

**TWO WAYS DEPENDENCY OF TRANSITIVE SIMPLE
SENTENCE STRUCTURE FUNCTION
IN *THE LITTLE PRINCE* SHORT STORY BY ANTOINE**

REFERENCES

Submitted to the School of Foreign Language – JIA as partial fulfillment
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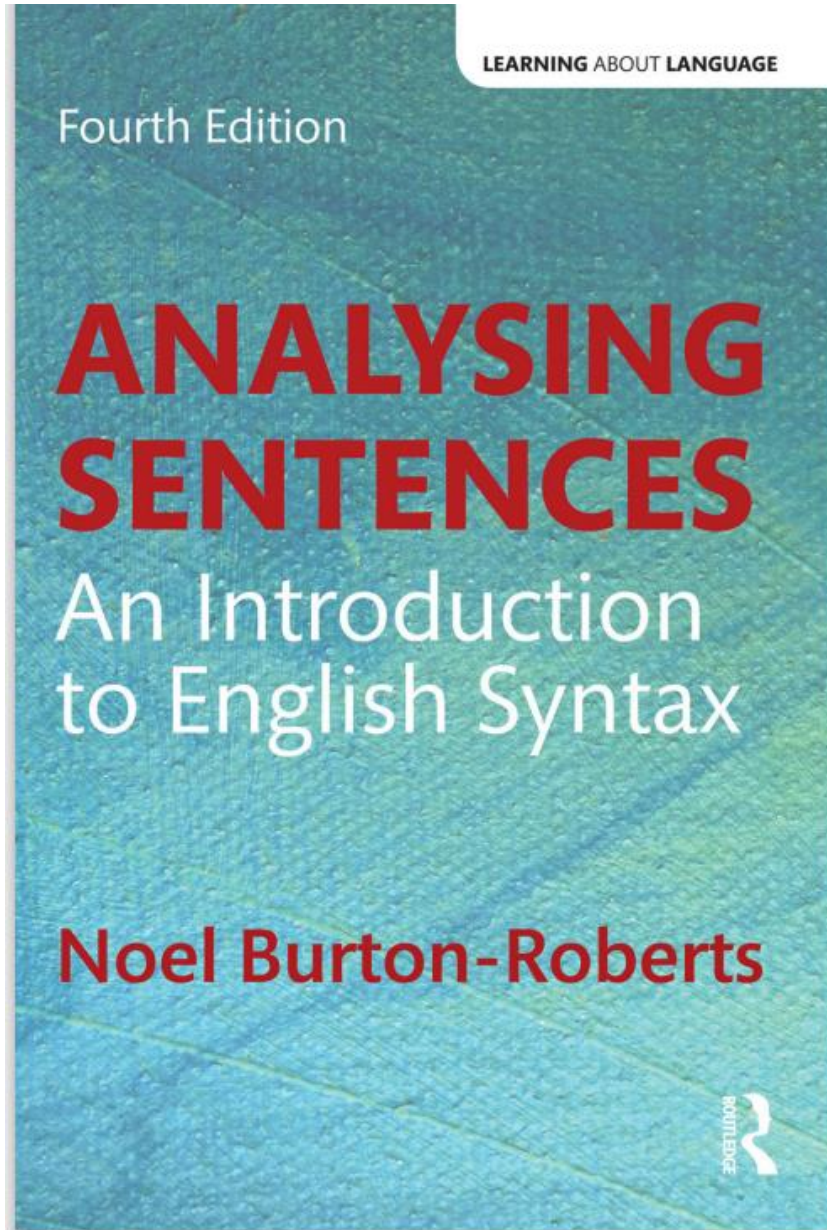


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CHAPTER II

1. Noel Burton Roberts (2011, P.3)



What exactly is wrong with *The fact which I communicated with Mona is irrelevant*? In a quite literal sense, there is more going on here than meets the eye.

These are just a tiny sample of a large body of facts, mysteries, and puzzles offered by the English language. Some of the puzzles have been solved (to our present satisfaction, at least). Others remain puzzles, or there's disagreement as to what the most appropriate explanation might be. And, as we find out more about the language, we can expect to discover further puzzles, and perhaps even find things puzzling which we thought we had understood.

The aim of this book is to encourage you to stand outside yourself and confront just one aspect of your largely unconscious knowledge of English. It doesn't discuss, let alone offer solutions to, all the puzzles known to exist, nor even to give very detailed accounts of intricacies like those above. But it will introduce you to a method of describing the language, and provide you with a vocabulary with which to start thinking about the language in terms of which the puzzles can at least be identified and solutions sought.

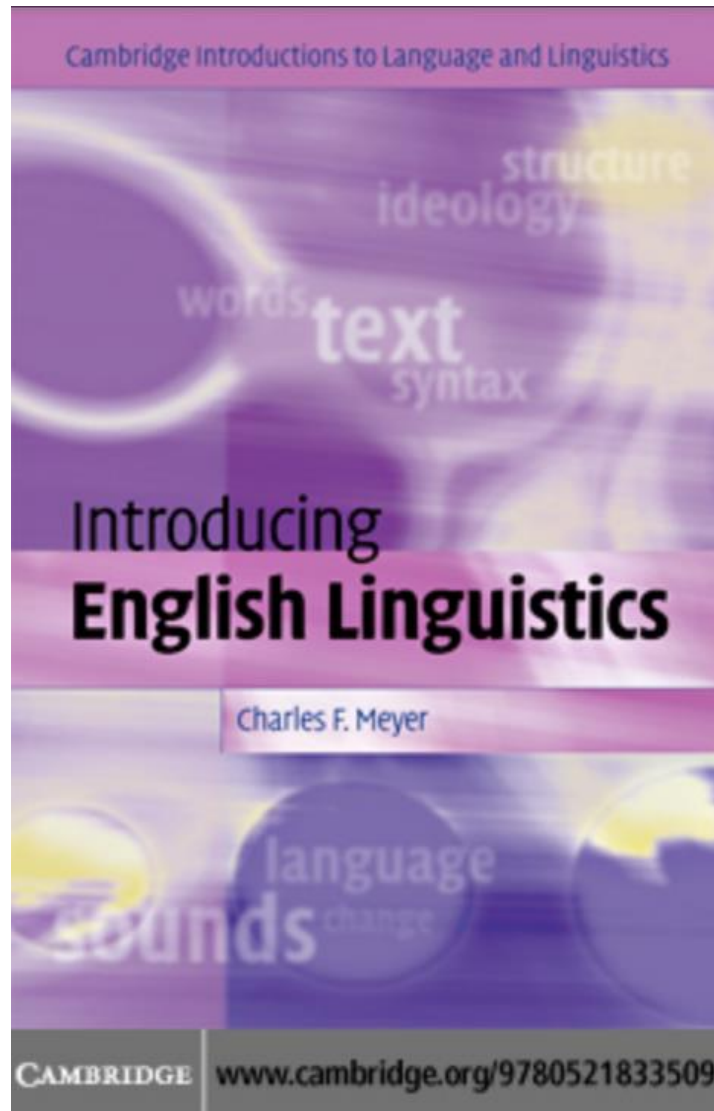
The chapters that follow are concerned with English SYNTAX. *Syntax* is traditionally the name given to the study of the form, positioning, and grouping, of the elements that go to make up sentences. In a word, it is about the STRUCTURE of sentences. In studying a language, there is of course a lot else to talk about besides its syntax. For example, we can investigate the form and grouping of the elements within words themselves (for example: *un-de-cod(e)-able*). The systematic study of word-structure is called MORPHOLOGY (the relevant elements are 'morphemes'). Or we can concentrate on the meaning of sentences and how their meaning relates to the meanings of the words they contain. This is called SEMANTICS. Or we can concentrate on how linguistic expressions are connected with the sounds of speech. This is called PHONOLOGY.

I'll say nothing about the phonology of English, and very little about morphology or semantics. It should become clear, though, just how closely the structure (syntax) and the meaning (semantics) of English sentences are related.

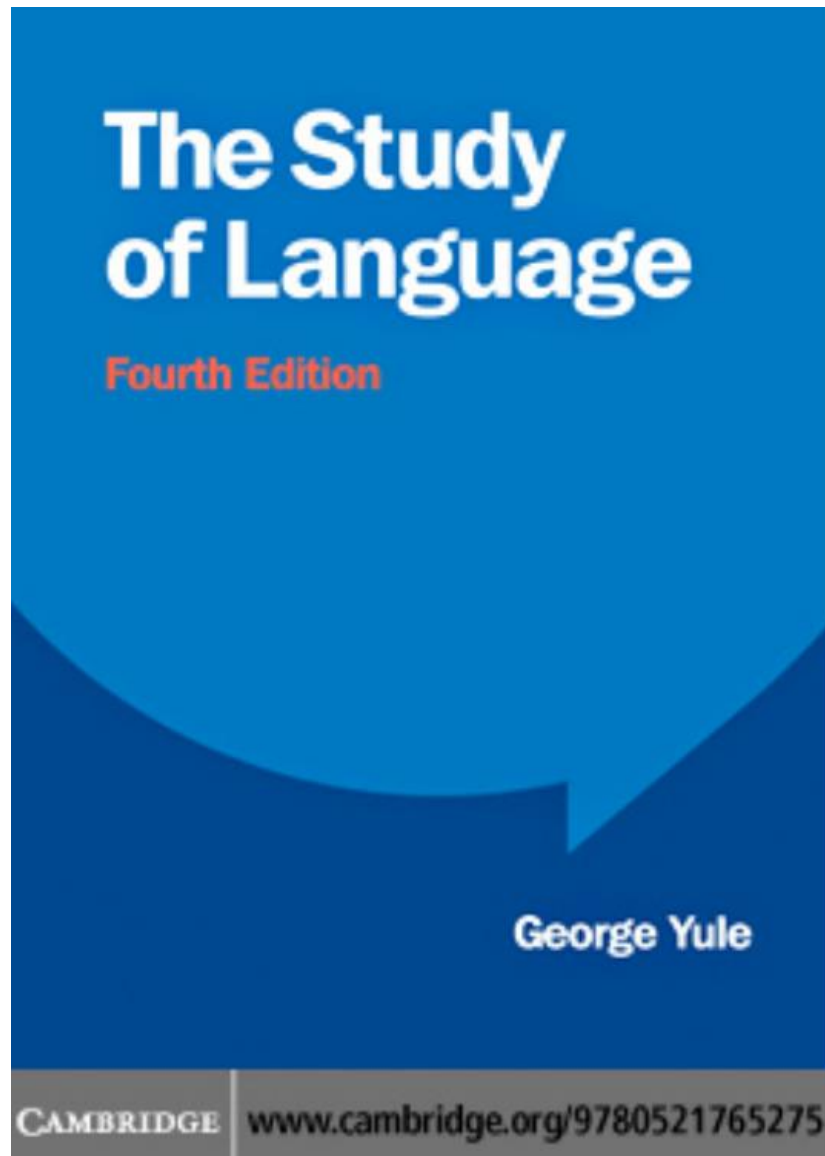
The book is an introduction to the practical analysis of English sentences rather than an introduction to linguistic theory. But since we will be concerned with a language and its syntax, some of the concepts, aims, and methods of linguistics are relevant. If you are interested in discovering more about linguistic theory, finding out something of the syntax of a language you know well seems an appropriate way to start. Chapter 11 is included with such readers in mind. It aims to place the description of English offered in the previous chapters in a wider context and raise a few questions about the general aims and principles of syntactic analysis.

Finally, a word or two about the description offered here. In a book of this length, it hardly needs pointing out that the description is not exhaustive. Nevertheless, the range of structures covered is intended to be comprehensive

2. Charles Meyer (2009, P.112)



3. George Yule (2010, P.97)



Syntax

When we set out to provide an analysis of the syntax of a language, we try to adhere to the “all and only” criterion. This means that our analysis must account for *all* the grammatically correct phrases and sentences and *only* those grammatically correct phrases and sentences in whatever language we are analyzing. In other words, if we write rules for the creation of well-formed structures, we have to check that those rules, when applied logically, won’t also lead to ill-formed structures.

For example, we might say informally that, in English, we put a preposition (*near*) before a noun (*London*) to form a prepositional phrase (*near London*). However, if we use this as a rule of the grammar to create structures, we will end up producing phrases like **near tree* or **with dog*. These don’t seem to be grammatically correct, so we mark them with an asterisk *. We clearly need to be more careful in forming this rule. We might have more success with a rule stating that we put a preposition before a noun phrase (not just a noun). In Chapter 7, we saw that a noun phrase can consist of a proper noun (*London*), a pronoun (*you*) or a combination of an article (*a, the*) and a noun (*tree, dog*), so that the revised rule can produce these well-formed structures: *near London, with you, near a tree, with the dog*.

When we have an effective rule such as “a prepositional phrase in English consists of a preposition followed by a noun phrase,” we can imagine an extremely large number of English phrases that could be produced using this rule. In fact, the potential number is unlimited. This reflects another goal of syntactic analysis, which is to have a small and finite (i.e. limited) set of rules that will be capable of producing a large and potentially infinite (i.e. unlimited) number of well-formed structures. This small and finite set of rules is sometimes described as a **generative grammar** because it can be used to “generate” or produce sentence structures and not just describe them.

This type of grammar should also be capable of revealing the basis of two other phenomena: first, how some superficially different sentences are closely related and, second, how some superficially similar sentences are in fact different.

Deep and surface structure

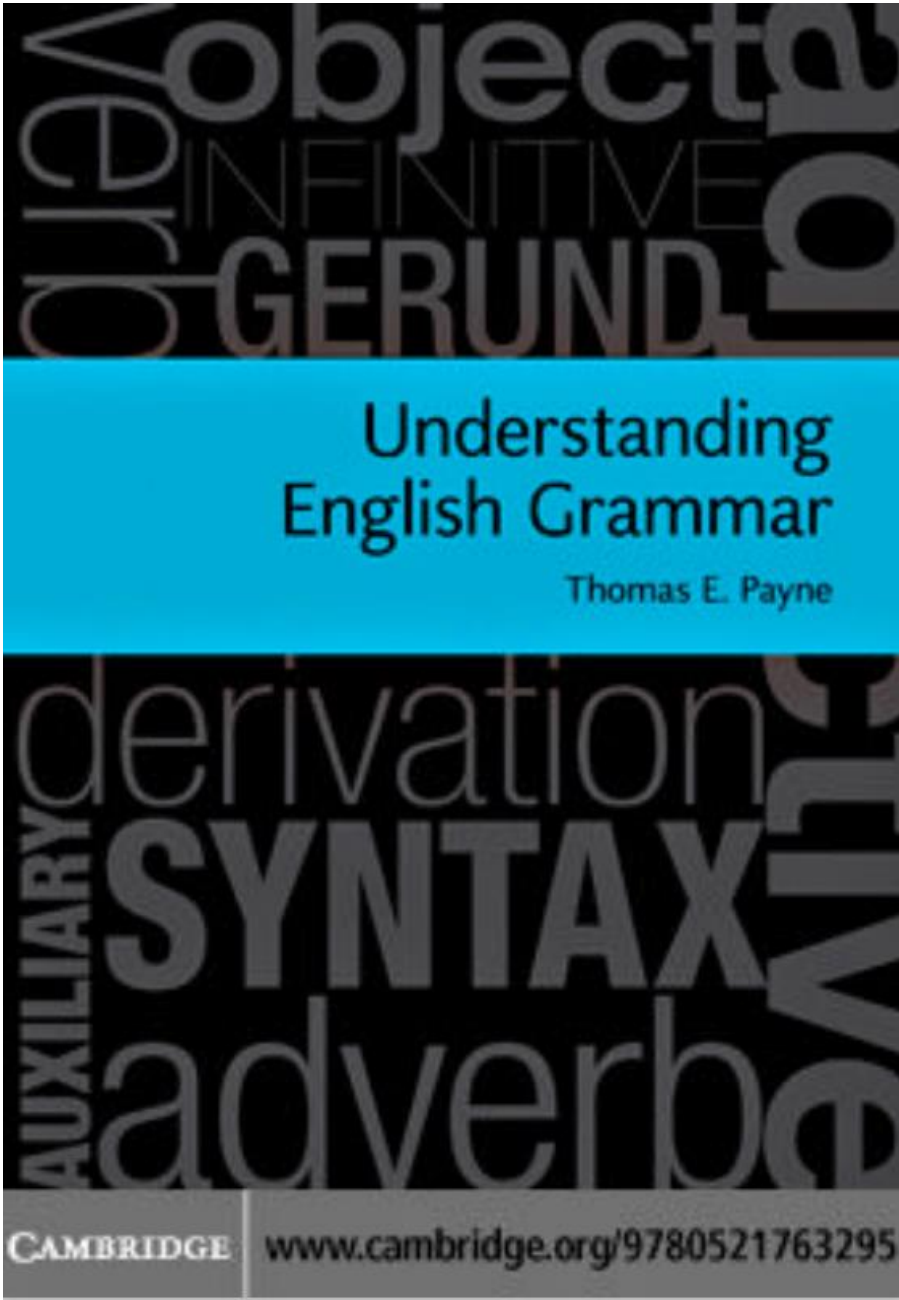
Two superficially different sentences are shown in these examples:

Charlie broke the window.

The window was broken by Charlie.

