along with adjustments in connected to speech.
 - 3) The key principles in teaching vocabulary are (1) introduce new vocabulary in context, (2) focus on the most useful vocabulary first, (3) teach learners strategies for vocabulary acquisition so that they can continually add to their repertoire, and (4) pay attention to repetition and spacing.
 - 4) Teachers need to be careful not to focus on error correction to the detriment of communication and confidence building. Teachers need to let students know when they are making errors so that they can work on improving. Teachers also need to build students' confidence in their ability to use the language by focusing on the content of their communication rather than the grammatical form. Teachers can use error correction to support language acquisition, and avoid using it in ways that undermine students' desire to communicate in the language, by taking cues from context.
 - 5) There are some advantages of teaching grammar implicitly or inductive approach.
 - a. They stimulate a greater depth of processing, which makes learning more meaningful and memorable.
 - b. Students are active constructors of their own learning rather than passive recipients of the teacher's wisdom.

- c. It fosters independent learning skills, and, if tasks are carried out collaboratively in the target language, learners actually get practice in using the language authentically while learning it.

Formative Test

- 1) There are four principles in teaching pronunciation:
 - begin with the comprehension before production.
 - set realistic goals.
 - teach the connections between form and function.
 - keep affective consideration firmly in mind.
- 2) Vocabulary level:
 - a. High-frequency words make up a group of around 2,000 word families.
 - b. Academic words has of 570 word families of academic disciplines.
 - c. Technical words related specific study or work purposes.
 - d. Low-frequency words are the remaining words of the language.
- 3) The communicative competence model balances between teach or not to teach grammar. The model recognizes that overt grammar instruction helps students acquire the language more efficiently, but it incorporates grammar teaching and learning into the larger context of teaching students to use the language.
- 4) They key principles in teaching grammar are (1) integrate both inductive and deductive approaches into the teaching of grammar, (2) use tasks that make clear the relationship between grammatical form and communicative function, (3) focus on the development of procedural rather than declarative knowledge, and (4) encourage learners to use language creatively rather than reproductively.
- 5) Comparison of teaching grammar by deductive approach and inductive approach:

Deductive Approach	Inductive Approach
<p>Stengths:</p> <ol style="list-style-type: none"> 1. Deductive approaches get straight to the point, thereby saving class time. 2. They are also in line with the expectations of students in many learning contexts – 	<p>Stengths:</p> <ol style="list-style-type: none"> 3. They stimulate a greater depth of processing, which makes learning more meaningful and memorable. 4. Students are active constructors of their own

<p>they come into the classroom expecting to be told.</p>	<p>learning rather than passive recipients of the teacher's wisdom.</p> <p>5. It fosters independent learning skills, and, if tasks are carried out collaboratively in the target language, learners actually get practice in using the language authentically while learning it.</p>
<p>Limitations:</p> <ol style="list-style-type: none"> 1. Certain learners, particularly younger ones, may not get the point, particularly if the explanation is covered in grammatical terminology. 2. It also encourages the belief that language learning is simply a matter of learning the rules of that language. 	<p>Limitations:</p> <ol style="list-style-type: none"> 1. It takes more time – figuring something out for us takes more time than being told. 2. The students may also reason their way to a wrong conclusion. 3. Induction places a greater burden on the teacher because the lesson is fewer teachers controlled than in a deductive classroom. 4. It can be frustrating for students who have been conditioned, through prior learning experiences, to expect the teacher to tell them everything.

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Language Description

Dr. Refnałdi, M.Litt



INTRODUCTION

Congratulation! You have passed module 3. Welcome to module 4. The topic of this module is language description. The importance of language description in applied linguistics has sometimes been questioned (e.g. by Widdowson, 1979, 1980) because of a perception that the theoretical insights of descriptive linguistics are different from the practical needs of language pedagogy. However, linguistics has increasingly separated itself from a prescriptive view of language, which formulates rules for what should be said or written, in favor of a descriptive view, which seeks to record the language which people actually use. Contemporary language description, therefore, takes a synchronic approach, that is, language is described as it is at a particular moment in time and does not incorporate the history of the language (diachrony), although languages do of course change over time.

The descriptive view has led linguists to new insights about language and new ways of talking about and defining units of language. However, in many cases applied linguistics has required a prescriptive grammar recognizing that language teaching is frequently a case of teaching what should be done (Odlin, 1994). In other words, pedagogical grammar has been equated with prescriptive grammar. Pedagogical grammars have tended to adhere to the concepts and terminology of traditional grammar, based on the linguistic categories found in Latin and Ancient Greek, and, especially in the case of first language teaching, often have had a diachronic perspective, favoring rules based on earlier forms of the language. Recently, however, especially with the introduction of corpus-based materials into language classrooms, pedagogical grammar has taken on a more descriptive focus, with learners being required to deduce rules from linguistic data.

Applied linguistics is focused on language, and while many applied linguists are not directly involved with language description, knowledge of the approaches and concepts of linguistic description is an important part of the working knowledge of any applied linguist. In this module, we aim to

give a brief overview of the main dimensions of linguistic description and the key concepts involved. The terms we use here are generally accepted, however particular theories may use different terms or define these terms in slightly different ways.

Descriptions of language are often divided into a number of categories and each of these categories has its own principles, concepts, and objects of study. In this module, we have separated language description into the study of the sounds of language (phonetics and phonology), language structures (morphology and syntax), and meaning (semantics).

After learning this module, you are expected to be able to:

1. classify consonants based of place of articulation and manner of articulation; and classify vowels and diphthongs;
2. identify phonemes, allophones, and types of phonological processes;
3. analyze types of morphemes and morphological processes
4. analyze sentence structure
5. understand lexical relations and grammatical meanings

To achieve these objectives systematically, the materials of this module are presented respectively as follow:

Unit 1 : Phonetics and Phonology

Unit 2 : Morphology and Syntax

Unit 3 : Semantics

The following activities are really suggested to do in order to learn this module successfully.

1. Read carefully the explanation of each topic.
2. Don't forget to give serious attention to examples given.
3. Do the exercises as well as possible.
4. Look up the meaning of difficult words in your dictionary.
5. Evaluate yourself by checking your answers or your responses with the key answers provided.

Good luck!

UNIT 1

Phonetics And Phonology

A. PHONETICS

Most languages are transmitted by sounds and one of the most obvious differences between languages is that they sound different. The study of the sounds that human beings make in their languages is known as phonetics. While sign languages, such as British Sign Language and American Sign Language, are clearly not transmitted by sound, there are units in sign languages which correspond to phonetics and phonology, but these will not be discussed here (other areas of language description apply equally to spoken and sign languages).

Every day we hear many types of sounds: bells ringing, machinery clunking, dogs barking, leaves rustling, people talking. The science of acoustics studies sounds in general, and phonetics studies the sounds used in human language. Phonetics is part of the wider field of linguistics, which studies language as a whole. Phonetics is concerned with the sounds we make in speech: how we produce them, how these sounds are transferred from the speaker to the hearer as sound waves, and how we hear and perceive them.

The branch of phonetics dealing with the production of sounds is called **articulatory phonetics**. In speech, air passes through a complex passage consisting of the lungs, the windpipe, the vocal folds, the throat, the mouth, and the nose. In order to describe how sounds are made, we must become familiar with the various parts of our anatomy which are involved in speech production. We will also learn how we change the shape of the vocal organs to make different sounds. From physics, we know that sound is transmitted by vibrations in the air. **Acoustic phonetics** studies the vibrations of speech sounds. With instruments in the laboratory, we can observe and measure various aspects of sound. **Auditory phonetics** is the study of how sounds are heard and perceived.

1. Transcribing sounds

We are used to the idea of representing language in writing; however, conventional writing systems are not adequate to represent sounds. We need only consider the problems inherent in English spellings such as *cough*,

dough, and *through* or the different pronunciations of words in US and UK English to see the problems involved in using conventional spellings to represent sounds: the sounds of a language are not the same as the letters of a language even in languages with much less irregularity than English. To overcome the deficiencies of conventional spellings, linguists use a phonetic alphabet such as the International Phonetic Alphabet (IPA) to represent sounds. Liddicoat and Curnow (2004: 26) state that IPA has over 100 symbols each representing different possible sounds. Phonetic transcriptions are usually written between square brackets. The following table describes the IPA symbol.

Table 1: The Consonants Proposed by International Phonetic Alphabet

THE INTERNATIONAL PHONETIC ALPHABET (revised to 2005)

CONSONANTS (PULMONIC) © 2015 IPA

	Bilabial	Labiodental	Dental	Alveolar	Postalveolar	Retroflex	Palatal	Velar	Uvular	Pharyngeal	Glottal
Plosive	p b			t d		ʈ ɖ	c ɟ	k ɡ	q ɢ		ʔ
Nasal	m	ɱ		n		ɳ	ɲ	ŋ	ɴ		
Trill		ʙ		ɾ					ʀ		
Tap or Flap		ⱱ		ɽ		ɽ					
Fricative	ɸ β	f v	θ ð	s z	ʃ ʒ	ʂ ʐ	ç ʝ	x ɣ	χ ʁ	ħ ʕ	h ɦ
Lateral fricative				ɬ ɮ							
Approximant		ʋ		ɹ		ɻ	j	ɰ			
Lateral approximant				l		ɭ	ʎ	ʟ			

Where symbols appear in pairs, the one to the right represents a voiced consonant. Shaded areas denote articulations judged impossible.

According to Liddicoat and Curnow (2004: 26), linguists can use either a narrow transcription or a broad transcription in transcribing language. A narrow transcription contains as much information as possible and records very minor differences between sounds, while a broad transcription contains less information and records only some differences between sounds. For example, a broad transcription of the word 'pin' might capture the fact that it has three main sounds /pɪn/, a narrower transcription might show that the consonant /p/ is actually unvoiced and aspirated [p^h] and the vowel /i/ is nasalized to become [ĩ]. The result is [p^hɪ̃n]. A very narrow transcription might include features of voice quality. Narrow transcriptions are very important in areas such as speech pathology or forensic phonetics where

minor differences between sounds are important, but in most cases broad transcriptions are adequate for describing languages.

2. The sounds of language

The core of phonetics is to identify the characteristics of the sounds which human beings can use in language. Sounds can basically be divided into two types: vowels and consonants. Vowels are produced by altering the shape of the vocal tract by the positioning of the tongue and lips. Consonants are sounds which are produced by a partial or complete constriction of the vocal tract.

a. Consonants

Consonant sounds have three basic features in their articulation: place of articulation, manner of articulation, and voicing. Yavaş (2011: 60) says that place of articulation refers to where in the vocal tract the constriction is made using the tongue or other parts of the mouth. To describe the place of articulation of most consonant sounds, we can start at the front of the mouth and work back. We can also keep the voiced-voiceless distinction in mind and begin using the symbols of the phonetic alphabet to denote specific sounds. These symbols will be enclosed within square brackets [].

The first place of articulation is called *Bilabial*, meaning two lips. The outermost articulators are the lips. They commonly articulate with each other to form bilabial sounds. The initial sounds in the words *pen*, *bend*, and *mend* are the examples bilabials. They are represented by the symbol [p], which is voiceless, and [b] and [m], which are voiced. The [w] sound found at the beginning of *way*, *wind*, and *wood* is also a bilabial.

The second place of articulation is *Labiodental*, meaning lip and teeth. Another common articulation occurs when the lower lip articulates with the upper teeth to form labiodental sounds. The initial sounds of the words *fee* and *vow* and the final sounds in the word *safe* and *save* are labiodentals consonants. They are represented by the symbols [f], which is voiceless, and [v] which is voiced. Notice that the final sounds of *laugh* and *cough*, and the initial sound of *photo*, despite the spelling differences, are all pronounced as [f].

The third place of articulation is *Dental*. Sounds which are made with the forward part of the tongue articulating with the upper teeth are called dental. The term *interdental* is sometimes used to describe a manner of

pronunciation with the tongue tip between the upper teeth and the lower teeth. In English, the initial sound of *thin* and the final sound of *path* are both voiceless dentals. The symbol used for this sound is [θ]. The initial sound of *then* is voiced dental and it is represented by the symbol [ð].

The fourth place of articulation is *Alveolar*. Just behind the upper teeth, there is a bumpy area known as the alveolar ridge. Put the tip of your tongue against your upper teeth and pull it slowly back. You will likely feel the alveolar ridge between the teeth and the hard palate although a few people do not have a noticeable ridge. Sounds made here are called *alveolar*. In English, *doe*, *toe*, *no*, *so*, *zoo*, *low* and *row* begin with alveolar consonants. The symbols for alveolar consonants are [t], [d], [s], [z], [n], [l] and [r]. [t] and [s] are voiceless alveolars, while the rest of them are voiced alveolars.

The next one is *Alveo-palatal*. Alveo-palatal sounds are made with the blade of the tongue articulating at the back of the alveolar ridge and the front of the tongue raised towards the palate. The other names for *alveo-palatal* are *post-alveolar* and *palato-alveolar*. In English, the words *she*, *cheese*, and *judge* begin with alveo-palatal consonants; also, the middle sound in *pleasure* is alveo-palatal. The alveo-palatal consonants in English are [ʃ], [ʒ], [tʃ], and [dʒ]. [ʃ], and [tʃ] are voiceless alveo-palatal consonants, while [ʒ] and [dʒ] are voiced alveo-palatal consonants.

Palatal is the next place of articulation. The hard palate is a thinly covered bony structure forming the forward part of the roof of the mouth. In phonetics, the hard palate is normally referred to simply as the palate. It extends from the alveolar ridge to the soft palate (velum). Sounds made in this area with the front of the tongue are called palatal. In English, *yes* begins with a palatal sound. The symbol for this sound is [j]. This sound is the voiced palatal.

The next one is *velar*. The soft palate is the rear portion of the roof of the mouth unsupported by bone. If you move your tongue along the hard palate towards the back of your mouth, the texture suddenly becomes soft where the bone ends; this soft area is the soft palate. In phonetics it is normally referred to as the velum. This is short for the longer Latin phrase *velum palati* 'the veil of the palate'. Sounds using the lower surface of the velum as the upper articulator are called *velar*. In English, *luck*, *lug*, and *lung* all end in different velar consonants. There is a voiceless velar sound, represented by the symbol [k]. The voiced velar consonants are [g] and [ŋ].

The last one is *glottal*. There is another sound which is produced without the active use of the tongue and other parts of the mouth. It is the sound that occurs at the beginning of *hope* and *who*. The symbol for this sound is [h], which is usually described as a voiceless glottal consonant. The glottis is the main place of articulation of this sound. When the glottis is open, as in the production of other voiceless sounds, but there is no manipulation of the air passing out through the mouth.

So far, we have concentrated on describing consonant sounds in terms of where they are articulated. We can, of course, describe the same sounds in terms of how they are articulated. Such a description is necessary if we wish to be able to differentiate between some sounds which, in the preceding discussion, we have placed in the same category. For example, we can say that [t] and [s] are both voiceless alveolar sounds. How do they differ? They differ in their manner of articulation, that is, in the way they are pronounced.

According to Yavaş (2011: 7), manner of articulation of a sound is the degree and the kind of obstruction of a consonant in the vocal tract. For example, the [t] and [s] sounds are produced by having the airflow that is obstructed in the same area (alveolar). The difference between these two sounds lies in the type of obstruction of the airflow. [t] sound is *one* of a set of sounds called stops and the [s] sound is *one* of a set called fricatives. The difference of these two sounds is in terms of manner of articulation.

The first manner of articulation is *stop*. Of the sounds we have already mentioned, the set [p], [b], [t], [d], [k], and [g] are all produced by some form of complete 'stopping' of the airstream (very briefly) and then letting it go abruptly. This type of consonant sound resulting from a blocking or stopping effect on the airstream is called a stop. A full description of the [t] sound at the beginning of a word like *ten* is as a 'voiceless alveolar stop'. On occasion, only the manner of articulation is mentioned, as when it is said that the word *bed*, for example, begins and ends with 'voiced stops'.

The second one is *fricative*. The manner of articulation used in producing the set of sounds [f], [v], [θ], [ð], [s], [z], [ʃ], [ʒ], and [h] involves almost blocking the airstream, and having the air push through the narrow opening. As the air is pushed through, a type of friction is produced and the resulting sounds are called fricatives. If you put your open hand in front of your mouth when making these sounds, [f] and [s] in particular, you should be able to feel the stream of air being pushed out. A word like *fish* will begin

with [f] and end with [ʃ]. The word *those* will begin and end with the 'voiced fricatives' [ð] and [z].

The third one is *affricate*. If you combine a brief stopping of the airstream with an obstructed release which causes some friction, you will be able to produce the sounds [tʃ] and [dʒ]. These are called affricates and occur at the beginning of the words *cheap* and *jeep*. In the first of these, there is a 'voiceless affricate', and in the second a 'voiced affricate'.

The next one is *nasal*. Most sounds are produced orally with the velum raised, preventing airflow from entering the nasal cavity. However, when the velum is lowered and the airflow is allowed to flow out through the nose to produce [m], [n] and [ŋ], the sounds are described as nasals. These three sounds are all voiced. Words like *morning*, *knitting* and *name* begin and end with nasals.

The next type of manner of articulation is *liquid*. The initial sounds in the words *led* and *red* are generally described as liquids. The [l] sound is formed by letting the airstream flow around the sides of the tongue as it makes contact with the alveolar ridge. The [r] sound is formed with the tongue tip raised and curled back behind the alveolar ridge.

The last one is glide. The sounds [w] and [j] are produced very much as transition sounds. They are called glides, or 'semi-vowels'. In pronunciation, they are usually produced with the tongue moving, or 'gliding', to or from a position associated with a neighboring vowel sound. They are both voiced. Glides occur at the beginning of *we*, *wet*, *you* and *yes*.

When air is passed through the larynx, the vocal cords may either be spread or drawn together. When the vocal cords are drawn together they create a vibration and sounds made with such a vibration are called voiced sounds (e.g. English z, v), while sounds made with spread vocal cords are called voiceless (e.g. English s, f). In reality the situation is a bit more complex than a simple distinction between voiced and voiceless consonants.

The following table describes how each consonant in English can be positioned in terms of place of articulation, manner of articulation, and state of the glottis.

Table2: Phonetic Representation of English Consonants

MOA \ POA	Bilabial		Labio-dental		Dental		Alveolar		Alveo-palatal		Palatal		Velar		Glottal	
	-	+	-	+	-	+	-	+	-	+	-	+	-	+	-	+
Stop	p	b					t	d					k	g		
Fricative			f	v	θ	ð	s	z	ʃ	ʒ					h	
Affricate									tʃ	dʒ						
Nasal		m						n					ŋ			
Liquid								l								
								r								
Glide		w										j				

Using the information in the above table, we can describe the phonetic features of each English consonants. For example, we can describe the sound [p] as a *voiceless, stop, bilabial* consonant, and [b] as *voiced, stop, bilabial* consonant. We can say that the initial sound of the word *chemistry* is [k], and the phonetic features of this sound are, *voiceless, velar, and stops*.

Exercise 1: Describe the phonetic features of the underlined sounds by using state of glottis, place of articulation, and manner of articulation

- Example pleasure /z/ [voiced dental fricative]
- Enough
without _____
- reading _____
- bridge _____
- psychometric _____
- change _____
- dash _____

b. *Vowels*

The key articulatory difference between vowels and consonants resides in the fate of the airflow coming out of the lungs as it passes through the mouth. In consonantal sounds the airstream finds a radical constriction or even total blockage at some point along the central passage in the oral cavity. By contrast, when a vowel sound is made, no such obstacle is present.

We will need to describe vowels using different features than those we use for consonants. Vowels are sounds produced with a relatively open vocal tract, so they do not have a consonant-like point of articulation (place of articulation) or manner of articulation (type and degree of constriction), and they are almost always voiced.

There are several ways in which speakers can change the shape of the vocal tract and thus change vowel quality. They can do by:

- raising or lowering the body of the tongue
- advancing or retracting the body of the tongue
- rounding or not rounding the lips
- making these movements with a tense or a lax gesture

Based on raising or lowering the body of the tongue, vowels can be classified into three subdivisions. They are **high**, **mid** and **low**, with intermediate terms **high-mid** and **low-mid** being available if necessary (Davenport and Hannahs, 2005: 38). The vowels in English 'see', 'set', and 'car' are high, mid, and low respectively. It should also be noted that the terms 'close' and 'open', for 'high' and 'low' respectively, are sometimes found in older textbooks.

Parallel to consonantal place, vowels are also classified horizontally (based on advancing or retracting the body of the tongue). They are **front**, **central**, and **back**, referring to which part of the tongue is highest, with front being equivalent to palatal and back equivalent to velar (Davenport and Hannahs, 2005: 39). The vowels in most varieties of English 'sit', 'sir', and 'soon' are front, central, and back respectively.

The third classification, according to Davenport and Hannahs (2005: 39), has to do with the attitude of the lips, which are either **round** or **unrounded** when making vowel sounds. If we look in the mirror, we are able to see that when we produce the vowel in English 'see' our lips are unrounded (or spread), while for the vowel in 'sue' the lips are rounded.

1) Cardinal Vowels

Ogden (2013: 56-57) states that The IPA describes vowels using a set of reference vowels called **cardinal vowels (CVs)**. The idea for cardinal vowel is found in 1844 in the work of A. J. Ellis; but it was around the time of the First World War that Daniel Jones, a phonetician at University College, London, first worked out the system of cardinal vowels which is still in use today. Jones trained many phoneticians in Britain, for many years, and the oral tradition of learning and perfecting one's cardinal vowels is still strong among phoneticians in Britain, the USA, Germany, Australia and elsewhere who are trained in the 'British' tradition.

Cardinal vowels are a set of reference vowels that have predetermined phonetic values. Other vowels are described with reference to the cardinal vowels Ogden (2013: 57). A phonetician can say: this vowel sounds like cardinal vowel 2, but is a little more open; or, this vowel is half way between cardinals 6 and 7. One phonetician can replicate the sound described by another following the instructions given alongside the transcription.

According to Ogden (2013: 57) The cardinal vowels represent possibilities of the human vocal tract rather than actual vowels of a language because they are established on theoretical grounds. They are independent of any particular language. Cardinal vowels are best learnt from a trained phonetician. It takes much practice to get them right, and to learn them well, good feedback is needed. First we take a practical look at three of them; move on to look at the full system; then see how it has been applied to a few varieties of English.

The following diagram describes the position of both primary and secondary cardinal vowels. The primary cardinal vowels are from no. 1 to no. 8, and the rest of them are secondary cardinal vowels

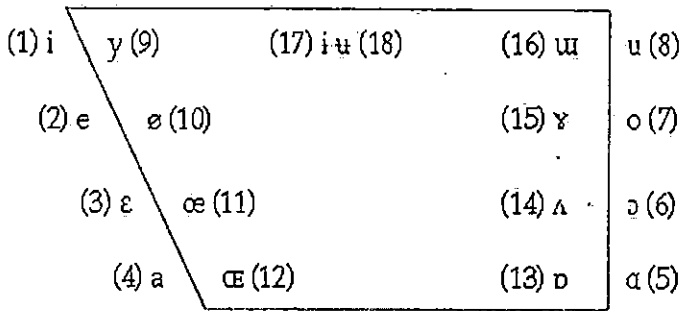


Figure 1: Cardinal Vowel

Yavaş (2011: 19) says that the front vowels (1 – 4) and (9 – 12), and the back vowels (5 – 8) and (13 – 16) in the cardinal vowels are equidistant from one another. They do not necessarily represent the vowel of any language; rather, they are arbitrary reference points that the vowels of any language can be described against. The top left corner of the vowel space defines the highest and most front possible vowel, (1). The bottom right corner (5) is the other extreme, which is the lowest and most back possible vowel. The other two corners represent the extremes in low front (4) and high back (8).

2) English Vowels

Vowels are perhaps the most important variable between varieties of English. If you think of a word in a variety of English (let say, Received Pronunciation), and compare it with the pronunciation of that word in some other variety, you will easily be able to appreciate this.

Davenport and Hannahs (2005) say that one of the difficulties with describing vowels of English is that English speakers don't all have the same vowels. There have been considerable variation in consonants in different types of English, but there is much more variation when it comes to vowels. Different types of English may well have different numbers of vowels in their inventories. Received Pronunciation (RP) is considered to have 19 to 21 distinct vowels but many varieties of Scottish English have only 10 to 14 vowel inventories. The following diagram describes the vowel inventories of British English (Received Pronunciation).

	Front	Central	Back
High	i: ɪ		u: ʊ
Mid	ɛ	ə ɜ:	ɔ
Low	æ	ʌ	ɒ ɑ

(Received Pronunciation)

Davenport and Hannahs (2005: 44) say that 'most varieties of English have two high front vowels; the long monophthong [i:] (known as a tense vowel), as in 'see' and the short monophthong [ɪ] (known as a lax vowel) as in 'sit'. As well as the difference in length, the two vowels are also different in quality, with [ɪ] being somewhat lower and more centralized than [i:]. This distinction is often referred to as tense [i:] versus lax [ɪ]. All varieties of English have a short mid front unrounded [ɛ] (sometimes transcribed [e]), as in 'bed'. Many varieties, such as Scottish, Irish and Northern English, have a mid or high-mid front vowel [e:] in words such as 'day'. This vowel is long in all varieties except Scottish English, where length varies according to context.

English has one short low front vowel, found in words like 'rat'. This is represented as [æ]. Davenport and Hannahs (2005: 45) claim that many other kinds of British English, including Welsh, Scottish and Northern English varieties, have a lower vowel, transcribed as [a]: [ra]. This low lower vowel is also heard in some New England varieties of US English.

There are two common low back vowels in English: long back unround [ɑ:] as in the stressed vowel in 'father', and short low back round [ɒ], as in many British varieties in the vowel in 'dog'. For most kinds of English, words like 'father', 'farm' and 'calm' have the low back vowel [ɑ]. However, a number of varieties have a very much fronted variant in these words, which may or may not contrast with low front vowel in 'rat' in terms of quality

and/or quantity. So, Australian English has [æ] or [ɛ] in 'rat' but [a:] in 'father'. A similar situation holds in South Western English varieties.

Most kinds of English have a low mid back round vowel [ɔ] in words like 'bought', 'cause', 'paw' or 'horse'. In many varieties of British English, this is a long vowel [ɔ:], though in North American varieties it is usually shorter. Most kinds of English have two high back vowels: long [u:] as in 'shoe' and short [ʊ] as in 'put'. As with [i:] and [ɪ], the difference is in quality and quantity: [ʊ] is lower and more central, as well as shorter than [u:].

For most speakers of English, words like 'cup', 'luck', 'fuss' have a vowel usually represented by the symbol [ʌ]. Davenport and Hannahs (2005: 49) say that although this represents a low mid unround back vowel in the cardinal vowel system, its articulation is typically further forward than back, being at least central for most speakers, and forward of central for many. Words like 'nurse', 'fir', 'her', and 'worse' have a mid-central unround vowel [ɜ:] in non-rhotic accents of English, though there is some variation of realization. The remaining central vowel is schwa [ə]. This is typically found as the first vowel in 'about' or the last vowel in 'puma'. That is, it is the commonest vowel in syllables that do not carry stress.

Exercise 2: Write the symbol(s) that correspond(s) to each of the following phonetic description. Then give an English word containing this sound.

Example: high front unround tense	/i/	sheep
low front vowel		_____
high front lax vowel		_____
high back round vowel		_____
mid central unround vowel		_____
low back round vowel		_____
mid front unround vowel		_____
high back round lax vowel		_____

c. *Diphthongs*

Diphthongs are vowels in which the tongue starts in one position and moves to another. Diphthongs are very common in English. Diphthongs are two vowels that are pronounced simultaneously. There are generally nine diphthongs in English. They can be classified into two types of diphthongs'

raising diphthongs and centring diphthongs. Raising diphthongs are the diphthongs beginning from now high vowels and ending in high vowels. There are five raising diphthongs. The following figure shows the distributions of raising diphthongs:

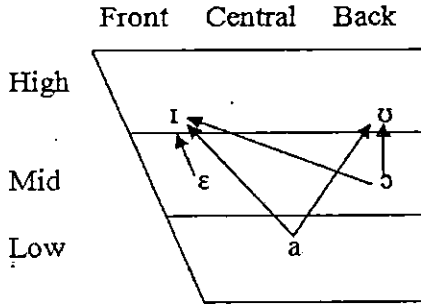


Figure 3: Raising diphthongs

The second type is called centring diphthongs. They are called so because the end point of the diphthongs is a central vowel [ə]. There are four centring diphthongs in English. The following figure shows the distribution of centring diphthongs.

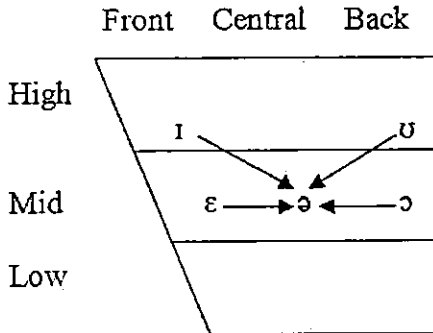


Figure 4: Centering diphthongs

It is possible to have vowel sounds in which the tongue moves to more than one additional position during articulation. Some varieties of English in

the UK, Australia, and New Zealand have triphthongs with three different tongue positions, such as 'fire' [faɪə] and 'hour' [aʊə].

Exercise 3: Give at least four words consisting of the following diphthongs

Example: /aɪ/ buy tie like time

/ɪə/ _____

/ʊə/ _____

/aʊ/ _____

/oʊ/ _____

/eɪ/ _____

B. PHONOLOGY: SPEECH SOUNDS AS A SYSTEM

No language has all the speech sounds possible in human languages; each language contains a selection of the possible human speech sounds. As such each language has its own pattern of sounds. This study of sound patterns is known as phonology and the speech sounds are known as phonemes. The focus of phonology is to determine the ways in which speech sounds form meaningful systems within languages.

1. Phoneme vs Allophones

What we are suggesting is that by representing groupings of speech sounds (allophones) as being related to some single abstract notion (the phoneme) we start to gain an insight into the organization of speech sounds into systems. This raises the question of just what a phoneme is. The answer for this question varies. Now let's see some definitions of the phoneme stated by some linguists.

Trask (1996 : 264) says:

phoneme /'foʊni:m/ *n.* In many theories of phonology, a fundamental (often the fundamental) unit of phonological structure, an abstract segment which is one of a set of such segments in the phonological system of a particular language or speech variety, often defined as 'the smallest unit which can make a difference in meaning'....

Hayman (1975: 59) defines the phoneme as 'a minimal unit of sound capable of distinguishing words of different meanings. Thus, both /t/ and /d/

are phonemes in English because they are able to make a meaning difference, as in the word 'ten' and 'den'. Hayman also presents three views of phoneme that were stated by a large number of linguists. The first views the phoneme as a phonetic reality. Daniel Jones and Gleason belong to this group. Jones (1931: 74) defines the phoneme as "a family of sounds in a given language, consisting of an important sound of the language together with other related sounds, which take its place in particular sound-sequences." Then Gleason (1955: 261) defines the phoneme as "a class of sounds which: (1) are phonetically similar and (2) show certain characteristic patterns of distribution in the language or dialect under consideration".

The second group of linguist views the phoneme as a phonological reality. The definition of the phoneme in purely phonological terms is characteristic of the Prague School. Trubetzkoy, Jakobson, and others belong to this group. Trubetzkoy (1939: 36) defines the phoneme as "the sum of the phonological relevant properties of a sound." For him, phonemes are defined in terms of oppositions in a phonological system. The important notion in the Prague School phonology is 'function'. Thus, a phoneme is a minimal unit that can function to distinguish meanings. It is not a sound or even a group of sounds, but rather an abstraction, a theoretical construct on the phonological level.

The third group views the phoneme as a psychological reality. Bedouin de Courtenay and Twaddell belong to this group. Twaddell (in Hayman, 1975 : 72) defines the phoneme as "a mental reality, as the intention of the speaker or the impression of the hearer, or both. This view was subject to attack by the first and the second groups because such a definition was invalid.

Whatever definition we follow, actually, the essential property of phonemes is that they contrast with each other. For example, we can tell that the sounds [f] and [v] represent two phonemes in English because they contrast in words like *fine* and *vine*, which differ only in terms of the voicing of the initial fricative but which have very different meanings. Two words that contrast in meaning and have only one different sound are known as minimal pairs. The following are minimal pairs in English (we transcribe phonemes using slashes / /):

bat – vat	/b/ – /v/	bat – pat	/b/ – /p/	pat – fat	/p/ – /f/
hid – heed	/ɪ/ – /i:/	hid – head	/ɪ/ – /e:/	head – had	/e:/ – /æ/

Liddicoat and Curnow (2004: 33) say that examining the possible minimal pairs and minimal series in a language enables us to determine the phonemic inventory in that language: that is the speech sounds which make up the system of that language. The phonemic inventories of languages differ greatly. Some are quite large and others are quite small. If we examine the words of a language closely, we discover that a single phoneme can have a range of different pronunciations. For example, consider the following English words (note that [l̥] and [ɹ] indicate a voiceless [l] and [r]):

/p/ pin [pʰɪn]	spin [spɪn]
/l/ leap [li:p]	sleep [sli:p]
/r/ dry [draɪ]	cry [kɹaɪ]
/k/ kit [kʰɪt]	skit [skɪt]

In each pair of words, the sound is phonetically different because of the different environment (e.g. /p/ is [pʰ] initially but [p] after /s/), but the sounds are still perceived by speakers of English as the same phoneme as there is no meaningful contrast between the sounds, and substituting one for another would not produce a different word, just an unusual pronunciation of the same word. Where two or more sounds represent the same underlying phoneme we call these allophones. It is possible for two languages to have the same sounds but to treat them differently in their phonological system. For example, English and Spanish both have the sounds [d] and [ð], however in English these are two different phonemes (*those* [ðoʊz] and *doze* [doʊz]) while in Spanish they are allophones of the same phoneme: [d] occurs at the beginning of words and after consonants and [ð] occurs between vowels (Dios 'God' [dios] and adiós 'good-bye' [aðios]).

Exercise 4: *Count the number of phonemes available in each of the following words*

Example: knee /ni:/ two phonemes

1. Chemistry _____
2. Photograph _____
3. Thought _____
4. Increase _____
5. Scream _____

Exercise 5: Give two examples of minimal pairs of the following English sounds

Example /p/ vs. /b/ pin vs. bin pan vs. ban

1. /t/ vs. /d/ _____
2. /s/ vs. /z/ _____
3. /f/ vs. /v/ _____
4. /æ/ vs. /ɛ/ _____
5. /i:/ vs. /ɪ/ _____

2. Phonological Process

Different languages obviously have different phonological systems. Katamba (1989: 79) says that no two languages have exactly the same inventory of phonemes which are realised by the same set of allophones; no two languages have exactly the same phonological rules regulating the deployment of their sounds. However, while all that is true, it would be wrong to ignore the similarities between languages because they are no less impressive than the differences. It should be noted that languages tend to exploit the same phonetic parameters in building their phonological systems and that there are certain patterns that recur frequently.

Previously, we have discussed that it is feasible to use a relatively small number of phonetic features like [\pm back], [\pm high], [\pm low], [\pm round], [\pm voice] etc. to characterise the phonological contrasts found in all the world's languages. One possible explanation for this is the fact that human anatomy and physiology impose limits on the range of sounds which people can produce as speakers and discriminate as hearers. Thus, for instance, since no human is endowed with a tongue which is so long that the tip can curl all the way back to the throat, it is safe to predict that no language has apico-uvular consonants made with the tip of the tongue and the uvula as the articulators (the uvula is the fleshy bit that hangs down from the centre of the soft palate at the very back of the mouth). On the other hand, given the ease with which the tip and the blade of the tongue can be raised towards the upper front teeth and the teeth ridge, it is not surprising to discover that all that there is a universal inventory of phonological construction materials from which various languages chose different elements which they use in building their phonological systems.

It is significant that the phonological recipes which are available fall within the range permitted by human biology. What is intriguing is the fact

that not everything that is biologically possible is equally likely to occur. Within the range of possible sounds, certain articulatory parameters are exploited by languages much more commonly than others. Furthermore, besides exhibiting similarities in the features they use in structuring their sounds, languages also show other phonological similarities. For example, although the phonological systems of different languages are governed by different rules, the variation which occurs does, for the most part, fall within certain parameters. Similar phonological processes turn up, in language after language. The common phonological processes are assimilation, dissimilation, insertion, deletion, and metathesis.

a. *Assimilation*

The commonest phonological process is assimilation. Assimilation is the modification of a sound in order to make it more similar to some other sound in its neighbourhood. The advantage of having assimilation is that it results in smoother, more effortless, more economical transitions from one sound to another. It facilitates the task of speaking. The speaker usually tries to conserve energy by using no more effort than is necessary to produce an utterance.

Assimilations can occur either in anticipation of a following sound or by maintaining some feature into the next sound. Nathan (2008: 77) states that there are three different ways of talking about directionality of assimilation. When a sound anticipates some feature of the upcoming sound it is said to undergo anticipatory assimilation, or regressive assimilation (because the feature is said to be moving 'backwards' through the word), or simply leftwards assimilation. When a feature continues 'forward' from the causing sound to the affected sound it is said to be perseveratory assimilation (the feature 'perseverates'), or progressive assimilation (the feature moves 'forward' through the word) or again, simply, rightwards assimilation.

The example of vowel nasalization in English, such in the word 'pin' (pronounced as [p^hɪn]) which we have just noted is a good example of regressive assimilation. When two phonemes occur in sequence and some aspect of one phoneme is taken or 'copied' by the other, the process is known as assimilation. In terms of the physical production of speech, one might assume that this regular process is occasioned by ease of articulation in everyday speech. In isolation, you would probably pronounce /ɪ/ and /æ/ without any nasal quality at all. However, in saying words like *pin* and *pan*,

the anticipation of forming the final nasal consonant will make it 'easier' to go into the nasalized articulation in advance and consequently the vowel sounds in these words will be, in precise transcription, [p^hɪn] and [p^hæ̃n]. This is a very regular feature of English speakers' pronunciation. So regular, in fact, that a phonological rule can be stated in the following way: 'Any vowel becomes nasal whenever it immediately precedes a nasal.'

Consider the regular plural ending in English. It is written as *s*, but it may, in fact, be pronounced as [-s] as in [pɛt-s] *pets*, or as [-z] as in [bel-z] *bells* or even as [-iz] as in [rauz-iz] *roses*. The choice is not random. The principle that determines the shape of the suffix is voice assimilation: this suffix must always agree in voicing with the preceding sound. Turning voicing on and keeping it on throughout, or alternatively, not turning voicing on at all is much easier than the alternative of turning it on or off part-way through a sequence of sounds. This is an example of progressive assimilation.

Katamba (1989: 81) states that the alternation in the shape of a morpheme provided in voice assimilation is not arbitrary. Rather, it is phonologically conditioned. This means that the allomorph of a morpheme that occurs in a given context is partly or wholly determined by the sounds found in the allomorphs of adjacent morphemes. It is not merely coincidence that is responsible for the allomorphs of the plural morpheme and the third person plural being [-z -s -iz]. The suffix agrees in voicing with the preceding sound. We shall provisionally state the rule thus: the plural suffix is realised by a voiced or voiceless alveolar fricative depending on whether the noun ends in a voiced or voiceless segment.

b. *Dissimilation*

It is understandable why assimilation rules are found so many of the world's languages. They permit greater ease of articulation. We have discussed that assimilation processes typically have a transparent phonetic basis that can be stated in terms of ease of articulation. But Katamba (1989: 94) says that not all phonological processes can be plausibly explained in terms of assimilation. If we recognise the fact that phonological systems have to meet the needs of language users both as speakers and as hearers, we can easily appreciate that while assimilation (by making sounds more similar to each other) facilitates speech production, it does also have the undesirable effect of making the hearer's task of discriminating between sounds somewhat more difficult.

Phonological processes which ensure that differences between sounds are enhanced so that sounds become more auditorily distinct make speech perception easier are called dissimilation. The effect of dissimilation is to make sounds more distinct from other sounds in their environment. After a dissimilation rule has applied, phonological elements are less like each other than they were before the rule applied.

Such rules do exist. They also have a natural explanation, often from point of view of the hearer rather than the speaker. In listening to speech, if sounds are too similar, we miss the contrast. Many speakers in English dissimilate the sequence of two fricatives /fθ/ in the word *fifth* and pronounce it with an alveolar stop /t/ instead of the dental fricative /θ/. Thus, the word *fifth* is pronounced as [fɪft] rather than [fɪfθ].

c. Deletion

A more extreme process is the complete deletion of a segment. Nathan (2008: 81) say that there is a set of Greek-based terms for all possible deletions. Fairly rare is deletion at the beginning of a word (referred to variously as *aphesis* or *apheresis*). Probably the use of 'way' as an intensifier (as in 'way cool', 'way over the mountain' derives from the deletion of the initial schwa in 'away' (itself derived historically from the word *way* with a prefix). Similar cases include Shakespearean *pon my word* (from *upon*), and *'tis* from *it is*.

A very common kind of deletion is deletion of a vowel in the middle of a word. This is referred to as syncope (pronounced [sɪŋkəpi]). This process is very common in English, leading to consonant clusters, like 'every' [ɛvri], 'family' [famli], 'deficit' [defɪt], and 'potato' [pteɪtəʊ]. Consonants can be deleted too, as in 'lastly' [lasli], 'mostly' [mɔsli].

Lastly there is deletion at the end of a word – apocope. This occurred in the history of English, leading to all the written 'silent e's' in our writing system – they used to be pronounced as schwas. Word final t's and d's in English delete when part of a consonant cluster, particularly when a consonant initial word follows, as in 'left behind' [lɛfbɪhænd], and 'raised Cain' [reɪzkeɪn]

d. *Insertion*

Not only can segments be deleted, sometimes they can be inserted instead. According to Nathan (2008: 81) there are two basic reasons for insertion: preventing clusters of consonants that violate syllable structure constraints in the language, and easing transitions between segments that have multiple incompatibilities. We'll deal with each kind in turn. Again, there are Greek-based terms for insertions at the beginning, middle and end.

Insertion at the beginning is observed in Spanish, where the language does not permit /sC-/ onset clusters. Words that are inherited from Latin with such clusters changed to have an initial /e/ inserted, such as *especial* [especial], 'special', *estudiante* [estudiante] 'student', and *escuela* [eskwela] 'school'. This process even affects recent borrowings and Spanish-accented English, so that Charlie Brown's dog 'Snoopy' is named [esnupi]. Insertion of a segment at the beginning of a word is called prothesis.

Similar insertions can take place inside a word if syllable structure requires it. In English stop + nasal onsets are prohibited, so place names like Pnomh Penh are pronounced [pənfɪnpɛn] in English. Insertion inside a word is called epenthesis. There is a special kind of epenthesis which involves inserting a schwa between a liquid and another consonant. This occurs in nonstandard English between [θ] and /r/ or /l/ in a word such as 'athlete' [aθəlɪt], and can also be seen in 'film' [fɪləm].

Segments can also be inserted in final position, particularly in languages that do not allow final consonants, where a final vowel is inserted to 'protect' a final consonant that would otherwise be deleted from a borrowed word. Japanese inserts vowels between any pair of consonants (remember that Japanese permits no consonant clusters except nasal+stop or geminates), such as 'baseball' beisuboru, 'strike' sutoraiki, and 'knife' naifu.

e. *Metathesis*

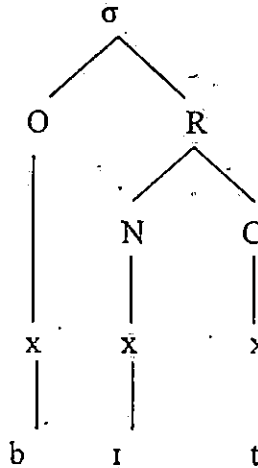
Phonological rules may also move phonemes from one place in the string to another. Such rules are called metathesis rules. They are less common, but they do exist. In some dialect of English, for example, the word *ask* is pronounced [aks], but the word *asking* is pronounced [askɪŋ]. In these dialects a metathesis rule switches the /s/ and /k/ in certain contexts.

Exercise 6: *Determine the type of phonological processes in the following words!*

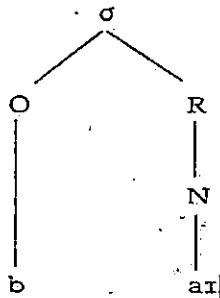
Example:	ban	/bæn/	[bæn]	<i>Assimilation</i>
1.	Sixth	/sɪksθ/	[sɪkst]	
<hr/>				
2.	little	/li:təl/	[li:t]	
<hr/>				
3.	Bird	/bɪrd/	[bɪrd]	
<hr/>				
4.	Hamster	/hæmstəɪ/	[hæmpstəɪ]	
<hr/>				
5.	Books	/bʊkz/	[bʊks]	
<hr/>				

3. Phonotactics

Just as languages have different phonemic inventories and different allophones, they also have different possibilities for combining sounds into syllables, or different phonotactics. Syllables are phonological units consisting of one or more sounds and are made up of a nucleus (the core of the syllable made up of a highly sonorous segment, usually a vowel), with possibly an onset (a less sonorous segment preceding the nucleus) and/or a coda (a less sonorous segment following the nucleus). The nucleus and coda together are known as the rhyme. We can see an example of a syllable with all three parts in the English word hat which is made up of a single consonant (C) followed by a vowel (V) and then another consonant (C):



A syllable such as in the above example, which contains one or more consonants in coda position, is called a closed syllable, whereas a syllable which does not contain any consonants in coda position is referred to as an open syllable; as in the word *buy*:



Languages also have phonotactic constraints on what can occur in a particular position in a syllable. For example, English does allow for CCC onsets, but not any three consonants can occur in this position: /tkf/ would not be possible as the beginning of an English syllable. Different languages have different constraints. Spanish, for example, does not allow /s/ + C clusters in onsets and so words borrowed from English add a vowel to the beginning to change the syllable structure, e.g. *estrés* 'stress'.

In English syllables, onsets, nuclei, rhymes and codas may branch. But we have not said whether there is any limit on the number of branches they

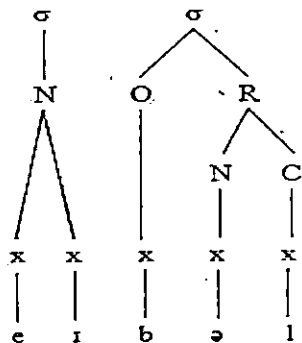
may have. Only one sort of English onset exceeds binary (two-way) branching: /s/ + consonant + {/j/, /w/ or /ɹ/} onsets, as in *spew*, *square* and *scream*. The range of segments which may form the third element in such sequences is even more restricted than those in binary branching onsets.

As we have seen, onsets may branch in English, but if they do, there are phonotactic constraints on the form they may take. Ignoring the /s/ + consonant cases, we may say that the first segment must be a stop or a fricative and the second must be /ɹ/, /l/, /j/, or /w/. Thus, /pɹ/, /pl/, /pj/, /bɹ/, /bl/, /bj/, /tɹ/, /tw/, /dɹ/, /dw/, /kɹ/, /kl/, /kw/, /θɹ/, /θw/, /fɹ/, /fl/, /fj/, /sl/, /sj/ and /sw/ are all permissible. This list reflects other onset phonotactics. For instance, /t/, /d/ and /θ/ may not be followed by /l/, and none of the voiced fricatives may occur in branching onsets.

Among the phonotactic constraints on rhymes in English, we may note the following. Firstly, /h/ does not occur in rhymes in English. Secondly, in many accents of English, /ɹ/ does not occur in rhymes either; so that words like *farm* and *car* arguably have phonological forms such as /fɑ:m/ and /kɑ:/, without an /ɹ/. Accents which lack /ɹ/ in rhymes are referred to as non-rhotic accents. They include Australian English, New Zealand English, RP, South African English, most of the accents of the North of England, and the Southern and Eastern accents of the United States. These accents were rhotic at one stage; [ɹ] has been lost in rhymes in those accents.

Exercise 7: Draw the syllable structure of the following words:

Example: able /eɪ.bəl/



- Write
- Approve
- Photograph
- Cry
- scripts



SUMMARY

All human speech sounds fall into classes according to their phonetic properties or features, according to how they are produced. Consonant Sounds may be either voiced or voiceless; oral or nasal; labial, dental, alveolar, palatal, velar, or glottal. They may also be fricatives or stops and either consonants or vowels. Vowels form the nucleus of syllables and are syllabic. They differ according to length: long or short; and the position of the tongue: high, mid, or low; and the horizontal position of the tongue: front, central and back.

Based on raising or lowering the body of the tongue, vowels can be classified into three subdivisions. They are high, mid and low, with intermediate terms high-mid and low-mid being available if necessary. Vowels are also classified horizontally. They are front, central, and back, referring to which part of the tongue is highest, with front being equivalent to palatal and back equivalent to velar. The third classification has to do with the attitude of the lips, which are either round or unrounded when making vowel sounds. Diphthongs are two vowels that are pronounced simultaneously. There are generally nine diphthongs in English. They can be classified into two types of diphthongs' raising diphthongs and centring diphthongs

Part of one's knowledge of a language is knowledge of the phonology or sound system of that language – the inventory of phones, the phonetic segments that occur in the language, and the ways in which they pattern. It is this patterning that determines the inventory of phonemes – the segments that differentiate words. When phones occur in complementary distribution, they are allophones – predictable phonetic variants – of phonemes. A strategy that a linguist can use to discover the phonemes in a language is to look for minimal pairs. Some sounds differ phonetically but are non-phonemic because they are in free variation, which means that either sound may occur in the identical environment without changing the meaning of the words. Phonological processes in a grammar apply to phonemic strings and alter them in various ways to derive their phonetic pronunciation. Some examples of phonological processes are assimilation, dissimilation, elision, insertion, and metathesis.



FORMATIVE TEST 1

- 1) Define the following terms using your own words!
 - a. Articulatory phonetics
 - b. Bilabial
 - c. Back vowel
 - d. Phoneme
 - e. Assimilation

- 2) In each of the following words a sound is underlined. For each sound state (i) its voicing, (ii) its place of articulation and (iii) its manner of articulation.

a. <u>d</u> ie	c. reas <u>o</u> ne. <u>h</u> ang	g. <u>ch</u> eotic
b. <u>y</u> est	d. ca <u>tch</u>	f. li <u>s</u> ten
		h. <u>l</u> ow

- 3) Circle all the words below that begin with an alveolar sound:

fin	just	sin	lest	dumb
church	great	ten	thought	nest

- 4) Write the phonetic symbol for the last sound in each of the following words

fleece	watch	long	judge
rough	rags	civic	thought

- 5) How do the following sets of vowels differ from each other?

a. [i ɪ]	vs.	[u ʊ]
b. [i u]	vs.	[ɛ ɔ]
c. [æ ə ɛ]	vs.	[ʊ ɔ u]
d. [ə ʌ]	vs.	[ɔ ɑ]

- 6) Indicate the symbol representing the sound described by each of the following:
 - a. high front short vowel
 - b. mid central unstressed vowel
 - c. low back unround vowel
 - d. mid back to front diphthong
 - e. high front to central diphthong

- 7) Broadly speaking, how does phonology differ from phonetics?

- 8) What processes are involved in the relationships between:
 (a) [gɹænd] *grand* and [gɹæmmə] *grandma*
 (b) the word *film* is pronounced [film] as well as [filəm]
- 9) The use of plural-s in English has three different, but very regular, phonemic alternatives. We add:

/s/ to words like *ship, bat, book, and cough*

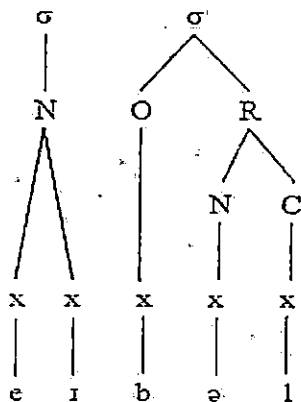
/z/ to words like *cab, lad, cave, rag, and thing*

/ɪz/ to words like *bus, bush, judge, church, and maze*

Can you work out the set of sounds which regularly precedes each of these alternatives? What features do each of these sets have in common?

- 10) Draw the syllable structure of the following words:

Example: able /eɪ.bəl/



Apple interesting

scream

judge

bought

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 2

Morphology And Syntax

The area of grammar concerned with the structure of words and with relationships between words involving themorphemes that compose them is technically called **morphology**, from the Greek word *morphe* 'form, shape'; and morphemes can be thought of as the minimal units of morphology (Carstairs-McCarthy, 2002: 16). **morphology** is the study of word formation; including the ways new words are coined in the languages of the world, and the way forms of words are varied depending on how they're used in sentences (Lieber, 2009: 2). The study of how morphemes are combined to form new words is called morphology. Morphology is one of the areas in which languages can differ the most from each other (Genetti, 2014: 71).

Morphology is to words what syntax is to sentences. That is, morphology is concerned with the structure of words, just as syntax is concerned with the structure of sentences. Let's begin by considering some of the observations we can make about the structure of words in English.

- (1) *Boldest* can be divided into two parts (*bold* + *est*), each of which has a meaning; *bold* cannot.
- (2) The word *boy* has a meaning in and of itself, the word *at* does not. Rather, *at* indicates a relationship between two meaningful expressions (e.g., *The boy at the door*).
- (3) The form *serve* can stand alone as a word; the form *pre-* (as in *preserve*) cannot.
- (4) *Friendliest* is a word; *friendestly* is not.
- (5) *TV* and *telly* are both formed from *television*.

Observation (1) illustrates the fact that words are made up of meaningful units (**morphemes**). Observation (2) illustrates the fact that some morphemes; called **lexical morphemes**, have meaning in and of themselves; others, called **grammatical morphemes**, specify the relationship between one lexical morpheme and another. Observation (3) illustrates the fact that some morphemes, called **free morphemes**, can stand alone as words; others, called **bound morphemes**, cannot. Observation (4) can be used to argue that bound morphemes can be divided into two types, **inflectional** and

derivational. Observation (5) illustrates the fact that languages create new words systematically.

All of these phenomena are essentially morphological in nature. That is, they have to do with the internal structure of words. Moreover, we will make our standard assumption that the phenomena in (1-5) are governed by a system of rules. What we will do now is attempt to construct a set of concepts and principles that will help us account for the phenomena in (1-5).

A. MORPHEMES

A morpheme can be loosely defined as a minimal unit having more or less *constant meaning* associated with more or less *constant form*. Consider a simple example: the word *buyers* is made up of three morphemes {buy} + {er} + {s}. (Braces are sometimes used to indicate morphemes.) Each of these morphemes has a unique meaning: {buy} = verb 'buy' (however it might be represented semantically); {er} = 'one who performs an action'; {s} = 'more than one.' Together they mean something like 'more than one person who buys things.' The strongest evidence that each of these word parts is a morpheme is the fact that each one can occur with other morphemes without changing its core meaning. For example, {buy} occurs in *buy*, *buying*, and *buys*, as well as in *buyers*. {er} occurs in *fanner*, *driver*, and *mover*, as well as in *buyers*. {s} occurs in *boys*, *girls*, and *dogs*, as well as in *buyers*. The more combinations a morpheme can occur in, the more productive it is said to be; the more productive a morpheme is, the stronger the evidence that it is a separate morpheme.

We do not actually have to go to other languages such as Swahili to discover that 'word-forms' may consist of a number of elements. We can recognize that English word-forms such as *talk*, *talker*, *talked* and *talking* must consist of one element *talk*, and a number of other elements such as {-s}, {-er}, {-ed}, {-ing}. All these elements are described as morphemes. The definition of a morpheme is "a minimal unit of meaning or grammatical function". Let's clarify this definition with some examples. We would say that the word *reopened* in the sentence *The police reopened the investigation* consists of three morphemes. One minimal unit of meaning is *open*, another minimal unit of meaning is *re-* (meaning 'again'), and a minimal unit of grammatical function is *-ed* (indicating past tense). The word *tourists* also contains three morphemes. There is one minimal unit of meaning, *tour*,

another minimal unit of meaning *-ist* (meaning 'person who does something'), and a minimal unit of grammatical function *-s* (indicating plural).

A morpheme can be characterized as follows:

- A morpheme is a word or a part of the word that has meaning. The word *cat* is a morpheme because it is a word and has a meaning. The suffix *-s* in *cats* is a morpheme because it is a part of a word that has a meaning. The meaning of *-s* in the word *cats* is 'more than one' or as a plural marker.
- A morpheme cannot be divided into smaller units without violation of its meaning or meaningless remainder. For example, the word *strip* is a morpheme because when we divide it into *s-* and *trip*, we produce meaningless remainder (*-s* does not have meaning).
- A morpheme can recur in differing environment with a relatively stable meaning. For example the suffix *{-er}* in the words, *teacher*, *driver*, *reader*, and *player* has the same meaning, i.e. the person who does the action.

Liddicoat and Curnow (2004: 36) state that morphemes can be divided up into various crosscutting categories. Morphemes can be lexical like *tie*, with full, complex meanings. Or they can be grammatical morphemes, like *-d*, where a speaker does not really have a choice; the grammar of the language simply requires the morpheme to be present if the action occurred in the past. Morphemes can also be divided into free and bound morphemes. Free morphemes are those which can be used on their own, like *tie*; bound morphemes are those which, like *-d*, have to be attached to another morpheme (symbolized by the hyphen). These two categorizations are independent: we have seen the free lexical morpheme *tie* and the bound grammatical morpheme *-d*, but there are also free grammatical morphemes and bound lexical morphemes. An example of a free grammatical morpheme is the English indefinite article *a*. Bound lexical morphemes are not as common in English as in some other languages; in a language like Spanish, the verb morpheme meaning 'eat' has the form *com-*, but this form never appears without some suffix.

The following figure shows the categories of morphemes.

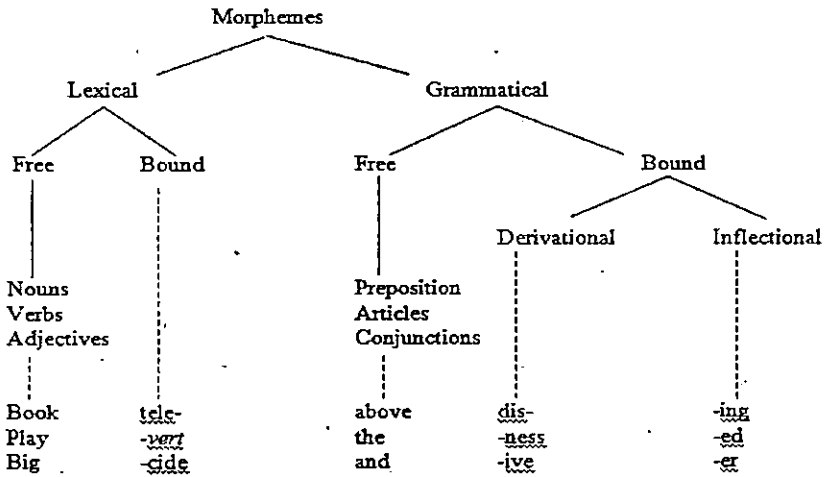


Figure 5: The Categories of Morphemes

The distinction between lexical and grammatical morphemes is not well defined, although many linguists seem to agree that it is a useful division to make. **Lexical morphemes** have a sense (i.e. meaning) in and of themselves. Nouns, verbs, and adjectives (e.g., {boy}, {buy}, and {big}) are typical of lexical morphemes. **Grammatical morphemes**, on the other hand, don't really have a sense in and of themselves; instead, they express some sort of relationship *between* lexical morphemes. Prepositions, articles, and conjunctions (e.g., {of}, {the}, and {but}) are typical of grammatical morphemes.

In contrast to the division between lexical and grammatical morphemes, the distinction between free and bound morphemes is straightforward. Free morphemes are those that can stand alone as words. They may be lexical (e.g., {serve}, {press}) or they may be grammatical (e.g., {ad}, {and}). Bound morphemes, on the other hand, cannot stand alone as words. Likewise, they may be lexical (e.g., {elude} as in *exclude*, *include*, and *preclude*) or they may be grammatical (e.g., (PLU) = plural as in *boys*, *girls*, and *cats*).

Further distinction can be made between inflectional and derivational morphemes. This distinction applies only to the class of bound, grammatical

morphemes. The more familiar term for the class of bound grammatical morphemes is affix. Affixes, in turn, can be subdivided into prefixes and suffixes, depending upon whether they are attached to the beginning of a lexical morpheme, as in *depress* (where {de} is a prefix), or to the end of the lexical morpheme, as in *helpful* (where {full} is a suffix). Note that this division of affixes into prefixes and suffixes appears to present a bit of a problem in cases such as *men* = {man} + {PLU}, which technically has neither a prefix nor a suffix. What we are forced to say here is that the plural morpheme in English *generally appears* as a suffix, never as a prefix.

Unlike the inflectional affixes, which number only eight in English, the set of derivational affixes is open-ended; that is, there are a potentially infinite number of them (although the number is finite at anyone time for a particular speaker). Since it would be impossible to enumerate them exhaustively, let us look at a few representative examples. The suffix {-ize} attaches to a noun and turns it into the corresponding verb, as in *criticize*, *rubberize*, *vulcanize*, *pasteurize*, *mesmerize*, and so on. (This suffix can also be added to adjectives, as in *normalize*, *realize*, *finalize*, *vitalize*, *equalize*, and so on.) The suffix {-full} attaches to a noun and changes it into the corresponding adjective, as in *helpful*, *playful*, *thoughtful*, *careful*, and so on. The suffix {-ly} attaches to an adjective and turns it into the corresponding adverb, as in *quickly*, *carefully*, *swiftly*, *mightily*, and so on. Note that there is another separate derivational affix, also spelled *-ly*, which attaches to a noun and changes it into the corresponding adjective, as *friendly*, *manly*, *neighborly*, and so on.

In addition to these derivational affixes, English also has derivational prefixes. The following all exhibit some variation on the meaning 'not.' The prefix {un-} appears in forms like *unhappy*, *unwary*, *unassuming*, and *unforgettable*. The prefix {dis-} occurs in words such as *displeasure*, *disproportionate*, *dislike*, and *distrust*. The prefix {a-} appears in forms such as *asymmetrical*, *asexual*, *atheist*, and *atypical*. Finally, the prefix {anti-} occurs in words like *anti-American*, *anti-Castro*, and *anti-aircraft*.

The characteristics of derivational morphemes are as follows:

- In many cases, derivational morphemes change the part of speech or the meaning of a word. For example, the suffix {-ment} which is added a verb forms a noun. The verb *judge* + {-ment} becomes *judgment* (noun). The word {re-} + *activate* means 'activate again.'

- Derivational morphemes are not required by syntax. They typically indicate semantic relations within a word, but no syntactic relations outside the word. For example, *un-kind* relates *un-* 'not' to *kind* but has no particular syntactic connections outside the words.
- Derivational morphemes are usually not very productive. They generally are selective about what they will combine with. For instance, the suffix {-hood} occurs with just a few nouns such as *brother*, *neighbor*, and *child*, but not with most others, such as *friend*, *daughter*, or *candle*.
- Derivational morphemes typically occur before inflectional morphemes. For example, the underlined parts in the words *governments*, *actions*, and *teachers* are examples of derivational morphemes.
- Derivational morphemes do not need to close off the word. It means that we can still add one more bound morpheme after a derivational morpheme. For example, the word *act* can become *active*, *activity*, and *activities*.

Let's now return to the distinction between inflectional and derivational affixes (i.e., bound, grammatical morphemes). English has eight inflectional affixes; all other affixes are derivational. The eight inflectional affixes are listed in the following table, along with the type of root (i.e., lexical morpheme) that each one attaches to, and a representative example.

Inflectional Affix	Root	
Example		
{PLU} = plural	Noun	bats
{POSS} = possessive	Noun	boy's
{COMP} = comparative	Adjective	bigger
{SUP} = superlative	Adjective	biggest
{PRES} = present	Verb	stays
{PAST} = past	Verb	talked
{PAST PART} = past participle	Verb	driven
{PRES PART} = present participle	Verb	reading

The characteristics of Inflectional morphemes are as follows:

- Inflectional morphemes do not change meaning or part of speech. For example, *big*, *bigger* and *biggest* are all adjectives.
- Inflectional morphemes are required by the syntax. They typically indicate syntactic or semantic relations between different words in a

sentence. For instance, in the sentence *Mary loves apples*, *-s* marks the 3rd person singular present form of the verb, relating it to the 3rd singular subject *Mary*.

- Inflectional morphemes are very productive. They typically occur with all members of some large class of morphemes. For example, the plural morphemes *{-s}* occurs with almost all countable nouns.
- Inflectional morphemes occur at the margin of a word, after any derivational morphemes.

Exercise 1:

1. What is the meaning of the morpheme *{er}* as in *bigger*, *taller*, *smarter*, and *larger*?
2. What is the meaning of the morpheme *{oholic}* as in *workoholic*, *chocoholic*, and *foodoholic*?
3. What kind of evidence could be used to argue that *action* and *package* each contain two morphemes: *{act}* + *{ion}* and *{pack}* + *{age}*? (Hint: A morpheme can appear independently in other words.)
4. *Divide the following words into morphemes. For each morpheme, state whether it is lexical or grammatical.*
 - a. Restating
 - b. Strongest
 - c. Actively
 - d. Precede
 - e. disentangled
 - f. ran
 - g. women
5. List at least five different words that contain the bound, lexical morpheme *{mit}* 'send, go.' (Consult a dictionary if needed.) What structural pattern is shared by all the words?

B. THE HIERARCHICAL STRUCTURE OF WORDS

When we divide up a complex word into its morphemes, as in the word *happiness*, it's easy to get the impression that words are put together like the beads that make up a necklace – one after the other in a line:

unhappiness un-happy-ness

But, According to Lieber (2009: 37) morphologists believe that words are more like onions than like necklaces: onions are made up of layers from

innermost to outermost. Consider a word like *unhappiness*. We can break this down into its component morphemes *un-happy-ness*, but given what we learned above about the properties of the prefix *un-* and the suffix *-ness* we know something more about the way in which this word is constructed beyond just its constituent parts. We know that *un-* must first go on the base *happy*. *Happy* is an adjective, and *un-* attaches to adjectives but does not change their category. The suffix *-ness* attaches only to adjectives and makes them into nouns. So if *un-* attaches first to *happy* and *-ness* attaches next, the requirements of both affixes are met. But if we were to do it the other way around, *-ness* would have first created a noun, and then *un-* would be unable to attach. We could represent the order of attachment as if words really were onions, with the base in the innermost layer, and each affix in its own succeeding layer: see the following figure.

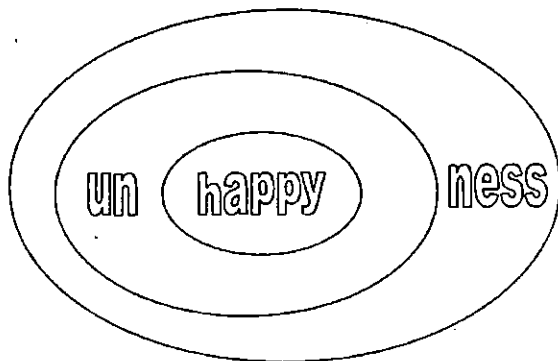
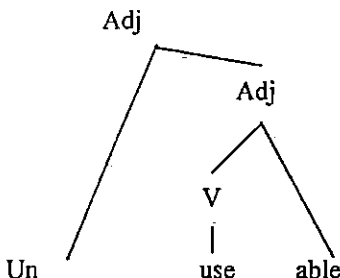


Figure 6: Words are like onions

When we examine words composed of only two morphemes, we implicitly know two facts about the ways in which affixes join with their stems. First, the stems with which a given affix may combine normally belong to the same part of speech. For example, the suffix *-able* attaches freely to verbs, but not to adjectives or nouns; thus, we can add this suffix to the verbs *adjust*, *break*, *compare*, and *debate*, but not to the adjectives *asleep*, *lovely*, *happy*, and *strong*, nor to the nouns *anger*, *morning*, *student*, or *success*. Second, the words formed by the addition of a given affix to some word or morpheme also normally belong to the same part of speech. For example, the expressions resulting from the addition of *-able* to a verb are

always adjectives; thus *adjustable*, *breakable*, *comparable*, and *debatable* are all adjectives. These two facts have an important consequence for determining the way in which words with more than one affix must be formed. What it means is that words are formed in steps, with one affix attaching to a complete word, which can be a free morpheme or a morphologically complex word. Words with more than one affix are not formed in one single step, with the affixes and stem just strung together. For example, consider the word *unusable*, which is composed of a prefix *un-*, a stem *use*, and a suffix *-able*. One possible way this morphologically complex word might be formed is all at once, as in: *un + use + able*, where the prefix and the suffix attach at the same time to the verb stem *use*. However, this cannot be the case knowing what we know about how affixes attach only to certain parts of speech and create words of certain parts of speech. The prefix *un-*, meaning 'not', attaches only to adjectives and creates new words that are also adjectives. (Compare with *unkind*, *unwise*, and *unhappy*.) The suffix *-able*, on the other hand, attaches to verbs and forms words that are adjectives. (Compare with *stoppable*, *doable*, and *washable*.) Therefore, *un-* cannot attach to *use*, since *use* is a verb and not an adjective. However, if *-able* attaches *first* to the stem *use*, then it creates an adjective, *usable*, and the prefix *un-* is allowed to combine with it. Thus, the formation of the word *unusable* is a two-step process whereby *use* and *-able* attach first, then *un-* attaches to the word *usable*.

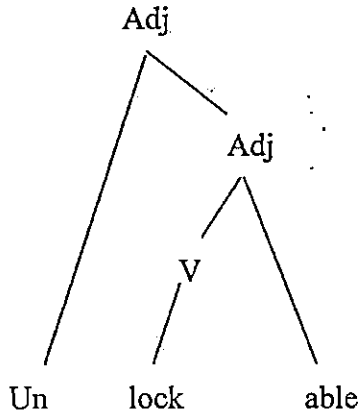
Recall that what we are analyzing is the internal structure of words. Words, since they are formed by steps, have a special type of structure characterized as hierarchical. This hierarchical structure can be schematically represented by "means of a *tree* that indicates the steps involved in the formation of the word, i.e., which morphemes joined together first and so on. The tree for *unusable* is:



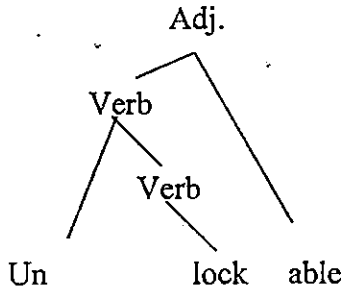
Now consider the word *reusable*. Both the prefix *re-* and the suffix *-able* attach to verbs, but we have already shown that one must attach first. Which is it? Notice that *reusable* cannot be regarded as the result of adding the prefix *re-* to the word *usable*, since *re-* attaches only to verbs (compare with *redo*, *relive*, and *refuel*) and *usable* is an adjective. However, *-able* can attach to the verb *reuse*, since *-able* attaches to verbs. Thus, our understanding of how the affixes *re-* and *-able* combine with other morphemes allows us to conclude that the verb *reuse*, but not the adjective *usable*, is a step in the formation of the adjective *reusable*.

Interestingly, some words are ambiguous in that they have more than one meaning. When we examine their internal structure, we find an explanation for this: their structure may be analyzed in more than one way. Consider, for example, the word *unlockable*. This could mean either 'not able to be locked' or 'able to be unlocked'. If we made a list to determine the parts of speech the affix *un-* attaches to, we would discover that there are not one but two prefixes that sound like *un-*. The first combines with adjectives to form new adjectives and means 'not'. (Compare with *unaware*, *unintelligent*, or *unwise*.) The second prefix *un-* combines with verbs to form new verbs and means 'do the reverse of'. (Compare with *untie*, *undo*, or *undress*.)

Remember that even though these prefixes sound alike, they are entirely different morphemes. Because of these two different sorts of *un-* in English, *unlockable* may be analyzed in two different ways. First, the suffix *-able* may join with the verb *lock* to form the adjective *lockable*; *un-* may then join with this adjective to form the new adjective *un lockable*, with the meaning 'not able to be locked'. This way of forming *unlockable* is schematized in the following tree:



The second way of forming *unlockable* is as follows. The prefix *un-* joins with the verb *lock* to form the verb *unlock*. The suffix *-able* then joins with this verb to form the adjective *unlockable*, with the meaning of 'able to be unlocked'. This manner of forming *unlockable* is represented by the following tree:



There are a few prefixes that do not attach exclusively to one part of speech. For example, consider the prefix *pre-*. *Pre-* attaches to verbs and does not change the part of speech, as the following examples show:

- preexist* *predetermine* *premeditate* *predecide*
- predefine*

However, there are examples of words with the prefix *pre-* that do not follow the same pattern as those cited above:

Preseason prewar predawn pregame

In these words *pre-* attaches to a noun and forms an adjective (*the preseason game, the prewar propaganda, the pregame warm-up*). However, the "meaning" of the prefix is the same as in *preexist, predecide*, etc. (although its function is different). In addition, there are sets such as:

Prefrontal preinvasive Predental prehistoric

In these words, *pre-* is attaching to an adjective, forming adjectives, and has the same "meaning" as in *preexist, predecide*, etc. So this is a bit problematic. We don't want to throw out the idea that a given affix attaches only to one part of speech, since the overwhelming majority of affixes adhere to this pattern. Apparently, some morphemes become so productive that their combinatorial possibilities can be extended. Such must be the case with *pre-*. Note, however, that its combinations are nevertheless rule-governed. When *pre-* attaches to verbs, it forms only verbs. When it attaches to nouns, it forms only adjectives, and when it attaches to adjectives, it forms only adjectives. So, it is advisable to consider many examples when attempting to determine the rules by which a given affix combines.

Exercise 2: Draw tree diagrams for each of the following words:

- a. Unaffordable
- b. Manliness
- c. Irreplaceability
- d. Unrespectable
- e. Restatement
- f. Mismanagement

C. WORD FORMATION PROCESS

In this part, the discussion focuses on the types of word formation process that are commonly found in English, as well as in other languages. Some examples of them are coinage, borrowing, compounding, blending, clipping, back-formation, and multiple processes.

1. Coinage

One of the least common processes of word-formation in English is coinage, that is, the invention of totally new terms. Yule (2014: 56) says that coinage is not very common in English. Typical sources are trade names for commercial products that become general terms (usually without capital letters) for any version of that product. Older examples are aspirin, nylon, vaseline and zipper; more recent examples are granola, kleenex, teflon and xerox. The most salient contemporary example of coinage is the word google. Originally a misspelling for the word googol (= the number 1 followed by 100 zeros), in the creation of the word Googleplex, which later became the name of a company (Google), the term google (without a capital letter) has become a widely used expression meaning “to use the internet to find information.” New words based on the name of a person or a place are called eponyms. When we talked about a Hoover (or even a spangler), we were using an eponym. We use the eponyms teddy bear, derived from US president Theodore (Teddy) Roosevelt, and jeans (from the Italian city of Genoa where the type of cloth was first made).

2. Borrowing

Yule (2014: 52) says that one of the most common sources of new words in English is the process simply labeled borrowing, that is, the taking over of words from other languages (Technically, it's more than just borrowing, because English doesn't give them back.) Throughout its history, the English language has adopted a vast number of loan-words from other languages, including these examples:

dope (Dutch)	piano (Italian)	tattoo (Tahitian)
jewel (French)	pretzel (German)	tycoon (Japanese)
glitzy (Yiddish)	ski (Norwegian)	yogurt (Turkish)
lilac (Persian)	sofa (Arabic)	zebra (Bantu)

(cited from Yule, 2014: 52)

Other languages, of course, borrow terms from English, as in the Japanese use of *suupaa* or *suupaamaaketto* (“supermarket”) and *taipuraitaa* (“typewriter”). We can also hear of people in Finland using a *s̄ekki* (“check”) to pay their bills, Hungarians talking about *sport*, *klub* and *futbal*, or the French discussing problems of *le stress*, over a glass of *le whisky*,

during *le weekend*. In Brazilian Portuguese, the English words *up* and *nerd* have been borrowed and turned into verbs for the new activities *upar* (“to upload”) and *nerdear* (“to surf the internet”). In some cases, the borrowed words may be used with quite novel meanings, as in the contemporary German use of the English words *partner* and *look* in the phrase *im Partnerlook* to describe two people who are together and wearing similar clothing. There is no equivalent use of this expression in English (so far).

A special type of borrowing is described as loan-translation, or *calque*. In this process, there is a direct translation of the elements of a word into the borrowing language. An interesting example is the French term *un gratte-ciel*, which literally translates as ‘a scrape-sky’, and is used for what, in English, is normally referred to as a *skyscraper*. The English word *superman* is thought to be a loan-translation of the German *Übermensch*, and the term *loan-word* itself is believed to have come from the German *Lehmvort*. Nowadays, some Spanish speakers eat *perros calientes* (literally ‘dogs hot’) or *hot dogs*.

3. Compounding

Derivation is not the only way of forming new words, of course. Many languages also form words by a process called **compounding**. **Compounds** are words that are composed of two (or more) bases, roots, or stems. In English we generally use free bases to compose compounds, as the following examples:

compounds of two nouns: windmill, dog bed, book store

compounds of two adjectives: icy cold, blue-green, red hot

compounds of an adjective and a noun: greenhouse, blackboard, hard hat

compounds of a noun and an adjective: sky blue, cherry red, rock hard

According to Lieber (2009: 43) it’s not easy to come up with a single criterion that works in all cases. Spelling is no help at all; in English there is no fixed way to spell a compound word. Some, like *greenhouse*, are written as one word, others like *dog bed*, as two words, and still others, like *producer-director* are written with a hyphen between the two bases. A better criterion is stress; compounds in English are often stressed on their first or left-hand base, whereas phrases typically receive stress on the right. Compare, for example, a *greenhouse*, which is the place where plants are grown, to a *green house*, that is, a house that’s painted green. But it’s not

always the case that compounds are stressed on the left. For example, most people pronounce *apple pie* with stress on the second base, but *apple cake* with stress on the left one. Yet we have the feeling that both are compounds; it seems illogical to consider one a compound and not the other. There is, however, one test for identifying compounds that is fairly reliable: we can test for whether a sequence of bases is a compound by seeing if a modifying word can be inserted between the two bases and still have the sequence make sense. If a modifying word cannot sensibly be inserted, the sequence of two words is a compound. This test confirms that both *apple pie* and *apple cake* are compounds, in spite of their differing stress. In neither case can we insert a modifier like *delicious* between the two stems; **apple delicious pie* and **apple delicious cake* are equally peculiar!

4. Blending

Yule (2014: 53) says that the combination of two separate forms to produce a single new term is also present in the process called blending. However, in blending, we typically take only the beginning of one word and join it to the end of the other word. To talk about the combined effects of smoke and fog, we can use the word *smog*. In places where they have a lot of this stuff, they can jokingly make a distinction between *smog*, *smaze* (smoke þ haze) and *smurk* (smoke þ murk). In Hawaii, near the active volcano, they have problems with *vog*. Some other commonly used examples of blending are *bit* (binary/digit), *brunch* (breakfast/lunch), *motel* (motor/hotel), *telecast* (television/broadcast) and the *Chunnel* (Channel/tunnel), connecting England and France.

The activity of fund-raising on television that feels like a marathon is typically called a *telethon*, while *infotainment* (information/entertainment) and *simulcast* (simultaneous/broadcast) are other new blends from life with television. To describe the mixing of languages, some people talk about *Franglais* (French/Anglais) and *Spanglish* (Spanish/English). In a few blends, we combine the beginnings of both words, as in terms from information technology, such as *telex* (teleprinter/exchange) or *modem* (modulator/demodulator).

5. Clipping

The element of reduction which is noticeable in blending is even more apparent in the process described as clipping. This occurs when a word of

more than one syllable is reduced to a shorter form, often in casual speech. The term *gasoline* is still in use, but occurs much less frequently than *gas*, the clipped form. Common examples are *ad* ('advertisement'), *fan* ('fanatic'), *bus*, *plane*, *prof*, *lab* and *flu*.

6. Backformation

A very specialized type of reduction process is known as backformation. Typically, a word of one type (usually a noun) is reduced to form another word of a different type (usually a verb). A good example of backformation is the process whereby the noun *television* first came into use and then the verb *televise* was created from it. Other examples of words created by this process are: *edit* (from 'editor'), *donate* (from 'donation'), *opt* (from 'option'), *emote* (from 'emotion') and *enthuse* (from 'enthusiasm').

7. Conversion

A change in the function of a word, as for example, when a noun comes to be used as a verb (without any reduction) is generally known as *conversion*. Other labels for this very common process are 'category change' and 'functional shift'. A number of nouns, such as *paper*, *butter*, *bottle*, *vacation*, can, via the process of conversion, come to be used as verbs, as in the following sentences: *He's papering the bedroom walls*; *Have you buttered the toast?*; *We bottled the home-brew last night*; *They're vacationing in France*.

This process is particularly productive in modern English, with new uses occurring frequently. The conversion can involve verbs becoming nouns, with *guess*, *must* and *spy* as the sources of *a guess*, *a must* and *a spy*, or adjectives, such as *dirty*, *empty*, *total*, *crazy* and *nasty*, can become the verbs *to dirty*, *to empty*, *to total*, or the nouns *a crazy* and *a nasty*. Other forms, such as *up* and *down*, can also become verbs, as in *They up the prices* or *We down a few beers*.

8. Acronyms

Some new words are formed from the initial letters of a set of other words. These acronyms often consist of capital letters, as in *NA TO*, *NASA* or *UNESCO*, but can lose their capitals to become everyday terms such as *laser* ('light amplification by stimulated emission of radiation'), *radar* ('radio detecting and ranging') and *scuba* ('self contained underwater breathing

apparatus'). You might even hear talk of a *snafu* which is reputed to have its origins in 'situation normal, all fouled up'.

9. Derivation

In our list so far, we have not dealt with what is by far the most common word-formation process to be found in the production of new English words. This process is called derivation, and it is accomplished by means of a large number of small 'bits' of the English language which are not usually given separate listings in dictionaries. These small 'bits' are called affixes and a few examples are the elements *un-*, *mis-*, *pre-*, *-ful*, *-less*, *-ish*, *-ism*, *-ness* which appear in words like *unhappy*, *misrepresent*, *prejudge*, *joyful*, *careless*, *boyish*, *terrorism* and *sadness*.

10. Multiple processes

Although we have concentrated on each of these word-formations, processes in isolation, it is possible to trace the operation of more than one process at work in the creation of a particular word. For example, the term *deli* seems to have become a common American English expression via a process of first 'borrowing' *delicatessen* (from German) and then 'clipping' that borrowed form. If you hear someone complain that *problems with the project have snowballed*, the final term can be noted as an example of 'compounding', whereby *snow* and *ball* have been combined to form the noun *snowball*, which has then undergone 'conversion' to be used as a verb. Forms which begin as 'acronyms' can also undergo other processes, as in the use of *lase* as a verb, the result of 'backformation' from *laser*. In the expression, *waspish attitudes*, the form *WASP* ('white Anglo-Saxon Protestant') has lost its capital letters and gained a suffix in the 'derivation' process.

Many such forms can, of course, have a very brief life-span. Perhaps the generally accepted test of the 'arrival' of recently formed words in a language is their published appearance in a dictionary. However, even this may not occur without protests from some, as Noah Webster found when his first dictionary, published in 1806, was criticized for citing words like *advocate* and *test* as verbs, and for including such 'vulgar' words as *advisory* and *presidential*. It would seem that Noah had a keener sense than his critics of which new word-forms in the language were going to last.

Exercise 3: Give at least three examples of:

- blending
- compounding
- coinage
- borrowing
- clipping
- backformation
- conversion

D. SYNTAX

1. Some properties of the grammar

A grammar of this type must have a number of properties, which can be described in the following terms. The grammar will generate all the well-formed syntactic structures (e.g. sentences) of the language and fail to generate any ill-formed structures. This grammar will have a finite (i.e. limited) number of rules, but will be capable of generating an infinite number of well-formed structures. In this way, the productivity of language (i.e. the creation of totally novel yet grammatical sentences) would be captured within-the grammar.

The rules of this grammar will also need the crucial property of recursiveness, that is, the capacity to be applied more than once in generating a structure. For example, whatever rule yields the component *that chased the cat* in the sentence *this is the dog that chased the cat*, will have to be applied again to get *that killed the rat* and any other similar structure which could continue the sentence *This is the dog that chased the cat that killed the rat*. There is, in principle, no end to the recursion which would yield ever-longer versions of this sentence and the grammar must provide for this fact. Recursiveness is not only to be found in descriptions of sentence structure. It is an essential part of the little old lady's view of the role of turtles in cosmic structure.

This grammar should also be capable of revealing the basis of two other phenomena: first, how some superficially distinct sentences are closely related, and second, how some superficially similar sentences are in fact distinct. We need some exemplification for these points.

a. *Linear Order*

The most obvious principle of sentence organization is linear order; the words in a sentence must occur in a particular sequence if the sentence is to convey the desired meaning. Consider, for example, the following sentence of English.

- (1) Mahmoed saw Khadijah

If we rearrange the words in this sentence, we come up either with nonsense, as in (2):

- (2) *Khadijah Mahmoed saw

or with a sentence whose meaning is distinctly different from that of (1)

- (3) Khadijah saw Mahmoed

Clearly, the ordering of the words in sentences determines, in part, whether a sentence is grammatical or not and what the sentence means.

One of the many rules of English requires that grammatical subject of a sentence normally precedes the main verb, which in turn normally precedes its direct object. Thus, *Joan resembles Ali* is English, but *resembles Joan Ali* and *Joan Ali resembles* are not. However, an important fact about rules of word order is that they are language specific—that is, languages vary in the ways in which they order words.

b. *Hierarchical Structure*

Although linear order is an important principle of sentence organization, sentences are more than just ordered sequences of words; they have internal hierarchical structure as well. That is, the individual words in a sentence are organized into natural, semantically coherent groupings, which are themselves organized into larger groupings. These groupings within a sentence are called constituents of that sentence. The relationship between constituent in a sentence form the constituent structure of the sentence. For example, consider the sentence in (4):

- (4) Many executives eat at really fancy restaurants

We can easily distinguish a number of meaningful groups of words in this sentence: *many executives* and *eat at really fancy restaurants*, for instance, clearly have meanings of their own, and each makes a coherent contribution to the meaning of (4) as a whole. For these reasons, they are

constituents of this sentence. On the other hand, some groups of words in sentence (4) do not naturally form meaningful units; *executives eat at* and *eat at really*, for instance, don't clearly have meanings of their own. Thus, these groups of words are not constituents of (4).

c. *Deep and surface structure*

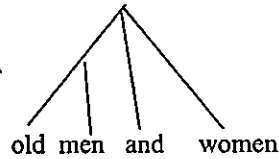
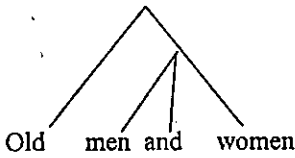
Two superficially distinct sentence structures would be, for example, *Charlie broke the window* and *The window was broken by Charlie*. In traditional terminology, the first is an active sentence and the second is passive. The distinction between them, it can be claimed, is a difference in their surface structure, that is, the syntactic form they take as actual English sentences. However, this difference in superficial form disguises the fact that the two sentences are very closely related, even identical, at some less 'superficial' level. This other 'underlying' level, where the basic components shared by the two sentences would be represented, has been called their deep structure. The deep structure is an abstract level of structural organization in which all the elements determining structural interpretation are represented. So, the grammar must be capable of showing how a single underlying abstract representation can become different surface structures.

d. *Structural ambiguity*

On the second point noted above, let us say that we had two distinct deep structures expressing, on the one hand, the fact that 'Annie had an umbrella and she whacked a man with it': and, on the other hand, that 'Annie whacked a man and the man happened to be carrying an umbrella.' Now, these two different concepts can, in fact, be expressed in the same surface structure form: *Annie whacked a man with an umbrella*. This sentence is structurally ambiguous. It has two different underlying interpretations which would be represented differently in the deep structure.

