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ISSN: 2289-2737 (online)

ISSN: 2289-3245 (print)

*The International
Journal of Language
Learning and Applied
Linguistics World*

(IJLLALW)
(IJLLALW)

Volume 2 (4), April 2013

ISSN: 2289-2737 (online)

ISSN: 2289-3245 (print)



IJLLALW

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NEGOTIATIONS OF POWER IN MULTILINGUAL UNIVERSITY ENVIRONMENTS

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ABSTRACT

This paper is a synthesis of seven studies which focus on interaction in multilingual university environments. These studies are synthesized to determine how power relations affect these interactions and what specific factors play a major role in influencing these power relations. Four codes were developed from previous literature on power and a review of the studies: identity, authority, control, and participation. In combining these four codes and analyzing the included studies, a cyclic model of influences on power relations in multilingual environments in higher education was identified. In creating this model, this paper attempts to provide a clear approach to viewing power in a multilingual setting, thereby informing students, teachers, administrators and researchers about how identity, authority, control, and participation influence interactions. A specific focus of this paper is on the importance of this model on foreign language teaching and foreign language teacher training.

KEYWORDS: multilingualism, power, control, identity, authority, participation

INTRODUCTION

Academia is a complex environment, composed of complicated relationships between students, faculty and administrators functioning at differing authoritative positions, creating multiple identities, and employing different levels of control in different scenarios. In addition, academia has become increasingly multilingual, with students and faculty from different parts of the world collaborating, competing and interacting in a number of different ways. Within this complex system, different power relations are created between its members, thus creating a continually fluctuating state of power relations.

The negotiations that these different members undertake play an important role in creating the fabric of academic society. Critically investigating the interactions between members of the academic community is significant because a deeper understanding of the influences at work both inside and outside the classroom can shed light on the intricate network of power relations in which our students and fellow educators find themselves, whether they are aware of these forces or not. As a number of studies have already investigated student-student and student-teacher interactions in a university setting, this paper seeks to synthesize the results of qualitative studies which have catalogued and analyzed such interactions. In doing so, I will show that a few key interactional components, specifically authority, control, participation, and identity, are present in each of the studies incorporated in this synthesis, and I propose these components play a pivotal role in the substantiation and reformulation of power relationships between members of the multilingual academic community.

Defining Power

As this synthesis aims to investigate the negotiations of power in multilingual university environments, it is first essential to define what is meant by power, how that power is negotiated, and how those negotiations both impact and are impacted by the multilingual university environment. I begin here with power and define the remaining two items in the following sections.

Power has always been a contested term with varying definitions, but few notions of what power is and how it operates in society have had as stunning an impact as the ideas of Michel Foucault. Foucault operationalizes power not as something preexisting, but rather something that is constantly constructed and reconstructed within a social environment, and the changes within the relations of power come about from both participant internal and external factors (Foucault, 1982). One of the primary reasons for my adoption of this idea of power is its ability to encompass both the factors involved in the negotiation of power, as well as its inclusion of dynamism. Dynamism is important for this study, because it provides hope for those people in situations of low-power that their status is not static and changes can and should be made to improve their status.

Another key element in this definition of power that is critical to academia is the inseparable link Foucault makes between power and knowledge, which can be seen in the popularized term power/knowledge in Foucaultian terms. As Hall (2001) explains, “[Foucault’s Theory] saw knowledge as always inextricably enmeshed in relations of power because it was always being applied to the regulation of social conduct in practice,” (pp. 75). Because knowledge and power are “enmeshed” in this theoretical approach to power and because academia is focused on the search for knowledge and understanding, Foucault’s theory appropriately applies to the context under investigation. Knowledge is significant to the multilingual environment as well, because knowledge can be understood in both general terms, but also used to identify linguistic aptitude, ability and status as important aspects of knowledge.

Negotiating Power

While the operationalized definition of power selected for this synthesis can encompass what is investigated as power in the selected studies, it still lacks the idea of negotiation. Knowing that power relations are dynamic does not quite extend far enough to include what it means to negotiate power, and it is negotiation which can be seen in the interactions of participants, not the underlying power, which can only be theorized from an analysis of different social and individual aspects.

Negotiation then, is the actual real-world interaction (or lack of interaction, because not interacting is also an observable behavior) between individuals in which power is co-constructed. One important part of interaction is the right to interact, which is an idea clearly theorized by Pierre Bourdieu (1977). According to Bourdieu (1977), *An adequate science of discourse must establish the laws which determine who (de facto and de jure) may speak, to whom, and how... Among the most radical, surest, and best hidden censorships are those which exclude certain individuals from communication (e.g. by not inviting them to places where people speak with authority, or by putting them in places without speech).*

It is clear that the right to speak is not something that everyone is always in possession of, according to Bourdieu, but rather something to be granted or taken away. By removing someone’s right to speak, you remove his or her right to interact, and thereby removing from him or her the capacity to negotiate their current status, or realization of power.