In traditional grammar, the first is called an active sentence, focusing on what *Charlie* did, and the second is a passive sentence, focusing on *The window* and what happened

4. Thomas Edward Payne (2011, P.160)



7

Basic concepts in English syntax

Linguistics is sheer servitude and drudgery until we have the joy of seeing order emerge from chaos.

Robert Longacre (p.c.)

To this point we have been talking mostly about the functional and structural properties of words and parts of words (the lexicon and morphology). In this chapter we will begin to talk more specifically about syntax – how words combine into larger structures such as phrases and clauses. Along with the lexicon and morphology, the syntax of any language provides speakers with an important structural dimension that allows them to communicate meaning. In this chapter, we will discuss some universal features of syntactic structure that all methods of syntactic analysis must be able to represent. Then we will discuss the differences between syntactic categories and syntactic functions. Finally, we will outline a few analytical methods for understanding English syntax, and will propose a couple of different ways of displaying syntactic structures. In Chapter 8, the concepts and methods described in the present chapter will be applied to a few advanced topics in English clause structure.

7.1

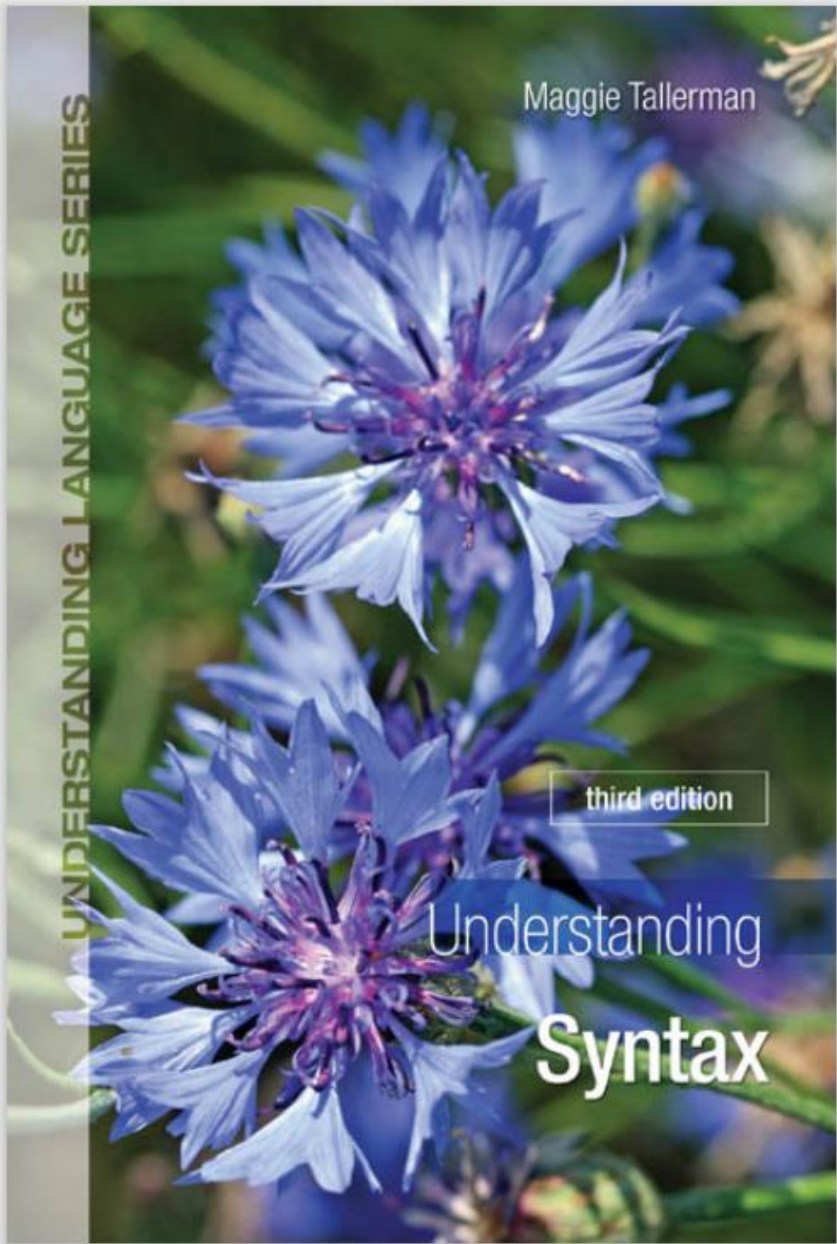
Universal features of syntactic structure

LINEAR ORDER, CONSTITUENCY (also referred to as SYNTACTIC MERGER, “grouping,” or “clumping”), and HIERARCHICAL STRUCTURE (also referred to as “nesting”) are major features of the syntax of all human languages. All these features provide important clues to a speaker’s intended meaning.

Linear order

Because words are pronounced one after another in time, differences in the order of words can be exploited to express differences in meaning. For example, in the following clauses, linear order is the only signal of the difference in meaning:

5. Maggie Tallerman (2011, P.1)



What is syntax?

1.1 SOME CONCEPTS AND MISCONCEPTIONS

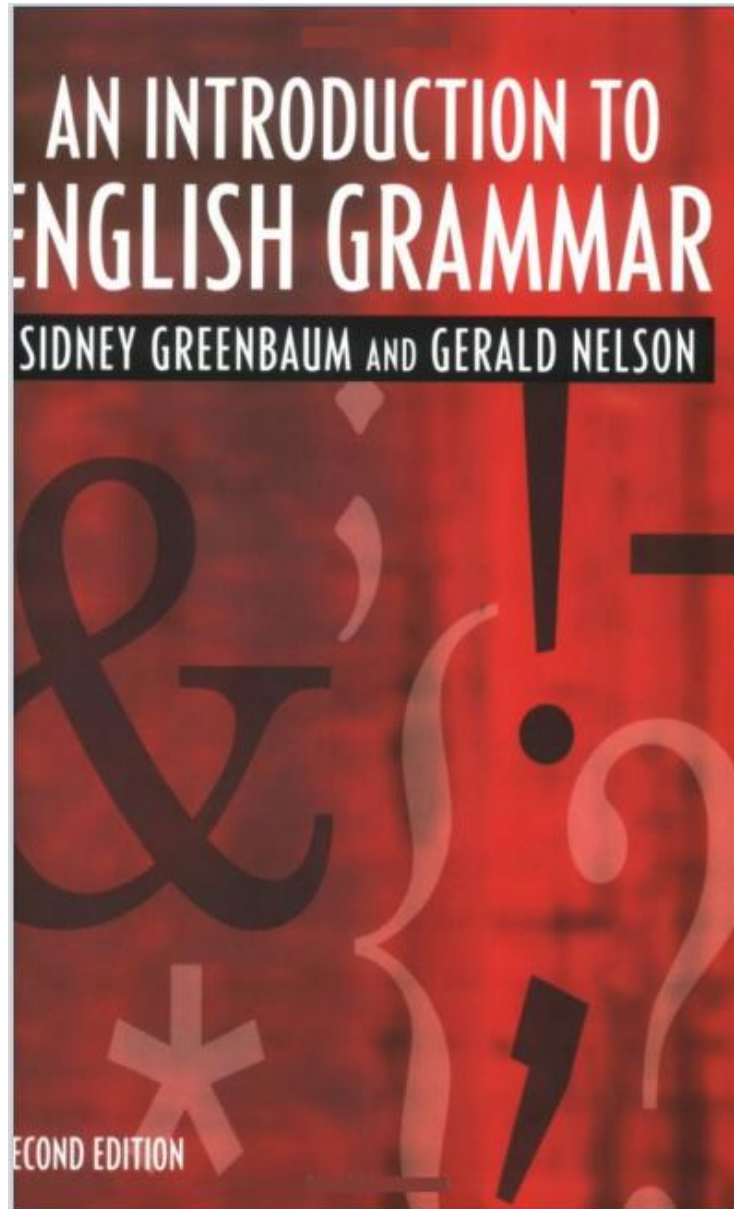
1.1.1 What is the study of syntax about?

This book is about the property of human language known as syntax. 'Syntax' means 'sentence construction': how words group together to make phrases and sentences. Some people also use the term GRAMMAR to mean the same as syntax, although most linguists follow the more recent practice whereby the grammar of a language includes all of its organizing principles: information about the sound system, about the form of words, how we adjust language according to context, and so on; syntax is only one part of this grammar.

The term 'syntax' is also used to mean the *study* of the syntactic properties of languages. In this sense, it's used in the same way as we use 'stylistics' to mean the study of literary style. We're going to be studying how languages organize their syntax, so the scope of our study includes the classification of words, the order of words in phrases and sentences, the structure of phrases and sentences, and the different sentence constructions that languages use. We'll be looking at examples of sentence structure from many different languages in this book, some related to English and others not. All languages have syntax, although that syntax may look radically different from that of English. My aim is to help you understand the way syntax works in languages, and to introduce the most important syntactic concepts and technical terms which you'll need in order to see how syntax works. We'll encounter many grammatical terms, including 'noun', 'verb', 'preposition', 'relative clause', 'subject', 'nominative', 'agreement' and 'passive'. I don't expect you to know the meanings of any of these in advance. Often, terms are not formally defined when they are used for the first time, but they are illustrated so you can understand the concept, in preparation for a fuller discussion later on. More complex terms and concepts (such as 'case' and 'agreement') are discussed more than once, and a picture of their meaning is built up over several chapters.

To help you understand what the study of syntax is about, we first need to discuss some things it isn't about. When you read that 'syntax' is part of 'grammar', you may have certain impressions that differ from the aims of this book. So first, although we will be talking about grammar, this is not a DESCRIPTIVE GRAMMAR of English or any other language. Such books are certainly available, but they usually aim to catalogue the regularities and peculiarities of one language rather than looking at

6. Sidney Greenbaum & Gerald Nelson (2002, P.13)



2

The Sentence

2.1 What is a sentence?

Grammar deals with the rules for combining words into larger units. The largest unit that is described in grammar is normally the **sentence**. However, defining a ‘sentence’ is notoriously difficult, for the reasons we’ll now discuss.

It is sometimes said that a sentence expresses a complete thought. This is a **notional** definition: it defines a term by the notion or idea it conveys. The difficulty with this definition lies in fixing what is meant by a ‘complete thought’. There are notices, for example, that seem to be complete in themselves but are not generally regarded as sentences: *Exit, Danger, 50 mph speed limit*.

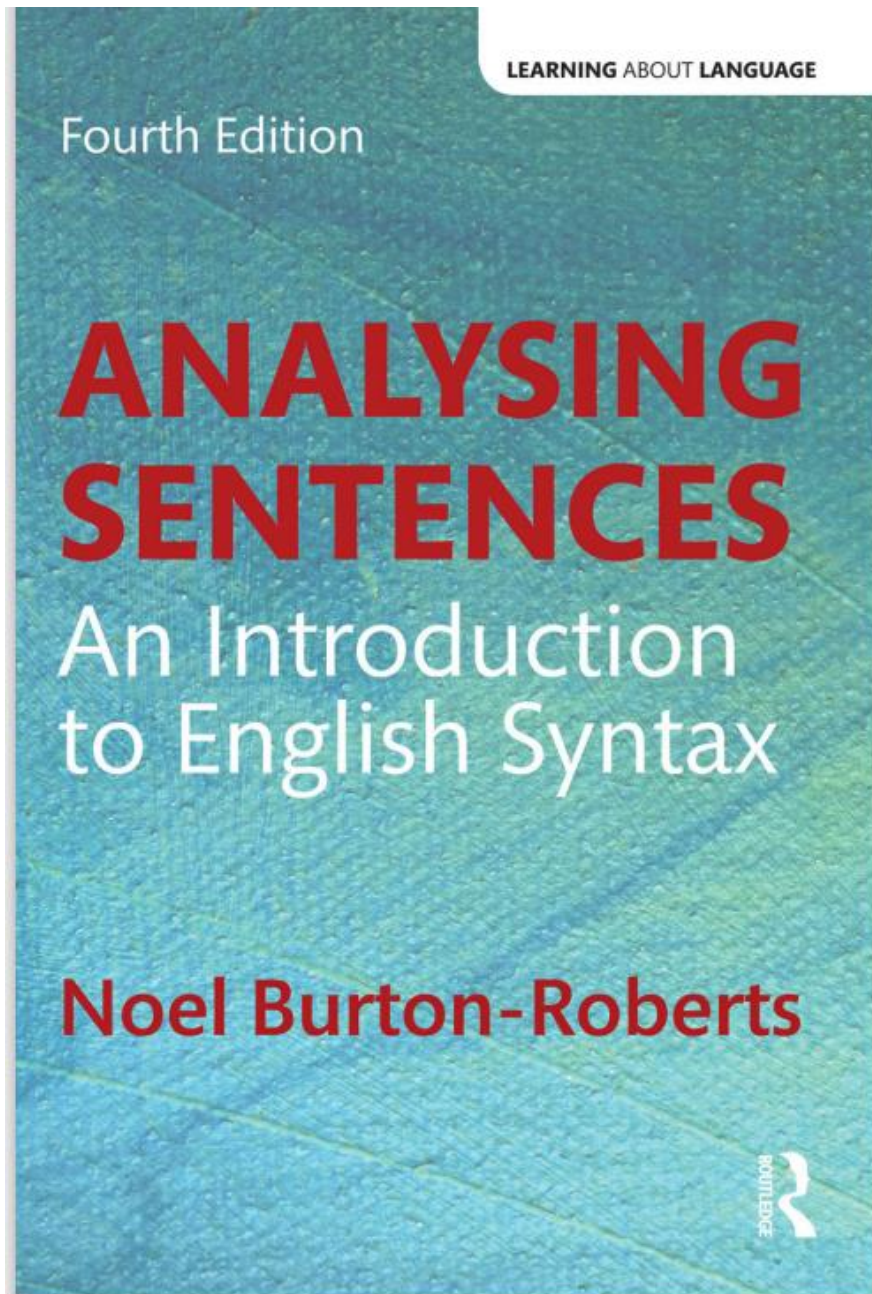
On the other hand, there are sentences that clearly consist of more than one thought. Here is one relatively simple example:

This week marks the 300th anniversary of the publication of Sir Isaac Newton’s *Philosophiae Naturalis Principia Mathematica*, a fundamental work for the whole of modern science and a key influence on the philosophy of the European Enlightenment.

How many ‘complete thoughts’ are there in this sentence? We should at least recognize that the part after the comma introduces two additional points about Newton’s book: (1) that it is a fundamental work for the whole of modern science, and (2) that it was a key influence on the philosophy of the European Enlightenment. Yet this example would be acknowledged by all as a single sentence, and it is written as a single sentence.

We can try another approach by defining a sentence as a string of words beginning with a capital (upper case) letter and ending with a full stop (period). This is a **formal** definition: it defines a term by the form or shape of what the term refers to. We can at once see that as it stands this definition is inadequate, since (1) many sentences end with a question mark or an exclamation mark, and (2) capital letters are used for names, and full stops are often used in abbreviations. Even if we amend the definition to take account of these objections, we still find strings of words in newspaper headlines, titles, and notices that everyone would recognize as sentences even though they do not end with a full stop, a question mark, or an exclamation mark:

7. Noel Burton Roberts (2011, P.7)



The same goes for linguistic expressions (sentences and phrases). Suppose you have a collection of words, say all the words in an English dictionary. Can you imagine all the possible word-sequences you could construct by putting these words together? The possibilities are endless. Clearly, not all the word sequences would be acceptable expressions of English. And again, some would be odder than others. When a sequence of words fails to constitute a good expression in English, I'll describe it as being *UNGRAMMATICAL (OR ILL-FORMED)* and follow the usual convention of marking it with an asterisk (*). For example:

[1a] *the nevertheless procrastinate in foxtrot

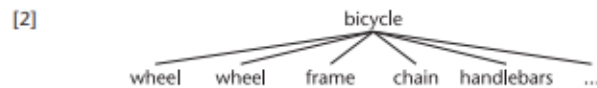
[1b] *disappears none girls of the students

[1c] *Max will bought a frying pans.

More subtle examples of ungrammatical sentences were given in the Introduction.

Ultimately, a full syntactic description of any language consists in explaining why some strings of words of the language are well-formed expressions and others not. Just how this ultimate (and very ambitious) goal might be attempted is discussed in Chapter 11. It's enough to say here that it couldn't be achieved without recognising structure. Just as the concept of structure was required in distinguishing between the bicycles and the would-be bicycles, so it's essential in distinguishing between strings of words that are well-formed expressions and those that are not.

We can use diagrams to show how things are analysed into their constituent parts. For instance, [2] says that a bicycle can be analysed into two wheels, a frame, a chain, handlebars, among other things (the dots mean 'and other things'):



Such diagrams are called *TREE DIAGRAMS* (though the trees are upside-down).

I've mentioned that the constituents of a complex thing can themselves be complex. A bicycle wheel, for example. It is itself a constituent of the bicycle, but in turn consists of hub, spokes, rim, tyre, etc. Although it's true that spokes are constituents of bicycles, it's more important to note that they are constituents of bicycles only because they are constituents of the wheel which, in turn, is a constituent of the bicycle. The relation between spoke and bicycle is indirect, mediated by wheel. We can express this by saying that, although the spoke is a constituent of the bicycle, it is not an *IMMEDIATE CONSTITUENT* of it. It's important to recognise the indirectness of the relationship between bicycle and spoke because, in giving a description of the structure of bicycles, we need to be able to say that wheels are parts of bicycles. But if we allowed that spokes were immediate constituents of bicycles rather than of wheels, this would leave wheels

2

Sentence structure Functions

As I pointed out in Chapter 1, understanding the structure of a sentence involves knowing not only what its **CONSTITUENTS** are, but also the **CATEGORY** and the **FUNCTION** of those constituents. As you'll see in this and the next chapter, these three aspects of syntactic analysis are closely bound up with one another. This chapter is mainly about syntactic functions, and about how function relates to category and constituency.