Phrases can also be structurally ambiguous, as in expressions like *the hatred of the killers*. Now, either 'someone hated the killers', or 'the killers hated someone' could be the underlying interpretation. The grammar will have to be capable of showing the structural distinction between these underlying representations.

Often, an expression is ambiguous because it has more than one possible constituent structure. Consider, for example, the expression *old men and women*; it can have either of the following constituent structures



2. Different approaches

We have considered some of the requirements that would have to be met by a complete syntactic description of a language. However, this area of linguistic investigation is notorious for giving rise to very different approaches to producing that description. For some, the only relevant issues are syntactic ones, that is, how to describe structure, independently of 'meaning' considerations. For others, the 'meaning component' is primary. In some later versions of generative grammar, the level of deep structure is essentially taken over by a 'meaning' or semantic interpretation which is assigned a structural or syntactic form in its surface realization. Unfortunately, almost everything involved in the analysis of generative grammar remains controversial. There continue to be many different approaches among those who claim to analyze language in terms of generative grammar, and many more among those who are critical of the whole system. Rather than explore controversies, let us look at some of the really basic features of the original analytic approach and see how it is all supposed to work. First, we need to get the symbols straightened out.

a. Symbols used in syntactic description

We have already introduced some symbols that are quite easily understood as abbreviations for the grammatical categories involved. Examples are 'S' (= sentence), 'N' (= noun), 'Art' (= article) and so on. We need to introduce three more symbols which are commonly used.

The first of these is in the form of an arrow, and it can be interpreted as 'consists of'. It will typically occur in the following format:

$$NP \longrightarrow \text{Art} \quad N$$

This is simply a shorthand way of saying that a noun phrase (e.g. *the book*) consists of an article (e.g. *the*) and a noun (e.g. *book*).

The second symbol used is in the form of parentheses or round brackets (). Whatever occurs inside these brackets will be treated as an Optional constituent. Perhaps an example will make this clear. You can describe an object as *the book*, or as *the green book*. We can say that both *the book* and *the green book* are examples of the category noun phrase. In order for a noun phrase to occur in English, you may require an article (*the*) and a noun (*book*), but the inclusion of an adjective (*green*) is optional. You can include an adjective, but it isn't obligatory. We can capture this aspect of English syntax in the following way:

$$\text{NP} \longrightarrow \text{Art (Adj) N}$$

This shorthand notation expresses the idea that a noun phrase consists of an obligatory article and an obligatory noun, but may also include an adjective in a specific position. The adjective is optional.

The third symbol used is in the form of braces, or curly brackets - { }. These indicate that only one of the elements enclosed within the brackets must be selected. They are used when there is a choice from two or more constituents. For example, we have already noted that a noun phrase can consist of an expression like *the woman* (Art N) or *she* (pronoun) or *Kathy* (proper noun). We can, of course, write three single rules, as shown on the left below, but it is more succinct to write one rule, as shown on the right below, which incorporates exactly the same information:

$$\begin{array}{l} \text{NP} \longrightarrow \text{Art N} \\ \text{NP} \longrightarrow \text{pronoun} \\ \text{NP} \longrightarrow \text{proper noun} \end{array} \quad \text{NP} \longrightarrow \left\{ \begin{array}{l} \text{Art N} \\ \text{pronoun} \\ \text{proper noun} \end{array} \right\}$$

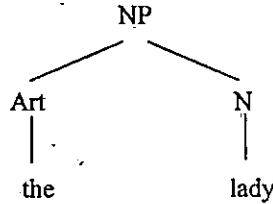
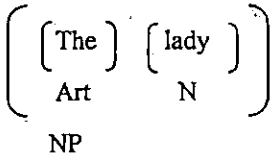
It is important to remember that, although there are three constituents in these curly brackets, only one of them can be selected on any occasion. We can now present a list of symbols and abbreviations commonly found in syntactic descriptions:

S	sentence	N	noun	PN	proper noun
V	verb	Art	article	Adv	adverb
NP	noun phrase	VP	verb phrase	Pro	pronoun
Adj	adjective	Prep	preposition	PP	prepositional phrase

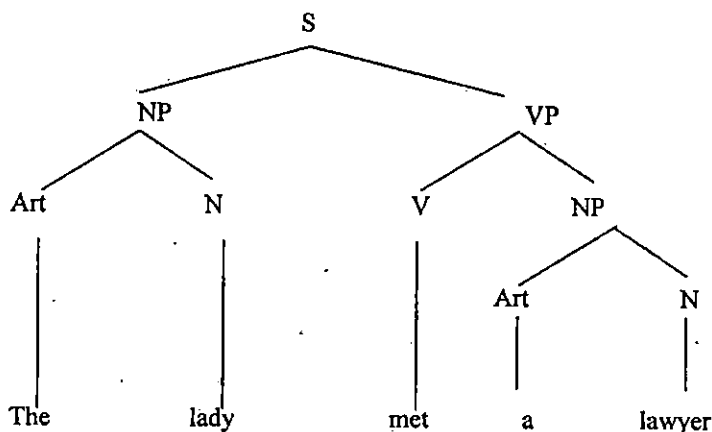
- * = 'ungrammatical sequence'
- = 'consists of'
- () = 'optional constituent'
- { } = 'one and only one of these constituents must be selected'

b. Labeled tree diagrams

We considered ways of describing the structure of sentences that (basically) concentrated on the linear sequence of constituents. It is, of course, possible to show the same sequence as, in a more explicit way, 'hierarchically' organized. So, instead of labeling and bracketing the constituents as shown on the left below, we can show the same information in the form of a tree diagram. Tree diagrams are one way of graphically representing the structure of a sentence. For example, consider the phrase on the right below:



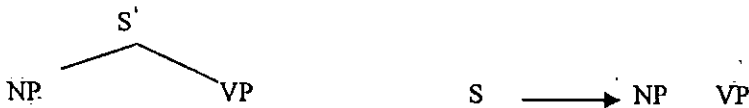
This type of tree diagram representation contains all the grammatical information found in the other analyses, but also shows more explicitly the fact that there are different levels in the analysis. That is, there is a level of analysis at which a constituent such as NP is represented and a different, lower level at which a constituent such as N is represented. Here's how a whole sentence would look in a tree diagram:



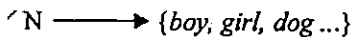
If we start at the top of this tree diagram, we are starting with a sentence (S) and then dividing the sentence into two constituents (NP and VP). In turn, the NP constituent is divided into two constituents (Art and N). Finally, one word is selected which fits the label Art (*the*), and another which fits N (*monkey*).

a. *Phrase structure rules*

We can view this tree diagram format in two different ways. In one way, we can simply treat it as a static representation of the structure of the sentence at the bottom of the diagram. We could propose that, for every single sentence in English, a tree diagram of this type could be drawn. The alternative view is to treat the diagram as a 'dynamic' format, in the sense that it represents a way of 'generating' not only that one sentence, but a very large number of sentences with similar structures. This alternative view is very appealing since it should enable us to generate a large number of sentences with only a small number of rules. These 'rules' are usually called phrase structure rules, and they present the information of the tree diagram in an alternative format. So, instead of the diagram form on the left below, we can use the notation shown on the right below:



The rule is then read as - "a sentence consists of a noun phrase followed by a verb phrase". In addition to rules of this type which generate structures, we can also have lexical rules which indicate the words to be used for constituents such as N. For example:



This means that N is rewritten as *boy*, or *girl*, or *dog*. We can create a set of extremely simple (and necessarily incomplete) phrase structure rules which can be used to generate a large number of English sentences:

- S -----> NP VP
- NP -----> { Art (Adj) N }
 { PN }
- VP -----> V NP* (PP) (Adv)
- PP -----> Prep NP
- N -----> { *boy, girl, horse* }
- PN -----> { *Ahmed, Sheila* }
- V -----> { *saw, followed, helped* }
- Prep -----> { *with, near* }
- Art -----> { *a, the* }
- Adj -----> { *small, crazy* }
- Adv -----> { *yesterday, recently* }

These rules will generate the grammatical sentences shown below:

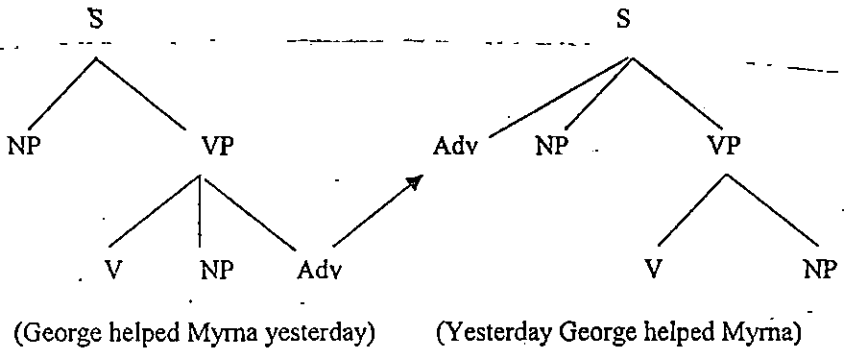
- The boy saw a girl yesterday
- Ahmed helped a boy recently
- A small horse followed a girl

d. *Transformational rules*

One problem with these phrase structure rules is that they will generate all sentences with fairly fixed word order to the constituents. For example, adverbs will always come at the end of their sentences, if we follow the rules we have just illustrated. That is fine for generating the first sentence below, but how would we get the second sentence?

- (i) George helped Myrna yesterday.
- (ii) Yesterday George helped Myrna.

In order to accomplish this 'movement' of constituents, we need a set of rules which will change or move constituents in the structures which derive from the phrase structure rules. These are called transformational rules. Essentially what they do is take a 'branch' of the 'tree' away from one part of the tree diagram, and attach it to a different part. Here is an example of a movement transformation:



We would, of course, specify which constituents can be moved, from where and to where.

One of the best arguments for having transformational rules involves what seems to be the movement of a very small element in English sentence structure. We recognize that the following two sentences have a great deal in common:

- (i) Doris picked up the magazine.
- (ii) Doris picked the magazine up.

These sentences contain a verb-particle construction (verb - *pick*: particle - *up*), and it is clear that the particle can be separated from the verb. A

constituent structure analysis would have some difficulty accommodating this type of structure. A phrase structure analysis would have to create two different tree diagrams. Yet, we intuitively recognize that these two sentences must come from a single underlying source.

Let us propose a single tree diagram source which produces a string of elements like: *NP V Particle NP*. Under circumstances like these, let us then propose the optional transformation called 'Particle Movement', which takes that structural description and yields the structural change to: *NP V NP Particle*. By using this simple transformational rule, we have provided the means for explicitly relating the two structures in sentences (i) and (ii) above as surface variations of a single underlying structure. It may not seem much, but this type of transformational analysis solved a number of tricky problems for previous syntactic descriptions.

There is, of course, much more involved in transformational grammar and other methods of syntactic description. (We have barely scratched the surface structures.) However, having explored some of the basic issues in the syntactic description of language, we must move on, as historically the generative grammarians had to do, to come to terms with the place of 'meaning' in linguistic description. This leads us to a consideration of the role of semantics.

Exercise 4:

1. *Apply the constituent tests to determine if the underlined expressions in the following sentence are constituents*
 - The clouds rolled across the sky
 - Some students hate computers
 - Too many noisy birds are nesting on campus
 - We drank too much coffee last night
2. *Discuss the ambiguity of the following sentences!*
 - The little boy hit the child with the toy
 - She is an American history teacher
 - I saw my brother's photographs
 - Flying plane can be dangerous
3. *Draw the tree diagram of the following sentences*
 - The secretary met the manager in the new office
 - The dog saw the lion
 - The manager changed the old rules



SUMMARY

Central to this theory of morphology is the concept of morpheme, as well as the distributions between lexical and grammatical morphemes, bound and free morphemes, and inflectional and derivational morphemes. Within inflectional morphology, regularities within the English auxiliary verb system allow us to predict which inflected forms will follow which auxiliary verbs. Finally, word-formation processes provide an account of how new words are introduced into the lexicon.

Sentences have structure that can be represented by phrase structure trees containing syntactic categories. Such a representation reveals the linear order of words, and the constituency of each syntactic category. Syntactic categories are either phrasal categories, such as NP and VP, which can be broken down into other syntactic categories, or lexical categories, such as N and V, which correspond to the words of the language. The theory of syntax makes use of five crucial concepts: category, left to right ordering, constituent structure, transformation, and constraints on transformation. These theoretical constructs are postulated to help us account for phenomena that otherwise would go unexplained.



FORMATIVE TEST 2

- 1) Divide these words by placing a + between their separate morphemes.

Example: replaces re + place + s

- retroactive
- befriended
- margin
- unpalatable
- morphemic

- 2) Draw the tree diagram for each of the following words!

- unhappiness
- incomprehensible
- enlargement
- unbreakable
- miscalled

- 3) The term *vaseline* was originally a trade name for a product, but has become an ordinary English word. What is the technical term used to describe this process?
- 4) Identify the affixes used in the words *unfaithful*, *Carelessness*, *refillable* and *disagree*, and decide whether they are prefixes or suffixes.
- 5) Can you identify the word-formation processes involved in producing the italicized forms in these sentences?
- (a) Laura *parties* every Saturday night.
 (b) Tom was worried that he might have *AIDS*.
 (c) Zee described the new toy *asfantabulous*.
 (d) Eliza exclaimed. "*Absobloominglutely!*"
- 6) More than one process was involved in the creation of each of the indicated forms below. Can you identify them?
- (a) I just got a new *car-phone*.
 (b) Syamsir wants to be a *footballer*.
 (c) The negotiators *blueprinted* a new peace proposal.
 (d) Another *skyjacking* has just been reported.
- 7) The compound word *birdcage* is formed from a noun *bird* plus another noun *cage*, while the word *widespread* is formed from an adjective *wide* and a verb *spread*. So, compounds differ in terms of the types of elements which are combined. Can you identify the different elements involved in each of the following compounds?
- bedroom. blackbird. brainwash. catfish. clean-shaven. crybaby. haircut. heartbeat. hothouse. hovercraft. leadfree. madman. ready-made. seasick. sunflower. sunrise. telltale. threadbare. watchdog. well-dressed.*
- 8) In what ways are these expressions 'structurally ambiguous'?
- (a) An American history teacher.
 (b) Visiting relatives can be boring.
 (c) The parents of the bride and the groom were waiting.
 (d) abnormal psychology professor
 (e) second language teacher
- 9) Which of the following expressions would be generated by this phrase structure rule: NP \longrightarrow Art (Adj) N
- (a) a radio (c) a new student
 (b) the rusty car (d) the screwdriver

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit.

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 3

Semantics

A. INTRODUCTION

There are many attempts done by the people, especially linguists, to understand the nature of language, and any attempt to talk about the nature of language must try to describe and explain the way in which linguistic expression have meaning. In other words, the study of language should involve the study of meaning, and one of the sub-field that focus on the study of meaning is called semantics.

What is semantics? There are several definitions of semantics stated by the linguists. First, semantics is defined by Kreidler (1998: 3) as the systematic study of meaning, and linguistics semantics is the study of how languages organize and express meanings. Second, Kearns (2000: 1) defines semantics deals with the literal meaning of words and the meaning of the way they are combined, which is taken together form the core of meaning, or the starting point from which the whole meaning, of a particular utterance is constructed. Third, Griffiths (2006: 1) states that semantics is the study of the "toolkit" for meaning knowledge encoded in the vocabulary of the language and in its patterns for building more elaborate meaning, up to the level of sentence meaning. Fourth, Hurford et.al (2007: 1) say semantics is the study of meaning in language. Fifth, Saeed (2009: 3) states that semantics is the study of meaning communicated through language. Next, Zimmermann and Sternfiel (2013: 1) say that semantics is the systematic study of meaning of linguistic expressions like morphemes, words, phrases, sentences, or even text.

All the above definitions of semantics reveal that although every linguist has his/her own definition of semantics, in general we can say that they all agree to say that semantics is the study of meanings, especially the linguistic meaning.

To be more specific about semantics, Riemer says that semantics is one of the richest and most fascinating parts of linguistics. Among the kinds of questions semanticists ask are the following:

- What are meanings—definitions? Ideas in our heads? Sets of objects in the world?

- Can all meanings be precisely defined?
- What explains relation between meanings, like synonymy, antonymy, and so on?
- How do the meanings of words combine to create the meaning of sentences?
- What is the difference between literal and non literal meaning?
- How do meanings relate to the minds of language users, and to the things words refer to?
- What is the connection between what a word means, and the contexts in which it is used?
- How do the meanings of words interact with syntactic rules and principles?
- Do all languages express the same meaning?
- How do meaning change?

(cited from Riemer, 2010: 2)

Semantics is the study of linguistic meaning; that is, the meaning of words, phrases and sentences. Unlike Pragmatics, semantics is part of grammar proper, the study of the internal structure of language. Unfortunately, because semantics is the most poorly understood component of grammar, it can be one of the most difficult areas of linguistics to study. The fact is that no one has yet developed a comprehensive, authoritative theory of linguistic meaning. Nonetheless, we can discuss some of the phenomena that have been studied within the domain of semantics and some of the theories that have been developed to explain them. It is important to keep in mind, however, that much of what follows is tentative and subject to debate.

B. LEXICAL RELATIONS

Knowing an expression's meaning does not simply involve knowing its definition or inherent semantic content. As well as knowing a word's definitional meaning, a competent speaker knows how it relates to other words of the language: which words are synonyms? Which are antonyms? Which are meronyms, linked by the relation of a part to a whole? And which are hyponyms, linked by the relation *kind of*? Describing and accounting for

these relationships has often been taken as one of the principal tasks of lexical semantics (Riemer, 2010: 136).

There are a number of different types of lexical relation, as we shall see. A particular lexeme may be simultaneously in a number of these relations, so that it may be more accurate to think of the lexicon as a network, rather than a listing of words as in a published dictionary.

An important organizational principle in the lexicon is the lexical field. This is a group of lexemes which belong to a particular activity or area of specialist knowledge, such as the terms in cooking or sailing; or the vocabulary used by doctors, coal miners or mountain climbers. One effect is the use of specialist terms like *phoneme* in linguistics or *gigabyte* in computing.

1. Homonymy

The first type of lexical relation is homonymy. In general, linguists usually define homonymy as different words with the same form. According to Riemer (2010: 161), homonymy (Greek 'same name') refers to the situation where a single phonological form possesses unrelated meanings. For example, the English verb pronounced [weiv] is spelt *wave* or *waive*, depending on the meaning. The different spellings are a clue to the fact that there are two historically different verbs whose pronunciations happen to have converged. Riemer says that the verb *wave* derives from Old English *wafian*, whereas the verb *waive* is derived from an Old French *gaiver*. Thus these two words originally had different pronunciations.

In the study of semantics, we recognize two types of homonymy, absolute homonymy and partial homonymy. First, absolute homonymy will satisfy the following three conditions (in addition to the necessary minimal condition for all kinds of homonymy—identity of at least one form): (a) they will be unrelated in meaning, (b) all their forms will be identical, and (c) the identical forms will be grammatically equivalent. Second, partial homonymy is the case (a) where there is identity of (minimally) one form and (b) one or two, but not all three, of the conditions of absolute homonymy are satisfied (Lyons, 1991: 55).

Other terms that are also used in the discussion of homonymy are homograph and homophone. Homograph refers to the senses of the same written word. In this case, there are two different words that are spelt exactly the same. For example, the word *lap* that means 'a circuit of a course' and the word *lap* that means 'part of body when sitting down' are homographs.

Homophone is recognized as the two or more senses of the same spoken word. For example, the word *son* and the word *sun* are pronounced exactly the same. The other example of homophone is the lexical relation between the verb *ring* and the verb *wring*.

Finally, we need to keep in mind that the variations in pronunciation mean that not all speakers have the same set of homonyms. Some English speakers, for example, pronounce the pairs *click* and *clique*, or *talk* and *torque*, in the same way, making these homonyms which are spelled differently.

2. Polysemy

There is a traditional distinction made in lexicology between homonymy and polysemy. Both deal with multiple senses of the same phonological word, but polysemy is invoked if the senses are judged to be related. This is an important distinction for lexicographers in the design of their dictionaries, because polysemous senses are listed under the same lexical entry; while homonymous senses are given separate entries. Lexicographers tend to use criteria of 'relatedness' to identify polysemy. These criteria include speakers' intuitions, and what is known about the historical development of the items. We can take an example of the distinction from the *Collins English Dictionary* (Treffry 2000: 743) where various senses of *hook* are treated as polysemy and therefore listed under one lexical entry:

hook (huk) *n.* 1. a piece of material, usually metal, curved or bent and used to suspend, catch, hold, or pull something. 2. short for fish-hook. 3. a trap or snare. 4. *Chiefly US* something that attracts or is intended to be an attraction. 5. something resembling a hook in design or use. 6.a. a sharp bend or angle in a geological formation, esp. a river. b. a sharply curved spit of land. 7. *Boxing.* a short swinging blow delivered from the side with the elbow bent. 8. *Cricket.* a shot in which the ball is hit square on the leg side with the bat held horizontally. 9. *Golf.* a shot that causes the ball to swerve sharply from right to left. 10. *Surfing.* the top of a breaking wave, etc.

Two groups of senses of *hooker* on the other hand, as (10) below shows, are treated as unrelated, therefore a case of homonymy, and given two separate entries:

hooker¹ ('huk2) *n.* 1. a commercial fishing boat using hooks and lines instead of nets, 2. a sailing boat of the west of Ireland formerly used for cargo and now for pleasure sailing and racing.

hooker² ('huk2) *n.* 1. a person or thing that hooks. 2. *US and Canadian slang.* 2a. a draught of alcoholic drink, esp. of spirits. 2b. a prostitute. 3. *Rugby.* the central forward in the front row of a scrum whose main job is to hook the ball.

Speakers may differ in their intuitions, and worse, historical fact and speaker intuitions may contradict each other. For example, most English speakers seem to feel that the two words *sole* 'bottom of the foot' and *sole* 'flatfish' are unrelated, and should be given separate lexical entries as a case of homonymy. They are, however, historically derived via French from the same Latin word *solea* 'sandal'. So an argument could be made for polysemy. Since in this case, however, the relationship is really in Latin, and the words entered English from French at different times, dictionaries side with the speakers' intuitions and list them separately. A more recent example is the adjective *gay* with the two meanings 'lively, light-hearted, bright' and 'homosexual'. Although the latter meaning was derived from the former in recent history, for many speakers the two senses are quite distinct, and they may seem like homonyms to some, especially younger, English speakers.

3. Synonymy

The third type of lexical relation is called synonymy. We can say that two or more expressions with the same meaning are synonymous. In talking about synonymy, we have to note down two points. First we do not restrict the relation of synonymy to lexemes: it allows for the possibility that lexically simple expressions may have the same meaning as lexically complex expressions. Second, synonymy makes identity, not merely similarity, of meaning the criterion of synonymy.

Synonyms are different phonological words which have the same or very similar meanings. Some examples might be the pairs below:

couch/sofa boy/lad lawyer/attorney toilet/lavatory
large/big

Even these few examples show that true or exact synonyms are very rare. As Palmer (1981) notes, the synonyms often have different distributions along a number of parameters. They may have belonged to different dialects and then become synonyms for speakers familiar with both dialects, like Irish English *press* and British English *cupboard*. Or the words may belong to different registers, those styles of language, colloquial, formal, literary, etc. that belong to different situations. Thus *wife* or *spouse* is more formal than *old lady* or *missus*. The synonyms may portray positive or negative attitudes of the speaker: for example *naive* or *gullible* seem more critical than *ingenuous*. Finally, one or other of the synonyms may be collocationally restricted. For example, the sentences below might mean roughly the same thing in some contexts:

She called out to the young lad.

She called out to the young boy.

In other contexts, however, the words *lad* and *boy* have different connotations; compare:

He always was a bit of a lad.

He always was a bit of a boy.

Or we might compare the synonymous pair (17) with the very different pair in:

a big house: a large house

my big sister: my large sister.

As an example of such distributional effects on synonyms, we might take the various words used for the police around the English-speaking world: *police officer*, *cop*, *copper*, etc. Some distributional constraints on these words are regional, like Irish English *the guards* (from the Irish *garda*), British English *the old Bill*, or American English *the heat*. Formality is another factor: many of these words are, of course, slang terms used in colloquial contexts instead of more formal terms like *police officer*. Speaker attitude is a further distinguishing factor: some words, like *fuzz*, *flatfoot*, *pigs* or *the slime*, reveal negative speaker attitudes, while others like *cop* seem neutral. Finally, as an example of collocation effects, one can find speakers saying *a police car* or *a cop car*, but not very likely are *?a guards car* or *?an Old Bill car*.

4. Opposites (antonymy)

Almost all native speakers of English agree to say that words like *dead-alive*, *big-small*, *good-bad*, *pull-push* and *in-out* have the opposite or contradictory meanings. In linguistic term, they are called **antonymy**. However, the notion of oppositeness involved in those word relations seems to cover several different types of relation. For example, the relation between the word *dead* and the word *alive* is different from the relation between the word *big* and the word *small*. It is absolutely right to say that the word *dead* has the same meaning as the expression *not alive*. On the other hand, we cannot say that the word *big* has the same meaning as *not small* because there are some grades between *big* and *small*.

In general, we can say that antonymy may be characterized as a relationship of incompatibility between two terms with respect to some given dimension of contrast. Some words seem to have more than one antonym, depending on the dimension of contrast involved. For example, the word *girl* has both *boy* and *woman*, depending on whether the dimension of contrast is sex or age, and the word *sweet* has both *bitter* and *sour*.

Moreover, Riemer (2010: 137) says that not every word has an obvious antonym: *library*, *of*, and *corresponding* are three cases for which there is no obvious relevant dimension of contrast and for which antonyms are consequently hard to identify. And even where an obvious dimension of contrast does exist, antonyms are not always available: *angry*, for instance, does not have any obvious antonym in English even though we can easily conceive of the scale of arousal and calmness to which it belongs.

In traditional terminology, antonyms are words which are opposite in meaning. It is useful, however, to identify several different types of relationship under a more general label of **opposition**. There are a number of relations which seem to involve words which are at the same time related in meaning yet incompatible or contrasting.

a. Simple antonyms

Saeed (2009: 67) says that simple antonym is a relation between words such that the negative of one implies the positive of the other. The pairs are also sometimes called complementary pairs or binary pairs. In effect, the words form a two-term classification. Examples would include:

dead/alive (of e.g. animals)

pass/fail (a test)

hit/miss (a target)

So, using these words literally, *dead* implies *not alive* etc., which explains the semantic oddness of sentences like:

?My pet python is dead but luckily it's still alive.

Of course speakers can creatively alter these two-term classifications for special effects: we can speak of someone being *half dead*; or we know that in horror films the *undead* are not alive in the normal sense.

b. *Gradable antonyms*

This is, according to Saeed (2009: 68), a relationship between opposites where the positive of one term does not necessarily imply the negative of the other, e.g. *rich/poor*, *fast/slow*, *young/old*, *beautiful/ugly*. This relation is typically associated with adjectives and has two major identifying characteristics: firstly, there are usually intermediate terms so that between the gradable antonyms *hot* and *cold* we can find:

	hot
(warm tepid cool) cold	

This means, of course, that something may be neither hot nor cold. Secondly, the terms are usually relative, so *a thick pencil* is likely to be thinner than *a thin girl*; and *a late dinosaur fossil* is earlier than *an early Elvis record*. A third characteristic is that in some pairs one term is more basic and common, so for example of the pair *long/short*, it is more natural to ask of something *How long is it?* than *How short is it?* For other pairs there is no such pattern: *How hot is it?* and *How cold is it?* are equally natural depending on context. Other examples of gradable antonyms are: *tall/short*, *clever/stupid*, *near/far*, *interesting/boring*.

c. *Reverses*

The characteristic reverse relation is between terms describing movement, where one term describes movement in one direction and the other the same movement in the opposite direction (Saeed, 2009: 68); for example the terms *push* and *pull* on a swing door, which tell you in which direction to apply force. Other such pairs are *come/go*, *go/return*, *ascend/descend*. When describing motion the following can be called reverses: (go) *up/down*, (go) *in/out*, (turn) *right/left*.

By extension, the term is also applied to any process which can be reversed: so other reverses are *inflate/deflate*, *expand/contract*, *fill/empty* or *knit/unravel*.

d. Converses

These are terms which describe a relation between two entities from alternate viewpoints, as in the pairs:

own/belong to
 above/below
 employer/employee

Thus if we are told *Havid owns this book* then we know automatically *This book belongs to Havid*. Or from *Jufri is Amri's employer* we know *Amri is Jufri's employee*. Again, these relations are part of a speaker's semantic knowledge and explain why the two sentences below are **paraphrases**, i.e. can be used to describe the same situation:

My office is above the library.
 The library is below my office.

e. Taxonomic sisters

The term **antonymy** is sometimes used to describe words which are at the same level in a taxonomy. Taxonomies are classification systems; we take as an example the color adjectives in English, and give a selection below:

red orange yellow green blue purple brown

We can say that the words *red* and *blue* are **sister-members** of the same taxonomy and therefore incompatible with each other. Hence one can say:

His car isn't red, it's blue.

Other taxonomies might include the days of the week: *Sunday, Monday, Tuesday* etc., or any of the taxonomies we use to describe the natural world, like types of dog: *poodle, setter, bulldog* etc. Some taxonomies are **closed**, like days of the week: we can't easily add another day, without changing the whole-system. Others are **open**, like the flavors of ice-cream sold in an ice-

cream parlor: someone can always come up with a new flavor and extend the taxonomy.

5. Hyponymy

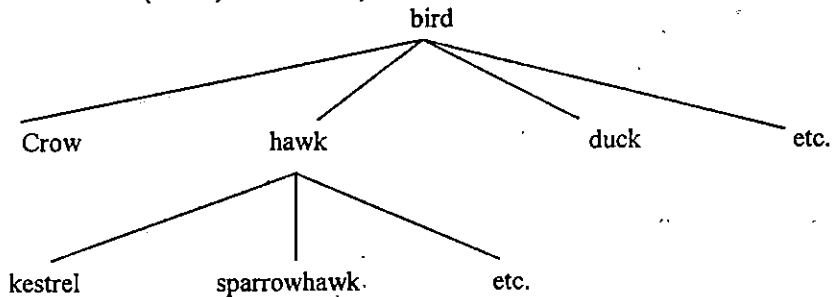
Cruise (2000: 150) says that one of the most important structuring relations in the vocabulary of language is hyponymy. This is the relation between *apple* and *fruit*, *car* and *vehicle*, and *slap* and *hit*. We say that *apple* is a hyponym of *fruit*, and conversely, *fruit* is a superordinate of *apple*. Hyponymy is often defined in terms of entailment between sentences which differ only in respect of the lexical items being tested. *It is an apple* entails *it's a fruit*, but *it's a fruit* does not entail *it is an apple*.

Hyponymy is a relation of inclusion. A hyponym includes the meaning of a more general word, e.g.

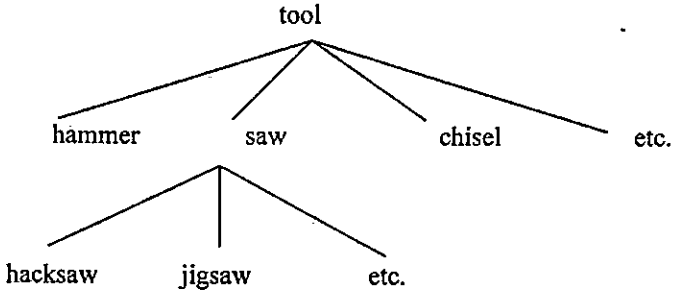
dog and *cat* are hyponyms of *animal*

sister and *mother* are hyponyms of *woman*

The more general term is called the superordinate or hypernym. Much of the vocabulary is linked by such systems of inclusion, and the resulting semantic networks form the hierarchical taxonomies mentioned above. Some taxonomies reflect the natural world, where we only expand a single line of the network (Saeed, 2009: 69-70):



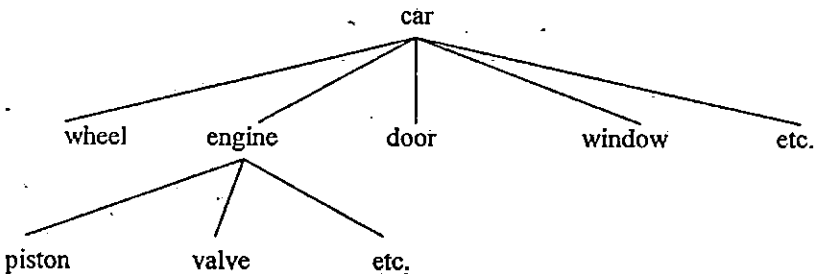
Here *kestrel* is a hyponym of *hawk*, and *hawk* is a hyponym of *bird*. We assume the relationship is transitive so that *kestrel* is a hyponym of *bird*. Other taxonomies reflect classification of human artifact, as in the following figure:



From such taxonomies we can see both hyponymy and the taxonomic sisterhood described in the last section: hyponymy is a vertical relationship in a taxonomy: so *saw* is a hyponym of *tool*; while taxonomic sisters are in a horizontal relationship: so *hacksaw* and *jigsaw* are sisters in this taxonomy with other types of saw. Such classifications are of interest for what they tell us about human culture and mind. Anthropologists and anthropological linguists have studied a range of such folk taxonomies in different languages and cultures, including color terms, folk classifications of plants and animals, and kinship terms.

6. Meronymy

Meronymy is a term used to describe a part-whole relationship between lexical items. Thus *cover* and *page* are metonyms of *book*. We can identify this relationship by using sentence frames like *X is part of Y*, or *Y has X*, as in *A page is part of a book*, or *A book has pages* (Saeed, 2009: 72). Meronymy reflects hierarchical classifications in the lexicon somewhat like taxonomies: a typical system might be:



Meronymic hierarchies are less clear-cut and regular than taxonomies. Meronyms vary, for example, in how necessary the part is to the whole. Some are necessary for normal examples, for example *nose* as a meronym of *face*; others are usual but not obligatory, like *collar* as a meronym of *shirt*; still others are optional like *cellar* for *house*.

Meronymy also differs from hyponymy in transitivity. Hyponymy is always transitive, as we saw, but metonymy may or may not be. A transitive example is: *nail* as a meronym of *finger*, and *finger* of *hand*. We can see that *nail* is a metonym of *hand*, for we can say *A hand has nails*. A non-transitive example is: *pane* is a meronym of *window* (*A window has a pane*), and *window* of *room* (*A room has a window*); but *pane* is not a meronym of *room*, for we cannot say *A room has a pane*. Or *hole* is a meronym of *button*, and *button* of *shirt*, but we wouldn't want to say that *hole* is a meronym of *shirt* (*A shirt has holes!*).

7. Member—collection

This is a relationship between the word for a unit and the usual word for a collection of the units. Examples include:

ship	fleet
tree	forest
fish	shoal
book	library
bird	flock
sheep	flock
worshipper	congregation

8. Portion—Mass

This is the relation between a mass noun and the usual unit of measurement or division. For example, the unit, a count noun is added to the mass noun, making the resulting noun phrase into a count nominal.

drop	of	liquid
grain	of	salt/sand/wheat
sheet	of	paper
lump	of	coal
strand	of	hair

C. COMPONENTIAL ANALYSIS

Lyons (1995: 107-108) says that it is possible for us to formalize, or make absolutely precise, the sense relation that hold among lexemes. This means is known as componential analysis. In this analysis we involve the analysis of the sense of a lexeme into its component parts. An alternative term for componential analysis is lexical decomposition.

One of the motivations for using a componential approach to semantic analysis is semantic relations reveal aspects of meaning. For example, we have a series of hyponyms like *a piece of furniture – chair – armchair*. It is easy to see that each successive level in such a hyponymy simply adds a further semantic specification (or component) to the previous one. In this analysis, actually the lexeme *chair* adds a specification of 'for one person to sit on' to *piece of furniture*, and *armchair* adds 'with arms' to *chair*. Then it is also possible for use to describe the difference between *chair* and *sofa* through a contrast between the feature 'for one person to sit on' (*chair*) and 'for more than one person to sit on' (*sofa*). The following table describes the features of some related lexemes.

Lexeme	With back	With leg	For a single person	For sitting	With arms	Rigid
<i>Chair</i>	+	+	+	+	-	+
<i>Armchair</i>	+	+	+	+	+	+
<i>Stool</i>	-	+	+	+	-	+
<i>Sofa</i>	+	+	-	+	+	+
<i>Bean bag</i>	-	-	+	+	-	-

(Cited from Riemer, 2010: 155)

The information contained in componential analyses like this is essentially similar to the information contained in a definition; in principle, anything that can form part of a definition can also be rephrased in terms of semantic components. Its embodiment in binary features (i.e. features with only two possible values, + or -) represents a translation into semantics of the principles of structuralist phonological analysis, which used binary phonological features like [± voiced], [± labial] [± nasal], etc. to differentiate the phonemes of a language.

The componential analysis of meaning like the one sketched in the above table is precisely analogous to the feature specifications of phonemes advanced in the structuralist tradition. Thus, just as sofa can be described through the use of binary semantic components like [+ with back], [+ with legs], [- for a single person], [+ for sitting], [+ with arms], [+ rigid].

Now let's take another example. The words 'boy', 'girl', 'man', and 'woman' all denote human beings. So it is very possible for us to use the feature of HUMAN to these four words. Then from the word 'boy' and 'man' we can have the feature of MALE, and from the words 'man' and 'woman' it is possible for us to derive the feature of ADULT. Thus, the meaning components of these four words can be illustrated in the following table.

Lexeme	HUMAN	MALE	ADULT
<i>man</i>	+	+	+
<i>Woman</i>	+	-	+
<i>Boy</i>	+	+	-
<i>Girl</i>	+	-	-

Riemer (2010: 156) says that componential analysis was not simply an innovation with respect to preceding modes of semantic analysis. It also crystallized a number of the implicit characteristics of ordinary lexicographical description, particularly the idea (typical of a diverse range of thinkers like Leibniz or the Port-Royal grammarians in France) that the definitional metalanguage used to describe meanings should ideally be constituted by a fixed number of elementary terms which, in order to avoid circularity, would not themselves be open to further analysis. It is only a small step from such a conception of definition to the formalizations of componential analyses with their fixed repertoire of features, taken to represent the elementary building blocks of meaning.

Despite the popularity it enjoyed for a time, especially in structuralist circles, componential analysis is confronted with a number of serious problems. One important problem is the rigidity of the binary feature system, according to which the only possible value of a specified semantic feature is + or - (or unspecified). This aspect of the analysis came to be seen as increasingly unsatisfactory from the 1970s onward, largely in light of psychological evidence about human categorization. This was not the only

problem, however. Another serious problem was the fact that it seemed simply not to apply to many areas of the vocabulary.

Componential analysis is particularly suited to restricted semantic fields from which intuitively obvious semantic distinctions can easily be abstracted. The most obvious types of lexeme to which it can be applied are nouns with obvious properties available for conversion into features ('with legs', 'to sit on', 'for one person', etc.). Elsewhere, however, the utility of features is much less clear. Thus, whereas componential analyses were advanced of words for furniture, of dimension words like *tall*, *short*, *long*, *thick*, and, especially, of kinship terms (an area where the binarity of features such as [\pm female] [\pm same generation] is particularly justifiable, not many other areas of the vocabulary proved open to convincing analysis in this method.

Another problem with componential analysis as a semantic method can be illustrated by a comparison with phonology, the domain in which the technique was first developed. In phonology, features like [\pm voice], [\pm coronal], etc. generally have clear physical definitions: a segment is [$+$ voice] if the vocal folds are vibrating during its production, and [$-$ voice] otherwise. Whether a segment should be classified as [$+$ voice] or as [$-$ voice] can therefore, at least in principle, be reasonably unambiguously established. In contrast, the definition of semantic features is much less clear.

Consider as an example the case of [$+$ with legs] in the analysis of the noun *chair*. Many modern types of chair are supported by continuous metal runners which fulfil the same function as traditional legs. Does this type of chair count as [$+$ with legs] or not? We could, of course, simply stipulate, as a matter of definition, that the feature [$+$ with legs] applies to this type of chair as well, but if this type of stipulation is necessary too often there is a risk that the features used become arbitrary.

In spite of these problems, the use of distinctive features in componential analysis had some subtle consequences for many linguists' conception of semantics, by making meaning seem something much more concrete and uniform than it had appeared in traditional dictionary definitions. If the definition of *chair* as 'a separate seat for one person, of various forms, usually having a back and four legs' provides an intuitively clear pointer to the word's denotation, it is still thoroughly informal, and open to a large number of different, and equally effective, phrasings. This did not seem to be the case with a componential analysis in terms of features like [$+$ with back], [$+$ with legs], [$+$ for a single person], [$+$ for sitting], [$-$ with arms], [$+$ rigid],

which brought two important innovations. The first was to suggest that semantic features, like phonological ones, have a higher degree of abstraction and technicality than informal dictionary definitions. Second, in spite of the fairly small number of words for which successful componential analyses were proposed, componential analysis encouraged the assumption that the same distinctive semantic features would recur again and again in the analysis of a vocabulary; assuming, for example, a feature [\pm edible] that distinguishes the nouns *beef* and *cow*, one could then use the same feature to distinguish *plant* and *vegetable*. As a result, the underlying semantic content of language was made to seem highly uniform, with word meanings all cut from the same cloth, and it became possible to identify the underlying conceptual content of a language's vocabulary with the finite list of distinctive semantic features required for its componential analysis.

Exercise 1:

- 1) Explain the relationship between the following antonyms.
 - a. wide/narrow
 - b. smoking/nonsmoking
 - c. near/far
 - d. wife/husband
 - e. cheap/expensive
 - f. man/woman
 - g. teacher/student
 - h. true/false
- 2) Using nouns, provide some examples to show the relationship of hyponymy.

D. GRAMMATICAL SEMANTICS

The study of truth or truth conditions in semantics falls into two basic categories: the study of different types of truth embodied in individual sentences (analytic, contradictory, and synthetic) and the study of different types of truth relations that hold between sentences (entailment and presupposition).

I. Analytic Sentences

An analytic sentence is one that is necessarily true as a result of the words in it. For example, the sentence *A bachelor is an unmarried man* is

true not because the world is the way it is, but because the English language is the way it is. Part of our knowledge of ordinary English is that *bachelor* "means" *an unmarried man*, thus to say that one is the other must necessarily be true. We do not need to check on the outside world to verify the truth of this sentence. We might say that analytic sentences are "true by definition." Analytic sentences are sometimes referred to as linguistic truths, because they are true by virtue of the language itself.

2. Contradictory Sentences.

Contradictory sentences are just the opposite of analytic sentences. While analytic sentences are necessarily true as a result of the words in them, contradictory sentences are necessarily false for the same reason. The following sentences are all contradictory: *A bachelor is a married man*, *A blue gas is colorless*, *A square has five equal sides*. In each case, we know the sentence is false because we know the meaning of the words in it: part of the meaning of *bachelor* is 'unmarried'; part of the meaning of *blue* is 'has color'; part of the meaning of *square* is 'four-sided.' It is not necessary to refer to the outside world in order to judge each of these sentences false. Consequently, contradictory sentences are sometimes referred to as linguistic falsities, because they are false by virtue of the language itself.

3. Synthetic Sentences.

Sentences that may be true or false depending upon how the world is are called synthetic. In contrast to analytic and contradictory sentences, synthetic sentences are not true or false because of the words that comprise them, but rather because they do or do not accurately describe some state of affairs in the world. For example, the sentence *My next door neighbor, Bud Brown, is married* is a synthetic sentence. Note that you cannot judge its truth or falsity by inspecting the words in the sentence. Rather, you must verify the truth or falsity of this sentence empirically, for example by checking the marriage records at the courthouse. Other examples of synthetic sentences include *Nitrous oxide is blue*, *Nitrous oxide is not blue*, *Bud Brown's house has five sides*, and *Bud Brown's house does not have five sides*. In each case, the truth or falsity of the sentence can be verified only by consulting the state of affairs that holds in the world. Thus, synthetic sentences are sometimes referred to as empirical truths or falsities, because they are true or false by virtue of the state of the extralinguistic world.

The examples that we have considered so far seem fairly straightforward. Analytic and contradictory sentences are true and false, respectively, by definition. Synthetic sentences, however, are not—they must be verified or falsified empirically. Nevertheless, some sentences do not seem to fall neatly into one of these two groups. Consider, for example, the sentence *Oxygen is not blue*. It is true. But is it analytic-true by virtue of the words that make it up (i.e., part of the meaning of *oxygen* is 'without color')? Or is it synthetic-true because it coincides with the state of the world (i.e., because it just so happens that oxygen has no color)? This can get to be a thorny issue and the experts don't always have a uniform answer to such questions. However, it would probably be reasonable to treat such cases as synthetic truths rather than analytic truths. This is because it is easy to imagine conditions under which the sentence *Oxygen is not blue* would be false. For example, suppose scientists froze oxygen and found that solid oxygen is in fact blue. Such a finding would not cause a change in the meaning of the word *oxygen*, but rather a change in our understanding of the substance oxygen. In contrast, consider the sentence *A colorless gas is not blue*. It is impossible, at least for us, to imagine a situation in which this sentence would be false. If a gas is colorless, it cannot be blue; if it is blue, it cannot be colorless. Thus it seems reasonable, at least until more light can be shed on the subject, to consider sentences like *Oxygen is not blue* as synthetically true.

4. Entailment

An entailment is a proposition (expressed in a sentence) that follows *necessarily* from another sentence. For example, *John fried fish* entails *John cooked fish*, because fish cannot be fried without being cooked. The test for entailment is as follows: sentence (a) entails sentence (b) if the truth of sentence (a) insures the truth of sentence (b) and if the falsity of sentence (b) insures the falsity of sentence (a). Consider the following sentences: (a) *The Duke of New York suffered a fatal heart attack* and (b) *The Duke of New York is dead*. In this case, sentence (a) entails sentence (b) because the truth of (a) insures the truth of (b) (if the Duke of New York suffered a fatal heart attack, he necessarily is dead), and the falsity of (b) insures the falsity of (a) (if the Duke of New York is not dead, he necessarily didn't suffer a fatal heart attack).

Note, however, that the relation of entailment is unidirectional. For instance, consider our example sentences again, but in the opposite order: (b)

The Duke of New York is dead and (a) *The Duke of New York suffered a fatal heart attack*. In this case, sentence (b) does not entail (a) (if the Duke of New York is dead, he did not necessarily die of a heart attack—he may have died of kidney failure or he may have been hit by a bolt of lightning); and the falsity of (a) does not insure the falsity of (b) (if the Duke of New York did not suffer a fatal heart attack, it is not necessarily the case that he is not dead—he may, once again, have died of kidney failure or he may have been hit by a bolt of lightning). In short, then, it should be clear that the relation of entailment is unidirectional.

This is not to say, however, that there cannot be a pair of sentences such that each entails the other. Rather, when such a relation holds, it is called paraphrase. For example, the sentences *Biff and Tammy are good scouts* and *Tammy and Biff are good scouts* are paraphrases of each other. Likewise, *Tammy was driven home by Biff* is a paraphrase of *Biff drove Tammy home*.

5. Presupposition

A presupposition is a proposition (expressed in a sentence) that is *assumed* to be true in order to judge the truth or falsity of another sentence. For example, *John didn't pass chemistry* presupposes that *John took chemistry*, because not passing chemistry assumes the person in question actually took chemistry. The test for presupposition is as follows: sentence (a) presupposes sentence (b) if the falsity of (b) renders (a) without a truth value. A sentence without a truth value is one that cannot be judged true or false. Questions, for example, are typical of sentences without truth values. What sense would it make to say that a sentence like *Do you have blue eyes?* is true or false? Likewise, imperatives have no truth value. It wouldn't make any sense to say that a sentence like *Shut up!* is either true or false.

Now, let's consider an example of presupposition and examine how this concept relies on the notion of "sentence without a truth value." As stated before, one sentence presupposes another if the falsity of the second renders the first without a truth value. Consider the following sentences: (a) *The Duke of New York is dead* and (b) *There is a Duke of New York*. Sentence (a) presupposes (b) because if (b) is false, then (a) has no truth value. Note that if (b) is false—that is, if there is no Duke of New York—then it doesn't make sense to say that (a) *The Duke of New York is dead* is true or false. For (a) to be true, there would have to be such a thing as the Duke of New York and he would have to be dead. On the other hand, for (a) to be false, there would

have to be such a thing as the Duke of New York and he would have to *not* be dead..

Another property of presupposition is that a sentence and its denial (i.e., the negative version of the sentence) have the same set of presuppositions. Thus if sentence (a) *The Duke of New York is dead* presupposes sentence (b) *There is a Duke of New York*, then the denial of sentence (a) *The Duke of New York is not dead* also presupposes sentence (b). If there is no Duke of New York, then *The Duke New York is not dead* cannot be judged true or false.

Exercise 2:

- 1) What kind of truth is illustrated by each of the following sentences?
 - a. aWaldo's living room has four right angles.
 - b. A square has four right angles.
- 2) *Boys will be boys* is an example of a(n) _____ sentence or linguistic truth.
- 3) *A widow is a man whose wife has died* is an example of a(n) _____ sentence or linguistic falsity.
- 4) *My mother is a widow* is an example of a(n) _____ sentence or empirical truth/falsity.
- 5) What truth relation holds between each pair of sentences? How can it be demonstrated?
 - A. Fred is mortal.
 - B. Fred is a man.
 - C. Fred's wife is six feet tall.
 - D. Fred is married.
- 6) Explain why the following sentence illustrates entailment!
George Washington chopped down a cherry tree entails 'George Washington chopped down a tree.
- 7) Explain the relationship between these two sentences.
 - A. Fester has children.
 - B. Fester's middle son is a dentist.

SUMMARY

Contributions to the theory of semantics have come from two main sources: from linguists who have traditionally been interested in the core meaning or sense of linguistic expressions (especially words) and from philosophers who have traditionally been concerned with the reference of linguistic expressions and the truth of sentences. The study of sense makes use of such concepts as lexical decomposition, semantic features, lexical ambiguity, synonymy, hyponymy, overlap, and antonymy. The study of reference utilizes concepts such as referent, extension, prototype, stereotype, coreference, anaphora, and deixis. Finally, the study of truth conditions relies on the notions of analytic, contradictory, and synthetic sentences, as well as entailment and presupposition.

FORMATIVE TEST 3

- 1) What is semantics?
- 2) What is the lexical relation between the following pairs of words?
 - a. shallow deep
 - b. mature ripe
 - c. table furniture
 - d. single married
 - e. buy sell
- 3) You go to see one of your professors and find a note on the office door that says, in its entirety, *Back in 20 minutes*. You are not sure when the professor will return. What area of semantics accounts for the confusing nature of this note? Explain.
- 4) Explain why The sentence *We saw three stars tonight* is considered ambiguous!
- 5) What is one obvious presupposition of a speaker who says:
 - a. "Where did he buy a beer?"
 - b. "Your watch is broken"
 - c. "Please take me out to the football game again"
 - d. "Who became Prime Minister in 1972?"
- 6) Explain the semantic ambiguity of the following sentences by providing two sentences that paraphrase the two meanings: Example: *She can't bear children* can mean *She can't give birth to children* or *She can't tolerate children*.

- a. He waited by the bank
- b. I saw my friend's photographs
- c. The long drill was boring

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

Answer Key

Unit 1

Exercise 1

- | | | |
|-----------------|------|------------------------------------|
| 1) Enough | /f/ | [voiceless labiodental fricative] |
| 2) without | /ð/ | [voiced dental fricative] |
| 3) reading | /ŋ/ | [voiced velar nasal] |
| 4) bridge | /dʒ/ | [voiced alveopalatal affricate] |
| 5) psychometric | /k/ | [voiceless velar stop] |
| 6) change | /tʃ/ | [voiceless alveopalatal affricate] |
| 7) dash | /ʃ/ | [voiceless alveopalatal fricative] |

Exercise 2

- | | | |
|------------------------------|-----|------|
| 1) low front vowel | /æ/ | bad |
| 2) high front lax vowel | /ɪ/ | sit |
| 3) high back round vowel | /ʊ/ | good |
| 4) mid central unround vowel | /ə/ | able |
| 5) low back round vowel | /ɒ/ | hot |
| 6) mid front unround vowel | /e/ | set |
| 7) high back round lax vowel | /ʊ/ | put |

Note: Many other examples are possible

Exercise 3

- | | | | | |
|---------|------|------|-------|-------|
| a. /ɪə/ | here | dear | clear | ear |
| b. /ʊə/ | sure | poor | tour | your |
| c. /aʊ/ | now | cow | about | proud |
| d. /ɔɪ/ | joy | toy | enjoy | boy |
| e. /eɪ/ | day | may | late | date |

Note: Other examples are possible

Exercise 4

- | | | |
|---------------|--------------|----------------|
| 1) Chemistry | /kəˈmɪstri/ | eight phonemes |
| 2) Photograph | /ˈfəʊtəgræf/ | eight phonemes |
| 3) Thought | /θɔt/ | three phonemes |
| 4) Increase | /ɪnkrɪ:s/ | six phonemes |
| 5) Scream | /skri:m/ | five phonemes |

Exercise 5

1. /t/ vs. /d/ tie vs dietime vs dime
2. /s/ vs. /z/ sue vs zoo hiss vs his
3. /f/ vs. /v/ fine vs vine safe vs save
4. /æ/ vs /ɛ/ sat vs setbat vs bet
5. /i:/ vs. /ɪ/ sheep vs ship beat vs bit

Note: Other examples are possible

Exercise 6

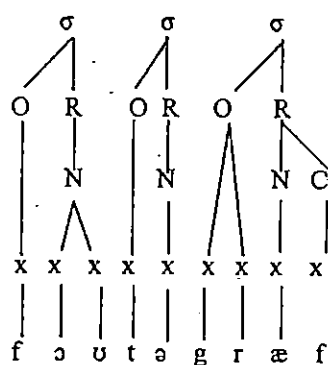
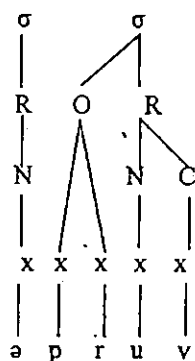
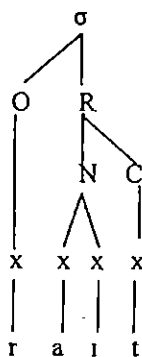
- | | | | |
|------------|------------|------------|---------------|
| 1) Sixth | /sɪksθ/ | [sɪkst] | dissimilation |
| 2) little | /li:təl/ | [li:t] | deletion |
| 3) Bird | /bɜ:d/ | [bɜ:d] | metathesis |
| 4) Hamster | /hæmpstɜ:/ | [hæmpstɜ:] | insertion |
| 5) Books | /bukz/ | [bʊks] | assimilation |

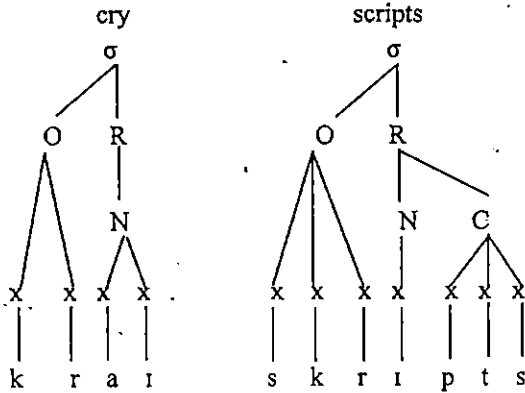
Exercise 7

Write

approve

photograph





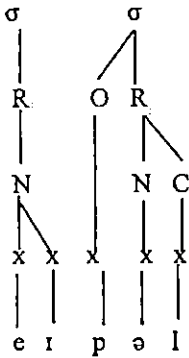
Formative Test

- 1) Define the following terms using your own words!
 - a. **Articulatory phonetics:** The branch of phonetics that studies how speech sounds are produced by human speech apparatus
 - b. **Bilabial:** the consonant that is produced by using both upper lip and lower lip
 - c. **Back vowel:** the vowel that is produced by raising the back part of the tongue
 - d. **Phoneme:** The smallest unit of the language that can differentiate the meaning
 - e. **Assimilation:** the process of changing a sound to become more similar with the neighbour sound(s).
- 2) In each of the following words a sound is underlined. For each sound state (i) its voicing, (ii) its place of articulation and (iii) its manner of articulation.
 - a. die /d/ voiced alveolar stop
 - b. vest /v/ voiced labiodental fricative
 - c. reason /z/ voiced alveolar fricative
 - d. catch /tʃ/ voiceless alveopalatal affricate
 - e. hang /ŋ/ voiced velar nasal
 - f. listen /s/ voiceless alveolar fricative
 - g. cheotic /k/ voiceless velar stop
 - h. Low /l/ voiced alveolar lateral

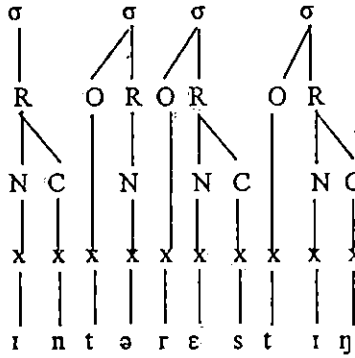
- 3) Circle all the words below that begin with an alveolar sound:
- fin just sin lest dumb
- church great ten thought nest
- 4) Write the phonetic symbol for the last sound in each of the following words
- fleece /s/ watch /ʃ/ long /ŋ/ judge /dʒ/
rough /f/ rags /z/ civic /k/ thought /t/
- 5) How do the following sets of vowels differ from each other?
- [i ɪ] vs. [u ʊ]: the first set is high front vowels while the second set is high back vowels.
 - [i u] vs. [ɛ ɔ]: the first set is high vowels, while the second set is middle vowels.
 - [æ ə ɛ] vs. [ʊ ɔ u]: the first set is unrounded vowels, while the second set is rounded vowels
 - [ə ʌ] vs. [ɔ ɑ]: the first set is central vowels while the second set is back vowels.
- 6) Indicate the symbol representing the sound described by each of the following:
- high front short vowel /ɪ/
 - mid central unstressed vowel /ə/
 - low back unround vowel /ɑ/
 - mid back to front diphthong /oʊ/
 - high front to central diphthong /ɪə/
- 7) Broadly speaking, how does phonology differ from phonetics?:
 phonetics is the study of how sounds are described, while phonology is the study of how sounds are used or structured in a certain language. Phonetics is general, while phonology is language specific.
- 8) What processes are involved in the relationships between:
- [grænd] *grand* and [græmna] *grandma*: deletion and assimilation
 - the word *film* is pronounced [fɪlm] as well as [fɪləm]: insertion
- 9) "/s/ is used when the words end in a voiceless consonant
 /z/ is used when the words end in a voiced consonant
 /ɪz/ is used when the words ends in hissing or sibilant sounds, such as /s, z, dʒ, ʃ/

10) Draw the syllable structure of the following words:

apple



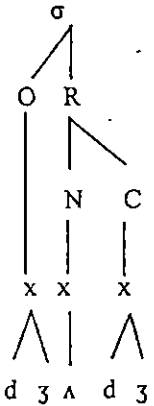
interesting



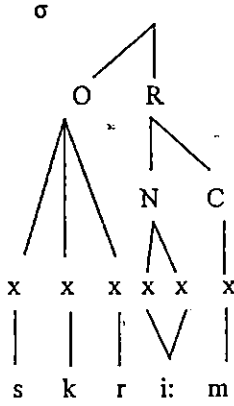
bought



judge



scream



Unit 2

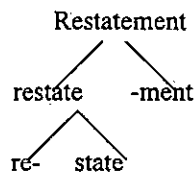
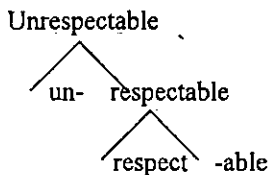
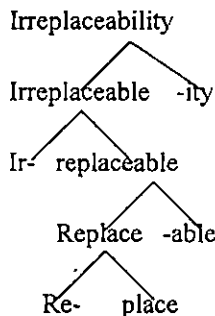
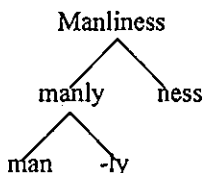
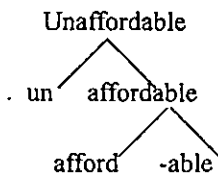
Exercise 1

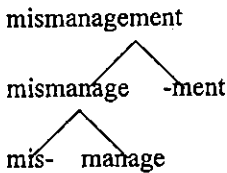
- 1) {er} is used to indicate the comparative degree (more ___ than)
- 2) the meaning of the morpheme {oholic} is addicted to ___
- 3) the word act and pact can stand by themselves, independent of the suffix -ion and -age.
- 4) *Divide the following words into morphemes*

a. Restating	re- state -ing
	G L G
b. Strongest	strong -est
	L G
c. Actively	act -ive -ly
	L G G
d. Precede	pre- -cede
	G L
e. Disentangled	dis- tangle -d
	G L G
f. Ran	run -Past
	L G
g. Women	woman -Plu
	L G

5) * *permit, transmit, submit, admit, commit*. 'mit' is a bound morpheme that should be preceded by a prefix in order to form a verb.

Exercise 2: Draw tree diagrams for each of the following word



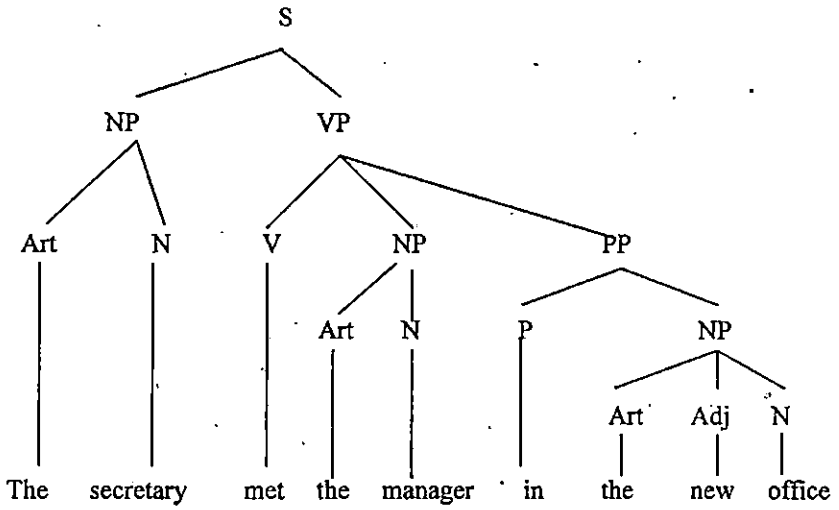


Exercise 3: Give at least three examples of:

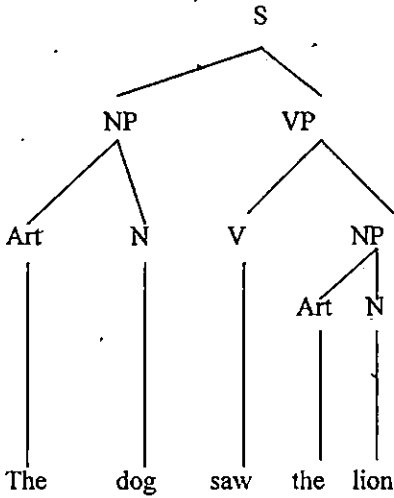
- Blending: motel, smog, brunch
- Compounding: skyline, blackboard, bookstore
- Coinage: Xerox, Kleenex, nylon
- Borrowing: alcohol, boss, piano
- Clipping: ad (advertisement), gas (gasoline), lab (laboratory), Prof. (professor)
- Backformation: *televise* is derived from *television*, *edit* is from *editor*, *donate* is from *donation*, and *opt* is from *option*
- Conversion: I *watered* the flower, He's *papering* the windows, I didn't *butter* the toast, and they *beached* the boat this morning.

Exercise 4:

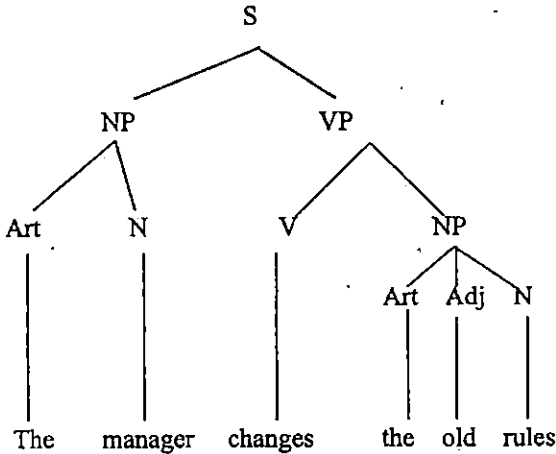
- 1) *Apply the constituent tests to determine if the underlined expressions in the following sentence are constituents*
 - The clouds rolled across the sky: (Constituent- it is a Prepositional Phrase (PP))
 - Some students hate computers: (Not constituent)
 - Too many noisy birds are nesting on campus (not constituent)
 - We drank too much coffee last night (not constituent)
- 2) *Discuss the ambiguity of the following sentences!*
 - The little boy hit the child with the toy; the little boy hit the child by using the toy and the little boy hit the child who had the toy
 - She is an American history teacher: she is a history teacher who is an American and she is a teacher who teaches American history.
 - I saw my brother's photographs; I saw the photographs that belongs to my brother and I saw the photographs of my brother
 - Flying plane can be dangerous; to fly a plane can be dangerous and the plane which is flying can be dangerous.
- 3) *Draw the tree diagram of the following sentences*
 - The secretary met the manager in the new office



- The dog saw the lion



The manager changed the old rules



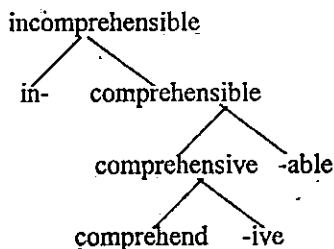
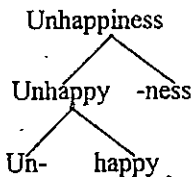
Formative Test

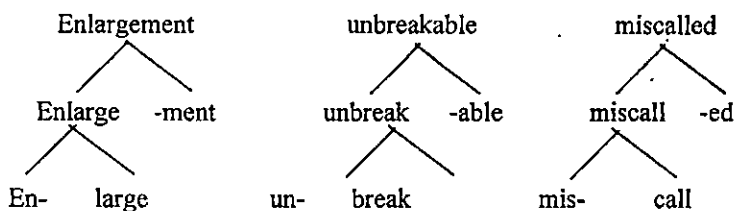
1) Divide these words by placing a + between their separate morphemes.

- Retro + act + ive
- Be + friend + ed
- margin
- un + palate + able
- morph + em + ic

2) Draw the tree diagram for each of the following words!

- unhappiness
- incomprehensible
- enlargement
- unbreakable
- miscalled





- 1) coinage
- 2) Identify the affixes used in the words *unfaithful*, *Carelessness*, *refillable* and *disagree*, and decide whether they are prefixes or suffixes.

<i>unfaithful</i>	prefix un-	faith	suffix -ful
<i>Carelessness</i>	care	suffix -less	suffix -ful
<i>refillable</i>	prefix re-	fill	suffix -able
<i>disagree</i>	prefix dis-	agree	
- 3) Can you identify the word-formation processes involved in producing the italicized forms in these sentences?
 - (a) Laura *parties* every Saturday night. *Functional shift*
 - (b) Tom was worried that he might have *AIDS*. *Acronym*
 - (c) Zee described the new toy as *fantabulous*. *derivation*
 - (d) Eliza exclaimed. "*Absobloominglutely!*" *insertion*
- 4) More than one process was involved in the creation of each of the indicated forms below. Can you identify them?
 - (a) I just got a new *car-phone*. (clipping and compounding)
 - (b) Syamsir wants to be a *footballer*. (compounding and derivation)
 - (c) The negotiators *blueprinted* a new peace proposal. (compounding and inflection)
 - (d) Another *skyjacking* has just been reported. (calque, derivation)
- 5) Can you identify the different elements involved in each of the following compounds?

<i>bedroom</i>	<i>bed(N)</i> + <i>room(N)</i>
<i>blackbird</i>	<i>black (Adj.)</i> + <i>bird (N)</i>
<i>brainwash</i>	<i>Brain (N)</i> + <i>wash (V)</i>
<i>catfish</i>	<i>Cat (N)</i> + <i>fish (N)</i>
<i>clean-shaven</i>	<i>Clean (Adj.)</i> + <i>shaven (V)</i>
<i>crybaby</i>	<i>Cry (N)</i> + <i>baby (N)</i>
<i>haircut</i>	<i>hair (N)</i> + <i>cut (V)</i>
<i>heartbeat</i>	<i>heart (N)</i> + <i>beat (V)</i>
<i>hothouse</i>	<i>hot (Adj.)</i> + <i>house (N)</i>

hovercraft *hover*(V) + *craft* (N)
leadfree *lead* (V) + *free* (Adj.)
madman. *Mad* (Adj.) + *man* (N)
ready-made *ready* (Adj.) + *made* (V)
seasick *sea* (N) + *sick* (Adj.)
sunflower *sun* (N) + *flower* (N)
sunrise *sun* (N) + *rise* (V)
telltale *Tell* (V) + *tale* (N)
threadbare *thread* (V) + *bare* (Adj.)
watchdog *watch* (V) + *dog* (N)
well-dressed *well* (Adv) + *dressed* (V)

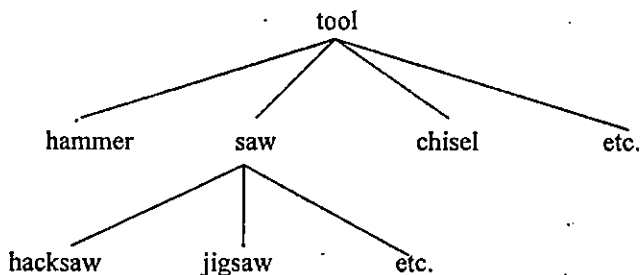
- 6) In what ways are these expressions 'structurally ambiguous'?
- a teacher who teaches American history
- a history teacher who is American
 - we visit the relatives, and it is boring.
- the relatives visit us, and it is boring
 - *The parents of the bride, as well as the groom, were waiting.*
- The parents of both the bride and the groom were waiting
 - a psychology professor who is abnormal
- a professor who teaches abnormal psychology
 - a teacher who teaches a second language
- a language teacher who replaces the first teacher
- 7) Which of the following expressions would be generated by this phrase structure rule: NP \longrightarrow Art (Adj) N
- a new student*
 - the screwdriver*

Unit 3

Exercise 1:

- 1) Explain the relationship between the following antonyms.
- wide/narrow* : gradable antonym
 - smoking/nonsmoking* : simple antonym
 - near/far* : gradable antonym
 - wife/husband* : converse
 - cheap/expensive* : gradable antonym
 - man/woman* : simple antonym
 - teacher/student* : Converse
 - true/false* : simple antonym

- 2) Using nouns, provide some examples to show the relationship of hyponymy.



Exercise 2:

- 1) What kind of truth is illustrated by each of the following sentences?
 - a. synthetic.
 - b. analytic.
- 2) analytic.
- 3) contradictory
- 4) synthetic.
- 5) In the first pair, (B) entails (A). If *Fred is a man* is true, then *Fred is mortal* must be true. In the second pair, (A) presupposes (B). If *Fred's wife is six feet tall* is true, then *Fred is married* must be true; like wise, if *Fred is married* is false, then *Fred's wife is six feet tall* has no truth value.
- 6) If the first sentence is right then the second sentence must be right because a cherry tree must the hyponym of the tree.
- 7) The relationship between A and B is B presupposes A because when we say B when have the knowledge that A is right.

Formative Test

- 1) Semantics is the study of words, phrases, and sentences meaning
- 2) What is the lexical relation between the following pairs of words?

a. gradable antonym	d. Simple antonym
b. synonym	e. converse
c. hyponym	

- 3) Back in 20 minutes has dietic expression because we have to know the time when the professor leaves in order to know what time the professor returns.
- 4) Explain why The sentence *We saw three stars tonight* is considered ambiguous! The word stars has more than one interpretation. The first interpretation is the famous actors or actresses and the second one is the thing shining brightly on the sky in the night.
- 5) What is one obvious presupposition of a speaker who says:
 - a. "Where did he buy a beer?" He bought a beer
 - b. "Your watch is broken" You have a watch
 - c. "Please take me out to the football game again" You have taken me out to the football once
 - d. "Who became Prime Minister in 1972?" There was a prime minister in 1972
- 6) Explain the semantic ambiguity of the following sentences by providing two sentences that paraphrase the two meanings
 - a. He waited by the finance institution, or he waited by the edge of the river.
 - b. I saw the photographs belonging to my friend, or I saw the photographs of my friend.
 - c. The long drill was digging the hole, or the long exercise is boring

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Language Use In Other Disciplines

Dr. Refnaldi, M.Litt



INTRODUCTION

Welcome to Module V. This module deals with how language is used in other disciplines. It is very impossible for us to discuss language use in all other disciplines in one module. Thus, the main focusses on this module are language variation, language policy and planning, English for Specific Purposes (ESP), and Computer Assisted Language Learning (CALL).

After finishing this module, you are kindly expected to be able to:

1. mention and argumentatively criticize the available definitions of language varieties, and formulate and state definition(s) of second language acquisition by using your own words;
2. Explain and provide the examples of accent, dialect, sociolect, and standard variety!
3. Explain and criticise the key issues in language planning and policy!
4. Analyse the three main types of language planning!
5. Explain the goals of language planning!
6. mention and argumentatively criticize the available definitions of ESP, and formulate and state the definition(s) of ESP by using your own words;
7. Explain and analyse the characteristics of English for Specific Purposes (ESP) that make it different from General English (GE).
8. mention and argumentatively criticize the available definitions of Computer Assisted Language Learning (CALL), and formulate and state the definition(s) of CALL by using your own words;
9. Explain and criticise the ways CALL can improve language learning
10. Explain and criticise the development of CALL.

To achieve these objectives systematically, the materials of this module are presented respectively as follow:

1. Unit 1 : Language and Everyday Use

2. Unit 2 : Language, Learning and Expert Use

As this subject belongs to content subject in linguistics, reading activities and academic discussion in groups or in pairs are highly suggested. Therefore, the following activities are kindly suggested to do in order to learn this module successfully.

1. Please read carefully the materials and explanation in each unit;
2. then, read further related references and information by means of independent learning and reading;
3. do not forget to add relevant examples and have discussion in groups or in pairs;
4. sometimes it is not easy to have better understanding on certain complex and complicated concepts. If it is so, read the materials again and you may have comparative discussion with your partners;
5. do all the exercises and compare your answers with those of your friends before consulting the key answers provided!

All right students, do your best and good luck!

UNIT 1

Language and Everyday Use

A. LANGUAGE VARIATION

1. Language Varieties

Linguists' use of the term variety (e.g. Ferguson, 1971) to describe a linguistic system shared by a geographically or socially defined group (covering accent, dialect and language) reflects the centrality of the notion of variation in language study. Accent can be defined as "a reference to pronunciation, which is the collection of phonetic features which allow speakers to be identified regionally and/or socially" (Hickey, 2014: 12). The accent we speak with concerns purely the sound we make when we talk, i.e. our pronunciation. Everybody, certainly, has an accent because they have a pronunciation of their language.

What we speak with our accent is our individual version of a dialect – a regional or social variety of language that may differ from other varieties of the language in features of its vocabulary, grammar, and pronunciation (Crane, Yeager, and Whitman, 1981). Like an accent, everybody speaks one or more dialects. Standard Southern British English dialect is just one dialect among many. To recognize that this is true, we only have to think of that dialect from an international perspective: it marks the speaker as coming from a particular place (the south of England or perhaps just England) which is just one of the very many places where English is spoken. A dialect is made up of vocabulary items (what Carstairs-McCarthy, 2002: 13, calls 'lexical items', that is words, approximately) and grammatical patterns, and is usually spoken with a particular accent, though in principle the accent may be divorced from the dialect such as when an American, in an attempt to mimic the English, calls someone 'old chap', but still sounds American (Bauer, 2002: 3).

Next we need to ask what the relationship is between dialect and language. This is not an easy question to answer. One of the experts in dialectology, Haugen (1966) once pointed out that language and dialect are two ambiguous terms in linguistics. Ordinary people use these terms quite freely in speech; for them a dialect is almost certainly no more than a local non-prestigious variety of a real language. Dialect may be understood as

referring only to rural speech; it may be understood as referring only to non-standard language; it may be interpreted as implying 'quaint' or 'colourful' or 'unusual'; none of these are things which a linguist would necessarily wish to imply by using the word. Wardhaugh and Fuller (2015: 29) use the term superordination in contrast to subordination in distinguishing language and dialect. Language is usually used to mean both the superordinate category and the standard variety; while dialects are nonstandard and subordinate to languages.

In addition, Wardhaugh (2006: 30), the relationships between languages and dialects can be seen through the concepts of "power" and "solidarity" that may help us understand what is happening. Power requires some kind of asymmetrical relationship between entities: one has more of something that is important, e.g. status, money, influence, etc., than the other or others. A language has more power than any of its dialects. It is the powerful dialect but it has become so because of non-linguistic factors. Standard English and Parisian French are good examples. Solidarity, on the other hand, is a feeling of equality that people have with one another. They have a common interest around which they will bond. A feeling of solidarity can lead people to preserve a local dialect or an endangered language to resist power, or to insist on independence. It accounts for the persistence of local dialects, the modernization of Hebrew, and the separation of Serbo-Croatian into Serbian and Croatian.

2. Standard Variety of English

For prescriptivists, the term 'standard variety' must look like quite an oxymoron, given that standard suggests an accepted norm but variety suggests that languages come in different versions. Furthermore, the word variety suggests, and rightfully so, that the standard is really just another dialect, at least linguistically speaking. There is also a statement saying that the notion of a single standard version of a language is a dead end for applied linguists, but it remains a powerful one in the minds of language users (Hall et al., 2011: 4). Thus, while the differences between varieties can be empirically described by linguists, users imbue these differences simultaneously with two fundamentally different forms of meaning: linguistic and social significance. An example in (1) which was taken from Hall et al (2011: 29) shows these different interpretations, based on a fragment of a variety that greatly surprised one of the authors who as a child

moved from the Midwestern state of Michigan to Maine in New England on the East Coast of the USA.

- (1) Smith : I really liked that movie.
 Maine resident : So didn't I. It was wicked good.

Like the young Smith, readers unfamiliar with this variety can probably negotiate the unfamiliar linguistic expression and understand that the Maine resident here is actually agreeing with Smith that the movie was a good one rather than expressing disagreement. Embedded in non-linguistic and other contextual clues, this example of 'non-standard' use of *didn't doesn't* cause any breakdown in communication. As is typical of instances of intralinguistic dialect contact, speakers work out the message without much difficulty. There may be another question raised by such contact: just who is speaking with appropriate norms here? The young Smith, whose usage may be closer to the variety this book is written in, or his counterpart, into whose linguistic territory Smith has just moved? Thus, we could argue that all varieties function as the standard (the norm for the context) somewhere, usually in the geographic location(s) or social contexts in which the speakers who speak them are situated, but also in text-types or in cyberspace.

In English, there is a standard variety known as standard English (SE). This type of English is called 'standard' because it has undergone standardization, which means that it has been subjected to a process through which it has been selected, codified and stabilized, in a way that other varieties have not (Trudgill and Hannah, 2013: 1). It is the variety of English used in public life in England and other English speaking countries, for example: in education, law, medicine and government. Nowadays, it has no geographical boundary, and is used across the whole of England and other English speaking countries. In England, it also has an accent associated with it, known as RP. Kerwsill (2007: 37) argues that ideas surrounding 'Standard English' depend on the social and economic relationships between sections of the population in a particular time and place – and on the ideologies that are linked to these social conditions. This is most clearly seen in the rise of a belief in a 'standard' pronunciation in Britain, RP. Because of their origins and history, SE and RP are closely associated with the language of the middle and upper classes in English society, known variously as 'the Queen's English' or 'BBC English'.

In social terms, linguistic forms which are not part of standard English are by definition non-standard. Because the standard dialect is always the first to be codified, it is difficult to avoid defining other dialects without contrasting them with the standard. And then, because such non-standard forms are associated with the speech of less prestigious social groups, the label inevitably acquires negative connotations. It is very important to understand, however, that there is nothing linguistically inferior about non-standard forms. They are simply different from the forms which happen to be used by more socially prestigious speakers. To avoid the implication that non-standard forms are inadequate deviations from the standard, some sociolinguists use the term vernacular as an alternative to non-standard.

Vernacular is a term which is used with a variety of meanings in sociolinguistics, but the meanings have something in common. Just as vernacular languages contrast with standard languages, vernacular dialect features contrast with standard dialect features. Vernacular forms tend to be learned at home and used in informal contexts. So all uses of the term vernacular share this sense of the first variety acquired in the home and used in casual contexts. Vernacular dialects, like vernacular languages, lack public or overt prestige, though they are generally valued by their users, especially as means of expressing solidarity and affective meaning.

Indeed, there is much disagreement amongst linguists as to whether or not SE can be classed as dialect at all. Some, such as Chambers and Trudgill (1980) and Milroy (1987) argue that it is, pointing out that all speakers speak at least one dialect, and that standard English is as much a dialect as any other form of English. Consequently, some speakers may have no other variety than SE, whilst others may have either a regional variety and/or SE. Other linguists disagree, on the grounds that standard English differs from other dialects in a number of ways, especially in the fact that it has its own writing system. Because of this, they argue that dialects and the study of dialect should concentrate upon speech. This position, however, ignores the fact that many nonstandard English dialects in England such as that found in the Black Country in the English West Midlands or Geordie in the North East of England have an established tradition of writing. Also, if standard English is not a dialect, then it is difficult to see what else it could be.

3. Received Pronunciation (RP)

The term 'Received Pronunciation' (RP) has come to designate the British English style of pronunciation that carries the highest overt prestige. It is generally agreed that it has long lost all associations with its regional origin (London and the South-East of England) and is now purely a class dialect (or 'sociolect'). As such the term is often used synonymously with 'standard pronunciation' or at any rate, taken to represent some sort of standard, at least for British English, at home and abroad. Hickey (2014: 263) argues that RP is a socially prestigious accent of English in Britain. Its roots lie in the speech of London in the early modern period but it became a sociolect, and hence non-regional. Hickey's idea emphasizes that RP is an accent, not a dialect, because all RP speakers speak Standard English. RP is a non-regional variety because it does not contain any clues about the speakers' geographic background; instead, it does reveal a great deal about their social and/or educational background. In addition, in relation to the status of RP as a socially based accent, Trudgill (1995: 7) has pointed out what he considers to be the most interesting characteristics of RP: (i) the speakers who use it do not identify as coming from a particular region, nor is the variety associated with a particular region, except that it is largely confined to England; and (ii) it is possible to speak Standard English but not speak RP; hence it is characterized as an accent and not a dialect.

RP is probably the most widely studied and most frequently described variety of spoken English in the world, yet recent estimates suggest only 3% of the UK population speak it (Wardhaugh and Fuller, 2015: 40). It has a negligible presence in Scotland and Northern Ireland and is arguably losing its prestige status in Wales. It should properly, therefore, be described as an English, rather than a British accent. As well as being a living accent, RP is also a theoretical linguistic concept. It is the accent on which phonemic transcriptions in dictionaries are based, and it is widely used for teaching English as a foreign language.

The development of RP and its unique position in British society is closely linked to the rise of accent as a social signifier and the wish to establish a standard for spoken language. The historical origins of an English speech standard are commonly traced back to the 16th century (Gimson, 1977; Mugglestone, 1995; Nevalainen, 2003) when prestige became attached to one type of pronunciation. According to Honey (1985: 241), this development started as early as the 15th century, with the emerging

predominance of a variety which was “a fusion of South Central Midlands influences with existing London speech forms”. For political and economic reasons, it was the educated speech of the capital and the surrounding areas which emerged as the high-status variant. The fact that Britain’s central government, trade and fashion were mainly concentrated on the capital contributed to making the London accent widely understood throughout the country. Moreover, it was the pronunciation of the upper social ranks that provided the model for spoken language, which is in line with Haugen’s observation that “if a recognised élite already exists with a characteristic vernacular, its norm will almost inevitably prevail” (Haugen, 1997: 349). The 16th century pronunciation norm was neither fixed nor codified, but it was ‘focalised’ in social and regional terms (Nevalainen, 2003: 135). It became a social norm associated with the upper classes in the southeast, and later in the whole of England.

4. Exercise

- 1) How do you define variety in linguistics?
- 2) What do the following terms mean?
 - a. Accent
 - b. Dialect
 - c. Language
- 3) Why does the term ‘standard variety’ look like an oxymoron?
- 4) Why Standard English (SE) is called standard variety of English?
- 5) What is your understanding of RP?

5. Summary

Variety is a term used to describe a linguistic system shared by a geographically or socially defined group (covering accent, dialect and language) reflects the centrality of the notion of variation in language study. Accent can be defined as a reference to pronunciation, which is the collection of phonetic features which allow speakers to be identified regionally and/or socially. A dialect can be defined as a regional or social variety of language that may differ from other varieties of the language in features of its vocabulary, grammar, and pronunciation. A dialect is made up of vocabulary items and grammatical patterns, and is usually spoken with a particular accent. Dialect may be understood as referring only to rural speech; it may be

understood as referring only to non-standard language; it may be interpreted as implying 'quaint' or 'colourful' or 'unusual'. Language is usually used to mean both the superordinate category and the standard variety; while dialects are nonstandard and subordinate to languages. In addition, the relationships between languages and dialects can be seen through the concepts of "power" and "solidarity" that may help us understand what is happening. Power requires some kind of asymmetrical relationship between entities: one has more of something that is important, e.g. status, money, influence, etc., than the other or others. A language has more power than any of its dialects. It is the powerful dialect but it has become so because of non-linguistic factors.

In English, there is a standard variety known as standard English (SE). This type of English is called 'standard' because it has undergone standardization, which means that it has been subjected to a process through which it has been selected, codified and stabilized, in a way that other varieties have not. It is the variety of English used in public life in England and other English speaking countries, for example: in education, law, medicine and government.

In addition, English also introduces the term 'Received Pronunciation' (RP) that has come to designate the British English style of pronunciation that carries the highest overt prestige. As such the term is often used synonymously with 'standard pronunciation' or at any rate, taken to represent some sort of standard, at least for British English, at home and abroad. RP is a socially prestigious accent of English in Britain. RP is an accent, not a dialect, because all RP speakers speak Standard English. RP is a non-regional variety because it does not contain any clues about the speakers' geographic background; instead, it does reveal a great deal about their social and/or educational background. The characteristics of RP include (i) the speakers who use it do not identify as coming from a particular region, nor is the variety associated with a particular region, except that it is largely confined to England; and (ii) it is possible to speak Standard English but not speak RP; hence it is characterized as an accent and not a dialect.

B. LANGUAGE PLANNING AND POLICY

1. Understanding Language Planning and Policy

Although the uses of the terms language planning and language policy vary widely, in general language planning refers to efforts to deliberately affect the status, structure, or acquisition of languages (Fishman, 1974). Language planning is a subset of the general field of social planning that includes a wide range of public-policy concerns (e.g. housing, employment, immigration, and taxation policies). Planning entails a statement of goals as well as a program (plan) to achieve those goals. As Wiley (1996: 108) states that language planning is generally seen as entailing the formation and implementation of a policy designed to prescribe, or influence, the language(s) and varieties of language that will be used and the purposes for which they will be used.