A systematic sentence analysis is best begun, not by immediately considering the words in the sentence, but by first identifying the very largest phrases – those phrases which are immediate constituents, not of any other phrase, but of the sentence itself. So my first illustration of the relationship between constituents, their categories and their functions, will concern **the functions and categories of the IMMEDIATE CONSTITUENTS OF THE SENTENCE** itself.

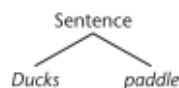
Subject and predicate

To be sure of identifying only the largest (i.e. immediate) constituents of the sentence I shall, wherever possible, divide the sentence into the fewest possible parts, i.e. into just two. An example of the simplest possible complete sentence structure is [1]:

[1] Ducks paddle.

Other such examples are: *Max coughed*, *Pigs fly*, *Empires decline*, and *Martha retaliated*. In all such cases, we have no option but to analyse the sentence as consisting of two parts, as in [2]:

[2]



But what about more complicated sentences? A speaker's ability to recognise the structure of the sentences of her language is largely a matter of being able to

3

Sentence structure Categories

I've explained the oddity of *two rather jokes as being due to the fact that *rather* has a function only in respect of *dubious* so that, if you omit *dubious*, *rather* is left without a function. But why is *rather* left without a function? In the absence of *dubious*, why can't *rather* modify *jokes* instead? Or couldn't we say that *rather* modifies *two*?

In a sense, you already know the answers to these questions. You already know that *rather* just isn't the *kind* – or *CATEGORY* – of word that can modify (and so form a constituent with) *jokes*. Nor is *jokes* the kind of word that can be modified by *rather*. You already know that *dubious* differs from *rather* in being the kind of word that can modify *jokes*, and that *dubious* differs from *jokes* in being the kind of word that can be modified by *rather*.

It's a brute fact about the way speakers understand their language that they recognise several different *CATEGORIES* of word. In doing so, they recognise that each word has a restricted range of possible functions and that there are restrictions on how words can combine to form phrases. In illustration of the fact that you yourself do this, try the following exercise. Decide which of the following words belongs to the same category as *rather*, which to the same category as *dubious*, and which to the same category as *jokes*. One of the words is of a category distinct from all three.

plans, extremely, could, clever

Consider the following strings (noting the ungrammaticality asterisks):

- | | |
|-------------------------------|----------------------------------|
| [1a] two plans | [2a] *two extremely |
| [1b] two dubious plans | [2b] *two dubious extremely |
| [1c] *two rather plans | [2c] *two extremely jokes |
| [1d] *two plans dubious jokes | [2d] two extremely dubious jokes |
| [1e] *two rather plans jokes | [2e] *two rather extremely jokes |

The strings in [1] show that *plans* has the same *DISTRIBUTION* as *jokes*. In other words, *plans* has the same range of functions, can combine with the same other elements, and can occupy the same positions as *jokes*. Like *jokes*, it

10. Noel Burton Roberts (2011, P.68)

CHAPTER 4 THE BASIC VERB PHRASE

Taking just the first two examples, note the following pattern of grammaticality:

- [15a] Max died. [16a] *Max made.
[15b] *Max died Bill. [16b] Max made a noise.

Die clearly belongs to the same sub-category as *sunbathe*, as do *sleep* and *laugh*: none of these verbs allows a following NP. But *make* clearly belongs with *dread*, as do *inspect*, *spot*, and *throw*: these demand a following NP. *Play*, on the other hand, belongs to both sub-categories, with different meanings:

- [17] The children played.
[18] Max played the tuba.

Paddle, *reflect*, *break*, and *relax* are further verbs that belong to both sub-categories. You can check this for yourself (for example, *Superman relaxed* and *Superman relaxed his grip*). Sentences containing them in their different uses are given at the end of the chapter: **Discussion 2**, pages 78–9.

The two sub-categories discussed above are not the only ones. This chapter deals with **six sub-categories of lexical verbs**:

- (1) TRANSITIVE,
- (2) INTRANSITIVE,
- (3) DITRANSITIVE,
- (4) INTENSIVE,
- (5) COMPLEX TRANSITIVE,
- (6) PREPOSITIONAL.

■ Transitive verbs

A **transitive verb** is one which requires a single Noun Phrase to complement it. Of the verbs considered above, then, *dread*, *make*, *spot*, *throw*, and *inspect* are transitive verbs.

The NP that complements a transitive verb is said to function (more specifically) as its **DIRECT OBJECT**. So, in *Phil dreads affectionate cats*, the NP within the VP (*affectionate cats*) is complementing the transitive verb *dread* as its direct object.

Notice that, where an NP functioning as the direct object of a verb is a pronoun, it has a special form. This form is called the **OBJECTIVE CASE** (more traditionally, 'accusative case'). Thus the direct object pronouns in the objective case are grammatical in [19], but the corresponding pronouns in the **SUBJECTIVE** (traditionally, 'nominative') **CASE** are ungrammatical, [20]:

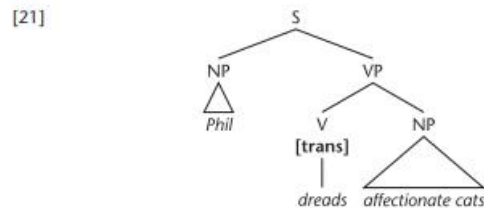
11. Noel Burton Roberts (2011, P.69)

THE COMPLEMENTS OF LEXICAL VERBS

- [19] Phil dreads { me
her
him
us
them
- [20] *Phil dreads { I
she
he
we
they

When the form of an NP is determined by its complement relation with another constituent, it is said to be **GOVERNED** by that other constituent (in this case, the verb). Notice that this goes for NPs complementing prepositions in PPs as well. The preposition governs the NP, demanding that it appear in the objective case: *for him* vs. **for he*, *against them* vs. **against they*. *You* and *it* are the only pronouns that don't have a special distinct form in the objective case.

Since the V and the NP are in a functional relationship, the NP needs to be represented as a sister of the V (and therefore as a daughter of the VP) as in [21]:



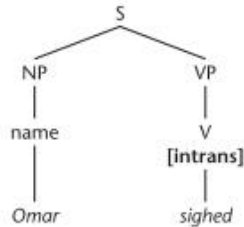
In [21] I've added to the V node the extra label '[trans]', short for 'transitive'. This extra label is called a **FEATURE**, and it simply sub-categorises the verb as being transitive. This sub-categorisation feature is needed in order to specify the function of the following NP in terms of the phrase marker itself. Thus, when an NP is the sister of a V bearing the [trans] feature, we know that the NP is functioning as **DIRECT OBJECT**. The point of this feature will become clearer when I deal with other sub-categories of verbs and the other functions associated with them.

■ Intransitive verbs

An intransitive verb is one that does not require any further constituent as a sister in the VP. 'INtransitive' means 'has (and needs) no complement'. *Sleep*, *die*, *laugh* and *sigh* (and *play* on one interpretation) are intransitive verbs. Since an intransitive verb requires no further element to form a complete predicate, an intransitive verb counts as a **complete VP in its own right**. (Remember the discussion of *Ducks paddle* in Chapter 3.) So a very simple sentence like *Omar sighed* is represented as in [22]. Note the [intrans] feature on the V node.

12. Noel Burton Roberts (2011, P.70)

[22]



Ditransitive verbs

Ditransitive verbs require TWO NPs as complements. The classic example of a ditransitive verb is *give*. Others are *send* and *buy*:

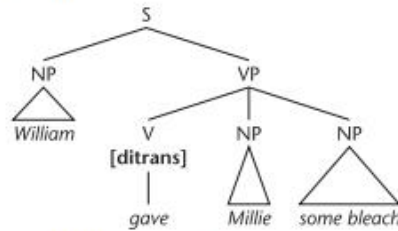
[23a] William gave **Millie** *some bleach*.

[24a] The staff sent **the general** *a message*.

[25a] Max buys **his butler** *all necessary work-clothes*.

In [23a]–[25a] the first complement (the NP in bold) functions, more specifically, as the **INDIRECT OBJECT** of the ditransitive verb. Indirect objects are usually the recipients or beneficiaries of the action. The second complement NP (in italics) functions as the **DIRECT OBJECT** – it has the same function as the NP that complements a transitive verb. Here’s a phrase marker for [23a]. Note the [ditrans] feature on V.

[26]



Both the NPs are governed by the V *gave* and would appear in the objective case if they were pronouns.

Now decide which of the following verbs are ditransitive.

- (a) *show* (b) *offer* (c) *see* (d) *tell* (e) *announce*

Consider the following sentences:

[27] Max showed **Matilda** *his collection of razors*.

[28] Tarzan offered **Jane** *his hairy arm*.

[29] Heseltine told **his boss** *the news*.

13. Noel Burton Roberts (2011, P.72)

■ Intensive verbs

Intensive verbs require a single complement, which can take the form of an Adjective Phrase, a Noun Phrase or a Prepositional Phrase. The most obvious and commonly used intensive verb is *be*. As the classic example of the intensive sub-category of verb, *be* is called 'the copula'.

[33] Ed is *rather extravagant*. (AP)

[34] Sigmund was *an auctioneer*. (NP)

[35] Oscar and the First Mate were *in the engine room*. (PP)

The complement of an intensive verb functions (more specifically) as a PREDICATIVE. (By the way, don't confuse this term with 'predicate'.) Other intensive verbs – i.e. other verbs taking a predicative as complement – are: *become, seem, appear, turn, remain, look, taste, feel, smell, sound*.

When a verb is complemented just by an AP, you can be sure you're dealing with an INTENSIVE verb. This is because [intensive] is the *only* sub-category of verb that can take just an AP complement. The point is worth noting because, as mentioned, intensive verbs can be complemented by an NP or a PP and, when a verb is complemented by an NP, you're going to have to decide whether [V + NP] is an example of [transitive V + direct object] or an example of [intensive V + predicative]. Understanding the 'predicative' function involves understanding the difference between predicative and direct object. I explain this now.

Compare [34] above (repeated as [36]) with [37]:

[36] Sigmund was an auctioneer.

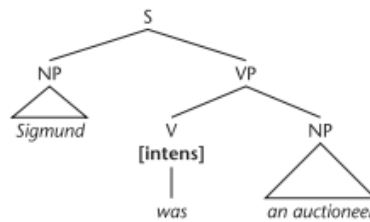
[37] Sigmund *spotted* an auctioneer.

In both, we have a verb complemented by an NP. In [37] the verb is transitive, so the NP complement functions more specifically as direct object. As a direct object, the NP identifies an individual distinct from Sigmund (referred to by the subject NP *Sigmund*). In saying that Sigmund *spotted* an auctioneer, we mention *two* distinct individuals – Sigmund and the auctioneer – and say that the former spotted the latter. It is in the nature of spotting that it's a relation between two individuals: a spotter (subject) and a spottee (direct object). That's what makes *spot* a transitive verb.

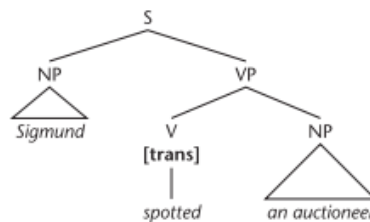
A moment's thought will show something quite different going on in [36]. [36] does *not* express a relation between two individuals. In [36], with the intensive verb, only *one* individual is mentioned (by means of the subject *Sigmund*). The rest of the sentence (the VP) is used to characterise the subject. If [36] can be said to express a relation at all, it's a relation between an individual and a *property*: the sentence expresses the idea that Sigmund has the property of being an auctioneer. PREDICATIVES are used to attribute PROPERTIES to the things or

14. Noel Burton Roberts (2011, P.74)

[46a]



[46b]



An [INTENS] verb, by definition, takes a subject-predicative. A [TRANS] verb, by definition, takes a direct object. So, by using those features, you are effectively assigning a (more specific) function to the complement of the verb.

A word now about PPs functioning as subject-predicatives. I've already mentioned that all VPs can include optional modification by PPs. PPs should only be treated as part of the necessary complementation of an intensive verb (i.e. as subject-predicatives) if they cannot be omitted. So, *in the engine room* in [35] is a predicative since [47] is not a complete sentence (though the missing element might be understood in context – see Chapter 5):

[47] *Oscar and the First Mate were.

I look again at PP complements below.

Complex transitive verbs

Complex transitive verbs take TWO COMPLEMENTS: a DIRECT OBJECT (NP) and an OBJECT-PREDICATIVE. Again, the predicative can take the form of an AP, an NP or a PP. Here are some examples, with the direct object in *italics* and the predicative in **bold**.

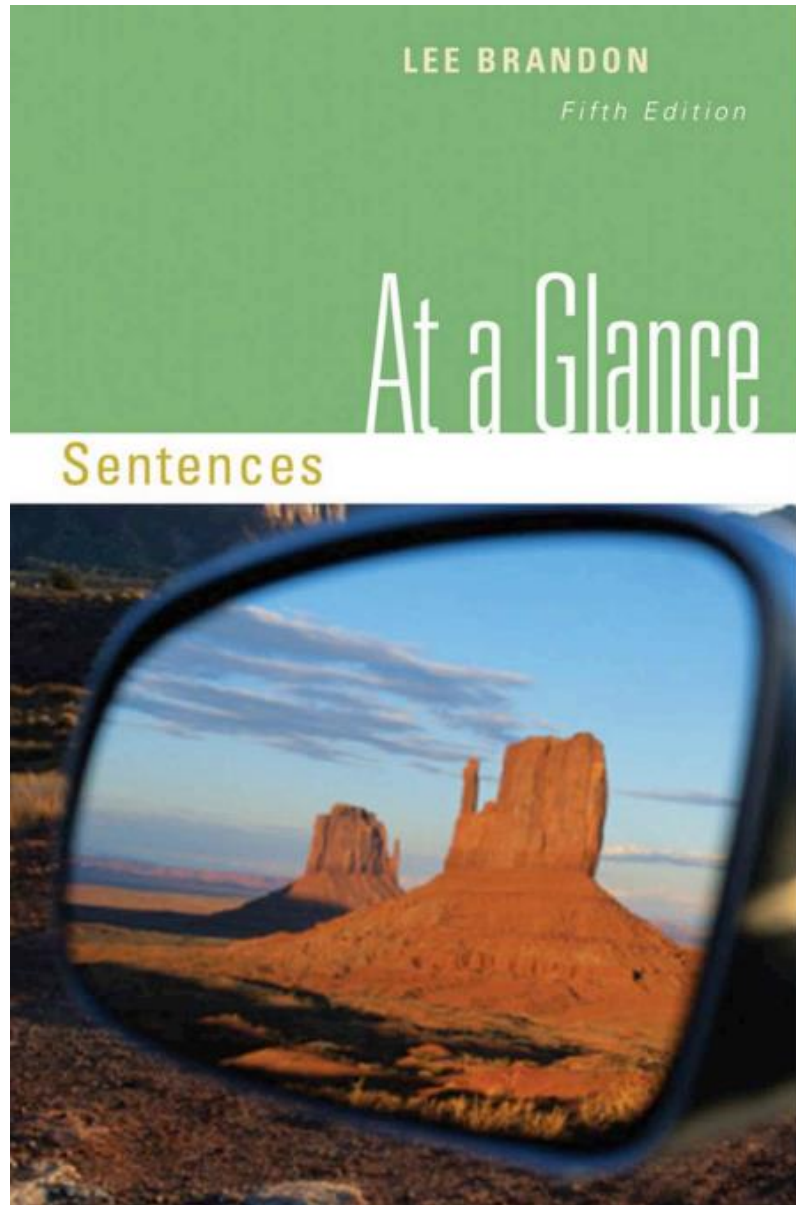
[48] Jack finds *his own jokes* **extremely funny**. (AP)

[49] They made *Stella* **their spokesperson**. (NP)

[50] Liza put *the liquor* **under her bed**. (PP)

Everything I said about predicatives in the previous section goes for the predicative in a complex VP, but with one big difference. The difference is that

15. Lee Brandon (2010, P.30)



Simple Sentences

A **simple sentence** consists of one independent clause and no dependent clauses. It may contain phrases and have more than one subject or verb.

The *lake looks* beautiful in the moonlight. (one subject and one verb)

The *Army, Navy, and Marines sent* troops to the disaster area. (three subjects and one verb)

We sang the old songs and *danced* happily at their wedding. (one subject and two verbs)

My father, mother, and sister came to the school play, *applauded* the performers, and *attended* the party afterward. (three subjects and three verbs)

Exercise 2 Writing Simple Sentences

Write six simple sentences. The first five have been started for you.

1. This school _____

2. My desk _____

3. My friend _____

4. In the evening, I _____

5. Last night, the _____

6. _____

16. Lee Brandon (2010, P.31)

Compound Sentences

A **compound sentence** consists of two or more independent clauses with no dependent clauses. Take, for example, the following two independent clauses:

He opened the door. He found the missing paper.