Meanwhile, language policy refers to explicit or implicit language planning by official bodies, such as ministries of education, workplace managers, or school administrators. Language policies may be viewed as guidelines or rules for language structure, use, and acquisition, established and implemented within nation-states or institutions such as schools and workplaces. Such guidelines or rules may be explicitly specified in official documents (e.g. a constitution) or implicitly understood, without a written statement. Although some scholars recognize advantages in limiting language policy to governmental bodies (Jernudd 1993), most researchers extend the term to both public institutions such as schools, government offices, and courts, and to private institutions such as corporations, privately owned businesses, and non-governmental organizations (Tollefson, 1991).

Responding to the definitions of language planning and policy specified above, Hall, Smith, and Wicaksono (2011: 99) say that planners and policy-makers at various levels seek to solve problems in which language is not the ultimate goal or target, but is a key variable or factor in some other social issue. A great deal of official language planning, for example, aims to provide citizens and clients with access to opportunities to participate in public institutions, and to receive services in legal, medical, work and religious domains. And at the individual level, a well-meaning parent or teacher might discourage a child from speaking the local language, promoting instead a more dominant or prestigious language or variety, not from a wish to influence the use of a particular language, but from a desire to

shape the child's social aspirations, educational attainment and economic well-being.

According to Nahir (1998: 351), most definitions of language planning presuppose 'deliberate planning by an organized body enjoying either legal or moral authority, such as a government agency, commission, or academy'. Such legal or moral authority has regularly been located within macro-level institutions created and/or sanctioned by nation-states. This view of language planning locates research within a theory of power which sees the top-down exercise of power (or domination) as the relevant construct for understanding decision-making about languages. Such a view of power in language planning is however problematic as a delimiting agent for constituting the focus of language planning research. It is problematic for a number of reasons.

Liddicoat and Baldauf Jr. (2008: 3-3) mention two reasons why Nahir's view of language planning is problematic. The first reason is that deliberate planning of language issues implies a direct causational relationship between decisions made by those with the power to execute them and the actual results of language planning – leaving aside a role for acceptance of the language plan itself. Such a causational link is not justified by language planning outcomes, which may be unplanned or may result from activities which were not planned (Baldauf, 1994; Eggington, 2002). Such research shows that a restriction that limits analysis to deliberate planning is not helpful in understanding the realities of language planning. In fact, it is often local contextual agents which affect how macro-level plans function and the outcomes that they achieve. As Baldauf notes, the need for an understanding of the unplanned dimensions of language planning outcomes 'is probably especially true at the "micro-level" because there is less awareness of language planning at this level and because such planning is ongoing and therefore commonplace' (Baldauf, 1994: 86).

The second reason is that it oversimplifies the nature of power as it applies in speech communities and how this power is realised in matters of language. All social groups involve technologies of power through which the actions of social agents are shaped. If power is understood as *l'action sur les actions* (Foucault, 1975), the operations and role of power become more complex as power lies not simply in the ability to dominate but also in the ability to shape the behaviour of others. The operation of power is not therefore simply enforcement of particular norms but consists in ways of

getting others to act of their own volition in particular ways. This means that individuals and groups have the potential to exercise power over other members of their society in ways which affect the behaviours of others. Thus, it is not through the coercive and normative power of institutions – the power ascribed by status or realised through sanctions (Carspecken, 1996) – that behaviours are changed but through more subtle operations on the choices of others. Among these are the strategies that Carspecken (1996) identifies as *charm* – the ability to use culturally understood identity claims and norms to gain the trust and loyalty of others – and *contractual power* – an agreement specifying reciprocal obligations between parties. Within a more elaborated view of power, an exclusive focus on macro-level phenomena becomes problematic for a full understanding of the nature of language-related processes.

In addition, in defining language policies there is a need to distinguish between explicit or official policies and those which are implicit or even tacit, embedded in institutional practices (the term used by Baldauf, 1994, regarding “unplanned” language policy and planning). For example, although the U.S. government has never specified English as the official language, English is required in most of its operations. English is the language of courtrooms. Applications for federal grants, for example, carry a requirement that they be submitted in English. Many job announcements carry requirements that applicants speak English. Historically, English language and literacy requirements have served a gatekeeping function in immigration (McKay and Weinstein-Shr, 1993) and have provided “legal sanction” for discrimination (Leibowitz, 1969).

Implicit language policies have been equated with accidental policies, as in the case of the English-only policies that the U.S. Bureau of Indian Affairs imposed on Native-American children (Kaplan, 1991: 153). This is, however, a dubious example of an “accidental” policy, since the plain purpose of the policy was language eradication and cultural dominance. According to Norgren and Nanda (1988: 186), the aim of Indian boarding schools was not merely to teach children the dominant language and culture, but to wrench them completely away from their native cultures and estrange them from their parents and the influence of their tribes. In these schools there was an absolute prohibition on Native American children speaking their own languages, and those that did were humiliated, beaten, and had their mouths washed with lye soap. Though most children were forced to stay in schools,

some parents, despite great obstacles, did remove their children when they realized the unswerving intent of officials to use the schools to destroy their cultures and languages.

Implicit or tacit policies can become hegemonic. Hegemony refers to the ability of dominant groups to maintain and exercise power either through coercion or by the manufacture of consent; that is, through their ability “to gain consent for existing power relationships from those in subordinate positions” (Tollefson, 1991: 11). Linguistic hegemony is achieved when dominant groups create a consensus by convincing others to accept their language norms and usage as standard or paradigmatic. Hegemony is ensured when they can convince those who fail to meet those standards to view their failure as being the result of the inadequacy of their own language (Collins, 1991). Schools have been the principal instruments in promoting a consensus regarding the alleged superiority of standardized languages (Wiley, 1996: 113).

Finally, language policy and planning involve decisions made by individuals (about their own language use and often about the language use of others), as well as decisions made by and for members of certain groups. In this, it is similar to additional language education and literacy, because non-specialists often take leading roles in decision-making processes. Indeed, as we can see in numerous cases, the disciplinary knowledge and expertise of applied linguists are very often only one factor to be considered in complex problems. For this reason, some scholars have categorized language planning as a ‘wicked problem’ (Ricento and Hornberger, 1996) – one which, due to its complexity, may be inherently unsolvable, at least from the vantage point of current scholarly and professional knowledge. Hall et al (2011: 99) describes that the success and effectiveness of language policy and planning efforts will depend on the ability of applied linguists to collaborate with other stakeholders. Besides, their intention is to map the current state of language planning as an area of applied linguistics practice, giving due consideration to the diverse and interrelated social, economic, linguistic and environmental issues that are involved.

2. Government Planning and Language Strategist

In addition to technical definitions regarding language planning and policy, there are also definitional issues related to the level at which language planning occurs and concerning just who language planners are. In some

countries, such as Australia, language policy formation is more centralized than in the United States. Language planning in the United States has the appearance of being more open (Wiley, 1996: 110). Policies may be derived from de facto planners, such as state educational agencies, or from tradition more broadly (McKay, 1993). The principal questions in both centralized and decentralized contexts are "How are language decisions made, and by whom?". Weinstein (1979, 1983) argues that there are two major forces in determining societal language choices: (1) governmental planning, which he sees explicitly as planning, and (2) individual, that is, influential individuals, whom he calls language strategists. In this regard, Tollefson (1991) makes an important distinction between government and state. "Government implies a group of individuals sharing equally in the exercise of power, whereas state refers to the apparatus by which dominant groups maintain their power" (Tollefson, 1991: 10). Language policies are one tool by which the state can solidify and expand its power and thereby the power of those who control the state. Historically, the emerging modern European nation-states promoted "national" vernaculars as a means of creating "imagined communities" that would have a sense of national unity and loyalty among their peoples (Anderson, 1991; Hobsbawm, 1992). This division is somewhat heuristic, however, since individual strategists can influence policy making or in some cases can play the role of leader of state and of language strategist.

From Weinstein's (1983) perspective, language choices are involved in both formal language policies and in the promotion of informal (or market-related) language strategies. Both can result in language decisions which either expand or constrain the language choices of most people. Language decisions in decentralized contexts – such as in the United States – appear to be more open because the lines of influence and authority are not clearly drawn. Heath (1976) suggests using the framework of a language policy configuration to explain the various forces which converge to shape policies. A language policy configuration includes a focus on unofficial, but influential, practices which come to have the force of policy.

When prescriptive linguists or applied linguists are employed by the state to help solve communication problems, or when language teachers (working in state-supported institutions) attempt to promote the standard, or when they teach a second language, they work within a political context. Also, private organizations that retain linguists and language teachers have agendas of their own. Regardless of whether language decisions are initiated

by official governmental language planners or through the influence of language strategists, the decisions have social and political impact. As Weinstein (1983: 37) notes that planning of any kind is dynamic, which is to say that it is the instrument of leaders who desire to change society; it implies a skepticism about the efficacy of “natural” forces and aims at “change by means of rationally coordinated state actions”. Specifically, language structure and usage become a communication problem when they present a barrier to the nonlinguistic changes that the government is promoting.

This observation underscores the position on language policies as instruments of social control and the stance taken in the structural-historical approach. When the state decides to act on a communication problem, it has nonlinguistic agendas. Weinstein (1979, 1983) is also keen to observe that there are other influential players in language planning and in the formation of language policy; that is, the language strategists. Weinstein (1983: 62) defines language strategists as people who innovate linguistically in order to promote political, social or economic interests. Those people could be writers, translators, poets, missionaries, publishers, and dictionary makers who can shape language for political and economic purposes; their effectiveness may be greater than government. They are also called cultural elites who have the power to transform language into a symbol for new community frontiers and interests which are defined and defended by political and economic elites with whom they are allied.

Both governmental language planners and language strategists are involved in the “deliberate” attempt to make or even impose language decisions. Contrary to much of the field of linguistics, which prides itself on its detached descriptivism, language planning strives to prescribe policy for the stated purpose of solving “communication problems”, which it often does. Again, however, communication problems can also result from the imposition of language policies by one group upon another.

3. Three Types of Language Planning

The International Encyclopedia of Linguistics offers the following definition of language planning:

[A] deliberate, systematic, and theory-based attempt to solve the communication problems of a community by studying the various languages or dialects it uses, and developing a policy concerning their selection and use; also sometimes

called language engineering or language treatment. Corpus planning deals with norm selection and codification, as in the writing of grammars and the standardization of spelling; status planning deals with initial choice of language, including attitudes toward alternative languages and the political implications of various choices. (Bright, 1992: 310-311).

According to this definition, language planning involves two interrelated components: corpus planning and status planning. Corpus planning involves "activities such as coining new terms, reforming spelling, and adopting a new script". It refers, in short, to the creation of new forms, the modification of old ones, or the selection from alternative forms in a spoken or written code (Cooper, 1989: 31). It entails efforts to change the body or corpus of a language. Technically, status planning relates to increasing or restricting the uses of a language but not to increasing the number of its speakers. Status planning concerns the relationship between languages rather than changes within them.

In addition to these two types of language planning, Cooper (1989: 31) proposes a third major type of language planning, language acquisition planning, which follows from this definition: "Language policy-making involves decisions concerning the teaching and use of language, and their careful formulation by those empowered to do so, for the guidance of others". He argues that this additional category is needed because considerable planning energy is directed toward language spread, especially through education. In addition, Cooper argues for acquisition planning as a separate major category of language planning. Language spread can be thought of as promoting the acquisition of a new language or as promoting a variety of a particular language as the standard. These three types are discussed in this unit.

a. Corpus planning

Corpus planning may include attempts to define or reform the standard language by changing or introducing forms in spelling, pronunciation, vocabulary, and grammar. It may include orthography planning, which involves the creation and reform of alphabets, syllabaries, and ideographic writing systems. Examples of corpus planning include the reforms of

Hebrew, Norwegian, and Turkish and, in the case of Chinese, the promotion of a common spoken form, Putonghua (in the People's Republic of China), and a provision for a romanized written form, Pinyin. Efforts to rid languages of gender bias are also examples of corpus planning.

In addition, Hall et al (2011: 107-108) corpus planning is the attempt to modify the code itself, including the development of terms for new technologies, processes and services. Changes in computer technologies have been especially productive in motivating the creation of new terms across languages. Since many such terms are currently introduced in English, a logical question is whether the term will be borrowed from English or whether an alternative, Indigenous term will emerge or be proposed. Whether Spanish-speaking computer users in Buenos Aires, for example, develop a linguistic preference for a wireless mouse, un ratón inalámbrico, un mouse inalámbrico or some other term depends in part on the efficacy of efforts by national language academies to suggest an attractive alternative term to compete with the English translation.

b. Status planning

Meanwhile, status planning has several dimensions. It has been linked to the official recognition which national governments attach to various languages, especially in the case of minority languages, and to authoritative attempts to extend or restrict language use in various contexts (Cooper, 1989: 32). Status planning issues include, for example, the designation of the language(s) of instruction in schools and decisions regarding whether (and in which languages) bilingual ballots may be used. In these cases, status planning concerns the relationship between languages rather than changes within them. However, status planning is also concerned with the position of different varieties of a single language. In this case, status planning becomes a function of corpus planning. Historically, the creation of a standard language often begins with the selection of a regional or social variety - usually a written variety - that provides a base language for grammatical refinement and vocabulary. This initial language choice confers privilege upon those whose speech and writing most closely conform to the newly selected standard. It inevitably elevates one variety of language over other varieties. Here, again, corpus planning determines status planning, since the process of standardization results in what is usually called the proper or correct variety or is sometimes called the preferred or power variety. All

these terms indicate that the standard is more valued than other varieties (see also Williams, 1992).

c. Language acquisition planning

Language acquisition planning (LAP) describes efforts to promote the acquisition of additional languages. Cooper (1989) describes the careful planning and extensive financial and human resources devoted to the delivery of Hebrew language classes for new immigrants in Israel. There are many contemporary examples of immigrants studying the language and literacies of their adopted countries. Bilingual education programmes are prominent examples of LAP, and the choice of instructional methods and materials they employ can also be viewed from a language planning perspective. In the case of languages in which a standard orthography has not (yet) been established, bilingual educators who select a particular orthography for teaching literacy, or a particular variety of a language for developing materials, need to consider the implications of choosing one variety over others. In Peru, for example, applied linguists involved in the development of an orthography for Ashaninka, an Indigenous language spoken in the Amazon region, must attend not only to the selection or elaboration of symbols to best represent the sounds of that language, but also to disagreements among speakers about which variety should be encoded orthographically. Since the Summer Institute of Linguistics proposed the first orthography of Ashaninka around 1960, at least eight different alphabets have been developed (Hall et al., 2011: 111). An example of the most recent orthography is shown in Figure 5.1, displayed on the wall behind the applied linguist Liliana Fernández and the Indigenous teachers she worked with to develop teaching materials and grammatical understanding for bilingual teachers teaching in Ashaninka and Spanish.

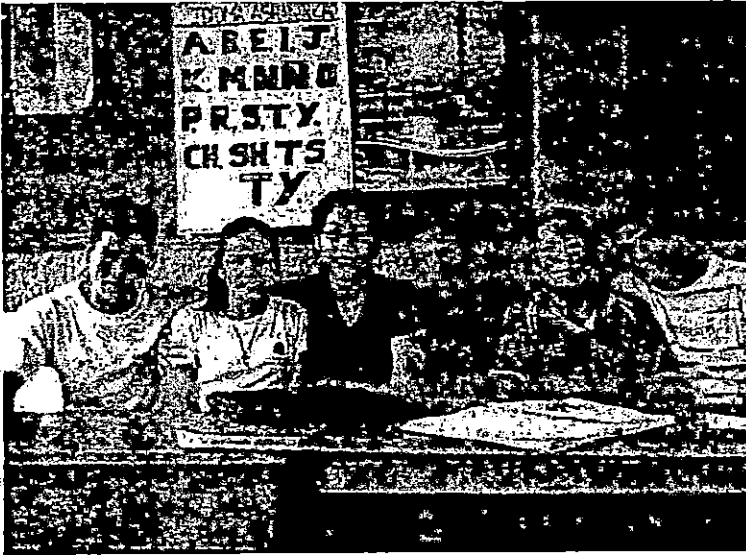


Figure 5.1 A class of bilingual educators studies the grammar and orthography of the Ashaninka language in Peru (Hall et al., 2011: 111)

The decision to publish a textbook in a dominant language such as Arabic, English or French would probably not have major implications for the present vitality of those languages on a global scale. However, a decision to use such a book could have very important consequences in schools and small language communities. For example, a Cameroonian school's decision to adopt a science textbook written in Fulfulde rather than one written in English or French would add massive prestige to the local language, and could be considered an example of status planning. Furthermore, by making available a text in Fulfulde, including the possible creation of new terms (say, in the area of computers and information technology), the decision to educate bilingually or in mother tongue would have implications for corpus planning as textbook writers select terms, consciously or not, that reflect and reinforce certain ways of speaking and writing that are highly valued. Likewise, on the other side of the African continent, the current Kenyan education policy of providing textbooks in English has pedagogical implications: Glewwe, Kremer and Moulin (2007) suggest that the dominant use of English, the third language of many students, in national textbooks limits access to

knowledge and that no single curriculum can serve equitably the linguistically diverse peoples of Kenya.

4. Goals of Language Planning and Policy

Wiley (1996) describes three categories of language planning and policy goals that include (a) language goals, (b) political goals, and (c) economic goals.

a. Language Goals

Whether language policies are implicit or explicit, they involve goals. On the surface, according to Wiley (1996: 122), these goals may be seen as either (1) language-related (wherein language issues appear to be the major focus as an end in themselves) or (2) politically and economically motivated (wherein language appears to be a means to an end). Upon closer inspection, however, even goals that appear to be mostly language related are generally not without political or economic connection and impact. Among language-related goals, three broad types of policies can be identified: (1) language shift policy, (2) language maintenance policy, and (3) language enrichment policy. How language diversity is seen has a major bearing on the agendas for language policy. As noted above, Ruiz (1984) contends that language diversity can either be seen as a problem, a right, or a resource.

Historically, given the many contexts for contact between peoples (e.g., nation formation, migration, trade, wars, conquest and colonization, religious proselytization, intermarriage), language shift is a relatively common occurrence. Language shift can occur as a gradual process, or it can be explicitly planned. When language diversity is seen as a problem, language shift policy is a goal for language acquisition planning, whether explicit or implicit. Bright (1992: 311) describes language shift as "the gradual or sudden move from the use of one language to another, either by an individual or a group". Assuming its inevitability, some scholars have attempted to determine the rate of language shift among immigrant groups. In the case of the United States, Veltman's (1983) analysis of census data determined the rate of shift to be roughly a three generational one (from native language monolingualism to English monolingualism). However, several of Veltman's assumptions have been questioned. Most curious is his exclusion of bilingualism as a circumstance equal to monolingualism. If bilingualism is

not considered, language shift is seen as an either-or phenomenon toward a language rather than toward multilingualism (Wiley, 1991).

Fishman (1981) notes that a considerable degree of language shift has occurred in the United States although there has been neither a constitutional mandate nor a subsequent legal declaration that English be the official language. Rather, the shift has resulted from an implicit policy fostered by a complex web of customs, institutions, and programs which has long fostered well-nigh exclusive reliance upon English in public life. In the absence of an explicit policy, for two centuries literally hundreds of millions of Americans have been led, cajoled, persuaded, embarrassed into, and forced to forget, forego and even deny languages that were either their mother tongues, their communal languages, or their personal or communal additional tongues.

Despite implicit language shift policies and intergenerational drifts toward dominant languages, there are numerous reasons why many individuals who have a minority language status do not shift but remain loyal to their native languages. (Fishman, 1966). Language loyalty refers to the attachment to one's native language. It has been defined as "a concern to preserve the use of a language or the traditional form of a language, when that language is perceived to be under threat" (Bright, 1992: 310). According to Fishman (1981), language loyalty is based upon the persistent attempt to preserve ethnic identity in the face of linguistic and cultural dominance. In education, policies that promote native language maintenance are seen as providing both a cognitive foundation for the transfer of literacy skills from a student's native language to his or her second language (i.e., the dominant language of instruction) and a means of fostering the self-confidence and sense of a self-worth deemed essential for promoting academic success (Crawford, 1991; Cummins, 1985). Fishman (1981: 522) observes that in the United States, policies to promote language maintenance have not been considered (by powerful elites) in the public's (i.e., the dominant group's) interest. He concludes that until it can be so considered, it must be freed from the suspicion of divisiveness and incompatibility with progress, modernity, and efficiency. The major attempts to promote language maintenance policy have been in connection with bilingual education. Although initially embraced with enthusiasm as "a major effort to Anglify the last unfortunates", bilingual education has been steadily attacked, especially since the early 1980s, allegedly out of Anglophone majoritarian fears that maintenance promotes separatism. The idea that societal bilingualism could

be a goal in its own right is lost amid fears of linguistic balkanization (Crawford, 1992; Simon, 1988).

b. Political Goals

Among the more explicitly political goals of language planning are those that attempt to use language as a means to promote nation building. Historically, language planning played a major role in the development of the modern European nation-state. It played this role partly because of the invention of the printing press and the expansion of vernacular literacy (Anderson, 1991: 45).

Taking its cue from the historical role of language in promoting national unification, language planning has taken on considerable importance in the creation of new nations from former colonies. Often the geographical boundaries of such states are more political than linguistic. They often correspond more to the former imperial boundaries than to language, ethnic, or religious distribution. Language planning in such countries, then, is not only important as a means of solving communication problems amid linguistic diversity; it is a means of unifying people whose primary common attribute is that they were formerly dominated by a foreign power. Language planning offers them the opportunity to continue their relationship under a new national (i.e., state) authority in the absence of their former colonial masters. The plan, however, does not always work. Consider how "well" the Tamils have identified with Sri Lanka. And, for those who believe that one language is a requisite for national unity, note the language situation in India, the world's second-most-populous country and its largest democracy. According to Pattanayak (1989: 379), there are 1,652 mother tongues. Depending on how people count, there are between 200 and 700 languages. These languages belong to four language families. There are eight major script systems not counting Roman and Arabic. All these eight belong to a single script family and are derived from Brahmi.

A number of European states and postcolonial states, however, have used linguistic unification as a means of promoting national unification. When a single language is used to help define a nation, it operates on horizontal and vertical axes. Along the horizontal axis, the promotion of a normative, "standard" variety allows the state to expand its influence among speakers and to convince them that they are one people. The promotion of a standard is thus an inclusive language policy, for it seeks to unite speakers of

a socialised common language (Wiley, 1996: 126). To do this, a standard must be developed or selected. The selection of a standard often involves choosing a regional variety that is associated with centers of power and cultural prestige (Grillo, 1989).

Furthermore, established as the standard, the “national” language lends itself to defining a vertical social hierarchy. Along the vertical axis, language proficiency in the standard functions as a means of enhancing and reinforcing stratification among speakers of the same language. Thus, the standard may be used as a gatekeeping mechanism to limit upward mobility to those who have acquired it. Schools play a critical role because they teach the standard and promote continued academic learning through it. Instruction in the literature written by “great writers” (language strategists) of the standard adds status legitimacy to the standard. High-status varieties are associated with the educated, who, through privilege, have access to schools and to the “national” literature canonized therein. In Europe, the bourgeoisie tended to rally behind the standard. In such cases, acquisition planning can be seen as a divisive force along a vertical axis (between classes), since all groups do not have equal access to acquiring the standard through an extended elite education.

Just as an analysis of language planning and language policies is important in the study of nationalism, it is also significant in the study of imperialism. Phillipson (1992) has undertaken a sweeping analysis of linguistic imperialism. Following Galtung (1980: 107), Phillipson (1992: 52) defines imperialism as “a relationship where one society can dominate another. Furthermore, he notes that Galtung’s imperialism theory posits six mutually interlocking types of imperialism: economic, political, military, communicative, cultural, and social imperialism. Phillipson identifies linguistic imperialism as a subtype of cultural imperialism.

c. Economic goals

Language planning often pursues economically motivated goals, such as those pertaining to communication and marketing in international trade (Simon, 1988). Australia has attempted to promote foreign language instruction to improve communication with trading partners who speak Chinese, Indonesian, Japanese, and Korean (Kaplan, 1991). Among other issues are communication and language discrimination in the workplace (Roberts, Davis, and Jupp, 1992) and language rights in the workplace, just

to mention a few. There are also costs associated with changes in language policies and with language. It is estimated that Quebec's promotion of French costs Can\$ 100 million annually (Coulmas, 1992). Companies may overtly impose language requirements on workers and applicants. Often, however, implicit or tacit policies are operative. For example, in Germany no one can become a branch director of a bank without being accepted by the Federal Office of the Supervision of the Banking Business in Berlin. Although its examination focuses on contents rather than on language, it forces non-German-speaking applicants to be proficient in German, since no allowances are made for limited German proficiency. Hence, even though the management of a foreign bank may not share the conviction that German language proficiency is indispensable for heading a branch office in Germany, it cannot but comply with this requirement (Coulmas, 1992: 134).

Lack of language and literacy skills in the dominant language is frequently cited as if it were the cause of poor economic performance, trade deficits, and low productivity, and as if it were responsible for the social "costs" of crime. For example, Kaplan (1991: 163) argues that there is evidence that the highest arrest rates and conviction rates lie among certain linguistic minorities, and there is also evidence that the greatest draw upon social-welfare services originates in those same linguistic minorities. In order to reduce the societal costs imposed on the welfare system and criminal justice system, certain linguistic minorities need to receive linguistic help; i.e., to have greater access to majority-language functions.

Language planning, especially as it relates to literacy, is commonly seen as having a positive impact on the national economy in technological societies. For example, Vargas (1986: 9) argues that the need for the nation's work force to be continuously replenished by adequately trained and functionally literate workers becomes increasingly important. However, the causality between national economic well-being and language and literacy planning may be overestimated. Coulmas (1992: 211) notes that during a Nicaraguan literacy campaign of the 1980s there were no immediate or medium-term consequences for the development of social wealth in that country despite a 10 percent increase in the literacy rate. He concludes that the socioeconomic value of literacy cannot be measured on a scale with linear progress.



EXERCISE 1

- 1) What is your understanding of language planning and policy?
- 2) How do you distinguish government from state?
- 3) How is language planning carried out in the United States?
- 4) Explain what you know about language strategists!
- 5) What is language loyalty?



SUMMARY

Language planning refers to efforts to deliberately affect the status, structure, or acquisition of languages. Language planning is a subset of the general field of social planning that includes a wide range of public-policy concerns (e.g. housing, employment, immigration, and taxation policies). Planning entails a statement of goals as well as a program (plan) to achieve those goals. Meanwhile, language policy refers to explicit or implicit language planning by official bodies, such as ministries of education, workplace managers, or school administrators. Language policies may be viewed as guidelines or rules for language structure, use, and acquisition, established and implemented within nation-states or institutions such as schools and workplaces. Such guidelines or rules may be explicitly specified in official documents (e.g. a constitution) or implicitly understood, without a written statement.

In studying language planning and policy, it is important to know who language planners and language strategists are. Both governmental language planners and language strategists are involved in the “deliberate” attempt to make or even impose language decisions. Language planning strives to prescribe policy for the stated purpose of solving “communication problems”, which it often does. Again, however, communication problems can also result from the imposition of language policies by one group upon another.

There are three types of language planning: (a) corpus planning, (b) status planning, and (c) language acquisition planning. Corpus planning involves activities such as coining new terms, reforming spelling, and adopting a new script. It refers, in short, to the creation of new forms, the modification of old ones, or the selection from alternative forms in a spoken or written code. It entails efforts to change the body or corpus of a language. Status planning relates to increasing or restricting the uses of

a language but not to increasing the number of its speakers. Status planning concerns the relationship between languages rather than changes within them. Language acquisition planning is language policy-making involving decisions concerning the teaching and use of language, and their careful formulation by those empowered to do so, for the guidance of others. It is needed because considerable planning energy is directed toward language spread, especially through education.

There are three categories of language planning and policy goals that include (a) language goals, (b) political goals, and (c) economic goals. The language goals may be seen as language-related (wherein language issues appear to be the major focus as an end in themselves). Among language-related goals, three broad types of policies can be identified: (1) language shift policy, (2) language maintenance policy, and (3) language enrichment policy. Among the more explicitly political goals of language planning are those that attempt to use language as a means to promote nation building. Historically, language planning played a major role in the development of the modern European nation-state. It played this role partly because of the invention of the printing press and the expansion of vernacular literacy. In terms of economic goals, language planning often pursues economically motivated goals, such as those pertaining to communication and marketing in international trade.



FORMATIVE TEST 1

- 1) Explain the relationship between dialect and language!
- 2) Explain the characteristics of RP!
- 3) Why is RP an accent, not a dialect?
- 4) Explain the three types of language planning!
- 5) Explain the goals of language planning and policy!

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula -

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 2

Language, Learning And Education

A. ENGLISH FOR SPECIFIC PURPOSES

1. Introduction

This section will introduce English for Specific Purposes as one of applied linguistics on English language teaching. In the previous unit, we have discussed that within both ESL and EFL contexts, there are specialized areas, such as ESP (English for Specific Purposes), EAP (English for Academic Purposes), EOP (English for Occupational Purposes), and so on (Nunan, 2015:1). Actually, English for specific purposes (ESP) has for about 30 years been a separate branch of English Language Teaching (Dudley-Evan, 2001:131). It has developed its own approaches, materials and methodology and is generally seen as a very active. ESP has always seen itself as materials-driven and as a classroom-based activity concerned with practical outcomes. Most works about ESP is concerned with aspects of teaching, materials production and text analysis rather than with the development of a theory of ESP.

2. Concept of ESP

English for specific purposes (ESP) refers to the teaching and learning of English as a second or foreign language where the goal of the learners is to use English in a particular domain. ESP involves teaching and learning the specific skills and language needed by particular learners for a particular purpose (Day & Krzanowski, 2011:5). The term *purpose* in ESP is always a professional purpose – a set of skills that learners currently need in their work or will need in their professional careers. ESP is different from General English (GE), which is aimed at a very wide range of learners. It also contrasts with Business English, although there is considerable overlap between the two branches. A lawyer and a marketing executive might both benefit from attending the same Business English course, focusing on the generic skills they both need at work (such as writing an email or participating in a meeting), but they might get more from attending an ESP course in legal or marketing English respectively as this will focus more precisely on their needs.

Similarly, Basturkmen (2008:19) says that: ESP is about preparing learners to use English within academic, professional, or workplace environments, and a key feature of ESP course design is that the syllabus is based on an analysis of the needs of the students. Similarly, Paltridge and Starfield (2013:2) say that the key feature of an ESP course is that the content and aims of the course are oriented to the specific needs of the learners. It means its teaching and materials are founded on the results of needs analysis. Thus, in ESP, language is learnt not for its own sake or for the sake of gaining a general education but to smooth the path to entry or greater linguistic efficiency in these environments. As the syllabus is based on needs, it is likely to be motivating for learners, who see the obvious relevance of what they are studying. Moreover, most ESP courses are subject to time constraints and time must be effectively utilized (West, 1994). As students in ESP classes often have restricted time to learn English, it makes sense to teach them only the bits of English they need. Thus the task of the ESP course developer is to identify the needs of the learner and design a course around them.

Thus, ESP is different from general English course. How ESP is different from GE? Day & Krzanowski (2011) say that for GE teachers, a key question is finding materials and methodologies which are effective for a particular class (e.g. 'Is the approach or method I'm using appropriate for learners of this age, culture, level, first language(s) etc.?). This question is also relevant to ESP but one other factor should also be considered: **subject specific knowledge** (of legal procedures, of engineering methods, of software programming etc.). By definition, the learners on an ESP course will usually know more about the subject than the teacher. This additional factor is often what makes ESP a daunting, but also an exciting, challenge. However, there are three key strategies open to ESP teachers whose knowledge of the specific subject is limited: **honesty and openness, preparation and confidence** (Day & Krzanowski, 2011:7).

Honesty and openness are about managing expectations. ESP teachers do not need to pretend to be something they are not. An important skill for any specialist is the ability to describe what they do (and why) in language non-specialists will understand: a doctor explaining a medical procedure to a patient; an engineer explaining to a client why a project cannot be completed in less than four months. **preparation** should include learning as much about the learners' professional field as the teacher can: research before the course;

careful planning of the language and problems that are likely to come up in a lesson; strategies to deal with vocabulary problems that cannot be solved during the lesson; and a commitment to learn, actively, the learners' specialisation in order to be more prepared next time. ESP teachers need to be confident that they have the skills that will help their learners, such as knowledge of how to make learning successful, how to make language memorable, and how to motivate learners.

Therefore, Dudley-Evans and St John (1998) characterize ESP course as follows:

- ESP is designed to meet the specific needs of the learner.
- ESP makes use of the underlying methodology and activities of the discipline it serves.
- ESP is centred on the language (grammar, lexis, and register), skills, discourse and genres appropriate to these activities (Dudley-Evans and St John, 1998:4-5).

Moreover, Dudley-Evans and St John (1998) explain that the variable characteristics are:

- ESP may be related to or designed for specific disciplines.
- ESP may use, in specific teaching situations, a different methodology from that of general English.
- ESP is likely to be designed for adult learners, either at a tertiary-level institution or in a professional work situation. It could, however, be used for learners at secondary school level.
- ESP is generally designed for intermediate or advanced students. Most ESP courses assume basic knowledge of the language system, but it can be used with beginners (Dudley-Evans and St John 1998: 5).

Besides those characters, frequently, ESP students are adult learners. They have the same learning goals. However, they do not always have the same language proficiency. Key issues in the teaching of English for specific purposes are how to identify learners' needs related to their learning goals, the nature of the genres that learners need to be able to produce as well as participate in, and how we can know that our learners have been able to do this successfully (assessment).

3. Classification

ESP is often divided up into various categories with various acronyms. It is usually classified into two main categories: **English for Academic Purposes (EAP)** and **English for occupational purposes (EOP)**. EAP or sometimes called **ESAP (English for Specific Academic Purposes)** largely speaks for itself: it relates to the English needed in an educational context, usually at a university or similar institution, and possibly also at school level. EOP is more complicated: it relates to professional purposes, e.g. those of working doctors, engineers or business people. The biggest branch of EOP is business English, the teaching of which can range from teaching general business-related vocabulary to the teaching of specific skills important in business, e.g. negotiation and meeting skills. The general classification can be seen in figure 2.1 the tree of ELT.

ESP courses can also be created for **working professionals** (e.g. a teacher providing in-company lessons at a law firm). In such cases, the course will not only be for the needs of a specific profession (e.g. lawyers, human resources personnel) but also for the specific organisation. Here, the ESP teacher has the opportunity to base activities on the situations and texts the professional learners actually need English for in the workplace.

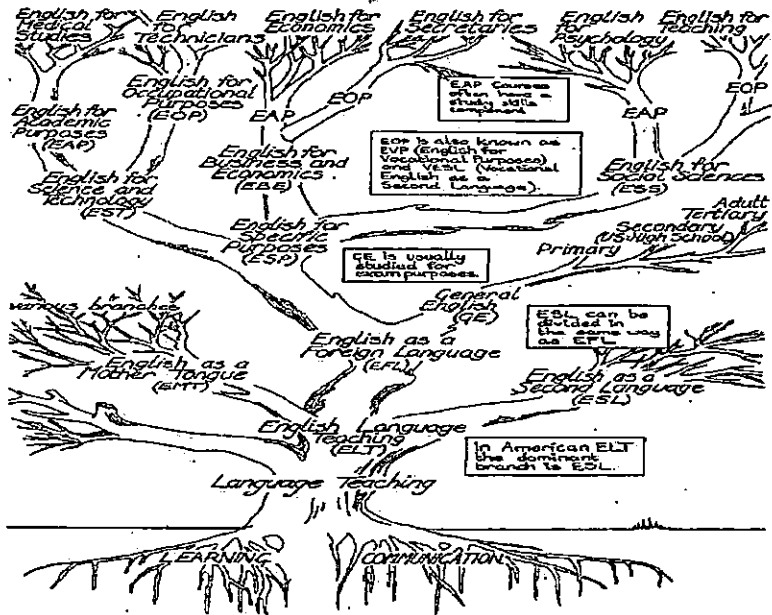


Figure 2.1 The Tree of ELT in Hutchinson & Waters (1987:17)

The teaching of English for specific purposes, in its early days, was largely motivated by the need to communicate across languages in areas such as commerce and technology. This has now expanded to include other areas such as English for academic purposes (EAP), English for occupational purposes (EOP), English for vocational purposes (EVP), English for medical purposes (EMP), English for business purposes (EBP), English for legal purposes (ELP), and English for sociocultural purposes (ESCP) (Belcher 2009).

Now, let us discuss a little about classification of ESP. English for academic purposes (EAP) is concerned with researching and teaching the English needed by those who use the language to perform academic tasks. The field originally arose out of the wider area of English for specific purposes (ESP) and over the last two decades has increased enormously in importance, driven by the global growth in the use of English for employment, as well as academic research (Charles, 2013: 137).

Related to science & technology, there is English for science and technology (EST). The initial interest of EST teachers and researchers was on linguistic forms, with later emphasis on skills, a more recent focus has been on disciplinary socialization, and most recently a critical perspective, which considers how literacy practices express societal or disciplinary power differences. Halliday (1993) comments that a text is recognized as scientific English because of the combined effect of clusters of features and, importantly, the relations of these features throughout a text. Yet characteristic forms and vocabulary of science or technology should not be considered as separate from the genres in which they occur, because linguistic differences are part of what constitutes genre. Similarly the genres of science and technology partially constitute the various disciplines, and cannot be separated from them. Being a member of a discourse community involves using its characteristic language and genres, and also sharing its values (which are reflected in its language and genres), and taking on a role recognized by other members of the discourse community (Paltridge 2012).

Next, Business English is a recognized area of English for Specific Purposes (ESP) (Dudley - Evans and St John 1998; Hutchinson and Waters 1987). Bargiela-Chiapini & Zuocheng (2013) say that Business English looks up, figuratively - speaking, to English in the workplace, as well as down, to intercultural rhetoric and English as a lingua franca (ELF).

Another field of ESP is Legal English (LE). According to Northcott (2013: 218) LE has a variable meaning, understood by some to refer to legalese and by others as a shortcut for Anglo - American law, hence ESP practitioners have often eschewed the term in favor of English for legal purposes (ELP). Other acronyms have been developed to account for different subsets and so we have EALP (English for academic legal purposes), EOLP (English for occupational legal purposes) and EGLP (English for general legal purposes).

Language also plays a significant role in medical professions, where effective communication is widely recognized as important to clinical outcomes. Ferguson (2013) says that there is a large body of literature on communication in medical settings within which be distinguished in two partially overlapping categories. The first is literature of particular relevance to English for medical purposes (EMP), a pedagogic and research enterprise focusing on improving the English language skills of non - Anglophone health professionals. The second wider category, some of which is also

relevant to EMP, is literature on health care communication, and especially doctor – patient communication.

Besides medical, there is also specific profession in health setting, which is nursing. English for nursing is, actually, a relatively recent specialty within the field of English for specific purposes. It focusses on the specific ways in which nurses, in contrast to doctors and other health - care professionals and paraprofessionals, use English both in the clinical setting as well as in nursing education. Although in recent years numerous textbooks have been published in English for nursing, most of them focus on the clinical setting and are intended for internationally educated nurses who are seeking to enter the workforce in “Inner Circle” countries (Kachru, 1985), such as Australia, Canada, the United Kingdom, and the United States. More significant, but also less recognized, are the large numbers of English as a second language (ESL) immigrants and, to a lesser extent, international students in Inner Circle countries who identify nursing as their major in two - and four – year colleges and universities. Many of these students do not make it through the prerequisite courses, and those who do often encounter difficulty succeeding once they are in nursing programs.

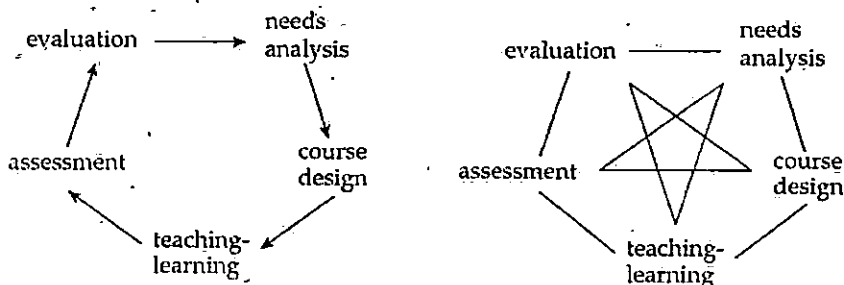
4. ESP and Pedagogy

The main topics discussed in designing ESP course are needs analysis and curriculum development, ESP and genre, ESP and assessment. Besides, many of the books on ESP that are aimed at classroom teachers discuss methodology in relation to ESP teaching (e.g. Basturkmen, 2006, 2010; Dudley - Evans and St John, 1998). The social context of each ESP class is specific, as are the learning goals and objectives, the choice of materials and activities, the methodologies that are appropriate to the learners and their learning, as well as the ways in which the learning will be assessed (Cheng 2011). The use of language is also specific to the particular genres that the students need to be able to participate in (Hyland 2011), as are the “perceived needs and imagined futures” of our learners (Belcher 2006: 133).

a. *Needs Analysis*

Lynne Flowerdew (2013) says that Needs analysis, carried out to establish the “what” and the “how” of a course, is the first stage in ESP course development, followed by curriculum design, materials selection, methodology, assessment, and evaluation. However, these stages should not

be seen as separate, proceeding in a linear fashion. Rather, as noted by Dudley - Evans and St John (1998), they are interdependent overlapping activities in a cyclical process. This conceptual distinction is neatly encapsulated by the diagrams in Figure 2.1 from Dudley - Evans and St John (1998: 121) showing how needs analysis is often ongoing, feeding back into various stages.



(Dudley - Evans and St John 1998: 121).

Figure 2.2 Linear vs. cyclical processes of needs analysis

A broad, multi - faceted definition of *needs analysis* is provided by Hyland (2006: 73):

Needs analysis refers to the techniques for collecting and assessing information relevant to course design: it is the means of establishing the *how* and *what* of a course. It is a continuous process, since we modify our teaching as we come to learn more about our students, and in this way it actually shades into *evaluation* – the means of establishing the effectiveness of a course. Needs is actually an umbrella term that embraces many aspects, incorporating learners' goals and backgrounds, their language proficiencies, their reasons for taking the course, their teaching and learning preferences, and the situations they will need to communicate in. Needs can involve what learners know, don't know or want to know, and can be collected and analyzed in a variety of ways.

Based on the definition, needs analysis involves: learners' goals and backgrounds, their language proficiencies, their reasons for taking the course,

their teaching and learning preferences, and the situations they will need to communicate in. In collecting the information related to needs, teacher needs to know what learners know, don't know (lack) or want to know. By those information, the teachers develop a course that match students' needs or purpose in learning English. Teachers can select the appropriate materials based on the information.

Thus, the questions when starting preparation for teaching an ESP course is almost always: What do students need to do with English? Which of the skills do they need to master and how well? Which genres do they need to master, either for comprehension or production purposes? Specific needs can be identified by examining that situation and the texts (written or spoken) in detail. The ESP teacher needs to bear in mind and exploit if possible this specific subject knowledge, which leads to classroom interaction and teaching methodology that can be quite different from that of general English; however, in some situations - e.g. pre-study or pre-work courses where learners have not started their academic or professional activity and therefore have less subject knowledge - teaching methodology will be similar to that of general English. The use of a distinctive methodology is therefore a variable characteristic of ESP.

Looking closely at 'specific purpose', ESP materials will always draw on the topics and activities of that specific purpose, in many cases exploiting the methodology of the subject area or the profession (Widdowson 1983). For instance, an English course for engineers will use engineering situations to present relevant language and discourse; problem-solving activities (calculations, making recommendations) will probably also be used, since they draw on skills and abilities possessed by the students. Similarly, a business English course will use case studies as these are widely used in business training. It must not, however, be forgotten that ESP is concerned with teaching language, discourse and relevant communication skills: it exploits topics and the underlying methodology of the target discipline or profession to present language, discourse and skills.

Paltridge discusses language and discourse approaches to analyzing specific purpose genres as well as multimodality in specific purpose genres. The notion of genre as social action (Miller 1984) is given special attention, as are ways of narrowing the gap between text and context (Lillis 2008) in ESP genre research. The teaching and learning of specific purpose genres is then discussed and future directions for ESP genre studies are proposed. In

the chapter on ESP and assessment Dan Douglas discusses the theory and practice of assessment in ESP, then examines specific areas of learning, in particular, English for academic purposes, English for employment purposes, which include English for international aviation, Business English, English for court interpreters, and Health and Medical English, and, finally, English testing for immigration and asylum purposes. The chapter by Joel Bloch on technology and ESP discusses the use of technology in ESP classes, technology as a tool for language learning as well as ethical issues in relation to the use of technology in teaching and learning.

The first thing to do is to carry out a needs analysis (sometimes known as a skills audit). In some ways it may be similar to the pre-course questionnaire commonly handed out to learners on General English courses (Day & Krzanowski, 2011). The difference is that a needs analysis is normally more comprehensive, and includes many relevant details about the target learners and their needs and wants. If a needs analysis for each and every learner is conducted well, then the chances of delivering a quality ESP course that will satisfy its participants are very high. The findings from such a skills audit will also help the teacher to create (and update as the course progresses) an ILP (**I**ndividual **L**earning **P**rofile) for each learner.

There are many vital questions that an ESP teacher may need to ask to deliver a course designed according to the preferences of the learners. Here is a checklist of 10 basic question sets to be included in a good needs analysis (Day & Krzanowski, 2011: 9-10):

- Am I expected to deliver a tailor-made (custom-made) ESP course or can I adapt or modify an existing course (e.g. published ESP course books such as *Good Practice* or *Cambridge English for Engineering*)?
- Who are the learners in my ESP group? Are they university students or a group of professionals employed by a specialist company? Where do they come from? How much information do I have about their age, qualifications and experience?
- Are they paying for the course themselves or are they being sponsored by their employer? If they are being sponsored, the needs analysis will need to include the expectations of both the learners and their employers.
- Do the learners in my group expect to be consulted in the process of the syllabus design (in which case the final course will be delivered

through syllabus negotiation) or will they 'delegate' this task to me in the hope that I get it right for them?

- Are my ESP learners 'homogenous' in their skills or are they a mixed ability group? Does any member have a 'spiky profile' (i.e. different levels of ability and performance in speaking, writing, reading, and listening)? Are the learners self-aware enough to inform me of this in the needs analysis questionnaire?
- Which aspects of their professional register (that is, the particular forms of the language used in particular professional activities) do they habitually use in their everyday work? For example:
 - (a) engineers need to write internal memos, reports, funding applications
 - (b) nurses need to write summaries of patient records, produce prescriptions in the absence of a doctor (in approved cases), fill out specialist charts with precision and linguistic accuracy
 - (c) doctors need to write academic articles (for international recognition and career progression), medical reports, internal memos.
- Does the client or the organisation who has commissioned the ESP course also have funds for the design of new materials to supplement what cannot be readily found in published course books?
- Where and how will I deliver the ESP course, e.g. on the premises of a university or college, or private company, or even online? What impact will this have on the process of learning and teaching? Will the learners have enough time for self-study or homework after the classes?
- What are the learning styles and preferences of my learners (e.g. visual, auditory, kinesthetic, tactile, and ICT-oriented)?
- To what extent am I familiar with the specific subject matter (e.g. law, nursing, and marketing)? Will the learners provide me with some specialist materials from their work that I can use in classroom materials?

The initial needs analysis provides information about the target situation, what learners will have to do in English and the skills and language needed. This is generally called **target situation analysis** (Chambers 1980). While

initial needs analysis will always be the first step for ESP, it is usually the next stage that involves the most detailed analysis, and there has been increasing emphasis on investigating these additional factors. Information about the learners - in particular their level in English, weaknesses in language and skills needed (often called lacks), and also their own perceptions of what they need - are increasingly investigated.

b. ESP Materials

ESP is a materials-led field since ESP is based on needs analysis, therefore the materials should be based students' needs and purposes in learning English. Most materials are prepared by individual teachers for particular situations, and there is not a huge amount of published ESP material. Teachers should select the materials based on their students' condition (needs, wants to know, lack). Hamp-Lyons discusses a number of course books in EAP. In EOP, especially business English, there is much more material: St John (1996) discusses various types of material, giving brief description of key course books. Research work in genre analysis is beginning to generate textbooks applying its findings to the teaching of academic writing (for examples of textbooks making direct use of genre analysis findings, see Weissberg and Buker 1990; Swales and Feak 1994).

c. ESP Assessment

The same with other ELT, ESP also do assessment. An understanding of what it is we assess in a test of ESP - would be fairly well established among assessment practitioners. Tests are conducted 1) to assess whether students have the necessary language and skills to undertake a particular academic course or career which is important in certain countries; and 2) to assess the level of their achievement - how much learners have gained from a course. Evaluation of course design and teaching materials should be done while the course is being taught, at the end of the course and after the course has finished, in order to assess whether the learners have been able to make use of what they learned and to find out what they were not prepared for. Evaluation through discussion and on-going needs analysis can be used to adapt the syllabus.

To some degree this is the case but there are at least two theoretical issues that affect the practice of ESP testing: whether the construct of specific purpose language ability actually exists and the related issue of how the

criteria for assessing specific purpose language performances should be derived. English for academic purposes (EAP) assessment has evolved mainly with an emphasis on proficiency tests (TOEFL & IELTS) with reference to norms established for determining learners' levels of ability for mainstream classrooms and admission to tertiary education, and a secondary and more recent focus on criterion - referencing with respect to standards set for learners' attainments and public accountability in education (Cumming 2009). A third strand of academic ESP is in the area of English as a foreign language (EFL) teacher certification (Elder 2001). Meanwhile in EOP, TOEIC test is commonly used.

A more objective assessment of their end-of-course level of English, teacher can use a past paper from a General or Business English exam such as IELTS or BEC. The advantage of this approach is that the tests measure reading and listening skills very accurately as well as their deeper knowledge of the structure of English. The disadvantage, of course, is that the exam will have little relation to the course you have completed.

5. The Roles of ESP Practitioners/Teachers

As ESP teaching is extremely varied some authors (Dudley-Evans and St John, 1998) use the term "practitioner" rather than "teacher" to emphasize that ESP work involves much more than teaching. ESP practitioner can have several roles.

1. *The ESP practitioner as a teacher* ESP is a practical discipline with the most important objective of helping students to learn. However, the teacher is not the primary knower of the carrier content of the material. The students, especially where the course is specifically oriented towards the subject content or work the students are engaged in, may know more about the content than the teacher. The teacher has the opportunity to draw on students' knowledge of the content in order to generate communication in the classroom.
2. *The ESP practitioner as course designer and material provider* Since it is rarely possible to use a particular textbook without the need for supplementary material – sometimes no really suitable published material exists for identified needs - ESP practitioners often have to provide the material for the course. It involves selection of published material, adapting material if it is not suitable, or writing it. ESP teachers

also need to assess the effectiveness of the teaching material used whether it is published or self-produced.

3. *The ESP practitioner as researcher* Research has been particularly strong in the area of EAP (genre analysis). Regarding the research into English for Business Purposes, there is a growing interest in investigating the genres, the language and the skills involved in business communication. ESP teachers need to be in touch with the research, carrying out a needs analysis, designing a course, or writing teaching materials need to be capable of incorporating the findings of the research.
4. *The ESP practitioner as collaborator* It is believed that subject-specific work is often best approached through collaboration with subject specialist. It involves cooperation in which ESP teacher finds out about the subject syllabus in an academic context or the tasks that students have to carry out in a work or business situation.
5. *The ESP practitioner as evaluator* The ESP practitioner is often involved in various types of evaluation - testing of students, evaluation of courses and teaching materials.

6. Exercise

Answer these questions before continuing the next section.

1. How do you define English for Specific Purposes (ESP)?
2. What makes ESP differ from General English?
3. What are the characteristic of ESP course?
4. How ESP courses are classified?

7. Summary

In this section we have discussed about concept and also identified the main factors in the origins of ESP and given a brief overview of how its development. We have noted that the linguistic factor has tended to dominate this development with an emphasis on the analysis of the nature of specific varieties of language use. The tree of ELT shows us that they have in common is that they are all primarily concerned with communication and learning. ESP should properly be seen not as particular language product but as an approach to language teaching that is specific reasons for learning. ESP is an approach to language teaching in which all decision as to content and method are based on the learner's reason for learning.

B. COMPUTER ASSISTED LANGUAGE LEARNING (CALL)

1. Introduction

This section introduces Computer-Assisted-Language Learning (CALL) and definitions of it and various related terms and concepts. It also briefly outlines ideas that need to be included related to CALL in language education. CALL is a subject tied tightly to other areas of study within applied linguistics such as autonomy and other branches of knowledge such as computer science.

Over the last 20 to 30 years language learning has become one of the most popular and dynamic areas of education for the application of learning technologies. During this period CALL has consolidated itself as an innovative field of research and practice with the emergence of a series of refereed journals, annual conferences and national and international organizations (Thomas *et al* 2013). CALL courses and modules are now an integral part of taught undergraduate and graduate programmes around the world, as well as taught and research-based doctoral degrees. In addition to courses delivered in face-to-face settings, the last ten years in particular have also seen the emergence of a plethora of distance and online CALL courses. Technology is increasingly a core component of teacher training courses for language teachers across all educational levels, in both the state and private sectors.

Historically computer-assisted language learning (CALL) has been shaped not only by trends in language pedagogy and second language acquisition (SLA) theories, but also by the state of computer technology (Thomas *et al* 2013). Viewing the growth of CALL through a theoretical and pedagogical lens reveals a complex and fascinating history that spans decades of technological advancement and reflects the multifaceted field of language pedagogy and SLA research from which it arose. Computer technology grew from primitive mainframes to powerful networked multimedia microcomputers with access to the internet and World Wide Web. Within this context, CALL has progressed from drill and practice exercises targeting grammar and vocabulary towards a wide array of sophisticated interactive programs for reading, writing, listening, pronunciation and culture.

2. The Term of CALL

It is not entirely clear when the term CALL first appeared (Thomas *et al* 2013). Computer-assisted instruction (CAI) and computer-assisted learning (CAL) predate CALL as generic terms, and CALI (computer-assisted language instruction) was incorporated into the name of the professional association CALICO (Computer-Assisted Language Instructed Consortium), which was founded in the United States in 1982. CALL appears to have originated in the United Kingdom, reflecting a student-centred focus on learning rather than instruction. The earliest documented use of the term CALL that we have found is in a conference paper by Davies and Steel in 1981 (Thomas *et al* 2013). By 1982 the term CALL was in widespread use in the United Kingdom, featuring in the title of the newsletter *CALLBOARD*, which was first published by Ealing College of Higher Education in 1982, and in Davies and Higgins (1982). TESOL also adopted the term CALL, setting up its CALL Interest Section (CALL-IS) in 1983 (Kenner, 1996; Stevens, 2003).

An alternative term to CALL emerged in the 1980s, namely technology-enhanced language learning (TELL), which was felt to provide a more accurate description of the activities which fall broadly within the range of CALL (Thomas *et al* 2013). TELL was adopted by the TELL Consortium (now defunct), founded at the University of Hull in 1993, and it figured in the name of the journal of CALL-Austria, *TELL&CALL* (now defunct). The fact that the academic community that was involved in attempts to integrate computer technologies into language learning saw the need to rethink the original term and acronym is indicative of the fact that from very early on theoreticians and practitioners alike saw the potential for enhancing rather than simply assisting language learning and classroom practice when assessing emerging technological applications and tools.

CALL is defined as *any process in which a learner uses a computer and, as a result, improves his or her language* (Beatty, 2010). Although this definition might seem unworkably large, it at least encompasses a broad spectrum of current practice in the teaching and learning of language at the computer. This definition is rather broad. Thus, it rises to two questions: What do we mean by 'computer'? And what do we mean by 'improve'? The first of these is an important question in defining the field because CALL as considered here does not include simply the canonical desktop and laptop devices we label computers. It also includes the networks connecting them,

peripheral devices associated with them and a number of other technological innovations such as PDAs (personal digital assistants), mp3 players, mobile phones, electronic whiteboards and even DVD players, which have a computer of sorts embedded in them (Levy and Hubbard, 2005).

The second question, what does it mean to improve, can be answered with respect to a number of different perspectives. Hubbard (2009) says that improve means:

- learning efficiency: learners are able to pick up language knowledge or skills faster or with less effort;
- learning effectiveness: learners retain language knowledge or skills longer, make deeper associations and/or learn more of what they need;
- access: learners can get materials or experience interactions that would otherwise be difficult or impossible to get or do;
- convenience: learners can study and practise with equal effectiveness across a wider range of times and places;
- motivation: learners enjoy the language learning process more and thus engage more fully;
- institutional efficiency: learners require less teacher time or fewer or less expensive resources.

It shows us that improving related to the learning conditions. In other words, while improvement in one or more of the areas above may be the goal of a given CALL initiative, that outcome is not always achieved.

CALL also includes the use of computers to improve teacher productivity and in teacher education, professional development, materials development and language assessment. It is this more extensive view of CALL that is assumed in the present work. Thus, CALL covers a broad range of activities which makes it difficult to describe it as a single idea. CALL has come to encompass issues of materials design, technologies, pedagogical theories and modes of instruction. Materials for CALL may include those which are purpose-made for language learning and those which adapt existing computer-based materials, video and other materials.

3. The History of CALL

Graham (2007) says that CALL's origins and development trace back to the 1960's and since has consisted of a symbiotic relationship between

development of technology and pedagogy. CALL emerged as a distinct field with the beginning of CALL-centred conferences and professional organizations that accompanied the spread of the personal computer in the early 1980s (Hubbard, 2009). There were early attempts to teach specific foreign languages in the 1950s and 1960s by using computers (Beatty, 2003), but the first large-scale project was done with the PLATO system conducted at the University of Illinois.

Warschauer (2008) classifies the development of CALL into three phases: behaviouristic CALL, communicative CALL, and integrative/explorative CALL. Behaviouristic CALL is defined by the then-dominant behaviouristic theories of learning of Skinner (Warschauer, 2008) as well as the technological limitations of computers from the 1960's to the early 1980's. Up to the late 1970's, CALL was confined to universities where programs were developed on big mainframe computers, like the PLATO project, initiated at the University of Illinois in 1960 (Graham, 2007). Levy (1997) notes that PLATO materials were developed for a number of languages, in particular French. The system was designed to maintain detailed records of value not only for the teachers and students but also for researchers. Because repeated exposure to material was considered to be beneficial or even essential, computers were considered ideal for this aspect of learning as the machines did not get bored or impatient with learners and the computer could present material to the student as his/her own pace and even adapt the drills to the level of the student (Warschauer, 2008). Hence, CALL programs of this era presented a stimulus to which the learner provided a response. At first, both could be done only through text. The computer would analyse errors and give feedback. More sophisticated programs would react to students' mistakes by branching to help screens and remedial activities (Graham, 2007). While such programs and their underlying pedagogy still exist today, to a large part behaviouristic approaches to language learning have been rejected and the increasing sophistication of computer technology has lead CALL to other possibilities (Warschauer, 2008).

Communicative CALL is based on the communicative approach that became prominent in the late 1970's and 1980's. In the communicative approach, the focus is on using the language rather than analysis of the language, teaching grammar implicitly. It also allowed for originality and flexibility in student output of language (Warschauer, 2008). It also correlates

with the arrival of the PC, making computing much widely available resulting in a boom in the development of software for language learning (Graham, 2007). The first CALL software in this phase still provided skill practice but not in a drill format, for example, paced reading, text reconstruction and language games but computer remained the tutor. In this phase, however, computers provided context for students to use the language, such as asking for directions to a place. It also allowed for programs not designed for language learning, such as *Sim City*, *Sleuth* and *Where in the World in Carmen Sandiego?* to be used for language learning. However, criticisms of this approach include using the computer in an ad hoc and disconnected manner for more marginal rather than the central aims of language teaching. It will usually taught skills such as reading and listening in a compartmentalized way, even if not in a drill fashion (Warschauer, 2008).

Integrative/explorative CALL, starting from the 1990's, tries to address these criticisms by integrating the teaching of language skills into tasks or projects to provide direction and coherence. It also coincides with the development of multimedia technology (providing text, graphics, sound and animation) as well as computer-mediated communication. CALL in this period saw a definitive shift of use of computer for drill and tutorial purposes (computer as a finite authoritative base for a specific task) to a medium for extending education beyond the classroom and reorganizing instruction (Stepp-Greany, 2007). Multimedia CALL started with interactive laser videodiscs all of which were simulations of situations where the learner played a key role. These programs later were transferred to CD-ROMs (Graham, 2007).

In multimedia programs, listening is combined with seeing, just like in the real world. Students also control the pace and the path of the interaction. Interaction is in the foreground but many CALL programs also provide links to explanations simultaneously. An example of this is *Dustin's* simulation of a foreign student's arrival to the U.S. (Warschauer, 2008). Programs like this led also to what is called explorative CALL. More recent research in CALL has favoured a learner-centered explorative approach, where students are encouraged to try different possible solutions to a problem, for example the use of concordance programs in the language classroom. This approach is also described as data-driven learning (Graham, 2007).

Humans use language in various forms for communication for many purposes. Currently, we are living in a networked society in which information and communication technologies (ICT) are used in many situations, fields, and contexts to facilitate language learning, including the first and other languages. Technology enhanced language learning (TELL) is a trans-disciplinary field that has been influencing human language development in various academic subjects and areas for more than half a century. Since the 1990s, ICT-embedded language learning has been the most widely used form of TELL. In addition, the language learning can be transferred through internet as the development of ICT. Innovative ICT (Becta, 2004; Hill & Vasudevan, 2008) has opened the door for exploring culture-rich language learning materials, practicing receptive and productive language abilities, and promoting frequent language use in two-way communication.

4. CALL in Language Education

In the contemporary classroom language skills are often integrated. In this section, we look at some of the options in using computers to help students develop oral skills, literacy and underlying language knowledge.

a. Listening, speaking and pronunciation

The addition of sound to computers in the 1980s brought listening away from the linear tape and allowed the blending of onscreen graphics and text, leading to multimedia environments. Digitized speech and video offer greater control for the listener, and the addition of technologies for supporting meaning, such as L1 and L2 captions, glosses and explanatory notes, can improve both immediate comprehension and acquisition (Borrás and Lafayette, 1994). Today learners of almost any language can find a wealth of authentic audio and video to listen to for both language and culture through the World Wide Web. There are also listening exercises for many languages, many of them free, though their pedagogical quality varies considerably. Because of this, listening is a growth area for CALL, a way for learners to connect directly with the local culture of the language they are studying. In the context of online listening, Robin remarks, 'in the immediate future – the next five to ten years – the frontier in language learning and technology will not be found in what program does what better, but rather which students use

off-the-shelf technology to best facilitate their own learning in their own learning style' (2007: 109).

Until recently, speaking practice in a CALL setting has largely been of two types: pairs or groups of students, speaking to one another as they sit in front of a computer engaged in a task, or individual students using the computer to record their voice, often in the context of pre-determined dialogues. Automatic speech recognition (ASR) has allowed for a few limited spoken dialogue systems and some commercial programs such as Auralog's *Tell Me More* allow learners to select which lines to speak in a branching dialogue. However, these applications are far from the types of experiences found in normal face-to-face interactions. More natural speaking practice is now possible using asynchronous means such as online audio discussion boards (e.g. Wimba) and podcasting. Skype and other VOIP (Voice Over Internet Protocol) applications allow audio and video connecting computer to computer at little or no cost.

In the area of pronunciation, there are three major types of applications. The simplest is the digital version of the tape recorder, where learners use the computer to listen to native speakers' models, and then record and compare their own voices in an attempt to match that model. A second area that can be combined with recording is speech visualization. Here too, learners attempt to match a model, but instead of just hearing it, they view a graphic representation of it: the complex wave form, the spectrogram showing bands of stronger and weaker resonance at different frequencies, or an extracted wavy line representing the pitch contour. Although the value of matching wave forms and spectrograms is questionable due to their complexity, practice with pitch contours has been shown in several studies to be effective in raising awareness and performance in intonation (Chun, 2002) and tone in tonal languages. The third application is using ASR (automatic speech recognition) to judge roughly how close a learner's speech is to a norm for native speakers. Feedback to the learner can be presented in the form of a meter or numerical score, although in addition to problems with judgemental accuracy (native speakers may be tagged as non-native for instance) there are clear limitations to the value of such feedback since it does not tell the learner where the breakdown is occurring or what to do to improve. A few recent applications such as Carnegie Speech (www.carnegiespeech.com) have been able to pinpoint specific phonemes within a word or phrase that need work and offer targeted explanations and exercises for improvement.

b. *Reading and writing*

Reading activities have existed on computer since the early days of the field, but until the 1990s brought crisp black on white monitors into widespread use, there were concerns about the efficiency and transferability of skills for reading on screen. Early on, it was recognized that computer programs could assist reading development in at least three ways: by controlling what the readers saw and how long they saw it in order to promote reading strategies and automaticity, by providing comprehension and other exercises, and by presenting glosses and other comprehension aids. More recently, the web has made accessible an enormous amount of printed material in both commonly taught and many less commonly taught languages. Despite the apparent potential of CALL in the area of second language reading, Chun (2006) has noted a number of areas in which little development has ensued. These include the final four of the 10 implications: 'promote extensive reading; build reading fluency and rate; develop intrinsic motivation for reading; and contribute to a coherent curriculum for student learning' (Chun, 2006: 86).

Beyond practice in keyboarding as students moved from paper and pen to the computer for composition, early work on writing in CALL focused on two areas: developing word processing skills in learners and the use of text based and later graphic organizers to support the writing process. Although research in word processing was once common in CALL, it is no longer: Pennington (2004) notes that this is because 1) research in word processing showed positive effects in terms of writer attitudes, text length, text quality, and quantity and in some cases quality of revisions, and 2) word processing is now used by virtually everyone for composing – it has become normalized in the sense of Bax (2003).

c. *Grammar, vocabulary and data-driven learning*

Many of the early disk-based CALL programs focused on grammar or vocabulary development, but because such applications were relatively easy to program on computers (Hubbard, 2009). Today, authoring systems such as *Hot Potatoes* (<http://hotpot.uvic.ca>) from the University of Victoria have made it easy for language teachers to construct their own grammar exercises using multiple choice, gapped sentences and matching formats. In addition to these more traditional types of exercises, such as Storyboard, in which an entire text is deleted and must be reconstructed. Although not specifically

targeted at grammar, such text reconstruction programs do foster grammar awareness. Grammar checkers have been explored as aids to improving grammatical competence, though they need to be used with an understanding of their limitations.

Vocabulary is still one of the most common applications today, partly because it holds such high face value for language learners and partly because it involves the manipulation of discrete items (words, definitions, translations, etc.) and is therefore easy to program and manage (Hubbard, 2009). A key area made possible by CALL is electronic glossing as a support tool for both vocabulary development and reading comprehension.

The area of data-driven learning (Johns, 1994) aims to support students' exploratory learning of grammar and vocabulary using computer applications to help them notice patterns in the target language. The most widely used type of program is the concordancer, which allows the user to select an item, such as a word, phrase or in some cases even a stem, and search for examples of it within a particular corpus. The results are typically presented in a series with the selected item in the centre and the local context in which it appears on either side. For an example, see Edict's Web Concordancer at <http://www.edict.com.hk/concordance>.

5. Computer Mediated Communication (CMC) for Language Learning

Computer mediated communication, or CMC, is widely practised and has become perhaps the most researched area in the field of CALL. There seem to be at least two reasons for this. One is practical: when doing text-based CMC studies much or all of the data of interest is collected automatically, saving the hours of transcription associated with research on spoken language. The second reason is that there is a more natural connection between the human-human interaction through CMC and the findings from studies of face-to-face interaction in SLA. CMC environments are thus a logical place to explore both to determine which key characteristics of face-to-face (F2F) interaction they share, especially for situations where the latter is impossible (such as online learning) and to see whether there are additional elements they bring in that improve the learning experience for certain types of students.

CMC is divided along two main dimensions: time – synchronous and asynchronous – and modality – text, audio and video (Hubbard, 2009). Synchronous, or real time, CMC includes Skype, chat, Yahoo Messenger,

Facebook chat, instant messaging and MOOs (multi-user domain, object oriented) in the text mode and most commonly VOIP (Voice Over Internet Protocol) in the audio mode. Asynchronous CMC, where there is a delay between sending and reading/responding, includes email, blog, Twitter, bulletin or discussion boards and voice boards in the audio mode. There are also a number of newer formats such as blogs allowing posted comments and SMS text messaging on mobile phones. To date, the overwhelming majority of CMC studies have been limited to text, though this is likely to change as online audio and video communication become more commonplace.

Although there was some use of bulletin board postings and email in the 1980s, CMC began to emerge as a major subfield of CALL in the 1990s, and a lot of interest shifted to text-based synchronous CMC. CMC environments can also lead to greater language production in terms of messages and turns than face-to-face (Kern, 1995). Certain types of CMC tasks, like those in face-to-face settings, support negotiation of meaning and modified output (Blake, 2000), although there are differences in the discourse patterns of those negotiations that require expanding the general model (Smith, 2003).

6. Present trends and future directions in CALL

Besides the major topic areas described above, there are a number of other uses for computers in second language learning and teaching that are covered in the present set of volumes. These include the rapidly growing field of online learning, computer-based assessment, teacher and learner training, intelligent CALL (ICALL) and a number of emerging areas such as mobile language learning and virtual worlds.

a. *Online learning*

Online learning is a natural extension of earlier forms of distance education. The key concept is that, when circumstances dictate, teachers and learners can be physically apart from one another (Hubbard, 2009). Online learning described most broadly can cover quite a range: independent learning through the Internet, recorded or programmed materials delivered online with or without CMC linkage to instructional assistance, one-to-one synchronous tutorials, the same class taught face-to-face to some but remotely to others, classes taught partly face-to-face and partly online (so-called hybrid or blended learning), classes taught synchronously to a group entirely online or any combination of the preceding. Studies in this area have

recognized that online learning requires more than simply presenting the same curriculum in the same way over the new medium. Recognizing these differences in the skills necessary for online teaching, TESOL (Teachers of English to Speakers of Other Languages) has been running a certificate program for several years (see <http://www.tesol.org>).

b. Assessment

Computer assisted language testing (CALT) is an important and growing subfield that is sometimes considered outside of CALL because the testing itself is not necessarily a learning experience and what is being tested in the students may not have involved computers (Hubbard, 2009). In what might be considered basic CALT, a test that could have been administered in a classroom is administered instead by computer, allowing for control of time, potentially greater security and automatic scoring and reporting. In more elaborate versions test items of similar difficulty may be drawn randomly from a pool so that each student receives a different test. In this case the primary advantage is efficiency.

A type of testing that is only possible by computer is adaptive testing, where items are presented to the student at a targeted level of challenge, becoming easier or harder depending on the answers to preceding questions, ideally resulting in a shorter, more efficient test experience for both the student and institution. Brown (1997) offers a description of early adaptive tests and an outline of issues for future development. The computer has also made possible types of automatic scoring that were previously impossible. Chapelle and Douglas (2006) note two that have already been implemented. Educational Testing Service (ETS) has developed a system called Criterion to automatically rate texts produced on a predetermined set of topics and provide holistic scores as well as error analysis and comments on organization and style (see <http://www.ets.org/criterion>).

c. Learner training and autonomy

The fundamental insight here is that while computer applications give language learners unprecedented access to materials and both dedicated and general applications to support their learning, we cannot assume that they have the necessary skills and specific strategies to use these applications most effectively in their learning activities (Hubbard, 2004). For both effectiveness in their current coursework and movement towards autonomy more attention

should be given to how students use computers on their own and what training content and processes can help them be more successful. There is some evidence as well that attention to CALL learner training by language teachers can actually be transformative for them (Kolaitis, Pomann and Hubbard, 2006).

d. Teacher education

Although teacher training for CALL has been reported on since the 1980s, it is only in the last few years that it has become a visible subfield within CALL. A special issue of *Language Learning & Technology* in 2002 offered the first collection devoted to this topic. In 2005, CALICO (Computer Assisted Language Instruction Consortium) initiated a special interest group for teacher education, and a similar group was inaugurated at the EuroCALL conference in 2008. Edited volumes by Hubbard and Levy (2006) combine with additional journal articles to provide a research and practice base for this domain. Teacher education is divided broadly between pre-service and in-service. Pre-service training is presently sporadic, with the majority of teacher candidates still receiving little or no formal preparation (Kessler, 2006). A set of technology standards for teachers and language learners currently being developed by TESOL (<http://www.tesol.org>) is anticipated to bring this area further into the mainstream.

e. Intelligent CALL

A subfield that continues to hold interest in fulfilling an earlier promise of CALL, where the computer would take on more of the role of the teacher, is that of intelligent computer assisted language learning, or ICALL (also referred to as NLPCALL for 'natural language processing', at least for some applications). There are at least three possible objectives for ICALL. One, perhaps the best developed to date, when the domain is restricted, is the ability to identify errors in student input and provide feedback so that the student can address them (Nagata, 1993). A second area is the ability to manage a student's learning based on building a model of the student's achieved proficiency and providing materials and tasks appropriate for further development at that level. A third area is the capacity to interact with the student through conversational agents, programmed entities that simulate the linguistic facility of a human interlocutor, reacting and responding appropriately to student input.



EXERCISE 2

Now answer the following questions.

- 1) What is the definition of CALL?
- 2) What is the alternative term of CALL?
- 3) How call can improve language learning?
- 4) Explain the development of CALL!



SUMMARY

CALL progresses in the twenty-first century, it is important that it rids itself of a number of characteristics it has inherited from wider discourses on educational technology. Historically, CALL development related to the language teaching development can be divided into three phases, behaviourist CALL, communicative CALL, and integrative/explorative CALL.

While CALL, like other educational technologies, has promised significant advances in cross-cultural understanding, digital equity or collaborative communication, these remain potential gains which have yet to be conclusively realized. In this new era of social CALL, it is important to listen more to the voice of learners, to learn from the mistakes of the past, to remain cautious but optimistic for change. CALL is not about replacing teachers with intelligent machines, or dispensing with all formal education altogether. It realizes that it is in and through effective teaching that CALL as well as education in general will prosper.



FORMATIVE TEST 2

- 1) What is the important feature in designing ESP course?
- 2) Describe the processes of developing an ESP course!
- 3) What do you mean by needs analysis?
- 4) What are the roles of ESP teachers/practitioners?
- 5) What was the strength of behaviouristic CALL?
- 6) Can teacher use CALL in teaching speaking? How?

- 7) Mention two dimension of computer mediated communication (CMC)!
Provides your examples.

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

Answer Key

Unit 1 (Part A)

- 1) Variety in linguistics is used to describe a linguistic system shared by a geographically or socially defined group (covering accent, dialect and language) reflects the centrality of the notion of variation in language study.
- 2)
 - a. Accent can be defined as a reference to pronunciation, which is the collection of phonetic features which allow speakers to be identified regionally and/or socially. The accent we speak with concerns purely the sound we make when we talk, i.e. our pronunciation.
 - b. Dialect can be defined as a regional or social variety of language that may differ from other varieties of the language in features of its vocabulary, grammar, and pronunciation.
 - c. Language can be defined as a code accommodating both accent and dialect. In other words, language is composed of different accents and different dialects. Accent and dialect are both varieties of language which are, therefore, subordinate to language.
- 3) Because the term 'standard' suggests an accepted norm, but the term 'variety' suggests that languages come in different versions.
- 4) Because SE has undergone standardization, which means that it has been subjected to a process through which it has been selected, codified and stabilized, in a way that other varieties have not.
- 5) The term 'Received Pronunciation' (RP) has come to designate the British English style of pronunciation that carries the highest overt prestige. RP is often used synonymously with 'standard pronunciation' or at any rate, taken to represent some sort of standard, at least for British English, at home and abroad.

Unit 1 (Part B)

- 1) Language planning refers to efforts to deliberately affect the status, structure, or acquisition of languages. Planning entails a statement of goals as well as a program (plan) to achieve those goals. Meanwhile, language policy refers to explicit or implicit language planning by official bodies, such as ministries of education, workplace managers, or school administrators. Language policies may be viewed as guidelines or

rules for language structure, use, and acquisition, established and implemented within nation-states or institutions such as schools and workplaces.

- 2) Government implies a group of individuals sharing equally in the exercise of power, whereas state refers to the apparatus by which dominant groups maintain their power.
- 3) Language policies in the United States may be derived from de facto planners, such as state educational agencies, or from tradition more broadly.
- 4) Language strategists as people who innovate linguistically in order to promote political, social or economic interests. Those people could be writers, translators, poets, missionaries, publishers, and dictionary makers who can shape language for political and economic purposes; their effectiveness may be greater than government. They are also called cultural elites who have the power to transform language into a symbol for new community frontiers and interests which are defined and defended by political and economic elites with whom they are allied.
- 5) Language loyalty refers to the attachment to one's native language. It can be defined as a concern to preserve the use of a language or the traditional form of a language, when that language is perceived to be under threat. Language loyalty is based upon the persistent attempt to preserve ethnic identity in the face of linguistic and cultural dominance.

Unit 1 (Formative Test)

- 1) Dialect may be understood as referring only to rural speech; it may be understood as referring only to non-standard language; it may be interpreted as implying 'quaint' or 'colourful' or 'unusual'. Language is usually used to mean both the superordinate category and the standard variety; while dialects are nonstandard and subordinate to languages. A language has more power than any of its dialects. It is the powerful dialect but it has become so because of non-linguistic factors.
- 2) The characteristics of RP include (i) the speakers who use it do not identify as coming from a particular region, nor is the variety associated with a particular region, except that it is largely confined to England; and (ii) it is possible to speak Standard English but not speak RP; hence it is characterized as an accent and not a dialect.

- 3) Because RP is a matter of standard pronunciation, it has no written form. All RP speakers speak Standard English which is a standard dialect of English.
- 4)
 - a. Corpus planning involves "activities such as coining new terms, reforming spelling, and adopting a new script". It refers, in short, to the creation of new forms, the modification of old ones, or the selection from alternative forms in a spoken or written code. It entails efforts to change the body or corpus of a language.
 - b. Status planning relates to increasing or restricting the uses of a language but not to increasing the number of its speakers. Status planning concerns the relationship between languages rather than changes within them.
 - c. Language acquisition planning, i.e. language policy-making involves decisions concerning the teaching and use of language, and their careful formulation by those empowered to do so, for the guidance of others. It is needed because considerable planning energy is directed toward language spread, especially through education.
- 5) There are three categories of language planning and policy goals that include (a) language goals, (b) political goals, and (c) economic goals. The language goals may be seen as language-related (wherein language issues appear to be the major focus as an end in themselves). Among language-related goals, three broad types of policies can be identified: (1) language shift policy, (2) language maintenance policy, and (3) language enrichment policy. Among the more explicitly political goals of language planning are those that attempt to use language as a means to promote nation building. Historically, language planning played a major role in the development of the modern European nation-state. It played this role partly because of the invention of the printing press and the expansion of vernacular literacy. In terms of economic goals, language planning often pursues economically motivated goals, such as those pertaining to communication and marketing in international trade.

Unit 2 (Part A)

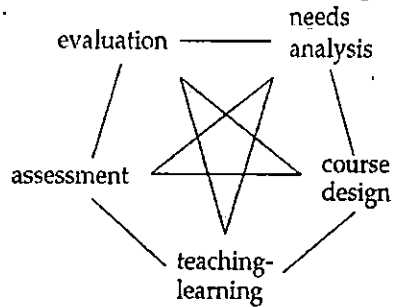
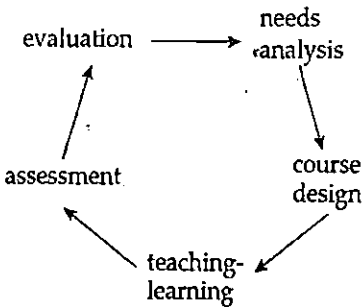
- 1) ESP is the course that prepares learners to use English within academic, professional, or workplace environments, and a key feature of ESP course design is that the syllabus is based on an analysis of the needs of the students
- 2) The key question in developing General English is only finding materials and methodologies which are effective for a particular class (e.g. 'Is the approach or method I'm using appropriate for learners of this age, culture, level, first language?'). Meanwhile, ESP teacher besides considering the same question, she should also consider about: **subject specific knowledge** (of legal procedures, of engineering methods, of software programming etc.).
- 3) Based on Dudley-Evans and St John (1998) the characteristics of ESP are:
 - a. ESP is designed to meet the specific needs of the learner.
 - b. ESP makes use of the underlying methodology and activities of the discipline it serves.
 - c. ESP is centred on the language (grammar, lexis, and register), skills, discourse and genres appropriate to these activities (Dudley-Evans and St John, 1998:4-5).
 - d. ESP may be related to or designed for specific disciplines.
 - e. ESP may use, in specific teaching situations, a different methodology from that of general English.
 - f. ESP is likely to be designed for adult learners, either at a tertiary-level institution or in a professional work situation. It could, however, be used for learners at secondary school level.
 - g. ESP is generally designed for intermediate or advanced students. Most ESP courses assume basic knowledge of the language system, but it can be used with beginners (Dudley-Evans and St John 1998: 5).
- 4) ESP can be classified into two main categories, they are:
 - a. English for Academic Purposes (EAP), and
 - b. English for Occupational Purposes (EOP).

Unit 2 (Part B)

- 1) any process in which a learner uses a computer and, as a result, improves his or her language (Beatty, 2010).
- 2) An alternative term to CALL emerged in the 1980s, namely Technology-Enhanced Language Learning (TELL), which provides a more accurate description of the activities which fall broadly within the range of CALL
- 3) There are some perspectives how CALL can improve language learning:
 - a. learning efficiency: learners are able to pick up language knowledge or skills faster or with less effort;
 - b. learning effectiveness: learners retain language knowledge or skills longer, make deeper associations and/or learn more of what they need;
 - c. access: learners can get materials or experience interactions that would otherwise be difficult or impossible to get or do;
 - d. convenience: learners can study and practise with equal effectiveness across a wider range of times and places;
 - e. motivation: learners enjoy the language learning process more and thus engage more fully;
 - f. institutional efficiency: learners require less teacher time or fewer or less expensive resources.
- 4) There are three phases of CALL development, they are: behaviouristic CALL, communicative CALL, and integrative/explorative CALL.
 - a. Behaviouristic CALL is defined by the then-dominant behaviouristic theories of learning. Repeated exposure to material was considered to be beneficial or even essential.
 - b. Communicative CALL is based on the communicative approach. The focus is on using the language rather than analysis of the language, teaching grammar implicitly. It also allowed for originality and flexibility in student output of language.
 - c. Integrative/explorative CALL tries to address these criticisms by integrating the teaching of language skills into tasks or projects to provide direction and coherence.

Unit 2: Formative Test

- 1) In designing ESP course the most important thing is needs analysis of the students to decide the syllabus, content (teaching materials), and aims of the course.
- 2) ESP course development includes: needs analysis, course design, teaching learning, assessment, evaluation. These elements can be done linear or cyclical.



- 3) *Needs analysis* is the technique in collecting and assessing information relevant to course design: it is the means of establishing the *how* and *what* of a course. It is a continuous process, since we modify our teaching as we come to learn more about our students, and in this way it actually shades into *evaluation* – the means of establishing the effectiveness of a course.
- 4) ESP practitioner can have several roles.
 - a. *The ESP practitioner as a teacher* ESP is a practical discipline with the most important objective of helping students to learn.
 - b. *The ESP practitioner as course designer and material provider* Since it is rarely possible to use a particular textbook without the need for supplementary material, ESP practitioners often have to provide the material for the course. It involves selection of published material, adapting material if it is not suitable, or writing it.
 - c. *The ESP practitioner as researcher* ESP teachers need to be in touch with the research, carrying out a needs analysis, designing a

course, or writing teaching materials need to be capable of incorporating the findings of the research.

- d. *The ESP practitioner as collaborator* It is believed that subject-specific work is often best approached through collaboration with subject specialist.
 - e. *The ESP practitioner as evaluator* The ESP practitioner is often involved in various types of evaluation - testing of students, evaluation of courses and teaching materials.
- 5) Behaviourists believe that drill is good for language learning, computers were considered ideal for this aspect of learning as the machines did not get bored or impatient with learners and the computer could present material to the student at his/her own pace and even adapt the drills to the level of the student.
- 6) Speaking practice by using CALL can be done through:
- a. pairs or groups of students speaking to one another as they sit in front of a computer engaged in a task, or individual students using the computer to record their voice, often in the context of pre-determined dialogues.
 - b. Automatic speech recognition (ASR) has allowed for a few limited spoken dialogue systems and some commercial programs such as Auralog's *Tell Me More* allow learners to select which lines to speak in a branching dialogue.
 - c. By using asynchronous means such as online audio discussion boards (e.g. Wimba) and podcasting. Skype and other VOIP (Voice Over Internet Protocol) applications allow audio and video connecting computer to computer.
- 7) There are two: time synchronous and asynchronous:
- a. Synchronous, or real-time, CMC includes skype, Camfrog, chatting by using Facebook, Yahoo Messenger, instant messaging and MOOs (multi-user domain, object oriented) in the text mode and most commonly VOIP (Voice Over Internet Protocol) in the audio mode.
 - b. Asynchronous CMC, where there is a delay between sending and reading/responding, includes email, blog, Instagram, bulletin or discussion boards and voice boards in the audio mode.

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Translation

Dr. Refnaldi, M.Litt.



INTRODUCTION

Congratulation! You have finished module 5. Welcome to module 6. Module 6 mainly deals with translation. Just like the previous modules, as matter of fact, the materials and discussion on translation are too broad to pack in one module. Thus the explanation in this module focuses on some broad areas, namely the nature of translation, some approaches to translation process, translation training and research in translation.

After finishing this module, you are expected to be able to:

1. mention and argumentatively criticize the available definitions of translation;
2. explain the types of translation
3. distinguish between bottom-up and top-down translation
4. explain other approaches in translation
5. explain the translation process proposed by some experts
6. explain translation research
7. explain applied translation studies

To achieve the objectives academically, the presentation and explanation of learning materials, including the exercises of this module are elaborated into three units. Unit 1 is the nature of translation, which is highly aimed at achieving objectives 1 and 2. Unit 2 deals with some approaches to translation process, which leads you to successfully achieve objectives 3, 4 and 5. Unit 3 is translation training and research, which aims at achieving objectives 6 and 7.

As this subject belongs to content subject in linguistics, reading activities and academic discussion in groups or in pairs are highly suggested. Therefore, the following activities are kindly suggested to do in order to learn this module successfully.

1. Please read carefully the materials and explanation in each unit;
2. then, read further related references and information by means of independent learning and reading;
3. do not forget to add relevant examples and have discussion in groups or in pairs;
4. sometimes it is not easy to have better understanding on certain complex and complicated concepts. If it is so, read the materials again and you may have comparative discussion with your partners;
5. do all the exercises and compare your answers with those of your friends before consulting the key answers provided!

All right students, do your best and good luck!

UNIT 1

The Nature of Translation

Translation is one of applied linguistics subjects that develop continuously since the classical period to modern era. The theory of translation is concerned with a certain type of relation between languages and is the application of various linguistic branches. In the classical theory the focus is on the equivalence, currently this study tends to discuss about function approach.

Quoting from Newmark (1988:9) translation theory is necessary for some reasons. Firstly, translation theory is necessary to identify and define a translation problem (it means no problem, so there is no translation theory). Second, the theory is needed to indicate all the factors that have to be taken into account in solving the problem in the translation. Third, theory of translation is necessary to list all the possible translation procedures; finally, to recommend the most suitable translation procedure, plus the appropriate translation. Those will be discussed in this module.

Regardless the debates on concept and approaches in translation, translation has given many advantages toward the development of various countries (such as, Arab worlds, Japan, European countries). It helps the country in technology, diplomatic, education, business, and also other sectors related to the transfer of knowledge and information.

A. THE NATURE OF TRANSLATION

Before we get into the definition, we need to clarify the origin of the term translation. In the Indonesian language, the term "terjemah" is derived from the Arabic "tarjammah" as mentioned by Hoed (2006). He further said that this *tarjammah* means matters of transfer from one language to another. Meanwhile, English uses the term "translation" and in French use the term "traductare".

Translation is not a new thing. It has been recognized since 196 BC. It proved by a "Rosetta Stone" written on granodiorite stone. This stone has some inscription which told about a decree. This decree was released by the King of Ptolemy V written in two languages Egypt and Greek. It was written in 3 writing systems but having the same content (Wikipedia). Then,

Soesilo (1990:179) also adds that the history also wrote that some part of Gilgamesh epic was translated into 4 of 5 Asian languages. Then, the holy book of Hebrew was translated into Greek around 3 BC. It shows us that translation has been used for a long time as a means of communication among nations that have different languages and cultural background.

1. Definition of Translation

There are many definitions of translation that have been proposed by the experts. The definitions proposed the experts differ in accordance with the background and their viewpoints on translation activities. Because of differences in point of view, the proposed definition may be different, supporting, or complementary to each other. For more details, let us review the various definitions of translation.

What do we know about translation? Translation is frequently associated with word-for-word relation between languages, even though the result may not be considered appropriate or understandable. Cicero (106-43 B.C.), classical orator/translator, described his activity in translation as follows (Cicero 46 BCE, trans. H.M. Hubbell, in Robinson 1997: 9):

And I did not translate them as an interpreter but as an orator, keeping the same ideas and the forms or as one might say, the 'figures' of thought, but in language which conforms to our usage. And in so doing, I did not hold it necessary to render word for word, but I preserved the general style and force of the language.

Cicero said that he did not translate or simply do word for word translation since it will be unacceptable in the target language, thus as an translator, he should preserve the style. Thus, translation is not merely trying to find similar word in in another language.

Well, now, let us examine some prominent definitions proposed by some experts. Firstly, definition of translation proposed by Nida (1964). Nida is one of the pioneers of modern translation theory. Nida (1964) says that:

Translating consists of reproducing in the receptor language the closest natural equivalent of the source language message, **first** in terms of meaning and **secondly** in terms of style.

Nida's definition explains that translation is an activity of reproducing the message with the closest natural equivalent in the target language by preserving or keeping the message and style. Nida (1964) and Nida & Taber (1982) emphasize that message and style must be maintained, not the structure or form of the word. It means translation is not only transferring or replacing a word into another language.

Next, let us look at the definition of the translation filed by Catford (1967: 20; 1980: 20) he defined as follows:

Translation is the replacement of textual material in one language (SL) by equivalent textual material in another language (TL).

Catford's definition is very different from the definition proposed by Nida. Catford says that translation is a replacement of textual material or text. Moreover, he says that it can be simple replacement, by non equivalent material (ibid:20). This definition has a weakness since a text in a language cannot be replaced into a target language without capturing or transferring the message is behind the textual material. Even the same expression or textual material stated in a different language could have different meanings. For example, the phrase "*maaf permisi, saya mau ke belakang*" or "*saya gak enak badan*" may not be simply replaced into "excuse me, I want to go to the back" or "my body is not delicious" although lexically they are the same textual material. It is because the word 'belakang' or "tidak enak badan" is euphemism to express "go to the toilet" or to say "get sick". This is in accordance with Mounin's opinions (in Newmark, 1988: 101) "... translation cannot simply reproduce, or be, the original" means the process of translation cannot be considered solely delivered over and retain the words of the source text only, but many aspects which should be considered translator to achieve the equivalence.

Then, Savory (1968; 1969: 13) defines translation as follows:

Translation is made possible by an equivalent of thought that lies behind its different verbal expressions.

Here, Savory defines that the translation is made possible by the effort of finding equivalent message (thought) behind the verbal utterances. Savory states that translation is not only transfer or re-express verbal expression but a translator must reveal what message behind the codes. Verbal expression

here refers to the language in a variety of written and oral. This definition is almost the same as Nida (1964); Nida and Taber (1969), however, this definition does not provide guidance as Nida.

Moreover, Brislin (1976: 1) defines translation as:

The general term referring to the transfer of thoughts and ideas from one language (source) to another (target), whether the languages are in written or oral form; whether the languages have established orthographies or do not have such standardization or whether one or both languages is based on signs, as with sign languages of the deaf.

Definition given by Brislin (1976) explains that the translation is a general term which refers to an activity of transferring thought or message in mind from a source language to a target language either in writing or orally, either through language or gestures. This definition is broader because it includes spoken and written language, even sign language. However, there is no clear information how to transfer the thought and the aspect in this transferring ideas.

Next, Pinchuck (1977: 38) states that:

Translation is a process of finding a TL equivalent for an SL utterance.

Pinchuck proposes a definition that is very general that the translation is an attempt to find the equivalent of utterance or expression; similarly, it also does not provide what is being the focus, equivalent message or only equivalent utterance. This definition also leads to process; or translation is a process.

In 1984, Larson (1984: 2) also proposed a definition of translation as follows:

Translation consists of studying the lexicon, grammatical, structure, communication situation, and cultural context of the source language text, analyzing it in order to determine its meaning and then reconstructing this same meaning which is appropriate in the RECEPTOR LANGUAGE and its cultural context.

In the above definition, Larson proposes how translation is conducted through several steps ranging from analyzing the lexicon, grammatical structure, communication situations, and contexts need to be understood so

that translation can be reconstructed in the target language. This definition describes of how the process of reconstructing message from a source language to another languages is conducted.

Then Newmark (1988: 5) proposed the following definition:

... is rendering the meaning of a text into another language in the way that the author intended the text.

Based on this definition, Newmark gives a general concept of translation. It is process of transferring meaning or message in a text. It means translators do not replace but re-deliver the message in the way the author intended the message in the text.

Then, Bassnett-McGuire, 1991: 2) proposes definition of translation as follows:

Translation involves the rendering of a source language (SL) text into the target language (TL) so as to ensure that (1) the surface meaning of the two will be approximately similar and (2) the structure of the SL will be preserved as closely as possible, but not so closely that the TL structure will be seriously distorted.

Bassnett & McGuire (1991: 2) give definition of translation as transferring process from source to target language. This definition is also equipped with criteria that should be considered in translation process, they are (1) the meaning of both languages should be similar/equivalent, and (2) the structure of SL should be maintained as close as possible, but not so close to avoid serious deviations in the structure of the target language. Based on this statement, Bassnett-McGuire are, actually, aware of the structural differences between two different languages, however, they recommend preserving it as closely as possible. In the meantime, they also state that maintaining the exact structure of SL can even lead to a distortion of meaning. It seems that this definition is indecisive in maintaining the SL structure.

Then, in 1997, Shuttleworth and Cowie (1997:181) in *Dictionary of Translation Studies* define translation as:

Translation An incredibly broad notion which can be understood in many different ways. For example, one may talk of translation as a process or a product, and identify such sub-types as literary translation, technical translation, subtitling and machine

translation; moreover, while more typically it just refers to the transfer of written texts, the term sometimes also includes **interpreting**.

This definition gives general information as "it just refers to the transfer of written texts". This definition also introduces some terms, such as, subtitling, machine translation, and interpreting.

Based on discussion above, there are some differences in the concept of translation among the experts. The fundamental difference is related to the focus that is "the message" instead of "textual material. Then, some of the definitions also limit translation related to writing only and or oral (speech/utterance). In practice, translation is not only done in writing or but also orally, even audiovisual translation and machine translation. In short, translation is a general term that refers to the activity of transferring messages written/orally from a source language to the closest natural equivalent messages in the target language, by considering meaning and style of the message. Specifically, we use the term translation for writing; and term interpreting for oral translation.

We can also say that a translator is a person who builds a bridge to help the communications among people who have different languages and cultural background. The bridge, which was built is the translation text in the target language that can be read and understood by readers and acquire the same sense. Therefore, the translator must consider how to keep the communication effective and there is no miscommunication. Thus, a bridge of course does not change anything; it transfers the things that pass by. Thus, we can conclude that translation is the activity of transferring or reproducing messages from one language (the source language/SL) into another language (the target language/TL) by retaining the content of message, the effect, intentions, and language style.

2. Term in Translation: Product and Process

Once we understand the concept of translating the above, we need to understand the common terminology used in the translation. It is important to clarify the terminology in the subsequent discussion. There are three things that need to be distinguished with the term "translation" according to Bell (1991: 13):

- a. Translating refers to the process of translation, translation means an activity. This is a mental activity that is not visible. Translation process

occurs in the mind of a translator, how he chooses and decides to re-express the message from the source language into the target language.

- b. A translation (the text that has been translated) is the **product** of the translation process that can be seen as translations text. The translated text is the result of the process of translation.
- c. Translation is an abstract term that covers the **process of translation and also products of translation itself**.

3. Types of Translation

In general we know translation as a general term related to the activity of transferring a message from a source language (SL) into another target language (TL). Based on its communication practice, it can be related to written translation and also oral translation (or interpreting). Translation and interpreting, in fact, equally refers to the transfer of messages from SL to TL (Nababan, 2003: 18; Gile, 1995: 2). But whenever translation and interpretation are discussed simultaneously, the **translation** refers more to the transfer of messages in writing, while **interpreting** refers to oral translation (Munday, 2008: 5; Nababan, 2003: 18; Suryawinata & Hariyanto, 2003: 25; Gile, 1995). It will be discussed more in 6.2.

There are several categories of translation proposed by some experts. The Russo-American structuralist Roman Jakobson in his seminal paper categorizes translation into three categories. Jakobson's categories (in Munday, 2008:5) are as follows:

- a. **Intralingual** translation or rewording is an interpretation of verbal signs by means of other signs of the same language. For example, the paraphrasing of poetry in a language into a prose, summarizing or rewriting a text in the same language.
- b. **Interlingual** translation or translation proper is an interpretation of verbal signs by means of some other language. For example, the translation a procedural text in English into Indonesia.
- c. **Intersemiotic** translation or transmutation is an interpretation of verbal signs by means of signs of non-verbal sign systems. For example, the translation of a command into semaphore in scout.

Based on this categorization, translation that we mean in this book refers to interlingual translation.

B. WRITTEN AND ORAL TRANSLATION

Translation has already been discussed in section 6.1. Based on the mode used in the translation, translation can be divided into two, namely written and oral translation. Are two kinds of translation the same? In this subsection, we will discuss about: the differences and similarities of the written translation (**translation**) and oral translation (**interpretation**).

Comparison of Translation and Interpretation

These two terms, translation and interpretation, in fact, equally refers to the activity of transferring messages from SL to TL (Nababan, 2003: 18; Gile, 1995: 2). But whenever they are studied simultaneously, then the **translation** is classified to the transfer of the message in written language, meanwhile oral translation refers **interpretation** (Nababan, 2003: 18; Suryawinata & Hariyanto, 2003: 25). The person who conducts translation is called as translator, then the person who conducts oral translation is called interpreter.

Starting from the definition and classification of the above, then the next we will discuss the similarities and differences of these two jobs. However, in discussing the translation we cannot simply separate them with translation (as product) and translator/ interpreter. Let's discuss the comparison between the activities of translation and interpreting seen from the following aspects.

a. *Functions*

Some opinions state that the written and oral translation serve the same function, or the same service that is redelivering the messages in a language into another language (Gile, 1995: 2; Nababan, 2003: 18; and Suryawinata & Hariyanto, 2003: 25). This activity serves the same function or goal that is to create communication (Hidayat & Sutopo, 2006: 155). This view is taken from the notion that the translation (as product) is a communication tool "a means of communication" (Newmark, 1981:62; Gile, 1995:21; Nababan, 2003:29).

In general we understand communication as the process of sending a message/information from a sender to a receiver. A monolingual communication happens as sender sends a message through a language (code) that is understood by receiver. It can be described as follows.

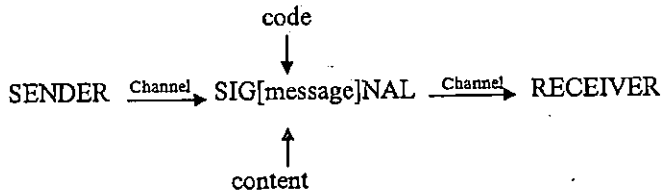


Figure 1. Monolingual Communication (Bell, 1991: 18)

Receiver can easily understand the message because they share the same code or language.

Meanwhile in communication that involves translator, a monolingual speaker communicates to another monolingual who does not share the same code. Therefore, this communication requires “a bridge” to deliver the message - that is translation. Both written and oral translation re-conveys a meaning or message. This is in accordance with Bell (1991:15) that the translator (and interpreters) is defined as a “bilingual mediating agent between monolingual communication participants in two different language communities”. Firstly, translator decodes message transmitted in a language and then re-encodes them back into another language. If we compare with regular communications, in general, it can be described as follows:

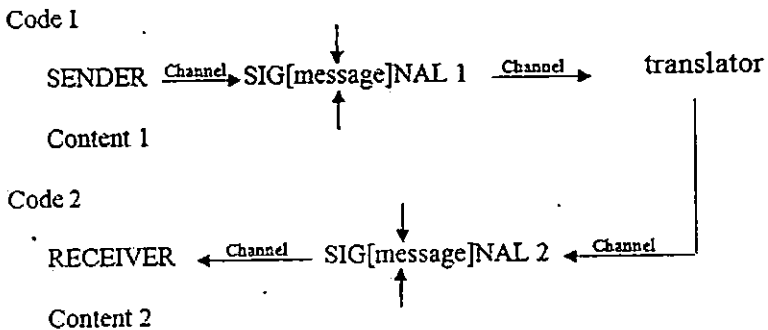


Figure 2. The translation function in Communications (Bell, 1991: 19)

It shows that the same message is delivered to the RECEIVER, but in a different code. Code here refers to the language. A good communication, of

course, requires the RECEIVER gets equivalence MESSAGE and reaction as expected by the SENDER. It means the translator must be able to construct the equivalent message to avoid miscommunication between the SENDER and the RECEIVER. This communication initiated by the original author/speaker (as sender of information) to the readers/audience (as receiver of information) that passes through a translator/interpreter. Thus, translation functions as a bridge of communication through cultural and language boundaries of between the two speakers who have different languages (Hatim and Mason, 1997: 2).

Furthermore, Hatim and Mason (1997: 1-2) calls a translator as communicator with a special category. It is because in the acts of communication, translator is tied to the creator of the message. So it can be said the translator has a dual function, namely the receiver and creator of the message (producer).

b. Media

In communication theory, communication requires media to transfer the message. Similarly, this special communication requires means of communication, the translation function as a communication media between the communicant and communicator (Newmark, 1981: 62; Gile, 1995: 21). It means 'translation products' function as communication media. In written translation, media can be printed materials, such as, books, module, news, etc., that can be read by target reader. Meanwhile, oral translation or interpretation produces oral discourse as a medium that can be understood by target listeners.

In conclusion, it can be said that communication which involves translation, translation product is a medium of communication. As the communication media, of course, the translation products must be effective and does not cause miscommunication between the sender and the receiver. But in this case there is a different types of media used. In the written translation uses written media, while interpreting uses oral discourse (Suryawinata and Hariyanto, 2003: 25).

c. Ways and Working Situation

Translators and interpreters are professional who work to serve people. They help people to understand the message or information written/spoken in foreign language. Firstly, related to the ways, time, working load, and the

workplace, written translation is done not in so tied or stressful situation. Translator could work a day, a week, or a month to complete the task with varying load (Ardi, 2009a). Advanced translators are capable to translate 6-15 pages per day with a capacity of 2000-5000 words (Gile, 1995: 111). Even, they can translate anywhere and use any references even ask a friend or a relevant expert (Suryawinata & Hariyanto, 2003: 25). While, interpreters work in a very limited time 10 minutes to 1 hour and the average speed is about 100-200 words per minute (Gile, 1995: 112). Then, they work in a special place (booth) or in the same room with the speakers or through communications media, such as, telephone, teleconference, etc. Although it is allowed, it is impossible to ask or look for references since they can lose the following information, except for specific data such as technical terms, names, numbers, etc. can be noted down simultaneously.

Second, in a written translation, the translator can reread the translation and then make revisions to the text which has been translated and rewrite it back. Making revision can be done repeatedly for several times to obtain the best translation, while interpreters have a very limited time, even no time for revision. As a result, interpreters sometimes are not so sure whether they had delivered a message as stated in the SL well (Gile, 1995: 113; Nida, 2001:9).

Third, working situation in the oral translation or interpretation psychologically is very stressful and suffered from stage fright since they may work in front of audience or government officers in the international meeting. It is not impossible that there is a person who also understands the source language and suddenly protests that you misinterpreted the message. While the translators do not feel or face it, unless force by deadline. Translators rarely work in front of their clients or audience; they usually work alone or in team. Although there is a mistake, the reader will not tell it in front of the people.

Fourth, interpreters need to remember the messages (not all the words) delivered by the speaker to be redelivered to the receiver/client. In simultaneous interpretation, they need to remember one to three unit of translation. While in consecutive interpretation activity, interpreters have to remember more things; good long term memory and also good note taking ability are required (Gile, 1995:113). While translators can read the source text again and again to check and clarify it, they do not need to remember it.

In addition, interpreter should also consider body language, intonation, and special implicit meaning that the speakers used in certain situation (such

as, business negotiation, or diplomatic meeting). While in the written translation does not face this condition, everything is written.

d. Requirements Expertise and difficulties encountered

The next aspect that will be discussed related to the skill of the translator. Gile (1991:4) says that there are at least four requirements of knowledge and technical skills as the skill as translation expertise to be owned by translators and interpreters. They are as follows: (a) both interpreters and translators must have passive knowledge of SL they work into, (b) interpreters and translators must have good mastery of TL, (c) interpreters and translators must have sufficient knowledge about field of topic of the text/conversation being translated, and (d) both must know how to translate/interpret. Based on the requirements above, there are similarities to be translators or interpreters.

Meanwhile, Machali (2000: 11) uses the term device referring to knowledge and skills require in translation activity. The devices itself according to Machali are divided into the intellectual device and practical device. Intellectual devices include: (a) a good ability in SL; (b) a good ability in TL; (c) knowledge of the subject matter being translated; (d) the application of knowledge; and (e) skills. While the practical devices are: (a) the ability to use referral sources (manual and electronic dictionaries, speakers, etc.); and (b) the ability to recognize the context of a text.

Furthermore, Suryawinata & Hariyanto (2003: 27) give more details requirements for translators and interpreters. **First**, understand and master SL and TL. This ability has to be equally owned by both written and oral translators because they will not be able to translate correctly without SL and TL mastery. **Second**, know the culture of TL and SL. SL mastery without understanding the culture will produce a wrong translation because the language cannot be separated from the context and culture that will be very helpful to translate effectively. **Third**, master the topic or issue being discussed or the translated. For the translator, it can be done while translating, while the interpreter must learn before translating. **Fourth**, related to the material input, the translator should master written language (reading) as receptive skill, while the interpreter should master spoken language (listening) as receptive skill. **Fifth**, related the products, translators must have good writing ability to write or express ideas in TL well (productive skill). This requirement is absolutely because the text functions

communication media. Meanwhile, the interpreter are demanded to have good speaking to express ideas in TL directly (productive skill). Interpreters are required to have good public speaking ability (rhetoric), good pronunciation and articulations.

Sixth, the interpreters must have good skill in making notes simultaneously and in the next moment tell the note well in TL. Often this takes place simultaneously. This requirement is not demanded in written translation. Seventh, the translator should be able to use dictionaries and other reference materials effectively during translation. While in the oral translation, the interpreters must be able to transfer the message from in SL to the TL directly without using any dictionary or other references. It is because interpreting runs in a very limited time and even sometimes in the same time as the speaker. Thus, it is not possible to use a dictionary or other reference. Finally, interpreters must be able to take decisions quickly and directly. As stated by Nababan (2003: 116), interpretation requires excellent ability to process information quickly and accurately in a very limited time. Interpreters must transfer the ideas as soon as possible after or while the speaker is speaking in a short delay.

In addition, other requirements which also distinguishes interpreting and translation, Nababan (2003: 116) says that besides having good listening ability, getting ideas, recall memory, as well as a good reaction, interpreters should also be able to identify the implied meaning in the face, intonation, and gestures of the speaker. Obviously this capability is not required in oral translation. Related to the reader or listener, Nababan (2003) adds the requirements that must be considered by both translator and interpreter. Translators should consider readers' (ability, age, competence), while interpreter also needs to consider who the audience is.

In practice, interpreters almost do not have ample opportunity to use a dictionary or other reference materials when interpretation takes place due to time constraints (Gile, 1995: 112; Nababan, 2003: 116; Suryawinata & Hariyanto, 2003: 25). So interpreters should study the topic before the conference/event takes place (Gile, 1995: 132).

Based on the requirements discussed above, interpreting has more difficulties. Almost all of the problems faced in the written translation are also found in the oral interpretation. However, many problems encountered by interpreter, such as, pronunciation or accent of the speaker are not faced by written translator (Nababan, 2003).



EXERCISE 1

- 1) What is the different of translation definition given by Nida and Catford? Why do you think so?
- 2) What is your own definition of translation?
- 3) Why is translation considered as a communication tools?
- 4) What are the differences of working situation between translation and interpretation?



SUMMARY

Translation is not just replacing the textual material from the source language into the target language but in translation the translator should seek to understand the message, style, and then reiterate or redeliver the message from the source language with the closest natural equivalent message and appropriate to the cultural context of the target language. A translator principally is a communication agency that bridges the communication between two users of different languages. Translation is a medium of communication therefore translation should be able to convey the message of SL in order to understand the TL without any misunderstanding. There are various grouping types of translation based on the viewpoint of the experts. Translation can also be in the form of a multiplier message of texts and messages were verbal.

Several conclusions can be made. The first similarity between the written and oral translation can be seen from the aspect of that function, both functions as a communication tool. However, there is a difference in the aspect of media used related to the product. From the aspect of the workings of the situation and the employment situation, they are very different. Related to expertise, both require good mastery in SL and TL, but there some specific skills needs in interpretation. Therefore, a translator might not automatically capable of performing oral translation.



FORMATIVE TEST 1

- 1) What is the definition of translation?
- 2) Why do we need translation studies?
- 3) How could you differentiate between message and code in a language?

- 4) What makes the interpreter and translator different related to their expertise?

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 2

Translation Process

A. TWO MAJOR APPROACHES IN TRANSLATION PROCESS

In carrying out the process of transferring a message from the source language to the target language in order to be able to produce the equivalence message, a translator needs to understand and analyze the source text to be translated. A translator needs an approach in the translation process. Translation approach is how translators handle the task of translation (Nababan *et al*, 2004: 3). Each translator would have a different way to handle the translation task. Two of the same texts translated by different translators will be very likely produce different translation. This is possible because each translator would have a different approach in solving the task of translation.

Translation approach has a relationship with the translation process. Translation approach can be understood as the way in which a translator to perform translation activities. Conventionally, there are two types of translation approaches, namely top-down approach and bottom-up approach.

1. Top-Down Approach

In general, top-down approach is an approach that starts a process of translation by reading the whole of source text repeatedly in order to understand the message in the source language to be translated prior to translation process. In this approach the translator not only read the source language text at a glance, but the translation process has begun with a deep understanding the content of the text to be translated in advance. After understanding the content of the text, a translator who uses a top-down approach, then proceed to the next process that is to transfer the meaning of the message into target language.

Newmark (1988: 20) defines top-down approach as "you read the whole text two or three times, and find the intention, register, tone, mark the difficult words and passages, and start translating only when you have taken your bearings". Thus based on this definition is that the basic thing that must be done by translator who uses top-down approach is the understanding of the source text in general. In this step, the translator identifies the purpose,

tone, and style of the author to get general description and intention of the text. After getting, the general ideas about the text, then translators start translating the text.

Similarly, Harveys, Higgins, and Haywood (1995: 1) define top-down approach as “if the translators starts with the broadest and most general level and end with the level of the smallest, most particular unit of language, then they adopt the top-down approach”. Based on the explanation, in top-down approach, the translator begins with general level or reading the text as a whole to get general understanding about the source text. Then, translator comes to the smallest level, translating the unit of translation.

Based on the two definitions of top-down approach above, there are some aspects considered by the translators in the translation process. In this case, Nord (1994: 65) proposes a triangle model as shown below to illustrate the top-down approach, which is as follows:

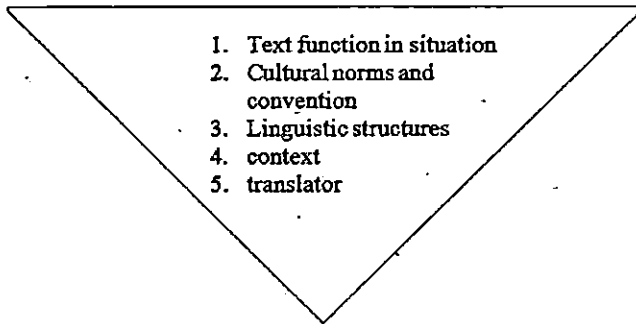


Figure 3: Step-by-step approach is top-down (Nord, 1994)

In the triangle model illustrated by Nord above shows that a translator starts the process of translation at the level of the text as a whole, in order to understand the text as produced by the context of the situation and the particular culture thus it is impossible for him to transfer the message without seeing the text as an integral and inseparable of context.

By seeing text as a whole, a translator can detect any language difficulties caused by language system differences, cultural differences, and ideology. Language system differences related to the arrangement of word or grammatical structure, for instance, English put the ‘core’ of noun phrase at

the back, meanwhile Indonesia put it at the beginning. See the example below:

- SL: This rule includes the institutional, industrial, and commercial structures.
- *TL: Peraturan ini meliputi institusi, industri, dan gedung-gedung komersial.
- TL: Peraturan ini meliputi gedung-gedung institusi, industri, dan gedung komersil.

It can be seen that the word "structure" in English is at the noun preceded with some adjectives, but in Indonesia, the noun followed by adjectives. Whenever the translator does not read the text as a whole, he might misinterpret the text.

Similarly, some cultural differences can be detected while reading the text at the beginning. The translator can detect the use of idioms, figurative languages, slang words, and cultural terms that may need special treatment in translating them. Moreover, the ideology might also involve. A text, sometimes, teaches certain ideology, beliefs, doctrines, or material that might be acceptable or unacceptable in another country. That is why, translator should have known the purpose and beliefs implied in the source text prior to the translation process.

Based on the opinion above, it can be concluded that by using top-down approach, a translator feels a heavy responsibility because he should be able to understand the world of the source text and target text reader's world prior to translation task. However, this approach might need some (more) time to read, analyze, and get an understanding about the text before translating the text into TL. In order to analyze the source language text, a translator in this approach is required to have a good competence in the field of good grammar of TL and SL. In other words, a translator who uses this approach must master the linguistic elements and extra-linguistic elements contained in a text. Thus, this approach is most typically used by professional translators, although not all of them use this approach.

2. Bottom-Up Approach

Bottom-up approach is an approach that begins translating the text directly from word by word, sentence by sentence, and so on without doing prior analysis. Nababan *et al* (2004: 3) say if the translators start with words and phrases, not by the text in the context of the situation and cultural,

therefore he applies a bottom-up approach. In other words, bottom-up approach can be described when instantly translate text SL without reading and analyzing in depth beforehand.

Newmark (1988: 21) defines bottom-up approach as: "you start translating sentence by sentence, for say the first paragraph or chapter, to get the feel and the feeling tone of the text, and then you deliberately sit back, review the position, and read the rest of the SL text." It shows us that in approach, a translator directly translates the text without trying to understand or analyze the text prior to translation process. Based on Newmark's statement above, after translating a paragraph or a chapter, you may need to review the translation back from the beginning.

Moreover, Newmark (1991: 126) adds that "in practice this is when the translator starts translating immediately, it has the excitement and adventure of immediate practice, of getting the feeling tone of text at once, of learning and erring through experience." Thus, the translator will get information and do the analysis about the intention of the text while he is translating the text. It is like an adventure, getting to the new world. As you get deeper and deeper or have more and more information, then you might have better understanding. Therefore, you might need to review back your previous translation. In your adventure, you may have a better lexical choice, idiom, or figurative language as you have more description after translating the text more and more.

Bottom-up approach does not require the translator to analyze the text prior to translation. That is why, a novice translator tend to use this approach. However, this approach may require more time to review and revision after translating the text. The translators might need to check the coherence, technical term, or may be idiom, used in the text.

3. Which is the Best Approach?

After knowing these two types of translation approaches above, then which approach is better and valid? Top-down or bottom up approach? If we compare the two approaches above, then surely both approaches are equally good and valid. This is because both of these approaches have advantages and disadvantages of each. As said by Baker (2011: 6) that "both the top down and the bottom-up approaches are therefore valid in their own way.

Theoretically, some experts on translation studies recommend using top-down approach. Snell-Hornby (1988:69) suggests that that textual analysis is

an important thing to do before the process of translation in the translation of the top-down approach, analysis of the macro level to the micro level, from the text to the message. Thus, the translator can determine the overall meaning is contained in the text. A textual analysis is an essential thing to do before translation process. Similarly, Hatim and Mason's model of the translation process (1990, 1997) also adopts a top-down approach, taking such things as text-type and context as starting points for discussing translation problems and strategies. It seems that theoretically, the top-down approach will be good in translation process.

Meanwhile, Snell-Hornby (1988: 69) suggests.

However, Baker (2011: 6) mentions that she prefers the bottom-up approach. According to her the top-down approach is the more valid one theoretically, however, for the translator who is not trained linguistically; it would be difficult to do as there is too much to consider at once (Baker, 2011: 5). Therefore, related to pedagogical reasons, because it will be easier to follow for translators who do not have experience and linguistic knowledge. A bit different from Baker's opinion, Newmark (1991: 127), although he also stated that the two approaches is correct, but he suggests the top-down approach.

If an interpreter using a bottom-up approach, then it will be a lot revision at the initial section because it performs text analysis process at the same time while the translators do the message transfer process. As he more understand about the text, in the next sections of source text that he translated, he will realize the intention and the mistakes he did in the previous section. This is the reason for Newmark to recommends that top-down approach is better. The bottom-up approach will make you do a lot of revision at the beginning of the translation part, so it will spend a lot of time (Newmark, 1988: 21). He also concludes that top-down would be good for a relatively easy text, but bottom-up for a harder one.

Furthermore, bottom-up approach also has some drawbacks in terms of consideration about the purpose and objectives of the translation. This lack of consideration can cause error-fatal mistake in the translation activities and translation results. These errors include errors in the choice of words (diction), the technical term, as well as sentence structure. This is due to a lack of understanding in the analysis phase of source language text, target

language, and cultural contexts (Nababan, 2007). It occurs because the translation activity is not initiated by text analysis as a whole.

By contrast, top-down approach also has difficulty as it is difficult to apply by novice translators. This is because this approach requires the translator to master not only of the language but also the cultural aspects of the target language and source language. This is consistent with the statement of Baker (2011: 6) above. Baker agrees that theoretically, top-down approach is better, but it is not easy. Especially for the novice translator must consider everything at the same time.

Based on the discussion above, it can be concluded that both translation approaches are good and valid. It depends of the translators. It would be better if they do analysis prior to the translation process, then he can get general view about the text being translated. However, they should have good linguistic knowledge to do so. Or, on the other hand, the translators do analysis while they are translating the text. And then, they need to do some revision to the previous section as they have better understanding on the text being translated.

B. OTHER APPROACH TO TRANSLATION

We have discussed about the concept of translation in the previous section. The term of translation has several meaning that related to an abstract concept (translation), as product (a translation), and process (translating), and of course translator. We have also discussed about how translation process are modeled. Actually, how this phenomenon is described?

The study of translation theory and phenomena is relatively a new field for about 50 years (see Munday, 2001:3; 2008:3). This branch of linguistic is commonly known as Translation Studies (Munday, 2001:3). This subject is an academic discipline that related to the study of the theory and phenomena of translation. By its nature, it is a multilingual and also interdisciplinary study (Munday, 2001:1). This subject studies and explains how translation should be and phenomena in translation. In this section we will discuss more about the approach to translation and translation studies.

1. Linguistic approach

Linguistic Approach (or linguistic translation) is a term used to refer to any approach which views translation as simply a question of replacing the linguistic unit of ST with “equivalent” TL units without reference to factors such as context or connotation (Shuttleworth & Cowie, 1997:94). The linguistic approach to translation theory focuses on the key issues of meaning, equivalence and shift. This approach began to emerge around 50 years ago (Hodges, 2009; Munday, 2001). This approach explains the phenomena in translation based on structural analysis. The founders of this approach explain how translation is conducted and how to achieve the equivalence in translation based on structural linguistic approach. Some founders of linguistic approach are Roman Jakobson, Eugene Nida, Newmark, Koller, Vinay, Darbelnet, Catford and van Leuven-Zwart that are shown by their works (Hodges, 2009).

Some of the strategies mentioned by Vinay and Darbelnet in 1958 are borrowing, calque, modulation, literal translation, transposition, equivalent, and adaptation (Munday, 2008: 56-58, Molina & Albir, 2002; Ardi: 2015). These strategies as the way to solve translation problems give big influence to translation studies. Similarly, Catford in 1965 although does not the same term, introduce ‘shift’ in translation. He mentioned structural shift, class shift, unit shift or rank shift, and intra-system shift in translation (see Munday, 2008:61 for detail). This approach, however, some theorists began to realize that language was not only about structure – it was also about the way language is used in a given social context (Hodges, 2009).

2. Functional theory approach

This linguistic approach is termed functional linguistics by Hodges (2009), which is based on the work of Katharina Reiss, Justa Holz-Mänttari, Vermeer, Nord, Halliday. Firstly, text type approach is focused on concept of equivalence but views the text, rather than the word or sentence as the level of at which communication is achieved and at which communication must be sought (Reiss in Munday, 2008: 73). Reiss’s functional approach is actually based on Bühler’s text categorization (expressive, informative, and operative). The comparison of text type and translation method can be seen as follows:

Table 1. Functional Characteristic of text type and links to translation method (adapted from Reiss, 1971)

Text type	Informative	Expressive	Operative
Language function	Informative (representing object and fact)	Expressive (expressing sender's attitude)	Appellative (making an appeal to text receiver)
Language dimension	Logical	Aesthetic	Dialogic
Text focus	Content-focused	Form-focused	Appellative-focused
TT should	Transmit referential content	Transmit aesthetic form	Elicit desired response
Translation method	'Plain prose' explicitation as required	'identifying' method, adopt perspective of ST author	'adaptive' equivalent effect

(Source: Munday, 2008: 74)

However, this text type approach also gets some critics by some theorists. Fawcett (1997), for instance, says why there should be only three texts are given. Nord (1997) also ask about the treatment for greeting expression.

Then, *skopos* theory is introduced by Hans J. Vermeer as technical term for the purpose of translation and of the action of translating (Munday, 2008: 79). The word *skopos* (Greek) means purpose or aim. *Skopos* theory is an approach of translation that focuses on the purpose of the translation, which determines the methods and strategies that are to be employed in order to produce a functionally adequate result (ibid: 79). In this approach in translating or producing target text (TT), knowing the purpose or why an ST is translated and what the function of TT are important for the translator.

Functional translation approach in general gives a new view in translation, it moved from static linguistic phenomenon to being an intercultural communication (Munday, 2008: 87). Translation is viewed as communicative transaction involving initiator, commissioner, and the producers, users and receivers of ST and TT.

3. Discourse and register analysis approach

This approach is developed based on Halliday theory on Systemic Functional Grammar that study the language as communication, seeing meaning in the writer's linguistic choice and systematically relating these choices to a wider sociocultural framework (Munday, 2008: 90). This approach is supported by Baker's, and Hatim & Mason's works. This approach analyzes the discourse of ST, related to register which comprises three variable elements, they are field (what is being written about), tenor (who is communicating and to who), and mode (the form of communication).

Baker as one of the theorists, who develops this approach in her book (*In Other Words: a course book of translation studies*, 1992), explains the equivalence at a series of levels, they are: at word, above-word, grammar, thematic structure, cohesion, and pragmatic levels. One of the important points for ST thematic analysis is that the translator should be aware of the relative markedness of the thematic and information structure. Then, Hatim & Mason who also develop this approach give an extra attention to the realization of ideational and interpersonal functions in translation. They also incorporate theory semiotic level of discourse.

Based on discussion above, it can be concluded that register and discourse analysis approach is based on the model of Hallidayan systemic functional linguistics which links micro-level linguistic choices to communication function of a text and sociocultural meaning behind it. Although this discourse analysis models have extremely famous, this approach model has been attacked by some theorists, such as, Fish (in Munday, 2008: 101) for being too complicated analysis in its categorization of grammar and inflexible one-to-one matching structure and meaning.

4. Cultural studies approach

Cultural approach pioneered by Susan Bassnett and André Lefevere looks at the language of the target text and sees cultural implication in the choice made (in literary translation). In their collection of essay entitled *Translation, History and Culture*, they consider that the approach to translation just focus on word to text as unit, but do not consider the text in its cultural environment. Therefore, Bassnett and Lefevere go beyond language (read as linguistic aspect) and focus on the interaction between translation and culture. In this case, it concerns on the way in which culture

impacts and constrains translation and on context, history, and convention (Munday, 2008: 127).

Moreover, in this cultural approach Lafevere made some points that related to poetics, ideology, and translation. In any level of translation process, if linguistic consideration conflicts with ideological consideration, and/or poetological nature, so poetological tend to win (Lafevere in Munday, 2008:130. This approach that has relation to literary world, therefore, this approach also concerns with translation and genre, translation and postcolonial. Some theorists also criticize this approach for the use of culture that is not obvious and problematic; buy Lafevere simply defines culture as “the environment of literary system”. Lafevere identifies three factors that control literary system; they are the professional, patronage, and poetics (Munday, 2008:142).

5. Hermeneutics approach

Hermeneutics is considered as modern philosophical approach to translation that seek out the essence of translation (Munday, 2008: 162). Steiner in his works *After Babel* (1975) defines hermeneutic approach as:

the investigation of what it means to ‘understand’ a piece of oral and or written speech, and the attempt to diagnose this process in terms of a general model of meaning (in Munday, 2008: 163).

Based on this definition, Steiner focuses on the effort of understanding the meaning. He uses psychological and intellectual functioning of the translator’s mind. The core move of Hermeneutic motion consists of four parts: (1) **initiative trust**, that translator believes that there something in ST. (2) **aggression (penetration)**, that translator invades, extract, and brings home the meaning. (3) **Incorporation (embodiment)**, the translator chooses the way to bring it home ‘complete domestic’ or ‘permanent strangeness’. (4) **Compensation (restitution)**, it also defines as enactment of reciprocity or residue, such as moral of translation.

6. Integrated/interdisciplinary approach

Mary Snell-Hornby (1988) in her book *Translation Studies: An integrated Approach* tries to integrate a wide variety of different linguistic and literary concepts to translation. This approach applies previous theory,

text type, to incorporate cultural history, literary studies, sociocultural and area studies, and for legal, economic, medical, and scientific translation the studies of relevant specialized subject (Munday, 2001: 183).

C. TRANSLATION PROCESS

Process of the translation does not happen just as it looks like – the translator read and then write the translation directly - but it involves an internal process (in translator's mind) before finally delivered a product of translation. In the previous discussion about the translation approach, a top-down approach is suggested in the translation process and also some analysis related to approach to translation (even though, there is a disagreement). In this sub-section we will discuss further about how the translation process are modeled. We begin by understanding the concept of translation process and what is being done in the translation process to produce a translation.

1. Translation Process Model by the experts

The process of translation is a model that is intended to explain the internal process conducted by an interpreter when doing translations. The first model proposed by Nida (1975:79) mentions that there are three stages that must be followed in translation process, they are: (1) analysis, (2) transfer, and (3) restructuring. The chart about this process according to Nida translation is shown in Figure 6.4.

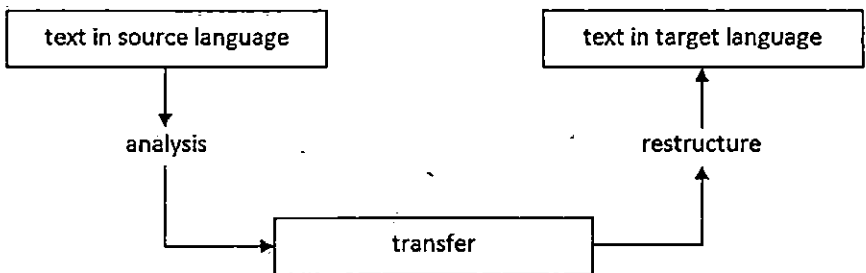


Figure 4: The translation process by Nida (1975: 80)

Similarly, Nababan (2003: 25-28) describes the translation process consists of three stages, namely:

- 1) **Analyzing the source language text.** This process is conducted by reading the text to comprehend the content and message. In this case, the

translator should analyze linguistic and extra-linguistic element. Firstly, the linguistic elements of SL is analyzed that related to grammatical relationships, meaning of words, and word combinations, phrase, head and modifier, etc. Then, after analyzing these linguistic elements, translator also analyzes extra-linguistic elements that related to the socio-cultural aspect of the text & target readers.

- 2) **Transferring the message.** After analyzing the source language text, then the translator can get an understanding on meaning and language structure, it is the basic point to know the message in it. This transferring process happens in the translator's mind. Then, the translator transfers the content, meaning, SL into TL into oral or written text in TL.
- 3) **Restructuring.** After transferring into the target language, then the last step is restructuring or checking and rechecking the result of translation. The translator needs to adjust the sentence structure, language style, and considering the target reader.

It seems that Nababan (2003) and Nida & Taber (1982) have the same opinion about the process of translation. However, there are some differences between their opinions. First, Nababan (2003) stated that in the second stage, the translators not only do the transfer in their mind, but also directly write the meaning, contents, and messages into TL outwardly, while Nida and Taber (1982) consider the message appears in third stage (restructure). Then, Nida & Taber (1982: 34) states that this is not a linear process but can be spun back to produce a translation that is really accurate. While, according Nababan (2003) the revision process happens in the restructuring stage in form of adjustment process (style, text types, and adjustments to the target reader). However, in practice the translation of the second opinion is possible that translators can also revise the current translation in progress or after completion.

In contrast to the above opinion, Larson (1984: 3-4) describes this process with simpler stages, which can be described by the following steps:

- 1) Discover the meaning, at this stage translators study and analyze the words, grammatical structure, communication situation, and cultural context of the source language to understand its meaning.
- 2) Re-express the meaning of the words and grammatical structures that are appropriate in TL. Larson does not distinguish between processes that occur in the mind (mental processes) and the visible process of birth. So as the translators understand the

message/meaning of SL text, translators directly transfer the message in TL, while the transfer process that occurs in the mind is not described and explained explicitly.

Larson translation process model can be described as follows:

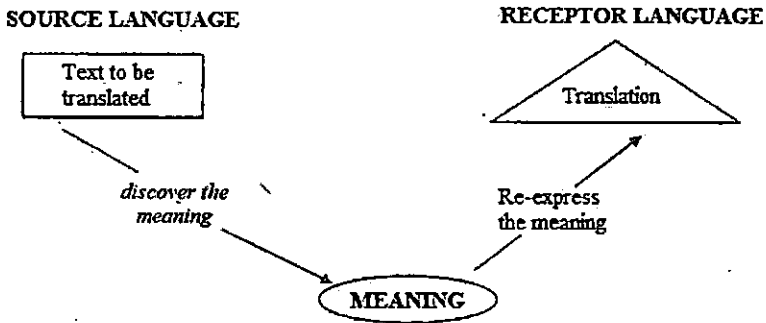


Figure 5: model of translation process by Larson (1984)

Actually, in order to discover the meaning of course translator should analyze the text to be translated.

Next, Machali (2000: 33-39) also portrays the translation process that is performed in three stages, namely: (1) Source Language Text Analysis, (2) Transfer, and (3) Harmonization that can be carried out repeatedly and back and forth to achieve good translation. Based Machali's opinion, translation process can be modeled as follows:

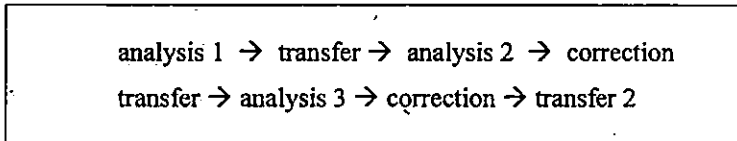


Figure 6.4 model of translation process by Machali (2000)

This model actually has similarity to model proposed by Larson, but Machali uses different term (analysis and transfer) that is the same with discover and re-express or transfer. However, Machali says that this process can go back and forth, the translator can go back to do second analysis if the translation is not perfect yet. However, principally, the process is the same.

Then, Suryawinata & Hariyanto (2003: 19-20) proposes four stages of the translation process (modification of Nida and Taber's model):

- 1) **Analyzing/understanding stage**, including grammatical analysis, textual and contextual meaning
- 2) **Transferring stage**, a process in translator's mind, such as transfers of meaning from SL into TL,
- 3) **Restructuring the message**, the process of producing through rewriting the meaning in form of words or sentences into TL, and
- 4) **Evaluation and revision stage**, this evaluation phase, the translator match the results back to the original text, whenever the translation is not equivalent yet, then it will be revised.

For instance, they describe this process through the diagram below:

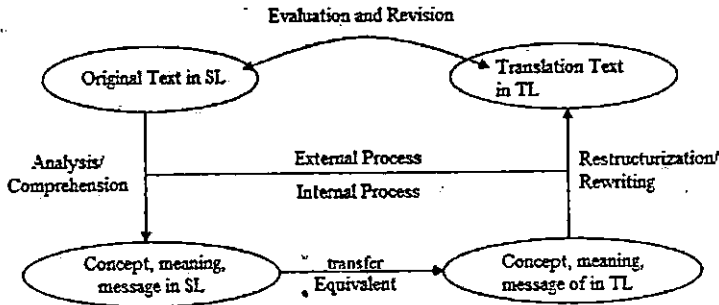


Figure 6: The translation process according Suryawinata & Hariyanto (2003: 19)

Based on the picture above, translation process runs continuously, it means the process runs circularly. Actually, Nida & Taber (1982: 33) also state that translation process is not just at once, however, they do not put explicitly in their diagram. Moreover, Suryawinata & Hariyanto (2003) separate the evaluation and revision stage as a new stage, that is different from restructuring. Meanwhile, other experts consider that evaluation/revision is still part of the harmonization or restructure (see Nababan, 2003; Machali, 2000; Larson, 1984; and Nida & Taber, 1982). Thus, the translation process model proposed by Suryawinata & Hariyanto (2003) is more complete to describe how the process of translation should be done.

Based on the above discussion, it can be concluded that in order to produce a good translation product, at least there are four stages of the

translation process, namely: 1) **analysis**, including analysis of linguistics and extra-linguistic aspects to achieve a comprehensive understanding of the message being translated, 2) after understanding the message in SL, the next phase is the **transfer of the message** into TL that happens in the translator's mind, 3) the next stage of the **restructure** the equivalent messages that have been transferred into written or oral form based TL grammatical structure, 4) the last stage **evaluating and revising** of TL text. The messages that have been written in TL are compared and evaluated related to their accuracy with the meaning and style of the original text, and also consider the choice of words based on the target reader or listener.

2. Application of Translation Process

a. *Analyzing*

In the analysis phase, the translator is required to understand the content/message in the ST properly. The purpose of this analysis is to find; (a) the relationship of grammar, and (b) the purposes of speech/combinations of words/phrases. At this stage, the translator must read the whole ST repeatedly (if necessary) so that the message and purpose of the message in ST can be understood as a whole and the context can be understood well. In addition, the translator must know who the target reader and for what use. This is commonly known as the translation brief as translation information guide. By knowing the translation brief, the translator can determine the choice of words and grammar. Then, by reading repeatedly translators can analyze the language style or writing style of the ST. Larson (1999: 478) says that "as the translator reads through the text, he should note down any lexical terms which seem to be key words. The key word is important to understand and to avoid misunderstandings because the word will frequently appear.

In the analysis, translator should be aware about word combination that might create a new meaning, such as connotation, idiom, puns, word play, figurative language, since these word combination cannot translated without capturing the real message behind the "case".

b. *Transferring*

After analyzing the text of the ST, the translator transfers the messages from the SL to the TL without diminishing or adding meaning or message contained. This process is the translator's mind. Translators must be objective and honest in transferring the message. However, we cannot translate the

words that exist in the source language naively because that is not meant honesty in translation. In transferring process translator should be aware of translation problems. Translators, sometimes, are not aware that they face a translation problem and just translate the ST honestly (without knowing the real message behind the word combination). For example as quoted by Susilo (1990: 183) he mentions the problem that occurs in the translation of the Bible from Hebrew into Malay in 1879 as follows:

"Saul Masoeklah ke dalamnja [gua] hendak berselimoetkan kakinja"
(Samuel 24: 4).

As common readers who do not know the culture in Hebrew of course we think that Saul get cold feet so he wanted to get rest or warm his feet in the cave. Meanwhile, "hendak berselimitkan kakinya" or (literally 'cover the foot') in Hebrew is a euphemism to express 'want to go to the toilet. So translators who do not know the euphemism expression and translate innocently even mislead the reader.

Based on the example of translation problems in transferring process, translators should really know the subject matter of the translated text, the target language, the communication. In transferring stage, translator should be sensitive to issues that arise, such as the message that cannot be transferred literally or equivalence at word level, but it must be through equivalence above word level (see Mona Baker, 1992). In translating idioms, euphemisms or swear words, the translator must be able to transfer it wisely.

Examples:

- We canceled to meet in the park, it rained cat and dog.
- Kami membatalkan pertemuan di taman karena hari hujan lebat.

The word "cat and dog" is not translated as "kucing dan anjing" or "hujan anjing dan kucing" but translates it into "hujan lebat".

c. *Restructuring*

This step is the actual translating activities. Translators choose the way to express the equivalent message in form of sentences in the TL, so that messages can be re-delivered as well as possible. Sometimes the translator can follow the arrangement of the source language sentence, but often also need to change the arrangement of sentences into a form that is prevalent in

the target language. Likewise, there is a word or phrase that can be matched easily, but there also needs to be translated in other ways, in accordance with the vocabulary and phrases of the TL.

In order to produce a good translation, the translator can consider the following guidelines: (1) message is more important than its form/shape, (2) to maintain the content, form can be changed, (3) the same news does not mean the same shape except in literary translation, (4) accurate meaning is more important than verbatim accuracy, (5) TT should be natural and acceptable, (6) avoid heavy translations, (7) reader's interests must be the priority rather than the language form, (8) avoid the sentences being funny in its translation.

d. *Evaluating and Revising*

If the restructuring process has been completed, the next step is to test or evaluate the results of the translation. The aim is to improve or refine the translation. The testing should include all issues that may arise, the accuracy of the analysis of language, common content or message, accuracy of the language style. Testing is not just a comparison between the original text and its translation in terms of word-for-word similarity but its function too, for instance, by testing how the reader's reaction to the results of the translation. If the readers respond positively as expected by the original writer means the translator is good, otherwise if taken negatively, then the translation results that need to be repaired.



EXERCISE 2

- 1) Explain two kinds of the translation approach!
- 2) Translate the following text. What approach do you use?
- 3) *We only need to look at the extent of reporting on translation and interpreting in the media to appreciate how visible the profession and the activity have become. News of translation and interpreting now pervades our lives: whether it is the lack of qualified court interpreters in a remote part of Australia or Canada, or the fate of translators and interpreters in zones of military conflict; the launching of a national initiative to encourage translation in one region or another, or the decision by the Turkish government to reinterpret Islam through a new translation of the Prophet's sayings; the impending decision by the*

European Commission to limit the translation of patents to three languages, or the release of a feminist translation of the Bible. Every aspect of our social and political life is now heavily mediated by translators and interpreters, hence their increased visibility (Source: Mona Baker, 2011).

- 4) Mention approach to translation that related to linguistic approach?
- 5) What is the different of functional approach from linguistic approach?
- 6) See your translation in the previous section, can you analyze based on one of the approaches above.
- 7) Differentiate model of translation process based on Nida & Taber and Suryawinata & Haryanto.



SUMMARY

In translation, there are two approaches that can be applied by the translator. Both of these approaches are top-down and bottom-up approach. Top-down approach requires the translator to analyze the source text thoroughly before starting transferring the messages to the target language. Therefore, the translation is the result of a deep understanding of the language and the language of the source text. Meanwhile, the bottom up approach, (tends) to ignore an overall text analysis phase at the beginning of the translation process. The translators directly translate the text, word by word, sentence by sentence, and so on.

Approaches to translation continuously develop, it started by seeing the phenomenon of translation based on the field of linguistic (that related to word, phrase), then complicated systemic functional grammar, and even move to wider field, cultural studies approach to integrated approach. These approaches attempt to explain the phenomena of translation and how to achieve a good translation text, what should be considered and done by translators. In fact, we should consider practicality, purpose, and function of the text.

Translation is not an easy activity. The translator must be highly concentrated, and always pay attention to ethics and rules that apply in the translation process. One of the rules in conducting the translation is by adhering to the principles of correct translation in the translation process. Many theorists of translation formulate the approach to translation. Approach to translation can be said as general view of

translator toward translation. It is related to the way in analyzing the ST and then decide the way to translate into TL.



FORMATIVE TEST 2

- 1) What are the strengths and the weaknesses of bottom-up and top-down translation approaches?
- 2) Explain the concept of functional approach to translation studies.
- 3) What are the weaknesses of text type approach?
- 4) Why is discourse and register approach considered too complicated?
- 5) What is the important of translation approach to translation quality?
- 6) Can we use cultural approach in translating scientific text?
- 7) Why should a translator do analysis prior to transfer process?

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 3

Translation Training and Research in Translation

As a branch of applied linguistics, there are some interesting researches that can be conducted related to translation. In this module we will discuss about research in translation and about translator training.

A. RESEARCH IN TRANSLATION

Research in translation is conducted to explain the phenomena in translation. As the way to develop translation studies, currently there are an increasing number of researches in translation. Holmes (in Munday, 2008:9-10) explains coverage area of translation studies (adapted from Toury). Let us see the map below:

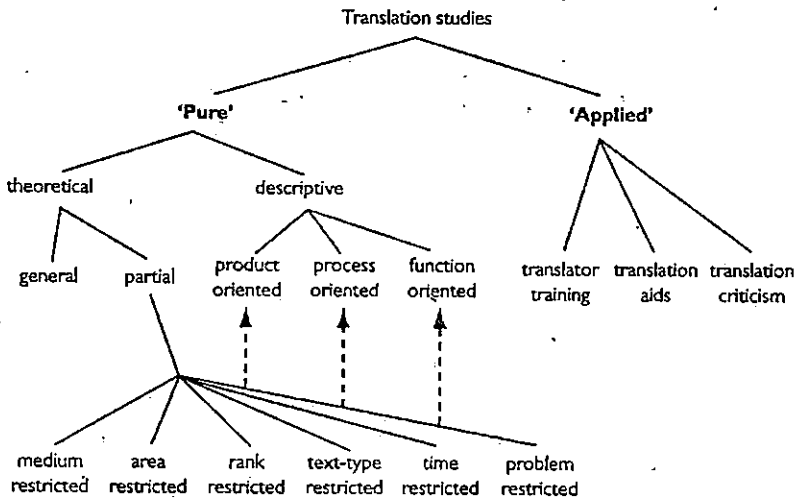


Figure 7: Holmes's map of translation studies (Munday, 2008:10)

Holmes's explanation to this framework, the objectives of the 'pure' areas of research are:

1. the description of the phenomena of translation (descriptive translation theory);
2. the establishment of general principles to explain and predict such phenomena (translation theory).

The branch of pure research in Holmes's map is descriptive. Moreover Holmes (in Munday, 2008:10) explains that descriptive translation studies (DTS) has three possible foci: examination of (1) product, (2) function, and (3) process. For more detail, Munday (2008:10-11) explains these categories as follows:

- (1) **Product-oriented** examines existing translations. This research involves the description or analysis of a single ST–TT pair or a comparative analysis toward some TTs of the same ST (into one or more Target Languages). These smaller-scale studies can build up into a larger body of translation analysis looking at a specific period, language or text/discourse type. Meanwhile, larger-scale studies can be either diachronic (comparison of the development over time) or synchronic (at a single point or period in time).
In product-oriented, the research can focus on the technique of translation, the choice made by translator in handling translation problem, method in translation, and ideology of translation (Ardi, 2015). The research can also measure the quality of translation.
- (2) **By function-oriented** means the description of the 'function [of translations] in the recipient sociocultural situation: it is a study of contexts rather than texts'. Issues that may be researched include which books were translated when and where, and what influences they exerted. This area, which Holmes terms 'socio-translation studies' – but which would nowadays probably be called cultural-studies-oriented translation – was less researched at the time of Holmes's paper but is more popular in current work on translation studies.
- (3) **Process-oriented** is concerned with the psychology of translation, i.e. it is concerned with trying to find out what happens in the translator's mind. Despite later work from a cognitive perspective including think-aloud protocols (where recordings are made of translators' verbalization of the translation process as they translate),

this is an area of research which is only now being systematically analyzed.

In process-oriented, the research can see the strategy use by the translator while translating text. It can be done by TAP. Problem faced by the translator and the reason made by the translator.

This categorization cannot be discreetly divided because in translation research it might be related each other (Nababan, 2005: 108).

1. Genetic, Objective, and Affective Aspects in Translation Research

Nababan (2005:108-109) in his paper presented in the conference of Linguistics Societies of Indonesia in 2005 says that in translation research, can involve at least three aspects, namely: genetic, objective, and affective aspects.

- a. **Genetic aspect.** Genetic aspect refers to the translator. Translator(s) is the key person who conducts the translation. He is the person who makes decision whether a translation will be oriented to foreign language (ST) or domesticated (TT). In this aspect, the research can explore how the translator takes his decision that is influenced by his language competence, transfer competence, field, and textual competence (see PACTE for detail about translator's competence).
- b. **Objective aspect.** Objective aspect refers to the translation result or translation product. Product-oriented research will depend on this aspect. This aspect can focus on the unit of translation, such as words, phrases, clause, sentence, or text. The translation works will be the main source of data. The research might be conducted related to the translation quality (Nababan, 2012; Ardi, 2010; 2015), technique of translation (Molina & Albir 2002; next section), method of translation (Ardi, 2010), or ideology of translation (Ardi, 2009).
- c. **Affective aspect.** Affective aspect refers to the reader's response. Nababan (2005) explain that the readers' response must be considered to know the response of target reader or expert related to the translation. It can be done on the reader's response on accuracy (expert's judgment of translation accuracy), readability (level of difficulties), and acceptability (whether the translation is acceptable in the culture of target reader).

2. Strategies in Collecting Data in Translation Research

Nababan (2005:109) explains that data related to translators can be done by giving questionnaire. This information is related to education background, expertise, experience, language ability, and related training. This information can also be collected through interview the translator.

Data related to translation process can be done by using Think-aloud protocol (TAP). This technique demands the translator to verbalize what happens in their mind while doing translation (House and Blum-Kulka, 1986; Munday, 2008; Nababan, 2005; Ardi, 2015). It can be recorded by using audio recorder while translator verbalizes what he thinks while translating the text.

In-depth interview can be done to collect the data about declarative knowledge of translator (Nababan, 2005). It can be done related to the translation process, decision making, and translation problems faced by the translator. It can be done before and/or after the translation. The interview should focus on the translation process conducted by the translator. It can be used to check translator's consistency before and after translation.

Assignment is the way to collect the data by asking the translator to translate certain text provided by the researcher. In this technique, researcher can observe the translator habits and ways in solving translation problem (Nababan, 2005). Usually, the researcher records the data by using video camera.

3. Evaluating Translation Quality

Translation quality is one of the aspects being analyzed in product-oriented and process-oriented research. Whatever the translation approaches used, the translation strategy and translation technique, then, the question is what the impact toward the quality of translation. Actually, translation quality always becomes the main issue among translation theorists. However, there are still debates on the objective criteria related to translation quality (Al-Qinal, 2000: 498). Therefore, as one of the aspect in the research of translation, we will discuss various models of translation criteria proposed by the translation experts.

One of them, Nida (1964) proposes reader's response to measure translation quality. However, those criteria are still criticized, whether those criteria can be tested empirically to measure the translation quality. Then, in 1969, Nida & Taber (1969: 169-173) propose some ways measuring

translation quality, they are: cloze test, reader's response to alternative given answers (reaction to alternative), explaining the content to colleagues, read the text loudly, and publish the sample material. However, those techniques do not really measure the accuracy of the message since they just check readability of the translation (Ardi, 2015). It is because those techniques do not use ST as the comparison (Nababan, 2004: Al-Qinal, 2000) or the ways to evaluate translation quality ignore the ST. Therefore, those ways cannot explain the relationship between ST and TT (House, 2001: 245). In fact, the target readers cannot access to the source text to check whether the information they read are correct or accurate.

Actually, the testing techniques proposed by Nida & Taber above is based on: 1) accuracy (correctness), the reader can understand as the original text (fidelity to the original text), 2) can be understood easily, and 3) involve experience or opinion of people to supplement the information to the translation (Nida & Taber, 1969: 173). The weakness of this approaches because it refers only to the reader response (Response-based approach) and ignores the original text as the comparison (House, 2001: 244). In addition, the draft is not feasible given since the reader cannot access to the ST, so there was no way he assesses the accuracy of translation TT to ST.

Furthermore, Brislin (1976: 15-16) proposes three techniques to evaluate the quality of translation, namely: translation back, knowledge testing, performance testing. However, the technique has many drawbacks related to the standard of value, these measuring techniques is limited to one type of text and only. Then Carrol (in Al-Qinal, 2000) proposes an evaluation based on the information and intelligibility. Lastly, Reiss and Vermeer using functionalistic-based approach (Functionalistic, "Skopos" Approach) (in House, 2001: 245). This technique is based on function of the text.

On the other hand, Newmark (1988: 192) proposes text-based criteria or the text type being translated. A good translation must meet the intention of the original text type, for instance, informative texts should provide the facts that can be accepted, then the vocative texts (ads) are good as they have the impact as the original ads, etc. It seems that, Newmark realized that the translation quality is relative and depends on stylistic of the text. Thus, Newmark (1988) also leads to the response of the reader. However, there is no standard measurement related to the response of the reader.

Machali (2000: 115) claims that the translation quality assessment should be based on the principles of reliability and validity. A validity aspect

can be seen from the content (content validity) and readability aspect (face validity), as those things can be achieved the assessment will be reliable. Furthermore, she states that the first criteria must be no deviation of referential meaning from the original author's intention. It is the border of a wrong translation (unacceptable) and acceptable translation. The next assessment is accuracy (related to linguistics, semantics and pragmatics aspect), the fairness in TT related to terminology and spelling. Machali (ibid: 113) emphasizes that quality assessment cannot be done only in terms of fairness and naturalness without comparing with the ST. Thus, referential meaning becomes the main indicator between right and wrong.

Next, Nababan (2004: 61) proposes a study of the quality of the translation is associated with the level of accuracy of the messages and readability level. Nababan proposes two instruments, namely: **accuracy-rating instrument** adapted from Nagao, Tsuji and Nakamura; and **Readability-rating instrument**. The first instrument can be filled by the researchers themselves and readers who have the competence and expertise in translation. Meanwhile, the second instrument is given to the common reader of the target text. However, these assessments are often relative because they depend on the raters (readers who give rate) who have a variety of backgrounds (education levels; expertise, cultural backgrounds). Therefore we need criteria in determining the rate the level of accuracy.

Similarly, Melis & Albir (2001: 280) say that in assessing the quality of the translation should be based criteria. They suggest distinguishing the concept of the problem of translation and mistranslation. Nord (in ibid: 281) defines the problem of translation as "objective problem which every translator [...] has to solve during a particular translation task." It can be affirmed that the problem of translation is a problem encountered by the translator and require special handling. Furthermore, Martínez & Albir (ibid: 281) distinguishes the type of error (Typology of errors), such as: errors related to ST (meaning the opposite, false meaning, meaningless, addition and subtraction) and errors associated with TT (spelling, vocabulary, syntax, coherence and cohesion). Then, errors can be divided into functional error and absolute error, Systematic errors and random errors, and errors in the product and the process.

Based on discussion above, each expert has different opinion and criteria related to translation quality assessment. Based on the discussion, the main object in translation is the accuracy of message, followed by the

acceptability of the translation, and lastly the readability of the translation in TT. These criteria will be discussed respectively.

a. *The accuracy*

The term accuracy in the evaluation of translation is often used to express the extent to which a translation in accordance with the original text (Shuttleworth & Cowie, 1997: 3). Moreover, they say that it usually refers to the preservation of the information content of ST in TT, with accurate translation being generally LITERAL rather than FREE. Furthermore, Machali (2000: 110) states that the term of accuracy refers the aspects of the linguistic (grammatical structure), semantics and pragmatics. Therefore, accuracy is not only seen from the precision of word choice, but also the grammatical accuracy, equivalence of meaning, and pragmatics. This is consistent with the core activities that lead to the equivalence as mentioned earlier by theorists. Thus, accuracy does not mean the similarity of word choice in the translation but it refers to the preservation of message in ST in the TT.

The term equivalence (natural equivalence) that is used by Nida & Taber (1982) concerns with the preservation or suitability of meaning, style or stylistic of ST in TT. This definition is the same as the opinion of Machali above which also emphasizes the equivalence of meaning/semantics and style of language (grammar and pragmatic).

b. *The Acceptability*

The acceptability is more related to fairness. The term acceptability used by Toury (1980, 1995) is defined as adherence to the translation of textual linguistic rules and norms of the target language (Shuttleworth & Cowie, 1997: 2). From this information it is understood that the acceptance of the fairness of the translation by cultural norms and the target language.

Furthermore, Toury (in Munday, 2001) states that if the norms followed by the culture and language of ST, the translation will be adequate, while if the translation follow the cultural norms and TT then the translation will be acceptable. Thus, this norm becomes external constraints by society to translators in producing works of translation (Toury in Dukāte, 2007: 44).

However, the norms that determine the acceptability of the translation proposed by Toury still raise questions. The norms refer to the rules applicable in the target language and culture, of course it requires standard

rules or someone who determines the level of acceptability. Therefore, level of acceptability can only be determined by a person who has knowledge of the text and so that he knows the norms prevailing in the field subject. This is in accordance with Chomsky (in Bussman, 1998) opinion that is acceptability of an expression in a language in the communication can only be determined by the expert reader in the field.

c. Readability

The readability is the level of ease or easiness of writing materials to read and understand (Richard et al, 2002: 442). Similarly, Sakri in Nababan (2003: 62) suggests that the degree of readability is the ease of a writing material to be read and understood. Based on this definition it can be concluded readability refers to the reader's ability to read the text as the subject that determines the level of readability of a text.

Nababan (2003) identifies that there are several factors that affect the level of readability, namely: 1) the average length of sentence, 2) the number of new words, 3) the grammatical complexity of the language used (modified from Richard et al and Sakri). Nababan (2003: 64) asserts that vocabulary such as the use of a new word that is not so common, the use of foreign words and areas that are not widely understood, the use of ambiguous word influence the readability. Moreover, above the level of words, the use of a foreign language phrase, ambiguous sentence, incomplete sentences, complex sentences, sentences are not cascading, and/or too long would be difficult for the reader. However, readability is also influenced by education and cultural background of the reader.

To determine the level of readability of the translation must be seen in the paragraph unit instead of sentences because the reader would not be able to obtain the full context of the translation if only given at the level of the sentence. If paragraphs are easily understood, it means that the text has a good level of readability.

B. APPLIED TRANSLATION STUDIES

Holmes's framework related to 'applied' branch of translation studies are concerned with: (1) translator training: teaching methods, testing techniques, curriculum design; (2) translation aids: such as dictionaries, grammars and information technology; (3) translation criticism: the

evaluation of translations, including the marking of student translations and the reviews of published translations. Related to Holmes's map of translation above, translator training or providing translation skill is related to applied translation studies.

Nowadays, translation becomes one of the competences provided by foreign language departments to their students in various universities in the world. This skill helps the students to be able to transfer messages from a foreign language (source language) into their native language (target language) or vice versa. However, translation is not an easy task; it does not simply find the meaning of a word in the dictionary. There are many requirements that must be considered to produce a good translation, such as, type of text, cultural context, and word itself has a bundle of meanings which should be suited to its context (Ardi, 2012).

Therefore, many theorists have proposed some approach and theories on how to produce a good translation. They indicate that theory of translation must be provided in the translator training. Related to this condition, translation competence and comprehension on the text being translated are needed to produce a good translation (PACTE, 2000; 2005; Nababan, 2003; Gile, 1995). By having a good translation competence, a translator could choose the best way to solve the problem in translation (Ardi, 2010).

In fact, teaching theory of translation has also argued for a long time. Many teachers or lecturers thought that the theory of translation is not necessary since the learners can learn indirectly from the practice or the activity of translation (Ardi, 2010). Even, there is an assumption that a bilingual can directly be a translator, no need for translation skill or theory or translation. Actually, there are some reasons of those for reluctance the material related to theory of translation. For instance, Fawcet (in Ardi, 2012) stated that the nature of the published material, the breadth of background knowledge need, the apparently unsatisfactory state of translation theory at the present time, pedagogical uncertainty discourage trainer to include theory of translation as material in their translation training.

Based on this condition, in this section we will discuss the concept of translation competence and translation problem (untranslatability)-based model in teaching translation subject.

Teaching and learning process mostly related to the development of three domains (cognitive, affective, and psychomotor). Similarly, the translation learning process is also related these domains of learning. Fawcet

(1981) proposes that in the teaching of translation theory should consider the affective, cognitive, and psychomotor domains, as follows:

- 1) **Affective domain.** In the affective domain, some objectives that will be achieved are: (a) awareness of the complexity of the translation process, (b) awareness and tolerance of ambiguity, connotation, and register, (c) awareness of and willingness to use the whole spectrum of translation strategies and techniques, (d) willingness to indulge in lateral thinking, to use yes-no-po and to be discontent with intuition that have not been systematically validated, (e) willingness to insist or precision in the thinking of those who correct their translation.
- 2) **Cognitive domain.** It covers defining the knowledge to be acquired and the actual writing of the objective. The materials that must be taught are: (a) applied translation theory, (b) specific translation theory (application of the result of general theory to specific language pairs and text types), (c) general translation theory (model, translatability, strategies and technique, text linguistics, equivalence.
- 3) **Psychomotor domain.** It related to the application of those theories in translation practicum. It will train the translator to solve the problem in translation task.

Principally, the learning of translation is to prepare or train the students to be a professional translator; therefore, this subject must provide some related skills to help students to be a good translator. Recent studies propose that to create a good translation, one must have a good translation competence. However, Translation studies have not yet given a generally accepted definition and model of what translation competence itself is (Orozco & Albir, 2002). The problems related to the definition start with denomination of the theories given. There are various terms used by translation experts, such as, transfer competence (Nord, 1991: 161), translational competence (Toury; Hansen; Chesterman in Orozco & Albir, 2002), translator competence (Király in Orozco & Albir, 2002), translation performance (Wilss in Orozco & Albir (2002), translation ability (Lowe, 1987: 57; Pym, 1993: 26; Stansfield, Scott & Kenyon in Orozco & Albir 2002) and even translation skill (Lowe in Orozco & Albir 2002). It shows that those experts use different terms for such similar concept. A comprehensive research related to the ability to produce a good translation has been conducted by PACTE, a group translation studies consists of some prominent experts in translation (Ardi, 2012: 321).

Moreover, Bell (1991: 43) explains that translation competence is the knowledge and skills that the translator must possess in order to carry out a translation. It indicates that translation competence related to any knowledge and skills required to do and produce a good translation. Then, in more comprehensive definition PACTE (2000) defines translation competence as "the underlying system of knowledge and skills needed to be able to translate." This definition is completed with four affirmations, namely that (i) translation competence is actualized in different ways in different situations, (ii) it consists basically of operative knowledge, (iii) strategies play a basic role in translation competence and (iv) as in any kind of expert knowledge, most translation competence processes are automatic (2000).

This competence is actualized in different ways in different situations. This concept is borrowed from the idea of linguistic competence. Moreover, PACTE (2000) states that if translation competence is made up of inter-related sub-competencies, then its acquisition is a dynamic process of building new knowledge on the basis of the old. The development of translation competence could be defined as the stage when the sub-competencies have been acquired, at least partially, but they do not interact with each other. Moreover, PACTE (2000) indicates that in order to acquire translation competence, the student in translation training should also develop a learning competence that includes the specific learning strategies that make this and any learning process possible.

Model of translation competence was firstly presented by PACTE in 1998 and it was remodeled in 2000 (Ardi, 2012). In this model, TC is considered to be the underlying knowledge system needed to translate. It has four distinctive characteristics, they are (1) it is expert knowledge and not possessed by all bilinguals; (2) it is basically procedural knowledge (and not declarative); (3) it is made up of various interrelated sub-competencies; (4) the strategic component is very important, as it is in all procedural knowledge. The TC model proposed is made up of 5 sub-competencies and psycho-physiological components (PACTE 2003).

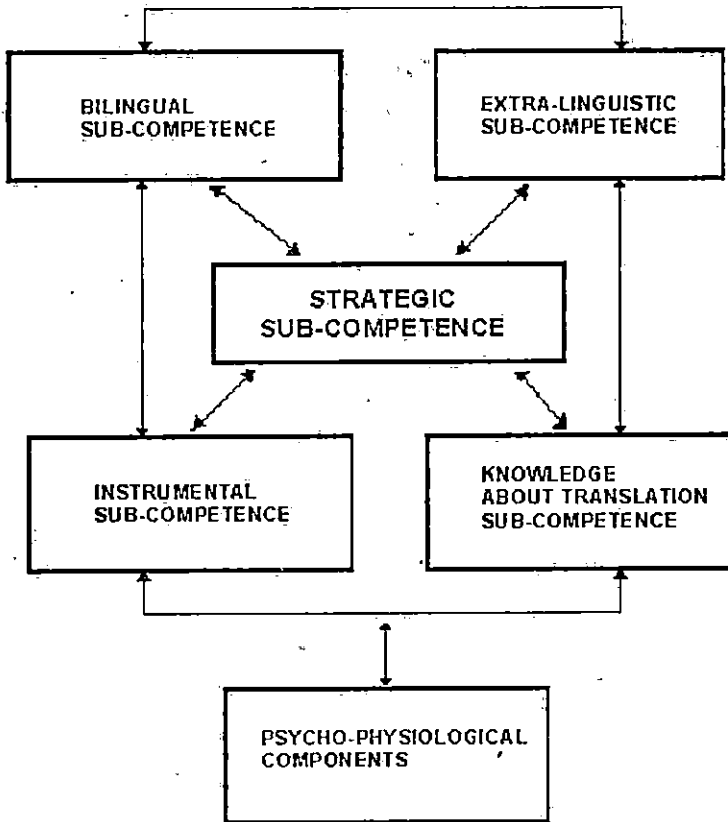


Figure 8: Relation of Translation Competence (PACTE, 2005)

The translation competence is, actually, a combination of various skills that should be mastered by a translator. As stated by Pacte group (2005) the first sub-competence that must be owned is **bilingual sub-competence** which is made up of pragmatic, sociolinguistic, textual and lexical-grammatical knowledge in each language. This sub-competence is the performance of their previous subjects. If a translator does not have good bilingual ability which is supported by the mastery of foreign language skills, such as, reading, writing, and also language component (grammar, vocabulary) and linguistic competence, they will not have a good translating ability.

Moreover, **extra-linguistic sub-competence** is made up of encyclopedic, thematic and bicultural knowledge (Pacte, 2005). This sub-competence can be built by providing Cross Cultural Understanding and their general knowledge about the text being translated. Sometimes, a translator has lack of experience in the area of text being translated. It will drive him stress and stuck during the process of translation. It mostly happens in engineering, medical, or technological text. This competence might be built by reading the information of the text in such similar material in their first language (Ardi, 2012). It can be done through googling and read such similar text. By doing this activity, a translator can get general information about the text and technical terms used in text.

Moreover, Pacte (2005) states that **translation knowledge sub-competence** is knowledge of the principles that guide translation (processes, methods and procedures, etc.) and the profession (types of translation briefs, users, etc.). To support this knowledge, of course, translation subject must be supported by providing translation theory for the students who want to be translator. In some institutions, this material is given in special meeting or credit. Providing students with comprehensive information about the concept of translation will build students' awareness on translation problems and translation is not only simply changing words activity (Ardi, 2012).

Then, the next sub-competence of translation is **instrumental sub-competence** which is made up of knowledge related to the use of documentation sources and information technologies applied to translation (Pacte, 2005). It is related to the use documents, facilities, and ICT to support the translation process. The purpose is to give more information the translator about the text being translated. Currently, by the advanced of technology translator can use various tools, such as, trados, bbm, social media groups, prozz.com, including google translate, as the media to discuss within translators and to find the information about text being translated.

Next, Pacte (2005) says that **strategic sub-competence** is the most important, as it is responsible for solving problems and the efficiency of the translation process. It intervenes by planning the process in relation to the translation project, evaluating the process and partial results obtained, activating the different sub-competencies and compensating for deficiencies, identifying translation problems and applying procedures to solve them. Of course, this strategic sub-competence can be achieved if the students have been supported with the all the knowledge of translation and translation

strategy to solve the problems. The awareness of cultural differences will also influence the translator in strategic sub-competence as they need it to build translators' awareness in detecting problems that might come from cultural differences.

Finally, **psycho-physiological components** consists of cognitive and behavioral (memory, attention span, perseverance, critical mind, etc.) and psychomotor mechanisms (Pacte, 2005). This sub-competence related to the memory, time limit to pay attention, critical mind of the translators to anticipate the text being translated. It is also related to psychomotor to write or type the translation efficiently. This psycho-physiological component is important to consider about logical time duration to do a translation project.

The translation competence should be built to develop student's ability to produce a good analysis, aware the translation problem, and try to solve it. Should they decide to solve it, it is because they want the target readers to understand or receive the target text in a certain way, and this is only possible if they have a particular concept of translation in the back of their minds. It is the task of the lecturer to guide them and help the students if they cannot detect the problem to get the equivalent message both in source and target language. If this concept did not exist, then there would not be an objective to achieve. In this case, errors (and/or unsolved problems) can be caused by this "lack of knowledge" of general translation concepts.

Then, related to the way of teaching and learning of translation subject, Orozco & Albir (2002) say that there are three dependent variables that might be involved. They are (i) translation problems, (ii) translation errors and (iii) general notions about translation. According to Nord (1991: 151), a translation problem is "an objective problem which every translator (...) has to solve during a particular translation task." This quotation indicates that, all translation problems at least have three characteristics that make them reliable indicators of progress in acquiring translation competence: a translation problem may appear at any stage of the translation process; it is observable, and in solving translation problems, subjects certainly show their ability to use translation strategies, which is a relevant element of translation competence.

Moreover, a translation error is usually a translation problem that has not been solved or has not been appropriately solved (Nord 1996: 96-100). Again, this element can be observed, it can take place at any stage of the translation process and it is also an indicator of a subject's use of translation

strategies and thus of the subject's translation competence. Translation errors therefore present the same three qualities as translation problems. Finally, general knowledge of translation or notions of translation, determine the students' whole process of translation, since, depending on the students' ideas about translation, they will have a particular purpose for a particular translation task, and this will determine their solution of translation problems throughout the process of translation.

There are some problems that must be anticipated by the translators. Baker (1992) identifies three translation problems: (1) No lexical correspondence at word level between the source text and the target text, (2) No lexical correspondence above word level: collocations, idioms and fixed expressions (3) Textual equivalence: coping with cohesion and coherence. Then, the strategies to solve the problem in translation are varying. Baker (1992: 26-42) identifies there are at least 6 strategies used by professional translators. They are: (1) translating by using more general word, (2) translating by more neutral word, (3) translating by cultural substitution, (4) translating by a loan word/loan word plus explanation, (5) translating by paraphrase using related words, (6) translating by paraphrase using unrelated words, (7) translating by omission, (8) translating by illustration.

Then, to train candidate translator or students' awareness in detecting the translation problems, it can be done by providing the texts that have some untranslatability term. These terms might come from cultural terms as stated by Newmark (1988:95), such as, ecology, material culture (artifact), social culture (work and leisure), organization –customs, activities procedure, concept), and gesture and habits. By providing these terms in the translation exercise will give more chance to the students to identify translation problem and choose the best procedure to solve the problems effectively.

Based on this discussion, the syllabus of translation should be planned well therefore students can get the translation theories required to build their translation knowledge effectively. It includes the materials that develop student's strategic sub-competence, and awareness in detecting translation problem. Thus based on those translation syllabuses, professional translator might be produced.



EXERCISE 3

- 1) What is the different between pure and applied in Holmes's framework?
- 2) What are the aspects involved in translation research, give your example.
- 3) In analyzing a product of translation, is it possible for a translation to have good accuracy but it has low readability? Why?
- 4) What is the function of translation theory toward translator training?



SUMMARY

Translation is an applied linguistics which has many areas to be discussed. It can be pure or applied translation studies. Both branches of translation studies develop well. Research in translation can be done in the theory or descriptive aspect. Moreover, by knowing the quality of translation and the criteria in measuring translation quality can build translator's awareness in producing a qualified translation text. While the translation theories continuously contribute to the development of applied translation studies. Of course, at the end this activity will improve translators training to increase their professionalism.



FORMATIVE TEST 3

- 1) Design your translation research, what aspect will be involved?
- 2) How to evaluate translation quality?
- 3) What is the most important aspect in translation quality? Why?
- 4) What are the sub-competences that should be possessed by professional translator?

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

Answer Key

Unit 1

Exercises

- 1) Nida defines translation as a process of transferring message from a language to another language. The focus of the translator is how to express the same message in another language. Meanwhile, Catford defines translation as the replacement textual material with equal textual material in the target language. Each language, actually, has its own system, even similar statement or textual material might have different message in another language.
- 2) Translation is a process of transferring message from a language with the closest natural equivalent message in target language by considering the meaning and language style should be the same.
- 3) In communication, we need a tool to deliver the message. In communication which involves translation, the process needs translation as media to transfer or deliver the message from the writer/speaker to the target reader or listener since they have language.
- 4) Your answer should include this information (answer may vary)

Indicator	Translation	Interpretation
Time	Free (a day, a week, a month)	Limited (10 minutes -1 hours) or more.
Workload	6-15 pages a day or 2000-5000 words	100-200 words per minute
Place	Any where (home, office, park)	Booth or based on the client
Tools/assistance	Dictionary, thesaurus, journal, internet, paper, relevant expert	Note taking, electronic dictionary (limited time to use)
Make revision	Possible for several times	Almost impossible (risky related to the professional image)
Psychological condition	Force by deadline	Stressful & in front of audience (stage fever/fright)
Recall ability	Not require	Require short & long term memory

Non verbal information	Verbal information only & cultural differences	Cultural differences Accent, intonation, mimic, gesture are important,
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Formative Test

- 1) Translation is the act of transferring message from a language (SL) into an equivalent message another language (TL) by maintaining the content, language style and equivalent effect to the reader/listener.
- 2) Translation studies needs to explain the translation phenomenon, clarify problem in translation process, find the ways to solve the problems, and factor influence the problem in translation.
- 3) A code (surface) is something used to express a message (deep). To find a message of a language, one should decode a code given.
- 4) The expertise differences between translator and interpreter:

Aspect of expertise	Interpreter	translator
Source language	Master/has good ability	Master /has good ability /passive knowledge
Target language	Good mastery	Good mastery
Subject matter	Has sufficient knowledge	Has sufficient knowledge
Material input	Good in listening ability (receptive skill)	Good in reading ability (receptive skill)
Output	Good in speaking (productive skill)	Good in writing (productive skill)
Culture	Know culture of SL/TL	Know culture of SL/TL
Specific skill	Good in making notes	-
Ability for using tools	Dictionary, computer, thesaurus, internet (in limited time)	Dictionary, computer, thesaurus, internet
Decision making	In a short time	Has long time
Recall memory	Necessary	Not necessary
Non verbal communication	Has to understand intonation, mimic, gesture,	-

Language choice	Based on audience's ability	Based on reader's ability
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Unit 2

Exercises

- 1) Translation approach:
 - a. Top-down approach is an approach that starts a process of translation by reading the whole of source text repeatedly in order to understand the message in the source language to be translated prior to translation process. In this approach the translator not only read the source language text at a glance, but the translation process has begun with a deep understanding the content of the text to be translated in advance.
 - b. Bottom-up approach is an approach that begins translating the text directly from word by word, sentence by sentence, and so on without doing prior analysis.
- 2) The answer may vary.
- 3) Approach that belongs to linguistic approach are: (structural) linguistic approach, functional approach, discourse and register approach.
- 4) Linguistic approach is considered to analyzed text based on static linguistic typology of translation shift (word or sentence), meanwhile functional approach views the equivalence at the text level at which communication is achieved.
- 5) The answer may vary.
- 6) Nida & Taber model the translation process as a three-stage process: analyzing, transferring, and restructuring. Meanwhile, Suryawinata & Hariyanto describe this process as a four-stage process: analyzing, transfer, restructure, and revising. Nida & Taber put revising in the same stage as restructuring.

Formative Test

- 1) Strengths and weaknesses:

Aspect	Bottom-up approach	Top-down approach
Strength	- No need for analysis at the beginning of	- Translator has a general view on the text being

	<p>translation process (save the time)</p> <ul style="list-style-type: none"> - translating and analyzing are conducted simultaneously - can be done by any translator 	<p>translated</p> <ul style="list-style-type: none"> - Less revision - Less error
Weakness	<ul style="list-style-type: none"> - might cause error as there is no analysis at the beginning of translation process - Need more time for revision 	<ul style="list-style-type: none"> - Need time to analyze the text (message, intention, style, tone, cultural context.) at the beginning - hard to practice by novice translators - require linguistic background to analyze

- 2) Functional theory approach is based on the function or purpose of the text. It focuses on the purpose of the translation, which determines the methods and strategies that are to be employed in order to produce a functionally adequate result. In this approach in translating or producing target text (TT), knowing the purpose or why an ST is translated and what the function of TT are important for the translator.
- 3) The weakness of text type approach is actually related to the limitation of texts given by Reiss. Therefore, some theorists ask for the treatment for the text that is not mentioned.
- 4) Discourse and Register Approach is considered too complicated because this analysis include deep analysis of theme, rheme, transitivity, meaning (ideational and interpersonal meaning), that take a lot of time. However, this analysis gives a complete picture of the text.
- 5) Translator approach will give a clue to the translator to view the text being translated, therefore, translator get a general information related to

the text, purpose, or ideology in the ST. Based on this information, the translator can choose the most suitable method that can produce accurate and appropriate TT. It also can help the translator to evaluate the translation and create a high quality translation.

- 6) Cultural approach applies culture aspect in viewing translation that usually used in translating literary text (expressive/aesthetic function). In the literary text, it deals with cultural aspect that must be considered by the translator. Meanwhile, scientific text belongs to informative text that has less contact to cultural differences.
- 7) Analyzing prior to transferring process will give general information to the translator about language style, tone, general meaning, and also possibility of translation problem (idiom, figurative language, etc) that must be anticipated rather than do a lot of revision.