Here are three ways to join the independent clauses to form a compound sentence.

1. Connect the two independent clauses using a connecting word called a **coordinating conjunction**. The coordinating conjunctions are *for, and, nor, but, or, yet, so*. Remember the acronym FANBOYS.

He opened the door, *and* he found the missing paper.

He opened the door, *so* he found the missing paper.

Use a comma before the coordinating conjunction between two independent clauses (unless one of the clauses is extremely short).

2. Put a semicolon between the clauses.

He opened the door; he found the missing paper.

3. Use a transitional word, such as *however* or *therefore*. Place a semicolon before the word and a comma after.

He found the missing paper; *therefore*, he was satisfied.

Exercise 3 Writing Compound Sentences

Write five compound sentences using coordinating conjunctions. The sentences have been started for you. Then write the same five compound sentences without the coordinating conjunctions. Use a semicolon to join the independent clauses, and, if appropriate, include transitional words such as therefore and however.

1. He played well in the first quarter, but he _____

2. She was happy for a while, and then _____

17. Lee Brandon (2010, P.32)

32 Chapter 3 Kinds of Sentences

3. The dog is our best friend, for _____

4. She is not the best player, nor is _____

5. I will try to help, but _____

6. _____

7. _____

8. _____

9. _____

10. _____

Complex Sentences

A **complex sentence** consists of one independent clause and one or more dependent clauses. In the following sentences, the dependent clauses are italicized.

When lilacs are in bloom, we love to visit friends in the country.
(one dependent clause and one independent clause)

Although it rained last night, we decided to take the path *that led through the woods*. (one independent clause and two dependent clauses)

A relative clause (see page 28) can be the dependent clause in a complex sentence.

I knew the actress *who played that part in the 1980s*.

Punctuation tip: Use a comma after a dependent clause that appears before the main clause.

When the bus arrived, we quickly boarded.

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18. Lee Brandon (2010, P.33)

Exercise 4 Writing Complex Sentences

Write six complex sentences. The first five have been started for you.

1. Although he did the work quickly, _____

2. _____
because the storm hit.
3. After you go to the party, _____

4. Because you are smart, _____

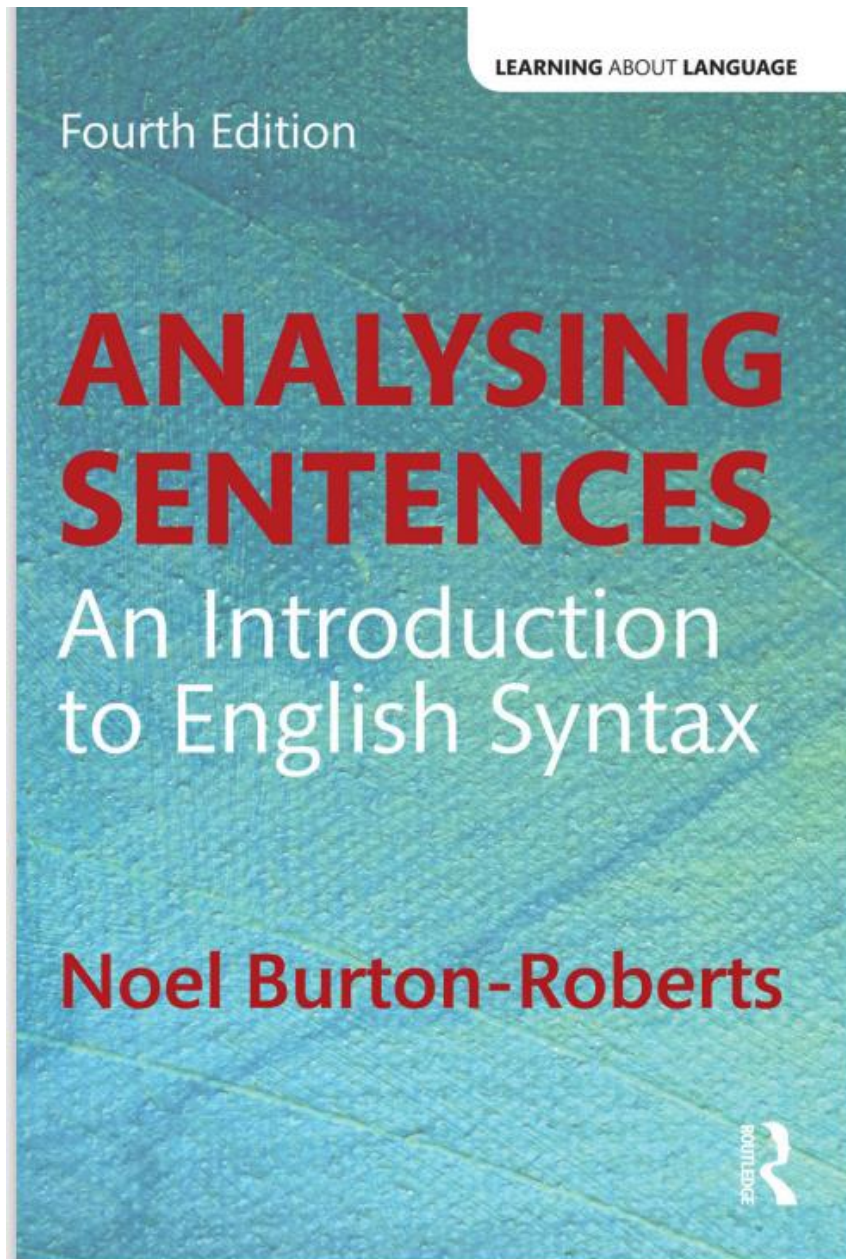
5. _____
_____ when he turned to leave.
6. _____

Compound-Complex Sentences

A **compound-complex sentence** consists of two or more independent clauses and one or more dependent clauses.

COMPOUND- COMPLEX SENTENCE	Albert enlisted in the Army, and Robert, who was his older brother, joined him a day later.
INDEPENDENT CLAUSES	Albert enlisted in the Army Robert joined him a day later
DEPENDENT CLAUSE	who was his older brother
COMPOUND- COMPLEX SENTENCE	Because Mr. Roberts was a talented teacher, he was voted Teacher of the Year, and his students prospered.

19. Noel Burton Roberts (2011, P.12)



In doing so, I acknowledge that word-sequence as an identifiable part, as a constituent, of that sentence.

Sequences of words that can function as constituents in the structure of sentences are called PHRASES. Tree diagrams represent structure by marking which sequences of words in a sentence are its constituent phrases. So syntactic tree diagrams are, more specifically, called **PHRASE MARKERS**.

I've shown that the sequence of words *beside a stream* is a constituent of sentence [4]. So [*beside a stream*] is a phrase. Having recognised it as a phrase, we must treat its words as parts, not directly of the sentence, but of the phrase itself. This phrase is intermediate between the sentence and its words, just as wheels are intermediate between the bicycle and its spokes. Since we can't omit any of those three words individually, it appears that, while the PHRASE as a whole is optional in the structure of the sentence, the WORDS themselves are not optional in the structure of that phrase.

In sentence [17] below, there are two separate sequences of words which can be omitted without affecting the grammaticality of the sentence. Can you identify them?

[17] The very talkative gentleman next to me lit a cigar.

[18], [19], and [20] are all perfectly good, complete sentences.

[18] The (. . .) gentleman next to me lit a cigar.

[19] The very talkative gentleman (. . .) lit a cigar.

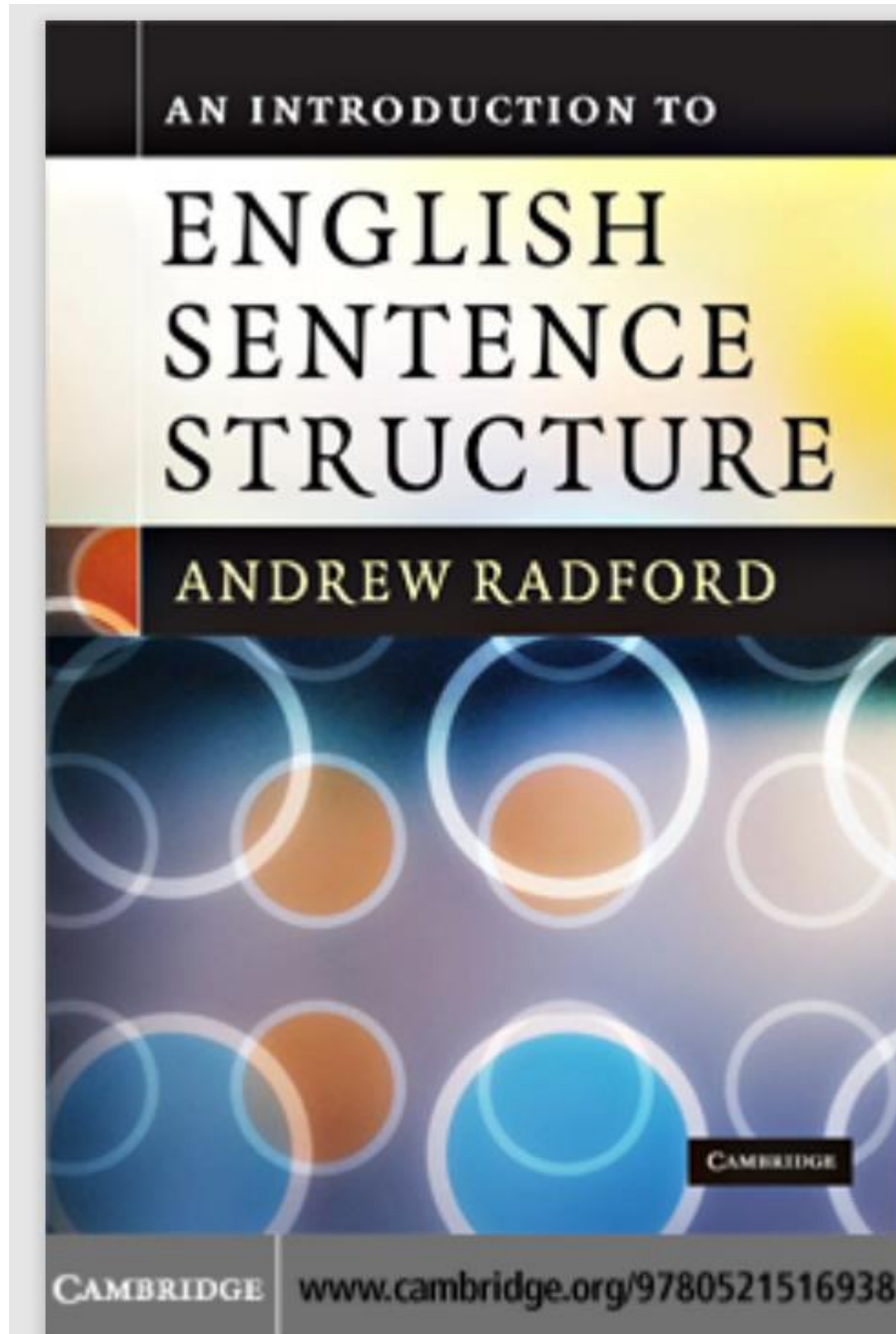
[20] The (. . .) gentleman (. . .) lit a cigar.

So we need to be able to say that *very talkative* (omitted in [18] and [20]) and *next to me* (omitted in [19] and [20]) are optional constituents in the structure of sentence [17]. But they are not sentences and they are not words. They are PHRASES – elements of structure intermediate between sentence and word. Furthermore, we'll see in due course that these phrases are immediate constituents, not of the sentence, but of yet further phrases within the sentence. They are phrases within phrases.

If a sequence of words can be omitted from a sentence leaving another good sentence, that's a good indication that the sequence is a phrase functioning as a constituent in the structure of the sentence. However, not all phrases are omissible. So we need to find a more general, systematic way of demonstrating that a given sequence of words is a phrase.

There are several different ways of doing this. Recall that we were never in doubt that *invitingly* was a constituent in [16]. It's a single word, after all. And we wanted to say of the sequence of words *beside a stream* that it had the same unitary character as a single word. This suggests that if you can **replace a SEQUENCE OF WORDS in a sentence with a SINGLE WORD** without changing the

20. Andrew Radford (2009, P.398)



Pers: An abbreviation of **person/press**.

person/pers: In traditional grammar, English is said to have three grammatical persons.

A **first person** expression (e.g. *I/we*) is one whose reference includes the speaker(s); a **second person** expression (e.g. *you*) is one which excludes the speaker(s) but includes the addressee(s) (i.e. the person or people being spoken to); a **third person** expression (e.g. *he/she/it/they*) is one whose reference excludes both the speaker(s) and the addressee(s) – i.e. an expression which refers to someone or something other than the speaker(s) or addressee(s).

personal pronouns: These are pronouns which carry inherent **person** properties – i.e. first person pronouns such as *I/we*, second person pronouns such as *you* and third person pronouns such as *he/she/it/they*. See **person**.

PF(representation): (A representation of the) **Phonetic Form** (of an expression). See **representation**. The **PF component** of a grammar is the component which converts the syntactic structures generated by the computational component of the grammar into PF-representations, via a series of morphological and phonological operations. A **PF-clitic** is a clitic which attaches to another item in the PF component (not in the syntax), so that the two form a single phonetic word, but are not a single word in the syntax.

phase: In work outlined in chapter 9, Chomsky argues that syntactic structures are built up in phases (phases including complementiser phrases and transitive Verb Phrases), and that once a phase has been produced, the domain/complement of the head of the phase undergoes **transfer** to the PF component and the semantic component, and thereby becomes impenetrable to further operations in the syntax.

Phase Impenetrability Condition/PIC: A **constraint** on grammatical operations which specifies that the domain/complement of a phase head is impenetrable/inaccessible to an external probe (i.e. to a c-commanding probe which lies outside relevant **phase**). See §9.2.

phi-features/ ϕ -features: Person and number features (and, in languages which have grammatical gender, gender features as well).

Phonetic Form: See **interface levels**.

phonetic representation: See **representation**.

phonological features: Features used to describe sound properties. For example, the difference between nasal and oral sounds might be described in terms of the feature [\pm NASAL].

phrase: The term **phrase** is used to denote an expression larger than a word which is a **maximal projection**: see **projection**. In traditional grammar, the term refers strictly to non-clausal expressions (hence, ‘reading a book’ is a phrase, but ‘He is reading a book’ is a clause, not a phrase). However, in more recent work, **clauses** are analysed as types of phrases: e.g. ‘He will resign’ is a tense phrase (TP), and ‘That he will resign’ is a complementiser phrase (CP). See §2.3 and §2.4.

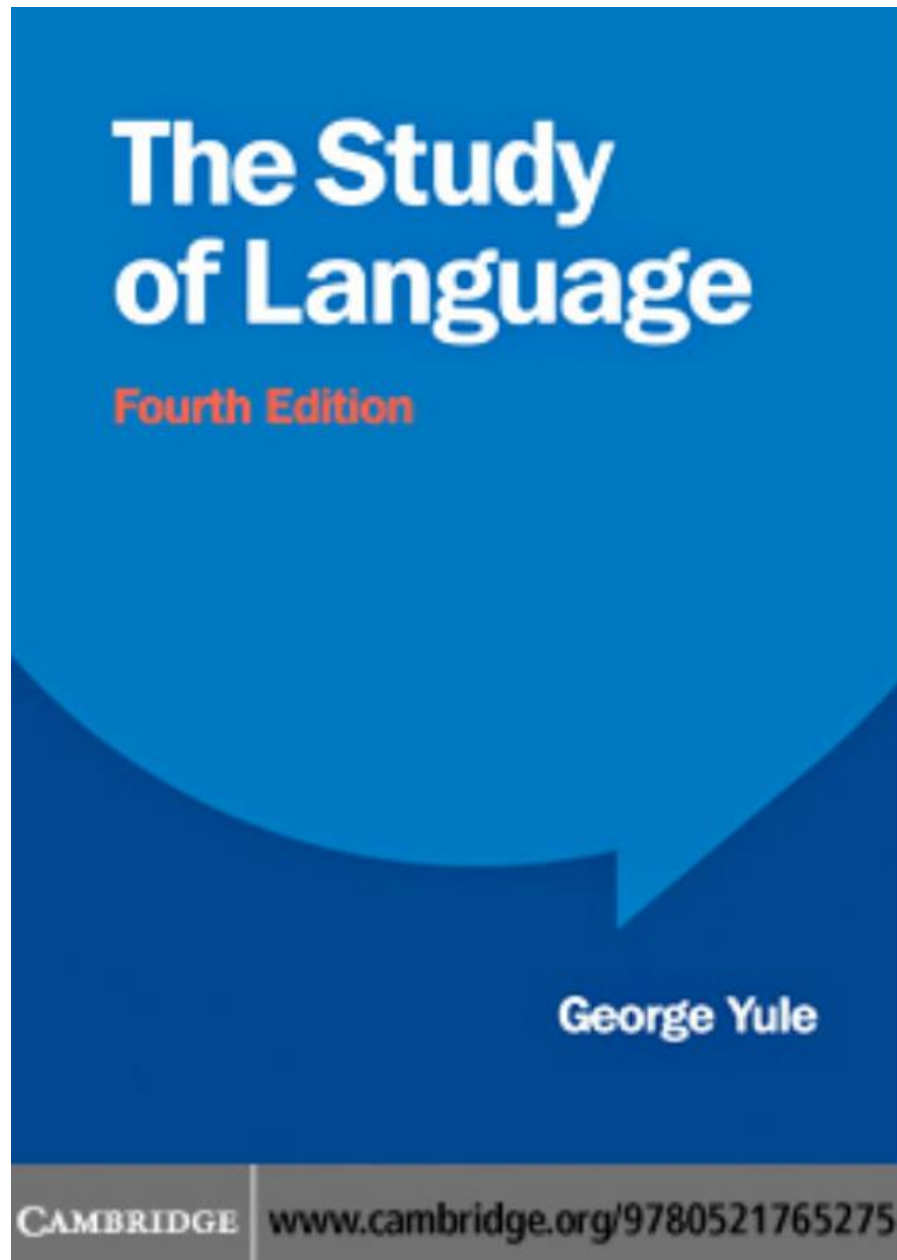
phrase-marker/P-marker: A **tree diagram** used to represent the syntactic structure of a phrase or sentence. See §2.6.

phrase structure: See **constituent structure**.

PIC: See **Phase Impenetrability Condition**.

pied-piping: A process by which a moved constituent drags one or more other constituents along with it when it moves. For example, if we compare a sentence like ‘Who were you talking to?’ with ‘To whom were you talking?’, we can say that in both cases the pronoun *who* is moved to the front of the sentence, but that in the second

21. George Yule (2010, P.99)



once in generating a structure. For example, we can have one prepositional phrase describing location (*on the table*) in the sentence *The gun was on the table*. We can also repeat this type of phrase, using different words (*near the window*), for as long as the sentence still makes sense (*in the bedroom*). So, in order to generate a sentence such as *The gun was on the table near the window in the bedroom*, we must be able to repeat the rule that creates a prepositional phrase over and over again.

We must also be able to put sentences inside other sentences. For example, when we produce a sentence such as *Cathy knew that Mary helped George*, we do so with the sentence *Mary helped George* inside it. And those two sentences can be generated inside another sentence such as *John believed that Cathy knew that Mary helped George*. In principle, there is no end to the recursion that would produce ever longer versions of complex sentences with this structure.

Basically, the grammar will have to capture the fact that a sentence can have another sentence inside it or that a phrase can be repeated as often as required. We should note that recursion of this type is not only a feature of grammar, but can also be an essential part of a theory of cosmic structure, as in the role of turtles in one little old lady's view of the universe (in the introductory quotation).

Tree diagrams

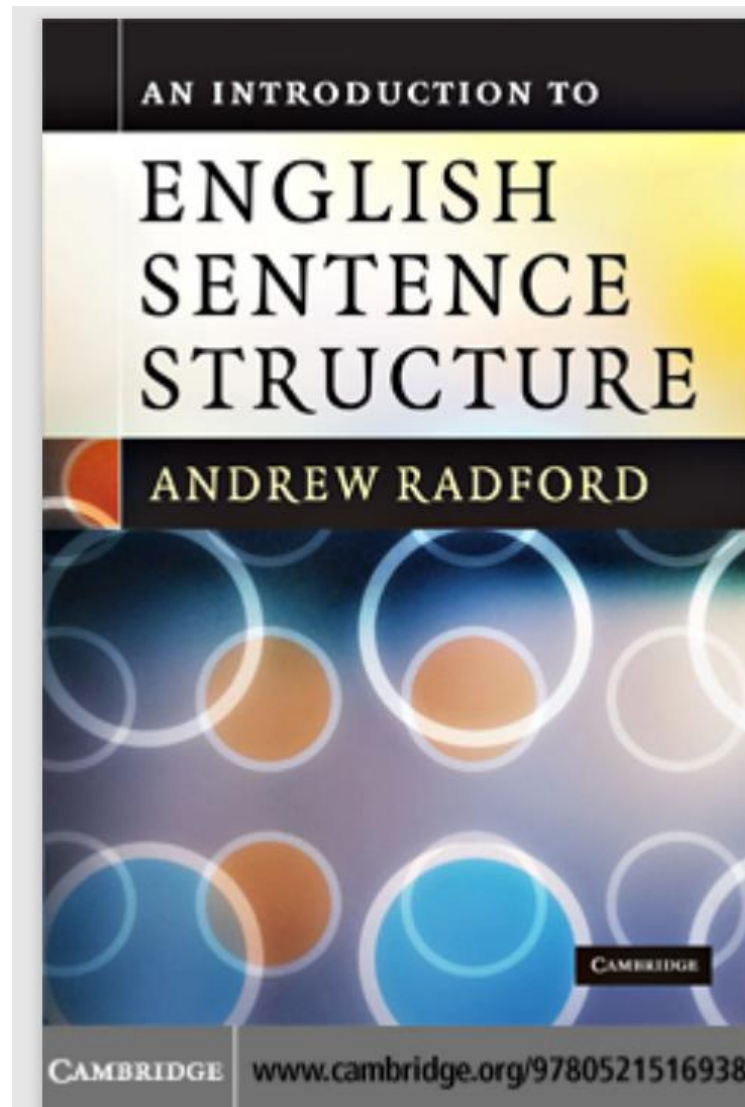
One of the most common ways to create a visual representation of syntactic structure is through **tree diagrams**. We can use the symbols introduced in [Chapter 7](#) (Art = article, N = noun, NP = noun phrase) to label parts of the tree as we try to capture the hierarchical organization of those parts in the underlying structure of phrases and sentences. So, we can take the information in a labeled and bracketed format, shown on the left, and present it in a tree diagram, shown on the right.

Although this kind of "tree," with its "branches," shown on the right, seems to grow down rather than up, it functions rather well as a diagram representing all the grammatical information found in the other analysis on the left. It also shows very explicitly 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



Figure 8.1

22. Andrew Radford (2009, P.39)



2 Structure

2.1 Overview

In this chapter, we introduce the notion of **syntactic structure**, looking at how words are combined together to form phrases and sentences. We shall see that phrases and sentences are built up by a series of **merger** operations, each of which combines a pair of constituents together to form a larger constituent. We show how the resulting structure can be represented in terms of a **tree diagram**. We look at some of the principles which underlie sentence formation, and we explore ways of testing the structure of phrases and sentences.

2.2 Phrases

To put our discussion on a concrete footing, let's consider how an elementary two-word phrase such as the italicised response produced by speaker B in the following mini-dialogue is formed:

- (1) SPEAKER A: What are you trying to do?
 SPEAKER B: *Help you*

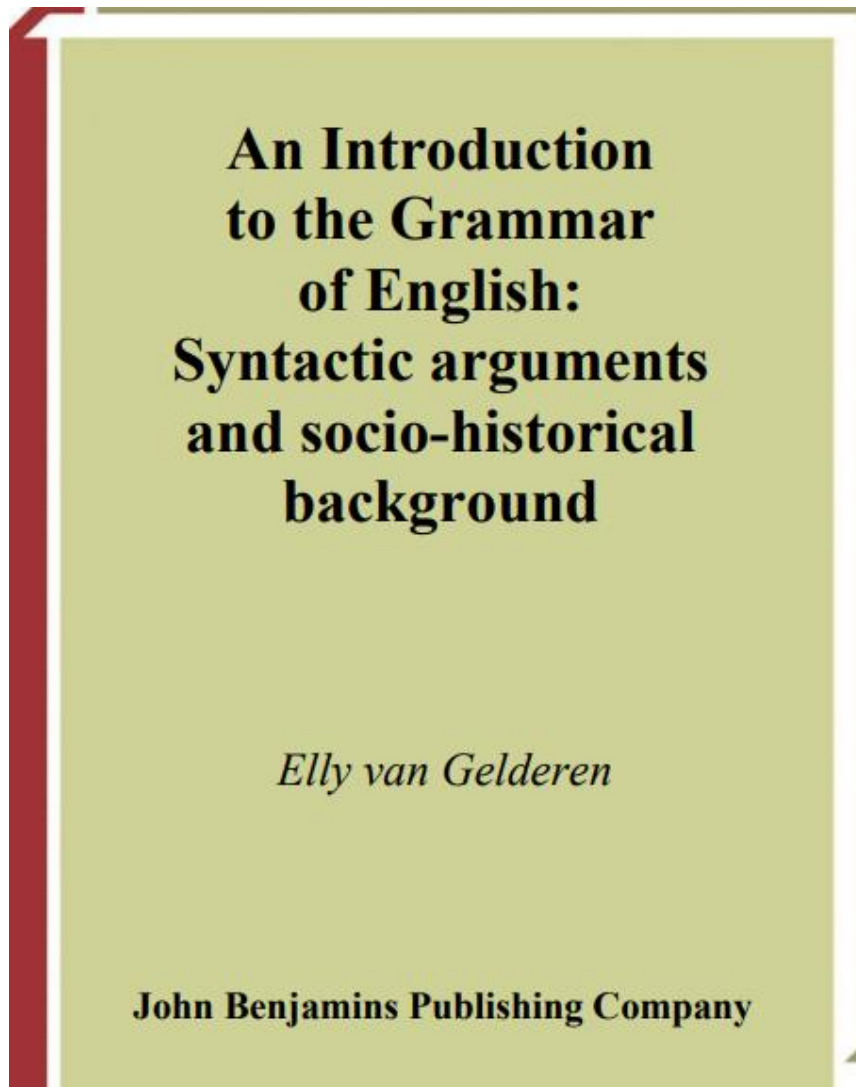
As speaker B's utterance illustrates, the simplest way of forming a phrase is by **merging** (a technical term meaning 'combining') two words together: for example, by merging the word *help* with the word *you* in (1), we form the phrase *help you*. The resulting phrase *help you* seems to have verb-like rather than pronoun-like properties, as we see from the fact that it can occupy the same range of positions as the simple verb *help*, and hence e.g. occur after the infinitive particle *to*: cf.

- (2) (a) We are trying to *help*
 (b) We are trying to *help you*

By contrast, the phrase *help you* cannot occupy the same kind of position as a pronoun such as *you*, as we see from (3) below:

- (3) (a) *You* are very difficult
 (b) **Help you* are very difficult

23. Elly Van Gelderen (P.31)



**An Introduction
to the Grammar
of English:
Syntactic arguments
and socio-historical
background**

Elly van Gelderen

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3 Phrases

Sentences can be divided into groups of words that belong together. For instance, in *the nice unicorn ate a delicious meal*, *the*, *nice*, and *unicorn* form one such group and *a*, *delicious*, and *meal* form another. (We all know this intuitively). The group of words is called a phrase. If the most important part of the phrase, i.e. the head, is an adjective, the phrase is an Adjective Phrase; if the most important part of the phrase is a noun, the phrase is a Noun Phrase, and so on. One could indicate phrases by putting brackets around them, but that gets confusing if the sentence is complex, and as an alternative, ‘trees’ are used. Trees render the structure of the sentence clearer and less ambiguous. The grammatical categories (Determiner, Auxiliary, Coordinator, and Complementizer) do not form phrases of their own but function inside a Noun Phrase (NP), Verb Phrase (VP), Adjective Phrase (AdjP), Adverb Phrase (AdvP), or Preposition Phrase (PP).

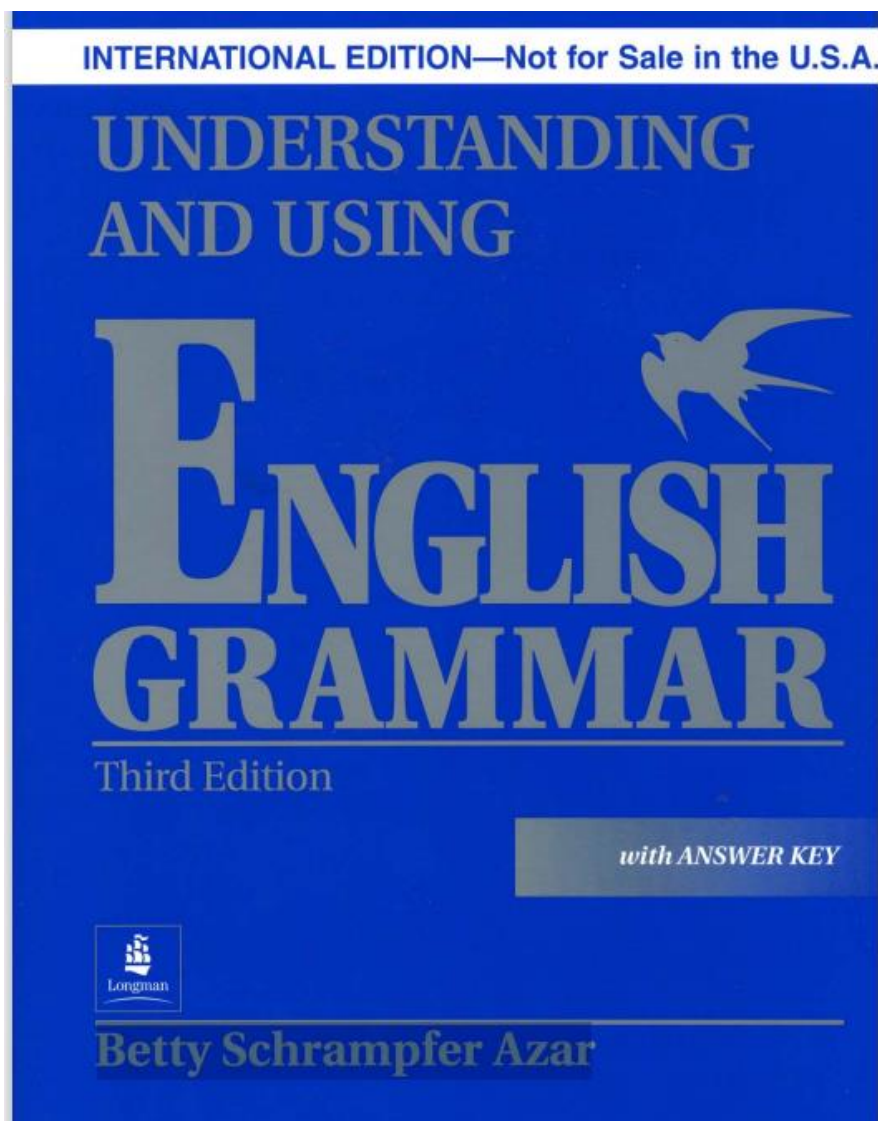
In Section 1, the structure of phrases is studied and in Section 2, the structure for a full sentence and its phrases is discussed. The head of a phrase is important, but often this is intuitively understood. Phrases are very often coordinated by means of *and* or *or* and a structure for this is given in Section 3. In Section 4, more precise rules are given on how to identify phrases, and in Section 5 on how to construct trees.

1. The phrase

1.1 The Noun Phrase (NP)


An NP such as *the nice unicorn* is built around a noun, namely, *unicorn*. This noun is called the head of the NP. In addition to the head, NPs can contain determiners (e.g. *the*) and adjectives (*nice*) as well as other elements. A tree structure for an NP is given in (1). The lines, called ‘branches’, indicate how the phrase is divided up, and branches come together in ‘nodes’:

24. Betty Schramper Azar (2006, P.239)



CHAPTER 12

Noun Clauses



CONTENTS			
12-1	Introduction	12-5	Noun clauses beginning with <i>that</i>
12-2	Noun clauses beginning with a question word	12-6	Quoted speech
12-3	Noun clauses beginning with <i>whether</i> or <i>if</i>	12-7	Reported speech: verb forms in noun clauses
12-4	Question words followed by infinitives	12-8	Using the subjunctive in noun clauses
		12-9	Using <i>-ever</i> words