Unit 3

Exercises

- 1) Pure translation studies describe the translation phenomena (product, process, function) and then create a theory based on translation phenomena. Meanwhile, applied translation uses (apply) the translation theory to develop translator's ability through translator training or creating translator aid.
- 2) Genetic aspect: translator
Objective aspect: the translation result
Affective aspect: reader's response about
- 3) It is possible, accuracy and readability is two different things. Accuracy is related to the preservation or correctness of the content message in TT based on ST. While, readability refers to the easiness of a translation to be read or understood by target reader. It does not refer to ST.
- 4) Translation theory functions to support the development of translator training. Translation theory is based on the translation research and translation phenomena that can be used to develop and help translator training.

Formative Test

- 1) The answer may vary. The key point: **problem of the research (product/process/function), the technique of data collection, analysis**

- 2) Translation quality can be measured by three criteria: accuracy, acceptability, and readability.
- 3) The most important aspect is accuracy, because it is the main purpose of translation to transfer the message and preserve them in the target language.
- 4) There five sub-competencies:
 - Bilingual sub-competence (source language and target language mastery)
 - Extra-linguistic sub-competence (field mastery, thematic, bicultural knowledge)
 - Translation knowledge sub-competence (process, method, procedure in handling translation problems)
 - Instrumental sub-competence (documentation, ICT mastery)
 - Strategic sub-competence (management of translation project)
 - Psycho-physiological component (cognitive and behavioral (memory, attention and psychomotor mechanisms)

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Discourse Analysis

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INTRODUCTION

Dear students! Welcome to module 7. This module mainly deals with discourse analysis. As matter of fact, the materials and discussion on discourse analysis are too broad to pack in one module. Thus the explanation in this module focuses on some broad areas, namely some basic concepts of discourse analysis, some approaches in discourse analysis, and some contemporary topics in discourse analysis.

After finishing this module, you are kindly expected to be able to:

1. mention and argumentatively criticize the available definitions of discourse analysis;
2. explain the concepts of text, context, and the criteria of textuality.
3. Explain the differences between spoken discourse and written discourse
4. Explain some approaches in discourse analysis
5. Explain the concept of classroom discourse and critical discourse analysis
6. Explain the concepts of multimodal discourse analysis and corpora in discourse analysis

To achieve the objectives academically, the presentation and explanation of learning materials, including the exercises of this module are elaborated in three units. Unit 1 is about the basic concepts of discourse analysis which is highly aimed at achieving objectives 1, 2 and 3. Unit 2 deals with some approaches in discourse analysis which leads you to successfully come to objective 4. There are four approaches discussed in this unit. They are Speech Act Theory, Systemic Functional Linguistics, The Ethnography of Communication, Interactional Sociolinguistics, and Conversation Analysis. Unit 3 deals with some contemporary topics in discourse analysis which

leads you to achieve objectives 5 and 6. Please keep in your mind that the general objective of Module 7 is to serve you to be able to understand and have argumentations on some concepts of discourse analysis.

As this subject belongs to content subject in linguistics, reading activities and academic discussion in groups or in pairs are highly suggested. Therefore, the following activities are kindly suggested to do in order to learn this module successfully.

1. Please read carefully the materials and explanation in each unit;
2. then, read further related references and information by means of independent learning and reading;
3. do not forget to add relevant examples and have discussion in groups or in pairs;
4. sometimes it is not easy to have better understanding on certain complex and complicated concepts. If it is so, read the materials again and you may have comparative discussion with your partners;
- 5: do all the exercises and compare your answers with your friends' answers before consulting the key answers provided!

All right students, do your best and good luck!

UNIT 1

The Basic Concepts of Discourse Analysis

Discourse analysis is a very broad area and cannot be discussed only in one unit, one module, and even one book. In this unit you are going to learn some basic concepts of discourse analysis. The discussion begins with some definitions of discourse analysis, followed by the differences between text and context. Then, you are going to read the criteria of textuality. This unit will end with the differences between spoken discourse and written discourse.

A. WHAT IS DISCOURSE ANALYSIS?

Just as discourse has numerous meanings, there are equally plentiful conceptualizations of discourse analysis, which have changed over time. Brown and Yule (1983: ix) define discourse analysis as 'how humans use language to communicate'. In addition, Stubbs (1983: 1) refers to discourse analysis as 'attempts to study the organization of language above the sentence or above the clause; and therefore to study large linguistic units such as conversational exchanges or written texts'. He later notes that discourse also refers to 'the study of naturally occurring language' (Stubbs, 1983: 9), pointing out that some writers such as Van Dijk have used the term text analysis, which could serve as well as discourse analysis (although text analysis implies a particular European tradition). Based on the experts' ideas previously mentioned, discourse can be defined as anything "beyond the sentence".

While some discourse analysts focus on how meaning and structure are signalled in texts, others, especially since the early 1990s, have used discourse analysis more critically to examine issues relating to power, inequality and ideology. All forms of discourse analysis, however, have tended to stress the importance of examining naturally occurring texts, even if methods of analysis, focus (e.g. the extent to which intertextuality, methods of production and reception or socio-historical context is considered) and goals have differed. Burr (1995: 163) claims that the discourse analysis is an 'umbrella which covers a wide variety of actual research practices with quite different aims and theoretical backgrounds. All take language as their focus

of interest'. In more comprehensive way, Jaworski and Coupland (1999: 1-3) offer three main definitions of discourse: (i) anything beyond the sentence, (ii) language use, and (iii) a broader range of social practice that includes nonlinguistic and nonspecific instances of language. In addition, Woods (2006) regards anything beyond the the sentence as a context. She says that discourse is, at the very least, language plus context – by which she means the context that we bring with us when we use language; the context that includes our experience, assumptions and expectations; the context we change (and which is itself changed) in our relationships with others, as we both construct and negotiate our way through the social practices of the world we live in (Woods, 2006: x).

Discourse analysis has mainly been a qualitative form of analysis; traditionally, it has involved a 'close reading' of a small amount of text, such as a detailed transcription of a conversation or a magazine article, although in more recent years, discourse analysts have begun to use quantitative or corpus-assisted methods on much larger sets of data. Focusing more on the 'critical' form of discourse analysis, adopted by social psychological research, Burr (1995: 160-161) points out that its central tenets include viewing research as a co-production between the researchers and those who are being researched, with an acknowledgement that objectivity is an impossibility. Instead, discourse analysts need to use reflexivity, with researchers reflecting on their own position and how that has impacted on the research process and findings.

In conclusion, broadly speaking, discourse analysis can be defined as the study of language viewed communicatively and/or of communication viewed linguistically. Discourse analysis involves reference to concepts of language in use, language above or beyond the sentence, language as meaning in interaction, and language in situational and cultural context.

B. TEXT AND CONTEXT

Definitions of the term text are difficult as different researchers have conceptualized texts in a range of ways. A prototypical text would be something which has lots of written words in it, such as a book. However, De Beaugrande and Dressler (1981) define a text as a communicative occurrence that meets seven standards of textuality: cohesion, coherence, intentionality, acceptability, informativity, situationality and intertextuality. Along similar

lines, Halliday and Hasan (1976) define a text as being a semantic unit that has a particular social meaning, made up of related sentences whose main characteristic is unity of meaning. A text has cohesion; that is, each sentence in a text is related to the previous ones through cohesive ties. So any stretch of language that functions as a unity is a text. This definition could include posters, shopping lists, emails, poems, film reviews and so on. We could also view a text as anything which involves a recognized language system (not just writing but speech also). This could mean that we consider a conversation or a song as a text (Baker and Ellece, 2011: 150).

In discourse analysis, the notion of text tends to get extended much further than 'anything with words'. For example, Bernstein (1990: 17) refers to a text as 'the form of the social relationship made visible, palpable, material', while Talbot (1995: 14) calls a text 'the fabric in which discourses are manifested'. Barker and Galasinski (2001: 5) position a text as 'any phenomenon that generates meaning through signifying practices. Hence dress, television programmes, advertising images, sporting events, pop stars and so on can all be read as texts'. Some researchers (e.g. Hodge and Kress 1988, Caldas-Coulthard and van Leeuwen 2002) have considered objects such as toys as texts.

Fairclough (1995: 4), however, argues against an understanding of text as anything that generates meaning. Instead, he proposes that a text is an inherently linguistic event, and two fundamental processes, cognition and representation of the world, are materialized in texts (1995: 6). Even if we take the definition of text to mean 'linguistic event', we should still bear in mind that there are additional aspects of texts which may communicate meaning, even if not through language. For example, advertisements combine written words with images, and the meaning of the advert can only be decoded by taking into account the relationship between these different parts. In addition, typographic information such as font size, colour and style may also impact on the meanings we ascribe to texts.

Meanwhile, context can be simply defined as "anything that accompanies the text" and "anything that can distinguish the meaning of the exactly similar text". The latter definition implies that context can be considered as "meaning distinguisher". This is in line with Widdowson (2000: 126) who defines context as "those aspects of the circumstance of actual language use which are taken as relevant to meaning". This definition summarizes what he has pointed out about context, "In other words, context

is a schematic construct. It is not 'out there', so to speak, but in the mind. So the achievement of pragmatic meaning is a matter of matching up the linguistic elements of the code with the schematic elements of the context" (Widdowson, 2000: 63).

Meanwhile, Cook (1999: 24) defines context in a broad and narrow sense. In the narrow sense, it refers to (knowledge of) factors outside the text under consideration. In the broad sense, it refers to (knowledge of) these factors and to (knowledge of) other parts of the text under consideration, sometimes referred to as "co-text". Cook's definition implies that context can also be the element of the text itself, i.e. what he called co-text. The term co-text is also introduced by Wodak who considers it as internal context (2001: 67). Therefore, it should be noted that context is an important aspect of many strands of discourse analysis because it helps in the interpretative process of linguistic phenomena as well as provides explanations. The analysis of context forms part of most critical discourse analysis approaches (Baker and Ellece, 2011: 21).

Context can be categorized into different types. Van Dijk (2001: 108) makes a distinction between local contexts and global contexts. The former refers to "properties of the immediate interactional situation in which a communicative event takes place", while the latter refers to "properties defined by the social, political, cultural and historical structures in which a communicative event takes place". Meanwhile, Wodak (2001: 67) identifies four types of context: (i) the immediate context, which is a language or text internal co-text; (ii) the intertextual and interdiscursive context, which are derived from relationship between utterances, texts, genres and discourses; (iii) the extralinguistic context, which is composed of social/sociological variables and institutional frames of a specific "context of situation" (middle-range theories); and (iv) the broader sociopolitical and historical contexts, which the discursive practices are embedded in and related to (grand theories).

In addition, Song (2010: 876-877) divides context into three categories: linguistic context, situational context and cultural context. Linguistic context refers to the context within the discourse, that is, the relationship between the words, phrases, sentences and even paragraphs. Take the word "bachelor" as an example. We cannot understand the exact meaning of the sentence "He is a bachelor." without the linguistic context to make clear the exact meaning of this word. Linguistic context can be explored from three aspects: deictic, co-

text, and collocation. In a language event, the participants must know where they are in space and time, and these features relate directly to the deictic context, by which we refer to the deictic expressions like the time expressions now, then, etc., the spatial expressions here, there, etc., and the person expressions I, you, etc... Deictic expressions help to establish deictic roles which derive from the fact that in normal language behavior the speaker addresses his utterance to another person and may refer to himself, to a certain place, or to a time.

Situational context, or context of situation, refers to the environment, time and place, etc. in which the discourse occurs, and also the relationship between the participants. This theory is traditionally approached through the concept of register, which helps to clarify the interrelationship of language with context by handling it under three basic headings: field, tenor, and mode. Field of discourse refers to the ongoing activity. We may say field is the linguistic reflection of the purposive role of language user in the situation in which a text has occurred. Tenor refers to the kind of social relationship enacted in or by the discourse. The notion of tenor, therefore, highlights the way in which linguistic choices are affected not just by the topic or subject of communication but also by the kind of social relationship within which communication is taking place. Mode is the linguistic reflection of the relationship the language user has to medium of transmission. The principal distinction within mode is between those channels of communication that entail immediate contact and those that allow for deferred contact between participants.

Cultural context refers to the culture, customs and background of time in language communities in which the speakers participate. Language is a social phenomenon, and it is closely tied up with the social structure and value system of society. Therefore, language can not avoid being influenced by all these factors like social role, social status, sex and age, etc. Social roles are culture-specific functions, institutionalized in a society and recognized by its members. By social status, we mean the relative social standing of the participants. Each participant in the language event must know, or make assumptions about his or her status in relation to the other, and in many situations, status will also be an important factor in the determination of who should initiate the conversation. Sex and age are often determinants of, or interact with, social status. The terms of address employed by a person of one sex speaking to an older person, may differ from those which would be

employed in otherwise similar situations by people of the same sex or of the same age.

C. SEVEN CRITERIA FOR TEXTUALITY

De Beaugrand and Dressler (1981) suggested an approach to help you understand the text well. They set out seven standards of textuality and hypothesised that if any one of them was not met, the text would not be communicative. The seven standards are (1) cohesion, (2) coherence, (3) intentionality, (4) acceptability, (5) informativity, (6) situationality, and (7) intertextuality. Standards 1, 2 and 3 are largely writer oriented, standards 4, 5 and 6 are approximately the converse and depend on the reader, and standard 7 is a special type of powerful 'wild card' or 'trump' which may have a meme effect; in short, it triggers an association with other well established ideas.

1. Cohesion

Cohesion refers to the way that a text makes sense syntactically. Halliday and Hasan (1976: 2) define cohesion as the way in which linguistic items of which texts are constituted are meaningfully interconnected in sequences. They further say that cohesion occurs "where the interpretation of some element in the text is 'dependent on that of another. The one presupposes the other, in the sense that it cannot be effectively decoded except by recourse to it" (Halliday and Hasan, 1976: 4). In addition, according to Hoey (1996: 3), cohesion can be described as "the way certain words or grammatical features of a sentence can connect that sentence to its predecessors and successors in a text". Furthermore, Tarnyikova (2009: 30) puts it simply by saying that cohesion presents "a surface structure linkage between elements of a text".

Cohesion can be divided into five types: reference, ellipsis, substitution, conjunction, and lexical cohesion (Halliday and Hasan, 1976). Reference is a semantic relation which is realized by nouns, determiners, personal and demonstrative pronouns or adverbs. There are two kinds of reference: (i) exophoric reference, pointing out of the text to a real world item by using deixis (e.g. Can you see *that*) and (ii) endophoric reference, referring to an item within the text. Look at the examples of endophoric reference in (1) to (2).

- (1) a. I met *a man*. *He* was wearing a black coat.
 b. It is *a solid house*. *The* walls are thick.
- (2) When *he* arrived, *John* noticed that the door was open.

The endophoric reference used in sentences (1a) and (1b) is known as anaphora or anaphoric reference whose direction is backward. Furthermore, the reference used in sentence (1a) is called direct anaphora since the personal pronoun 'he' directly refers to the 'man'. Meanwhile, the reference used in sentence (1b) is called indirect anaphora since the determiner 'the' is used to refer to the 'house' whose direct anaphora is, actually, 'it'. Whereas endophoric reference used in sentence (2) is known as cataphora or cataphoric reference whose direction is forward. A forward direction means that a word in a text refers to another later in the text. Now, look at the sentence in (3)

- (3) How hot *the* sun is today!

The determiner 'the' in (3) is called homophora or homophoric reference which may occur as culturally-shared common knowledge in the culture and situation in which the text is produced or consumed the identity of a presuming item can be retrieved from the general context of culture. The use of the homophoric reference 'the' in sentence (3) shows that we all know which 'sun' is being talked about, i.e. the specific sun of our solar system. Now, compare the sentences in (4) and (5).

- (4) He saw himself in the mirror.
 (5) He saw him in the mirror.

The relationship between two items in which 'he' and 'himself' as in (4) refer to the same person and 'he' stands as a linguistic antecedent of the other 'him' is called coreference.

The other types of cohesion, ellipsis and substitution are used as linguistic mechanisms which help specific linguistic structures to be expressed more economically, at the same time maintaining their clarity and comprehensiveness. These mechanisms include mainly those linguistic structures that enable the avoidance of repetition, either by choosing alternative (usually shorter) words, phrases, or by complete omission of words, phrases or clauses. We will try to define these two cohesive relations,

and thus, to the possible extent, limit their overlapping since they are closely related. Ellipsis is the omission of elements normally required by the grammar which the speaker/writer assumes are obvious from the context and therefore need not be raised, while substitution is the replacement of one item by another. In other words, if substitution is replacing one word with another, ellipsis is the absence of that word, "something left unsaid". Ellipsis requires retrieving specific information that can be found in the preceding text. The common task of ellipsis and substitution is to avoid unnecessary repetition of familiar words, phrases, or clauses within the text, in order to make all sentential elements related and the whole text coherent (Vujevic, 2012: 417). Look at sentences in (6) and (7).

- (6) I can't sing that *song*, but John can.
(7) I can't sing that *song*, but I can sing this *one*.

The sentence in (6) presents the example of how ellipsis is used as a cohesive device. The clause 'but John can' is the shorter form of the longer clause 'but John can sing that song'. The ellipsis involves the omission of the words 'sing that song' (the one that has been mentioned in the previous clause) in order to avoid repetition of the same words. Meanwhile, in sentence (7), in order to avoid the same word, the word 'song' is substituted with the word 'one'. There are three general ways of substituting in a sentence: nominal, verbal, and clausal. In nominal substitution, the most typical substitution words are "one and ones". In verbal substitution, the most common substitute is the verb "do" which is sometimes used in conjunction with "so" as in "do so". In clausal substitution, an entire clause is substituted.

The next type of cohesion, conjunction, acts as a cohesive tie between clauses or sections of text in such a way as to demonstrate a meaningful pattern between them, though conjunctive relations are not tied to any particular sequence in the expression. Therefore, amongst the cohesion forming devices within text, conjunction is the least directly identifiable relation. Conjunctions can be classified according to four main categories: additive, adversative, causal and temporal. Additive conjunctions act to structurally coordinate or link by adding to the presupposed item and are signalled through 'and, also, too, furthermore, additionally', etc. Additive conjunctions may also act to negate the presupposed item and are signalled by 'nor, and...not, either, neither', etc. Adversative conjunctions act to

indicate 'contrary to expectation' and are signalled by 'yet, though, only, but, in fact, rather', etc. Causal conjunction expresses 'result, reason and purpose' and is signalled by 'so, then, for, because, for this reason, as a result, in this respect, etc.'. The last most common conjunctive category is temporal and links by signalling sequence or time. Some sample temporal conjunctive signals are 'then, next, after that, next day, until then, at the same time, at this point', etc. In addition, the use of a conjunction is not the only device for expressing a temporal or causal relation. For instance, in English a temporal relation may be expressed by means of a verb such as follow or precede, and a causal relation by verbs such as cause and lead. Moreover, temporal relations are not restricted to sequence in real time, they may also reflect stages in the text (expressed by first, second, third, etc.).

The last type of cohesion, lexical cohesion, differs from the other cohesive elements in text in that it is non-grammatical. Lexical cohesion refers to the "cohesive effect achieved by the selection of vocabulary". We can say that it covers any instance in which the use of a lexical item recalls the sense of an earlier one. There are two basic categories of lexical cohesion: (i) reiteration, the repetition of an earlier item, a synonym, a near synonym, a superordinate or a general word, but it is not the same as personal reference, because it does not necessarily involve the same identity; and (ii) collocation, pertains to lexical items that are likely to be found together within the same text. It occurs when a pair of words is not necessarily dependent upon the same semantic relationship but rather they tend to occur within the same lexical environment. The example of reiteration can be seen in (8).

- (8) I saw a boy in the garden. The boy (*repetition*) was climbing a tree. I was worried about the child (*superordinate*). The poor lad (*synonym*) was obviously not up to it. The idiot (*general word*) was going to fall if he (*pronoun*) didn't take care.

2. Coherence

Coherence refers to the ways that a text is made semantically meaningful (as opposed to cohesion, which is concerned with grammar). Coherence can be achieved through techniques like implicature or backgrounding actors. De Beaugrande and Dressler (1981: 4) view coherence as one of seven 'standards of textuality', being concerned with 'the ways in which the

components of the textual world, i.e. the configuration of concepts and relations which underlie the surface text, are mutually accessible and relevant'. Meanwhile, Halliday and Hasan (1976) define coherence as the underlying organizer which makes the words and sentences into a unified discourse that conforms to a consistent world picture. A coherent text is meaningful, unified, and gives the impression of "hanging together". Although the continuity of senses is grounded on organizing features of the text surface, or cohesion (Halliday and Hasan, 1976), textual coherence is itself not a feature of the text surface, but the result of cognitive processes (De Beaugrande and Dressler, 1981; Graesser et al., 1997).

It is important to note that coherence exists on two different levels of textual organization: first of all, coherence refers to relations established between parts of the text. Thus, propositions combine to macropropositions in a process which is recursive (macropropositions can combine to form even higher-level macropropositions). Coherence hereby accounts for the organization of local senses in the text to arrive at a global sense. Such a macrosemantic view of text(s) is exemplified by van Dijk and Kintsch's model of macropropositions, where, at the most abstract level, all propositions in a text are summed up in one macroproposition (van Dijk, 1977, 1980; van Dijk and Kintsch, 1983). Coherence relations between propositions are also analyzed as 'clause relations' (Winter, 1982; Hoey, 1983), and as – potentially recursive – relations between more abstract entities ('nuclei', 'satellites') in Rhetorical Structure Theory (Mann and Thompson, 1988; Mann et al., 1992).

Second, once that the global level of the text is attained by a representation, textual coherence not only refers to relations between parts, but it appears as a factor lending unity to the text as a whole. The text appears as a unified entity, functioning as a whole. Halliday, e.g., calls it a 'semantic unit' (Halliday, 1978: 135; Halliday, 2004: 587). We can therefore speak of 'local' vs. 'global textual coherence'. It is the latter, aiming at the unity of the text and thus at a global representation, that will be particularly relevant for the question of the unity of the text. In this understanding, coherence provides a top-down (i.e. telic, goal-driven) framework for the organization of textual semantics.

The importance of the concept of coherence for textual analysis is that, whatever our perspective, the unity of the text is a given. The analysis of textual coherence therefore includes three aspects: (1) the internal structure of

the text, i.e. how coherence is constructed through textual means; (2) the particular interaction of the text with its context of production and reception, i.e. the contextual definition and interpretation of the concrete nature of the text's coherence; (3) the interaction between the two, i.e. the motivation of internal structural characteristics by its specific contextual unity (Heuboeck, 2009: 36).

3. Intentionality

Intentionality concerns the text producer's attitude that the set of occurrences should constitute a cohesive and coherent text instrumental in fulfilling the producer's intentions e.g., to distribute knowledge or to attain a goal specified in a plan (Beaugrande and Dressler, 1981: 3). In other words, intentionality relates to the intention on the part of a sender to produce a cohesive/coherent text aimed at attaining an identifiable goal.

4. Acceptability

Acceptability concerns the receiver's attitude that the set of occurrences should constitute a cohesive and coherent text having some use or relevance for the receiver. Acceptability is closely related to intentionality, and they are generally regarded as a 'pair' of principles (De Beaugrande and Dressler, 1981: 137-138; Carstens, 1997: 352-385). In any text there is a producer who has the intention to produce a sound piece of information to a receptor. The receptor, on his or her part needs to be willing to accept the proffered text as a communicative text. In order to do this both producer and addressee have to adhere to the pragmatic cooperative principle which states that one has to make the maximum effort to enable a piece of intended communication to be a success. Knowledge of pragmatic principles therefore makes this aspect of textuality 'work' or not.

5. Informativity

Informativity concerns the extent to which the occurrences of the text are expected vs. unexpected or known vs. unknown. Look at the example in (9).

- (9) Call us before you dig. You may not be able to afterwards.
- (10) Call us before you dig. There might be an underground cable.
If you break the cable, you won't have phone service, and

you may get a severe electric shock. Then you won't be able to call us.

In (9), the assertion that 'you will not 'be able to call' is much more unexpected than it is in (10). The processing of highly informative occurrences is more demanding than otherwise, but correspondingly more interesting as well. Caution must be exercised in order that the receivers' processing does not become overloaded to the point of endangering communication (De Beaugrande and Dressler, 1981).

6. Situationality

Situationality concerns the factors which make a text relevant to a situation of occurrence. De Beaugrande and Dressler (1981) took a road sign as the example of how textual situationality is analyzed as in (11).

(11) SLOW
CHILDREN
AT PLAY

Someone might conceivably construe the example in (11) as the notice about 'slow children' who are 'at play', so that unflattering conclusions could be drawn about the children's intelligence or physical fitness. But the more likely reaction would be to divide the text into 'slow' and 'children at play', and suppose that drivers should reduce speed to avoid endangering the playing children. The ease with which people can decide such an issue is due to the influence of the situation where the text is presented. In the case of example (11), the sign is placed in a location where a certain class of receivers, namely motorists, is likely to be asked for a particular action. It is far more reasonable to assume that 'slow' is a request to reduce speed rather than an announcement of the children's mental or physical deficiencies. Pedestrians can tell that the text is not relevant for them because their speeds would not endanger anyone. In this manner, the sense and the use of the text are decided via the situation.

7. Intertextuality

Intertextuality concerns the factors which make the utilization of one text dependent upon knowledge of one or more previously encountered texts. A

driver who has seen the road sign in (11) is likely to see another sign further down the road as in (12).

(12) RESUME SPEED

One cannot 'resume' something unless one was doing it at an earlier time and then stopped it for some reason. The 'speed' at stake here can only be the one maintained until (11) was encountered and a reduction was made. Clearly, the sense and relevance of (12) depends upon knowing about (11) and applying the content to the evolving situation.

Intertextuality is, in a general fashion, responsible for the evolution of as classes of texts with typical patterns of characteristics. Within a particular type, reliance on intertextuality may be more or less prominent. In types like parodies, critical reviews, rebuttals, or reports, the text producer must consult the prior text continually, and text receivers will usually need some familiarity with the latter.

D. SPOKEN AND WRITTEN DISCOURSE

In earlier days, linguists focused mainly on written texts. But the second half of the 20th century is characterized by the pluralization of speech activity research. One of the causes of this situation is the so-called pragmatic turn. It has, now, been possible to research spontaneous spoken texts due to the development in technology, and due to the shift to process-oriented analysis of texts (Korensky, 2003).

The issue of spokenness and writtenness is very extensive. Natural language messages are communicated by written and acoustic (spoken) form. The relation between these modes is intricate and ambiguous; there are even theories which treat the concepts of writtenness and spokenness as two variants of one system. Current linguistics treats spoken and written language as two language dimensions which are at the users' disposal, and the usage of one of them is enacted, keeping in mind the other one (Alexova, 2000). It is important to notice that because, due to the development of technical devices used for communication, the traditional differentiation of spoken and written texts, such as the expressive tendency to dialogue in written text (Mullerova and Skácel, 1997), have become relative.

Spoken discourse has been characterized as more coordinated (Chafe, 1981; Leu, 1982), “involved” (Chafe, 1981), or “implicit” (Hillyard and Olson, 1978; Kay, 1977). Investigators usually attribute high levels of coordination, involvement or implicitness to the greater frequencies of coordinated conjunctions and active verb constructions that exist in this mode (Chafe, 1981; Kroll, 1977; Leu, 1982; Loban, 1976; O'Donnell, Griffin and Norris, 1967).

In addition, Cermak (2008) who did a research on spoken discourse in Czech, the characteristic aspects for Czech spoken discourse are the following: non-literary, morphological modifications, rectification, slips, elliptic constructions, anacolutha, juxtaposition and hesitation sound. From the textual viewpoint, evaluative words and particles are used with higher frequency, more forced by the need for a formulation within time-space relations. Spoken texts are strongly influenced by the actual communication situation.

The spoken language grammar is described from the viewpoint of written language, pointing out the main differences. The morphological characteristic of spoken texts depends on the language of the analysed text. But in many languages it is possible to find some deviant forms of conditional clauses, of congruence between the person and form of a verb in some speakers' speech. In inflectional languages differences can be found in the spoken version of the instrumental case of plural nouns. There can also be some differences in the declination of adjectives as well as in forms of pronouns. Czech spoken language shows an obvious oscillation between literacy language and non-literacy language, it means a clash between the usage of the correct morphological form or the more comfortable incorrect form (Cmejrkova, 2011).

In spoken discourse some syntactic constructions are identical with the constructions in written texts. But more often the constructions are modified, in some manner are irregular and seem to be deviant (Mullerova, 1994). The most usual syntactic phenomena are the crossing sentence perspective, anacolutha, unfinished syntactic construction, false starts of a syntactic construction (repetition), and additive constructions. For spontaneous spoken texts the parallel constructions are also typical: these constructions show no explicit relation between them, the repertory of conjunctions is limited. The sequence of events is usually attached with the conjunction and (sometimes together with so). Other phenomena typical of spontaneous texts are

parallelism of development of constructions as well as rectifications and elliptic constructions. During the analysis of spoken text we can recognize parentheses, idioms, deictic means, contact particles, indeterminate expressions and quotations of other speakers' (not one's own) speech (Mullerova, 2011).

Written discourse, on the other hand, has been characterized as more "complex" (Leu, 1982), "integrated and detached" (Chafe, 1981), or "explicit" (Hildyard and Olson, 1978). Investigators typically attribute high levels of complexity, integration and detachment, or explicitness in written discourse to the greater frequencies of subordinate clauses, relative clauses, participial phrases, appositive phrases, and passive verb constructions that exist in this mode (Chafe, 1981; Hildyard and Olson, 1978; Kroll, 1977; Leu, 1982; Loban, 1976; O'Donnell, Griffin and Norris, 1967).

Besides, written discourses offer more chances of planning and preparation, in comparison with spoken discourses. These aspects also imply more precise ordering and organization (Cechova et al., 2008). "Traditionally, written complexes are prototypically associated with a higher degree of complexity, more intricate ways of integrating particular clauses within the complex, as well as a higher probability of longer, more compact (condensed), or fused (amalgamated) structures..." (Tarnyikova, 2007: 58). Written text does not assume the unity of place and time between its author and recipient. Decontextualizations, impossibility of immediate reaction or nonexpressivity do not characterize electronic written communication (sms, e-mail, chat and communication using social networks). These texts are on the border-line of spokenness and writtenness. Despite this recent development, it is still true that written texts in official environment serve a more prestigious function (Cechova et al., 2008).



EXERCISE 1

- 1) How do you define discourse analysis?
- 2) Why is discourse analysis mainly a qualitative form of analysis?
- 3) Explain each type of context!
- 4) Underline and determine the type of cohesive devices used in the following text!

Last weekend, we went camping. Budi, Toni, Linda, Sarah, and I had decided to go camping to celebrate our graduation. We reached the camping ground after we walked for about one and a half hour from the parking lot. We built the camp next to a small river. It was getting darker and colder, so we built a fire camp. The next day, Budi, Toni, and I spent our time observing plantation and insects, but Linda and Sarah didn't. They were preparing meals. In the afternoon we went to the river and caught some fish for supper. At night, we held a fire camp night. We sang, danced, read poetry, played magic tricks, and even some of us performed a standing comedy. On Monday, we packed our bags and got ready to go home.

5) Give examples of spoken and written discourse!



SUMMARY

Discourse analysis can be defined as the study of language viewed communicatively and/or of communication viewed linguistically. Discourse analysis involves reference to concepts of language in use, language above or beyond the sentence, language as meaning in interaction, and language in situational and cultural context. In analyzing a discourse, we have to understand the notions of text, context, and co-text. Text is a semantic unit that has a particular social meaning, made up of related sentences whose main characteristic is unity of meaning. Context can be simply defined as anything that accompanies the text and anything that can distinguish the meaning of the exactly similar text. Meanwhile, co-text can be understood as the internal or linguistics context of the text.

As a 'communicative occurrence', a text should meet seven criteria of textuality (the constitutive principles of textual communication) that includes (i) cohesion, the way in which linguistic items of which texts are constituted are meaningfully interconnected in sequences; (ii) coherence, the sub-surface feature of a text which concerns the ways in which the meanings within a text are established and developed; (iii) intentionality, the intention on the part of a sender to produce a cohesive/coherent text aimed at attaining an identifiable goal; (iv) acceptability, the receivers' expectation that the text should be coherent/cohesive and of some relevance to them; (v) informativity, the

(im)probability or (un)expectedness of a text in the given situation; (vi) situationality, the problem of making a text relevant to a situation; and (vii) intertextuality, the ways in which uses of texts depend on the knowledge of other (preceding or following) texts.

Discourse can be both spoken and written discourse. Spoken discourse has been characterized as more coordinated, involved, and implicit. Written discourse, on the other hand, has been characterized as more complex, integrated and detached, and explicit.



FORMATIVE TEST 1 _____

- 1) Burr (1995: 163) claims that the discourse analysis is an 'umbrella which covers a wide variety of actual research practices with quite different aims and theoretical backgrounds. All take language as their focus of interest'. Explain what is emphasized by Burr in defining discourse analysis!
- 2) In your own words, explain the following terms!
 - I. Text
 - II. Context
 - III. Co-text
- 3) Explain the seven criteria of textuality!
- 4) Explain the three aspects of textual coherence analysis!
- 5) Explain the different characteristics of spoken and written discourse!

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 2

Some Approaches to Discourse Analysis

This unit is a guide to understand the various frameworks, concepts, and methods available for the analysis of discourse within linguistics. It consists of five major approaches that are commonly used in analysis discourse. They are (1) speech act theory, (2) systemic functional linguistics, (3) the ethnography of communication, (4) interactional sociolinguistics, and (5) conversation analysis.

A. SPEECH ACT THEORY

Speech act theory considers utterances; it is a great deal connected with the use of language, i.e. utterances made in particular discourse have a particular effect, not required to be connected with the utterance form, but surely distinctive from it. Austin (1962) points out that the releasing of the utterance is the doing of an action. For Austin, the illocutionary act is the creating of a coherent and grammatical utterance, the illocutionary act is the bringing out of an utterance with an illocutionary effect and the perlocutionary act is the intended effects achieved by the speaker in his/her hearer. The analytical power for speech act theory is derived from its ability to justify the deductive bases which people use to infer various kinds of utterances (Fitch and Sanders, 2005). A speech act approach to discourse result to specific perspective of coherence and the procedure by which coherence is existed. Coherence is the consequence of underlying rules that link the actions (Schiffrin, 1994).

Brown and Yule (1983) have criticized Halliday and Hasan (1976) for seeming to suppose that it is required for a text to expose some of the aspects of cohesion in order to be distinguished as a text. They provide models of texts which exhibits few markers of cohesion, and think the hearer or reader will presume that the sentences succession forms a text. Brown and Yule (1983) argued that Halliday and Hasan are uncertain about the difference between the relations of meanings that link between items in a text and the obvious expression of those relations within a text. This difference is the implicit semantic relation which really has the cohesive power. Brown and Yule have posed a question is whether the explicit relations of meanings are

needed to recognize a text as a text. According to them Halliday and Hasan seem to assert that such obvious relations are required when they create expressions like "a text has texture, and this is what distinguishes it from something which is not a text" (Halliday and Hasan, 1976: 2), and "cohesive ties between sentences stand out more clearly because they are the only source of texture" (Halliday and Hasan, 1976: 9). In such expressions Halliday and Hasan appear to be speaking about spoken components which appear in the spoken record not of implicit semantic relations (Halliday and Hasan, 1976).

Brown and Yule (1983) have raised questions considering whether formal cohesion adequate to ensure identification as a text? What does form a text? Is it easy for a reader to understand the recent constituted series of sentences? "Their answer to the previous questions was formal cohesion will not guarantee identification as a text, nor to answer the subsidiary question, will it guarantee textual coherence" (Brown and Yule, 1983: 197).

Brown and Yule (1983) have mentioned that Halliday and Hasan are not interested in displaying a description which describes how to understand texts. They are rather interested in studying the resources of linguistic accessible to the speaker to point cohesive relationships. They mentioned that speakers' and listeners' discourse representations are unlikely to be matched completely. If the listener has to build an interpretation from what the speaker says, then the understanding of pronouns may exhibit particular problems.

Austin starts by observing that some utterances miss what is thought to be an essential property of statements - a truth value. "Not describe or report but the uttering of the sentence is the doing of an action" (Schiffirin, 1994: 50). Austin names these performatives and differentiates them from constitutes. Performatives demand not only the proper circumstances, but also appropriate language. The performative verb is the present tense. Then Austin continues to categorize the circumstances which allow utterances to function as performative. The range of circumstances which allows an act includes the existence of recognized conventional procedure holding a definite conventional effect. The concentration of attention is no longer sentences, but the releasing of an utterance in a speech act situation. Speech acts are performed by utterances, which are made up of a locutionary act, an illocutionary act and a perlocutionary act (Schiffirin, 1994). "Austin also raises the possibility that performatives can be realized without verbs"

(Schiffirin, 1994: 52). According to Schiffirin, Searle suggested that the speech act is the fundamental unit of communication. "Speech act theory analyses the way meanings and acts are linguistically communicated" (Schiffirin, 1994: 57). Searle suggested five classes of speech acts: declarations, expressive, representatives, directives and commissives. Searle pointed out that there are a restricted number of things that people do with language (Searle, 1979).

Language can be used to inform people how things are, attempt to get them to commit things, express their emotions and attitudes and make changes through their utterances. Speech act theory deals with utterance-types rather than actual utterance. It also places greater emphasizes on the sort of knowledge that speakers and hearers can be presupposed to bring to talk, than with the ways they build upon inferences in speech. Acts can be performed through language because constitutive rules, which create the acts, are shared by people (Searle, 1979).

B. SYSTEMIC FUNCTIONAL LINGUISTICS

Halliday and Hasan's (1976) seminal work on cohesion describes non-syntactic relations that make a text hang together (reference, ellipsis, substitution, conjunction, and lexical cohesion) and enable a text to evolve from clause to clause. The description of cohesion in text was an important foundation for further work on the semantics of texts and the development of SFL discourse analysis tools. Today there are two major branches of SFL discourse analysis, generated from the work of Ruqaiya Hasan and J. R. Martin. Each of them has proposed a set of tools and approaches to discourse that have been taken up by analysts in different contexts. "Text" is the unit of SFL discourse analysis; it refers to "any passage, spoken or written, of whatever length, that forms a unified whole" (Halliday and Hasan, 1976: 1). Texts are approached with different analytic tools, depending on the goals of the analysis.

Hasan has developed SFL discourse analysis through the constructs generic structure potential (Hasan, 1996a), cohesive harmony analysis (Hasan, 1984), and semantic networks (Hasan, 1996b). SFL is often associated with an interest in genre, and Hasan's generic structure potential and cohesive harmony analysis are tools for recognizing the moves that may occur within a genre (e.g., Hasan, 1996a). In analyzing generic structure

potential, multiple examples of a genre are reviewed in order to identify elements that are obligatory and optional and the ordering possibilities for those elements. Toghler et al. (2004), for example, use analysis of generic structure potential to compare “typical” encounters with police with encounters the police have with people with traumatic brain injury, who often do not engage in the genre of this encounter in the same ways as people who are not injured. They show how the structure of the encounters with brain-injured people departs from what police typically expect, and their analysis is contributing to a more effective interaction with brain-injured people. Cohesive harmony analysis (Hasan, 1984) is another approach to recognizing how a discourse evolves, helping an analyst describe connections across a text by “identifying the lexical and referential chains formed in a text and then examining the ways in which these chains interact” (Cloran et al., 2007: 651). Cloran et al. show how analysis of cohesive chains helps identify boundaries within texts, as the appearance and disappearance of chains reveals the text’s structure. This is illustrated in Cloran (1999), where she uses an analysis of cohesion to identify how particular moves are embedded in larger discourse units.

Ruqaiya Hasan has also initiated a productive strand of SFL discourse analysis in her study of the discursive practices of mothers interacting with young children in contexts of everyday life (see Hasan et al., 2007 for a history of this work). Drawing on SFL’s notion of system networks, Hasan developed the construct semantic network, to show at a very detailed level differences in the meanings speakers construe in what might otherwise be seen as the “same” context; for example in bathing a child (Hasan, 1996b; Hasan et al., 2007). In analyzing semantic networks, transcripts are divided into messages (similar to a clause), and the messages are compared to identify different linguistic realizations. For example, Hasan (1996b) discusses how some utterances from mother to child incorporate the semantic option assumptive. Selecting the option assumptive presents the implication that the speaker has a view of what the situation should have been. This is realized through negation, in clauses such as: *Didn’t you see me? Why don’t you love Rosemary? Or: You didn’t eat it? (the child ought to have seen her; should love Rosemary, should have eaten it).* A semantic network is an attempt to account for “systematic variation in the meanings people select in similar contexts as a function of their social positioning” (Williams, 2005: 457).

Hasan (2009) reports on how this analysis has enabled exploration of variation in the ways mothers who are positioned in different ways in the social structure ask and answer their children's questions, in the ways they reason with their children, and in the ways gender and class ideologies are construed in everyday talk between parent and child (see also Cloran, 2000). Williams (2005) also analyzes this corpus by using the statistical techniques of principal components and cluster analysis. He shows that mothers vary in the frequency with which they select different options as they read aloud to their children – for example, in how frequently they foreground the expression of individual points of view vs. taking for granted that they know the child's experience or state of knowledge.

J. R. Martin has also developed an approach to the analysis of discourse that builds on the notion of cohesion as discourse structure, analysis of discourse semantics and genre being his point of departure. He has developed analytic tools that provide a framework for "tackling a text" (Martin, 1992; Martin and Rose, 2003), offering those unfamiliar with SFL grammar a set of tools for engaging in analysis through exploration of six discourse-level systems: appraisal, ideation, identification, conjunction, periodicity, and negotiation (Martin and Rose, 2003). The analysis of each system affords different possibilities for exploring meaning in text, the basis for analysis being an understanding that language participates in social life through genres.

Martin's approach sees genre as a level of context above and beyond field, tenor, and mode, and makes genre central to describing the role of culture in language use (Martin, 1999a). He defines genre as a staged, goal-directed social process, and his early work in educational contexts developed a description of a range of genres that are typical of and expected in different disciplinary pedagogies (Martin, 1993, 1999b). Martin and his colleagues analyzed more than 2,000 texts in different school subjects, as described in Rothery (1996), developing descriptions of linguistic pathways into disciplinary literacies—descriptions that have been highly influential (see Christie and Martin (1997); Martin (2002) offers an example from history). For more on SFL and genre, see Martin and Rose (2008); Rose (this volume). For a recent application of this approach, see Macken-Horarik et al.'s (2006) analysis of the linguistic demands of a pre-service teacher education program.

Two of the discourse semantic systems developed in Martin and Rose (2003) described here include ideation and appraisal. Ideation analysis explores the linguistic resources that construe experience and construct the field of discourse. Similar to the analysis of cohesive harmony described above, ideation analysis focuses on the semantics of each clause and tracks meaning across a text to reveal sequences of activities, the people and things involved in them, and their associated places and qualities. This analysis can show how texts of different types, in different contexts, unfold in different ways. For example, Martin (2006: 292) uses ideation analysis to show how agency is construed in a text aimed at reconciling Australian and Japanese war experiences, where he argues that representing Australians as more agentive “can perhaps be read as balancing the more commonly promulgated (in Australia) ‘Japan as aggressor, Australia as victim’ motif.” Through analysis of lexical relations within the clause and chains of relationships between lexical elements, ideation analysis can reveal the sequences of activity that make up different stages of a genre (see also Martin, 2001).

Appraisal analysis explores how interpersonal meaning permeates a text, enabling exploration of resources for evaluative meaning, “the kinds of attitudes that are negotiated in a text, the strength of the feelings involved and the ways in which values are sourced and readers aligned” (Martin and Rose, 2003: 25). A related development in SFL discourse analysis is the elaboration of the engagement system, a sub-system of appraisal, to identify the sources of attitudes and evaluative meaning (Martin and White, 2005). The appraisal tools are currently informing SFL discourse analyses across a range of contexts (e.g. White, 2003; Martin, 2004; Arkoudis, 2005; Hood, 2006). Hood, for example, uses appraisal analysis of research paper introductions to illustrate how different configurations of attitudinal meanings are relevant to accomplishing different purposes: for instance for presenting a rationale, arguing for new knowledge, or presenting one’s own work as valuable. Arkoudis (2005) uses appraisal analysis to reveal tensions and power relationships around teachers’ collaboration.

Martin’s recent work explores how texts about the same event draw on different linguistic systems to instantiate different perspectives (e.g. Martin, 2008a). In analyzing three accounts of events in a novel, he shows how authors present and combine meanings in different ways, the different instantiations of the story affording different readings. Martin draws implications from this for understanding the affordances of translation, the

use of different modalities, and summarizing. In a related chapter, Martin (2008b) explores the same texts to show how differences in the dialogism of the texts construct the speakers as more or less authoritative. This and other features of the discourse construe the characters' identities and position them in ways that different readers may align with. These chapters provide detailed examples of how analyses of genre, periodicity, appraisal, conjunction, and ideation offer insights for discourse analysis.

Halliday (2010) comments on the conditions under which researchers undertake discourse analysis. An interesting feature of discourse analysis (and one that might serve to distinguish "discourse analysis" from "text analysis", or "text linguistics") is that many of those who undertake discourse analysis approach the task from a particular angle, with a particular attitude towards the text and a view of their own responsibility as analysts. In modern parlance, they have their own agenda.

This may be seen in the choice of the text to be analyzed, which is often a text displaying, or seen as displaying, some socio-political stance of which the analyst disapproves: racism, perhaps, or colonialism, or a one-sided attitude to some contemporary or earlier conflict. This has the danger that the analyst might have picked out certain portions of the text which display the features in question without noting how far they are typical of the text as a whole — though it might be argued that this does not matter; the fact that they are there at all reveals a possibly unadmitted bias on the part of the writer. What is more problematic is whether the analyst might unwittingly have selected just those features of the lexicogrammar which support them in their argument. This arises if the argument is based on the choice of vocabulary without regard for colligation with the grammar. Thus in undertaking discourse analysis, analysts must be supported by a framework that enables them to identify and engage with all the dimensions of language in context that are relevant to the task at hand.

The general approach to the development of discourse analysis theory taken in SFL is more akin to approaches associated with general systems theory and its more current successors in the study of complex, adaptive systems. Since SFL is an applicable theory of language in context (and now also of other semiotic systems), it is a general theory rather than a special-purpose one: it is a holistic theory of such systems within a hierarchy of systems of all kinds; and there has, thus, been an emphasis on the need to undertake comprehensive (rather than selective) analysis of discourse.

Together with other semiotic systems, language is a system of the 4th order of complexity in an ordered hierarchy of systems (e.g. Halliday and Matthiessen, 1999; Halliday, 1996, 2005; Matthiessen, 2007, 2009):

1st-order systems — material systems: physical: systems extending in space (ranging in composition from the quantum world to all of cosmos) and unfolding in time;

2nd-order systems — material systems: biological systems: 1st-order systems + life, so self-replicating with individuals and with evolution as the mode of cosmogenesis;

3rd-order systems — immaterial systems: social: 2nd-order systems + value, so with individuals as persons serving different social roles in different networks of roles defining social groups and determining division of labour (with the potential for social hierarchy);

4th-order systems — immaterial systems: semiotic: 3rd-order systems + meaning, so stratified into a number of semiotic strata and dispersed into different functional strands.

Thus in SFL, discourse analysis can be viewed in terms of this holistic framework. Language and other semiotic systems are seen against the background of systems of all four orders, any one of which may be relevant to critical investigations and programmes for action based on them. This always leaves open the possibility of doing analysis within all four systemic orders (for example in the contexts of neuroscience and medicine); but Matthiessen (2012: 452) focuses on the two immaterial orders of systems:

- a. social systems — social, anthropological, ethnographic analysis: analysis of discourse as social process (behaviour), and of social processes and systems in their own right — using descriptions of social phenomena, e.g. Steiner's (1985, 1991) SF account of social activity (influenced by the activity theory developed by Russian scholars), van Leeuwen's (2008) work on the representation of social actors and events (e.g. Caldas-Coulthard and van Leeuwen, 2002), Butt's (1991) approach to persons in social role networks; or

using ethnographic observation methods (e.g. shadowing people operating in their institutional roles) and interview techniques (e.g. Slade et al., 2008).

- b. semiotic systems — linguistic analysis (in its broadest sense), multimodal analysis, contextual analysis: prosodic analysis of spoken text (Halliday and Greaves, 2008), lexicogrammatical analysis, including systems from all metafunctions across the rank scale (e.g. Halliday and Matthiessen, 2004), semantic analysis, including all metafunctions (e.g. Eggins and Slade, 1997; Martin and Rose, 2003), contextual analysis, including field, tenor and mode, and contextual (generic, schematic) structure (e.g. Ghadessy, 1999); analysis of semiotic systems other than language and multisemiotic analysis (e.g. Kress and van Leeuwen, 1996; Bateman, 2008; Baldry & Thibault, 2006).

C. THE ETHNOGRAPHY OF COMMUNICATION

The ethnography of communication, formerly called ethnography of speaking, is the analysis of communication within the wider context of the social and cultural practices and beliefs of the members of a particular culture or speech community. It is a method of discourse analysis in linguistics that draws on the anthropological field of ethnography. Unlike ethnography proper, ethnography of communication takes into account both the communicative form, which may include but is not limited to spoken language, and its function within the given culture.

Ethnography is concerned with understanding and describing meaning in social life. Ideally, it involves “thick participation” (Sarangi, 2007), i.e., sustained involvement in a research site through fieldwork, and “thick description” (Geertz, 1973), i.e., the recording of social activity in as much of its complexity and messiness as possible. In addition, the concept of “thick analysis” captures the use of multiple strategies of analysis on the materials which have been gathered (Evers and Van Staa, 2010). Thick description, thick participation and thick analysis allow the ethnographer to discover and interpret what is significant about situated practices, i.e., specific social acts at particular moments in time and space, and what these practices mean to the people being studied. As such, ethnography is at once a research methodology, a set of fieldwork techniques, most prominently participant

observation, and a research product, a reflexive account of social life that prioritizes participants' perspectives (Macgilchrist and Van Hout, 2011).

Ingrained in this dual architecture is a concern with epistemology. As Blommaert (2006: 6) observes: "ethnography attributes (and has to attribute) great importance to the history of what is commonly seen as 'data': the whole process of gathering and molding knowledge is part of that knowledge". This concern with knowledge construction explains why ethnographic writing is self-reflexive; it seeks to explicate how data was collected and interpreted through first-person accounts, vignettes, methodological asides and the like. Rather than "a slide into self-indulgent solipsism", authorial reflexivity is seen as a "pragmatic effort to refine our analytic sensitivity by foregrounding the encounter of different systems of knowledge and selfhood between researcher and hosts" (Peterson, 2003: 9).

As a theoretical and methodological perspective on situated practices, ethnography is particularly useful for examining discourse production. Nevertheless, we share Swales' (1998) hesitation to use the noun form "ethnography" for our studies on discourse production. He refers to his seminal discourse analytically inspired study of situated academic writing practices as a "textography" to mean "something more than a disembodied textual or discursual analysis, but something less than a full ethnographic account" (Swales, 1998: 1). Likewise, given our fairly specific (thick) attention to discourse and discursive practices, we prefer to use the adjectival form "ethnographic" to embed our studies in the epistemology, attitude and research methods associated with ethnography but to bode caution in the type and scope of "findings" the studies will provide. Our aim in the extended analysis below is not, for instance, to provide a full ethnographic account of practices in the newsroom.

To map the terrain of research integrating ethnographic approaches and discourse analysis it is useful to refer to the Pennycook's (1994: 115) question, "which is bigger—language or discourse?" For one group of researchers, investigating social issues such as criminal proceedings (Scheffer, 2007), unemployment (Ott, 2011), school education (Langer, 2008), globalization (Macgilchrist and Christophe, 2011), teacher education (Wrana, 2006), migration (Lopez, 1999) or ethnicity and language learning (Norton, 2000), discourse is "bigger than" language. Drawing to a large extent on Foucault (e.g., 1972, 1976, 1982), these researchers' primary interest lies in the constitution and reconstitution of power relations in socio-

politically charged settings, and in the associated mechanisms of exclusion, subjectivation and/or knowledge production.

In some cases, although situating themselves as discourse analytical studies, the studies utilize alternative terms for their analysis. Scheffer's focus, for instance, as he investigates how "legally binding, powerful, decisive cases come about", is on the broad category of "discourse formations", or the "field of discourse" (Scheffer, 2007). Criticizing conversational analytical approaches for prioritizing conversational turns at the expense of other discursive modalities, i.e., for highlighting only "one space-time of unfolding discourse", he adopts Foucault's (1972) notion of the "statement" as the smallest atom of discourse. Scheffer is interested in various forms of "statement-in-becoming" including but not limited to conversational turns, public declarations, written documents, or archival entries. His research emphasizes the complexity and "multiple temporality of discourse practice and derives at an understanding of the specific modes of participation and the various subjectivities and authorships that are created this way" (Scheffer, 2007).

Similarly, Langer (2008) and Ott and Wrana (2010) refer to "discursive practices" rather than "discourse" in order to highlight the complexity and multidimensionality of the discursive which includes but also goes far beyond language use. Both studies trace questions of subject formation through everyday (language and bodily) practices (cf. also Wrana & Langer, 2007). Drawing on Derrida (1988) and Butler (1997), they emphasize the performativity and iterability of discursive practices, i.e., their capability to (unavoidably) constitute rather than simply represent the world, and their necessarily non-identical repetition and citation—and hence inevitable shifting—of previous practices.

As the examples illustrate, rather than the term "discourse" referring to the object of analysis, these approaches use the phrase "discourse analysis" to refer to a poststructuralist theoretical or epistemological position (Sarasin, 2006; Gehring, 2006). Without going into great detail here, let us note three elements to this epistemological position: (i) discourse is situated, historic and contingent practice; (ii) the subject is decentered; the notion of the autonomous, rational, unified subject of free will has been deconstructed (cf. Blackman, Cromby, Hook, Papadopoulos, and Walkerdine, 2008); and (iii) meaning, knowledges, objects, subjects, etc. are constituted within relational

struggles that are shaped and re-shaped by political struggles (Howarth, Norval, and Stavrakakis, 2000).

The second set of studies—in the oversimplifying classification scheme proffered here—also, by necessity, engages with epistemological issues. Nevertheless, the primary utility of discourse analysis is seen less in the epistemological position, and more in the focus of inquiry. “Discourse” is the object of analysis; language is “bigger than” discourse. Only a small number of analyses explicitly situate themselves as “ethnographic-based discourse analysis” (e.g., Lin, 2008; Smart, 2008). Mediated discourse analysis, or nexus analysis, (Scollon and Scollon, 2007) also engages ethnographically with the trajectories of discourse and other practices; the focus of linguistic ethnography is occasionally “discourse” (e.g., Blommaert, 2007; Rampton et al., 2004; Tusting and Maybin, 2007; Van Praet, 2010). Similarly, discourse studies not labeled “ethnographic” often draw upon the methodological repertoire associated with ethnography (e.g., Jewitt, 2009; Kress et al., 2005).

Linking these studies is a conceptualization of “discourse” as a symbolic resource put to use in various professional, everyday, educational etc. settings. The focus here is often on knowledge-building, policy-making, identity performance or textual practices of writing, reading, symbolizing, or otherwise accomplishing work and daily life. Thus, discourse is taken to include various forms of meaning making. In the sense, however, that it is understood as a specific resource available in a specific time and place, it is taken to be a smaller unit of analysis than language.

Salient thoughts on the combination of ethnography with this type of discourse understood within an applied linguistics framework were provided by the UK Linguistic Ethnography Forum. Combining ethnography and discourse analysis then, according to Rampton, Tusting, Maybin, Barwell, Creese, and Lytra (2004), becomes a means of “tying ethnography down” but “opening linguistics up”. They say that ‘tying ethnography down’ means pushing ethnography towards the analysis of clearly delimitable processes, increasing the amount of reported data that is open to falsification, and looking to impregnate local description with analytical frameworks drawn from outside. Meanwhile, ‘opening linguistics up’ means inviting reflexive sensitivity to the processes involved in the production of linguistic claims and to the potential importance of what gets left out, and encouraging a willingness to accept (and run with) the fact that beyond the reach of

standardised falsification procedures experience has ways of boiling over making us correct our present formulas (Rampton et al.,: 4).

D. INTERACTIONAL SOCIOLINGUISTICS

Interactional sociolinguistics (IS) is an approach to discourse analysis that has its origin in the search for replicable methods of qualitative analysis that account for our ability to interpret what participants intend to convey in everyday communicative practice. It is well known that conversationalists always rely on knowledge that goes beyond grammar and lexicon to make themselves heard. But how such knowledge affects understanding is still not sufficiently understood (Gumperz, 2001: 215). In addition, Jaspers (2012: 135) defines IS as the study of the language use of people in face-to-face interaction. It is a theoretical and methodological perspective on language use with eclectic roots in a wide variety of disciplines such as dialectology, ethnomethodology, conversation analysis, pragmatics, linguistic anthropology, microethnography and sociology.

Gumperz's (2001) perspective on verbal communication is grounded in earlier work on Hymes' (1961) ethnography of communication whose key insight was that instead of seeking to explain talk as directly reflecting the beliefs and values of communities, structuralist abstractions that are notoriously difficult to operationalize, it should be more fruitful to concentrate on situations of speaking or, to use Roman Jakobson's term, speech events. Events are arguably more concretely available for ethnographic investigation (Gumperz and Hymes 1964, 1972). They constitute units of interaction subject to direct analysis by established empirical means. At the same time, what happens in such events frequently enters into public discussion, so that replicable information on relevant beliefs and values can readily be obtained through focused ethnographic inquiry.

Basically IS starts from the finding that when people talk, they are unable to say everything they mean explicitly enough. As a result, they cannot simply rely on the words that are used to appreciate what is meant, but must also depend on background knowledge to discover what others assumed the relevant context was for producing words in. In fact, people can get very angry when they are put to the test and asked to explain precisely and

explicitly what they meant. Imagine telling a colleague that you had a flat tire while driving to work, after which that colleague replies as in (13).

(13) What do you mean, you had a flat tire?

In the case in (13), you might experience surprise or confusion because you feel no extra explanation is necessary. You may even consider such question improper and you may respond it angrily.

A central theme in IS has been (mis)communication in western urban workplace settings. Specifically, a lot of attention has been devoted to gatekeeping encounters between people with different ethnic backgrounds, in which clients or lay people have to interact with interviewers and experts who have different interpretive premises. Key studies in this regard are Gumperz (1982a, 1982b) and Roberts et al. (1992). Conversation in (14) is an example from a mid-70s selection interview where an applicant applied for paid traineeship and training in skills that were in short supply on the labour market (Gumperz 2001: 224):

- (14) a. Interviewer : And you've put here, that you want to apply for that course because there are more jobs in ... the trade.
 b. Applicant : Yeah (low).
 c. Interviewer : So perhaps you could explain to Mr C. apart from that reason, why else you want to apply for electrical work.
 d. Applicant : I think I like ... this job in my-, as a profession.
 e. Instructor : And why do you think you'll like it?
 f. Applicant : Why?
 g. Instructor : Could you explain to me why?
 h. Applicant : Why do I like it? I think it is more job prospect.

As Gumperz notes, by emphasizing the word 'trade' in (14a), the interviewer is asking the applicant indirectly to say more about what he wrote in a questionnaire he filled out before the interview in reply to questions about his interest in electrical work. Yet the applicant seems to treat what the interviewer says as a literal yes/no-question (14b). The interviewer goes on and uses the same device (i.e., stress) to draw the applicant's attention to

what needs to be gone into detail about, but the applicant simply rephrases the information he has already given in the questionnaire (14d). Then the instructor takes over (14e), using the same accenting device to elicit extra information, but again the applicant does not recognize this as an invitation to comment on what he wrote. Rather, the applicant appears perplexed and once more paraphrases what he has already said (14h). In sum, he does not recognize the interviewers' verbal tactics which employ emphasizing to draw attention to issues they think need to be elaborated and he is not seen to speak as a suitable candidate. Such misunderstandings are not uncommon, Gumperz remarks. Research among British-resident South Asians bears out that 'as native speakers of languages that employ other linguistic means to highlight information in discourse, South Asians often fail to recognize that accenting is used in English to convey key information, and thus do not recognize the significance of the interviewers' contextualization cues (2001: 224). Furthermore, ethnographic data also show that South Asians have been socialized to enter interview settings as hierarchical encounters, where candidates are expected to show reluctance to dwell on personal likes or preferences and avoid giving the appearance of being too forward or assertive (2001: 224). This is only one fragment of the interview which contained numerous other miscommunications. But it comes as no surprise that the applicant eventually did not gain admission, in spite of the fact that he did possess a reasonable skill in doing electrical work.

E. CONVERSATION ANALYSIS

Conversation analysis is a form of linguistic analysis which focuses on transcripts of real-life spoken interactions. It is often referred to as the study of talk in interaction. While analysts study private, informal conversations, they also examine institutional interactions (e.g. doctor-patient, legal interactions, police interviews, talk in the classroom; see Drew and Heritage, 1992).

CA was developed in the 1960s by the sociologist Harvey Sacks along with Emanuel Schegloff and Gail Jefferson (e.g. Sacks et al., 1974), who were influenced by ethnomethodology. CA focuses on structures within speech, particularly turn-taking organization, sequence organization (adjacency pair) and repair. Turn-taking can be simply defined as the role switching process between speaker and hearer in a conversation. Turn taking

varies according to (i) the situation, in a classroom, for example, a teacher nominates who can take a turn, a student may or may not give a response; (ii) the topic, people take a turn when they have something to say, or when they want to change the topic; (iii) relationship, a child may be instructed not to speak with adult guests unless spoken to; and (iv) rank, to some degree, turn taking is by rank, the right to talk is an indicator of the status of the speaker and the degree to which all participants are from the same rank. Sequence organization or adjacency pair can be defined as an ordered pair of adjacent utterances spoken by two different speakers. Once the first utterance is spoken, the second is required. They are utterances produced by two speakers in a way that the second utterance is identified as related to the first one and expected to follow-up to it. The two utterances form a pair. Adjacency pairs are the basic structural unit in a conversation. Repair is the name given to periods of talk in everyday talk in which miscommunications arise, are noted and then resolved. Commonly these repair sequences occur in the talk immediately following the miscommunication and take up conversation turns until they have been resolved, when participants then return to the topic at hand (Schegloff, Jefferson, and Sacks, 1977).

A key aspect of CA is the belief that conversations tend to follow regular structures and that breakdowns in such structures are of interest. CA therefore involves carrying out a close reading of a transcript, focusing on 'small' phenomena like pauses, interruptions and laughter. Most conversation analysts prefer to work with detailed transcripts. Gail Jefferson developed a transcription scheme which allows analysts to consider the speaker's volume, intonation, speed and emphasis as well as phenomena like breathing or lip-smacks (see Atkinson and Heritage 1984). It is advisable that readers consult the last part of this Chapter in which CA transcription symbols are explained.

Schegloff (1992) reports in his introduction to the published collection of Sacks' lectures that Sacks had been examining a corpus of recorded telephone calls to the Los Angeles Suicide Prevention Center. One of the tasks of the Center's staff was to try to obtain the caller's name; and on many occasions, if they gave their name, they found that the callers would then identify themselves in reply. In many cases, however, the Center's staff had difficulty getting callers to state who they were: either callers would not say their name after the Center's staff had introduced themselves; or later, when explicitly asked for their name, they would refuse to disclose it. For the Center, then, the problem was getting callers to reveal their names. Sacks

became interested in the following opening section from one of the calls, in which the caller (B) seemed to be having trouble with the agent's name.

- (15) a. A : This is Mr. Smith, may I help you
 b. B : I can't hear you
 c. A : This is Mr. Smith
 d. B : Smith
 (Sacks, 1992)

It can be noticed that in A's second turn (15c), the word 'Smith' is underlined. This indicates that the speaker has emphasised or stressed this word. In conversation analysis, transcripts try to capture not only what was said, but also the way it was said. Consequently, a series of symbols, such as underlining, have been used to capture, amongst other things, the way words are pronounced.

Sacks began to examine the caller's utterance "I can't hear you" in (15b). Instead of treating it as a straightforward report of a communication problem, he examined it to reveal what it might be doing. In particular, he wondered if this utterance was produced so as to allow the caller to avoid giving his name, while not explicitly having to refuse to do so. With this question, Sacks raised the possibility of investigating utterances as objects which speakers use to get things done in the course of their interactions with others.

Sacks observes that there are norms concerning where in conversation certain kinds of activities should happen; and in conversation between strangers names tend to be exchanged in initial turns. Developing this, Sacks argues that the caller is using the utterance "I can't hear you" to fill the slot in the conversation where it would be expected that he return his name. However, he has not had to refuse to give his name: instead he has used that slot to initiate what is called a repair sequence, which is a short series of turns in which some 'trouble' (in this case, 'not hearing') is resolved. By doing 'not hearing', the caller has been able to move the conversation on from that point at which he might be expected to give his name. In this case, then, the caller's expression of an apparent hearing difficulty is a method by which he could accomplish the activity of 'not giving a name' without explicitly refusing to do so (Wooffitt, 2005: 6).

In short, conversation analysts focus on the transcript of the talk and therefore do not usually use other sources of information to aid their analysis.

For example, they tend not to make inferences about what people are thinking, and they do not interview the participants to ask them about their inner feelings. In addition, many conversation analysts do not try to explain their conversational data by relating it to a person's identity or personality or by considering the wider social context or any existing theories (which is where CA differs from critical discourse analysis).



EXERCISE 2

- 1) How do you explain an approach to discourse analysis?
- 2) How does the theory of speech act criticize the theory of systemic functional linguistics in relation to discourse analysis?
- 3) Prove how systemic functional linguistics plays its role as one of the approaches in discourse analysis!
- 4) Explain your understanding of "thick participation", "thick description", and "thick analysis" in ethnography approach to discourse analysis!
- 5) How does interactional sociolinguistics work in discourse analysis?



SUMMARY

There are various approaches to discourse analysis, in other words, there are a plenty of linguistics fields related to discourse analysis. These approaches allow researchers to use different theories in analyzing discourse. In this book, there are five approaches to discourse analysis presented: speech act theory, systemic functional linguistics, ethnography of communication, interactional sociolinguistics, and conversation analysis. Speech act theory considers utterances; it is a great deal connected with the use of language that is utterances made in particular discourse have a particular effect, not required to be connected with the utterance form, but surely distinctive from it. Austin (1962) points out that the releasing of the utterance is the doing of an action. For Austin, the illocutionary act is the creating of a coherent and grammatical utterance, the illocutionary act is the bringing out of an utterance with an illocutionary effect and the perlocutionary act is the intended effects achieved by the speaker in his/her hearer.

The description of cohesion in text was an important foundation for further work on the semantics of texts and the development of SFL discourse analysis tools. Hasan has developed SFL discourse analysis through the constructs generic structure potential (Hasan, 1996a),

cohesive harmony analysis (Hasan, 1984), and semantic networks (Hasan, 1996b). J. R. Martin has also developed an approach to the analysis of discourse that builds on the notion of cohesion as discourse structure, analysis of discourse semantics and genre being his point of departure (Martin, 1992; Martin and Rose, 2003). Two of the discourse semantic systems developed in Martin and Rose (2003) will be described here: ideation and appraisal. Ideation analysis explores the linguistic resources that construe experience and construct the field of discourse. Appraisal analysis explores how interpersonal meaning permeates a text, enabling exploration of resources for evaluative meaning, “the kinds of attitudes that are negotiated in a text, the strength of the feelings involved and the ways in which values are sourced and readers aligned” (Martin and Rose, 2003: 25).

As a theoretical and methodological perspective on situated practices, ethnography is particularly useful for examining discourse production. Based on ethnography approach, rather than using the term “discourse” referring to the object of analysis, these approaches use the phrase “discourse analysis” to refer to a poststructuralist theoretical or epistemological position (Sarasin, 2006; Gehring, 2006). Three elements should be noted to this epistemological position: (i) discourse is situated, historic and contingent practice; (ii) the subject is decentered; the notion of the autonomous, rational, unified subject of free will has been deconstructed; and (iii) meaning, knowledges, objects, subjects, etc. are constituted within relational struggles that are shaped and re-shaped by political struggles (Howarth, Norval, and Stavrakakis, 2000).

Interactional sociolinguistics (IS) is another approach to discourse analysis that has its origin in the search for replicable methods of qualitative analysis that account for our ability to interpret what participants intend to convey in everyday communicative practice. It is well known that conversationalists always rely on knowledge that goes beyond grammar and lexicon to make themselves heard.

The other approach to discourse analysis, conversation analysis (CA), is a form of linguistic analysis which focuses on transcripts of real-life spoken interactions. It is often referred to as the study of talk in interaction. In addition, CA focuses on structures within speech, particularly turn-taking organization, sequence organization (adjacency pair) and repair.



FORMATIVE TEST 2

- 1) What are the components of speech act directly related to discourse analysis? And How?
- 2) How does speech act theory contribute to discourse analysis?
- 3) Explain two discourse semantic systems developed by Martin and Rose (2003)!
- 4) How does ethnography approach work in discourse analysis?
- 5) What is the focus of conversation analysis, and how it plays its role as one of the approaches in discourse analysis?

Transcription Symbols in Conversation Analysis

The transcription symbols used here are common to conversation analytic research which were developed by Jefferson (1984).

- | | |
|--------------|---|
| (0.5) | The number in brackets indicates a time gap in tenths of a second. |
| (.) | A dot enclosed in a bracket indicates pause in the talk less than two tenths of a second. |
| -hh | A dot before an 'h' indicates speaker in-breath. The more 'h's, the longer the in-breath. |
| hh | An 'h' indicates an out-breath. The more 'h's the longer the breath. |
| (()) | A description enclosed in a double bracket indicates a non-verbal activity. For example ((banging sound)) |
| - | A dash indicates the sharp cut-off of the prior word or sound. |
| ::: | Colons indicate that the speaker has stretched the preceding sound or letter. The more colons the greater the extent of the stretching. |
| () | Empty parentheses/brackets indicate the presence of an unclear fragment on the tape. |
| (guess) | The words within a single bracket indicate the transcriber's best guess at an unclear fragment. |
| | A full stop indicates a stopping fall in tone. It does not necessarily indicate the end of a sentence. |
| <u>Under</u> | Underlined fragments indicate speaker emphasis. |

- ↕ Pointed arrows indicate a marked falling or rising intonational shift. They are placed immediately before the onset of the shift.
- CAPITALS With the exception of proper nouns, capital letters indicate a section of speech noticeably louder than that surrounding it.
- ° ° Degree signs are used to indicate that the talk they encompass is spoken noticeably quieter than the surrounding talk.
- Thaght A 'gh' indicates that word in which it is placed had a guttural pronunciation.
- > < 'More than' and 'less-than' signs indicate that the talk they encompass was produced noticeably quicker than the surrounding talk.
- = The 'equals' sign indicates contiguous utterances.
- [Square brackets between adjacent lines of concurrent speech
-] indicate the onset (and end) of a spate of overlapping talk.

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.

Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 3

Themes in Contemporary Discourse Analysis

A. CLASSROOM DISCOURSE

The concept of language classroom discourse has undergone various interpretations. Nunan (1993) views classroom discourse as “the distinctive type of discourse that occurs in classrooms”. Discourse in the language classroom is a matter of the oral use of language in the classrooms. At least 35 years ago, an important direction in applied linguistics and education research sought to understand the nature and implications of classroom interactions, or what is commonly referred to as “classroom discourse” (Behnam and Pouriran, 2009: 118). One influential approach to the study of spoken discourse, as acknowledged by (McCarthy, 1991), was carried out by Sinclair and Coulthard (1975) at the University of Birmingham. Sinclair and Coulthard suggested a three tier approach, beginning-middle-end, to focus on the distinct “moves” that take place in discourse, which can be considered as *question-answer-comment* in the classroom environment, or *command-acknowledgement-polite formality*, as occurs in a shop between the client and the shopkeeper.

Classroom discourse is the language used by teachers and students to communicate with each other in the classroom. Here, the use of discourse refers to the type, genre or context of language used in the classroom. An analysis of classroom discourse may not only use recordings of actual speech but could also involve reflexive feedback interviews with participants or consultation of teaching texts. Cazden (2001: 3) notes three questions that classroom discourse analysis can try to address: (i) How do patterns of language use affect what counts as “knowledge” and what counts as learning?; (ii) How do these patterns affect the equality or inequality of students’ educational opportunities?; and (iii) What communicative competence do these patterns presume and/or foster? There is no single way of carrying out classroom discourse analysis, although a number of schemes have been developed; for example, Walsh (2006) uses a framework for

examining classroom discourse called Self-Evaluation of Teacher Talk (SETT).

In short, discourse can be defined broadly as “language-in-use.” And discourse analysis, is the study of how language-in-use is affected by the context of its use. In the classroom, context can range from the talk within a lesson, to a student’s entire lifetime of socialization, to the history of the institution of schooling. Discourse analysis in the classroom becomes critical classroom discourse analysis when classroom researchers take the effects of such variable contexts into consideration in their analysis.

B. CRITICAL DISCOURSE ANALYSIS

Critical Discourse Analysis is an approach to the analysis of discourse which views language as a social practice and is interested in the ways that ideologies and power relations are expressed through language. Critical discourse analysts are particularly interested in issues of inequality, sometimes keeping in mind the question ‘who benefits?’ when carrying out analysis.

Unlike many other forms of linguistic analysis, CDA is not only concerned with words on a page but also involves examining social context – for example, asking how and why the words came to be written or spoken and what other texts are being referenced by them (see intertextuality). The approach was first developed by Norman Fairclough (1989), who adopted a three-dimensional framework to analysis. The first stage (description) involves text analysis, correlating with critical linguistics, which itself was developed out of Halliday’s systemic functional grammar. The second stage (interpretation) focuses on the relationship between text and interaction, seeing the text as both a product of the process of production and a resource in the process of interpretation. The final stage (explanation) examines the relationship between interaction and social context, considering the social effects of the processes of production and interpretation.

Other approaches to critical discourse analysis have been proposed, although all tend towards combining text analysis with consideration of wider social context. Reisigl and Wodak’s (2001) discourse-historical approach uses argumentation theory, whereas van Leeuwen (1996, 1997) concentrates on social actor representation. Jager’s approach (2001) is based on using theoretical and methodological aspects of Foucauldian critical

discourse analysis with dispositive analysis. Van Dijk's socio-cognitive approach to CDA employs a three-part model of memory, while Hart and Luke (2007) focus on the synergy between cognitive linguistics and CDA. O'Halloran (2003) develops a model of the interpretation stage of CDA, taking ideas from connectionism, cognitive linguistics, inferencing and relevance theory, while Partington (2004) and Baker (2006) have suggested an approach to CDA which utilizes corpus linguistics methods to identify large-scale patterns (see corpus-assisted discourse studies). Even within these specific 'flavours' of CDA, there is generally no step-by-step, fixed approach to analysis. The analyst is given considerable freedom in choosing texts, combinations of different analytical techniques and the order in which they are carried out. This can sometimes make analysis challenging to novitiates, and this freedom, combined with the fact that CDA is concerned with highlighting social problems like prejudice and exclusion, can open up practitioners to the accusation of bias (e.g. they could select texts that prove their point while ignoring those which do not). CDA has responded to this criticism in two ways: (1) by acknowledging that the concept of the 'neutral' researcher is a fallacy and advocating reflexivity, so the researcher reflects on his or her own position and how it develops as the research progresses, and (2) by incorporating triangulation, such as combining small-scale qualitative analysis with practices from corpus linguistics such as sampling and quantitative techniques, which give evidence for wider trends.

C. MULTIMODAL DISCOURSE ANALYSIS

The systemic functional (SF) approach to multimodal discourse analysis (MDA) involves developing theoretical and practical approaches for analysing written, printed and electronic texts, three-dimensional sites and other realms of activity where semiotic resources (e.g. spoken and written language, visual imagery, mathematical symbolism, sculpture, architecture, gesture and other physiological modes) combine to make meaning. SF theory is well placed to provide theoretical tools for MDA because, first and foremost, it is a social semiotic theory where the meaning is seen to be context-dependent (Halliday, 1978). SF theory has to-date provided a comprehensive approach to language (e.g. Halliday, 2002, 2004; Halliday and Matthiessen, 1999; Martin, 1992; Martin and Rose, 2003). Following O'Toole's (1994) *Language of Displayed Art* and Kress and Van Leeuwen's

(1996) *Reading Images: The Grammar of Visual Design*, interest in the use of SF theory for MDA has steadily increased (e.g. Baldry and Thibault, 2006a; Bateman, 2008; Iedema, 2003; Kress and Van Leeuwen, 2001; Lemke, 2002; Martin, 2002; Martinec, 2001, 2004, 2005; O'Halloran, 2004a, 2005; Royce, 1998; Unsworth, 2001; Van Leeuwen, 1999, 2005; Ventola et al., 2004). The basis for the ongoing development of the SF approach to MDA and the challenges which subsequently arise are explored in relation to the nature of SF theory.

The major strength of SF theory for MDA is Halliday's (1978, 2004) metafunctional principle which provides an integrating platform for theorizing how semiotic resources interact to create meaning (e.g. Baldry and Thibault, 2006a; Kress and Van Leeuwen, 2006; Van Leeuwen, 1999, 2005). The metafunctional principle is the principle that semiotic resources simultaneously provide the tools for constructing ideational meaning (i.e. experiential meaning and logical relations) and for enacting social relations (i.e. interpersonal meaning). These metafunctions are enabled through the organization of the discourse, which is the textual metafunction of semiosis. The metafunctional principle provides a basis for examining the functionalities of semiotic resources and for analysing the ways in which semiotic choices interact in multimodal discourses to fulfill particular objectives (e.g. to construct knowledge in school textbooks; to persuade a consumer to purchase a product; to stir the public to violence in the name of a religious cause).

The SF-MDA approach is concerned with the meaning potential of semiotic resources distributed across strata (i.e. context, discourse semantics, lexicogrammar and phonology, and typography/graphology) and the theory/analysis of the integrative meaning of semiotic choices in multimodal discourse. The SF-MDA approach has, for example, led to the study of the functionality of language, visual images and mathematical symbolism in mathematical discourse, and theorization of how linguistic, visual and mathematical symbolic choices combine to construct reality in ways which extend beyond what is possible using linguistic resources alone (O'Halloran, 2005, 2007a, 2007b). In addition, SF-MDA provides a transdisciplinary bridge across traditionally distinct fields of study. For example, the SF-MDA approach to mathematical discourse involves mathematics, linguistics, semiotics, studies of visualization and mathematics education. The SF-MDA

approach holds much promise for conceptualizing and analysing multimodal semiosis.

Some challenges facing SF multimodal discourse analysts include:

- (1) Modelling the functionality and grammars for semiotic resources other than language, for example, visual images (e.g. Kress and Van Leeuwen, 2006; O'Toole, 1994), mathematical symbolism (e.g. O'Halloran, 2005), music and sound (e.g. Steiner, 1988; Van Leeuwen, 1999), movement and gesture (e.g. Martinec, 2001, 2004) and architecture and space (e.g. O'Toole, 1994; Pang, 2004; Stenglin, 2004).
- (2) Mapping the metafunctional orchestration of semiotic flow within and across semiotic resources in written/printed texts (e.g. Baldry and Thibault, 2006a; Kress and Van Leeuwen, 2006; Martin, 2002; Martinec, 2005; O'Halloran, 2005; Royce, 1998; Van Leeuwen, 2005; Ventola et al., 2004), electronic and film texts (e.g. Baldry and Thibault, 2006a; Djonov, 2006; Iedema, 2001; Lemke, 2002; Van Leeuwen, 1985) and three-dimensional sites (e.g. Pang, 2004; Ravelli, 2000; Stenglin, 2004).
- (3) From (1)–(2), developing theories of intrasemiosis (through one semiotic resource) and intersemiosis (through multiple semiotic resources) (e.g. Baldry and Thibault, 2006a; Kress and Van Leeuwen, 2006; Martinec, 2005; O'Halloran, 2005, 2007a, 2007b; Royce, 1998; Van Leeuwen, 2005).
- (4) Developing theoretical approaches to MDA which involve perspectives from other fields, for example, architecture (Stenglin, 2004), computing (Djonov, 2006), music (Van Leeuwen, 1999), science (Lemke, 2000) and sociology, anthropology and cognitive science (Thibault, 2004a, 2004b).
- (5) Developing analytical approaches for SF-MDA through the use of information technology and software applications (e.g. Baldry, 2004, 2006; Bateman et al., 2004; O'Toole, 1999) and multimodal corpora (Baldry and Thibault, 2006b; Bateman, 2008).

D. USING CORPORA IN DISCOURSE ANALYSIS

Corpora provide a new and powerful tool for the text and discourse analysis. As Bondi (2004: 153) points out that text and discourse studies can only be fully developed when closer analysis of particular instances of communicative events is integrated with quantitative data from wider textual bases.

In recent years, corpora have been increasingly used as a tool for the interpretation of texts. The advantages of corpora are well-known. They provide information about meanings which are not available through intuition and they can be used to study the use of language in different text types; the results are more objective and the research can be replicated (Svartvik, 1992: 8). Corpus linguistics has contributed to research in different ways. Large corpora representative of 'general English' such as the British National Corpus, the Cobuild Corpus and the Bank of English have had an impact on the study of texts since they make it possible to use quantitative data to look for the distribution of particular structures and meanings in different text types. Spoken corpora have been mainly conversational (the London-Lund Corpus of spoken English/LLC, the Santa Barbara Corpus of spoken American English, the Bergen Corpus of London teenage language/COLT). Spoken corpora have also been compiled in order to study 'English for Academic Purposes'. For example, the Michigan Corpus of Academic Spoken English (MICASE) contains lectures and other types of types of spoken academic discourse. Recently, corpora have also been used in critical linguistics to study 'stigma key words' in the context of Europescepticism (Teubert, 2000) and as a tool for text explication (Sinclair, 2001).

Bednarek (2008a, 2008b, 2009) introduces three-pronged framework or approaches of using corpora to the analysis of discourse that include (i) large-scale computerized corpus analysis; (ii) semi-automated small-scale corpus analysis; and (iii) manual analysis of individual texts. In other words, this is an approach that incorporates macro- (large-scale quantitative analysis), meso- (small-scale quantitative analysis), and micro- (individual text analysis) levels.

1. Large-Scale Corpus Analysis

Large-scale corpus linguistics is an approach to the linguistic analysis of data that uses large computerized collections of text (corpora) and

appropriate software to analyze them. The material, that is contained in corpora is usually said to be more or less representative of the variety of language for which it was designed, and there are many different types of corpora (see Hunston, 2002; Meyer, 2002 on corpora and corpus linguistics). Depending on the use made of corpora and corpus software, researchers can find out many different things, for instance (a) the frequency with which every word in the corpus occurs, (b) words that are unusually (in) frequent when compared with a reference corpus, (c) all occurrences of a particular word, (d) recurring larger structures (n-grams, clusters, phrases), (e) grammatical frames, (f) collocations, (g) occurrences of parts of speech and their combinations, etc. Corpus linguistic applications include discourse analysis, lexicography, stylistics, forensic linguistics, language variation studies, and language teaching (Baker, 2006, p. 2-3).

The epistemological advantage of this methodology (large-scale corpus linguistics) is that the data are highly representative, and that it involves the use of empirical, systematic, and sophisticated evidence. Nevertheless, the interpretation of this empirical evidence can be subjective, depending on the focus of analysis. Corpus searches and studies are often reliable and replicable, especially when they concentrate on formally defined items. Another advantage is that such studies can uncover features of language that are inaccessible to intuition or that cannot be discovered through the analysis of one or a few texts. This concerns patterning, typicality of usage, and quantification (e.g., type-token ratios, frequency lists, lexical density) and particular kinds of semantic-pragmatic meanings such as semantic prosody (Louw, 1993; Bednarek, 2008c). Corpus data also give researchers access to shared connotations (Coffin and O'Halloran, 2005) and to the experience of language users (Thompson and Hunston, 2000, p. 15). Because the focus of large-scale corpus linguistics is on large amounts of actually occurring discourse, it allows the study of typicality, quantitative norm, and across-text, or intertextual, patterning. User-friendly software enables the easy application of tests of statistical significance. Thus, hypotheses can be verified, falsified, or modified, and new language features can be uncovered with the help of large scale corpora.

However, there are also some drawbacks to the analysis of large amounts of data. For example, on account of the size of the data, researchers are able to execute searches only for formally defined items. If the corpus has previously been annotated, additional searches (e.g., for semantic meanings)

become possible, but such annotation can be time-consuming, in particular if it is done manually or semiautomatically. Another point of critique is that corpus linguistic approaches often treat social categories such as gender or age as stable variables rather than as discursively construed (Butler, 1999). With respect to discourse analysis, it can further be argued that many (though not all) corpus analytic studies do not take into account reception, the dynamic nature of discourse, or its context or textual structure. Beyond its consideration of syntagms, large-scale corpus linguistics usually has less to say about context, and the unfolding of meaning in texts (e.g., intratextual patterning). As Stubbs (2008: 5) notes with respect to corpus linguistic keyword analysis, "since the texts have been ripped apart into lists of individual words and/or n-grams, the patterns ignore text segmentation. They are a feature of global textual cohesion, but not textual structure."

2. Small-Scale Corpus Analysis

O'Donnell (2007) distinguishes between two main types of corpus studies: (1) automatic studies using computer software, and (2) computer assisted manual annotation (CAMA), "where a human annotates the text in terms of patterns that generally computers cannot recognize." The latter is often the case when smaller corpora are analyzed, as such annotation can take considerable time and effort. For this kind of analysis, we can use the term small-scale corpus linguistics. More specifically, by this methodology (small-scale corpus analysis), we mean the manual analysis of small-scale corpora which is ideally (but need not be) computer-assisted, and which makes use of quantitative and qualitative analysis. The corpora that are used in such studies should be small enough to allow manual, context-sensitive analysis (including the annotation of semantic or pragmatic meaning), but large enough to show at least some patterns, exhibit a certain degree of representativeness, and enable some generalizability. The specific size of the respective corpus depends on the nature of the investigated linguistic features; that is, the corpus needs to be bigger if lexis is the focus than if grammar is the focus. Analysis, coding, and annotation can be supported through computer software such as the UAM CorpusTool (<http://www.wagsoft.com/CorpusTool/>; O'Donnell, 2007) and others.

Examples of existing small-scale corpus studies are those conducted by Semino and Short (2004), who analyze reported speech and thought in 'small' corpora of 80,000 words each of prose fiction, news reports, and

(auto)biography; Bednarek (2006b), who studies the distribution of evaluative meaning in a 70,000 word corpus of hard news stories; Martin and White (2005: 165), who analyze appraisal in 85 items from journalistic discourse from a systemic functional linguistic perspective; and Bednarek (2008a), who explores the distribution of emotion terms in an 85,000-word corpus comprising conversation, news reportage, fiction, and academic discourse. Generally speaking, conversation analyses have discovered regularities of turn-taking and sequencing using collections of spoken data. (In addition, there may be other linguistic studies of 'small' corpora or collections of text, particularly in pragmatics/discourse analysis.)

While analyses of small-scale corpora are more representative than analyses of just one or a few texts, they can be just as subjective depending on the features analyzed and the method of analysis. In addition to the advantages of manual analysis, allowing to take into account, for example, pragmatic and cotextual meaning, they offer an observation of recurring regularities, practices or patterns, at least to some extent.