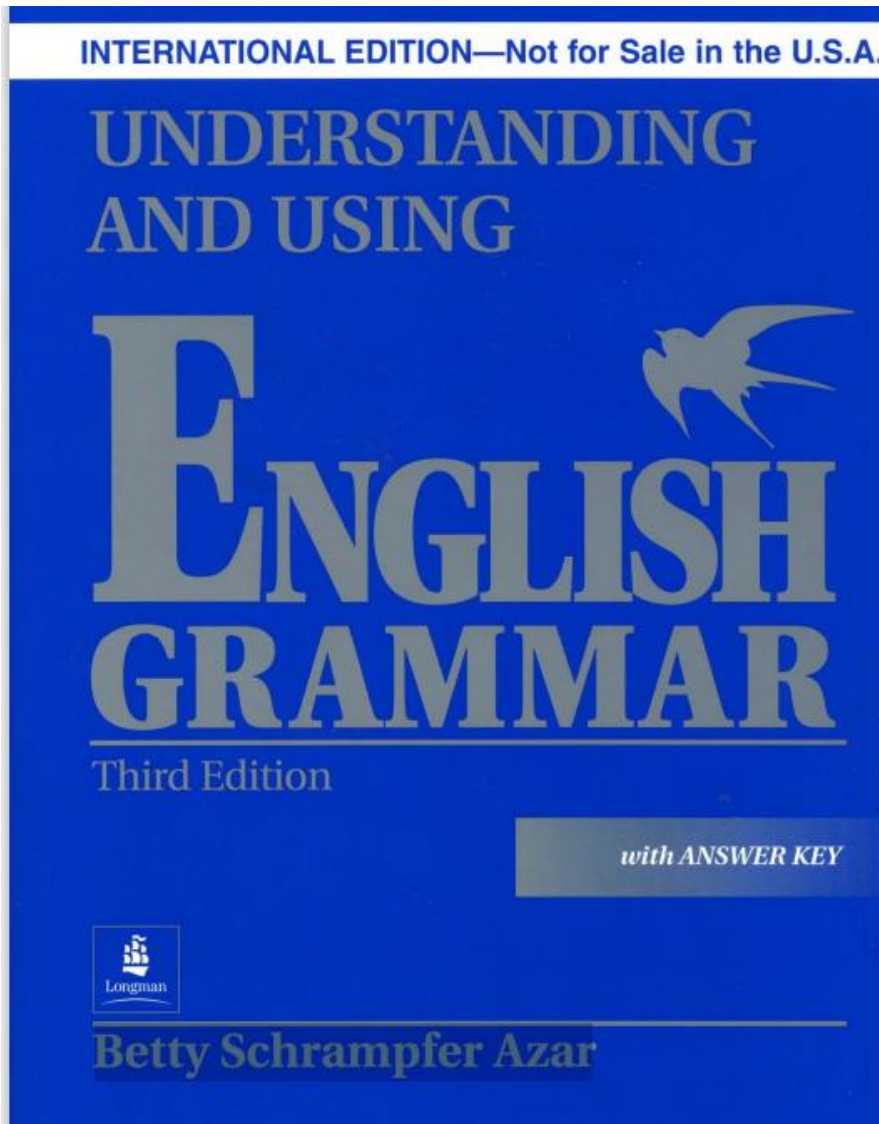
12-1 INTRODUCTION

<p><u>independent clause</u></p> <p>(a) Sue lives in Tokyo.</p> <p><u>independent clause</u></p> <p>(b) Where does Sue live?</p>	<p>A clause is a group of words containing a subject and a verb.*</p> <p>An <i>independent clause</i> (or <i>main clause</i>) is a complete sentence. It contains the main subject and verb of a sentence. Examples (a) and (b) are complete sentences. (a) is a statement, and (b) is a question.</p>
<p><u>dependent clause</u></p> <p>(c) where Sue lives</p>	<p>A <i>dependent clause</i> (or <i>subordinate clause</i>) is not a complete sentence. It must be connected to an independent clause. Example (c) is a dependent clause.</p>
<p><u>indep. cl.</u> <u>dependent cl.</u></p> <p>(d) I know where Sue lives.</p>	<p>Example (d) is a complete sentence. It has an independent clause with the main subject (<i>I</i>) and verb (<i>know</i>) of the sentence. <i>Where Sue lives</i> is a dependent clause connected to an independent clause. <i>Where Sue lives</i> is called a <i>noun clause</i>.</p>
<p><u>noun phrase</u></p> <p>(e) <i>His story</i> was interesting.</p> <p><u>noun clause</u></p> <p>(f) <i>What he said</i> was interesting.</p>	<p>A <i>noun phrase</i> is used as a subject or an object.</p> <p>A <i>noun clause</i> is used as a subject or an object. In other words, a noun clause is used in the same ways as a noun phrase.</p> <p>In (e): <i>His story</i> is a noun phrase. It is used as the subject of the sentence.</p> <p>In (f): <i>What he said</i> is a noun clause. It is used as the subject of the sentence. The noun clause has its own subject (<i>he</i>) and verb (<i>said</i>).</p>
<p><u>noun phrase</u></p> <p>(g) I heard <i>his story</i>.</p> <p><u>noun clause</u></p> <p>(h) I heard <i>what he said</i>.</p>	<p>In (g): <i>his story</i> is a noun phrase. It is used as the object of the verb <i>heard</i>.</p> <p>In (h): <i>what he said</i> is a noun clause. It is used as the object of the verb <i>heard</i>.</p>
<p><u>noun phrase</u></p> <p>(i) I listened to <i>his story</i>.</p> <p><u>noun clause</u></p> <p>(j) I listened to <i>what he said</i>.</p>	<p>In (i): <i>his story</i> is a noun phrase. It is used as the object of the preposition <i>to</i>.</p> <p>In (j): <i>what he said</i> is a noun clause. It is used as the object of the preposition <i>to</i>.</p>

*A *phrase* is a **group** of words that does NOT contain a subject and a verb.

**See Appendix Unit B for more information about question words and question forms.

25. Betty Schramper Azar (2006, P.267)



Independent Clauses

An **independent clause** contains a subject and a verb and expresses a complete thought. It can stand alone as a sentence by itself. An independent clause is formed with

subject + verb (+ complement)
<p>Students normally spend four years in college.</p> <p>I will declare my major¹ now, but I may change it later.</p> <p>Many international students experience culture shock when they come to the United States.</p>

Dependent Clauses

A **dependent clause** begins with a subordinator such as *when, while, if, that, or who*. A dependent clause does not express a complete thought and cannot stand alone as a sentence by itself. A dependent clause is formed with

subordinator + subject + verb (+ complement)
<p>... although students normally spend four years in college ...</p> <p>... if I declare my major now ...</p> <p>... when they come to the United States ...</p> <p>... who was accepted at Harvard University ...</p> <p>... that the experiment was a success ...</p>

A partial list of subordinators follows in the chart of clause connectors. Study the chart, and then refer to it when you do Practice I.

Clause Connectors

Three groups of words are used to connect clauses in order to form different kinds of sentences. They are subordinators (subordinating conjunctions), coordinators (coordinating conjunctions), and conjunctive adverbs.

¹ **declare my major**: officially register a major field of study with the university

26. Oshima and Hogue (2001, P.153)

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CHAPTER 13

Adjective Clauses

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13-4	Adjective clause pronouns used as the object of a preposition	13-12	Using noun + <i>of which</i>
13-5	Usual patterns of adjective clauses	13-13	Using <i>which</i> to modify a whole sentence
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13-8	Using <i>when</i> in adjective clauses		

13-1 INTRODUCTION

CLAUSE: *A clause is a group of words containing a subject and a verb.*

INDEPENDENT CLAUSE: *An independent clause is a complete sentence. It contains the main subject and verb of a sentence. (It is also called "a main clause.")*

DEPENDENT CLAUSE: *A dependent clause is not a complete sentence. It must be connected to an independent clause.*

ADJECTIVE CLAUSE: *An adjective clause is a dependent clause that modifies a noun. It describes, identifies, or gives further information about a noun. (An adjective clause is also called "a relative clause.")*

ADJECTIVE CLAUSE PRONOUNS: *An adjective clause uses pronouns to connect the dependent clause to the independent clause. The adjective clause pronouns are *who, whom, which, that, and whose*. (Adjective clause pronouns are also called "relative pronouns.")*

27. Andrew Carnie (2013, P.124)

X
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Syntax

A Generative Introduction

Third Edition



Andrew Carnie

 **WILEY-BLACKWELL**

A node immediately dominates another if there is only one branch between them.

- 22) *Immediately dominate*: Node A immediately dominates node B if there is no intervening node G that is dominated by A, but dominates B. (In other words, A is the first node that dominates B.)

In (21), M dominates all the other nodes in the tree, but it only immediately dominates N and O. It does not immediately dominate any of the other nodes because N and O intervene.

There is an informal set of terms that we frequently use to refer to immediate domination. This set of terms is based on the fact that syntactic trees look a bit like family trees. If one node immediately dominates another, it is said to be the *mother*; the node that is immediately dominated is called the *daughter*. In the tree above in (21), N is D's mother and D is N's daughter. We can even extend the analogy (although this is pushing things a bit) and call M D's grandmother.

- 23) *Mother*: A is the mother of B if A immediately dominates B.

- 24) *Daughter*: B is the daughter of A if B is immediately dominated by A.

Closely related to these definitions is the definition of *sister*:

- 25) *Sisters*: Two nodes that share the same mother.

With this set of terms in place we can now redefine our definitions of root nodes, terminal nodes, and non-terminals a little more rigorously:

- 26) *Root node (revised)*: The node that dominates everything, but is dominated by nothing. (The node that is no node's daughter.)

- 27) *Terminal node (revised)*: A node that dominates nothing. (A node that is not a mother.)

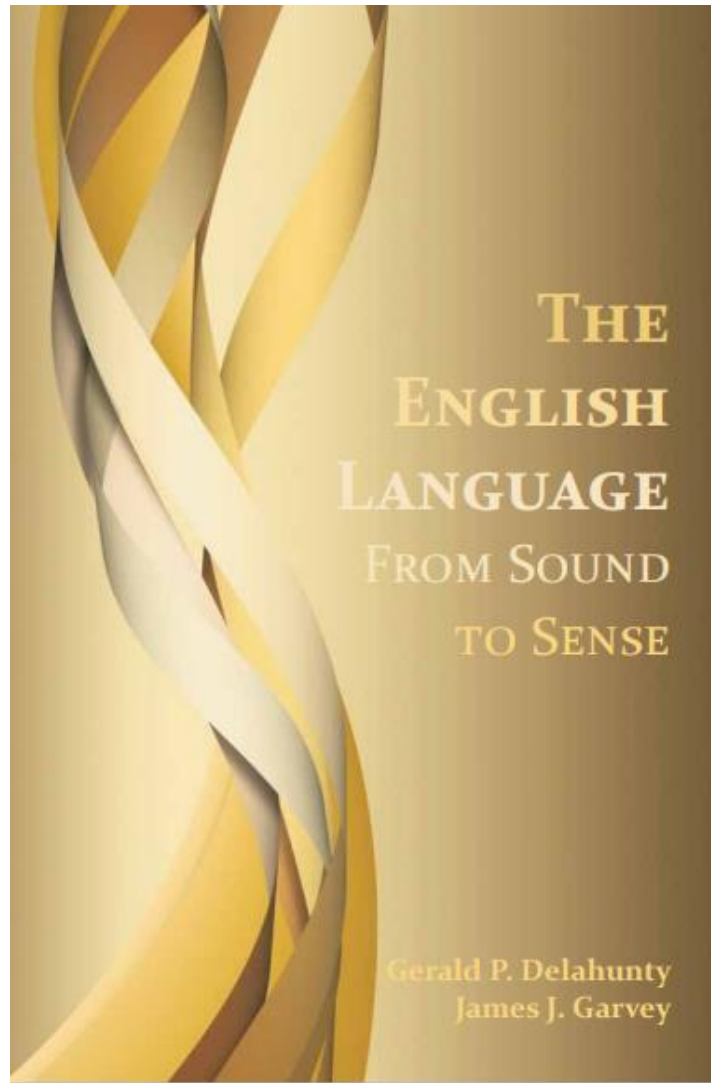
- 28) *Non-terminal node (revised)*: A node that dominates something. (A node that is a mother.)

We defined "constituent" in terms of domination, and from that we derived the "constituent of" relation (essentially the opposite of domination). We can also define a local variety of the "constituent of" relation that is the opposite of immediate domination:

- 29) *Immediate constituent of*: B is an immediate constituent of A if and only if A immediately dominates B.

This ends our discussion of the vertical axis of syntactic trees. Next we consider horizontal relations.

28. Gerald P. Delahunty James J. Garvey (2010, P.275)



would say that this formulation is more complex than it needs to be because it fails to articulate a more general pattern. The broader generalization is that these grammatical relations are always expressed as phrases and phrases can consist of either a single word or a unified group of words. Below, we will show how and when words can be phrases.

Second, single words and phrases may be replaced by identical proforms. We can replace the subjects of both (1) and (2) with *They*:

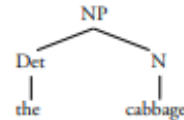
- (1) a. They fly.
 (2) a. They fly.

Again, there are two inferences we can draw: (a) pronouns can replace either a noun or a noun phrase, or (b) pronouns replace phrases. Again, (b) is more general, but it does require us to specify when words can function as phrases.

A single word may be a phrase when it is the **head** of that phrase. The head of a phrase is the phrase's central element; any other words (or phrases) in the phrase orient to it, either by modifying it or complementing it. The head determines the phrase's grammatical category: if the head is a noun, the phrase is a noun phrase; if the head is a verb, the phrase is a verb phrase, and so on. The head can also determine the internal grammar of the phrase: if the head is a noun, then it may be modified by an article; if the head is a transitive verb, it must be complemented by a direct object. Heads also determine such things as the number of their phrases: if the head of an NP is singular, then the NP is singular; if the head is plural, then the NP is plural. Crucially, the head of a phrase may occur alone in the phrase, that is, without modification or complementation.

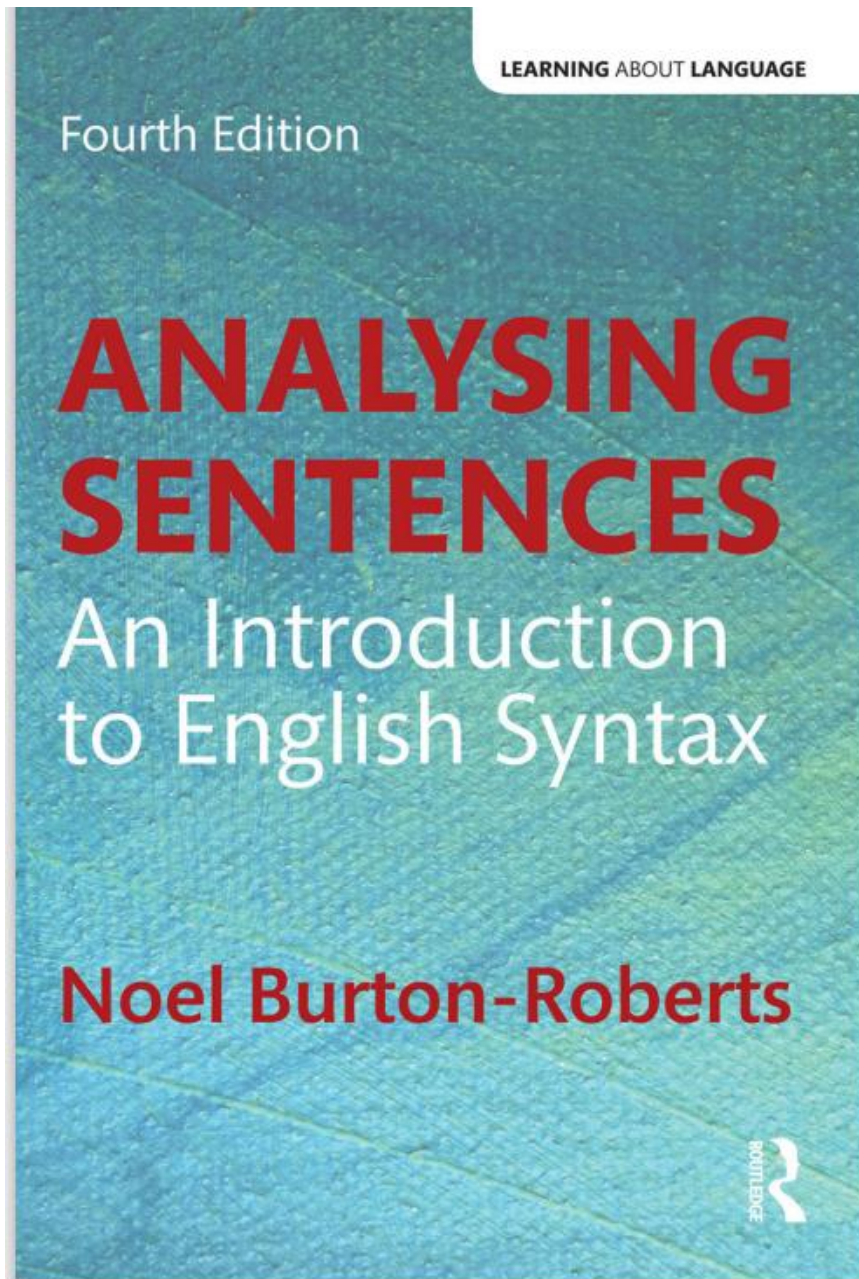
Let's look a little closer at what expressions may be replaced by pronouns. Specifically, let's test the claim made in many textbooks that pronouns can replace nouns or noun phrases. Consider (3):

- (3) Fooster hates the cabbage.



If we replace the NP *the cabbage* in (3) with the pronoun *it* we get the perfectly grammatical (3a):

29. Noel Burton Roberts (2011, P.32)



and as such are represented at the same level of structure. The NP (e.g. *the ducks*) has its subject function in respect of its sister, the VP (e.g. *are paddling away*). And the VP has its predicate function in respect of the subject NP. Notice that subject and predicate are dependent on each other (mutually dependent). An NP only functions as a subject in the presence of a sister VP, and a VP only functions as predicate in the presence of a sister NP. The two together are required to form a complete sentence; neither can be omitted in a complete and well-formed sentence. They are both **OBLIGATORY** in the structure of sentences.

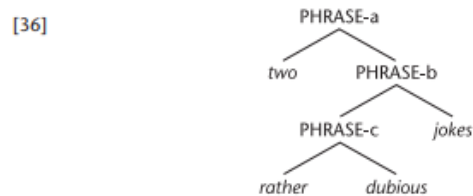
Anticipating later chapters, let's take a first look at the other main functions. There are three general concepts here. These are **HEAD**, and the two functions that other elements have in relation to heads, **MODIFIER** and **COMPLEMENT**.

■ Head

The **HEAD** of a phrase is the element that the phrase is **CENTRED** on. It is the one **essential – OBLIGATORY – element** in that phrase. If you think of the phrase as a solar system, then the head is the sun. Everything else in the phrase revolves around and depends on the head. Just as a system is a *solar* system because it's centred on a *sun*, so a phrase is *Noun* Phrase because it's centred on a *Noun*. Similarly for *Verb* Phrase. So: **it's the category of the head of a phrase that determines the category of the phrase.**

■ The modifier~head relation

Consider the structure I assigned to *two rather dubious jokes* in Exercise 3 of Chapter 1. (Since I'm concentrating on the relationship between constituency and function here, I'm omitting the category labels which would be required for a complete analysis.)

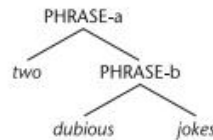


There are three sister relationships in [36]: (1) between *two* and PHRASE-b (*rather dubious jokes*), (2) between PHRASE-c (*rather dubious*) and *jokes*, and (3) between *rather* and *dubious*. The relation that holds between these sister constituents is of the same general kind, namely **MODIFICATION**.

30. Noel Burton Roberts (2011, P.35)

By the way, *dubious jokes* is another example of a word-sequence that forms a phrasal constituent in some contexts but not others. We've seen that, in the context of *rather*, we need to relate *rather* and *dubious* to each other before relating the whole phrase *rather dubious* to *jokes*. So *dubious* and *jokes* don't form a constituent in the context of *rather*. In the absence of *rather* (or any other modifier of *dubious*), on the other hand, *dubious* and *jokes* may well form a constituent, as they do in the phrase *two dubious jokes*.

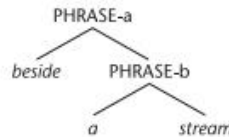
[42]



■ The head-complement relation

We have now looked at the two-way function/mutual dependency of subject and predicate and several examples of the one-way function/dependency of modifier and head. Now look again at the phrase *beside a stream* (from the sentence *Old Sam sunbathed beside a stream*) in the light of the discussion in this chapter. Here's the phrase marker. How many sister relations are there in the phrase?

[43]



At the lowest level of structure, *a* and *stream* are sisters and, at the next level up, *beside* and PHRASE-b (*a stream*) are sisters. In the last chapter I showed that *a* has its function only in respect of *stream*. But what kind of relationship holds between *beside* and PHRASE-b (*a stream*)? Try to determine whether it's a TWO-WAY DEPENDENCY (both elements obligatory) or the ONE-WAY DEPENDENCY OF (OPTIONAL) MODIFIER AND (OBLIGATORY) HEAD. You will need to consider the phrase in the context of its sentence, *Old Sam sunbathed beside a stream*.

The way to do this, remember, is to see if either of the constituents of the phrase can be omitted individually in the context of the sentence. In fact, neither can be omitted. Both [44] (with *beside* omitted) and [45] (with *a stream* omitted) are ungrammatical:

[44] *Old Sam sunbathed a stream

[45] *Old Sam sunbathed beside

A DICTIONARY OF
Literary Terms
and **Literary Theory**

FIFTH EDITION

J. A. CUDDON

Revised by
M. A. R. Habib

Associate Editors
Matthew Birchwood, Vedrana Velickovic,
Martin Dines and Shanyyn Fiske

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the *ficelle* are Mrs Heaney in Edith Wharton's *The Custom of the Country* (1913), and, brilliantly, James's own Maisie Farange in *What Maisie Knew* (1897), the naïve but preternaturally wise child in whom all the warring parents, step-parents and lovers casually confide, and through whose eyes the story is told. See CONFIDANT; NARRATOR.

fiction A vague and general term for an imaginative work, usually in prose. At any rate, it does not normally cover poetry and drama though both are a form of fiction in that they are moulded and contrived – or feigned. Fiction is now used in general of the novel, the **short story**, the *novella* (*qq.v.*) and related genres.

figurae causae In Classical rhetoric (*q.v.*) the term denotes the stylistic shape and pattern of a speech in relation to the speaker's purpose.

figurate poem See ALTAR POEM; PATTERN POETRY.

figurative language Language which uses figures of speech; for example, metaphor, simile, alliteration (*qq.v.*). Figurative language must be distinguished from literal (*q.v.*) language. 'He hared down the street' or 'He ran like a hare down the street' are figurative (metaphor and simile respectively). 'He ran very quickly down the street' is literal. See HYPERBOLE; METONYMY; SYNECDOCHE.

fin de siècle See DECADENCE.

finida (Sp 'finish') One or more lines of verse providing the conclusion of a *cantiga* or *decir* (*qq.v.*). The equivalent of the Provençal *tornada* (*q.v.*).

fit The division of a poem, a canto (*q.v.*). The term may have acquired its meaning from the ON *fit* 'a hem', or the German *Fitze*, a skein of yarn or the thread with which the weavers marked off a day's work. Lewis Carroll's *The Hunting of the Snark* consists of eight fits. Now hardly ever used. See STANZA; STAVE.

fixed form The term denotes a form in poetry for which there are prescribed and established rules with regard to the number of lines, the meter, line length, rhyme and so forth. For example, the sonnet, *rondeau* and *villanelle* (*qq.v.*). There are many of them. Most OF forms are fixed. Before c. 1800 most poetry was written according to traditional and received patterns and it was believed that particular forms were appropriate for certain subjects and ideas. The 18th c. English poets had great respect for traditional structure and conventional models, hence the liking for imitation (*q.v.*). This respect for established form did not prevent them from achieving a high degree of originality.

Late in the 18th c. and at the beginning of the 19th c. there was a pronounced turning away from traditional structures to what is known as 'organic form' (*q.v.*), where the structure follows the ideas and content. This is particularly noticeable in the development of the ode (*q.v.*). Later there

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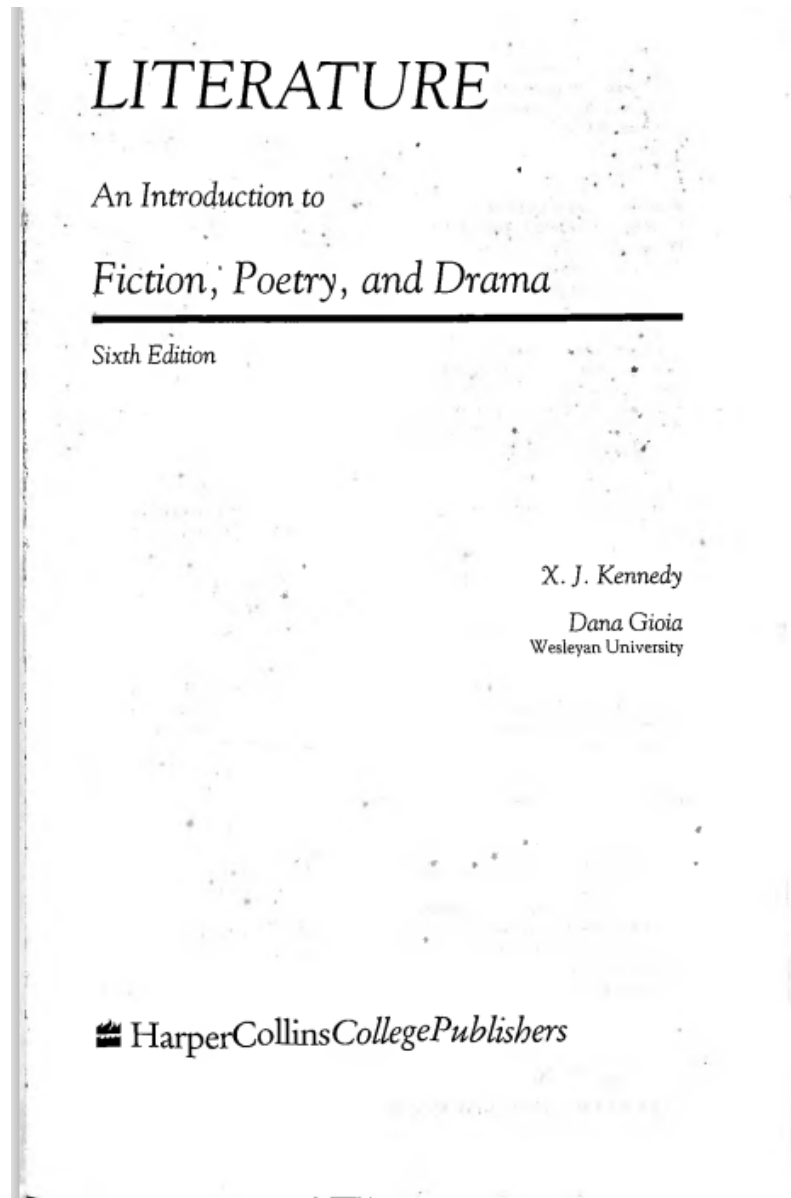
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31. Kennedy and Gioia (2010, P.9)



and without looking round, replied, "I have heard that in the State of Ch'u there is a sacred tortoise, which has been dead three thousand years, and which the prince keeps packed up in a box on the altar in his ancestral shrine. Now do you think that tortoise would rather be dead and have its remains thus honored, or be alive and wagging its tail in the mud?" The two officials answered that no doubt it would rather be alive and wagging its tail in the mud; whereupon Chuang Tzu cried out "Begone! I too elect to remain wagging my tail in the mud."

QUESTIONS

1. What part of this story is the exposition? How many sentences does Chuang Tzu use to set up the dramatic situation?
2. Why does the protagonist change the subject and mention the sacred tortoise? Why doesn't he answer the request directly and immediately? Does it serve any purpose that Chuang Tzu makes the officials answer a question to which he knows the answer?
3. What does this story tell us about the protagonist Chuang Tzu's personality?

PLOT

Like a fable, the Grimm brothers' tale seems stark in its lack of detail and in the swiftness of its telling. Compared with the fully portrayed characters of many modern stories, the characters of father, son, king, princess, and even Death himself seem hardly more than stick figures. It may have been that to draw ample characters would not have contributed to the storytellers' design; that, indeed, to have done so would have been inartistic. Yet "Godfather Death" is a compelling story. By what methods does it arouse and sustain our interest?

From the opening sentence of the tale, we watch the unfolding of a **dramatic situation**: a person is involved in some conflict. First, this character is a poor man with children to feed, in conflict with the world; very soon, we find him in conflict with God and with the Devil besides. Drama in fiction occurs in any clash of wills, desires, or powers—whether it be a conflict of character against character, character against society, character against some natural force, or, as in "Godfather Death," character against some supernatural entity.

Like any shapely tale, "Godfather Death" has a beginning, a middle, and an end. In fact, it is unusual to find a story so clearly displaying the elements of structure that critics have found in many classic works of fiction and drama. The tale begins with an **exposition**: the opening portion that sets the scene (if any), introduces the main characters, tells us what happened before the story opened, and provides any other background information that we need in order to understand and care about the events to follow. In "Godfather Death," the exposition is brief—all in the opening paragraph. The middle section of the story begins with Death's giving the herb to the boy, and his warning not to defy him. This moment introduces a new conflict (a **complication**), and by this time it is clear that the son and not the father is to be the central human character of the story. Death's godson is the principal person who strives: the **protagonist** (a better term than **hero**, for it may apply equally well to a central character who is not especially brave or virtuous).

4 Setting

By the **setting** of a story, we mean its time and place. The word might remind you of the metal that holds a diamond in a ring, or of a set used in a play—perhaps a bare chair in front of a slab of painted canvas. But often, in an effective short story, setting may figure as more than mere background or underpinning. It can make things happen. It can prompt characters to act, bring them to realizations, or cause them to reveal their inmost natures.

To be sure, the idea of setting includes the physical environment of a story: a house, a street, a city, a landscape, a region. (*Where* a story takes place is sometimes called its **locale**.) Physical places mattered so greatly to French novelist Honoré de Balzac that sometimes, before writing a story set in a town, he would visit that town, select a few houses, and describe them in detail, down to their very smells. “The place in which an event occurred,” Henry James admirably said of him, “was in his view of equal moment with the event itself . . . it had a part to play; it needed to be made as definite as anything else.”

But besides place, setting may crucially involve the *time* of the story—hour, year, or century. It might matter greatly that a story takes place at dawn, or on the day of the first moon landing. When we begin to read a historical novel, we are soon made aware that we aren’t reading about life in the 1990s. In *The Scarlet Letter*, nineteenth-century author Nathaniel Hawthorne, by a long introduction and a vivid opening scene at a prison door, prepares us to witness events in the Puritan community of Boston in the earlier seventeenth century. This setting, together with scenes of Puritan times we recall from high school history, helps us understand what happens in the novel. We can appreciate the shocked agitation in town when a woman is accused of adultery: she has given illegitimate birth. Such an event might seem more nearly common today, but in the stern, God-fearing New England Puritan community, it was a flagrant defiance of church and state, which were all-powerful (and were all one). That reader will make no sense of *The Scarlet Letter* who ignores its setting—if to ignore the setting is possible, so much attention does Hawthorne pay to it.

3 Character

From popular fiction and drama, both classic and contemporary, we are acquainted with many stereotyped characters. Called **stock characters**, they are often known by some outstanding trait or traits: the *bragging soldier* of Greek and Roman comedy, the Prince *Charming* of fairy tales, the *mad scientist* of horror movies, the *loyal sidekick* of Westerns, the *greedy explorer* of Tarzan films, the *brilliant but alcoholic brain surgeon* of medical thrillers on television. Stock characters are especially convenient for writers of commercial fiction: they require little detailed portraiture, for we already know them well. Most writers of the literary story, however, attempt to create characters who strike us not as stereotypes but as unique individuals. Although stock characters tend to have single dominant virtues and vices, characters in the finest contemporary short stories tend to have many facets, like people we meet.

A **character**, then, is presumably an imagined person who inhabits a story—although that simple definition may admit to a few exceptions. In George Stewart's novel *Storm*, the protagonist is the wind; in Richard Adams's *Watership Down*, the main characters are rabbits. But usually we recognize, in the main characters of a story, human personalities that become familiar to us. If the story seems "true to life," we generally find that its characters act in a reasonably consistent manner, and that the author has provided them with **motivation**: sufficient reason to behave as they do. Should a character behave in a sudden and unexpected way, seeming to deny what we have been told about his nature or personality, we trust that he had a reason and that sooner or later we will discover it. This is not to claim that *all* authors insist that their characters behave with absolute consistency, for (as we shall see later in this chapter) some contemporary stories feature characters who sometimes act without apparent reason. Nor can we say that, in good fiction, characters never change or develop. In *A Christmas Carol*, Charles Dickens tells how Ebenezer Scrooge, a tightfisted

6 Theme

The **theme** of a story is whatever general idea or insight the entire story reveals. In some stories the theme is unmistakable. At the end of Aesop's fable about the council of the mice that can't decide who will bell the cat, the theme is stated in the moral: *It is easier to propose a thing than to carry it out.* In a work of commercial fiction, too, the theme (if any) is usually obvious. Consider a typical detective thriller in which, say, a rookie policeman trained in scientific methods of crime detection sets out to solve a mystery sooner than his rival, a veteran sleuth whose only laboratory is carried under his hat. Perhaps the veteran solves the case, leading to the conclusion (and the theme), "The old ways are the best ways after all." Another story by the same writer might dramatize the same rivalry but reverse the outcome, having the rookie win, thereby reversing the theme: "The times are changing! Let's shake loose from old-fashioned ways." In such commercial entertainments, a theme is like a length of rope with which the writer, patently and mechanically, trusses the story neatly (usually too neatly) into meaningful shape.

In literary fiction, a theme is seldom so obvious. That is, a theme need not be a moral or a message; it may be what the happenings add up to, what the story is about. When we come to the end of a finely wrought short story such as Ernest Hemingway's "A Clean, Well-Lighted Place" (Chapter Five), it may be easy to sum up the plot—to say what happens—but it is more difficult to sum up the story's main idea. Evidently, Hemingway relates events—how a younger waiter gets rid of an old man and how an older waiter then goes to a coffee bar—but in themselves these events seem relatively slight, though the story as a whole seems large (for its size) and full of meaning. For the meaning, we must look to other elements in the story besides what happens in it. And it is clear that Hemingway is most deeply interested in the thoughts and feelings of the older waiter, the character who has more and more to say as the story progresses, until at the end

2 Point of View

In the opening lines of *Adventures of Huckleberry Finn*, Mark Twain takes care to separate himself from the leading character, who is to tell his own story:

You don't know about me, without you have read a book by the name of *The Adventures of Tom Sawyer*, but that ain't no matter. That book was made by Mr. Mark Twain, and he told the truth, mainly.

Twain wrote the novel, but the **narrator** or speaker is Huck Finn, the one from whose perspective the story is told. Obviously, in *Huckleberry Finn*, the narrator of a story is not the same person as the "real-life" author, the one given the byline. In employing Huck as his narrator, Twain selects a special angle of vision: not his own, exactly, but that of a resourceful boy moving through the thick of events, with a mind at times shrewd, at other times innocent. Through Huck's eyes, Twain takes in certain scenes, actions, and characters and—as only Huck's angle of vision could have enabled Twain to do so well—records them memorably.