3. Individual Text Analysis

The third methodological approach to discourse consists of the manual analysis of one or a few individual texts. In fact, analyses of individual texts are a prevalent methodology in critical discourse analysis, systemic functional linguistics, and other types of discourse analysis. Because it deals with small data (individual texts) the analysis is not very representative. However, this limitation in data size enables the analyst to take into account sociocultural context and interaction, cotext and context, and coarticulated meanings. Such analysis allows researchers to focus on the localized construal of social phenomena such as identity in particular contexts, often resulting in a complex, rich, interpretive, dynamic, and flexible analysis of microcontexts. and capturing the dynamic and negotiatory nature of much language use. If video data are used (Heath, 2004) the multimodal context can be taken into account and attention can be paid not only to intonation and prosody but also to gesture, posture, body movement, and facial expression. However, while this type of analysis enables us to study significant or important texts and events, it 'loses out' on generalizability, replicability, and representativeness. To what extent are statements made about one particular text transferable to other texts and contexts? Such analysis is also frequently very time-consuming.



EXERCISE 3

- 1) How is your understanding of classroom discourse?
- 2) How do you define critical discourse analysis?
- 3) Explain the use of triangulation in critical discourse analysis!
- 4) Explain the major strength of systemic functional theory for MDA!
- 5) What are the advantages of corpora in discourse analysis?



SUMMARY

One of the themes in Contemporary Discourse Analysis is classroom discourse. The concept of language classroom discourse has undergone various interpretations. Nunan (1993) views classroom discourse as “the distinctive type of discourse that occurs in classrooms”. Discourse in the language classroom is a matter of the oral use of language in the classrooms. An analysis of classroom discourse may not only use recordings of actual speech but could also involve reflexive feedback interviews with participants or consultation of teaching texts.

Perhaps, the most popular theme in Contemporary Discourse Analysis is critical discourse analysis. Critical discourse analysts are particularly interested in issues of inequality, sometimes keeping in mind the question ‘who benefits?’ when carrying out analysis. Unlike many other forms of linguistic analysis, CDA is not only concerned with words on a page but also involves examining social context – for example, asking how and why the words came to be written or spoken and what other texts are being referenced by them.

The recent development of theme in Contemporary Discourse Analysis is the inclusion of semiotics in discourse analysis under the new theme, systemic functional -multimodal discourse analysis. The SF-MDA approach is concerned with the meaning potential of semiotic resources distributed across strata (i.e. context, discourse semantics, lexicogrammar and phonology, and typography/graphology) and the theory/analysis of the integrative meaning of semiotic choices in multimodal discourse. The SF-MDA approach has, for example, led to the study of the functionality of language, visual images and mathematical symbolism in mathematical discourse, and theorization of how linguistic, visual and mathematical symbolic choices combine to

construct reality in ways which extend beyond what is possible using linguistic resources alone.

As technology develops rapidly, the use of computer, particularly in its application related to corpora, is helpful in the development of discourse analysis. Corpora provide a new and powerful tool for the text analysis. As Bondi (2004: 153) points out that text and discourse studies can only be fully developed when closer analysis of particular instances of communicative events is integrated with quantitative data from wider textual bases. Corpora provide information about meanings which are not available through intuition and they can be used to study the use of language in different text types; the results are more objective and the research can be replicated.



FORMATIVE TEST 3

- 1) What are possible sources of data in analyzing classroom discourse?
- 2) How does critical discourse analysis work in analyzing a discourse?
- 3) What is the advantage of using multimodal discourse analysis in analyzing a text?
- 4) What is the concern of the SF-MDA approach in discourse analysis?
- 5) Briefly explain the three-pronged framework or approaches of using corpora to the analysis of discourse!

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

Answer Key

Unit 1:

Exercises

- 1) Discourse analysis is an attempt to study the organization of language above the sentence or above the clause; and therefore to study large linguistic units such as conversational exchanges or written texts.
Note: Other related answers are also possible.
- 2) Because it involves a 'close reading' of a small amount of text, such as a detailed transcription of a conversation or a magazine article and describes it by using words.
- 3)
 - a. Linguistic context refers to the context within the discourse, that is, the relationship between the words, phrases, sentences and even paragraphs.
 - b. Situational context refers to the environment, time and place, etc. in which the discourse occurs, and also the relationship between the participants.
 - c. Cultural context refers to the culture, customs and background of time in language communities in which the speakers participate.
- 4) Last weekend, we went camping. Budi, Toni, Linda, Sarah, and I had decided to go camping to celebrate our graduation. We reached the camping ground after we walked for about one and a half hour from the parking lot. We built the camp next to a small river. The tent was thick enough so we could feel warm staying there. It was getting darker and colder, so we built a fire camp. The next day, Budi, Toni, and I spent our time observing plantation and insects, but Linda and Sarah didn't. They were preparing meals. In the afternoon we went to the river and caught some fish for supper. The water was fresh and cold. At night, we held a fire camp night. We sang, danced, read poetry, played magic tricks, and even some of us performed a standing comedy. On Monday, we packed our bags and got ready to go home.
- 5) Examples of spoken discourse: daily conversations, classroom interactions, interviews, lectures, movies, news reading, etc.
Examples of written discourse: articles (in magazines, newspapers etc.), literary works (novel, poetry, etc.), letters, traffic signs, reports, etc.

Note: Other related answers are also possible.

Formative Test

- 1) Discourse analysis can involve various linguistics fields with its own objectives and theories.

Note: Other related answers are also possible.

- 2) a. Text is a semantic unit that has a particular social meaning, made up of related sentences whose main characteristic is unity of meaning.
 b. Context is anything that accompanies the text and anything that can distinguish the meaning of the exactly similar text. For example, the meaning of "What time is it now?" will be different when delivered to different participant or in different setting.
 c. Co-text is the element of the text that can distinguish the meaning of the text itself, also called linguistic context.

Note: Other related answers are also possible.

- 3) a. cohesion, the way in which linguistic items of which texts are constituted are meaningfully interconnected in sequences
 b. coherence, the sub-surface feature of a text which concerns the ways in which the meanings within a text are established and developed
 c. intentionality, the intention on the part of a sender to produce a cohesive/coherent text aimed at attaining an identifiable goal
 d. acceptability, the receivers' expectation that the text should be coherent/cohesive and of some relevance to them;
 e. informativity, the (im)probability or (un)expectedness of a text in the given context or situation
 f. situationality, the problem of making a text relevant to a situation in which a text is used
 g. intertextuality, the ways in which uses of texts depend on the knowledge of other (preceding or following) texts.
- 3) a. the internal structure of the text, i.e. how coherence is constructed through textual means
 b. the particular interaction of the text with its context of production and reception, i.e. the contextual definition and interpretation of the concrete nature of the text's coherence
 c. the interaction between the two, i.e. the motivation of internal structural characteristics by its specific contextual unity

- 3) a. Spoken discourse has been characterized as more coordinated, involved, and implicit. Written discourse, on the other hand, has been characterized as more complex, integrated and detached, and explicit.
- b. Spoken discourse shows morphological modifications, rectification, slips, elliptic constructions, anacolutha, juxtaposition and hesitation sound. Written discourse, on the other hand, are prototypically associated with a higher degree of complexity, more intricate ways of integrating particular clauses within the complex, as well as a higher probability of longer, more compact (condensed), or fused (amalgamated) structures.

Unit 2

Exercises

- 1) The approach to discourse analysis means the theoretical background underlying the analysis of discourse. Different approaches analyze discourse from different points of view through their own framework.
- 2) Systemic functional linguistics (SFL) theory only provides models of texts which exhibit few markers of cohesion, and think the hearer or reader will presume that the sentences succession forms a text. Therefore, SFL theory is uncertain about the difference between the relations of meanings that link between items in a text and the obvious expression of those relations within a text. In addition, SFL theory is not interested in displaying a description which describes how to understand texts. Instead, it is interested in studying the resources of linguistic accessible to the speaker to point cohesive relationships.
- 3) The description of cohesion in text was an important foundation for further work on the semantics of texts and the development of SFL discourse analysis tools. "Text" is the unit of SFL discourse analysis; it refers to "any passage, spoken or written, of whatever length, that forms a unified whole" (Halliday and Hasan, 1976: 1). Hasan has developed SFL discourse analysis through the constructs generic structure potential, cohesive harmony analysis, and semantic networks. J. R. Martin has also developed an approach to the analysis of discourse that builds on the notion of cohesion as discourse structure, analysis of discourse semantics and genre being his point of departure. Martin's approach sees genre as a level of context above and beyond field, tenor, and mode, and makes

genre central to describing the role of culture in language use. Two of the discourse semantic systems developed in Martin and Rose (2003) are ideation and appraisal.

- 4) In ethnography approach, thick participation is related to sustained involvement in a research site through fieldwork. Thick description is about the recording of social activity in as much of its complexity and messiness as possible. Thick analysis captures the use of multiple strategies of analysis on the materials which have been gathered. Thick description, thick participation and thick analysis allow the ethnographer to discover and interpret what is significant about situated practices, i.e., specific social acts at particular moments in time and space, and what these practices mean to the people being studied.
- 5) Interactional sociolinguistics (IS) is an approach to discourse analysis that has its origin in the search for replicable methods of qualitative analysis that account for our ability to interpret what participants intend to convey in everyday communicative practice. Basically IS starts from the finding that when people talk, they are unable to say everything they mean explicitly enough. As a result, they cannot simply rely on the words that are used to appreciate what is meant, but must also depend on background knowledge to discover what others assumed the relevant context was for producing words in.

Formative Test

- 1) Illocutionary act and perlocutionary act.
In analyzing a discourse, the illocutionary act contributes to build a coherent and grammatical utterance. In addition, the illocutionary act brings out of an utterance with an illocutionary effect. Meanwhile, the perlocutionary act is the intended effects achieved by the speaker in his/her hearer.
- 2) A speech act approach to discourse result to specific perspective of coherence and the procedure by which coherence is existed. Coherence is the consequence of underlying rules that link the actions.
- 3) Ideation analysis explores the linguistic resources that construe experience and construct the field of discourse. Ideation analysis focuses on the semantics of each clause and tracks meaning across a text to reveal sequences of activities, the people and things involved in them, and their associated places and qualities. This analysis can show how

texts of different types, in different contexts, unfold in different ways. Meanwhile, appraisal analysis explores how interpersonal meaning permeates a text, enabling exploration of resources for evaluative meaning, “the kinds of attitudes that are negotiated in a text, the strength of the feelings involved and the ways in which values are sourced and readers aligned”.

- 4) As a theoretical and methodological perspective on situated practices, ethnography is particularly useful for examining discourse production. Based on ethnography approach, rather than using the term “discourse” referring to the object of analysis, these approaches use the phrase “discourse analysis” to refer to a poststructuralist theoretical or epistemological position. Combining ethnography and discourse analysis then becomes a means of “tying ethnography down” but “opening linguistics up”. ‘Tying ethnography down’ means pushing ethnography towards the analysis of clearly delimitable processes, increasing the amount of reported data that is open to falsification, and looking to impregnate local description with analytical frameworks drawn from outside. Meanwhile, ‘opening linguistics up’ means inviting reflexive sensitivity to the processes involved in the production of linguistic claims and to the potential importance of what gets left out, and encouraging a willingness to accept (and run with) the fact that beyond the reach of standardized falsification procedures experience has ways of boiling over making us correct our present formulas.
- 5) Conversation analysis (CA) is a form of linguistic analysis which focuses on transcripts of real-life spoken interactions. It is often referred to as the study of talk in interaction (or spoken discourse). In addition, conversation analysis focuses on structures within speech, particularly turn-taking organization, sequence organization (adjacency pair) and repair.

Unit 3

Exercises

- 1) Discourse in the language classroom is a matter of the oral use of language in the classrooms. Classroom discourse is the language used by teachers and students to communicate with each other in the classroom. In classroom discourse, the use of discourse refers to the type, genre or context of language used in the classroom.

- 2) Critical discourse analysis is an approach to the analysis of discourse which views language as a social practice and is interested in the ways that ideologies and power relations are expressed through language. Critical discourse analysts are particularly interested in issues of inequality, sometimes keeping in mind the question 'who benefits?' when carrying out analysis.
- 3) The analysis of a discourse is done by combining small-scale qualitative analysis with practices from corpus linguistics such as sampling and quantitative techniques, which give evidence for wider trends.
- 4) The major strength of systemic functional (SF) theory for MDA is metafunctional principle which provides an integrating platform for theorizing how semiotic resources interact to create meaning. The metafunctional principle is the principle that semiotic resources simultaneously provide the tools for constructing ideational meaning (i.e. experiential meaning and logical relations) and for enacting social relations (i.e. interpersonal meaning). These metafunctions are enabled through the organization of the discourse, which is the textual metafunction of semiosis. The metafunctional principle provides a basis for examining the functionalities of semiotic resources and for analysing the ways in which semiotic choices interact in multimodal discourses to fulfill particular objectives
- 5) They provide information about meanings which are not available through intuition and they can be used to study the use of language in different text types; the results are more objective and the research can be replicated.

Formative Test

- 1) Recordings of actual speech
Reflexive feedback interviews with participants or consultation of teaching texts
Self-Evaluation of Teacher Talk
- 2) The first stage (description) involves text analysis, correlating with critical linguistics, which itself was developed out of Halliday's systemic functional grammar. The second stage (interpretation) focuses on the relationship between text and interaction, seeing the text as both a product of the process of production and a resource in the process of interpretation. The final stage (explanation) examines the relationship

between interaction and social context, considering the social effects of the processes of production and interpretation.

- 3) Multimodal discourse analysis (MDA) involves developing theoretical and practical approaches for analyzing written, printed and electronic texts, three-dimensional sites and other realms of activity where semiotic resources (e.g. spoken and written language, visual imagery, mathematical symbolism, sculpture, architecture, gesture and other physiological modes) combine to make meaning.
- 4) The SF-MDA approach is concerned with the meaning potential of semiotic resources distributed across strata (i.e. context, discourse semantics, lexicogrammar and phonology, and typography/graphology) and the theory/analysis of the integrative meaning of semiotic choices in multimodal discourse.
- 5) Large-scale corpus linguistics is an approach to the linguistic analysis of data that uses large computerized collections of text (corpora) and appropriate software to analyze them.

Small-scale corpus linguistics is an approach to the linguistic analysis of data that is related to manual analysis of small-scale corpora which is ideally (but need not be) computer-assisted, and which makes use of quantitative and qualitative analysis.

Individual text analysis consists of the manual analysis of one or a few individual texts. In fact, analyses of individual texts are a prevalent methodology in critical discourse analysis, systemic functional linguistics, and other types of discourse analysis. Because it deals with small data (individual texts) the analysis is not very representative.

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Forensic Linguistics

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INTRODUCTION

Dear students! Welcome to module 8 concerning forensic linguistics. This module mainly deals with the nature of forensic linguistics. As a matter of fact, the materials and discussion on the nature of applied linguistics are too broad to pack in one module. Thus the explanation in this module focuses on some broad areas, namely understanding forensic linguistics, areas related to forensic linguistics, language as legal medium and matter, and discourse and different language in the courtroom.

After finishing this module, you are kindly expected to be able to:

1. mention and argumentatively criticize the available definitions of forensic linguistics;
2. mention and argumentatively criticize the areas of forensic linguistics
3. understand the language as legal medium and matter
4. analyze the language used in the courtroom or legal discourse

To achieve the objectives academically, the presentation and explanation of learning materials, including the exercises of this module are elaborated in two units. Unit 1 is about the nature of forensic linguistics which is highly aimed at achieving objectives 1 and 2. Unit 2 deals with the use of forensic linguistics which leads you to successfully come to objectives 3 and 4. Please keep in your mind that the general objective of Module 8 is to serve you to be able to understand and have argumentations on the overview of forensic linguistics.

As this subject belongs to content subject in linguistics, reading activities and academic discussion in groups or in pairs are highly suggested. Therefore, the following activities are kindly suggested to do in order to learn this module successfully.

1. Please read carefully the materials and explanation in each unit;
2. then, read further related references and information by means of independent learning and reading;
3. do not forget to add relevant examples and have discussion in groups or in pairs;
4. sometimes it is not easy to have better understanding on certain complex and complicated concepts. If it is so, read the materials again and you may have comparative discussion with your partners;
5. do all the exercises and compare your answers with those of your friends before consulting the key answers provided!

All right students, do your best and good luck!

UNIT 1

The Nature of Forensic Linguistics

As a study of human's means of communication, it is hard to imagine any area of life that linguistics does not touch. We used to think of the language practice in language teaching and learning, nevertheless, for decades now linguists have also extended their work to such areas as medical communication, advertising, and, even more recently, to the intersection of law and language. Law, which used to receive attention from anthropologists, psychologists, sociologists, and political scientists, according to Levi (1994), has now been attracting linguists to get involved in examining such matters as voice identification, authorship of written documents, unclear jury instructions, the asymmetry of power in courtroom exchanges, lawyer-client communication breakdown, the nature of perjury, problems in written legal discourse, defamation, trademark infringement, courtroom interpretation and translation difficulties, the adequacy of warning labels, and the nature of tape recorded conversation used as evidence.

A. UNDERSTANDING FORENSIC LINGUISTICS

A field of linguistics focusing on law and its matters related to the language use is known as forensic linguistics. This field has developed from a research-based understanding of language. Forensic linguistics involves the application of scientific knowledge to language in the context of criminal and civil law. Forensic linguists have an interest in understanding the language of the written law, its complexity and its origin, as well as the use of language in forensic procedures. They also study the judicial process from point of arrest, and through the interview, charge, trial and sentencing stages. For example, linguists are interested in the language of police interviews with witnesses and suspects, and in the language of lawyers and witnesses in cross-examination (AHRC, 2009).

In addition, Beckman (2007: 11) defines forensic linguistics as the study of language within a legal context. Texts, both spoken and written, form the basis of the study, analysis, and measurement of language. Generally speaking, linguistic questions regarding crime, judicial matters, and legal disputes constitute most forensic linguistic cases. Forensic Linguistics

investigates those involved both on an individual level (police officers, judges, suspects) and an institutional one (jury panels, written laws, or the court system). Additionally, situational context is a key factor in classifying a forensic linguistic case as such.

More specifically, forensic linguistics belongs to a field of applied linguistics; in other words, forensic linguistics is the scientific study of language as applied to forensic purposes and contexts. McMenamín (2002: 41) argues that applications of forensic linguistics include voice identification, interpretation of expressed meaning in laws and legal writings, analysis of discourse in legal settings, interpretation of intended meaning in oral and written statements (e.g., confessions), authorship identification, the language of the law (e.g., plain language), analysis of courtroom language used by trial participants (i.e., judges, lawyers, and witnesses), trademark law, and interpretation and translation when more than one language must be used in a legal context.

When forensic linguistics is referred to as an application of linguistics or, more concisely, an applied linguistic science, the word applied is not necessarily being used in the same sense as, for example, in the phrase applied statistics, where what is being applied is a theory underpinning a particular science to the practice of that science. Forensic linguistics is, rather, the application of linguistic knowledge to a particular social setting, namely the legal forum (from which the word forensic is derived). In its broadest sense we may say that forensic linguistics is the interface between language, crime and law, where law includes law enforcement, judicial matters, legislation, disputes or proceedings in law, and even disputes which only potentially involve some infraction of the law or some necessity to seek a legal remedy (Olsson, 2008: 2). Given the centrality of the use of language to life in general and the law in particular, it is perhaps somewhat surprising that forensic linguistics is relatively a newcomer to the arena, whereas other disciplines, such as fingerprint identification and shoeprint analysis, are much older, having a well established existence in judicial processes.

The application of linguistic methods to legal questions is only one sense in which forensic linguistics is an application of a science, in that various linguistic theories may be applied to the analysis of the language samples in an inquiry. Thus, the forensic linguist may quote observations from research undertaken in fields as diverse as language and memory studies, conversation analysis, discourse analysis, theory of grammar, cognitive linguistics, speech

act theory, etc. The reason for this reliance on a broad spectrum of linguistic fields is understandable: the data the linguist receives for analysis may require that something is said about how the average person remembers language, how conversations are constructed, the kinds of moves speakers or writers make in the course of a conversation or a written text, or they may need to explain to a court some aspects of phrase or sentence structure (Olsson, 2008: 3). It can be concluded that forensic linguistics applies the well-established science of linguistics to legal language data (Leonard, 2005).

In addition, Johnson and Coulthard (2010: 7) divide forensic linguistics into three areas of study: (i) the study of the written language of the law; (ii) the study of interaction in the legal process, which in criminal cases includes everything from an initial call to the emergency services to the sentencing of someone who has been found guilty; and (iii) the description of the work of the forensic linguist when acting as an expert witness.

In summary, we can say that forensic linguistics is a field of applied linguistics involving the relationship between language, the law and crime. Consequently, forensic linguist applies linguistic knowledge and techniques to the language implicated in (i) legal cases or proceedings or (ii) private disputes between parties which may at a later stage result in legal action of some kind being taken.

B. HISTORY OF FORENSIC LINGUISTICS

Like almost all sciences it is not possible to say that Forensic Linguistics began at a specific moment in time. Authorship identification is one area of Forensic Linguistics, but questions of authorship have exercised minds since the times of the ancient Greek playwrights who not infrequently accused each other of plagiarism. Since at least the eighteenth century scholars and amateurs alike have pondered over the authorship of some of the world's most famous texts, including sacred texts and the plays of Shakespeare. However, these applications differ from the forensic context, because it is only with Forensic Linguistics that the linguist is obliged to defend an opinion in a public forum, a court of law, and not just on questions of authorship, but on many other issues as well.

Before talking about the history and the development of forensic linguistics, it is obviously necessary to review some early works on language and the law. One of the first and most interesting works is Bryant's (1930)

compendium on function words in legal language (McMenamin, 2002: 67). The work of Wetter (1960) on the style of written appellate decisions elaborates an early discussion of writing style in a legal context and presents many example opinions. Melinkoff (1963) began his influential plain language campaign, which was carried on by him and others through the next three decades. The relatively early article by Danet (1980) on the language of fact-oriented disputes is formidable for its breadth, depth, and attention to topics (e.g., pragmatics) that were not seriously studied until much later. Levi (1982) prepared the first comprehensive bibliography in the field. Systematic study of courtroom language was begun by O'Barr (1982) and his colleagues, and linguistic applications, especially in the areas of discourse and pragmatics, were developed by Shuy (1984, 1986). Robin Lakoff's earlier courses and lectures on language and the law are also significant, especially her observations about courtroom language, i.e., the formality of the courtroom, and the nonreciprocity and public nature of courtroom discourse (Lakoff, 1990).

The term 'forensic linguistics' is used for the first time by the linguistics professor Jan Svartvik in his book "The Evans Statements: A Case For Forensic Linguistics" in 1968. He presented an analysis of statements given by Timothy John Evans to police officers at Notting Hill Police Station in 1953. Timothy John Evans was accused of the murder of his wife and baby at 10 Rillington Place, Notting Hill, London, England, tried at the Central Criminal Court of England and Wales (The 'Old Bailey') and hanged at Pentonville Prison. In the 1960's the statements he had allegedly given to police following his arrest, troubled several people, including a well known journalist by the name of Ludovic Kennedy, and Svartvik was commissioned to analyze the statements. Svartvik was one of the earliest linguists involved in corpus studies, which is the systematic analysis of language through the collection and study of large bodies (hence corpus, pl. corpora) of language, and therefore he was able to approach the task of analyzing the Evans' statements in a methodical manner. He quickly realized that the statements contained two styles and he set about quantifying the differences, ultimately demonstrating that they were, in fact, an educated written style and a marked spoken style. Along with other evidence collected in the course of many different threads of investigation, the findings of Svartvik showed that Evans could not, as had been claimed at his trial, have dictated the statements attributed to him.

However, initially, the growth of forensic linguistics was slow. In unexpected places there appeared isolated articles in which an author, often a distinguished linguist, analyzed disputed confessions, or commented on the likely authenticity of purported verbatim records of interaction, or identified and evaluated inconsistencies in language which had been attributed to immigrants or aboriginals by the police in their written records of depositions, or assessed the linguistic similarity of rival trademarks. (Eades 1994; Levi 1994a, b; Shuy 1993, 1998, 2002).

For a long period in English law a set of rules had been established regarding the interrogation of witnesses, in particular how statements were to be taken from them. These prescriptions were known simply as Judges' Rules which laid down that suspects were to dictate their narrative to police officers, that police officers were not to interrupt suspects, and that questions were not to be asked of the suspect at the statement stage except for minor clarifications. In practice this almost never happened. Typically, a police officer would ask a series of questions, take down notes and then write or type the suspect's statement, not in the words of the suspect, but in a form and pattern which police custom had long dictated. Thus, police statements contained phrases like 'I then observed', etc. This type of phrasing is not at all typical of how people speak, but rather reflects a way of phrasing which has come to be known as 'police register', itself an area of study within Forensic Linguistics.

The learned judges who formulated the rules for statement taking were not aware that dictating a statement and transcribing it verbatim are difficult - perhaps even impossible - tasks for the average speaker. Learning to dictate a narrative in a coherent, sequential, articulate form is extremely difficult, but the person taking the statement has an even harder task if the speaker is not skilled at pacing his/her delivery. Usually, people do not deliver their statements in a coherent, ordered fashion: they speak too fast, they omit important details, they speculate aloud, they backtrack, and so on. In effect, the Judges' Rules were unworkable. This was why police officers had their own way of taking and regrettably in some cases making statements. It was simply impossible to follow the prescriptions of the Judges' Rules.

This was why in the early days of Forensic Linguistics, at least in the United Kingdom, many cases involved questioning the authenticity of police statements. The first example of expert evidence being given from the witness box on this matter was at a murder trial at the Old Bailey in 1989,

where Peter French demonstrated the presence of police register in an incriminating statement the prosecution claimed was entirely in the words of one of the defendants.

In the United States forensic work began slightly differently, but also concerned the rights of individuals with regard to the interrogation process. In 1963 Ernesto Miranda was convicted of armed robbery, but appealed on the grounds that he did not understand his right to remain silent or to have an attorney present at the time of questioning. The Court of Appeal overturned his conviction in 1966. In the US there were many Miranda cases, as they came to be known. On the face of it the provision of Miranda is a simple one: police officers are obliged to advise arrestees that they need not speak unless they wish to, that they are entitled to have a lawyer present, and that anything they say can be used against them in court (Olsson, 2003). However, many issues arose, as discussed by Roger Shuy: (i) a confession must be voluntary, (ii) questioning should not be coercive, (iii) arrestees must be asked whether they understand their rights, etc. With regard to the first point Shuy pointed out that an arrestee is hardly in a position to agree voluntarily to being questioned. Effectively, the very nature of questioning (as pointed out by the US Supreme Court) is coercive.

Shuy (1997: 180) gives a good example of the issue of coercion in an interrogation process. He describes how a suspect, having declined to speak following the reading of his Miranda rights, was escorted in the back of a police car to the police station by two officers, who then began to talk to each other about the possibility of the murder weapon in the case (a shotgun) being accidentally stumbled upon by children at a nearby school. The suspect immediately waived his rights and led officers to the location of the weapon. The suspect, a man by the name of Innis was convicted of murder and his lawyers appealed. The issue before the appeal court was whether the suspect had been coerced into making the confession. This in turn caused lawyers and judges to consider the meaning of the word interrogation. The Rhode Island Supreme Court concluded that interrogation need not involve the asking of a question, and that in this case subtle coercion had occurred and that this was "the functional equivalent of interrogation". In the US Supreme Court it was thus appreciated that "interrogation need not be in the form of a question...[and] may involve the use of psychological ploys". However, it was also realised that the conversation between the officers was probably more in the nature of casual remarks than a deliberate ploy. Shuy raised many

important points about Miranda, and vigorously questioned many of its assumptions of simplicity. He cites one case where a fifteen year old boy from Houston, Texas was read his rights and ultimately signed a confession of murder. After analyzing tape-recorded interviews between the attorney and the child Shuy concluded that though the boy often said he understood what he was being asked it was clear that his level of comprehension was extremely low. His school confirmed that his comprehension ability was no more than that of an eight year old. Thus in this and other cases Shuy explores the most basic premises of Miranda, and — by extension — similar legal provisions. He does not take even the 'simplest' word or concept for granted: what does 'voluntarily' mean, does 'understand' mean 'I say I understand' or 'I actually understand'?

Another early application of Forensic Linguistics in the United States related to the status of trademarks as words or phrases in the language. An early case involved a dispute surrounding an aspect of the brand name 'McDonald's', owners of the multi national fast food chain. In this case the linguists were Genine Lentine and Roger Shuy (as reported in Levi 1994: 5). Quality Inns International announced their intention of opening a chain of economy hotels to be called 'McSleep'. 'McDonald's' claimed that the attachment of the 'Mc' prefix to many unprotected nouns, such as 'Fries' in 'McFries' 'Nuggets' in 'McNuggets', etc., barred Quality Inns from use of the 'Mc' prefix. In this case the plaintiff was not just claiming implicit ownership of a name, but over a morphological principle, namely the attachment of a particular prefix to any noun. It appears that the claim was inherently one of a "formula for combination" (Levi 1994: 5) and it was this formula for which protection was being invoked. 'McDonald's' also claimed that they had originated the process of attaching unprotected words to the 'Mc' prefix and had run advertising campaigns which illustrated this. In their evidence Lentine and Shuy showed that the 'Mc' prefix had had previous commercial applications, and that as 'McDonald's' had not objected to any of these they had no grounds for doing so in the present instance. Despite the overwhelming evidence presented by Lentine and Shuy, judgement was for the plaintiff's and Quality International Inns were unable to launch their chain of motels under the 'McSleep banner.

In Australia linguists began meeting in the 1980's to talk about the application of linguistics and sociolinguistics to legal issues. They were concerned with the rights of individuals in the legal process, in particular

difficulties faced by Aboriginal suspects when being questioned by police. They quickly realized that even such phrases as 'the same language' are open to question. An important instance of this is the dialect spoken by many Aboriginal people, known colloquially as 'Aboriginal English', wrongly thought by many white Australians to be a defective form of the English spoken by whites. It is in fact a dialect in its own right. Thus, when being questioned by police, Aboriginal people bring their own understanding and use of 'English' to the process, something which is not always appreciated by speakers of the dominant version of English, i.e. 'white English'. More than this they bring their own interactional, culturally based, styles to the interview. An individual's own interactional style, if perceived to be at variance to that of the dominant culture, might compel responses to questions in particular, non confrontational ways which could lead to a false assumption on the part of a questioner that the suspect was being evasive or, worse still, that an admission of guilt was being made.

In Germany, an early case involved an alleged slander by a tenant in an apartment complex of a fellow tenant (Kniffka, 1981). The issue at stake was whether the word *concubine* was an insult. Linguists advised that for some speakers the word might be amusing, for others a way of addressing each other as a joke, while yet others might find it insulting under some circumstances: it was not possible to say that a given word or phrase, on its own, was an insult, or constituted verbal injury. Rather, the relationship between speaker and hearer, the context of situation, the speaker's education level — all needed to be taken into account. A word does not have a single, universally-agreed, meaning within a speech community. Other issues which emerged in the early days of Forensic Linguistics in Germany involved authorship attribution, and the development of methodologies for doing so. An early case, reported by Kniffka, concerned the theses of twin sisters whose previous academic performance was, according to university authorities, at a much lower level than the theses they submitted for their final examination. Kniffka argued that an authorship attribution in the case was not possible because the language used was essentially the meta language of the law and that it was not easy to attribute such language to any given individual. He suggested the university authorities subject the students to a written examination on their theses to test their knowledge, rather than relying on subjective comparisons with their previous, known, work.

By the 1990s, forensic linguistics had established its own academic organization, The International Association of Forensic Linguistics, its own journal, *Forensic Linguistics*, a growing number of books and articles, and an increasing number of linguists doing the work. Since forensic is commonly defined as dealing with the application of scientific knowledge to other areas, the term seems fitting enough (Shuy, 2001: 683). In addition, since Forensic Linguistics began to establish itself as a discipline its scope has also grown considerably. From its beginnings as a means of questioning witness and defendant statements, linguists have been called on to give evidence in many different types of case, including authorship attribution in terrorist cases, product contamination cases and suspicious deaths; the interpretation of meaning in legal and other documents, the analysis of mobile (cell) phone text messages to establish a time of death. The list is predicted to continue to grow.

C. AREAS RELATED TO FORENSIC LINGUISTICS

Although framed within a legal context, forensic linguistics incorporates elements from multiple disciplines, including semiotics, phonetics, semantics, pragmatics, translation, psychology, sociolinguistics, and others. However, since all forensic linguistic cases have language as the common element, linguistics serves as the connecting thread between the disciplines. Linguistics explores multiple aspects of language in order to develop a greater understanding of how we communicate. This includes both what we say and how we say it. The following discussion identifies how linguistics - as a general field - can be broken down into smaller sub-components. Moreover, it demonstrates how these elements are found in forensic linguistic analyses.

1. Semiotics

Semiotics is the study of communication and language as systems of signs and symbols. Such systems are called codes and language is an example of a code with both verbal and nonverbal signs. The signs in the code have conventional meanings. Speakers and writers encode, and listeners and readers decode the system. The *International Journal for the Semiotics of Law* applies forms of textual analysis to legal discourse, such as judicial

argumentation (Adeodato, 1999), legal performatives (Cao, 1999), and judges' summations (Henning, 1999).

Signs and symbols have an important role in making law. When an authority uses words to make law (as when a legislature uses a lawful process to pass an enactment that is within its powers), the law that it thereby makes is a standard (or standards) whose existence and content are determined by the legal effect that the law ascribes to that use of words. When a law is made by the use of signs, that law is a standard for conduct, and not an assemblage of signs.

2. Auditory Phonetics

Auditory phonetics is the study of language sounds based on what is heard and interpreted by the human listener, i.e., the aural-perceptual characteristics of speech. Although auditory studies are isolated here for convenience, studies in forensic phonetics often use both auditory and acoustic methods of analysis. A good overview of the auditory approach to forensic examinations is given by French (1994: 174): The primary areas of auditory research in forensic phonetics are speaker discrimination and identification by victims and witnesses, voice perception, discrimination, imitation, and disguise, and identification of class characteristics of speakers, including first-language interference, regional or social accent and dialect, and speaker age.

3. Acoustic Phonetics

Acoustic phonetics is the study of the physical characteristics of speech sounds as they leave their source (the speaker), move into the air, and gradually dissipate. The acoustic analysis of speech sounds requires laboratory observation with instruments and specialized (but readily available) computer hardware and software. A good overview of the acoustic approach to forensic examinations is found in French (1994: 176). The primary area of acoustic analysis in forensic phonetics is speaker identification, but many studies have also been done to identify class characteristics of speakers, including physical height and weight, regional, social, or language group, voice and accent disguise, effect of intoxication on speech, and technical aspects of speech samples and recordings.

4. Semantics

Semantics is the study of meaning as expressed by words, phrases, sentences, or texts. The focus of semantic analysis in forensic contexts is on the comprehensibility and interpretation of language that is difficult to understand. Some studies combine the semantic and pragmatic approaches to meaning interpretation. Thorough introductions to this area are found in Solan (1998 and 1999); a recent example of the application of forensic semantics is the model used by Langford (2000) to interpret the meaning of expressions referring to crimes. The point of view that expert linguists do not play a role in helping judges interpret statutes is presented by Murphy (1998).

Primary areas of research in forensic semantics are the interpretation of words, phrases, sentences, and texts, ambiguity in texts and laws, and interpretation of meaning in spoken discourse, such as reading of rights and police warnings, police interviews, and jury instructions: (i) Interpretation of words, phrases, and sentences; (ii) Interpretation of texts (contracts, insurance policies, communications, restraining orders, statutes, contracts, legal texts); (iii) Ambiguity in texts and laws; (iv) Interpretation of spoken discourse in reading of rights (Miranda warnings, police cautions) and in police interviews; and (v) Interpretations of jury instructions.

5. Discourse and Pragmatics

Analysis of discourse is the study of units of language larger than the sentence, such as narratives and conversations. Discourse in spoken and written language can take many forms, especially in conversations tied to specific social contexts. The social context of discourse is determined by variable factors such as the speaker and hearer, their social roles, their personal or professional relationship, topic, purpose, time and place, etc.

Analysis of a speaker's intended meaning in actual language use is the study of pragmatics. Pragmatics is important for forensic purposes because speakers and writers do not always directly match their words with the meaning that they intend to convey. Since listeners and readers may also be unsuccessful in matching expression to intended meaning, the speaker's or writer's intended meaning is more open to interpretation by the listener or reader, sometimes resulting in mistaken understanding, miscommunication, and, eventually, conflict.

The linguist and practitioner (expert witness) who systematically developed forensic discourse analysis for a broad range of cases is Roger

Shuy. These cases go back at least to the mid 1980s and are documented in his research, especially in *Language Crimes: the Use and Abuse of Language Evidence in the Courtroom* (Shuy, 1993), and in *The Language of Confessions, Interrogation and Deception* (Shuy, 1998). The primary areas of discourse and pragmatics include analysis of spoken and written language, study of the discourse of specific contexts, such as dictation, conversations, hearings, etc., the language of the courtroom, i.e., of lawyers, clients, questioning, and jury instructions, and language of specific speech acts, such as threats, promises, warnings, etc.

6. Stylistics

The focus of forensic stylistics is author identification of questioned writings. Starting with mid-19th-century German scholars, methods for authorship identification were developed mainly for biblical and then literary purposes, such as determining the authorship of certain composite parts of the Old and New Testaments, or of questioned Shakespearean writings. Such applications of stylistic analysis to forensic authorship problems have now become common.

There are at least three types of questioned authorship problems. First, one may want to determine if one author wrote all the writings in a questioned set, i.e., if a particular writing, which may or may not be already accepted as part of a body (canon) of known writings, is consistent with the rest of the known writings. Second, one may be asked to compare a questioned writing with the writings of a large number of possible authors, if there are no obvious suspect authors. Third, the most common type of forensic problem is to assess the resemblance of a questioned writing to that of one author or a small number of candidate authors, if in fact possible suspect authors can be identified by external (nonlinguistic) means.

Linguistic stylistics uses two approaches to authorship identification: qualitative and quantitative. The work is qualitative when features of writing are identified and then described as being characteristic of an author. The work is quantitative when certain indicators are identified and then measured in some way, e.g., their relative frequency of occurrence in a given set of writings. Certain quantitative methods are referred to as stylometry. Qualitative and quantitative methods complement one another and are often used together to identify, describe, and measure the presence or absence of stylemarkers in questioned and known writings.

7. Interpretation and Translation

Interpreting is a complex skill under any circumstance, but it is especially difficult in forensic contexts. Interpretation studies such as those in Cooke et al. (1999) focus on interpretation tasks specific to questions and answers in testimony, the perceived role of the interpreter, interpreter education, the right to interpretation, etc.

Translating in the legal context requires much more than a literal, word for word match-up of two languages. Good translations are constrained by the intended meaning of the writer, the new text created by the translator, and the meaning given the translated text by the reader.

Forensic and academic scholars are giving more and more attention to the theory and practice of interpretation and translation, as evidenced by the following studies (McMenamin, 2002: 80): Pre-trial interpreting, Courtroom interpretation, Interpretation with cultural and dialect differences, Questioning in interpreted testimony, Absence of interpretation, Courtroom role of the interpreter, Interpreter education, and Translation.

8. Psycholinguistics

Psycholinguistics is a field that integrates the study of psychology, linguistics, and cognitive science. The comprehension and production of language is studied cognitively, neurologically, and conceptually. Typical courses for students of psycholinguistics include the study of general linguistics, first and second language acquisition, cognition, language and the brain, semantics, and pragmatics.

This characterization represents the actual academic discipline of psycholinguistics, but this is not what has been referred to as psycholinguistics within the forensic context. The late Murray S. Miron, a psychologist and consultant to the FBI and other government agencies for many years, developed the so-called "psycholinguistic approach." This approach examines written or spoken language for indications "as to the origins, background, and psychology of the originator" (Miron and Douglas, 1979: 6), especially in contexts of threatening language.

A description and application of psycholinguistic analysis may be found in Miron (1990). This is a method of profiling a writer, but it is not really possible to predict its outcome or assess its reliability. First, it is difficult for a nonpsychologist (e.g., a judge or jury) to understand and evaluate the nexus made between a written-language threat and the diagnostic profile of the

writer. Consider, for example, these statements from a case report which did not contain any supportive references to specific linguistic characteristics:

The extortionist ... exhibits many of the symptoms of bipolar manic psychosis. The language of both communications ... is quite frenetic and manifests the exaggerated euphoria characteristic of manic psychosis. The obvious dissimilarities, however, ... still suggest [the two letters] might be connected. It is not unusual to find the manic in and out of psychosis particularly if he is on a haphazardly kept regimen of medication (Miron, 1990).

Second, the practice of psycholinguistics is risky when findings are dubious. In the 1993 Texas standoff at Waco, Miron is reported to have said that sect leader Koresh was not likely to respond to a tear gas attack by harming himself, but the compound burned, killing Mr. Koresh and 80 followers. Miron is quoted in *The New York Times* (Pace, July 18, 1995:A20) as saying, "We felt this was an individual who was extraordinarily vain and very fearful of physical injury." He was wrong.

One of the most recent and unusual applications of psycholinguistics was that of an American psychiatrist (Hodges, 2000) who analyzed the "thoughtprints" of the ransom note in the JonBenét Ramsey murder case. The linguistic characteristics of the ransom note (spelling, spacing, grammar) were said to be subconsciously coded by its writer to indicate that the killer was a woman and a cancer victim, she expected to be caught, her motive was anger and deep pain, the victim was dead before the note was written, etc. This kind of psycholinguistics is not forensic linguistics. Such things as subconsciously coded thoughtprints constitute some form of parapsychology, and threat-analysis profiling may fall somewhere within the field of psychology. Neither is best called "linguistics" or left to linguists for application or evaluation.

9. Sociolinguistics

Sociolinguistics is the study of language in relation to cultural society. Sociolinguists study the relationship between language and culture and ask how language is used in different contexts. In addition, they also look at the individual and consider how age, gender, class, race, and ethnicity impact our communication. As humans, we are influenced by our surroundings as well

as individual factors, all of which become evident in our speech. However, not all speech styles are regarded as equally prestigious. Some accents are considered more esteemed than others. In some way, sociolinguists extend the work of the phoneticians. Phoneticians identify sound productions; sociolinguists consider the impact of producing such sounds with one's interlocutors. Along the same lines, sociolinguists also look at discourse styles and how these styles are evident in sociocultural practices.

Marked differences in sociolinguistic and cultural practices posed real problems for the Yup'ik in legal settings (Morrow 1993, 1994; Lee, 2000). In response to a disproportionately large number of confessions and guilty pleas among the Yup'ik community, Morrow (1993) investigated how EuroAmerican and Yup'ik discourse styles differed and, more importantly, how these differences may affect the Yup'iks' experience in the legal system. She found that the two groups differed in their expectation of quantity and effect of speech. From the EuroAmerican perspective, elaborate speaking and giving opinions about others' motives are valued. Conversely, the Yup'iks offered brief responses and avoided analysis as it was considered confusing. The belief is that since multiple interpretations are possible, it is preferable not to disrespect others by disagreeing with someone's position. Along these lines, open disagreement is frowned upon. In an egalitarian society, such as the Yup'ik one, one way equality is upheld is by accepting divergent viewpoints. Unfortunately, this avoidance of openly disagreeing with others led some Yup'ik people to agree to criminal acts which they, in fact, had not committed; hence, the high conviction rate. Further, the Yup'ik believe that truth will prevail, thereby lessening their fear of an unfair outcome. This places them at a disadvantage since it is the EuroAmerican court system that holds such power over the Yup'ik, particularly with such strong evidence as a confession.

10. Syntax

Syntax is the study of how phrases and sentences are constructed. Syntacticians look at the ways an infinite number of sentences are constructed using a finite number of words (Beckman's personal communication with Montalbetti). They also investigate word order, grammaticality judgments, and ambiguity, among other topics. A common inquiry in semantics is how strings of words in different languages differ but the meaning remains the same. For example, the sentence "He doesn't speak

Spanish” in English requires subject + ‘do’ verb + base verb + object. In Spanish, this same utterance is accomplished with fewer words. It is reduced to “No habla español”, thereby eliminating the subject and ‘do’. Although this simplified version contains fewer words, the meaning is the same as that of the English phrase. Building on the notion of differing constructions, syntacticians also investigate how these differences are manifested in second language (L2) speakers’ speech. Transference from a speaker’s first language (L1) to English offers tell-tale indicators about what the speaker’s L1 is. Therefore, clues to a speaker’s first language origin can be found in his or her L2 syntax (Beckman, 2007: 12).

Recall the famous kidnapping case of the Lindberg baby; the ransom notes appeared to have been written by a non-native speaker of English. More specifically, some of the syntax and spelling errors suggest that the author may be a German speaker. The letter read, “...The child is in gut care. Instruction for the letters are singnature” (paragraph 5 of the letter, spelling errors in the original letter). Both ‘gut’ (which means good in German) and the German-like syntax support the hypothesis that the author was of German-speaking origin.

The result of this blended approach between linguistics and other disciplines has added to the quality and quantity of forensic linguistic research. Detailed work on linguistic patterns gave us insight into ‘the grammar of violence’ (Auburn et al., 1995), authorship in suicide notes (Eagleson, 1988; McMenamin, 2002), clues into deceptive language (Porter & Yuille, 1996) as well as idiosyncratic speech patterns in an individual’s speech (Coulthard, 1994). Conley and O’Barr coined the term powerless language to capture a “language of deference, subordination, and nonassertiveness” employed during witness testimony (1998: 65). Additionally, some work on police procedures have led to constructive changes within law enforcement (Baldwin, 1994). Bilz (2005) predicts that with the advent of new, advanced recording technologies, fewer cases that center on questionable confessions will be found in the future.



EXERCISE 1

- 1) What is forensic linguistics?
- 2) How did forensic linguistics develop?
- 3) Why is forensic linguistics considered as a relative newcomer to the arena of judicial process?
- 4) In brief, explain the early development of forensic linguistics in the following countries:
 - a. United Kingdom
 - b. United States
 - c. Australia
 - d. Germany
- 5) How has Forensic Linguistics developed after being established as an independent discipline of applied linguistics?



SUMMARY

To sum up, forensic linguistics is a branch of applied linguistics that focuses on law and its matters related to the language use, i.e. the application of scientific knowledge to language in the context of criminal and civil law. It must be noted that the scope of forensic linguistics is limited to the use of language in laws, not on how the laws are constructed and established. Forensic linguistics has developed from a research-based understanding of language. The applications of forensic linguistics include voice identification, interpretation of expressed meaning in laws and legal writings, analysis of discourse in legal settings, interpretation of intended meaning in oral and written statements (e.g., confessions), authorship identification, the language of the law (e.g., plain language), analysis of courtroom language used by trial participants (i.e., judges, lawyers, and witnesses), trademark law, and interpretation and translation when more than one language must be used in a legal context.

The actual phrase Forensic Linguistics was firstly introduced in England in 1968 by Jan Svartvik, a linguistics professor in his book entitled "The Evans Statements: A Case For Forensic Linguistics". He presented an analysis of statements given by Timothy John Evans, suspected of murdering his wife and baby, to police officers at Notting Hill Police Station in 1953, and demonstrated that the disputed parts of the statement had a grammatical style measurably different from the style of uncontested parts. In its early days, the growth of forensic linguistics was slow. In unexpected places there appeared isolated

articles in which an author, often a distinguished linguist, analyzed disputed confessions, or commented on the likely authenticity of purported verbatim records of interaction, or identified and evaluated inconsistencies in language which had been attributed to immigrants or aboriginals by the police in their written records of depositions, or assessed the linguistic similarity of rival trademarks.

Nowadays, Forensic Linguistics does not stand by itself, rather, it works collaboratively with other linguistics branches including semiotics (the study of communication and language as systems of signs and symbols), auditory phonetics (the study of language sounds based on what is heard and interpreted by the human listener), acoustic phonetics (the study of the physical characteristics of speech sounds), semantics (the study of interpreting expressed meaning), discourse and pragmatics (the study of interpreting inferred meaning), stylistics (the study of the identification of questioned writings), interpretation and translation (the study of transferred meaning from the source language to the target language both in oral and written form), psycholinguistics (the study of psychology, linguistics, and cognitive science), sociolinguistics (the study of language and cultural society), and syntax (the study of phrases and sentences constructions).



FORMATIVE TEST 1

- 1) Why does forensic linguistics belong to applied linguistics?
- 2) Forensic linguistics is the interface between language, crime and law. Explain this statement in your own words!
- 3) When was the term 'forensic linguistics' firstly introduced?
- 4) What does 'police register' mean?
- 5) How are the following linguistics branches related to forensic linguistics:

a. Semiotics	f. pragmatics
b. Phonetics	g. interpretation
c. Semantics	h. psycholinguistics
d. Pragmatics	
e. Stylistics	

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit.

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 2

The Use of Forensic Linguistics

The work of forensic linguists spans everything from plagiarism, insurance contracts, trademarks and patents to court procedure, confessions, hate crimes and murder. Forensic linguistics augments legal analysis by applying rigorous, scientifically accepted principles of linguistic analysis to legal evidence. Although forensic linguistic courses are fairly well recognized at university level in the UK and Europe, they are a rather new concept in American higher education (Leonard, 2005). In addition, forensic linguists have also been called upon to give expert testimony in a variety of criminal cases across the UK and abroad. Science is becoming increasingly important in relation to the law, and forensic linguistics is one area where research is leading to advances that are increasingly used to solve crimes. A recent example is the highprofile murder case of Danielle Jones, where linguistics was used to decode text messages, resulting in a conviction (AHCR, 2009). The main focus of this sub-chapter is to present the role of language as a legal medium and matter (by revealing the characteristics distinguishing legal language from the ordinary language) and the analysis of the use of language in courtroom discourse (by presenting the example of the analysis of courtroom discourse).

A. LANGUAGE AS LEGAL MEDIUM AND MATTER

A primary concern of many forensic linguists is legal discourse, particularly courtroom proceedings. In this setting, the professional players (judges and lawyers) typically use some kind of legal language to communicate with each other. Even when members of the lay public are involved as parties, experts, or jurors, they will inevitably be confronted with legal language, which in many cases will create a need for some kind of explanation or translation (as when jury instructions try to explain legal concepts in ordinary language). Even greater problems arise when lay persons who do not speak the official language of the courtroom become intertwined with the legal system. Obviously, this calls for translation or interpretation, but it is usually not just a matter of converting, e.g. English into Indonesian, but of converting legal English into ordinary Indonesian

(Tiersma, 2008: 7). Thus, any court interpreter must have a solid understanding of at least one legal language, and perhaps more than one. Besides, those forensic linguists who concern themselves mainly with the use of linguistic expertise to solve legal issues (such as the identification of a speaker or writer, or a person's nationality, by using linguistic criteria) will also need to have a working knowledge not just of the legal system in question, but also its language, in order to competently carry out their function.

Legal language is not a language of everyday use by a population (unless, with a degree of understatement we want to call lawyers a population of a kind). It is a specialized language of legal norms and related discourse. Its distinctiveness may be seen in a number of characteristics that differentiate it from the language of ordinary use. But, there is no universal language of law that would be comprehensible to all languages.

Law is a system that is bound to a particular state or organization. Language of law or legal language, its words, syntactic structure and concepts are closely related to the legal system in question. The relationship between the language and the law is mutual: the legal system influences the nature of the legal language and the legal language – the language of the legal discourse – influences the system. The speech of lawyers is conditioned not only by the law, but also by the prevailing language of their environment (Mellinkoff, 1963: 4). Language of law is a system- and culture-bound language for special purposes. This does not mean that the language of law is completely detached from the ordinary language. Most of its words are taken from the ordinary language. On the other hand, legal language influences everyday speech and many of its originally technical terms are now accepted as common. Mellinkoff (1963: 9) gives the examples of *plaintiff* or *defendant* in English.

In terms of features, legal language tends to be characterized by minor differences in spelling, pronunciation, and orthography; long and complex sentences, often containing conjoined phrases or lists, as well as passive and nominal constructions; and a large and distinct lexicon. The profession has developed distinct traditions on how its language should be interpreted. In terms of style, the language of the law is often archaic, formal, impersonal, and wordy or redundant. And it can be relatively precise, or quite general or vague, depending on the strategic objectives of the drafter (Tiersma, 2008: 7).

Cao (2007: 13-20) classifies legal language with respect to the nature of its use that can be described as normative, performative and technical. First, legal language is normative because the language of law is used to impose rights and obligations; it is largely prescriptive. Law's basic function is to regulate human behaviour and human relations. Law exists as a set of prescriptions having the form of imperatives defining and enforcing the arrangements, relationships, procedures and patterns of behaviour that are to be followed in a society (JCao 2007: 12). Legal language serves to communicate the legal norms to their addressees.

Second, legal language is performative, i.e. the language by itself carries performance or actions. The speech act theory developed by J. L. Austin and J. R. Searle makes language responsible for effects in reality. Speech is not only words but also actions. By uttering certain words, the facts may be changed. Legal effects and legal consequences are commonly obtained by merely uttering certain words (Cao 2007: 14), for example in a court's judgement or in front of a clerk or a priest during the marriage ceremony.

Third, legal language is technical although the question of technicality of legal language is not perceived consistently. One position argues that there is no legal language as such and it is a part of the ordinary language. The other holds that legal language is a technical language. If the latter view is accepted, what makes the language of law different from other types of language use? The characteristics that distinguish legal language from ordinary language can be seen in terms of the speakers involved and the stylistic features.

1. Speakers

The language of law is a language of legal norms and related discourse. The language of legal norms is that of legislation, judicial decisions or contracts. It is said that it is the language created and used specifically by lawyers. Although the lawyers form the core of the language-of-law-speaking community, legislation, for example, is influenced by people with no legal educational background, yet who adopt the legal terminology and expressions to a certain extent. Drawing on the situation in the civil law system, the circle of the legal language users may be described as follows:

1. The legislators (the drafters who actually write the laws; members of the parliament, whose knowledge of all the terminology and concepts is not complete and sufficient but who try to sound as if it

- was), i.e. all those who create the laws in the written form and who have real influence on definitions of legal terms.
2. The judiciary (judges and people who influence the written judgements – assistants to the judges or court clerks).
 3. The lawyers (when negotiating, giving speeches in court, drafting documents etc.; and when talking to one another)

The circle of the law language speakers in common law systems is generally the same. The major difference is that the origins of certain terms and the evolution of the language are somewhat different due to the different sources of law (the main body of legal rules is to be found in judicial decisions not in legislation).

The type of speaker influences the particular style of the legal language: there is a difference between the language of an Act of Parliament and the language used by lawyers when talking to one another about legal matters. Nevertheless, at times the language the lawyers use does not seem to resemble the language of legislation at all. Lawyers seem to have developed some linguistic quirks that have little communicative function, and serve mainly to mark them as members of the legal fraternity (Tiersma 1999, 51).

2. Style

Language of law is said to be purposive and pragmatic (Knapp 1995: 122). Its style is therefore governed by these characters. There have been numerous attempts on defining 'style'. One of them was made by Vilém Mathesius. He defines style as "individual, unifying character found to be present in any work resulting from intentional activity" (Vachek 1974: 114). Legal style refers to the linguistic aspects of the written legal language and also to the way in which legal problems are approached, managed and solved (Cao 2007: 22). The style of the language of law is one of the functional styles. It is said to be marked and sometimes described as being a sub-style and the most typical specimen of the officialese style, the style of official documents (Vachek 1974: 187). On the other hand, in the last decades there have been authors who believed the style of the language of law to be a separate functional style alongside other functional styles, the officialese, or administrative, being one of them. The style of the language of law or legal language can be described mainly with regard to its syntactical structure and specific vocabulary or lexicon.

In terms of syntactical structure of legal language, Vachek (1974: 188) describes the sentences in English legal texts to be long and complex, yet clearly built up, using various typographical devices of distributing phrases, division of the text into parallel paragraphs and capitalizing certain crucial points of the document. When describing the typical features of legal English, Tiersma (1999: 51-71) gives the following list of typical features which overlap with Vachek's description at some points: lengthy and complex sentences, unusual sentence structure, wordiness and redundancy, conjoined phrases, frequent use of negation and impersonal constructions. Meanwhile, Cao (2007: 22) gives two general characteristics of the legal language: impersonal constructions and extensive use of declarative sentences pronouncing rights and obligations. For such differences, the following rationales are usually given: legal language is more precise, shorter, more intelligible and more durable. Of these arguments, precision seems to be the leading feature of the language of law that should give reason to all the other features which are sometimes said to be its vices.

In addition, Danet (1985: 281) states, "syntactic features are probably more distinctive of legal English than are lexical ones, and certainly account for more of the difficulties of lay persons in comprehending it". She identifies ten of such features.

- a. **Nominalization** – this feature is considered by many linguists, Urbanová (1986: 19) among others, as prominent. Some examples are *make such provision for the payment of* instead of *provide for the payment*, or *give time for the payment of any debts* instead of *give time for persons owing debts to pay*, etc.
- b. **Passives** – they are characteristic of formal documents; sometimes an active verb may be more suitable in a sentence but the use of the passive makes it more formal; on the other hand, sometimes it is not possible to use the active voice because there is no specific agent in a sentence, thus the passive is the only choice.
- c. **Whiz Deletion** – it means the omission of the wh-forms plus some forms of the verb to be, e.g. *herein [which is] contained or implied*.
- d. **Conditionals** – exemplary are complex conditionals, they may be used, for example, to specify who is included in a certain term (e. g. the Grantee) if there are more people concerned.

- e. **Prepositional Phrases** – legal discourse is high in incidence of this feature. A prepositional phrase can string out one after another, and as Danet (1985:282) claims, “prepositional phrases are often misplaced”.
- f. **Sentence Length and Complexity** – the complexity of legal register sentences can be spotted very easily. Gustafsson (1975) says that an average sentence contains 55 words (twice as many as in scientific English, for example), and there are 2.86 clauses per sentence in the legal style. Legal English consists of only complete sentences containing both coordinate and subordinate clauses, and instances of clausal embedding (inserted clauses) are not unique. Sentences can stretch over several lines, constitute one whole paragraph, and it is not an exception that a whole document can consist of one sentence only.
- g. **Unique Determiners** – the distinct representatives are those of *such* and *said*. They are used in a way specific only for the legal discourse. They mean *this, the, the particular, the one that is being concerned* and no other. An example: *the said property*.
- h. **Impersonality** – though legal documents are made to serve as a communication between two (or more) parties, they are typically written in the third person as it adds to the degree of formality. The *parties* concerned are referred to as the *Contractor, the Grantee, the Borrower, the Lender, etc.*
- i. **Negatives** – especially multiple negatives are characteristic items of the legal language. They are not expressed only by not, never, but most frequently by adding the terms like unless, except or by prefixes un-, in-, etc.
- j. **Binomial Expressions and Parallel Structures** – Danet (1985: 283) points out that “the legal register is striking for its use of elaborate parallel structures” and that “binomial expressions are a special case of parallelism”. Gustafsson (1975) describes these items as “sequence of two words belonging to the same form class, which are syntactically coordinate and semantically related”. Moreover, she claims that binomial expressions are typically a pair of nouns that functions as an adverbial and occurs in the rhematic part of the sentence. Some instances of binomials: *goods and materials; liable and responsible; engage or participate, generally and specifically,*

etc. Apart from binomials, there exist trinomial and even multinomial expressions in (legal) English. Some examples: *control, direct or supervise; employee, partner, agent, or principal; files, records, documents, drawings, specifications, equipment, and similar items*, etc. Some linguists have focused their analyses on the specification of the relationships in binomials, i.e. *synonymy, near-synonymy, antonymy and enumeration*.

However, following Knapp (1978), Smejkalová (2009) states that the most important difference that sets off legal language from ordinary language is its lexicon. Legal language makes use of numerous words and terms that are not common in ordinary language or carry an additional meaning different from their ordinary meaning. Legal language utilizes vocabulary from standard language both in their ordinary meanings (the majority of legal language vocabulary) and specialized meanings. This second class of words may create confusion because in legal texts they may appear in both their meanings – ordinary and specialized. Knapp (1978: 17-20) distinguishes the following groups of words: (i) legal terms, (ii) words with specific legal meaning and specific meaning in another specialized language, (iii) words with both specific legal meaning and ordinary meaning, (iv) words having specific legal meaning, specific meaning in another specialized language as well as ordinary meaning, and (v) words with neutral meaning.

In addition, Danet (1985: 279-286) and Hiltunen (1990: 81-87) propose the lexical features of legal language as follows.

- a. **Technical Terms** – every profession and occupation is typical of its special technical vocabulary, or “terms of art” as *warranty deed, criminal proceedings, Procurator Fiscal, grantee, devisee*.
- b. **Common Terms with Uncommon Meanings** – the legal register uses familiar words but with uncommon meanings, e.g. one of the most frequent instances is the term *assignment* – it does not mean a “task or duty”, or “something assigned”, but it means the “transference of a right, interest or title”; also the use of *shall* refers very frequently not to the future but to an obligation or duty.
- c. **Archaic Expressions** – typically, legal documents are abundant in items such as *hereinafter, hereto, hereby, hereof, aforesaid, whosoever, thereof, therein*, etc. These originate in Old English and, “may have originally been introduced as ambiguity resolving

- elements or means of abbreviation” (Hiltunen 1990:84). Furthermore, they add to the degree of formality of legal documents.
- d. **Doublets** – they are also referred to as word pairs. Many of them root in the Norman Period. They are “fixed in the mind as frozen expressions, typically irreversible” (Danet 1985: 281). Common ones are *last will and testament, give and bequest, will and bequest, aid and abet, cease and desist, rules and regulations*, etc.
 - e. **Formality** – many expressions of legal English have a high degree of formality, e.g. the preference of *shall* to *will*; positions of people and institutions involved have capitalised initial letters, for instance *Grantor, Devisee, Contractor, Attorney*, even the names of the documents are capitalised – *Warranty Deed, Last Will and Testament*, etc.
 - f. **Unusual Prepositional Phrases** – according to Charrow and Charrow (1979) the preposition *as to* frequently appears in legal English; another example is *in the event of*.
 - g. **Frequency of Any** – this word is considered redundant, but in legal documents is more than common: *any child or children, any encumbrances, any other assets*, etc.

In addition to these attributes of legal language, Mellinkoff (1963) mentions four mannerisms that further characterize legal language. First, legal language is extraordinarily wordy. *Annul and set aside* is used instead of the simpler form ‘annul’. ‘Remove’ would appear to be sufficient, but the language of the law is likely to contain instead *entirely and completely remove*. Besides, a number of needless redundancies are used, such as *totally null and void* for ‘void’ and *written document* for ‘document’.

Second, legal language lacks clarity. This pattern jury instruction quoted from Mellinkoff is a good example:

You are instructed that contributory negligence in its legal significance is such an act or omission on the part of the plaintiff amounting to a want of ordinary care and prudence as occurring or co-operating with some negligent act of the defendant, was the proximate cause of the collision which resulted in the injuries or damages complained of. It may be described as such negligence on the part of the plaintiff, if found to exist, as helped to produce injury

or the damages complained of, and if you find from a preponderance of all the evidence in either of these cases that plaintiff in such case was guilty of any negligence that helped proximately to bring about or produce the injuries of which plaintiff complains, then and in such place the plaintiff cannot recover [Mellinkoff 1963: 26].

Mellinkoff suggests the paraphrase of this quotation might be read this way: "If Mrs. Smith's injury was caused partly by Mr. Jones's negligence and partly by her own negligence, she cannot recover [1963: 26]". From the example of the jury instruction and its paraphrase provided by Mellinkoff, it can be concluded that, unlike ordinary language, legal language provides vague expressions that must be carefully read and understood. It is, therefore, very easy to understand the paraphrase as it leads us to the point that needs to be conveyed.

Third, legal language is pompous. Words like *solemn*, *supreme*, and the like are used to evoke respect. Contrary opinions and evidence tend to be characterized as *absurd*, *mere*, and *unconscionable*. Besides, legal language is filled with such self-righteous or hypocritical expressions as: *clearly pointed out*, *excluded in unmistakable language*, *dispose of the argument*, and so forth.

Finally, legal language is above all simply dull. Mellinkoff said that it is sometimes assumed that an important subject is given slow and boring treatment, and this dread of inappropriate response has saddled the law with a weight which is equal to inappropriate dullness [1963: 29].

Nearly 20 years after it was first published, Mellinkoff's study of legal language remains the most extensive analysis to be published. A few efforts by linguists have complemented his work by pointing out some additional characteristics of written legal language that he either does not consider or treats only briefly. The British linguists Crystal and Davy devote an entire chapter of *Investigating English Style* (1969) to the language of legal documents (O'Barr, 1982: 19). They share Mellinkoff's interest in the special vocabulary of legal language and its history. In addition, they focus on certain features of the structure and organization of legal texts. Among their observations are the following:

- Legal language is instrumental language. It is used to make and to record contracts, to impose conditions, to confer rights and privileges, to register information for future scrutiny, etc. Legal

- language therefore intends to be unambiguous. Since it is frequently possible to interpret ordinary language in multiple ways, lawyers must make an effort to at least reduce this ambiguity, to communicate just one set of meanings while excluding many others. Whether they manage to do so is, of course, open to question. Crystal and Davy (1969) point out the conscious effort and intention on the part of lawyers to do so. In addition, legal language is intended to be read. Rarely is a legal document composed spontaneously; rather, established formulas are drawn from standardized form books. Further, legal language is intended to be read (or deciphered!) by other persons with legal training. Almost no concern is given to whether it is comprehensible to lay people since it is not really intended that they should read legal documents.
- Legal documents have some peculiar qualities not common in most other styles of English. For example, sentences tend to be long, self-contained units with minimal linkage to other sentences (either preceding or following them) in order to convey essential information. Documents contain only complete sentences that, despite their wordiness, can be reduced to an essential structure like *If X, then Y shall do Z* or other variations on this basic theme.
- Legal English has many distinctive characteristics. There is extremely limited use of anaphora (pronouns, truncated verb phrases, demonstratives, etc.) in favor of repetition of full phrases and references as necessary to minimize confusion and ambiguity. Adverbial qualifiers that state conditions, qualifications, and so on (e.g., *on expiration, subject to any authorized endorsement*) are frequent as are nominalizations (e.g., *declaration, termination*) which often have post-modification (e.g., *any part then remaining unpaid*). Adjectives are infrequent, and intensifying adverbs (*very, rather*) are absent. In addition, Crystal and Davy discuss the distinctive vocabulary of legal language in terms similar to Mellinkoff's analysis.
- The language of legal documents employs some semantic principles not used in ordinary English. These include:
 - a) *Ejusdem generis*: General words following specific words apply only to things of the same class already mentioned (e.g., in house, office, room, or other place, the final item may not refer

- to an uncovered enclosure although it would be a “place” in ordinary English).
- b) *Expressio unius est exclusio alterius*: If a list of specific words is not followed by a general term, then all other things not mentioned are specifically excluded (e.g., house, office, or room allows no other places that do not fit one of these terms to be included).
 - c) *Noscitur sociis*: The context in which any word appears may enter into the definition of its meaning.
 - d) *The Golden Rule of interpretation*: The ordinary sense of words is to be used unless it would lead to some absurdity or inconsistency with the rest of the document.

B. DISCOURSE AND DIFFERENT LANGUAGE IN THE COURTROOM

As mentioned in the above explanation, one of the characteristics of legal language is performative, and courtroom discourse is a this kind of situated behavior. It has elaborate contexts built up around it to give it greater meaning: a separate and distinct court building, a courtroom set up specifically for the purpose of a trial, even the date and time are very specific and decided sometimes months in advance. Bauman's (1977) work has been noted as the first attempt to apply the idea of performative legal language to courtroom discourse. He lists seven “keys” of performance as the features of courtroom discourse: (1) special codes, (2) figurative language, (3) parallelism, (4) special paralinguistic features, (5) special formulae, (6) appeal to tradition, and (7) disclaimer of performance (Bauman 1977: 17-22).

1. Special Codes

Every performance will be distinguished by a special linguistic code unique to that performance. The unique code of courtroom discourse is perhaps best termed a “register”. As defined by Wardhaugh (2010: 48), register is a “[set] of language items associated with discrete occupational or social groups”. Some would argue that the linguistic code used in courtroom discourse is not, in fact, a special code but simply a formal register, the same kind of register that could be found in many other discourse genres. This

seems particularly true because of the seeming lack of linguistic features that are unique to courtroom discourse. However, upon closer inspection there are indicators to suggest that courtroom discourse has a distinct and unique code. Firstly, the use of "your honor" to address judges is one of the features that appears to be confined to courtroom discourse. On the lexical level, courtroom discourse has many words or definitions of words that are used only in legal contexts. It may be argued that this is simply a professional jargon. Thus, lexical differences cannot be said to define the code by itself.

Secondly, Susan U. Phillips, in her 1984 article "Contextual Variation in Courtroom Language Use: Noun Phrases Referring to Crimes," discusses lawyer's nuanced and specific use of noun phrases that refer to various types of crimes. In addition to lexical differences, the use of formal terms of address, such as full names, mister/misses/miss, and 'your honor' helps support the idea of a special courtroom code. Once again, these features may be observed in other contexts. There is also a tendency in courtroom discourse to refer to people who are present in the third person, or even to refer to oneself in the third person such as when the judge speaks as "the court". This is quite marked in normal English discourse and thus works to set courtroom discourse apart.

Lastly, Johnson (1976) noted that witnesses are not allowed to use as evidence facts related to them by someone else (hearsay). This pragmatic restriction is also unusual in most other genres of English discourse and can be considered as an aspect of the special code of courtroom discourse. So, as stated above, the special code of the performance of courtroom discourse is made up of features that exist uniquely together in this one linguistics situation.

2. Figurative Language

Bauman states that figurative language is essential to performance, particularly 'artistic verbal performance', or what has been called here Verbal Art. Seeing that courtroom discourse belongs to Verbal Performance instead of Verbal Art, this may explain the seeming lack of figurative language in courtroom discourse. However there are aspects of courtroom discourse that depend heavily on figurative language. Central to the idea of a trial is that of guilt or fault, meaning that a person or persons is guilty of making some condition arise, or even, in fact, of intending to make it arise. This can intimately tied to Lakoff and Johnson's idea from *Metaphors We Live By*

(Lakoff & Johnson, 1980). Guilt can be seen as an ontological metaphor. This concept is incorporated into language in many ways. A jury declares a person to have guilt or be free from guilt. (Although the adjective "guilty" is used more often than the noun "guilt" the concept is the same). A judge may determine how much at fault a person is and thus how much they need to be punished. Thus, the figurative language of guilt is central to courtroom discourse.

3. Parallelism

Courtroom discourse is full of parallelism. Quoted from Bauman (1977: 18), parallelism "... involves the repetition, with systematic variation, of phonic, grammatical, semantic, or prosodic structures, the combination of invariant and variant elements in the construction of an utterance". Most particularly the examination of witnesses fits this description. In this part of the discourse, there is a constant repetition of question and answer. The content can vary significantly from one question to another, but the form of the turns will always be parallel. Parallelism can also be used to foreground certain information. This can be seen in an excerpt from a closing statement of Gerry Spence:

Mr. Paul doesn't have the right to come into a court and say: "I think this happened". And: "I think that happened". And: "Maybe this happened". And: "Isn't it probable that this happened". And: "I think the circumstances of this, and the circumstances of that". And to take a whole series of unrelated events and put them together and try to tell you somehow that I have the responsibility that the judge and the law doesn't place upon me, and to mislead you in that fashion. (Lief et al., 1998: 141, 145)

The repetition and variation of the statement of a witness, with each variation containing a new way to mark uncertainty, is used to foreground the fact that the witness does not, in fact, know what happened, but has some ideas about it.

4. Special Paralinguistic Features

Bauman deals mostly with intonational, prosodic, and other features of voice quality. An obvious fulfillment of this key is hard to find for courtroom

discourse. However, the following quote from Bauman clarifies the situation: "what is important is the contrast between performance and other ways of speaking in the informant's own community" (Bauman, 1977: 20). With this in mind, courtroom discourse does have a special paralinguistic feature. In other forms of discourse in American society it is considered normal to become angry and defensive if accused of a crime. This is not allowed in courtroom discourse. Emotional outbursts are not tolerated by any performance role.

5. Special Formulae

Bauman exemplifies the use of special formula by invoking the traditional beginning to English fairytales: "Once upon a time". This is very similar to the formulae used to mark the beginning and ending of portions of courtroom discourse. These include the command "All rise" that is given by the bailiff whenever the judge or jury enter or exit the courtroom, or the declaration "Court is now in session". These must be uttered before other parts of the performance may proceed. Also included is the judge's edict "Court is adjourned" or similarly "Court is in recess until...". Lawyers also have a special formulaic phrase "I have no more questions, your honor" which is said when a lawyer does not wish to ask a witness any more questions at the present time.

6. Appeal to Tradition

Bauman mentions the idea of a "standard of judgment against which one's performance is to be evaluated" (Bauman, 1977: 21). He also states: "For each ceremony or ritual to count as a valid instance of its class, the appropriate form must be rendered in the appropriate way, by the appropriate functionary" (Bauman, 1977: 32). This appeals to tradition that helps create the consolidated notion that every trial has the same standards by which it can be judged. Courtroom discourse fits this criteria in the fact every trial of the same type must have the same parts performed by the same roles. For example, sentences must always be passed down by a judge, not a lawyer or a defendant. The examination of witnesses is done by a lawyer, not juror or member of the audience. Another important appeal to tradition in courtroom discourse is the objection. A Lawyer may object to something said or done if that action is outside of the proscribed rules for conduct for that particular

sub-event of courtroom discourse. The Judge then decides to either uphold or overrule the objection.

7. Disclaimer of Performance

The disclaimer of performance counterbalances the power inherent in performance. A participant in the performance says or does something to indicate that they consider themselves imperfect at performing. In the case of courtroom discourse verbal hedging serves as this disclaimer. Every participant in courtroom discourse hedges at some point. These hedges mitigate any perceived power held by the participant. When witnesses are asked about the events of a certain period of time; it is common for a witness to be questioned about their recollection of events. Witnesses are not asked what happened but rather what they recall happening, thus highlighting the inherent imperfection in what a witness will recount.

In studying discourse and different language in the courtroom, it is also important to discuss the individual interactions of performance roles in courtroom. It should be noted that not all roles have the same amount of ability to interact within the courtroom. For example, the role of Judge can interact in some fashion with every role in the performance. These interactions often have to do with the performance itself, or rather, making sure that the performance stays orderly. This includes ruling on objections, and the bailiff's call of "All rise" when the judge or jury enters or exits the courtroom. Meanwhile, the Audience role has the least interactional freedom, being only able to interact with the Judge role.

Furthermore, it should be noted that the roles of Judge, Jury, and Audience, by necessity, contain more than one person, and that the role of Lawyer (for either prosecution or defense) may contain more than one person. However, they act in uniform ways and share the same linguistic restrictions. This allows them to be considered part of a single role. When the name of a role is capitalized, it refers to the role in general and not the specific person who is playing that role at any given time.

a. *Judge*

The role of judge contains the judge, the bailiff, and the judge's secretary. The role of Judge has the responsibility to keep order and maintain the integrity of the performance. This is quite clear when the interactions of the Judge role with other roles are analyzed. Most of the interactions that the

Judge has have to deal with administering the performance. The secondary members of the Judge role (bailiff and secretary) also help in keeping order. The bailiff has the responsibility of escorting the jury when they exit or enter the courtroom and announcing the call of "All rise" whenever the jury or judge enter or exit the courtroom. The secretary also helps in the administrative duties of the Judge role. The secretary has the responsibility of swearing in witnesses and scheduling future court dates. As mentioned above, the Judge represents order in the performance. However, in trials without a Jury, the Judge also represents the decision making power of the courtroom performance.

The Judge is also responsible for recesses. Recesses allow the performance to be broken into many portions. The Judge can essentially put the performance on pause and appoint a time when it will be resumed. The Judge uses the set phrase "Court is in recess until (time)" to fulfill this responsibility. This responsibility highlights the Judge's oversight and maintenance of order throughout the performance.

The final responsibility of the Judge is to hand down sentence. This underscores the Judge's connection to political power. The Judge decides the actions that will be taken by the government against the defendant.

An overall note is that the Judge role seems to have almost no restrictions on the content of his or her interactions with other roles. The Judge can say whatever he or she deems necessary in each situation. This is very apparent in the sections "Judge-Defendant" and "Judge-Jury" in this sub-chapter. However, there are some set of phrases which must occur in particular sub-events. These will be discussed below as part of the interaction in which they occur.

b. Lawyer

Each courtroom event has at least one incarnation of the role of Lawyer; at least one for the prosecution and at least one for the defense. If either the prosecution or defense has more than one lawyer, these act together, and cannot act separately. This is evidenced by the rule that once a lawyer from one side has begun to examine a witness, no other lawyer from that side may interact with the witness. Lawyers, regardless of side, share the same restrictions on interaction, thus the role of Lawyer can apply to either a prosecuting or a defense lawyer.

c. *Witness*

This role may be filled by those who may also happen to fill the role of Defendant or Audience in other sub-events. This role has unique interactional restrictions, and so even though it is filled by people who may also fill other roles, while being a witness, that person must adhere to the rules for the role of Witness. In order to qualify to fill the role of Witness, a person must have knowledge that pertains to the trial.

d. *Defendant*

This role shows itself as a separate role only in entry of plea and sentencing. Otherwise, the defendant is represented by someone in the role of Lawyer.

e. *Jury*

The role of Jury is made up of multiple (eight, in this data set) individual jurors. All jurors share the same restrictions on language use and must come to a unified conclusion at the end of the trial. Thus, they will be considered to be part of the single role of Jury. The Jury (when present) represent the decision making power of the courtroom performance. For trials that do not have a Jury, the Judge represents the decision making of the court.

Audience

The Audience is the only non-essential role. It can be absent and the courtroom process will continue. However, if there are people who make up this role, those people share the same interactional restrictions and are thus considered part of the role of Audience. The Audience is only allowed to participate during sentencing. The Judge, at that point, may invite a member of the audience who has some important connection to the defendant to participate actively in the performance.

The absence of an interactional role for the plaintiff or complainant should be noted. There is no sub-event within the performance that allows this role to act independently of the Lawyer role that they are aligned with. The plaintiff often has no role during the court session, especially during the examination of witnesses, however, since no interaction is allowed, it cannot be considered a performance role. As noted above, the plaintiff may take on the role of Witness.

The next discussion is about the example of the individual interactions of performance roles in courtroom. This example is quoted from the work of

Wood (2012). He outlined six sub-events that come together to form the entire courtroom discourse event, namely (i) Entry of Plea, (ii) Jury Selection, (iii) Opening Statement, (iv) Witness Questioning, (v) Closing Statement, and (vi) Sentencing. These six sub-events help to showcase the changing nature of the power structures of courtroom discourse.

2. Judge-Lawyer (Entry of Plea, Witness Questioning)

The Judge-Lawyer interaction is a very common interaction in courtroom discourse including numerous different sub-events. Judges and Lawyers often interact on the level of administrative elements on which the Judge must decide. In these instances it is not uncommon for a Judge to interrupt a Lawyer when the Judge feels enough information to make a decision has been presented. For example:

J-L (While L is talking about the case instead of responding a simple yes or no to a question about paperwork) Thank you. That's more than I wanted to know.

L-J Your honor, let me clarify a few points.

J-L (interrupting) Don't tell me what I already read. Just tell me if I'm missing anything.

L-J I apologize, your honor.

J-L (While speaking about a treatment facility) If it's on the list then I'm happy.

L-J It's very pricey, which by today's standards seems to mean that

J-L (interrupting) Thank you, I have enough information that I can make a decision.

This is a good example of the power difference between the Judge role and the Lawyer role. This interaction is also an integral part of the performance. When considered along with the other interactions of the Judge role (almost all of which are focused on keeping the performance in order) the Judge's interactions with the Lawyer role can be seen as an attempt to maintain the restrictions of the performance. The Judge in these situations does not allow the Lawyer to exceed the restrictions on his or her role and speak about topics not relevant to the task at hand. Thus, an interruption be

seen not only as an expression of power, but also as a call that the Lawyer is trying to exceed his or her restrictions.

Another important aspect of Judge-Lawyer interactions are objections. Objections are an appeal to the rules and restrictions inherent in courtroom discourse due to its nature as a verbal performance. Lawyers can raise a concern that a portion of the performance has not been conducted properly or that someone has exceeded their role's restrictions. This is usually done by simply uttering the word "Objection" even if interrupting another participant. This utterance is followed by the Lawyer specifying what restriction they feel has been violated, as the following examples illustrate:

L-J Objection. It does not say that she was beaten. It says that she was grabbed.

J-L Sustained. That is misrepresenting the evidence.

L-J Objection. She's bringing up something that is not in the petition.

J-L Sustained! That is not in the petition. (*Italics indicate emphasis*)

In ruling on objections, the Judge fulfills his or her responsibility to maintain the order and integrity of the courtroom performance. This is not only an appeal to the power that the Judge has throughout the duration of courtroom discourse.

3. Judge-Jury (Jury Selection, Witness Questioning)

The relationship between Judge and Jury seems to be one that is built on cordiality and solidarity. There are many examples of the judge being friendly with members of the jury. For example are these interactions from the jury selection process:

Jury-J (After presenting other introductory information about himself)
And my favourite movie has got to be 'True Grit'.

J-Jury Do you like the original or the newer one?

Jury-J The original.

J-Jury Great (smiling)

J-Jury (Explaining about the potential juror introduction process) I had a lady stand up once and say "I have 5 kids. I'm pregnant. I'm a member of Sam's Club, and I don't have leisure time". She wanted to be on the jury for a break! (laughter throughout the courtroom)

These interactions initially seem to hardly even belong in a courtroom because of its seeming lack of formality. However, this is a prime example of the Judge mitigating power. This also shows the Judge role's lack of content restrictions. It appears that if the Judge thinks it's worth knowing what a potential juror's favorite movie is, then that is the Judge's prerogative to ask about. The jury selection process has fewer restrictions for the Jury as well, as indicated in the Judge's humorous anecdote in the second excerpt above. However, that seems to be made up for by the restrictions placed on the role of Lawyer. Lawyers from both sides are allowed to interview potential jurors, but (at least in Utah State Courts) this is done in an adjacent room, outside the performance. But, while in the performance, the lawyers were only able to introduce themselves, their law firm, and the witnesses they intended to call so as to make sure that none of the potential jurors had biases based on previous experience with anyone involved in the trial.

Outside the jury selection process, the interaction between Judge and Jury is much more restricted but still legitimate. The Judge may, for instance, instruct the Jury to disregard something said or done outside the restrictions of the performance, as in this example:

J-L I object. We're getting into bio-mechanical expertise.

W-L I've seen it.

J-W Sir, when counsel objects I have to rule before you answer anything.

J-Jury The jury will disregard that comment.

The interactions between Judge and Jury show that the restrictions on various roles change dramatically throughout the course of trial. The Jury, which during the jury selection has very few restrictions on their content, have very strong restrictions on when they can speak and what they can say during the remainder of the trial. This is an important aspect of the performance. An approach based solely on power would expect that if the Jury had very few restrictions early in the trial because of any power that they hold, that that lack of restrictions would remain throughout the duration of the trial. However, this is not the case. This helps to show the importance of considering the Performance aspects of courtroom discourse. Performance shapes and changes the power dynamic as the trial progresses.

4. Judge-Witness (Witness Questioning)

Judge and Witness have few interactions, but when they do, they tend to be instructions. This follows with the role of Judge in charge of keeping order in the performance. For example:

- J-W Raise your right hand (Witness raises right hand). Do solemnly swear to tell the truth, the whole truth, and nothing but the truth, so help you God?
- W-J Yes
(This is actually done by the secretary, who, as mentioned earlier in this chapter, is considered part of the performance role of Judge.)
- J-W Sit here. Answer the questions truthfully.
- J-W Come on over and take a seat.
- J-L I object. We're getting into bio-mechanical expertise.
- W-L I've seen it.
- J-W Sir, when counsel objects I have to rule before you answer anything.
- J-Jury The jury will disregard that comment.
- J-W You can step down, thank you

These interactions, though restricted, underscore the rule-based nature of the performance. As seen above, the Judge is responsible for keeping the Witness within the restrictions set for his or her role. Much of the interaction between the Judge and the Witness is in the form of formulaic phrases that must be used to accomplish tasks such as swearing in, or dismissing the witness.

5. Judge-Defendant (Entry of Plea, Sentencing)

Direct interaction between Judge and Defendant usually only occurs during sentencing. But, during sentencing, the interaction contains a lot of variety. Sentencing takes place after a defendant is found guilty, either by trial or by the defendant's own admission. The Judge determines what punishment is to be meted out to the Defendant. The Judge, in this sub-event, once again mitigates power and shows that his or her role lacks content restrictions. The following excerpts show the Judge talking to the Defendant waiting to be sentenced in friendly and encouraging ways:

- J-Def It's difficult to say why you've put yourself in this situation. Maybe you feel that something is owed to you because of the life you've lived. I don't know. (pause) I wish I could do more to put you on the right track.
- J-Def I'm going to put you on probation, I know they don't want to see you, but, you know what? I think you can do this.
- J-Def I don't see in this that there's no hope for you, I don't see it.
- J-Def I think you can do it, maybe no one else does, but your mom, but I do. I'm going to give you a chance. Don't let me down.
- Def-J (tearfully) I won't, your honor.

It is important to note that the Judge uses hedges such as "It's difficult to say", "Maybe you feel", and "I think you can do this". These hedges are traditionally interpreted as powerless language (Bradac et al., 1981: 328). This is once again an instance of the Judge mitigating power.

The data in this study also contains many instances of the Judge being very direct with the Defendant. For example:

- J-Def I don't want you coming back saying you didn't complete it. You didn't do it.
- J-Def Do you realize how lucky you are you didn't kill someone that night? This is more than what you call a 'bump in the road'. It was my intention to give you six months. You were a drunken nightmare that night. The miracle is that you didn't kill someone else or yourself that night.

The Judge is able to show power over the Defendant by mitigating it or by expressing it clearly. However, it is the addition of the idea of performance that helps explain why the Defendant is able to participate directly in this sub-event despite strong restrictions on his or her participation earlier in the discourse. Thus, in this position of seeming powerlessness the Defendant is finally afforded the opportunity to speak. The performance changes the power hierarchy so as to give power to the Defendant to speak with few restrictions. Although in this data all the defendants are penitent and apologetic. For example:

- Def-J I've been extremely selfish. I've missed two years of my son's life. I'm thankful for this chance if I get it. I won't let you down, your honor.

- Def-J I know I messed up. I know I've been a knucklehead.
 Def-J I'd like to apologize to those I've hurt, to the taxpayer that struggles to keep me incarcerated, and mostly I'd like to apologize to my family.

This opportunity to speak represents the Defendant's only legitimate interaction in the performance. The actual person who is the defendant in the case may in fact participate earlier, but only under the role of Witness.

It is important to note that the Judge does have some restriction in the content of his or her interaction during sentencing. When actually announcing the sentence, the Judge must use the phrase "I sentence you to..." This is one of the Judge's only content restrictions in all of the courtroom performance.

6. Judge-Audience (Sentencing)

Throughout the performance, the Audience has the strictest restrictions of any role. These restrictions on the Audience are enforced to the point that a sign with the following warning can be seen in the audience seating area of all the courtrooms in the Provo Fourth District Court.

"WARNING. Unless you are legal counsel, please do not speak to anyone in the jury box. If you do so, you will be asked to leave the courtroom and may be found in contempt of court."

This is also illustrated by an incident in which a member of the audience attempted to participate at an inappropriate time:

- Aud-J Your honor, I would like to address the court on this. I'm the victim in this case and received no...
 J-Aud (interrupting) I'll have you speak with the prosecuting attorney.

The Judge refused to allow the Audience to participate at this point, and referred that particular member of the audience to speak with a lawyer, and although not explicitly stated, it is inferred that that interaction would take place outside the performance.

The legitimate interaction between Judge and Audience takes place only during the subevent of sentencing. Before the Judge passes sentence, he or she asks if anyone present would like to speak on behalf of the Defendant. At

this point, any member of the audience (usually a relation of the defendant) may receive permission to speak to the Judge about the Defendant. When this happens, the member of the audience is invited to in front of the barrier, and stand facing the Judge in the center of the courtroom. In the following examples the members of the audience are the mothers of the defendants.

Aud-J I know that what happens today will be the best for him. He comes from Mormon Battalion heritage, Mormon Pioneer heritage, and on the Navajo side they were also great warriors.

Aud-J He's had a rough life. It didn't help that I was using at the time. I got help and I've been clean for twelve years. We'e going to help him through. I know he can do it. I just know he can.

There is an enormous disparity between the restrictions placed on the Audience throughout most of the performance and the extreme freedom given, once being offered a chance to speak during the sub-event of sentencing. This would certainly pose a problem for a totally power-based approach, in which the Audience would have to be seen, throughout most of the discourse, as having so little power that they are not allowed to speak at all. However, Courtroom Discourse Verbal Performance can very clearly explain this disparity. The Audience has very high restrictions on when they can participate, however, when their time to participate comes, they experience no observable restrictions on the content of their interactions. Power schemas are manipulated by the performance. It is also interesting to note that the two excerpts included above both come from speeches that lasted over five minutes. This length of turn is unheard of in any other sub-event or from any other role.

7. Lawyer-Jury (Opening Statement, Closing Statement)

These interactions take place during opening and closing statements, and in the jury selection process. Due to difficulties in obtaining opening and closing statements from the Provo 4th District Court, an opening statement is quoted here from McElhaney's Trial Notebook (McElhaney, 2005). This is an opening statement of R. Eugene Pincham. He relates an episode from his personal life in an attempt to illustrate a point important to the case.

"I have one rule around my house;
"Stay out of my wallet!"

If you need money, come ask me for it. If it is worthwhile and I have the money, I'll give it to you, but "Stay out of my wallet!" There is one exception. That's my wife, Alzata. After thirty years of marriage, to me, she has the right to go in my wallet. But for the children: "Stay out of my wallet!" The other night when I went to bed, I put my wallet on my dresser like I always do. And when I got up the next morning, I checked my wallet to make sure I had enough money to park the car and have lunch. When I checked my wallet, I only had one or two dollars, and I knew I had twenty in there the night before.

So I asked my wife, "Alzata, did you take that twenty-dollar bill I had in my wallet?"

"No, honey, I haven't been in your wallet."

"All right," I said, "call the family together."

"Get everybody downstairs, because somebody took a twenty dollar bill out of my wallet, and know there has been no burglary in the house."

Well, Sandy was off for the weekend, and had not returned, so that left the two boys, Scooter and Jim.

Scooter—he's eighteen—he's the slick one. Jim—he's twelve—he's the naive one.

They came downstairs, and I said,

All right, one of you two's been in my wallet, and I want to know who."

Scooter, he said, "I haven't been in your wallet, Dad."

And Jim, he said, "I haven't been in your wallet, Daddy."

I was mad. "Now one of you is lying, and I'm going to find out who. I am going to get to the bottom of this."

"Tell you what I'm going to do. I am going to give me out some immunity."

Then Jim, he's the naive one, he says, "Immunity? What's immunity?"

And Scooter, the slick one, says, "Immunity is where you can't be punished for what you did, but you got to talk about it."

So Jim says, "I don't need any of that, 'cause I didn't take any money."

And Scooter says, "You going to give out immunity?"

I said, "That's right."

Scooter said, "Sign the order. I took the money from your wallet."

"O.K.," I said, "What did you do with the money?"

Scooter said, "I gave some of it to Jim!"

"Jim," I said, "You are convicted. No more bowling for a month. No movie on Saturday night. No more television. You are going to your room and you are going to stay there.

You are guilty."

That night I heard something no parent ever likes to hear. I heard my boy in his room, crying. Alzata asked me, "Gene, why did you do that to Jim?"

I told her, "Because he's guilty. I gave Scooter immunity. He's got no reason to lie."

Alzata looked at me and said, "That's no reason not to believe Jim. He's your flesh and blood, too." (McElhaney, 2005: 690–691)

This opening statement takes an informal, colloquial tone. This can be understood by the fact that this sub-event of the performance sets up the power hierarchy in such a way so as to allow the Lawyer to have almost complete control over the discourse with the Jury. He or she is the only one allowed to communicate at that time. Thus, by mitigating that power the Lawyer can create solidarity between himself or herself (and his or her client by extension). This is another prime example of how the performance changes and molds the power structure of a subevent within courtroom discourse, and how those in the participating roles utilize that particular structure further their cause.

The closing statement has similar characteristics to the opening statement. The Lawyer wants to create a bond with the Jury. This closing statement is taken the book *Ladies and Gentlemen of the Jury: Greatest Closing Arguments in Modern Law* (Lief et al., 1998: 141, 145). This closing statement was given by Gerry Spence at the highly publicized trial *Silkwood vs. Kerr-McGee*.

"All I have is suspicions. I can't prove a thing." Their own witnesses, witness after witness, who was willing to point the finger without any evidence—how do you like that? How would you like that if it was your child who was dead, and whose lips are sealed by death, who can't come forward and tell her side? Now, I think it is

shameful to point the finger in accusation, and know, as Mr. McGee knew clear back in 1975: "It is not likely that the source of her contamination will ever be known." He knew that. The AEC had come in and never came to any such conclusion. They investigated it. Morgan Moore said, "All there are are suspicions." Everybody said they can't prove it. "I can't prove it, I can't prove it, I can't prove it." They couldn't prove it. Mr. Paul knew he couldn't prove it when he talked to you the first time, and still he has been willing to make the accusation. Why? Because it is the only defense they have, and they hope to drag you into mud springs.

Like Will Rogers used to say: "If you say it enough even if it ain't true, folks will get to believing it."

Well, I think it is reckless. I would like to see that kind of stuff stopped. I think a verdict in this case should stop it. It is necessary for people to be honorable, and to tell the truth, and if they can't be honorable and tell the truth, then to not make reckless accusations and destroy and desecrate the good name of a decent, honorable person.

Now, I heard Mr. Paul say this: "My heart reaches out praying for answers based on the evidence". "Praying for answers based on the evidence". I would think he would pray for answers based upon the evidence, because he hasn't got any. He doesn't have any more now that [sic] he ever did. All that you ever heard Mr. Paul say, as he stood up here and pointed his finger toward Karen Silkwood—and I want you to stop and remember, ladies and gentlemen, please, that this is a free country—and the one thing that makes this country different from all the other countries in the world is that when somebody makes the accusation against a citizen of this country, alive or dead, they have to make the proof. Mr. Paul doesn't have the right to come into a court and say: "I think this happened."

And: "I think that happened." And: "Maybe this happened." And: "Isn't it probable that this happened." And: "I think the circumstances of this, and the circumstances of that." And to take a whole series of unrelated events and put them together and try to tell you somehow that I have the responsibility that the judge and the law doesn't place upon me, and to mislead you in that fashion. And I'm angry about that. I expect when a corporation of the size of this

one comes into this courtroom that they should bring you honest, fair, documented evidence—that they shouldn't hide behind little people—and that they should bring you the facts that they know."

He uses numerous parallelisms, and repetitions, and just as in the opening statement seen above, a colloquial style meant to create a bond of solidarity between the Jury and Lawyer. It should also be noted that opening and closing statements contain perhaps the most aesthetics of any part of an American court trial. Many of Bauman's seven keys are found in these statements. Particularly clear are the figurative language (analogy, or perhaps even allegory) of the opening statement above, and the parallelism used in the closing statement.

During jury selection process, at the request of the judge, each of the lawyers introduced themselves and their law firms, and stated who they had consulted with on this case as well as who they intended to call as witnesses. This was done to ensure that none of the potential jurors had a bias because of acquaintance with someone who had worked on the case.

L-Jury I am (Name redacted) from (Law firm name redacted). I have consulted with (Names redacted) on this case. We intend to call (Names redacted) as witnesses.

8. Lawyer-Witness (Witness Questioning)

The Lawyer-Witness interaction takes place only during witness examination. Each witness is questioned by one lawyer on each side. The restrictions for these roles are perhaps the strictest of any interaction in courtroom discourse. The Lawyer is under a restriction on the content of his or her interaction and must only communicate with the witness by asking questions. The Witness is required to answer these questions. The way in which the witness answers the question is subject to some variation. The interaction of Lawyer and Witness during witness examination is most often pointed to as a power-based interaction in courtroom discourse. This comes about in part because of the common practice among witness of using linguistic hedges that are seen to indicate lack of surety, weakness, or deference to the authority of the Lawyer asking the questions (Bradac et al., 1981: 328).

However, the data presented here show a slightly modified situation. Hedging is indeed a common aspect of the speech of witnesses. But, this

seems to be most prevalent when the witness is asked to recall events, and people from a particular day relevant to the trial. In many cases years have passed since the incident (four years is the longest gap between incident and trial that is recorded in this study). But, this data will show that when witnesses are asked not about distant events, but about topics for which they have definite knowledge, the hedging disappears.

Here are the examples of hedging:

L-W That would be incorrect, right?

W-L I think so, yes.

L-W Can we say you left at 11:30?

W-L I guess, I can't be sure.

L-W Who was the other cousin?

W-L I'm not sure, I don't know.

L-W Would you define this as 'quiet time'?

W-L I guess.

L-W Did Mrs. (Plaintiff) ever tell you that she was non-compliant in taking her (medicine name)?

W-L Well, I don't recall that. Not in my recollection. I think it's in the medical records.

These are all paragon examples of witnesses hedging in answering questions during witness examination. But, this must be compared with the following interaction. The witness that does not hedge in the following set is the same witness that hedged in the previous set.

L-W What's the basis of your opinion on this?

W-L Experience.

L-W In your experience how many times has an MRI missed a tear?

W-L Hundreds.

What happened after this interaction is very important. The Lawyer, who had built up an argument based on the infallibility of an MRI scan, is suddenly flabbergasted. The Lawyer proceeds to try to ask another question, false starting three times, while glancing between the ground, the witness, and her notes. This is hardly the powerful image presented in the literature. (See Adelsward, 1987; Aronsson et al., 1987; Biscetti, 2006; Bradac et al., 1981; Fuller, 1993; Gnisci & Bakeman, 2007; Hobbs, 2007; and Keating, 2009). This interaction defies one of the major tenets of power-based

approaches to courtroom discourse: lawyers have greater power than witnesses. However, in a completely power-based approach, the Witness's terse, un-hedged statements followed by the Lawyer's false starts would seem to indicate the witness is asserting power in this discourse.

The same witness that quite excessively hedged when asked about a particular statement made years earlier does not hedge in any sense when asked about a topic of his specialty. This is indicative of the fact that hedging comes not as much from power difference as it does from the content the Witness is asked to speak about. Contrary to the evidence presented here, a totally power-based approach would expect hedging to show up in all parts of a Witness's speech because of the Witness's perceived lack of power (See Adelsward, 1987; Biscetti, 2006; and Bradac et al., 1981).

9. Jury-Witness (Witness Questioning)

This interaction is extremely restricted and actually can only happen after both opposing Lawyers have fully questioned a witness. The Judge then asks for any questions from the Jury for the Witness. If there are questions, these are written down, and handed to the Judge, who then converses with the opposing Lawyers. During this consultation, the Judge's microphone picks up static creating noise enough in the room to keep others from hearing the conversation, with the effect of removing it from the performance. If a question is accepted, the Judge then asks the Witness that question. Presented here is an example:

- J-Jury Does the jury have any questions for the witness? (Juror raises hand) Write the question down and give it to the bailiff. (Bailiff retrieves question written on a small piece of paper and hands it to the judge)
- J-L Counsel, come on up. (Judge hits a button which transmits static over the microphone so as to not allow the jury or the audience to hear the discussion. The witness is able to hear it quite well.)
- J-W Is there a hinge on the water meter?

All other logically possible interactions in the courtroom are forbidden to occur within the performance. Some of these roles do in fact interact during the time that the performance is happening, but if they are to interact, they must either do so in a way that cannot be heard (whispering, writing down

notes, etc.) or they must leave the courtroom to interact. Some of these forbidden interactions will be mentioned here with some notes.

10. Lawyer-Lawyer

One instance of interaction between Lawyers from opposing sides was recorded. It is interesting to note that because this interaction is forbidden, the communication was whispered.

L-L (whispered with heads almost under their respective tables as if trying to be out of sight and earshot of the Judge) Do you have a copy of that?

This was apparently an administrative task that was supposed to have been taken care of before the beginning of the trial. The fact that this was whispered while their heads were ducked seems to indicate that this was not in fact permissible within the performance.

11. Jury-Jury

The Jury makes its decision on verdict by interacting with each other. However, that interaction is never allowed in the courtroom itself. When this interaction happens, it is in a separate room away from all other participants in the performance. This is why this interaction is considered forbidden.

All the interactions mentioned here work together to form a complete picture of the interactions of courtroom discourse. By taking the whole courtroom event as context, analysis with the Courtroom Discourse Verbal Performance framework has shed light on the responsibilities and restrictions of each of the participants in a court trial



EXERCISE 2

- 1) What is legal language? Why is it called a legal medium?
- 2) Who are the main speakers of legal language? Explain!
- 3) What does it mean by 'style' in the context of language as legal medium?
- 4) Why do Knapp (1978) and Smejkalová (2009) state that the most important difference that sets off legal language from ordinary language is its lexicon?

- 5) The following sentences are used in the ordinary language. Rewrite them and change their structure to meet the syntactical structure of legal language.
- a. Checking the students' translation assignment reveals the reality of difference between the quality of the acceptable students' works strengthened by the reading experience on weird product-oriented research findings about the very low readability of translation product with high acceptability.
 - b. The boy's hobby in swimming different from his sister's hobby in travelling for new challenges and new friends despite spending a lot of money for it is considered as one of the supporting evidences to let him free of being accused as the murderer.
- 6) List the seven "keys" of performance as the features of courtroom discourse proposed by Bauman (1977)!
- 7) Why does courtroom discourse involve the repetition, with systematic variation, of phonic, grammatical, semantic, or prosodic structures, the combination of invariant and variant elements in the construction of an utterance?
- 8) Analyze the features of courtroom discourse in the following text!
- The victim in this case deserves justice. He deserves justice regardless of who fired the bullet. Our case has removed whatever cloak of innocence the defendant started with. I have wept about my responsibility to the family of the victim. They have lost a nephew, a grandchild, and a son. Let me tell you this, ladies and gentleman: unlike all the other witnesses in this case, the defendant has a benefit and the benefit that he has, unlike all the other witnesses, is that he gets to sit here and listen to the testimony of all the witnesses before he testifies. That is a huge advantage. He gets to sit there and think, "What am I going to say and how am I going to say it? How am I going to fit it into the evidence?" This office would not bring witnesses in front of you who are not credible. We have a duty only to bring those witnesses in front of you who will tell the truth. We do a good job and a careful job of interviewing witnesses to make sure that they are not convicting the wrong person. As an assistant prosecutor, I stand here today under the solemnity of my official oath and say to you, as a man and a citizen, that I believe that their witnesses not only lied, they committed willful and deliberate perjury. If the evidence of this case was untrustworthy and did

not indicate this defendant's guilt, I would have dismissed this case. Further, I stand here seeking justice; the defense counsel just wants to get the client acquitted. The defense counsel cannot lose any friends in this community because he cannot lose what he never had. If you want to live with the defendant then find him not guilty.



SUMMARY

The use of forensic linguistics has been seen in a variety of criminal cases around the world. Its application spans everything from plagiarism, insurance contracts, trademarks and patents to court procedure, confessions, hate crimes and murder. Forensic linguistics has specific language known as legal language which is different from ordinary language. Its distinctiveness may be seen in a number of characteristics that differentiate it from the language of ordinary use.

Legal language with respect to the nature of its use that can be described as normative, performative and technical. More specifically, the principal characteristics of legal language can be seen in terms of the speakers involved and the stylistic features. The main legal language users or speakers may include legislators (the drafters or the writers the laws), judiciary (judges and people who influence the written judgements), and lawyers. The type of speaker influences the particular style of the legal language: there is a difference between the language of an Act of Parliament and the language used by lawyers when talking to one another about legal matters.

Meanwhile, the style of legal language can be described mainly with regard to its syntactical structure and specific vocabulary or lexicon. In terms of syntactical structure of legal language, ten features can be identified, namely nominalization, passives, whiz deletion, conditionals, prepositional phrases, sentence length and complexity, unique determiners, impersonality, negatives, and binomial expressions or parallel structures. In terms of lexicon, legal language makes use of numerous words and terms that are not common in ordinary language or carry an additional meaning different from their ordinary meaning. The lexicon can be distinguished from the following groups of words: (i) legal terms, (ii) words with specific legal meaning and specific meaning in another specialized language, (iii) words with both specific legal meaning and ordinary meaning, (iv) words having specific legal meaning, specific meaning in another specialized language as well as ordinary meaning, and (v) words with neutral meaning.

In addition to the syntactical structure and specific lexicon, legal language can be characterized based on four mannerisms as proposed by Mellinkoff. These mannerisms are: (i) legal language is extraordinarily wordy; (ii) legal language lacks clarity; (iii) legal language is pompous; and (iv) legal language is above all simply dull.

In terms of the application of legal language in the courtroom discourse, Bauman (1977) list seven “keys” of performance as the features of courtroom discourse: (1) special codes, (2) figurative language, (3) parallelism, (4) special paralinguistic features, (5) special formulae, (6) appeal to tradition, and (7) disclaimer of performance. Besides, in studying discourse and different language in the courtroom, it is also important to discuss the individual interactions of performance roles in courtroom. It should be noted that not all roles have the same amount of ability to interact within the courtroom. For example, the role of Judge can interact in some fashion with every role in the performance. These interactions often have to do with the performance itself, or rather, making sure that the performance stays orderly. This includes ruling on objections, and the bailiff’s call of “All rise” when the judge or jury enters or exits the courtroom. Meanwhile, the Audience role has the least interactional freedom, being only able to interact with the Judge role. There are at least six sub-events that come together to form the entire courtroom discourse event, namely (i) Entry of Plea, (ii) Jury Selection, (iii) Opening Statement, (iv) Witness Questioning, (v) Closing Statement, and (vi) Sentencing. These six sub-events help to showcase the changing nature of the power structures of courtroom discourse.

Despite the importance of language in the judicial process, and despite the fact that language evidence can be as important as physical evidence, the reality is that linguistic evidence or the roles of language do not enjoy the same degree of scrutiny by investigators, lawyers and the courts. Furthermore, many of the legal professionals are unaware of the existence of forensic linguistics or forensic linguists. Therefore, more studies on forensic linguistics should be conducted in order to bridge the communication gaps between lawyers and forensic linguists.



FORMATIVE TEST 2

- 1) Cao (2007: 13-20) classifies legal language with respect to the nature of its use that can be described as normative, performative and technical. Explain each of the features described by Cao!
- 2) Why is it necessary to identify the type of the legal language speakers?

- 3) What are the syntactic features of legal language proposed by Danet (1985: 281). Elaborate your answers by providing examples for each!
- 4) Which of the following clauses are commonly used in legal language? Circle your answers! For those which you consider as the example of the use of ordinary language, rewrite them to fulfill the criteria of legal language!
 - a. The defendant for the robbery case felt guilty.
 - b. The case which is being talked about has been internationally known.
 - c. People gave different opinion about the judge's decision.
 - d. If the punishment were illogical, the defendant would appeal.
 - e. The said property was brought to the court.
- 5) Mention the lexical features of legal language proposed by Danet (1985: 279-286) and Hiltunen (1990: 81-87)! Explain each!
- 6) Bauman (1977) states that figurative language is essential to performance, particularly 'artistic verbal performance'. Prove it!
- 7) Mention the individual(s) involved in the courtroom interactions! Then, explain the roles of each individual interactions in the courtroom!

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't

		mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

Answer Key

Unit 1:

Exercise

- 1) Forensic linguistics is a branch of applied linguistics that studies on law and its matters related to the language use. The range of topics includes identification of speakers via voices analysis (forensic phonetics) and identification of writers of relevant legal texts, which can be blackmail letters, written claims of responsibility, confessions, testaments, or plagiarism.
- 2) Forensic linguistics has developed from a research-based understanding of language. Forensic linguists may quote observations from research undertaken in fields as diverse as language and memory studies, Conversation Analysis, Discourse Analysis, theory of grammar, Cognitive Linguistics, Speech Act Theory, etc.
- 3) Because before forensic linguistics is established as a discipline in the arena of judicial process, other disciplines, such as fingerprint identification and shoeprint analysis, are much older, have been a well established presence in this arena.
- 4) a. United Kingdom is a country in which the term forensic linguistics was firstly introduced. The introduction of this term was motivated by the case involving Timothy John Evans who was accused to have murdered his wife and baby at 10 Rillington Place, Notting Hill, London. In the early development of Forensic Linguistics in the United Kingdom, many cases involved questioning the authenticity of police statements. The first example of expert evidence being given from the witness box on this matter was at a murder trial at the Old Bailey in 1989, where Peter French demonstrated the presence of police register in an incriminating statement the prosecution claimed was entirely in the words of one of the defendants.
b. In the United States, the early development of forensic linguistics concerned the rights of individuals with regard to the interrogation process. In 1963 Ernesto Miranda was convicted of armed robbery, but appealed on the grounds that he did not understand his right to remain silent or to have an attorney present at the time of questioning. Another early application of Forensic Linguistics in the

United States related to the status of trademarks as words or phrases in the language. An early case involved a dispute surrounding an aspect of the brand name 'McDonald's', owners of the multi national fast food chain.

- c. In Australia, the early development of forensic linguistics also concerned with the rights of individuals in the legal process, in particular difficulties faced by Aboriginal suspects when being questioned by police.
 - d. In Germany, the early development of forensic linguistics was related to the use of certain expressions in the conversation is considered a crime. An early case involved an alleged slander by a tenant in an apartment complex of a fellow tenant. The issue discussed was whether the word *concubine* was an insult.
- 5) Forensic linguistics has developed from a research-based understanding of language. Its early focus was in understanding the language of the written law, its complexity and its origin, as well as the use of language in forensic procedures. Moreover, today, it also studies judicial process from point of arrest, and through the interview, charge, trial and sentencing stages.

Formative Test

- 1) Forensic linguistics belongs to applied linguistics because it involves the application of linguistic knowledge to a particular social setting, i.e. in the context of criminal and civil law.
- 2) Forensic linguistics is the application of linguistic knowledge to a particular social setting, namely the legal forum.
- 3) Forensic Linguistics was firstly introduced in England in 1968 by Jan Svartvik, a linguistics professor in his book entitled "The Evans Statements: A Case For Forensic Linguistics".
- 4) Police register is phrasing containing statements produced by police officers such as asking a series of questions, taking down notes and then writing or typing the suspect's statement.
- 5) a. As the study of signs (both verbal and nonverbal signs) and symbols, semiotics contributes to forensic linguistics in the form of forms of textual analysis to legal discourse, such as judicial argumentation, legal performatives, and judges' summations.

- b. Both auditory and acoustic methods of analysis are used in forensic linguistics. The primary areas of auditory research in forensic phonetics are speaker discrimination and identification by victims and witnesses, voice perception, discrimination, imitation, and disguise, and identification of class characteristics of speakers, including first-language interference, regional or social accent and dialect, and speaker age. The primary area of acoustic analysis in forensic phonetics is speaker identification, but many studies have also been done to identify class characteristics of speakers, including physical height and weight, regional, social, or language group, voice and accent disguise, effect of intoxication on speech, and technical aspects of speech samples and recordings.
- c. The focus of semantic analysis in forensic contexts is on the comprehensibility and interpretation of language that is difficult to understand.
- d. Pragmatics is important for forensic purposes because speakers and writers do not always directly match their words with the meaning that they intend to convey. Since listeners and readers may also be unsuccessful in matching expression to intended meaning, the speaker's or writer's intended meaning is more open to interpretation by the listener or reader, sometimes resulting in mistaken understanding, miscommunication, and, eventually, conflict.
- e. The focus of forensic stylistics is author identification of questioned writings in order to determine if one author wrote all the writings in a questioned set, to compare a questioned writing with the writings of a large number of possible authors, and to assess the resemblance of a questioned writing to that of one author or a small number of candidate authors.
- f. Interpreting is a complex skill under any circumstance, but it is especially difficult in forensic contexts. Interpretation studies focus on interpretation tasks specific to questions and answers in testimony, the perceived role of the interpreter, interpreter education, the right to interpretation, etc.
- g. Psycholinguistics introduces psycholinguistics approach to forensic linguistics analysis. This approach examines written or spoken language for indications "as to the origins, background, and

psychology of the originator” especially in contexts of threatening language.

Unit 2:

Exercise

- 1) Legal language is a specialized language of legal norms and related discourse which is different from a language of everyday use by a population. It is called a legal medium because it facilitates the use of language in legal forum or judicial process.
- 2) Legislators. They are people who create the laws in the written form and who have real influence on definitions of legal terms.
Judiciary. They are judges and people who influence the written judgements such as assistants to the judges or court clerks.
Lawyers. They are people who advise and represent individuals, businesses, and government agencies on legal issues and disputes.
- 3) Style in the context of language as legal medium can be defined as linguistic aspects of the written legal language and also as the way in which legal problems are approached, managed and solved.
- 4) Because legal language makes use of numerous words and terms that are not common in ordinary language or carry an additional meaning different from their ordinary meaning. Through the use of specific vocabulary, the language can be more easily recognized as legal language.
- 5)
 - a. While checking my students translation assignment, I come across the reality that some students submit a very good result of translated version while others do not, even both works are acceptable and this idea then becomes stronger when I read many product-oriented research findings stating that translation product proved to be very low readability and accuracy but highly acceptable.
 - b. The boy who likes swimming makes him have different characteristic from his sister who likes travelling because she likes new challenges and gets new friends although she spends a lot of money for it, and these two different hobbies can help him to be let free after he is accused as a murderer.
- 6)
 - a. special codes,
 - b. figurative language,

- c. parallelism,
 - d. special paralinguistic features,
 - e. special formulae,
 - f. appeal to tradition, and
 - g. disclaimer of performance
- 7) The repetition and variation of the statement of a witness, with each variation containing a new way to mark uncertainty, is used to foreground the fact that the witness does not, in fact, know what happened, but has some ideas about it.
- 8) Free answer.

Formative Test

- 1) Legal language is normative because the language of law is used to impose rights and obligations; it is largely prescriptive. Law's basic function is to regulate human behaviour and human relations.
 Legal language is performative because the language by itself carries performance or actions. Legal effects and legal consequences are commonly obtained by merely uttering certain words.
 Legal language is technical because it has some technical terms which are different from the ordinary language usage.
- 2) Because the type of speaker influences the particular style of the legal language. There is a difference between the language of an Act of Parliament and the language used by lawyers when talking to one another about legal matters.
- 3) Nominalization. It changes the syntactical function of any linguistic elements – words, phrases, clauses – into nominal function. Example: *his ability* to replace *he is able*.
 Passives. They are characteristic of formal documents; sometimes an active verb may be more suitable in a sentence but the use of the passive makes it more formal. Example: *This problem is limited to* instead of *The lawyer limits the problem to*
 Whiz Deletion. It means the omission of the wh-forms plus some forms of the verb to be. Example: *the case discussed* instead of *the case which is discussed*
 Conditionals. They are sentences composed of conditions and their consequences. Example: The defendant would not have been sent to jail for years if he had been cooperative during the judicial process.

Prepositional Phrases. A prepositional phrase can string out one after another, therefore, it is often misplaced. Example: *one of the witnesses at the court in the second session of the judicial process*

Sentence Length and Complexity. An average sentence contains 55 words (twice as many as in scientific English, for example), and there are 2.86 clauses per sentence in the legal style. Example: *The defendant accused for the murder of his neighbor in his new residence cried (1) because he had frequently said to all of the officials at the court (2) that he didn't do any crime (3) and he had confirmed (4) that he was not in town (5) at the time the accident happened (6) and many of his friends justified his statement (7).*

Unique Determiners. The distinct representatives are those of *such* and *said*. They are used in a way specific only for the legal discourse. Example: *the said evidence, such robbery, etc.*

Impersonality. Though legal documents are made to serve as a communication between two (or more) parties, they are typically written in the third person as it adds to the degree of formality. Example: *parties* to refer to *Contractor, the Grantee, the Borrower, the Lender, etc.*

Negatives. Especially multiple negatives are characteristic items of the legal language. Example: *not unconcious* to mean *concious*

Binomial Expressions and Parallel Structures. The legal register is striking for its use of elaborate parallel structures and that binomial expressions are a special case of parallelism. Example: *goods and materials*

- 4) The clauses commonly used in legal language are: a, d, and e.
 - b. The case being talked about has been internationally known.
 - c. Different opinion about the judge's decision is given.
- 5) Technical Terms – every profession and occupation is typical of its special technical vocabulary.

Common Terms with Uncommon Meanings – the legal register uses familiar words but with uncommon meanings

Archaic Expressions – typically, legal documents are abundant in items such as *hereinafter, hereto, hereby, hereof, aforesaid, whosoever, thereof, therein, etc.*

Doublets – they are also referred to as word pairs.

Formality – many expressions of legal English have a high degree of formality.

Unusual Prepositional Phrases – the preposition *as to* frequently appears in legal English; another example is *in the event of*.

Frequency of Any – this word is considered redundant, but in legal documents is more than common.

- 6) There are aspects of courtroom discourse that depend heavily on figurative language. Central to the idea of a trial is that of guilt or fault, meaning that a person or persons is guilty of making some condition arise, or even, in fact, of intending to make it arise. Guilt can be seen as an ontological metaphor. This concept is incorporated into language in many ways. A jury declares a person to have guilt or be free from guilt. A judge may determine how much at fault a person is and thus how much they need to be punished. Thus, the figurative language of guilt is central to courtroom discourse.

- 7) Judge. The role of judge contains the judge, the bailiff, and the judge's secretary. The role of Judge has the responsibility to keep order and maintain the integrity of the performance. The Judge is also responsible for recesses. Recesses allow the performance to be broken into many portions. The Judge is also responsible to hand down sentence. This underscores the Judge's connection to political power. The Judge can say whatever he or she deems necessary in each situation.

Lawyer. Each courtroom event has at least one incarnation of the role of Lawyer; at least one for the prosecution and at least one for the defense.

Witness. This role may be filled by those who may also happen to fill the role of Defendant or Audience in other sub-events. This role has unique interactional restrictions, and so even though it is filled by people who may also fill other roles, while being a witness, that person must adhere to the rules for the role of Witness.

Defendant. This role shows itself as a separate role only in entry of plea and sentencing. Otherwise, the defendant is represented by someone in the role of Lawyer.

Jury. The role of Jury is made up of multiple (eight, in this data set) individual jurors. All jurors share the same restrictions on language use and must come to a unified conclusion at the end of the trial.

Audience. The Audience is the only non-essential role. It can be absent and the courtroom process will continue. However, if there are people who make up this role, those people share the same interactional restrictions and are thus considered part of the role of Audience.

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Research In Applied Linguistics

Dr. Refnaldi, M.Litt



INTRODUCTION

Dear students! Welcome to module 9 concerning research in applied linguistics. This module mainly deals with the nature of research in applied linguistics. As matter of fact, the materials and discussion on research in applied linguistics are too broad to pack in one module. Thus the explanation in this module focuses on some broad areas, namely understanding research in applied linguistics, quantitative research, and qualitative research.

After finishing this module, you are kindly expected to be able to:

1. mention and argumentatively criticize the available definitions of research;
2. explain types of research in applied linguistics
3. explain the characteristics of quantitative research
4. explain the types of research designs in quantitative research
5. explain the characteristics of qualitative research
6. explain the types of research designs in qualitative research

To achieve the objectives academically, the presentation and explanation of learning materials, including the exercises of this module are elaborated in three units. Unit 1 is about the nature of research in applied linguistics which is highly aimed at achieving objectives 1 and 2. Unit 2 deals with the quantitative research which leads you to successfully come to objectives 3 and 4. Unit three is qualitative research which leads you achieve objectives 5 and 6. Please keep in your mind that the general objective of Module 9 is to serve you to be able to understand and have argumentations on the nature of research in applied linguistics.

As this subject belongs to content subject in linguistics, reading activities and academic discussion in groups or in pairs are highly suggested.

Therefore, the following activities are kindly suggested to do in order to learn this module successfully.

1. Please read carefully the materials and explanation in each unit;
2. then, read further related references and information by means of independent learning and reading;
3. do not forget to add relevant examples and have discussion in groups or in pairs;
4. sometimes it is not easy to have better understanding on certain complex and complicated concepts. If it is so, read the materials again and you may have comparative discussion with your partners;
5. do all the exercises and compare your answers with those of your friends before consulting the key answers provided!

All right students, do your best and good luck!

UNIT 1

The Nature of Research in Applied Linguistics

A. WHAT IS RESEARCH

Research is the term that is difficult to define. There are several reasons why it is difficult to define. According to McKay (2006: 3) the most significant reason is because research is multifaceted, differing in theoretical frameworks, goals, methods, and data sources. Another factor that contributes to the lack of comprehensive definition of research is that the term research often has unpleasant connotations, which lead some to avoid using this term. Many graduate students share their negative attitude toward research. They say that research is endless, painful, boring, and time consuming.

Actually when students first take the course on "Research Methodology" they are likely to hear terms such as 'statistics', 'sampling', 'validity', and 'reliability', which make this look very complex and technical, and also quite intimidating. Some have the image that the person conducting the research wear the white coat and do all sorts of strange things in a laboratory. Such technical terms and image all suggest that research is something that only experts do and the ordinary people should steer clear of.

Nunan (1992: 2) asked a group of graduate students who recently took a course of research to complete the following statements: 'Research is ...' and 'Research is carried out in order to ...'. These are some of their answers.

Student answers with regard to the statement 'Research is ...' are as follows:

- About inquiry. It has two components: process and product. The process is about an area of inquiry and how it is pursued. The product is knowledge generated from the process as well as the initial area to be presented.
- A process which involves (a) defining a problem, (b) Stating an objective, and (c) formulating a hypothesis. It involves gathering information, classification, analysis, and interpretation to see to what extent the initial objective has been achieved.

- Undertaking structured investigation which hopefully results in greater understanding of the Chosen interest area. Ultimately, this investigation becomes accessible to the public.
- An activity which analyzes and critically evaluates some problems.
- To collect and analyze the data in a specific field with the purpose of proving your theory.
- Evaluation, asking questions, investigations, analysis, confirming hypothesis, overview, gathering and analyzing the data in a specific field according to certain predetermined methods.

(Quoted from Nunan, 1992: 2)

Students' responses to statements relating to 'Research is Carried out in order to ...' are as follows.

- Get a result with scientific methods objectively, not subjectively.
- Solve problems; verify the application of theories, and lead on to new insights.
- Enlighten both researcher and any interest readers.
- Prove/disprove new or existing ideas, to characterize phenomena (i.e., the language characteristics of a particular population), and to achieve personal and community aims. That is, to satisfy the individual's quest but also improve community welfare.
- Prove or disprove, demystify, carry out what is planned, to support the point of view, to uncover what is not known, satisfy inquiry. To discover the cause of the problem, to find the solution to a problem, etc.

(Quoted from Nunan, 1992: 2)

Study or research today means finding a theory, theory testing, or troubleshooting. This means that the problem has existed and been known that solving the problem is needed. The problem is not an issue that is unusual in the sense that the solution can be obtained directly. Definition of study included in the scientific method is a way to find and reveal the truth with objectivity characteristic, because the truth acquired conceptual or deductive alone is not enough, but must be tested empirically.

Experts define research studies in a different way. However, there are many things they share in defining the term research. Here are some definitions of research suggested by the experts.

- Nunan (1992: 3) suggests the definition of minimal research, namely "research is a systematic process of inquiry consisting of three elements or components: (1) a question, problem, or hypothesis, (2) the data, (3) analysis and interpretation of data.
- Gay et al (2011: 5) says that "Research is the formal, systematic application of the scientific method to the study of the problem. The aim is to describe, explain, predict or control the phenomenon. The aim is to describe, explain, predict or control the phenomenon.
- Ary et al (2010: 6) argues that research is the application of a scientific approach to the study of a problem. This is a way to get useful information and accountable. The goal is to find answers to the question of meaning through the application of scientific procedures.
- Creswell (2012: 3) defines research as "a process of steps used to collect and analyze information to increase of our understanding of a topic or issue.
- Kerlinger (2002) defines research as the scientific study of systematic research, controlled, empirical, and critical investigation of expected hypotheses about the relationship between natural phenomena. "This definition has been widely embraced by the trialists so that the book is lifted directly that definition.

Research is called systematic because it follows the steps or stages that begin with identifying problems, linking the issue with existing theories, collect data, analyze and interpret data, draw conclusions, and incorporate these conclusions into the ranks repertoire of knowledge. In scientific research, every step is carefully planned so that fantasy and conjecture do not exist there. The problem is explained carefully and in detail, the variables are identified and selected, instruments are carefully selected or constructed, and conclusions can only be drawn from the data obtained. Thus the proposed recommendations are based on the findings and conclusions.

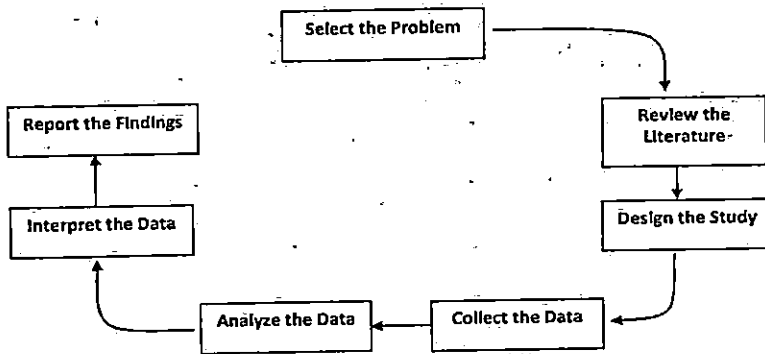
In general, research is defined as a process of data collection and analysis that is done systematically and logically to achieve certain goals. Collection and analysis of data use scientific methods in both quantitative

and qualitative ways, experimental or non-experimental design, and interactive and non-interactive manner. These methods have been developed intensively, through various trials that already have standard procedures. The research method is sometimes also called "research methodology" (actually less accurate but widely used), in a broader sense can mean "design" or the study design. This design contains the formulation of the object or subject to be studied, data collection techniques, data collection and analysis procedures with respect to the focus of particular problems.

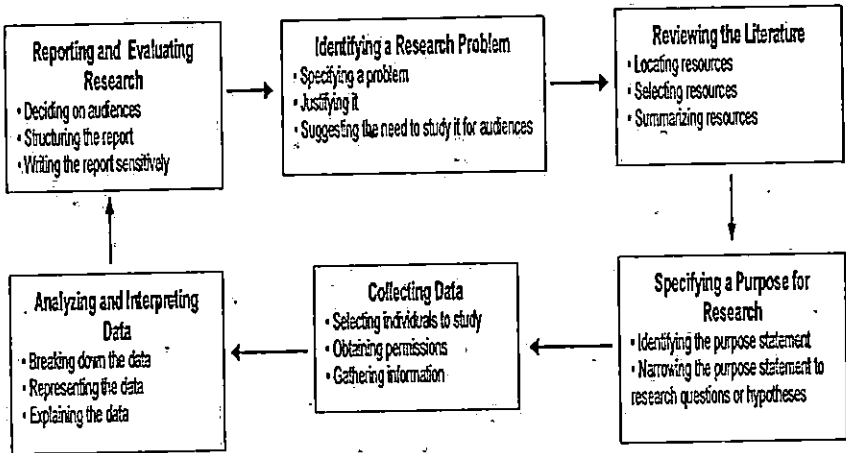
The research is an effort to develop knowledge, develop and test the theory. McMillan and Schumacher cite the opinion of Walberg (1986) says that there are five steps the development of knowledge through research, namely: (1) identifying the research problem, (2) conduct empirical studies, (3) replication or repetition, (4) unite or synthesis and reviewing, (5) use and evaluate by the executor. When data are collected, the empirical evidences can be obtained to then support or reject hypotheses formulated previously. The empirical data are used as the basis for drawing conclusions. Everything is so controlled such that each observer in the investigation is so sure of the outcome.

B. STEPS IN CONDUCTING THE RESEARCH

Ary et. al. (2010: 31-32) state that all researchers are involved in a number of activities in the research process, regardless of the type of methodology they choose in their research. There are seven general steps in the research process. They are (1) select the problem, (2) review the literature, (3) design the study, (4) collect the data, (5) analyze the data, (6) interpret the data, and (7) report the finding. These seven steps are described by Ary et.al (2010: 33) in the following diagram.



Creswell (2012: 7) proposes six steps in the research process. They are (1) identifying a research problem, (2) reviewing the literature, (3) specifying a purpose for research, (4) collecting data, (5) analyzing and interpreting data, and (6) reporting and evaluating research. These six steps are incorporated by Creswell into the following cycle.



The above picture shows that we begin a research study by identifying a topic to study—typically an issue or problem in education that needs to be resolved. Identifying a research problem consists of specifying an issue to study, developing a justification for studying it, and suggesting the importance of the study for select audiences that will read the report. By specifying a “problem,” we limit the subject matter and focus attention on a specific aspect of study.

The second step is reviewing the literature. It is important to know who has studied the research problem we plan to examine. We may fear that we will initiate and conduct a study that merely replicates prior research. However, faculty and advisors often fear that we will plan a study that does not build on existing knowledge and does not add to the accumulation of findings on a topic. Because of these concerns, reviewing the literature is an important step in the research process. Reviewing the literature means locating summaries, books, journals, and indexed publications on a topic; selectively choosing which literature to include in our review; and then summarizing the literature in a written report.

The skills required for reviewing the literature develop over time and with practice. We can learn how to locate journal articles and books in an academic library, access computerized databases, choose and evaluate the quality of research on your topic, and summarize it in a review. Library resources can be overwhelming, so having a strategy for searching the literature and writing the review is important.

The third step is specifying a purpose for research. If your research problem covers a broad topic of concern, we need to focus it so that we can study it. A focused restatement of the problem is the purpose statement. This statement conveys the overall objective or intent of your research. As such, it is the most important statement in your research study. It introduces the entire study, signals the procedures we will use to collect data, and indicates the types of results we hope to find.

The purpose for research consists of identifying the major intent or objective for a study and narrowing it into specific research questions or hypotheses. The purpose statement contains the major focus of the study, the participants in the study, and the location or site of the inquiry. This purpose statement is then narrowed to research questions or predictions that we plan to answer in your research study.

The next step is collecting data. Evidence helps provide answers to our research questions and hypotheses. To get these answers, we engage in the step of collecting or gathering data. Collecting data means identifying and selecting individuals for a study, obtaining their permission to study them, and gathering information by asking people questions or observing their behaviors. Of paramount concern in this process is the need to obtain accurate data from individuals and places. This step will produce a collection of numbers (test scores, frequency of behaviors) or words (responses,

opinions, quotes). Once we identify these individuals and places, we write method or procedure sections into our research studies. These sections offer detailed, technical discussions about the mechanics and administration of data collection. Many decisions, however, go into creating a good data collection procedure.

The next step is analyzing and interpreting the data. During or immediately after data collection, you need to make sense of the information supplied by individuals in the study. Analysis consists of “taking the data apart” to determine individual responses and then “putting it together” to summarize it. Analyzing and interpreting the data involves drawing conclusions about it; representing it in tables, figures, and pictures to summarize it; and explaining the conclusions in words to provide answers to our research questions. We report analysis and interpretation in sections of a research report usually titled *Results*, *Findings*, or *Discussions*.

The last step is reporting and evaluating research. After conducting your research, you will develop a written report and distribute it to select audiences (such as fellow teachers, administrators, parents, students) that can use our information. Reporting research involves deciding on audiences, structuring the report in a format acceptable to these audiences, and then writing the report in a manner that is sensitive to all readers. The audiences for research will vary from academic researchers who contribute and read journal articles, to faculty advisors and committees that review master's theses and dissertations, to personnel in educational agencies and school districts who look for reports of research on timely topics. Our structure for the research report will vary for each audience, from a formal format for theses and dissertations to a more informal document for in-house school reports. In all types of reports, however, researchers need to be respectful and to avoid language that discriminates on the basis of gender, sexual orientation, race, or ethnic group.

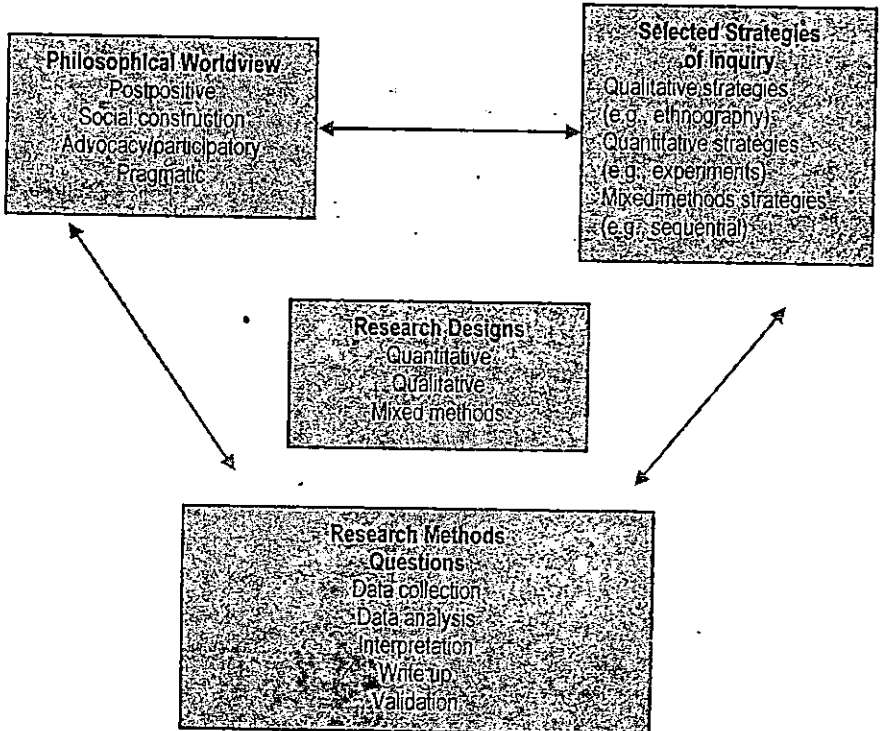
The audience for our report will have its own standards for judging the quality and utility of the research. Evaluating research involves assessing the quality of a study using standards advanced by individuals in education. Unfortunately, there are no iron-clad standards for evaluating educational research in the academic research community; in school districts; or in local, state, or federal agencies. Still, we need some means of determining the quality of studies, especially published research or reports presented to practitioner audiences.

C. RESEARCH PARADIGMS

Research designs are plans and the procedures for research that span the decisions from broad assumptions to detailed method of data collection and analysis. This plan involves several decisions. This decision should be the worldview assumptions the researcher brings to the study; procedures of inquiry; and specific method of data collection, analysis and interpretation. The selection of a research design is also based on the nature of the research problems or issue being addressed, the researcher' personal experiences, and the audience for the study.

In planning a study, researchers should think through the philosophical worldview assumption that researcher brings to the research, the strategy of inquiry that is related to this worldview, and the specific method or procedures of research that translate the approach into practice.

This diagram that shows the connection among the three components.



The term worldview means a basic set of beliefs that guide action (Guba, 1990: 7). Other has called them *paradigms*. Worldview is a general orientation about the world and the nature of research that a researcher holds. The types of beliefs held by individual researchers will often lead to embracing a qualitative, quantitative or mixed method approach in their research. The following table shows four worldviews in research.

Postpositivism	Constructivism	Advocacy/ Participatory	Pragmatism
<ul style="list-style-type: none"> • Determination • Reductionism • Empirical observation and measurement • Theory verification 	<ul style="list-style-type: none"> • Understanding • Multiple participant meanings • Social and historical construction • Theory generation 	<ul style="list-style-type: none"> • Political empowerment • Issue-oriented • Collaborative • Change-oriented 	<ul style="list-style-type: none"> • Consequences of actions • Problem-centered • Pluralistic • Real-world practice oriented

According to Creswell (2007), the first worldview is the positive assumption (quantitative paradigm). This assumptions hold true more quantitative research than qualitative research. It also called postpositivism because it represents the thinking after positivism, challenging the traditional notion of the absolute truth of knowledge and recognizing that we cannot be 'positive' about our claims of knowledge when studying the behavior an actions of humans. Postpositivists hold a deterministic philosophy in which causes probably determine effect or outcomes. Thus the problem studied by postpositivists reflects the need to identify and assess the causes that influence outcomes, such as found in experiment. If is also reductionist in that the intent is to reduce the ideas into a small, discrete set of ideas to test. The knowledge that develops through a postpositivists lend is based on careful observation and measurement of the objective reality that exist 'out there' in the world. Finally, there are laws or theories that govern the world, and these need to be tested or verified and refined so that we can understand the world. Thus in scientific method, the accepted approach to research by pospositivists, an individual begins with a theory, collect data that either supports or refutes the theory, and then makes necessary revisions before additional test are made.

The second view is called the constructivism worldview (qualitative paradigm). It is typically seen as an approach for qualitative research. Social constructivism holds assumptions that individuals seek understanding of the world in which they live and work. The goal of the research is to rely as much as possible on the participants' view of the situation being studied. Constructivist researchers often address the processes of interaction among individuals. They also focus on the specific context in which people live and work, in order to understand the historical and cultural setting of the participants. Rather than starting with a theory (as in postpositivism), inquirers generate or inductively develop a theory or pattern meaning.

The third view is the advocacy and participatory worldview (qualitative paradigm). This worldview typically is seen as in line with qualitative research, but it can be a foundation for quantitative research as well. An advocacy/participatory worldview holds that research inquiry needs to be intertwined with politics and political agenda. The specific issues need to be addressed that speak to important social issues of the day, issues such as empowerment, inequality, oppression, domination, etc. This research also assumes that inquirer will proceed collaboratively so as to not further marginalize the participants as a result of inquiry. In this sense, the participants may help design questions, collect data, analyze information, or reap the rewards of the research. Advocacy research provides a voice for these participants, raising their consciousness or advancing an agenda for change to improve their lives. It becomes a united voice reform and change.

The last view is the pragmatic worldview (mixed-method paradigm). Pragmatism as a worldview arises out of actions, situations, and consequences rather than antecedent conditions. There is a concern with applications and solutions to problems. Instead of focusing on methods, researchers emphasize the research problem and use all approaches available to understand the problem. It is philosophical underpinning for mixed method studies. Its importance for focusing attention on the research problem in social science research and then using pluralistic approaches to derive knowledge about the problem.

The above diagram also shows that there are three types of inquiry strategies that are closely related to research design. They are qualitative, quantitative, and mixed-method. Cresswell (2007) says that qualitative research is a means for exploring and understanding the meaning individuals or groups ascribe to a social or human problem. The process of research

involves emerging questions and procedures, data typically collected in the participant's setting, data analysis inductively building from particulars to general themes, and the researcher making interpretations of the meaning of the data. Quantitative research is a means for testing objective theories by examining the relationship among variables. These variables, in turn, can be measured, typically on instruments, so that numbered data can be analyzed using statistical procedures. The final written report has a set structure consisting of introduction, literature and theory, methods, results, and discussion. Mixed method research is an approach to inquiry that combines or associates both qualitative and quantitative forms. It involves philosophical assumptions, the use of qualitative and quantitative approaches, and the mixing of both approaches in a study. The following table shows the designs for each strategies of inquiry.

Quantitative	Qualitative	Mixed Method
<ul style="list-style-type: none"> - Experimental design - Non experimental design, such as surveys 	<ul style="list-style-type: none"> - Narrative research - Phenomenology - Ethnographies - Grounded theory studies - Case study 	<ul style="list-style-type: none"> - Sequential - Concurrent - Transformative

Quantitative strategies have involved complex experiment with many variables and treatments. There are two strategies of inquiry:

- Survey research provides a quantitative or numeric description of trends, attitudes, or opinions of a population by studying a sample of that population.
- Experimental research seeks to determine if a specific treatment influences an outcome. This impact is assessed by providing a specific treatment to one group and withholding it from another and then determining how both groups scored on an outcome.

As being defined by Gay, Mills and Airasian (2012), Qualitative research is the collection, analysis, and interpretation of comprehensive narrative and visual (i.e., non numerical) data to gain insights into a particular phenomenon of interest. From the definition we can say that the research process in qualitative based on data that cannot be expressed by number, but through something that can be described and seen.

There are some ways to conduct qualitative studies. The first one is ethnography. Originally developed in the field of anthropology, ethnography is the art and science of describing a group or a culture—such as a kindergarten class, a small business, or returning war veterans. The aim of ethnography is to understand the culture from an “insider’s” perspective and capture day-to-day life. Bowling (1997) describes ethnography as studying people in the locations where they live and providing a description of their social life and the values, beliefs and behaviors using qualitative methodologies such as observations, unstructured interviews, and review and analysis of documents. This methodology is time intensive in the field.

The second one is grounded theory. A grounded theory study usually captures a process; it answers the question, “What is going on here?” Grounded theory is a systematic and rigorous approach to collecting and analyzing qualitative data for developing an explanation that enhances our understanding of social or psychological phenomena. Grounded theory studies lead to generating a theory, such as identifying the three stages involved in developing a career identity. After the theory is presented, it must then be tested.

The third one is case study. The case study is a systematic collection of information about a person, group, or community; social setting; or event in order to gain insight into its functioning. A case is bounded in time and place. Out of all of the qualitative methodologies, this one is the more common and is perceived to be the easiest, but a good case study is not easy to produce. Case studies are common in social sciences such as education, rehabilitation counseling, nursing, and psychology. For example, as a researcher, you may decide to investigate the effectiveness of dual language programs, where students in a classroom are taught in both English and Spanish. You may collect data through observation, discussion, task completions, standardized tests, and self-report from the classroom participants.

The fourth one is phenomenology. Phenomenology began as a philosophical movement focused on the essence of phenomena as developed within a person’s consciousness. A phenomenon is any discreet experience that can be articulated, such as joy, death of a parent, childbirth, parenting a child with autism, friendship. As a research methodology, phenomenology is used to study the evolving patterns of meaning making that people develop as they experience a phenomenon over time. This type of research requires the ability to engage a few people in a prolonged and careful description of their

experiences, to grasp the essence or meaning they weave. A goal is a deeper understanding of the phenomenon for the individual as opposed to ethnographic research, which focuses on describing a culture or group.

The last one is narrative. Narrative is a strategy of inquiry in which the researcher studies the lives of individual and asks one or more individuals to provide stories about their lives. This information is then often retold or restoried by the researcher into a narrative chronology. In the end, the narrative combines views from the participant's life with those of the researcher's life in a collaborative narrative.

The third strategies of inquiry is mixed-method strategies. Mixed-method strategies have the following characteristics:

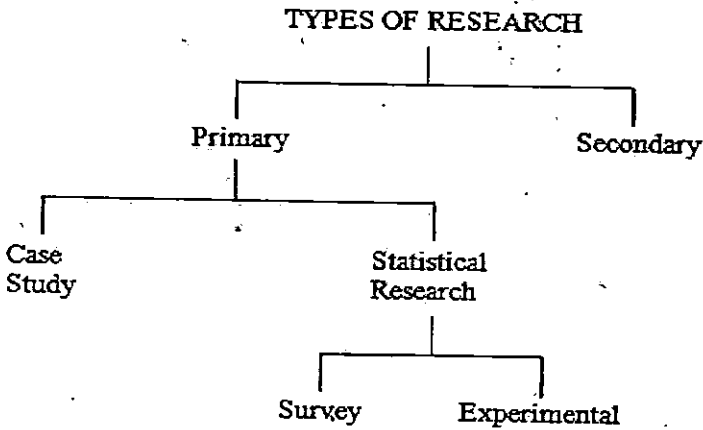
- Collects both quantitative and qualitative data "Mixes" them.
- "Mixes" them at the same time (concurrently) or one after the other (Sequentially)
- Emphasizes both equally or unequally.
- Integrating quantitative and qualitative data collection and analysis in a single study or a program of enquiry (Creswell et al, 2003)

In particular, three general strategies and several variations within them are:

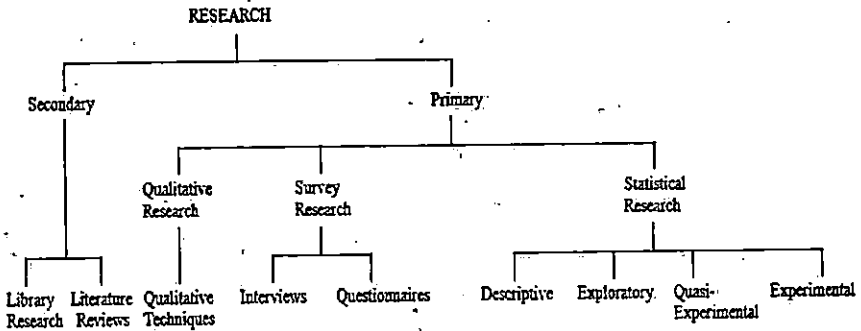
- **Sequential Mixed method** procedures are those in which the researcher seeks to elaborate on or expand on the findings of one method with another method. This may involve beginning with a qualitative interview for exploratory purposes and following up with a quantitative, survey method with a large sample so that the researcher can generalize results to a population.
- **Concurrent mixed method** procedures are those in which the researcher converges or merges quantitative and qualitative data in order to provide a comprehensive analysis of the research problem. In this design, the investigator collects both forms of data at the same time and then integrates the information in the interpretation of the overall results.
- **Transformative mixed method** procedures are those in which the researcher uses a theoretical lens as an overarching perspective within a design that contains both qualitative and quantitative data. This lens provides a framework for topics of interest, methods for collecting data and outcomes or changes anticipated by the study.

D. TYPES OF APPLIED LINGUISTICS RESEARCH

Brown (2004: 478) states that in 1988 he naively categorized the different types of research into two categories: secondary research (derived from the research and writings of others) and primary research (derived from original data of some sort). He then further subdivided primary research into case studies and statistical research and then subdivided statistical research into survey and experimental research. Nunan (1992: 9) tries to explain Brown's view through the following Figure.



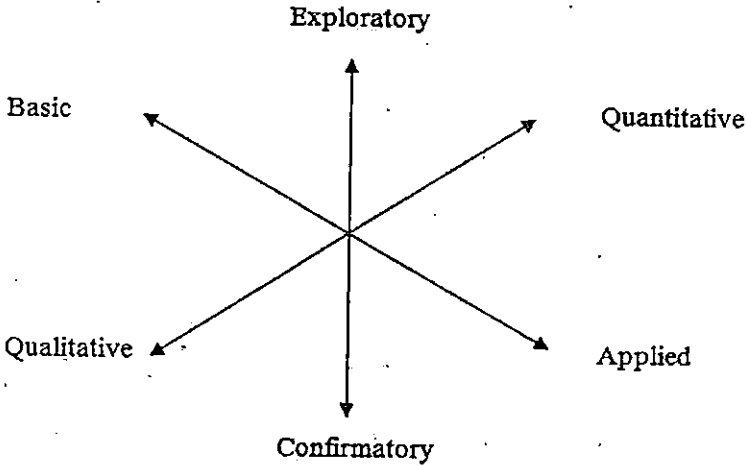
But in 2001 Brown expanded his view of the types of research in applied linguistics to include more categories. The following Figure shows Brown's view about the types of research in applied linguistics.



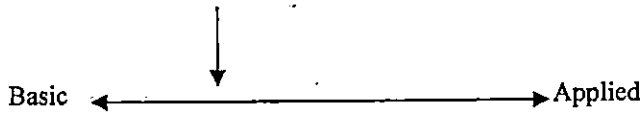
(Cited from Brown and Rogers, 2002: 11)

The above figure describes that Brown's secondary/primary dichotomy still seemed appropriate, but those two categories are further subdivided with considerably more detail provided. In this case, secondary research includes library research (research heavily dependent on secondary sources, often associated term papers in school) and literature reviews. Primary research includes three general sub-categories: qualitative, survey, and statistical research. Qualitative research involves many different traditions and data gathering techniques (including at least case studies, introspection, discourse analysis, interactional analysis, and classroom observations). Survey research includes interviews and questionnaires. Statistical research includes descriptive studies, exploratory research, quasi-experimental studies, and experimental research.

Perry (2011: 75) says that research can be classified, at least, by three intersecting continua: Basic—Applied, Qualitative—Quantitative, and Exploratory—Confirmatory. Although these continua are independent from each other, any given study can be classified somewhere on an intersection of the three. This means that a study would appear at some point out in the three-dimensional space. The following figure shows the design continua for classifying research.



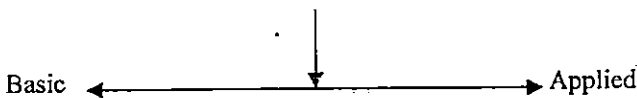
Ferry (2011: 76) states that the Basic—Applied Continuum represents research that ranges from the highly theoretical (Basic) to the very practical (Applied). At the Basic end of the continuum, researchers focus on the theoretical, dealing mainly with highly abstract constructs. These studies are not very appealing to the classroom teachers who are looking for immediate ways to improve their students' learning but they are very important for looking at the underlying linguistic, psychological, or sociological mechanisms that might be eventually applied in the classroom. Some studies can be identified immediately from their titles as Basic research. For example, Clark and Plante's (1998) study entitled "Morphology of the Inferior Frontal Gyrus in Developmental Language Disorder Adults" appears to be at the end of the Basic continuum. Based on the title, it does not look too useful for the language classroom teacher. The findings might be useful for identifying possible brain disorders which affect language usage, as well as stimulating ideas about treatment. The other example is the study that explores the impact of bilingual language characteristics on phonological awareness. Thus, in line with our first impressions, we can place these two studies near the Basic end of the continuum, as shown here.



At the other end of the same continuum is Applied research. Research that is directly applicable to the teaching/learning situation would be placed here. Studies that deal with teaching methods, or ones that try to address immediate problems in the classroom, would fit at this end of the continuum. The research genre called Action Research, which has received a lot of recent attention, is one of the purest forms of Applied research (cf. Burns, 2010). Thus, any study that is considered as action research can be placed at the applied end of the continuum.



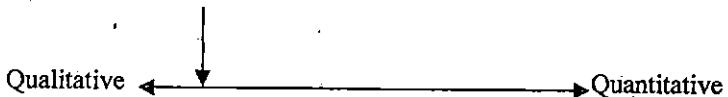
However, other studies might be considered in between these two extremes. If a study is built on a heavy theoretical base, yet has clear practical implications, it would fall somewhere in the middle. For example, Hu (in Ferry, 2011: 78) examined the effect of phonological memory and phonological awareness on learning vocabulary in a foreign language. Phonological memory was defined as the ability to repeat non-words. Phonological awareness was explained to mean “the ability to attend to, detect, and manipulate the sound units of one’s native words independent of their meanings”. On first blush, this study does not appear to relate to anything that would interest language teachers. However, Hu concluded that the findings of the study have important implications and offered several specific recommendations for the language teacher. Based on this, we would place the study near the middle of the continuum.



The second one is the Qualitative—Quantitative continuum. According to Ferry (2011: 78) the Qualitative—Quantitative continuum has received a lot of attention over the past 30 years, usually accompanied with much

controversy. When we read articles dealing with this debate, we might think that this is not a continuum, but two distinct armed camps. However, as we become more familiar with the research available, we will find that many studies are neither purely qualitative nor quantitative. This is in line with Larsen-Freeman and Long (1991), who described these two terms as two ends of a continuum that have different data-collecting procedures along with different degrees of subjectivity in interpreting data.

Gan, Davison, and Hamp-Lyons (2008) used CA to examine how Cantonese-speaking ESL students negotiated topic organization—a type of oral interaction—in an assessment context. They purposefully sampled one video recording out of a large data bank that best exemplified the assessment process. The recording was an 8-minute discussion of 4 secondary school participants who were given the task of choosing a gift for the main character of a film. The researchers only used 2 excerpts from the recording. They proceeded to do a detailed analysis of topic initiation, development, and transition in the oral discourse of the 4 students. The researchers used a microscopic approach on a very limited set of oral output. This study would be placed on the Qualitative end of the continuum.



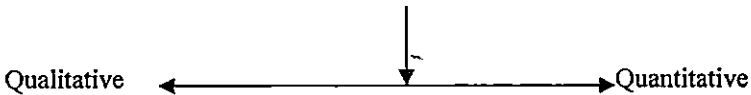
At the other end of this continuum is the quantitative approach. As you would expect from the label, the data for this approach are some type of numbers. These numbers can be frequencies, percentages, proportions, rankings, and/or scores on some type of test or survey. Furthermore, the method for analyzing the data is some form of statistical procedure. Finally, quantitative studies ideally use large representative samples. However, realistically many studies use smaller purposeful samples—often convenient samples. Studies located toward this end might test hypotheses or only gather information to answer questions.

An example that I would place toward the quantitative end of the continuum is Sanz's (2000) study, which examined whether bilingual education affects the learning of a third language. The first indicator as to the nature of this study is apparent in the title, "Bilingual Education Enhances Third Language Acquisition: Evidence from Catalonia". Such a statement

strongly suggests that the study will try to generalize the findings to those trying to learn a third language. The next indicator is found in the Participants section (i.e., the Sample) where Sanz used 201 students from two private Jesuit schools. The third indicator is that she used inferential statistics to analyze her data. Consequently, this study should be positioned near the quantitative end of the continuum, as shown here.



Often you will find studies that fall somewhere in the middle of the continuum. They land in between the two extremes, depending on how much of each methodology they use. These are referred to as mixed-method approaches (Creswell, 2002; Creswell & Plano Clark, 2011), which combine both qualitative and quantitative methodologies in one study. The following study illustrates this point.



The third independent continuum is labeled Exploratory—Confirmatory. The main characteristic of this continuum is whether a study is trying to find information to answer research questions without any hypothesis or to find evidence to support (i.e., confirm) a hypothesis. On the confirmatory side of the continuum, Silva’s (2000) study sought to answer two research questions. The first had to do with the comparison between non-native speakers’ (NNS) and native speakers’ (NS) emotional response to directives that begin with Why don’t you? The other had to do with the relationship between longevity in an L2 environment and pragmatic transfer of these emotions. Her study can easily be plotted near the confirmatory end of the continuum, as shown here.



The three continua intersect. This means that any given study can be plotted along all three continua at the same time. You will have to use your imagination a little to see where a study intersects when all three continua are taken into consideration. To help you become more familiar with the classification system, do the following exercise. As you read research with this system in mind, you will develop an understanding why researchers do what they do. You will also realize when a researcher does something out of the ordinary.



EXERCISE 1

- 1) Ask some of your friends studying at the postgraduate degree about the following question. What comes into your mind when you hear or read the word 'research'?
- 2) Based on the answers given by your friends, write your own definition of research.
- 3) Why is research called systematic?
- 4) Ask your friends about the steps in conducting the research! Based on your friends' answers, draw your own conclusion about the general steps in conducting the research!
- 5) What do you know about research paradigms?
- 6) What are the differences between postpositivism and constructivism?
- 7) Explain the designs belonging to quantitative strategies of inquiry!
- 8) Find a recent study that interests you.
 - a. Plot the study on the three different continua based on your perusal of the study.
 - b. Provide a rationale for each placement based on what you find in the study.

Basic		Applied
Exploratory		Confirmatory
Qualitative		Quantitative



SUMMARY

Research is the formal, systematic application of the scientific method to the study of problems; educational research is the formal, systematic application of the scientific method to the study of problems in applied linguistics. The major difference between applied linguistics research and some other types of scientific research is the nature of the phenomena studied. The research process usually comprises four general steps (a) Selection and definition of a problem, (b) Execution of research procedures, (c) Analysis of data, and (d) Drawing and stating conclusions.

There are certain philosophical assumptions that underpin an educational researcher's decision to conduct research. These philosophical assumptions address issues related to the nature of reality (ontology), how researchers know what they know (epistemology), and the methods used to study a particular phenomenon (methodology). Quantitative research is the collection and analysis of numerical data to explain, predict, and/or control phenomena of interest. Key features of quantitative research are hypotheses that predict the results of the research before the study begins; control of contextual factors that may influence the study; collection of data from sufficient samples of participants; and use of numerical, statistical approaches to analyze the collected data. Qualitative research is the collection, analysis, and interpretation of comprehensive narrative and visual (nonnumeric) data to gain insights into a particular phenomenon of interest. Key features of qualitative research include defining the problem, but not necessarily at the start of the study; studying contextual factors in the participants' natural settings; collecting data from a small number of purposely selected participants; and using nonnumeric, interpretive approaches to provide narrative descriptions of the participants and their contexts.

Research can also be classified by purposes. There are basic research and applied research. Basic research is conducted to develop or refine theory, not to solve immediate practical problems. Applied research is conducted to find solutions to current practical problems. Another research is evaluation research. The purpose of evaluation research is to inform decision making about educational programs and practices. Other classifications are research and development and action research. The major purpose of R&D efforts is to develop effective products for use in schools. The purpose of action research is to provide teacher researchers with a method for solving everyday problems in their own settings.



FORMATIVE TEST I

- 1) Find four definitions of research stated by the researchers or stated in the research textbooks, and write your own definition based on those proposed definitions.
- 2) Why do we need to conduct the research?
- 3) Why is research called cyclic?
- 4) Find the steps for conducting the research proposed by four the experts or written in research textbooks, and write your conclusion about the steps in conducting the research!
- 5) What are the differences between advocacy/participatory and pragmatism?
- 6) Explain the designs included in qualitative strategies of inquiry!
- 7) What is mixed-method strategies of inquiry?
- 8) Explain the resarch types in applied linguistics proposed by Brown (2001).

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't

		mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 2

Quantitative Research In Applied Linguistics

A. INTRODUCTION

Mackey and Gass (2005: 137) state that quantitative research can be conceptually divided into two types: associational and experimental. What is common in both types is that researchers are attempting to determine a relationship between or within variables. The goal of associational research is to determine whether a relationship exists between variables and, if so, the strength of that relationship. This is often tested statistically through correlations, which allow a researcher to determine how closely two variables (e.g., motivation and language ability) are related in a given population. Associational research is not concerned with causation, only with co-occurrence. In experimental studies, researchers deliberately manipulate one or more variables (independent variables) to determine the effect on another variable (dependent variable). This manipulation is usually described as a treatment and the researcher's goal is to determine whether there is a causal relationship. Many types of experimental research involve a comparison of pretreatment and post treatment performance.

In this unit, we describe some of the issues that need to be considered in both associational and experimental research. It is important to note from the outset that all research designs involve decisions at each step of the way and typically, many of these decisions are fraught with compromises: If I do X, then I cannot do Y. Thus, in designing a research project, there is often a cost/benefit analysis to undertake.

Example:

You want to carry out research on the acquisition of past tense forms following recasts in an online chat session. One of your research questions involves the effects of recasts on participants of different language backgrounds (the languages vary in the degree to which their past tense system is similar to the target language past tense system). You need participants at a level of proficiency that is not too high, so that there is some

room for learning. Also, your participants' proficiency levels cannot be too low, because otherwise they will not be able to carry out the task.

As you begin to look for participants of the right language background and the right proficiency level, you realize that this is more difficult than you had originally imagined. If you have students of an appropriate proficiency level, the right native languages are not available. Participants of the appropriate native languages are not available at the proficiency level that is right for your study. Thus, you will be forced to make a compromise and possibly eliminate one of the variables of your study.

(Mackey and Gass, 2005: 138)

Tavakoli (2012: 508) states that quantitative research stresses the importance of large groups of randomly selected participants, manipulating variables within the participants' immediate environment, and determining whether there is a relationship between the manipulated (independent) variable and some characteristic or behavior of the participants (the dependent variable). Statistical procedures are used to determine whether the relationship is significant—and when it is significant, the results are typically generalized to a larger population beyond the immediate group of participants. At best, the quantitative research is systematic, rigorous, focused, and tightly controlled, involving precise measurement and producing reliable and replicable data that is generalizable to other contexts. Quantitative research is the primary example of hypothesis-testing research, which begins with a question or hypothesis to be investigated through data quantification and numerical analyses.

According to Tavakoli (2012: 508-509) the main characteristics of quantitative research are as follows:

- Using numbers: the single most important feature of quantitative research is, naturally, that it is centered around numbers. This both opens up a range of possibilities and sets some limitations for researchers. Numbers are powerful. Yet numbers are also rather powerless in themselves because in research context they do not mean anything without contextual backing, i.e., they are faceless and meaningless unless we specify exactly the category that we use the specific number for, and also the different values within the variable. Thus, for numbers to work, the researcher need precise

definitions of the content and the boundaries of the variables s/he uses and exact descriptors for the range of values that are allowed within the variable;

- A priori categorization: because the use of numbers already dominates the data collection phase, the work requires specifying the categories and values needed to be done prior to the actual study. If, e.g., respondents are asked to encircle figures in a questionnaire item, they have to know exactly what those figures represent, and in order to make sure that each respondent gives their numerical answer based on the same understanding, the definitions and value descriptors need to be unambiguous;
- Variables rather than cases: quantitative researchers are less interested in individuals than in the common features of groups of people. Therefore, it is centered around the study of variables that capture these common features and which are quantified by counting, scaling, or by assigning values to categorical data. All the various quantitative methods are aimed at identifying the relationships between variables by measuring them and often also manipulating them. Therefore, specifying the relationships amongst variables as the defining feature of quantitative social research;
- Statistics and the language of statistics: this is undoubtedly the most salient quantitative feature statistical analyses can range from calculating the average (the mean) of several figures on a pocket calculator to running complex multivariate analyses on a computer. Because of the close link of quantitative research and statistics, much of the statistical terminology has become part of the quantitative vocabulary, and the resulting unique quantitative language adds further power to the quantitative paradigm;
- Standardized procedures to assess objective reality: the general quantitative aspiration is to eliminate any individual-based subjectivity from the various phases of the research process by developing systematic canons and rules for every facet of data collection and analysis. Quantitative methodology has indeed gone a long way towards standardizing research procedures to ensure that they remain stable across investigators and subjects. This independence of idiosyncratic human variability and bias has been equated with objectivity by quantitative researchers;

- Quest for generalizability and universal laws: numbers, variables, standardized procedures, statistics, and scientific reasoning are all part of the ultimate quantitative quest for facts that are generalizable beyond the particular and add up to wide-ranging, ideally universal, laws. However, qualitative researchers often view quantitative research as overly simplistic, decontextualized, reductionist in terms of its generalizations, and failing to capture the meanings that actors attach to their lives and circumstances.

The difference between quantitative and qualitative research is often seen as quite fundamental, leading people to talk about paradigm wars in which quantitative and qualitative research are seen as belligerent and incompatible factions. Many researchers define themselves as either quantitative or qualitative. This idea is linked to what are seen as the different underlying philosophies and worldviews of researchers in the two paradigms. According to this view, two fundamentally different worldviews underlie quantitative and qualitative research. The quantitative view is described as being realist or sometimes positivist, while the worldview underlying qualitative research is viewed as being subjectivist

The term qualitative and quantitative were originally introduced to denote in antagonistic standpoint and this initial conflicting stance was given substance by the contrasting patterns of the two research paradigms in: (a) categorizing the world (quantitative: predetermined numerical category system; qualitative: emergent, flexible verbal coding); (b) perceiving individual diversity (quantitative: using large samples to iron out any individual idiosyncrasies; qualitative: focusing on the unique meaning carried by individual organisms); and (c) analytical data (quantitative: relying on the formalized system of statistics; qualitative: relying on the researcher's individual sensitivity).

In short, quantitative research was seen to offer a structured and highly regulated way of achieving a macro-perspective of the overarching trends in the world, whereas qualitative research was perceived to represent a flexible and highly context-sensitive micro-perspective of the everyday realities of the world. Although the two paradigms represent two different approaches to empirical research, they are not necessarily exclusive. They are not extremes but rather form a continuum that has led to an emerging third research approach, i.e., mixed methods research. Quantitative research can be

classified into one of the two broad research categories: experimental research, and non-experimental research.

B. RESEARCH DESIGN TYPES

The research design is best understood as a framework or scaffold around which a study is organized, but it does not refer to the actual tools used to carry out a study.

1. Survey Research

According to Brown (2001: 2), language surveys are any studies “that gather data on the characteristics and views of informants about the nature of language or language learning through the use of oral interviews or written questionnaires” In this unit, survey is defined more narrowly as written questionnaires. We do so for two reasons. First, surveys are often thought of as exclusively written questionnaires, and secondly, the design and data analysis of interviews are generally quite different from surveys.

As Dornyei (2003) points out, surveys can provide three types of information:

- *Factual information*—Factual questions are used to find out more about the characteristics of individual teachers and learners (e.g., students’ age, gender, ethnicity, language background, proficiency level, etc.).
- *Behavioral information*—Behavioral questions seek to find out what students or teachers have done or regularly do in terms of their language teaching and learning. Such questions are frequently used on language learning strategy questionnaires in which students are asked, for example, to report how often they look up unfamiliar words in a dictionary or make an outline before they write an essay.
- *Attitudinal information*—Attitudinal questions seek to find out more about the opinions, beliefs, or interests of teachers or learners. These questions are often used in needs analysis research when researchers want to gather information on such topics as what learning goals students have or what skill areas they are most interested in.

As Dornyei (2003) notes, surveys provide a very efficient means for researchers to gather a good deal of information in a short time with little cost. As such, surveys are a particularly effective way for teachers to find out more about the background, habits, and preferences of their students, information which they can then use in curriculum development. However, surveys have disadvantages. For one thing, teachers and students can provide unreliable information. Students, for example, may report that they frequently use certain language learning strategies because they believe that is what they should report.

Surveys can also result in very superficial or simple responses. For example, if a researcher wants to find out more about how language learners use the target language outside of the classroom, he or she could ask a series of questions regarding with whom students use English and for what purposes. However, if a student reports that he or she rarely uses the target language with his or her family, we learn little about under what circumstances and with which family members a student might use the target language at home.

Tavakoli (2012: 645) says that survey research is a set of methods used to gather data in a systematic way from a range of individuals, organizations, or other units of interest. Specific methods may include questionnaire, interview, focus group, observation. Many studies using more than one data collection method will include a survey method. For example, a quantitatively oriented questionnaire could be used to generate general understanding of a set of related questions, to identify interview questions for deeper qualitative investigation, and to identify possible interview participants. Alternatively, a questionnaire could be used to confirm the generalizability of results from a small interview study to a larger, more statistically representative sample. Surveys can be *exploratory*, in which no assumptions or models are postulated, and in which relationships and patterns are explored (e.g., through correlation, regression, and factor analysis). They can also be *confirmatory*, in which a model, causal relationship or hypothesis is tested. Surveys can be *descriptive* or *analytic*. Descriptive surveys simply describe data on variables of interest, while analytic surveys operate with hypothesized predictor variables that are tested for their influence on dependent variables.

Survey research is common because it is so flexible, open to researchers taking quantitative as well as qualitative approaches. Survey methods can

answer a wide range of research questions, from the 'who' and 'what' to the 'how' and 'why'. Because of this flexibility, survey research is appealing to inexperienced researchers and is, therefore, open to careless design and data collection practices. However, trustworthy survey research requires careful consideration of design and research conduct.

Although some researchers believe survey research to be a wholly quantitative approach, this opinion is not universally shared. Data gathered from any survey method may be entirely quantitative, may be largely qualitative, or may be a mixture. For example, open-ended questions on a questionnaire or asked in an interview will produce text that may be analyzed qualitatively. Qualitative data gathered in survey methods tends to be in text form, such as narrative responses to open-ended questions posed in an interview or written responses to a comments item on a questionnaire.

In designing a survey, we have to make a series of careful decisions about how the study will be carried out. The detail plan that results is the research design. The important issues to be considered in developing a survey research design are: determining the purpose of the study; stating the research questions; specifying the population and drawing a sample from the population; deciding on the methods of data collection, developing instruments, and training data collectors or interviewers; analyzing the data; and addressing non-response (Johnson, 1992: 110).

One of the most important elements in survey research is research question. Good research questions should provide a survey project with focus and direction. Thus, they should be appropriately specific, answerable, relevant, and clear. Brown (2001: 19) says that research questions can serve three primary purposes in survey projects: descriptive, exploratory, and explanatory.

These are some examples of research questions:

- What are the numbers, genders, ages, nationalities, educational statuses, and majors of foreign students at University X?
- What characteristics do the different types of students in language program X have?
- Two examples of exploratory questions are:
- What are students' and teachers' views of practices used in language learning and teaching process?
- What are teachers' views on aspects of their professional lives?
- What are the characteristics of students in language program X?

- What are the language needs of students who must eventually perform academically in the language?

The second important element in survey research in the instruments. Actually there are two main types of survey instruments. They are questionnaire and interview. Both of these instruments use the questions that can be classified into several categories. Question categories have been suggested by Patton (1987) and Rossett (1982).

Patton (1987) lists six types of questions that can be used in designing a survey. They are (1) behavior/experience, (2) opinion/value, (3) feelings, (4) knowledge, (5) sensory, and (6) demographic/background. These are some examples of the questions.

- What do students have to do in your course? (behavior)
- What is the most important aspect of the language class for you? (opinion)
- How do you feel about all the testing we do in this program? (feelings)
- What textbook do you use? (knowledge)
- What are your classrooms like physically? (sensory)
- What other languages do you speak? (background)

Patton's six question types may help us to think of some possibilities in designing a survey, but Brown (2001: 32) says that the question types proposed by Rossett are also more effective for making sure that important issues are covered in a survey. Rossett in Brown (2001: 32) list five types of questions that can be used in a survey. They are (1) problems, (2) priorities, (3) abilities, (4) attitudes, and (5) solutions. These are some examples of the questions:

- What kinds of problems do you have in reading a research article? (problems)
- Among the four skills you have learned (listening, speaking, reading, and writing), which skill is the most important one for you? (priorities)
- How do you rate your ability in writing an essay? (abilities)
- Do you think that your students learn English better and more efficiently by studying grammar? (attitudes)

- What is the better way to solve students' errors in writing passive clauses? (solutions)

2. Correlational (Associational) Research

Correlational Research is a type of non-experimental research in which the researcher investigates the relationship between two, or more, naturally occurring variables. The variables are examined to determine if they are related and, if so, the direction and magnitude of that relationship. In this type of research, the distinction between Independent Variables (IVs) and Dependent Variables (DVs) is usually arbitrary and many researchers prefer to call IVs *predictor variables* and DVs *criterion variables*.

Tavakoli (2012) says that correlational research does not seek to show causality (that one variable is causing a change to occur in another). Rather, the main purpose of correlational research is to determine, through application of a quantitative statistical analysis, whether a relationship exists between the variables under investigation. One might make predictions based on these relationships, but not statements of causality. For example, if such a relationship does exist, the strength and the direction of the relationship are reported numerically in what is referred to as a correlation coefficient.

Scores from this analysis fall somewhere along the correlation coefficient's range of negative 1 to positive 1. Note that negative and positive do not have any moral value attached to them in this context. A highly negative relationship is not a relationship that is bad but one that results from scores on two variables moving in opposite directions: an increase in one variable is accompanied by a decrease in the other variable being studied.

The basic design for correlational research is straightforward. First, the researcher specifies the problem by asking a question about the relationship between the variables of interest. The variables selected for investigation are generally based on a theory, previous research, or the researcher's observations. The population of interest is also identified at this time. In simple correlational studies, the researcher focuses on gathering data on two (or more) measures from a single group of subjects. For example, you might correlate vocabulary and reading comprehension scores for a group of high school students.

Cresswell (2012) states that correlational research design follows some steps. First is problem selection. Correlational studies may be designed either to determine whether and how a set of variables are related or to test

hypotheses regarding expected relations. Variables to be correlated should be selected on the basis of some rationale. That is, the relation to be investigated should be a logical one, suggested by theory or derived from experience. Having a theoretical or experiential basis for selecting variables to be correlated justifies the study and makes the interpretation of the results more meaningful.

The second step is participant and instrument selection. The sample for a correlational study is selected by using an acceptable sampling method, and a minimally acceptable sample size is generally 30 participants. If validity and reliability are low, a larger sample is needed because errors of measurement may mask a true relation. The higher the validity and reliability of the variables to be correlated, the smaller the sample can be, but not fewer than 30. It is of course important to select or develop valid and reliable measures for the variables under study. If the instruments do not accurately reflect the intended variables, the resulting correlation coefficient will not accurately indicate the degree of relation.

The next step is determining design and procedure. The basic correlational research design is not complicated: Scores for two (or more) variables of interest are obtained for each member of the sample, and the paired scores are then correlated. The result is expressed as a correlation coefficient that indicates the degree of relation between the two variables. Some studies investigate more than two variables, and some utilize complex statistical procedures, but the basic design is similar in all correlational studies.

The last step is data analysis and interpretation. When two variables are correlated, the result is a correlation coefficient, which is a decimal number ranging from -1.00 to $+1.00$. The correlation coefficient indicates the size and direction of the relation between variables. A coefficient near $+1.00$ has a large size (i.e., it represents a strong relation) and a positive direction. In other words, a person with a high score on one of the variables is likely to have a high score on the other variable, and a person with a low score on one variable is likely to have a low score on the other. If the coefficient is near 0.00 , the variables are not related—a person's score on one variable provides no indication of the person's score on the other variable. A coefficient near -1.00 has a large size (i.e., is a strong relation) and a negative or inverse direction. In other words, a person with a high score on one variable is likely to have a low score on the other variable. Note that equal-sized correlations

with opposing signs (e.g., +0.80 and -0.80) represent the same strength of relation. The plus and minus represent different directions of relation. Both strong positive and strong negative relations are equally useful for making predictions.

Correlation can be used in different ways: for example, to test a relationship between or among variables, and to make predictions. Predictions are dependent on the outcome of a strong relationship between or among variables. That is, if variables are strongly related, we can often predict the likelihood of the presence of one from the presence of the other(s). Correlation is often used in survey-based research, although it is by no means limited to that research area. Following are examples of two types of survey-based correlational research (one relational and one predictive), both from a large survey-based study of motivation by Dornyei and Clément (2001):

Research question: Are student motivational characteristics related to language choice?

Context:

- Motivational characteristics (e.g., direct contact with L2 speakers, cultural interest, integrativeness, linguistic self-confidence) were collected through questionnaires from more than 4700 Hungarian students.
- Information was gathered on their language of choice in school (e.g. American vs. British English, German, French, Italian, Russian).

Analysis: The study was set up so that the relationship between these variables could be examined.

Research question: Was integrativeness (represented by questions such as "How important do you think learning these languages is in order to learn more about the culture and art of its speakers?" "How much do you like these languages?" and "How much would you like to become similar to the people who speak these languages?") a predictor of language choice?

Analysis: The follow-up analysis showed that integrativeness was the best predictor of language choice.