Not every narrator in fiction is, like Huck Finn, a main character, one in the thick of events. Some narrators play only minor parts in the stories they tell; others take no active part at all. In the tale of "Godfather Death," we have a narrator who does not participate in the events he recounts. He is not a character in the story but is someone not even named, who stands at some distance from the action recording what the main characters say and do; recording also, at times, what they think, feel, or desire. He seems to have unlimited knowledge: he even knows the mind of Death, who "because he wanted revenge" let the doctor's candle go out. More humanly restricted in their knowledge, other narrators can see into the mind of only one character. They may be less willing to express opinions than the narrator of "Godfather Death" ("He ought to have remembered his godfather's warning"). A story may even be told by a narrator who seems so impartial and aloof that he limits himself to reporting only overheard

5 *Tone and Style*

In many Victorian novels it was customary for some commentator, presumably the author, to interrupt the story from time to time, remarking upon the action, offering philosophic asides, or explaining the procedures to be followed in telling the story.

Two hours later, Dorothea was seated in an inner room or boudoir of a handsome apartment in the Via Sistina. I am sorry to add that she was sobbing bitterly . . .

—George Eliot in *Middlemarch* (1873)

But let the gentle-hearted reader be under no apprehension whatsoever. It is not destined that Eleanor shall marry Mr. Slope or Bertie Stanhope.

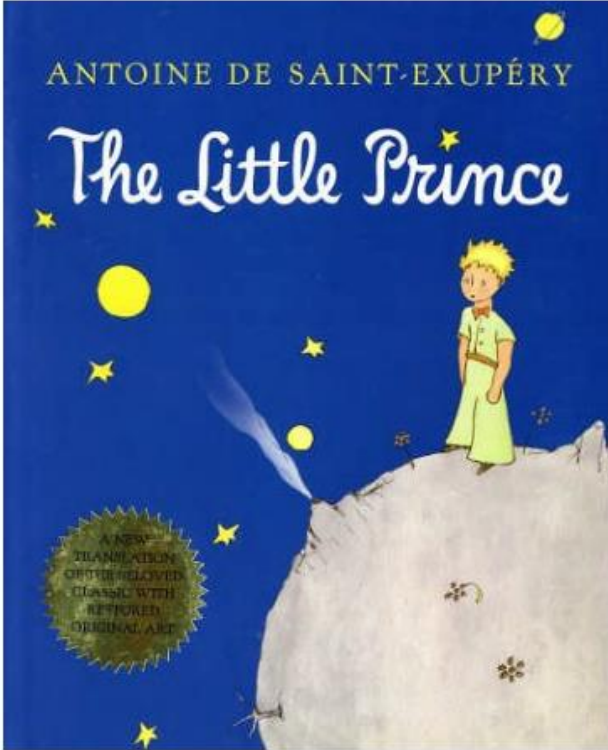
—Anthony Trollope in *Barchester Towers* (1857)

And, as we bring our characters forward, I will ask leave, as a man and a brother, not only to introduce, but occasionally step down from the platform, and talk about them: if they are good and kindly, to love them and shake them by the hand; if they are silly, to laugh at them confidentially in the reader's sleeve; if they are wicked and heartless, to abuse them in the strongest terms which politeness admits of.

—William Makepeace Thackeray in *Vanity Fair* (1847–1848)

Of course, the voice of this commentator was not identical with that of the “real life” author—the one toiling over an inkpot, worrying about publication deadlines and whether the rent would be paid. At times the living author might have been far different in personality from that usually wise and cheerful intruder who kept addressing the reader of the book. Much of the time, to be sure, the author probably agreed with whatever attitudes his alter ego expressed. But, in effect, the author created the character of a commentator to speak for him and throughout the novel artfully sustained that character's voice.

37. Antione De Saint-Exupery (2003)



The America Edition's Cover



SAINT-EXUPÉRY, Antoine de (1900-44). An adventurous pilot and a lyrical poet, Antoine de Saint-Exupéry conveyed in his books the solitude and mystic grandeur of the early days of flight. He described dangerous adventures in the skies and also wrote the whimsical children's fable 'The Little Prince'.

Antoine-Marie-Roger de Saint-Exupéry was born on June 29, 1900, in Lyon, France. In the 1920s he helped establish airmail routes overseas. During World War II he flew as a military reconnaissance pilot. After the Germans occupied France in 1940, he escaped to the United States. He rejoined the air force in North Africa in 1943. During what was to have been his final reconnaissance mission over the Mediterranean

Sea, he died when his plane was shot down on July 31, 1944.

Saint-Exupéry's first book, 'Southern Mail', was about the life and death of an airmail pilot. It was published in French in 1929. Other books include 'Night Flight' (1931), about the first airline pilots, and 'Wind, Sand, and Stars' (1939), in which he describes his feelings during flights over the desert.

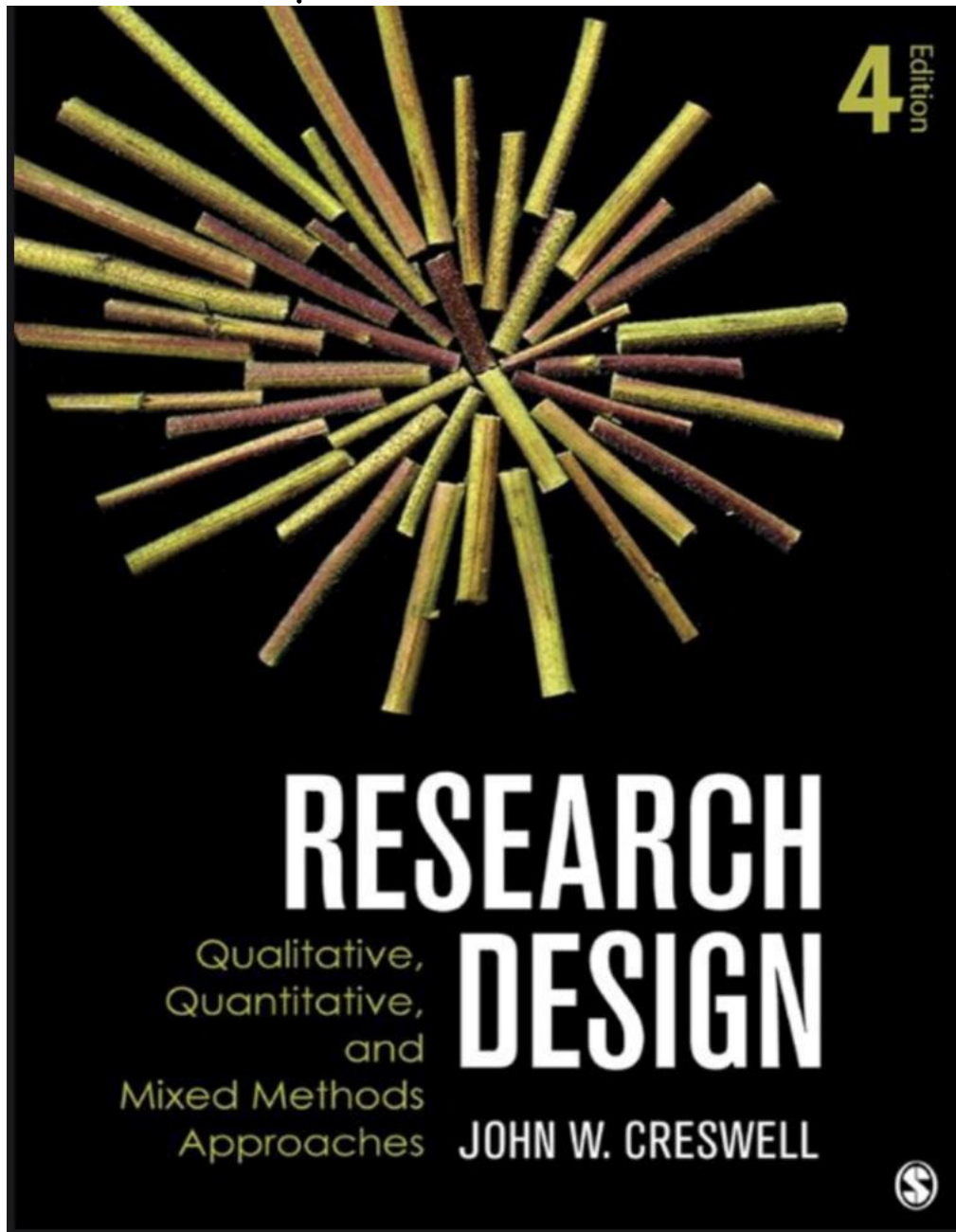
'The Little Prince' (1943), which in a way is really a children's book for grown-ups, was written during Saint-Exupéry's stay in the United States. A gentle and thoughtful book, it tells the story of a boy who lives alone on a tiny planet.

A final volume of reflections, which provides an insight into the author's views on the meaning of life, is 'The Wisdom of the Sands' (1948). This book was published after the pilot's death.

-- From Compton's Interactive Encyclopedia

CHAPTER III

38. John Creswell (2014, P.32)



THE THREE APPROACHES TO RESEARCH

In this book, three research approaches are advanced: (a) qualitative, (b) quantitative, and (c) mixed methods. Unquestionably, the three approaches are not as discrete as they first appear. Qualitative and quantitative approaches should not be viewed as rigid, distinct categories, polar opposites, or dichotomies. Instead, they represent different ends on a continuum (Newman & Benz, 1998). A study *tends* to be more qualitative than quantitative or vice versa. **Mixed methods research** resides in the middle of this continuum because it incorporates elements of both qualitative and quantitative approaches.

Often the distinction between **qualitative research** and **quantitative research** is framed in terms of using words (qualitative) rather than numbers (quantitative), or using closed-ended questions (quantitative hypotheses) rather than open-ended questions (qualitative interview questions). A more complete way to view the gradations of differences between them is in the basic philosophical assumptions researchers bring to the study, the types of research strategies used in the research (e.g., quantitative experiments or qualitative **case studies**), and the specific methods employed in conducting these strategies (e.g., collecting data quantitatively on instruments versus collecting qualitative data through observing a setting). Moreover, there is a historical evolution to both approaches—with the quantitative approaches dominating the forms of research in the social sciences from the late 19th century up until the mid-20th century. During the latter half of the 20th century, interest in qualitative research increased and along with it, the development of mixed methods research. With this background, it should prove helpful to view definitions of these three key terms as used in this book:

- *Qualitative research* is an approach 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. The final written report has a flexible structure. Those who engage in this form of inquiry support a way of looking at research that honors an inductive style, a focus on individual meaning, and the importance of rendering the complexity of a situation.

- *Quantitative research* is an approach 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. Like qualitative researchers, those who engage in this form of inquiry have assumptions about testing theories deductively, building in protections against bias, controlling for alternative explanations, and being able to generalize and replicate the findings.

- *Mixed methods research* is an approach to inquiry involving collecting both quantitative and qualitative data, integrating the two forms of data, and using distinct designs that may involve philosophical assumptions and theoretical frameworks. The core assumption of this form of inquiry is that the combination of qualitative and quantitative approaches provides a more complete understanding of a research problem than either approach alone.

These definitions have considerable information in each one of them. Throughout this book, I

The Researcher's Role

As mentioned in the list of characteristics, qualitative research is interpretative research; the inquirer is typically involved in a sustained and intensive experience with participants. This introduces a range of strategic, ethical, and personal issues into the qualitative research process (Locke, Spirduso, & Silverman, 2013). With these concerns in mind, inquirers explicitly identify reflexively their biases, values, and personal background, such as gender, history, culture, and socioeconomic status (SES) that shape their interpretations formed during a study. In addition, gaining entry to a research site and the ethical issues that might arise are also elements of the researcher's role.

- Include statements about past experiences with the research problem or with the participants or setting that help the reader understand the connection between the researchers and the study. These experiences may involve participation in the setting, past educational or work experiences, or culture, ethnicity, race, SES, or other demographics that tie the researchers directly to the study.

- Be explicit, then, about how these experiences may potentially shape the interpretations the researchers make during the study. For example, the experiences may cause researchers to lean toward certain themes, to actively look for evidence to support their positions, and to create favorable or unfavorable conclusions about the sites or participants.

- Comment on connections between the researchers and the participants and on the research sites that may unduly influence the researchers' interpretations. "Backyard" research (Glesne & Peshkin, 1992) involves studying researchers own organization, or friends, or immediate work setting. This often leads to compromises in the researchers' ability to disclose information and raises issues of an imbalance of power between the inquirers and the participants. When researchers collect data at their own workplace (or when they are in a superior role to participants), the information may be convenient and easy to collect, but it may not be accurate information and may jeopardize the roles of the researchers and the participants. If studying the backyard is essential, then researchers hold the responsibility for showing how the data will not be compromised and how such information will not place the participants (or the researchers) at risk. In addition, multiple strategies for validation are necessary to demonstrate the accuracy of the information.

- Indicate steps taken to obtain permission from the institutional review board (IRB) (see [Chapter 4](#)) to protect the rights of human participants. Attach, as an appendix, the approval letter from the IRB and discuss the process involved in securing permissions.

- Discuss steps taken to gain entry to the setting and to secure permissions to study the participants or situation (Marshall & Rossman, 2011). It is important to gain access to research or archival sites by seeking the approval of **gatekeepers**, individuals at the site who provide access to the site and allow or permit the research to be done. A brief proposal might need to be developed and submitted for review to gatekeepers. Bogdan and Biklen (1992) advanced topics that could be addressed in such a proposal:

- Why was the site chosen for study?
- What activities will occur at the site during the research study?
- Will the study be disruptive?

39. John Cresswell (2018, P.205)

SIXTH EDITION

EDUCATIONAL RESEARCH

PLANNING, CONDUCTING, AND EVALUATING
QUANTITATIVE AND QUALITATIVE RESEARCH



JOHN W. CRESWELL
TIMOTHY C. GUETTERMAN

WHAT ARE THE FIVE PROCESS STEPS IN QUALITATIVE DATA COLLECTION?

There are five interrelated steps in the process of qualitative data collection. These steps should not be seen as linear approaches, but often one step in the process does follow another. The five steps are first to identify participants and sites to be studied and to engage in a sampling strategy that will best help you understand your central phenomenon and the research question you are asking. Second, the next phase is to gain access to these individuals and sites by obtaining permissions. Third, once permissions are in place, you need to consider what types of information will best answer your research questions. Fourth, at the same time, you need to design protocols or instruments for collecting and recording the information. Finally, and fifth, you need to collect data with special attention to potential ethical issues that may arise.

Some basic differences between quantitative and qualitative data collection are helpful to know at this point. Based on the general characteristics of qualitative research, qualitative data collection consists of collecting data using forms with general, emerging questions to permit the participant to generate responses, gathering word (text) or image (picture) data, and collecting information from a small number of individuals or sites. More specific points are the following:

- In *quantitative* research, we systematically identify our participants and sites through probability sampling; in *qualitative* research, we identify our participants and sites through purposeful sampling based on places and people that can best help us understand our central phenomenon.
- In both *quantitative* and *qualitative* research, we need permissions to begin our study, but in *qualitative* research, we need greater access to the site because we will typically go to the site and interview people or observe them. This process typically requires a greater level of participation from the site than does the *quantitative* research process.
- In both approaches, we collect data such as interviews, observations, and documents. In *qualitative* research, our approach relies on general interviews or observations so that we do not restrict the views of participants. We will not use someone else's instrument as in quantitative research and gather closed-ended information; instead, we will collect data with a few open-ended questions that we design.
- In both approaches, we need to record the information supplied by the participants. Rather than using predesigned instruments from someone else or instruments that we design, in qualitative research, we will record information on protocols we design ourselves that help us organize information reported by participants to each question.
- Finally, we will administer our procedures of *qualitative* data collection with sensitivity to the challenges and ethical issues of gathering information face-to-face and often in people's homes or workplaces. Studying people in their own environment creates challenges for the qualitative researcher that may not be present in *quantitative* research when investigators mail out anonymous questionnaires or bring individuals into the experimental laboratory.



Analyzing and Interpreting Qualitative Data

Analyzing qualitative data requires understanding how to make sense of text and images so that you can form answers to your research questions. In this chapter, you will learn about the six steps involved in analyzing and interpreting qualitative data: preparing and organizing the data, exploring and coding the database, describing findings and forming themes, representing and reporting findings, interpreting the meaning of the findings, and validating the accuracy of the findings.

By the end of this chapter, you should be able to:

- Identify the six steps in the process of analyzing and interpreting qualitative data.
- Describe how to prepare and organize the data for analysis.
- Describe how to explore and code the data.
- Use codes to build descriptions and themes.
- Construct a representation of and report qualitative findings.
- Make an interpretation of the qualitative findings.
- Advance validation for the accuracy of your findings.

After completing her first interview with a student, Maria starts the process of analyzing her qualitative data. She first transcribes the audio recording from the interview. She ends up with a 20-page transcript. As she reads the transcript, she writes some notes in the margins. These notes record her first impressions, such as “students need to protect themselves with weapons” or “everyone carries weapons.” She then proceeds to conduct interviews with more students and transcribes the audio recordings. Reading the transcripts, Maria asks herself, “What are the students saying that answers my research questions?” She learns that they are describing places in the school in which students likely carry weapons. In addition, she learns that certain themes or patterns emerge in their responses. She groups the student responses into five themes about the experiences of students carrying weapons in school: self-protection, common practice, hiding places, fear of being caught, and sanctions if caught. She develops a table that summarizes these themes and writes down how these themes reflect or differ from experiences reported by other researchers in the literature. She also revisits the themes with a few students in a focus group and asks them whether she has accurately identified their experiences.