3. Experimental Research

Tavakoli (2012: 206) states that experimental Research is a type of quantitative research in which the experimenters manipulate certain stimuli, treatments, or environmental conditions and observe how the condition or behavior of the subject is affected or changed. Their manipulation is deliberate and systematic. They must be aware of other factors (extraneous variables) that could influence the outcome and remove or control them so that they can establish a logical association between manipulated factors and observed effects. Experimentation provides method of hypothesis testing. After experimenters define a problem, they propose a tentative answer or the hypothesis. They test the hypothesis and confirm or refute it in the light of the controlled variable relationship that they have observed. It is important to note that the confirmability or rejection of the hypothesis is stated in terms of probability rather than certainty.

Experimental design is the blueprint of the procedures that enable the researcher to test hypotheses by reaching valid conclusion about relationship between Independent and Dependent Variables. Selection of a particular design is based on the purpose of the experiment, the type of variables to be manipulated, the conditions or limiting factors under which it is conducted, and some other factors. Experimental designs can be classified according to the number of independent variables (IVs): *single-variable designs* and Factorial Designs. A single-variable design has one manipulated IV; factorial designs have two or more IVs, at least one of which is manipulated.

Experimental designs may also be classified according to how well they provide control of the threats to internal and external validity. They can be divided into those which do and those which do not show random selection and random assignment (i.e., preexperimental design, true experimental design, and quasiexperimental design) (Tavakoli 2012: 206). For example, true experimental designs require random selection and, where treatments are compared, random assignment to groups. Sometimes, especially in classroom research, neither random selection nor random assignment is possible. The researcher must work with an established class of students, (i.e., an intact group).

The experimental designs that use at least two groups of subjects, one of which is exposed to the treatment (IV) and the other that does not receive the treatment or is exposed to another level of the treatment are called between-subject designs (Tavakoli, 2012: 207). However, it is possible to use

experimental designs in which the same participants are exposed to different levels of the IV at different times. This type of design in which a researcher observes each individual in all of the different treatments is called a within-subjects design. It is also called a *repeated-measures design* because the research repeats measurements of the same individuals under different treatment conditions. There are still other experimental designs, single-subject designs, which are limited to one or a few participant(s) who serves as both the treatment and the control groups.

Mackay and Gass (2005) state that a typical experimental study usually uses comparison or control groups to investigate research questions. Many second language research studies involve a comparison between two or more groups. This is known as a between-groups design. This comparison can be made in one of two ways: two or more groups with different treatments; or two or more groups, one of which, the control group, receives no treatment. In a comparison group design, participants are randomly assigned to one of the groups, with treatment (the independent variable) differing between or among the groups.

Example: A researcher wants to investigate whether aural input or input through conversational interaction yields better L2 learning.

- Group 1: Hears a text with input containing the target structure.
- Group 2: Interacts with someone who provides input on the target structure.

Assuming a pretest/posttest design, the results of the two groups would be compared, with inferences being made as to the more appropriate method of providing information to learners. In comparison-research, more treatment groups can be added to the study if the research question is elaborated. The following example suggests a slightly different research question with a more elaborate design:

Example: A researcher wants to investigate to what extent aural input, input through conversational interaction, or a combination of aural and conversational input yields better L2 learning.

- Group 1 : Listens to a text containing the target structure.
- Group 2 : Interacts with someone who provides input on the target structure.
- Group 3: Receives some input through listening and some through interaction.

Were this researcher to add yet another question, the design could have a fourth group:

Example: A researcher wants to investigate to what extent aural input, input through conversational interaction, a combination with aural input followed by interaction, or a combination with interaction followed by aural input yields better learning.

- Group 1: Hears a text with input containing the target structure.
- Group 2: Interacts with someone who provides input on the target structure.
- Group 3: Receives some input first through listening and then through interaction.
- Group 4: Receives some input first through interaction and then through listening.

The second standard type of experimental design is a control group design. This is similar to the comparison group design, with the important difference that one group does not receive the treatment. The control group would typically take the same pretest and posttest as would the experimental groups, but would not have the same treatment in between tests. For control groups, some researchers may want to provide some language activity or input (of course, different from the treatment) in which the participants are doing something else with language. This is to ensure that it was the treatment, not the mere fact of doing something, that led to any change.

In sum, a true experimental design will have some form of comparison between groups. The groups will differ in terms of some manipulation of the independent variable to examine the effect of manipulation on the dependent variable. Assignment will be random, or as random as possible, to avoid threats to internal validity caused by participant characteristics.

Mackay and Gass (2005) also say that there are a number of ways of designing a study using the design discussed earlier. We focus on two: pretest/posttest (with and without delayed posttests), and posttest only.

The first one is pretest/posttest design. In many second language studies, participants are given a pretest to ensure comparability of the participant groups prior to their treatment, and a posttest to measure the effects of treatment. In a pretest/posttest design, researchers can determine the immediate effect of treatment. However, clearly, the real question for studies of second language learning is to address to what extent a treatment truly

resulted in learning. From what we know about learning, it is a process that may begin with a particular treatment, but it is not always clear that the effects of that learning are long-lasting. To measure the longer-term effects, researchers often want to include delayed posttests in addition to the immediate posttests. In fact, this is becoming increasingly common in second language research. With delayed posttests, a test comparable to the posttest (and pretest, if there is one) is administered one or more times at predetermined times after the treatment. Often this is 1 week following the first posttest and then 2 weeks later and even 2 or 3 months later. The advantage of delayed posttests is that one gets a wider snapshot of treatment effects; the disadvantages are that there is a greater likelihood of losing participants, extra-experimental exposure will be greater, and there will be maturation. It is important to make an a priori principled decision as to how many posttests a participant must take before eliminating data.

The second one is posttest only design. In some instances, it is undesirable to give a pretest because the pretest itself might alert participants to what the treatment concerns. In most cases, we do not want our participants to know or guess the purposes of the treatment. It is important to recognize that there are limitations to this type of design, the main one being that a researcher cannot be sure if there is initial comparability of groups. This becomes an issue particularly when measuring improvement as a result of the manipulation of an independent variable. In posttest-only designs the focus of study is usually performance and not development. Following are suggestions for ways to address the issue of lack of initial comparability measures, so that one can make assumptions about group comparability:

- When using intact classes, if at all possible (which may be difficult if one is using more than two or three intact classes), select classes that meet at roughly the same time (8:00 A.M. classes versus 4:00 P.M. classes).
- Match learners on other measures that one can gain from a background questionnaire, for example: Gender, Age, Years of language study, Language(s) spoken in at home, Class grades, Teachers' ratings, Placement test.
- Match learners on a variable that you can argue is related to the dependent variable. For example, if you can argue that attitude and motivation are related and your study is about motivation, you could match participants on the variable of attitude.

- Match learners on performance on a first treatment.
- Base the investigation on language features that have not previously appeared in the syllabus or in the textbook (relevant for foreign language environments).
- Use low-frequency words for vocabulary studies.

Another design which is also used in experimental research is repeated measures design. A common way of dealing with the problem of nonrandomization is through a repeated measures design, in which all tasks or all treatments are given to different individuals in different orders. The basic characteristic of a repeated measures design (also known as a within-group design) is that multiple measurements come from each participant. An example of a repeated measures design follows. In this example, data on the target structure are elicited from all learners at two different points in time. This is similar to the example of a counterbalanced design to elicit information on the effect of writing topic on the use of transitional words that was presented earlier. In that study, all learners produced writings on each of the different topics.

Purpose: To assess the reliability of using acceptability judgments in L2 research.

Research question: Do learners make similar judgments of acceptability at two different points in time?

Method: L2 learners of English judged relative clauses on a 7-point scale (including a 0 point). Sentences were randomized for each participant. The judgment exercise was repeated at a 1-week interval with sentences of the same grammatical structure.

Scoring: Each person was given a score from -3 (definitely incorrect) to +3 (definitely correct) for each sentence at each time period. The responses at Time 1 and Time 2 were compared to determine the extent to which responses were similar / different at Time 1 and Time 2.

In this repeated measures study, each participant's score at Time 1 was compared with his or her score at Time 2. The research question itself dictated a repeated measures design.

The other design is factorial design. A factorial design involves more than one independent variable and can occur with or without randomization. A factorial design allows researchers to consider more than one independent variable, generally moderator variables (see chap. 4 for a discussion of variables). The example that follows shows a possible factorial design for the investigation of topic effect on word count/sentence.

Research questions:

- Question 1: Do different writing topics yield different word counts?
- Question 2: Does L1 background yield different word counts?
- Question 3: Do writing topics and L1 background interact to yield different word counts?

Makeup of group:

- Native Korean speakers: 19.
- Native Spanish speakers: 22.
- Native Arabic speakers: 21.

Analysis for Question 1: Compare results across all topics for all learners (total number of learners is 62). This is a main effect.

Analysis for Question 2: Compare results across L1 background groups for all writing topics. This is a main effect. The three groups would consist of: 19 (Korean), 22 (Spanish), 21 (Arabic).

Analysis for Question 3: Compare the groups to see if the pattern is the same for all three language groups. This is an interaction effect.



EXERCISE 2

- 1) Which of the following are researchable questions through experimental research (E)? Which are library research questions (questions that are better researched not through original data, but through searching prior sources; L)? Which are research questions that would require partial or complete redefinition before the question could be investigated (R)?
 - a. Why should the government finance English as a Second Language classes for refugee families?
 - b. What are the characteristics of a good language learner?
 - c. Does articulatory explanation improve learners' ability to produce the /h/ versus /l/ distinction in English?

- d. Do high-anxiety students make fewer errors on compositions than do low-anxiety students?
 - e. Do students remember more pairs of antonyms than pairs of synonyms when one member of the pair is presented in the first language and the other is presented in the second language?
 - f. Does the use of a bilingual dictionary help foreign language students learn more vocabulary than does use of a monolingual dictionary in the L2?
 - g. Does a student's perception of similarities/differences between his or her first language and the second language influence transfer of syntactic forms from the first language to the second language?
 - h. Is extended listening with delayed oral practice more effective than is a total skills approach in initial language learning?
- 2) You are completing a study on the effects of participation in a volunteer aiding program on later performance in ESL practice teaching. What is the dependent variable? What is the independent variable? You also believe that type of class in which aiding was done (elementary school, adult school, university class) might have some relationship to success in student teaching.
- 3) You have asked each of your ESL students to go out in the "real world" and make five complaints during the next week. They will judge their success on a 5-point success-to-failure scale. During the previous week, half of these students had watched a videotape of an American woman returning a watch to a store, complaining that it did not work properly. You want to know if the model helped with self-rated success. What is the dependent variable in this study? The independent variable? All your students are adult women from a variety of language backgrounds. Some of them work in factories, some in stores, and some in offices.
- 4) Consider the following conclusions. Are they valid? Why or why not? If not, what would make them more convincing?
- a. Second language learners who identify with the target culture will master the language more quickly than will those who do not. (Evidence 1: a case study of an unsuccessful language learner who did not identify with the target language; Evidence 2: five case studies of unsuccessful language learners who did not identify with the target language and five case studies of successful language learners who did identify with the target language; Evidence 3: same

- as #2, but the data are accompanied by verbal reports from learners showing that this is indeed an important connection.)
- b. Immigrants are more law abiding than native-born citizens. (Evidence: an analysis of court records.)
 - c. Affective relationships between teacher and students influence proficiency gains. (Evidence: a longitudinal ethnographic study of an inner-city high school class.)
 - d. Input followed by interaction promotes better learning than does interaction followed by input. (Evidence: two groups of 50 each—the group with input followed by interaction outperformed the group with interaction followed by input on an immediate posttest and two subsequent posttests.)

5) Read the following abstract and answer the questions.

Article title : "The Influence of Task Structure and Processing Conditions on Narrative Retellings"

Article source : Language Learning, 1999,49,93-120.

Authors : Peter Skehan and Pauline Foster

This article explores the effects of inherent task structure and processing load on performance on a narrative retelling task. Task performance is analyzed in terms of competition among fluency, complexity, and accuracy. In a study based on 47 young adult low-intermediate subjects, the fluency of performance was found to be strongly affected by degree of inherent task structure; more structured tasks generated more fluent language. In contrast, complexity of language was influenced by processing load. Accuracy of performance seemed dependent on an interaction between the two factors of task structure and processing load. We discuss which aspects of performance receive attention by the language learner. The implications of such cross-sectional results for longer-term language development are considered.

Questions:

- a. What is the research question addressed in this study?
- b. Is this an experimental study? Why or why not?
- c. What are the independent variables in this study?
- d. What are the dependent variables?



SUMMARY

The first type of quantitative research is survey research. Most surveys possess three basic characteristics: (1) the collection of information, (2) from a sample (3) by asking questions, in order to describe some aspects of the population of which the sample is a part. The major purpose of all surveys is to describe the characteristics of a population. Rarely is the population as a whole studied, however. Instead, a sample is surveyed and a description of the population is inferred from what the sample reveals. There are two major types of surveys: cross-sectional surveys and longitudinal surveys. Three longitudinal designs commonly employed in survey research are trend studies, cohort studies, and panel studies. In a trend study, different samples from a population whose members change are surveyed at different points in time. In a cohort study, different samples from a population whose members do *not* change are surveyed at different points in time. In a panel study, the same sample of individuals is surveyed at different times over the course of the survey. Surveys are not suitable for all research topics, especially those that require observation of subjects or the manipulation of variables.

Correlational research involves collecting data to determine whether and to what degree a relation exists between two or more variables. The degree of relation is expressed as a correlation coefficient. If two variables are related, scores within a certain range on one variable are associated with scores within a certain range on the other variable. A relation between variables does not imply that one is the cause of the other. You should not infer causal relations on the basis of data from a correlational study. A common, minimally accepted sample size for a correlational study is 30 participants. If the variables correlated have low reliabilities and validities, a bigger sample is necessary. In the basic correlational design, scores for two (or more) variables of interest are obtained for each member of a selected sample, and the paired scores are correlated. A correlation coefficient is a decimal number between -1.00 and $+1.00$. It describes both the size and direction of the relation between two variables. If the correlation coefficient is near 0.00 , the variables are not related. A relationship study is conducted to gain insight into the variables or factors that are related to a complex variable, such as academic achievement, motivation, or self-concept. A prediction study is an attempt to determine which of a number of variables are most highly related to the criterion variable.

In experimental research the researcher manipulates at least one independent variable, controls other relevant variables, and observes the effect on one or more dependent variables. An experiment typically involves a comparison of two groups (although some experimental studies have only one group or even three or more groups). The experimental comparison is usually one of three types: (1) comparison of two different approaches (A versus B), (2) comparison of a new approach and the existing approach (A versus no A), and (3) comparison of different amounts of a single approach (a little of A versus a lot of A). Group experimental designs include: pre-experimental designs (the one-shot case study, the one-group pretest-posttest design, and the static-group comparison), true experimental designs (the pretest-posttest control group design, the posttest-only control group design, and the Solomon four-group design), quasi-experimental designs (the nonequivalent control group design, the time-series design, the counterbalanced designs), and factorial designs.



FORMATIVE TEST 2

- 1) What are the main characteristics of quantitative research?
- 2) What are the similarities and the differences between survey research and correlational research?
- 3) Give your explanation and example about the types of research questions proposed by Brown?
- 4) Explain the common steps in conducting correlational research!
- 5) What are the main differences between correlational research and experimental research?
- 6) From a group of students enrolled in social studies in a high school, a researcher randomly selected 60 students. The students were then divided into two groups by random assignment of 30 to group A, the traditional social studies curriculum, and 30 to group B, a new program design to deal with the history of certain ethnic groups. The two groups were compared at the end of the semester on a scale designed to measure attitudes toward ethnic groups. In this study, identify the following:
 - a. Independent variable
 - b. Dependent variable.
 - c. Control group
 - d. Experimental group

- e. Method(s) used to control for differences between the groups
 - f. Research design used
- 7) Find a research article in the journal about language teaching, and do the following task!
- a. Describe a problem or area of focus
 - b. Explain the methods of data collection and analysis.
 - c. Explain the research result
 - d. Explain the conclusion of the research

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

UNIT 3

Qualitative Research In Applied Linguistics

Appplied linguistics is a broad and exciting interdisciplinary field of study. It focuses on language in use, connecting our knowledge about languages with an understanding of how they are used in the real world. Applied linguists work in diverse research areas including second-language acquisition (SLA), teaching English as a second or other language (TESOL), workplace communication, language planning and policy, and language identity and gender – to name just a few. Many applied linguists also work in related fields such as education, psychology, sociology, and anthropology.

One important area of applied linguistics research is *language analysis*. SLA researchers, for example, look at what language errors learners commonly make at different stages in their language development; or TESOL researchers consider how a writing textbook helps students develop their composition skills. A second important area in applied linguistics is investigating the *contexts and experiences of language use*. For instance, researchers specializing in workplace communication could examine how immigrant women with differing degrees of language proficiency use the target language to communicate with co-workers, or TESOL researchers might investigate how the classroom milieu affects students' attitudes toward language learning. Similarly, language identity researchers might consider how sexual minorities structure their identity through language.

How do researchers approach such issues? In essence, they have three choices: to use quantitative research, qualitative research, or to use both in what is termed mixed methods research. In very broad terms, **quantitative research** involves collecting primarily numerical data and analyzing it using statistical methods, whereas **qualitative research** entails collecting primarily textual data and examining it using **interpretive analysis**. **Mixed methods research** employs both quantitative and qualitative research according to the aims and context of the individual project and the nature of the research questions.

In this unit, we mainly focus on qualitative research, first exploring what it is, then illustrating how it is used to investigate the manifold contexts and experiences of language in use; however, there is also a part that provides an introduction to mixed methods research.

A. INTRODUCTION

The term qualitative research is associated with a range of different methods, perspectives, and approaches. Croker (2009: 5) says that the term 'qualitative research' is an umbrella term used to refer to a complex and evolving research methodology. It has roots in a number of different disciplines principally anthropology, sociology, and philosophy, and now is used in almost all fields of social science inquiry, including applied linguistics. A plethora of research designs has been developed within qualitative research, including naturalistic inquiry, narrative inquiry, case study, ethnography, action research, phenomenology, conversation analysis, life history research, and grounded theory. These approaches use a wide variety of data collection methods, such as observation, interview, open-response questionnaire items, verbal report, diary study, and discourse analysis. And within each of these research approaches and methods, a number of research techniques and strategies have been developed to help qualitative researchers do their day-to-day work—conceptualizing the research project, collecting and analyzing data, and writing up findings.

Tavakoli (2012: 503) states that qualitative Research places primary importance on studying small samples of purposely chosen individuals; not attempting to control contextual factors, but rather seeking, through a variety of methods, to understand things from the informants' points of view; and creating a rich and in-depth picture of the phenomena under investigation. There is less of an emphasis on statistics (and concomitant attempts to generalize the results to wider populations) and more of an interest in the individual and his/her immediate context. By definition, qualitative research is *synthetic* or *holistic* (i.e., views the separate parts as a coherent whole), *heuristic* (i.e., discovers or describes the patterns or relationships), with little or no control and manipulation of the research context, and uses data collection procedures with *low explicitness*.

Qualitative research is the primary example of hypothesis-generating research. That is, once all the data are collected, hypothesis may be derived from those data. The ultimate goal of qualitative research is to discover phenomena such as patterns of behavior not previously described and to understand them from the perspective of participants in the activity. Mackey and Gass (2005: 179-180) and Tavakoli (2012; 504) claim that detailed

definitions of qualitative research usually include the following characteristics:

- *Rich description*: The aims of qualitative researchers often involve the provision of careful and detailed descriptions as opposed to the quantification of data through measurements, frequencies, scores, and ratings;
- *Natural and holistic representation*: Qualitative researchers aim to study individuals and events in their natural settings, i.e., rather than attempting to control and manipulate contextual factors through the use of laboratories or other artificial environments, qualitative researchers tend to be more interested in presenting a natural and holistic picture of the phenomena being studied. In order to capture a sufficient level of detail about the natural context, such investigations are usually conducted through an intense and prolonged contact with, or immersion in, the research setting;
- *Few participants*: Qualitative researchers tend to work more intensively with fewer participants, and are less concerned about issues of generalizability. Qualitative research focuses on describing, understanding, and clarifying a human experience and therefore qualitative studies are directed at describing the aspects that make up an idiosyncratic experiences rather than determining the most likely, or mean experience, within a group;
- *Emic perspective* (or participant or insider point of view): Qualitative researchers aim to interpret phenomena in terms of the meanings people attach to them, i.e., to adopt an emic perspective, or the use of categories that are meaningful to members of the speech community under study. An emic perspective requires one to recognize and accept the idea of multiple realities. Documenting multiple perspectives of reality in a given study is crucial to an understanding of why people think and act in the different ways they do. Emic perspectives can be distinguished from the use of etic perspective (or researcher or outsider point of view), which is an outsider's understanding of a culture or group that is not their own. Etic perspectives are more common in quantitative research;
- *Cyclical and open-ended processes*: Qualitative research is often process-oriented or open ended, with categories that emerge. The qualitative search often follows an inductive path that begins with

- few perceived notions, followed by a gradual fine tuning and narrowing of focus. Ideally, qualitative researchers enter the research process with a completely open mind and without setting out to test preconceived hypotheses. This means that the research focus is narrowed down only gradually and the analytic categories and concepts are defined during the process of the research;
- *Possible ideological orientations*: Some qualitative researchers may consciously take ideological positions. This sort of research is sometimes described as *critical*, meaning that the researcher may have particular social or political goals, e.g., critical discourse analysis, a form of qualitative research, is a program of social analysis that critically analyzes discourse, (i.e., language in use), as a means of addressing social change;
 - *Interpretive analysis*: Qualitative research is fundamentally interpretive, which means that the research outcome is ultimately the product of the researcher's subjective interpretation of the data. Several alternative interpretations are possible for each data set, and because qualitative studies utilize relatively limited standardized instrumentation or analytical procedures, in the end it is the researcher who will choose from them. The researcher is essentially the main measurement device in the study; and
 - *The nature of qualitative data*: Qualitative research works with a wide range of data including recorded interviews, various types of texts (e.g., fieldnotes, journal and diary entries, documents, and images (photos or videos). During data processing most data are transformed into a textual form (e.g., interview recordings are transcribed) because most qualitative data analysis is done with words. While the description of qualitative research stands in contrast with that presented for quantitative research (with its emphasis on randomization, statistics, and generalizability), it should be understood that quantitative and qualitative approaches are not polar opposites for quantitative and qualitative research, respectively, sometimes imply.

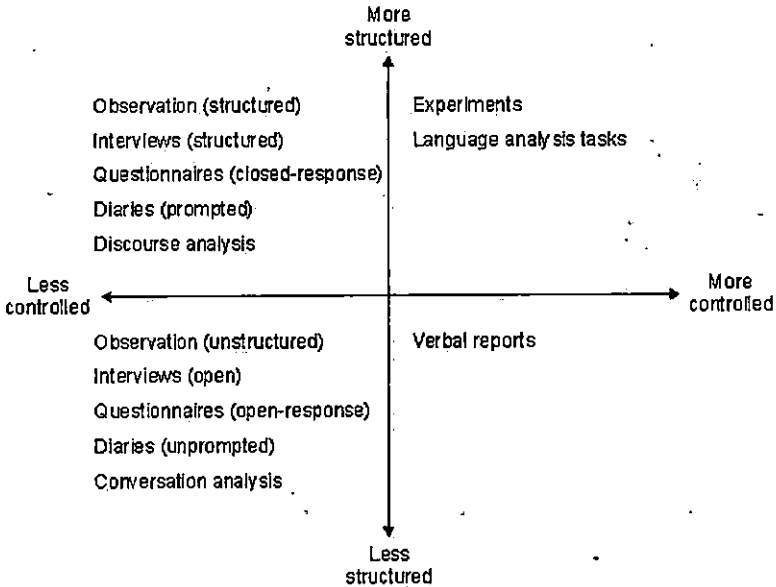
In a qualitative study, researchers often use multiple data collection methods, including observations, interviews, open-response questionnaires, and diaries. Each of these 'makes the world visible in a different way'

(Denzin & Lincoln, 2005: 4), so a fuller, richer picture of the participants' perspective can be explored and represented. All of these data collection methods create data that is primarily textual not numerical: researchers doing observations create written notes, called field notes; researchers using interviews generate written transcripts or summaries; and the other data collection methods such as questionnaires and diaries use text that the participants themselves have written. That is not to say that numerical data is not used, but that its purpose is supplementary not central. A vast amount of textual data is created in a qualitative research study, and managing it is often challenging.

Croker (2009: 9) says that the textual data that researchers create in their field notes and interview summaries should be richly detailed and descriptive of the participants and the research setting – capturing what researchers have seen, heard, smelled, and touched. As they create this data, and later as they think about them, researchers add their own thoughts and reflections. Taken together, this creates a **thick description** of the participants and setting. Qualitative researchers then use interpretive analysis to sift through their data and group similar ideas together, to discover patterns of behavior and thinking.

The data that researchers collect permits them to paint a richly descriptive picture of their participants' worlds – the participants themselves, the setting, and the major and minor events that happen there. A well-written qualitative research study will carefully use the participants' own words to augment the researcher's vivid description and clear interpretation. It should give readers a sense of entering the participants' worlds and sharing the experience of being there with them. The process is, in a sense, like filmmaking – the researcher assembles data into montages by blending images, sounds, and understandings together to create a compelling composite creation.

The following figure shows the two continuum of the qualitative data collection methods.



(source: van Lier cited by Croker, 2009: 19)

The above figure shows that data collection methods can be conceptualized by placing them along two intersecting continuums. The first of these continuums expresses the amount of control researchers have over the research setting as they collect their data. In most qualitative research, researchers do not control the research setting at all, as they are interested in authentic behavior in natural settings. However, researchers using verbal reports do control what participants do during the research process. By comparison, with research done outside qualitative research, most language analysis also involves researchers carefully controlling the research environment: researchers try to control the language that participants use when they complete a language task, and they also collect data in settings specified for the purposes of collecting data, like a researcher's office or a language laboratory, rather than in natural settings.

The second continuum indicates the degree to which the researcher structures the actual collection of data. Some qualitative data collection methods allow the researcher to structure data collection carefully, like structured interviews, or observations using observation checklists. Many qualitative data collection methods, however, are less structured, permitting researchers to be more adaptive and responsive to the research setting. In fact, most methods can be both. For example, with the collection of diary data, researchers may ask participants to respond in their diaries only about a specific topic, or they may ask respondents to write on any topic with no set format. The advantage of more structured data collection is that information from different participants or in different periods of time can be compared; the disadvantage is that fertile insights that the participants might have otherwise offered could be lost.

B. TYPES OF QUALITATIVE RESEARCH

Probably your first questions after you have established your area of research interest are which approach and methods you should use in your study. The answers are straightforward: the ones that best suit your research purpose and research questions. That is, there must be congruence between your research purpose and research questions on the one hand, and the research approach and data collection method that you use on the other.

1. Case Study

A simple definition of *case study* is elusive. Perhaps the main reason for this is that case study is often looked at as a research *method*, rather than a research *focus*. However, as Stake (1995: 14) notes, 'Case study is not a methodological choice, but an object to be studied', and the case study researcher can draw upon a variety of research tools to study that object. What, then, is a 'case'? For the leading case study theorists, the principle of *boundedness* is central. Merriam (1988: 9) suggests that a case is a 'bounded system', or a defined individual or entity (like a student, program, school, institution) that the researcher wishes to explore. However, Stake (1995) points out that what forms the boundaries and contexts is not immediately apparent. Yin (2003: 13) agrees, defining a case study as 'an empirical inquiry that investigates a contemporary phenomenon within its real-life context, *especially* when the boundaries and contexts are not clearly evident'.

So, if a case is a bounded system, and if the boundaries of that system are unclear, it is the researcher's task to identify and explore those boundaries.

Tavakoli (2012: 53) says that case study is one of the most common qualitative approaches to research which aims to understand social phenomena within a single or small number of naturally occurring settings. Case study is the study of the particularity and complexity of a single case. Cases are primarily people, but researchers can also explore in depth a program, an institution, an organization, a school, a class, or a community. In fact, almost anything can serve as a case as long as it constitutes a single entity with clearly defined boundaries. To study the selected cases, case study researchers usually combine a variety of data collection methods such as interviews, observation, verbal protocols, narrative accounts, document archives, and audio or video recording. Thus, the case study is not a specific technique but rather a method of collecting and organizing data so as to maximize understanding of the unitary character of the social being or object studied.

There are three types of case study:

- a. the **intrinsic case study** in which interest lies purely in one particular case itself. The intrinsic case study is conducted to understand a particular case that may be unusual, unique, or different in some way. It does not necessarily represent other cases or a broader trait or problem for investigation. There is no attempt at all to generalize from the case being studied, compare it to other cases, or claim that it illustrates a problem common to other, similar cases. The emphasis is on gaining a deep understanding of the case itself. For example, if you were not interested in improving support and instruction for your second language students but rather simply wished to understand the lived experience of your two participants, you would be conducting an intrinsic case study;
- b. the **instrumental case study** in which a case is studied with the goal of illuminating a particular issue, problem, or theory. It is intended to provide insights into a wider issue while the actual case is of secondary interest; it facilitates understanding of something else. While the intrinsic case study requires a primarily descriptive approach, with an eye toward the particularity of the case at hand, the instrumental case study is more likely to require interpretation and evaluation, in addition to description. For example, a researcher

might study how Mrs. Brown teaches phonics, for example, in order to learn something about phonics as a method or about the teaching of reading in general. The researcher's goal in such studies is more global and less focused on the particular individual, event, program, or school being studied. Researchers who conduct such studies are more interested in drawing conclusions that apply beyond a particular case than they are in conclusions that apply to just one specific case. Instrumental case studies may be used to develop conceptual categories or illustrate, support, or challenge theoretical assumptions. In other words, case studies—both intrinsic and instrumental—may lay the groundwork for future studies by providing basic information about the realms in which little research has been conducted; and

- c. the **multiple (or collective) case study** where there is even less interest in one particular case, and a number of cases are studied jointly in order to investigate a phenomenon or general condition. Again, one issue, problem, or theory is focused upon, but the researcher chooses to study more than one case to shed light on a particular issue if doing so will lead to a better understanding, and perhaps better theorizing, about a still larger collection of cases. Your study is a multiple case study, as you study one issue and compares different students (i.e., undergraduate and graduate) to see how their experiences are similar or different, for the benefit of a broader group of cases—future undergraduate and graduate students in the intensive English program (IEP). You could also have compared students going into different departments or faculties, or students who come from different language backgrounds.

Case study approach has been productive and highly influential in applied linguistics. In the area of second language (L2) teaching and learning, case studies are frequently used to trace the language development of a particular group of learners. These studies are usually associated with a *longitudinal* approach, in which observations of the phenomena under investigation are made at periodic intervals for an extended period of time. A case study in L2 teaching might focus on a single teacher and perhaps a small group of students in order to explore how the relationship develops as the

latter settle into a new language school. The institutional setting would need to be carefully delineated and we would need to know a lot about the background of the individuals involved, so a number of in-depth interviews would be necessary and these might be linked to lesson observation and perhaps also to critical incidents. Documentary evidence might also be sought out where relevant and the researcher would aim to develop a rich picture of the experiences of those involved within this particular setting, perhaps including narrative accounts as well as descriptive vignettes. In discussing the case, attention will be drawn to features of particular interest, relating these to broader issues and developing explanations where appropriate.

As with all sound research, case study researchers must strive for validity and reliability in their investigation. In terms of external validity, one of the major criticisms of case study research is that a single case provides very little evidence for generalizing. Accepting the definition of validity used in experimental research is not warranted because case studies do not claim to be based on a representative sample in which statistical procedures can verify generalizations. Statistical generalizations are valid for empirical research, but case study research depends on analytical generalizations in which the findings of a study can lend support to some broader theory.

In regard to reliability, case study researchers, like all researchers, must make certain that if another researcher were to conduct a comparable case study, they would come to similar findings. In order to accomplish this, case study researchers must carefully document all the procedures they follow in as much detail as possible.

Mackay and Gass (2005: 172) say that case studies have been used in a wide variety of second language research studies. One well-known longitudinal case study investigating the development of L2 communicative competence is Schmidt's (1983) study of Wes, an ESL learner. Wes was a 33-year-old native speaker of Japanese who had little formal instruction in English. Schmidt studied Wes' language development over a 3-year period when he was residing in Japan but visited Hawaii, the research site, regularly on business. The study focused on a small number of grammatical features, including plural *s*, third-person singular, and regular past tense. Schmidt transcribed conversations between Wes and friends and also transcribed monologues that he asked Wes to produce while at home in Japan. Although Wes attained relatively high levels of pragmatic ability and acculturation

(e.g., in the use of formulae such as "So, what's new?" and "Whaddya know?"), he had very limited improvement in terms of linguistic accuracy for the grammatical forms over the 3 years of the study, thus providing evidence for the separability of linguistic and pragmatic competence.

Another well-known case study is Ellis' (1984) investigation of two child learners in an L2 context. J was a 10-year-old Portuguese boy, and R was an 11-year-old Pakistani boy. Both children were learning ESL in London in a program that catered to new arrivals with the aim of preparing them for transfer to high schools. Ellis investigated the learning patterns of the two children in an instructed context, as opposed to the naturalistic context in which Schmidt had studied Wes' language development. In order to examine the learners' use of requests, Ellis visited the classrooms regularly, writing down the samples of requests the two children produced. Ellis' analysis documented different stages in the children's use of requests over time, also noting their tendency to use formulae.

In another second language case study in which the focus was the role of collaborative interaction in second language development, Ohta (1995) examined the language of two intermediate learners of Japanese as a foreign language, finding that their patterns of interaction facilitated a form of scaffolding, or assisted help, that benefited both learners. Obviously, cases can also be individual classes or schools.

One main advantage of case studies is that they allow the researcher to focus on the individual in a way that is rarely possible in group research. As Johnson (1993: 7) noted, "[I] too often, because of the nature of correlational, survey, and experimental research, and their privileged status in L2 research, very little is learned about individual language learners, teachers, or classes. Case studies stand in sharp contrast to these approaches by providing insights into the complexities of particular cases in their particular contexts". In addition, case studies can be conducted with more than one individual learner or more than one existing group of learners for the purpose of comparing and contrasting their behaviors within their particular context. Case studies clearly have the potential for rich contextualization that can shed light on the complexities of the second language learning process.

An essential point to bear in mind with case studies, however, is that the researcher must be careful about the generalizations drawn from the study. Although this is true for all forms of research, it is particularly pertinent to case studies, which often employ only a few participants who are not

randomly chosen. For this reason, any generalizations from the individual or small group (or classroom) to the larger population of second language learners must be made tentatively and with extreme caution. From a single case study, it may be difficult to recognize idiosyncrasies as such, with the potential that they are misinterpreted as typical language learning behavior. To address this concern, the findings from multiple longitudinal case studies can be combined to help researchers draw firmer conclusions from their research. For example, Wray (2001) summarized 14 case studies that focused on the role of formulaic sequences in child second language acquisition. The cases involved 21 children (12 girls and 9 boys), aged approximately 2 to 10. Based on these multiple case studies, Wray argued that children express themselves holistically in a second language by employing formulaic sequences. In short, case studies may provide valuable insights into certain aspects of second language learning, but single case studies are not easily generalizable.

2. Ethnography

Although ethnography is not the most commonly used qualitative research approach in applied linguistics, it is an approach that has some unique offerings for the field. 'Ethnographic approaches are particularly valuable when not enough is known about a context or situation' (Mackay & Gass, 2005: 169). Ethnographers' main purpose is to learn enough about a group to create a cultural portrait of how the people belonging to that culture live, work, and/or play together. They do this through fieldwork – extended observation of and engagement with participants. Fieldwork, which has also been referred to as 'deep hanging out', typically uses participant observation, interviews, and artifact analysis, all of which we will discuss in this chapter.

Heigham and Sakui (2009: 92) say that the term 'ethnography' refers to both the product – the presentation of the final analysis and interpretation of the completed study – and also the research process itself. It finds its roots in anthropological work conducted in the early half of the twentieth century by researchers such as Bronisław Malinowski, Margaret Mead, and E. E. Evans-Pritchard, but although ethnography was begun by anthropologists, it did not take long for the use of the approach to be adopted by researchers in many other disciplines such as sociology, health, business, and education. Over time, the 'classical' form of ethnography has metamorphosed, and today there are a wide variety of ethnographic forms, including critical

ethnography, feminist ethnography, focused ethnography, confessional ethnography, auto-ethnography, and in the internet age, virtual ethnography.

Tavakoli (2012: 198) says that literally the word ethnography means the description (*graphy*) of cultures (*ethno*). Ethnography is the in-depth study of naturally occurring behavior within a culture or entire social group. It seeks to understand the relationship between culture and behavior, with culture referring to the shared beliefs, values, concepts, practices, and attitudes of a specific group of people. It examines what people do and interprets why they do it. Ethnographers typically describe, analyze, and interpret culture over time using observations, interviews, questionnaires, and field work as the data collecting strategies. The final product is a *cultural portrait* that incorporates the views of participants as well as views of researcher. Ethnographic studies consider where people are situated and how they go about daily activities as well as cultural beliefs.

Considering the number of different forms that ethnography can take, pinning down a precise definition for the term is not an easy task. However, a commonly cited definition in the field of applied linguistics is 'the study of people's behavior in naturally occurring, ongoing settings, with a focus on the cultural interpretation of behavior' (Watson-Gegeo, 1988). Through ethnographic studies, researchers look at cultures for 'what people do (behaviors), what they say (language), the potential tension between what they do and ought to do, and what they make and use, such as artifacts' (Spradley, 1980, as cited in Creswell, 2007: 71), which include standardized test scores, photos, handouts, and surveys. In order to fully understand ethnography, we need to take a closer look at a key term – **culture** – an understanding of which is crucial to appreciate this rich research tradition.

Culture is an abstract concept used to account for the beliefs, values, and behaviors of cohesive groups of people. It is a narrower term than race (which accounts for biological variation); a racial group may contain many different cultures, and a cultural group may contain members of different races. Although cultural group may refer to a particular nationality, cultures may cross political boundaries and a nation may contain many cultural groups Within a cultural group, behaviors are patterned and values and meanings are shared. (Richards & Morse, 2007: 53)

Ethnographic research allows researchers to explore how people create, sustain, change, and pass on their shared values, beliefs, and behavior – in essence, their culture. It draws on an interpretive approach where 'the

researcher's intent ... is to make sense (or interpret) the meanings others have about the world' (Creswell, 2007: 21), meanings usually unexamined by these people themselves. Research topics are necessarily fairly broad because researchers usually choose ethnographic approaches when 'the social issue or behaviors are not yet clearly understood', and they are looking for focus. The aim of ethnographers is to painstakingly develop an understanding of the particular cultural worlds which people build and live in and explain them to people outside those worlds.

Since ethnography has a strong focus on culture, and culture only exists in groups, it is groups rather than single individuals that are studied in ethnography (Heigham and Sakui, 2009: 93). However, the conception of 'group' has evolved in recent years. When this research tradition began, ethnographers typically went into 'exotic' or 'uncivilized' cultures where the groups were considered 'others'; the others typically spoke the same language as each other or lived in the same region, usually distantly located and little known by the researchers' culture. Today, although some ethnographers continue to study such unknown cultures, more and more they are staying home and studying cultures closer to their own. In addition, it is now recognized that culture exists even in much smaller groups, such as organizations, industries, gangs, and schools – all of which are contexts ethnographers could investigate. In this shift from the unknown to the known, ethnography lost its defining feature as the study of 'others', or at least others who differed dramatically from the ethnographer.

Traditional ethnography typically focuses on location, not issues. Ethnographers choose to explore a group living in a particular *place*, with the aim of building a cultural portrait of the group found there. Such studies are exemplified by researchers entering the field with no preconceived focus and staying there for an extended period of time, allowing a comprehensive description of the culture to be developed (Richards & Morse, 2007).

Other ethnographic forms are quite different from traditional ethnographies. For example, in focused ethnography the focal point of the research is typically on an *issue* about which researchers may mold a guiding question before the study begins (Richards & Morse, 2007). With critical ethnography, researchers aim to go beyond rich cultural description to promoting change (Madison, 2005; Sleeter, 1992). Such nontraditional studies are often conducted in small cultures such as organizations or institutions. The group studied may be a sample of participants who share a

particular *feature*, but not necessarily the same *location*, such as a group brought together in an online chat room (Angrosino, 2007). In such a situation, the researcher focuses on the common behaviors, experiences, or identities shared by the group in order to reveal the culture the people share.

Focusing for a moment on the field of applied linguistics, let's consider the type of topics or issues ethnographers might investigate. Ethnographers might choose to study 'development of learning communities in a SAC', or, for example, 'relationships between native-English-speaking teachers and nonnative-English-speaking teachers in Indonesian high schools'. Notice that these topics are not well-defined research questions. Rather they are topics that a researcher cannot clearly understand and hopes to gain clarity of through research. The research in the latter case would likely take place in a narrowly defined site in Indonesia, and the participants would include native and nonnative-English-speaking teachers. The researchers might be interested in investigating the impact of administrative decisions on teachers' practices in the classroom, so the administrative staff might also become research participants.

As a research methodology, **ethnographic research** requires avoidance of theoretical preconceptions and hypothesis testing in favor of prolonged direct observation, especially participant observation, attempting to see social action and the activities of daily life from the participants' point of view, resulting in a long detailed description of what has been observed (Tavakoli, 2012: 199). Ethnography is an excellent way of crossing cultures and gaining insight into the life of organizations, institutions, and communities. It is ideal for generating initial hypotheses about something totally unknown. An ethnographic researcher provides a thick description of the target culture, that is, a narrative that describes richly and in great detail the daily life of the community as well as the cultural meanings and beliefs the participants attach to their activities, events, and behaviors.

For this purpose ethnography uses an *eclectic* range of data collection techniques, including *participant* and *nonparticipant observation*, interviewing, and the ethnographer's own diary with field notes and journal entries. These data sources are further supplemented by film or audio recordings as well as authentic documents and physical artifacts, and ethnographers may even use structured questionnaires that have been developed during the course of the field work. For example, in studying a particular group of second language learners, a researcher might observe the

students in the classroom, with their peers outside the classroom, and at home with their families. They might also conduct in-depth interviews with them as well as with their teachers, parents, and peers. All of this would be done in order to have multiple sources on which to build an interpretation of what is being studied.

Tavakoli (2012: 199) says that it should be noted that it is not the data collection techniques that determine whether a study is an ethnography but rather the *sociocultural interpretation* that sets it apart from other forms of qualitative inquiry. Ethnography is not defined by how data are collected, but rather by the lens through which the data are interpreted. Ethnography can help educators and policymakers understand social and cultural issues that need to be addressed and provide insights into strategies that might be appropriate in a given culture or with particular marginalized groups.

There are two main approaches to ethnography. **Realist ethnography** is the more traditional approach. In realist ethnography, the researcher tries to provide an objective account of the situation, typically from a third person point of view. Standard categories are used, and factual information and closely edited quotes are presented as data. The researcher's interpretation occurs at the end. In **critical ethnography**, the researcher takes an advocacy perspective and has a value-laden orientation. The researcher is advocating for a marginalized group, challenging the status quo, or attempting to empower the group by giving it voice (Tavakoli, 2012: 199).

Applied linguistics as a field has an inherent interest in intercultural communication and, thus, ethnographic research has been embraced by scholars who look at language learning as a profoundly social practice and see second language learning, second culture learning, and language socialization as inextricably bound. In addition, because of the increasingly situated nature of much recent SLA research, ethnography has also been utilized for the contextualized analysis of classroom discourse and school learning. In studies of language learning and use, the term ethnographic research is sometimes used to refer to the observation and description of naturally occurring language (e.g., between mother and child or between teacher and students), particularly when there is a strong cultural element to the research or the analysis. However, much of this research is quasi-ethnographic at best, since the requirements of prolonged observation and thick description are frequently not met.

A typical ethnography might be a study of a group of teachers in their institutional setting over a term or year, focusing particularly on their relationships with students as these are exemplified in staffroom and classroom behavior. The researcher might join the staff as a temporary teacher, taking field notes, observing lessons, interviewing teachers (and perhaps students), even taping some staff meetings, focusing particularly on the ways in which teachers deal with new students in their classes and how these students are represented in staffroom talk.

The main drawback of the approach is concerned is that the need for prolonged engagement with the participants in their natural setting requires an extensive time investment that few academic researchers can afford. A further limitation of ethnographic studies is how to strike a balance between the insider and outsider perspective. If teachers, for example, are too familiar with a teaching context, they have biases, which may distort their interpretations. On the other hand, if teachers are unfamiliar with a teaching context they may not be able to get an insider's view of the dynamics in the classroom. Striking a balance between these two extremes is challenging because classroom teachers researching their own culture must simultaneously maintain membership for the sake of their identity and detach themselves from the culture sufficiently to describe it.

3. Narrative Inquiry

Tavakoli (2012: 390) says that narrative inquiry is a qualitative research approach for narratively inquiring into people and thus allowing for the intimate study of individuals' experiences over time and in context. Beginning with a narrative view of experience, researchers attend to place, temporality, and sociality, from within a methodological three-dimensional narrative inquiry space that allows for inquiry into both researchers' and participants' storied life experiences. Within this space, each story told and lived is situated and understood within larger cultural, social, and institutional narratives. Narrative inquiry is marked by its emphasis on relational engagement between researcher and research participants.

Murray (2009: 46) says that at the heart of narrative inquiry is a story or a collection of stories. Doing narrative inquiry involves eliciting and documenting these narratives. Unfortunately, researchers often do not move beyond telling a story, which has led critics to ask, 'How can a story be research?' A story can be research when it is interpreted in view of the

literature of a field, and this process yields implications for practice, future research or theory building.

Narrative inquiry is based on the premise that we understand or make sense of our lives through narrative (Bruner, 1990). Increasingly, psychologists and theorists are taking the view that not only do we 'make our existence into a whole by understanding it as an expression of a single unfolding and developing story' but that 'we achieve our personal identities and self-concept through the use of narrative configuration. Bruner (1990) also argues that it is through telling ourselves stories about ourselves and others that we come to understand who we are, who they are and what the relationship is between us. Our life story is constantly changing as new events unfold. Narrative inquiry is conducive to documenting the changing conditions of lives and the impact these new conditions can have over time on all aspects of an individual's life, including language learning.

Tavakoli (2012: 390) says that narrative inquiry involves working with people's consciously told stories, recognizing that these rest on deeper stories of which people are often unaware. Participants construct stories that support their interpretation of themselves, excluding experiences and events that undermine the identities they currently claim. Whether or not they believe the stories they tell is relatively unimportant because the inquiry goes beyond the specific stories to explore the assumptions inherent in the shaping of those stories. No matter how fictionalized, all stories rest on and illustrate the story structures a person holds. As such, they provide a window into people's beliefs and experiences. Narratives allow researchers to present experience holistically in all its complexity and richness. They are therefore powerful constructions, which can function as instruments of social control as well as valuable teaching tools.

In its fullest sense, narrative inquiry requires going beyond the use of narrative as rhetorical structure, that is, simply telling stories, to an analytic examination of the underlying insights and assumptions that the story illustrates. Narrative inquiry is therefore rarely found in the form of a narrative. Hallmarks of the analysis are the recognition that people make sense of their lives according to the narratives available to them, that stories are constantly being restructured in the light of new events, and that stories do not exist in a vacuum but are shaped by lifelong personal and community narratives.

Tavakoli (2012: 391) says that any research method, of course, has its limitations, and narrative is not suitable for all inquiries. The time commitment required makes it unsuitable for work with a large number of participants. It also requires close collaboration with participants and a recognition that the constructed narrative and subsequent analysis illuminates the researcher as much as the participant. Ethical issues are some of the most serious ones to be addressed. Exchanging stories is often understood within a larger story of friendship, so researchers may find disengagement difficult at the end of the research project. More seriously, when researchers take people's stories and place them into a larger narrative, they are imposing meaning on participants' lived experience. Although good practice demands that researchers share their ongoing narrative constructions, participants can never be quite free of the researcher's interpretation of their lives. The effects of this imposed restoring can be powerful.

C. ACTION RESEARCH

As the term suggests, *action research* is an approach that involves both action and research. However, the term can also be puzzling as it contains two ideas that do not seem to sit comfortably together – *action* and *research*. Let's take each word and consider its implications in an action research approach.

Burns (2009: 114) says that the *action* is usually associated with identifying and exploring an issue, question, dilemma, gap, or puzzle in your own context of work – the classroom, the school, or the institution at large. The action usually involves putting deliberate practical changes or 'interventions' in place to improve, modify, or develop the situation. The *research* in action research involves a systematic approach to collecting information, or data, usually using methods commonly associated with qualitative research. In this way, action research differs from the passing reflections or intuitive thoughts that most teachers have about their work. As the actions you have planned are tried out in the classroom, you record the information systematically, reflecting on it and analyzing what it is revealing, so that any further actions you plan are based on current evidence.

When you undertake action research, it may involve working on a specific issue in your own classroom, or it could involve collaboration with others in the same social and educational context – administrators, other

teachers, students, or even students' family members. Action research can aim to influence what is done in individual classrooms or can have wider social and political effects and influence the way things are changed across a whole institution or system. So to summarize, the main point of action research is to find out more about what is going on in your own local context in order to change or improve current practice in that situation. Thus, action research can be contrasted with other types of research which may aim to hypothesize, describe, analyze, explain, interpret, theorize, and generalize—but not to make immediate changes in specific teaching practices within the research context.

There is a whole range of areas you may wish to investigate, but four broad areas of interest commonly provide a focus (Fischer, 2001). These are:

- your teaching and making changes in teaching practice (for example, 'How do my learners respond to my teaching of pronunciation?')
- your learners and how they learn ('What kinds of activities motivate my learners most effectively in writing class?')
- your interaction with the current curriculum and with curriculum innovation ('What can I do to make the school's mandated curriculum more appealing to my learners?')
- your teaching beliefs and philosophies and their connections with daily practice ('I am interested in the concept of teacher expertise. What should be the balance between learner-centeredness and teacher-centeredness in my classroom?').

There are numerous models and definitions of action research, but one that is widely known is from Carr and Kemmis (1986, p. 162):

Action research is simply a form of self-reflective enquiry undertaken by participants in order to improve the rationality and justice of their own practices, their understanding of these practices and the situations in which the practices are carried out.

In addition to the reflective and practical aspects, Carr and Kemmis's definition incorporates sociocultural, political, and critical dimensions that are prominent in some versions of action research. Kemmis and McTaggart

(1986: 11–14) describe the essential stages as a self-reflective action research cycle of planning, action, observation, and reflection, where you:

- Identify a focus area of your practice that presents a ‘puzzle’, problem, or question and plan strategies to change or improve the situation.
- Collect information systematically about this focus area.
- Analyze and reflect on what the data you have collected are telling you about the situation.
- Act as necessary again to change or improve the situation.

Tavakoli (2012: 5) says that action research is a research approach which is an on-the-spot procedure designed to deal with a concrete problem located in an immediate situation. This means that a step-by-step process is constantly monitored over varying periods of time and by a variety of mechanisms (e.g., observation, interview, questionnaire, diary study, and discourse analysis) so that ensuing feedback may be translated into modifications, adjustments, directional changes, redefinitions, as necessary, so as to bring about lasting benefit to the ongoing process itself. Action research involves *action* in that it seeks to bring about change, specifically in local educational contexts.

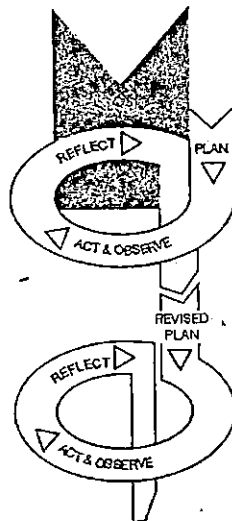
It is usually associated with identifying and exploring an issue, question, dilemma, gap, or puzzle in your own context of work. It is also *research* because it entails the processes of systematically collecting, documenting, and analyzing data and it is participatory and collaborative in that teachers work together to examine their own classrooms.

Action research is a generic term for a family of related methods that share some important common principles. The most important tenet concerns the close link between research and teaching as well as the researcher and the teacher. It is conducted by or in cooperation with teachers for the purpose of gaining a better understanding of their educational environment and improving the effectiveness of their teaching. Thus, the enhancement of practice and the introduction of change into the social enterprise are central characteristics of action research. Traditionally, the teacher-researcher link was taken so seriously in this area that only research done by the teacher him/herself was considered action research proper. However, after it was realized that it is often unrealistic to expect teachers to have the expertise to

conduct rigorous research, scholars started to emphasize the collaboration between teachers and researchers.

This collaboration can take several forms, from the researcher owning the project and co-opting a participating teacher to real collaboration where researchers and teachers participate equally in the research agenda. The language teachers might reflect on their treatment of new students and decide that intervention (i.e., the independent variable or treatment) would be appropriate. The nature of appropriate intervention might be apparent to the teacher, or it may be necessary to wait for a new intake, keep a journal and record lessons in order to build up a picture of the ways in which induction is handled in class. Analysis of this might reveal very prescriptive teacher-centered approaches that are not conducive to building a classroom community, so the teacher might develop a set of more appropriate strategies for achieving this end. These strategies could then be implemented with the next intake and their success evaluated on the basis of journals, recordings, and perhaps interviews.

According to Kemmis and McTaggart (1988), who are major authors in this field, AR typically involves four broad phases in a cycle of research. The first cycle may become a continuing, or *iterative*, spiral of cycles which recur until the action researcher has achieved a satisfactory outcome and feels it is time to stop.



- **Planning:** In this phase you identify a problem or issue and develop a plan of action in order to bring about improvements in a specific area of the research context. This is a forward-looking phase where you consider: i) what kind of investigation is possible within the realities and constraints of your teaching situation; and ii) what potential improvements you think are possible.
- **Action:** The plan is a carefully considered one which involves some deliberate interventions into your teaching situation that you put into action over an agreed period of time. The interventions are 'critically informed' as you question your assumptions about the current situation and plan new and alternative ways of doing things.
- **Observation:** This phase involves you in observing systematically the effects of the action and documenting the context, actions and opinions of those involved. It is a data collection phase where you use 'open-eyed' and 'open-minded' tools to collect information about what is happening.
- **Reflection:** At this point, you reflect on, evaluate and describe the effects of the action in order to make sense of what has happened and to understand the issue you have explored more clearly. You may decide to do further cycles of AR to improve the situation even more, or to share the 'story' of your research with others as part of your ongoing professional development.

(Adapted from Kemmis & McTaggart, 1988, pp. 11-14)



EXERCISE 3

- 1) When we say a piece of research is 'qualitative, what is being described about it? and what makes it qualitative?
- 2) Explain some major methods used in collecting data in the qualitative research?
- 3) Provide your explanation and examples of three types of case study research!
- 4) What is ethnography research and what are the similarities and differences between ethnography and case study?
- 5) What are the advantages and disadvantages of ethnography research?

- 6) What is narrative inquiry? And what are the main characteristics of narrative inquiry approach?
- 7) What do you know about action research?
- 8) Study the following illustrative example, and determine the problem of the research, type of research and the techniques of data collection, and the result of the study.

Elizabeth teaches English as a Foreign Language (EFL) at a medium-sized Japanese women's university that has a self-access center (SAC) for students. The SAC is designed to promote independent learning, and it aims to facilitate the development of communicative competence through learner-learner peer interaction and the development of learning communities. Uniquely, it is staffed entirely by third- and fourth-year students who act as peer advisors (PAs), and there is a strict 'English only' policy. Although Elizabeth is not the SAC coordinator, she is very interested in the center and spends quite a lot of time there. She has noticed that in some years a strong supportive community of learners develops, but in other years it does not. She wonders why this is so, given that the freshman student orientation about the SAC is standardized. She has done research projects in the past, and decides that she would like to explore this situation by doing an ethnographic study of this small SAC culture. She talks about this with the SAC coordinator and the department chair, and they support her idea. Elizabeth then gets permission from her university's ethics board to begin a two-year research project, and the department chair, who feels the success of the SAC is important for the department and understands the time commitment that ethnography requires, arranges for her to teach one less class during the project period.

From the start of the next academic year, Elizabeth begins to spend about ten hours a week in the center. She often sits in the back of the room but sometimes wanders around mingling with students, and she makes extensive field notes of what she sees and hears. To find out how students view and use the SAC, with their permission, she also interviews the SAC coordinator, the PAs, some of the current students, and some of the alumni. She collects all of the posters and learning materials the PAs create. In addition, she reviews students' Test of English for International Communication (TOEIC) scores. Throughout the two years, Elizabeth continuously analyzes and interprets the data she

collects, and this continues after she finishes her data collection. Over time Elizabeth is able to compile a 'cultural portrait' of the SAC that reveals how the culture develops and changes and decides to present her findings to the department. She then begins to write up a report about the research that she hopes to have published.



SUMMARY

Case studies are empirical investigations of contemporary phenomena within real-life contexts. They comprise a bounded system, including an individual or entity and the settings in which they act. Case studies may be characterized as intrinsic, instrumental, or multiple. Alternatively, they could be characterized as exploratory, descriptive, or explanatory. The decision to conduct a case study depends on the object to be studied, what the researcher wishes to learn about it, and what he hopes to do with the findings. Qualitative case studies are typically longitudinal, which means that the researcher will collect large amounts of data over a long period of time. Qualitative case study investigators should draw upon a range of data sources and triangulate the findings. Case study investigators are themselves data elicitation instruments; they must carefully consider their own biases and blind spots. Data collection and analysis are done simultaneously and recursively. The keys to keeping data organized and readily accessible are logic and consistency. Develop your own system; keep it simple yet thorough. Triangulation, the analysis of data from a variety of sources, may confirm inferences or render a multifaceted view of an issue. A case study report often takes a narrative form and personal tone as the investigator attempts to tell the stories of the participants and portray them as real people.

Ethnography is a research approach that focuses on 'people's behavior in natural occurring, ongoing settings, with a focus on the cultural interpretation of behavior'. It draws on an interpretive approach and allows researchers to explore how people create, sustain, change, and pass on their culture. Groups rather than individuals are studied in ethnography. These groups can be large or small because culture is not limited to big groups. Topics studied in ethnographies are typically broad; they investigate little understood issues, behaviors, or situations. Ethnographies can provide profoundly detailed understanding of a culture; moreover, because they are often presented in narrative form they may be very accessible to practicing teachers. Ethnographers collect a large quantity of varied data that includes detailed field notes from

observation, interviews, and artifact analysis. Keeping data well organized is essential, and each researcher should design a system of organization that suits him or her. Analysis and interpretation are inductive processes of methodically searching for patterns and meanings in the data. The research process is fluid and iterative, and data collection, analysis, and interpretation overlap. Balancing an etic/emic position during an ethnographic study is essential. Triangulation is important to validate claims and to discover inconsistencies throughout the research process.

Narrative inquiry involves eliciting and documenting stories of individuals' life experiences. These stories are then interpreted in terms of the literature of a field – a process which yields implications for practice, future research, or theory building. Narrative inquiry is based on the premise that we understand or make sense of our lives through narrative. Narrative inquiry is a generative term which encompasses a number of genres including case studies, diary studies, life histories, autobiographies, memoirs, and so on. Narrative inquiry has been used in the field of language education to investigate motivation, identity, multilingualism, learning strategies, language loss, learner autonomy, and a variety of other topics. Interviews are the principal method of data collection; however, participants can write their own stories. Sometimes researchers analyze previously published autobiographies, memoirs, and other genres. The stories are often analyzed using thematic analysis procedures such as categorical content analysis, common in qualitative research. Narrative inquiry is rarely reported in narrative form; rather, in journal articles and conference presentations, researchers discuss the themes emerging from the stories and support their comments by quoting the participants.



FORMATIVE TEST 3

- 1) What do people say that the term qualitative research is the umbrella term?
- 2) What are the characteristics of qualitative research?
- 3) What is case study research, and how does case study research differ from other types of research, like survey research and experimental research?
- 4) What are the advantages and the disadvantages of case study research?
- 5) Provide your brief explanation about one topic that be searched through case study!

- 6) Provide your brief explanation about a topic can be searched through ethnography approach!
- 7) Explain the four broad areas can be investigated through action research?
- 8) Study the following illustrative example, and the type of the research and the techniques of data collection, and the result of the study.

Hartini is involved in a collaborative action research group of ten Indonesian high school teachers, facilitated by a teacher educator at a local university. She presently teaches at a top ranking high school in Indonesia. Her eighth grade students are highly motivated and several receive private English tuition outside school. Hartini considers their work sophisticated for their age. She finds the class exciting and challenging to teach – 'my problem is not to be left behind by my students!' However, the time allocated for her speaking class is insufficient for all her students to practice. She decides to investigate by experimenting with different teaching strategies and recording her observations in a journal. When she organizes group work, neighboring teachers complain about the noise. She decides to continue with group work but to relocate to the school hall. She discusses this idea with the principal and gains his approval. Following prespeaking activities in class, Hartini allocates students into five groups, and they practice using the language functions in conversations. Although the students are enthusiastic, she notes that two of the five groups are quiet and inactive. She decides to rearrange all of the groups by mixing active and less active students. However, her students react negatively; after discussion, they agree to maintain the three active groups and rearrange the others. As the students work she makes notes on their interactions. Later she records in her journal that the rearranged groups still did not participate well and ended up merging into one big group. She realizes after re-reading her journal and analyzing class observations that after groups are formed, often group members do not want to be separated because they prefer working with their friends. She decides to let the students choose their groupings next time and to interview some of them about her teaching approach. She notes that participation increases dramatically even for previously quiet students, the groups are more dynamic and enthusiastic, and the energy level is high. The students she interviews indicate that holding lessons in the hall and choosing groups gives them the freedom and confidence to practice and they believe their

skills are improving. Hartini analyzes her journal entries, class observations and students' comments, and discusses her reflections with her class. She presents her research to colleagues at a staff meeting and in a poster session at a teacher workshop.

Feedback and Follow up

Evaluate your learning progress from your scores of the formative test by applying the following formula

$$\frac{\text{Number of correct answer}}{\text{Number of total items}} \times 100\%$$

Now decide which of the categories your scores fall into. Learn the meaning of the category and do the follow-up activities.

Category	Percentage	Meaning and Follow-up
Category 1	90% - 100%	Very good This means that you have mastered the materials. You can go on to the next unit.
Category 2	70% - 89%	Good However, you are suggested to learn once again the materials that you haven't mastered before you continue to the next unit.
Category 3	< 70%	You have not mastered the materials. Learn all the materials once again before you go on to the next unit

Remember your mastery of the next learning is based on your mastery of these materials. So, be sure that you have mastered them all before you continue to the next part.

Answer Key

Unit One

Exercises

- 1) The answers vary
- 2) The answers vary
- 3) Research is called systematic because when we do a research we have to follow the steps or stages that begin with identifying problems, linking the issue with existing theories, collect data, analyze and interpret data, draw conclusions, and incorporate these conclusions into the ranks repertoire of knowledge. In scientific research, every step is carefully planned so that fantasy and conjecture do not exist there. The problem is explained carefully and in detail, the variables are identified and selected, instruments are carefully selected or constructed, and conclusions can only be drawn from the data obtained. Thus the proposed recommendations are based on the findings and conclusions.
- 4) The answers vary
- 5) Research paradigm is the worldview assumptions about the research. The term worldview means a basic set of beliefs that guide action. Worldview is a general orientation about the world and the nature of research that a researcher holds. The types of beliefs held by individual researchers will often lead to embracing a qualitative, quantitative or mixed method approach in their research. There four worldview assumptions about the research. They are postpositivism, constructivism, advocacy/participatory, and pragmatism.
- 6) Postpositivism holds a deterministic philosophy in which causes probably determine effect or outcomes. Thus the problem studied by postpositivists reflects the need to identify and assess the causes that influence outcomes, such as found in experiment. It is also reductionist in that the intent is to reduce the ideas into a small, discrete set of ideas to test. The knowledge that develops through a postpositivists lend is based on careful observation and measurement of the objective reality that exist 'out there' in the world. Finally, there are laws or theories that govern the world, and these need to be tested or verified and refined so that we can understand the world. Thus in scientific method, the accepted approach to research by pospositivists, an individual begins

with a theory, collect data that either supports or refutes the theory, and then makes necessary revisions before additional test are made.

On the other hand, Social constructivism holds assumptions that individual seek understanding of the world in which they live and work. The goal of the research is to rely as much as possible on the participants' view of the situation being studied. Constructivist researchers often address the processes of interaction among individuals. They also focus on the specific context in which people live and work, in order to understand the historical and cultural setting of the participants. Rather than starting with a theory (as in postpositivism), inquirers generate or inductively develop a theory or pattern meaning.

- 7) Quantitative strategies have involved complex experiment with many variables and treatments. There are two strategies of inquiry: non-experimental design and experimental design. The non experimental design such as survey research provides a quantitative or numeric description of trends, attitudes, or opinions of a population by studying a sample of that population. Correlational research tries to see the relationship among two or more research variables. Experimental research seeks to determine if a specific treatment influences an outcome. This impact is assessed by providing a specific treatment to one group and withholding it from another and then determining how both groups scored on an outcome.
- 8) The answer vary

Formative Test

- 1) The answers vary.
- 2) Research is very important for people in order to get a result with scientific methods objectively, not subjectively. Research is also important in solving problems, verifying the application of theories, and leading on to new insights. Moreover, research is useful in proving/disproving new or existing ideas, characterizing phenomena, and achieving personal and community aims. That is, to satisfy the individual's quest but also improve community welfare.
- 3) When we conduct a research we actually following a research cycle that consists of several steps. Following Creswell (2012), we find six steps in the cycle, starting from identifying a research problem, reviewing the literature, specifying a purpose for research, collecting data, analyzing

and interpreting data, and reporting and evaluating research. From this last step we go back to the first step, that is identifying a research problem, and so on.

- 4) The answers vary
- 5) An advocacy/participatory worldview hold that research inquiry needs to be intertwined with politics and political agenda. The specific issues need to be addressed that speak to important social issues of the day, issues such as empowerment, inequality, oppression, domination, etc. this research also assumes that inquirer will proceed collaboratively so as to not further marginalize the participants as a result of inquiry. In this sense, the participants may help design questions, collect data, analyze information, or reap the rewards of the research. Advocacy research provides a voice for these participants, raising their consciousness or advancing an agenda for change to improve their lives. It become a united voice reform and change.

On the other hand, Pragmatism as a worldview arises out of actions, situations, and consequences rather than antecedent conditions. There is a concern with applications and solutions to problems. Instead of focusing on methods, researchers emphasize the research problem and use all approaches available to understand the problem. It is philosophical underpinning for mixed method studies. Its importance for focusing attention on the research problem in social science research and then using pluralistic approaches to derive knowledge about the problem.

- 6) There are some ways to conduct qualitative studies. The first one is ethnography. Ethnography is the art and science of describing a group or a culture—such as a kindergarten class, a small business, or returning war veterans. The aim of ethnography is to understand the culture from an “insider’s” perspective and capture day-to-day life. Ethnography studies people in the locations where they live and providing a description of their social life and the values, beliefs and behaviors using qualitative methodologies such as observations, unstructured interviews, and review and analysis of documents.

The second one is grounded theory. A grounded theory study usually captures a process; it answers the question, “What is going on here?” Grounded theory is a systematic and rigorous approach to collecting and analyzing qualitative data for developing an explanation that enhances our understanding of social or psychological phenomena. Grounded

theory studies lead to generating a theory, such as identifying the three stages involved in developing a career identity. After the theory is presented, it must then be tested.

The third one is case study. The case study is a systematic collection of information about a person, group, or community; social setting; or event in order to gain insight into its functioning. A case is bounded in time and place. Case studies are common in social sciences such as education, rehabilitation counseling, nursing, and psychology. For example, as a researcher, you may decide to investigate the effectiveness of dual language programs, where students in a classroom are taught in both English and Spanish.

The fourth one is phenomenology. A phenomenon is any discreet experience that can be articulated, such as joy, death of a parent, childbirth, parenting a child with autism, friendship. As a research methodology, phenomenology is used to study the evolving patterns of meaning making that people develop as they experience a phenomenon over time. This type of research requires the ability to engage a few people in a prolonged and careful description of their experiences, to grasp the essence or meaning they weave. A goal is a deeper understanding of the phenomenon for the individual as opposed to ethnographic research, which focuses on describing a culture or group.

The last one is narrative. Narrative is a strategy of inquiry in which the researcher studies the lives of individual and asks one or more individuals to provide stories about their lives. This information is then often retold or restoried by the researcher into a narrative chronology. In the end, the narrative combines views from the participant's life with those of the researcher's life in a collaborative narrative.

7) What is mixed-method strategies of inquiry?

Mixed-method strategies have the following characteristics:

- Collects both quantitative and qualitative data "Mixes" them.
- "Mixes" them at the same time (concurrently) or one after the other (Sequentially)
- Emphasizes both equally or unequally.
- Integrating quantitative and qualitative data collection and analysis in a single study or a program of enquiry

There are three general strategies of mixed-method research, and several variations within them. They are:

- **Sequential Mixed method** procedures are those in which the researcher seeks to elaborate on or expand on the findings of one method with another method. This may involve beginning with a qualitative interview for exploratory purposes and following up with a quantitative, survey method with a large sample so that the researcher can generalize results to a population.
 - **Concurrent mixed method** procedures are those in which the researcher converges or merges quantitative and qualitative data in order to provide a comprehensive analysis of the research problem. In this design, the investigator collects both forms of data at the same time and then integrates the information in the interpretation of the overall results.
 - **Transformative mixed method** procedures are those in which the researcher uses a theoretical lens as an overarching perspective within a design that contains both qualitative and quantitative data. This provides a framework for topics of interest, methods for collecting data and outcomes or changes anticipated by the study.
- 8) Brown classifies research into primary and secondary dichotomy. These categories are further subdivided with considerably more detail provided. In this case, secondary research includes library research (research heavily dependent on secondary sources, often associated term papers in school) and literature reviews. Primary research includes three general sub-categories: qualitative, survey, and statistical research. Qualitative research involves many different traditions and data gathering techniques (including at least case studies, introspection, discourse analysis, interactional analysis, and classroom observations). Survey research includes interviews and questionnaires. Statistical research includes descriptive studies, exploratory research, quasi-experimental studies, and experimental research.

Unit Two

Exercises

- 1) a. (R), b. (L), c. (E), d. (E), e. (E), f. (E), g. (R), h. (E)
- 2) Independent variable: participation in a volunteer aiding program
- 3) Dependent variable: later performance in ESL practice teaching
- 4) Independent variable: the use of a videotape of an American woman returning a watch to a store, complaining that it did not work properly.

- 5) Dependent variable: students' success on a 5-point success-to-failure scale.
- 6) Answer:
 - a. Valid, because the conclusion is supported by several concrete evidences
 - b. Not Valid, because the conclusion is not supported by several concrete evidences. The number of records that have been analyzed should be mentioned, and some other evidences should be added
 - c. Not Valid, because the conclusion is not supported by several concrete evidences. The specific explanation about the study should be added, and some other evidences should be added
 - d. Valid, because the conclusion is supported by the concrete evidence
- 7) Answer:
 - a. Do the inherent task structure and processing load give an effect on performance on a narrative retelling task
 - b. This is an experimental study. The researcher tries to see the effects of providing students with inherent task structure and processing load (independent variables) on students performance on a narrative retelling task (dependent variable).
 - c. inherent task structure and processing load
 - d. students performance on a narrative retelling task in terms of fluency, complexity, and accuracy

Formative Test

- 1) The main characteristics of quantitative research are as follows:
 - Using numbers: the single most important feature of quantitative research is, naturally, that it is centered around numbers.
 - A priori categorization: because the use of numbers already dominates the data collection phase, the work requires specifying the categories and values needed to be done prior to the actual study.
 - Variables rather than cases: quantitative researchers are less interested in individuals than in the common features of groups of people. Therefore, it is centered around the study of variables that capture these common features and which are quantified by counting, scaling, or by assigning values to categorical data.
 - Statistics and the language of statistics: this is undoubtedly the most salient quantitative feature statistical analyses can range from

calculating the average (the mean) of several figures on a pocket calculator to running complex multivariate analyses on a computer.

- Standardized procedures to assess objective reality: the general quantitative aspiration is to eliminate any individual-based subjectivity from the various phases of the research process by developing systematic canons and rules for every facet of data collection and analysis.
- Quest for generalizability and universal laws: numbers, variables, standardized procedures, statistics, and scientific reasoning are all part of the ultimate quantitative quest for facts that are generalizable beyond the particular and add up to wide-ranging, ideally universal, laws.

2) What are the similarities and the differences between survey research and correlational research?

Similarities:

Both survey and correlational studies belong to non-experimental research because they seek the causality and they don't do the manipulation on the variables. The data for correlational study can be collected through survey.

Differences:

Survey research is a set of methods used to gather data in a systematic way from a range of individuals, organizations, or other units of interest. Specific methods may include questionnaire, interview, focus group, observation. Many studies using more than one data collection method will include a survey method. Surveys can be *exploratory*, in which no assumptions or models are postulated, and in which relationships and patterns are explored (e.g., through correlation, regression, and factor analysis). They can also be *confirmatory*, in which a model, causal relationship or hypothesis is tested. Surveys can be *descriptive* or *analytic*. Descriptive surveys simply describe data on variables of interest, while analytic surveys operate with hypothesized predictor variables that are tested for their influence on dependent variables.

On the other hand, correlational Research is a type of non-experimental research in which the researcher investigates the relationship between two, or more, naturally occurring variables. The variables are examined to determine if they are related and, if so, the direction and magnitude of

that relationship. In this type of research, the distinction between Independent Variables (IVs) and Dependent Variables (DVs) is usually arbitrary and many researchers prefer to call IVs *predictor variables* and DVs *criterion variables*.

- 3) Brown (2001: 19) says that research questions can serve three primary purposes in survey projects: descriptive, exploratory, and explanatory. These are some examples of research questions:
- What are the numbers, genders, ages, nationalities, educational statuses, and majors of foreign students at University X? (descriptive)
 - What characteristics do the different types of students in language program X have? (descriptive)
 - What are students' and teachers' views of practices used in language learning and teaching process? (exploratory)
 - What are teachers' views on aspects of their professional lives? (exploratory)
 - What are the characteristics of students in language program X? (explanatory)
 - What are the language needs of students who must eventually perform academically in the language? (explanatory)
- 4) There are some steps that we should follow in conducting correlational research. First is problem selection. Correlational studies may be designed either to determine whether and how a set of variables are related or to test hypotheses regarding expected relations. Variables to be correlated should be selected on the basis of some rationale. That is, the relation to be investigated should be a logical one, suggested by theory or derived from experience. The second step is participant and instrument selection. The sample for a correlational study is selected by using an acceptable sampling method, and a minimally acceptable sample size is generally 30 participants. If validity and reliability are low, a larger sample is needed because errors of measurement may mask a true relation. The next step is determining design and procedure. The basic correlational research design is not complicated: Scores for two (or more) variables of interest are obtained for each member of the sample, and the paired scores are then correlated. The result is expressed as a correlation coefficient that indicates the degree of relation between the two variables. The last step is data analysis and interpretation. When two

variables are correlated, the result is a correlation coefficient, which is a decimal number ranging from -1.00 to $+1.00$. The correlation coefficient indicates the size and direction of the relation between variables. A coefficient near $+1.00$ has a large size (i.e., it represents a strong relation) and a positive direction. If the coefficient is near 0.00 , the variables are not related—a person's score on one variable provides no indication of the person's score on the other variable. A coefficient near -1.00 has a large size (i.e., is a strong relation) and a negative or inverse direction.

- 5) Correlational research does not seek to show causality (that one variable is causing a change to occur in another). Rather, the main purpose of correlational research is to determine, through application of a quantitative statistical analysis, whether a relationship exists between the variables under investigation. One might make predictions based on these relationships, but not statements of causality. For example, if such a relationship does exist, the strength and the direction of the relationship are reported numerically in what is referred to as a correlation coefficient.

On the other hand, experimental research is a type of quantitative research in which the experimenters manipulate certain stimuli, treatments, or environmental conditions and observe how the condition or behavior of the subject is affected or changed. Their manipulation is deliberate and systematic. They must be aware of other factors (extraneous variables) that could influence the outcome and remove or control them so that they can establish a logical association between manipulated factors and observed effects. Experimentation provides method of hypothesis testing. After experimenters define a problem, they propose a tentative answer or the hypothesis. They test the hypothesis and confirm or refute it in the light of the controlled variable relationship that they have observed.

- 6) Answers:
- Independent variables: the history of certain ethnic groups and the traditional social studies curriculum
 - Dependent variable: attitudes toward ethnic groups
 - Control group: group A, the traditional social studies curriculum
 - Experimental group: group B, a new program design to deal with the history of certain ethnic groups

- e. Method(s) used to control for differences between the groups:
random selection and random assignment
 - f. Research design used: posttest only controlled group design
- 7) The answers vary

Unit Three

Exercises

- 1) A study is called qualitative if it places primary importance on studying small samples of purposely chosen individuals; not attempting to control contextual factors, but rather seeking, through a variety of methods, to understand things from the informants' points of view; and creating a rich and in-depth picture of the phenomena under investigation. There is less of an emphasis on statistics (and concomitant attempts to generalize the results to wider populations) and more of an interest in the individual and his/her immediate context. Qualitative research is *synthetic* or *holistic* (i.e., views the separate parts as a coherent whole), *heuristic* (i.e., discovers or describes the patterns or relationships), with little or no control and manipulation of the research context, and uses data collection procedures with *low explicitness*. Qualitative research is the primary example of hypothesis-generating research. That is, once all the data are collected, hypothesis may be derived from those data. The ultimate goal of qualitative research is to discover phenomena such as patterns of behavior not previously described and to understand them from the perspective of participants in the activity
- 2) There are six data collection methods most commonly used in qualitative research in applied linguistics. They are
 - Observation occurs when researchers carefully watch participants in the research setting with the aim of understanding their experience of being there. It is used to collect information about participants' external behavior, which can be further explored casually in conversation or more formally in interviews, with questions about participants' inner ideas, beliefs, and values.
 - Interviews offer a way to explore people's experiences and worldviews and the meanings they bring to them. Interviews can be carefully structured by predetermined questions to elicit specific information, or be more open to allow for generating richer insights.

- **Open-response items on questionnaires** are questions on a survey that do not require respondents to select their answers from a limited list or selection; rather, participants answer in their own words. They are commonly used when researchers would like to quickly and efficiently collect textual data from a relatively large number of participants.
 - **Verbal reports** are oral records of a participant's thought processes, provided by individuals when they are thinking aloud either during or immediately after completing a language learning or teaching task.
 - **Diaries** are another way of accessing participants' inner worlds; they are an account of a language experience as recorded in a first person journal. These accounts may be analyzed and published by the diarists themselves or by an independent researcher. Both verbal reports and diaries are particularly important in applied linguistics.
 - **Discourse analysis** looks at how language is used in spoken and written communication. It uses authentic language that has been produced spontaneously in naturally occurring events, that were not elicited experimentally specifically for the sake of research.
- 3) There are three types of case study:
- a. The **intrinsic case study** in which interest lies purely in one particular case itself. The intrinsic case study is conducted to understand a particular case that may be unusual, unique, or different in some way. It does not necessarily represent other cases or a broader trait or problem for investigation. There is no attempt at all to generalize from the case being studied, compare it to other cases, or claim that it illustrates a problem common to other, similar cases.
 - b. The **instrumental case study** in which a case is studied with the goal of illuminating a particular issue, problem, or theory. It is intended to provide insights into a wider issue while the actual case is of secondary interest; it facilitates understanding of something else. While the intrinsic case study requires a primarily descriptive approach, with an eye toward the particularity of the case at hand, the instrumental case study is more likely to require interpretation and evaluation, in addition to description. Researchers who conduct such studies are more interested in drawing conclusions that apply

- beyond a particular case than they are in conclusions that apply to just one specific case.
- c. The **multiple** (or collective) **case study** where there is even less interest in one particular case, and a number of cases are studied jointly in order to investigate a phenomenon or general condition. Again, one issue, problem, or theory is focused upon, but the researcher chooses to study more than one case to shed light on a particular issue if doing so will lead to a better understanding, and perhaps better theorizing, about a still larger collection of cases.
 - 4) Literally the word ethnography means the description (*graphy*) of cultures (*ethno*). Ethnography is the in-depth study of naturally occurring behavior within a culture or entire social group. It seeks to understand the relationship between culture and behavior, with culture referring to the shared beliefs, values, concepts, practices, and attitudes of a specific group of people. It examines what people do and interprets why they do it. Ethnographers typically describe, analyze, and interpret culture over time using observations, interviews, questionnaires, and field work as the data collecting strategies. The final product is a *cultural portrait* that incorporates the views of participants as well as views of researcher. Ethnographic studies consider where people are situated and how they go about daily activities as well as cultural beliefs.
 - 5) The main drawback of the ethnography is concerned is that the need for prolonged engagement with the participants in their natural setting requires an extensive time investment that few academic researchers can afford. A further limitation of ethnographic studies is how to strike a balance between the insider and outsider perspective. If teachers, for example, are too familiar with a teaching context, they have biases, which may distort their interpretations. On the other hand, if teachers are unfamiliar with a teaching context they may not be able to get an insider's view of the dynamics in the classroom. Striking a balance between these two extremes is challenging because classroom teachers researching their own culture must simultaneously maintain membership for the sake of their identity and detach themselves from the culture sufficiently to describe it.
 - 6) Narrative inquiry is a qualitative research approach for narrative inquiring into people and thus allowing for the intimate study of individuals' experiences over time and in context. Beginning with a

narrative view of experience, researchers attend to place, temporality, and sociality, from within a methodological three-dimensional narrative inquiry space that allows for inquiry into both researchers' and participants' storied life experiences. Within this space, each story told and lived is situated and understood within larger cultural, social, and institutional narratives. Narrative inquiry is marked by its emphasis on relational engagement between researcher and research participants. The heart of narrative inquiry is a story or a collection of stories. Doing narrative inquiry involves eliciting and documenting these narratives. Unfortunately, researchers often do not move beyond telling a story, which has led critics to ask, 'How can a story be research?' A story can be research when it is interpreted in view of the literature of a field, and this process yields implications for practice, future research or theory building.

- 7) Action research is an approach that involves both action and research. The *action* is usually associated with identifying and exploring an issue, question, dilemma, gap, or puzzle in your own context of work – the classroom, the school, or the institution at large. The action usually involves putting deliberate practical changes or 'interventions' in place to improve, modify, or develop the situation. The *research* in action research involves a systematic approach to collecting information, or data, usually using methods commonly associated with qualitative research. In this way, action research differs from the passing reflections or intuitive thoughts that most teachers have about their work.
- 8) Research problem: *why does in some years a strong supportive community of learners in the SAC develops, but in other years it does not.*

Type of research: *ethnography*

Techniques of data collection: *observation, interview, document analysis*

Result: a 'cultural portrait' of the SAC that reveals how the culture develops and changes

Formative Test

- 1) Because the term qualitative research is associated with a range of different methods, perspectives, and approaches, and it is used to refer to

a complex and evolving research methodology. It has roots in a number of different disciplines, principally anthropology, sociology, and philosophy and now is used in almost all fields of social science inquiry, including applied linguistics. A plethora of research designs has been developed within qualitative research, including naturalistic inquiry, narrative inquiry, case study, ethnography, action research, phenomenology, conversation analysis, life history research, and grounded theory. These approaches use a wide variety of data collection methods, such as observation, interview, open-response questionnaire items, verbal report, diary study, and discourse analysis. And within each of these research approaches and methods, a number of research techniques and strategies have been developed to help qualitative researchers do their day-to-day work—conceptualizing the research project, collecting and analyzing data, and writing up findings.

2) Qualitative research usually include the following characteristics:

- *Rich description*: The aims of qualitative researchers often involve the provision of careful and detailed descriptions as opposed to the quantification of data through measurements, frequencies, scores, and ratings;
- *Natural and holistic representation*: Qualitative researches aim to study individuals and events in their natural settings, i.e., rather than attempting to control and manipulate contextual factors through the use of laboratories or other artificial environments, qualitative researchers tend to be more interested in presenting a natural and holistic picture of the phenomena being studied.
- *Few participants*: Qualitative researchers tend to work more intensively with fewer participants, and are less concerned about issues of generalizability.
- *Emic perspective (or participant or insider point of view)*: Qualitative researchers aim to interpret phenomena in terms of the meanings people attach to them, i.e., to adopt an emic perspective, or the use of categories that are meaningful to members of the speech community under study.
- *Cyclical and open-ended processes*: Qualitative research is often process-oriented or open ended, with categories that emerge. The qualitative search often follows an inductive path that begins with

few perceived notions, followed by a gradual fine tuning and narrowing of focus.

- *Possible ideological orientations*: Some qualitative researchers may consciously take ideological positions. This sort of research is sometimes described as *critical*, meaning that the researcher may have particular social or political goals, e.g., critical discourse analysis.
- *Interpretive analysis*: Qualitative research is fundamentally interpretive, which means that the research outcome is ultimately the product of the researcher's subjective interpretation of the data.
- *The nature of qualitative data*: Qualitative research works with a wide range of data including recorded interviews, various types of texts. (e.g., field-notes, journal and diary entries, documents, and images (photos or videos)).

3) Case study is one of the most common qualitative approaches to research which aims to understand social phenomena within a single or small number of naturally occurring settings. Case study is the study of the particularity and complexity of a single case. Cases are primarily people, but researchers can also explore in depth a program, an institution, an organization, a school, a class, or a community. In fact, almost anything can serve as a case as long as it constitutes a single entity with clearly defined boundaries. To study the selected cases, case study researchers usually combine a variety of data collection methods such as interviews. Observation, verbal protocols, narrative accounts, document archives, and audio or video recording. Thus, the case study is not a specific technique but rather a method of collecting and organizing data so as to maximize understanding of the unitary character of the social being or object studied.

4) Case studies allow the researcher to focus on the individual in a way that is rarely possible in group research. Because of the nature of correlational, survey, and experimental research, and their privileged status in L2 research, very little is learned about individual language learners, teachers, or classes. Case studies stand in sharp contrast to these approaches by providing insights into the complexities of particular cases in their particular contexts". In addition, case studies can be conducted with more than one individual learner or more than one existing group of learners for the purpose of comparing and contrasting

their behaviors within their particular context. Case studies clearly have the potential for rich contextualization that can shed light on the complexities of the second language learning process.

An essential point to bear in mind with case studies, however, is that the researcher must be careful about the generalizations drawn from the study. Although this is true for all forms of research, it is particularly pertinent to case studies, which often employ only a few participants who are not randomly chosen. For this reason, any generalizations from the individual or small group (or classroom) to the larger population of second language learners must be made tentatively and with extreme caution. From a single case study, it may be difficult to recognize idiosyncrasies as such, with the potential that they are misinterpreted as typical language learning behavior. To address this concern, the findings from multiple longitudinal case studies can be combined to help researchers draw firmer conclusions from their research.

- 5) The answers vary
- 6) The answers vary
- 7) Four broad areas of interest in action research are:
 - your teaching and making changes in teaching practice (for example, ‘How do my learners respond to my teaching of pronunciation?’)
 - your learners and how they learn (‘What kinds of activities motivate my learners most effectively in writing class?’)
 - your interaction with the current curriculum and with curriculum innovation (‘What can I do to make the school’s mandated curriculum more appealing to my learners?’)
 - your teaching beliefs and philosophies and their connections with daily practice (‘I am interested in the concept of teacher expertise. What should be the balance between learner-centeredness and teacher-centeredness in my classroom?’).
- 8) Study the following illustrative example!

Type of research: *action research*

Techniques of data collection: *observation, interview, journal*

Result: holding lessons in the hall and choosing groups gives them the freedom and confidence to practice and they believe their skills are improving

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