Negotiations of Power and the Multilingual University Environment

Finally, it is also important to contextualize the idea of negotiating power within the focal environment, namely multilingual university settings. As Foucault’s ideas on power have expanded, many researchers have investigated power in academic settings (Cummins, 2009; Grainger, 2011; Levine, 2008; MacIntyre, Noels & Moore, 2010; Norton, 1995; 2001; Norton & Toohey, 2001; Öhrn, Angervall, Gustafsson, Lundahl & Nyström, 2009; Ushioda, 2009; Vigoda-Gadot, Talmud & Peled, 2011). Rather than providing hypothetical accounts and simply a description of how power relations could be negotiated, I would like to introduce two studies from the above list which have investigated how Foucaultian notions of power relations and their negotiations by individuals do play out in academic scenarios. It is important to note that while not all of the studies above specifically cite Foucault, their ideas of power and how they are related are tightly correlated with those expressed by Foucault.

First, Cummins (2009) describes the relations of power by bilingual and bicultural deaf students in a Swedish and Danish context. In his investigation of these deaf children who were subjugated and put in positions of minimal power by authoritative figures, he found that the constraints on their abilities “are socially-imposed rather than representing any inherent limitation specific to Deaf students,” (267). Thus, it is not the fact that the children investigated here were deficient, but rather that they were seen as deficient and therefore barred from conversation by removing their right to speak.

A second example comes from Bonny Norton (2001), in which she describes the issues of non-participation and imagined communities by ESL students in a Canadian university classroom. From her investigation of diary excerpts from two participants, Norton concludes that their nonparticipation, which could be redefined here as their right to speak, removes personal investment in language learning and thus negatively impacts both the participants’ abilities to learn as well as their abilities to redefine their identity in the second language classroom. Overall, these two examples give a brief description of how power relations can and sometimes cannot be negotiated in academic contexts. While both examples given here, and most that I’ve found, center on the abuse of power and the negative impacts that arise from that abuse, it is important to remember the positive impact teachers and other authorities can have on their students by providing them the right to speak, participate, gain authority and redefine their identities in positive ways.

The Student as Subject (or Object?)

One final section I would like to add to this introduction is another topic from Foucault (1982), in which he discusses the idea of power and what he calls the “subject”. Specifically I would like to discuss the role of the student within the multilingual academic environment. Over the course of conducting this synthesis I came to the realization that one of the major factors in negotiating power relations was how the students and teachers viewed the role of the learner. While this discussion is more suited to parts of this paper which are post-synthesis, such as the discussion and pedagogical implication sections, I wanted to draw attention to the idea that power and viewing the student as the subject may be one of the most impactful ways for teachers to empower their students, instead of seeing themselves as the subject and their students as the object. By allowing students to be the subject, they have more control over their development of their own identity, rather than being forced into a preformed mold handed down from the academic institution.

RESEARCH QUESTIONS

The two research questions that came out of the initial review of power and which guided the final synthesis of the selected studies are:

1. How do negotiations of power play out in multilingual academic environments?
2. What factors play a major part within these negotiations of power?

As this is a qualitative synthesis, I first created more general research questions and developed them more fully over the course of data collection. Initial questions about power within the classroom were posed and refined as studies were found and appraised. The major part the initial search and appraisal played was to help me to narrow my topic to focus on adult learners, university/academic environments, multilingual participants, and student-student and student-teacher negotiations of power. In addition, the inclusion/exclusion criteria, which will be discussed in detail below, also helped to shape the final research questions. Specifically, after the application of the exclusion criteria, two studies discussed interactions and power relations between students and instructors, but not within a classroom setting. This expanded the research questions to include the entire academic environment, rather than limiting it only to the classroom. This was seen as important because student-teacher interactions outside of the classroom, such as one-on-one writing conferences, are also critical sites for the negotiation of power between students and teachers, and these out-of-class situations can have a significant impact on what happens inside the classroom as well.

METHODOLOGY

This section outlines the methodological approach and procedures taken to collect, appraise and analyze the studies used for this synthesis.

Research Procedures

The initial search for texts to include in this synthesis was conducted using two primary data sources, Google Scholar and the Linguistics and Language Behavior Abstracts (LLBA) database. LLBA was used in the initial search and Google Scholar provided supplementary material. The individual keywords used to collect the original sample were “classroom”, “power”, “negotiation”, “L2”, “multilingual”, “second language”, and “interaction”. These individual keywords were then combined into phrases and used as the search terms, for example, “second language classroom negotiations of power.” By recombining these search terms in multiple ways and selecting topic-appropriate articles from each search, 61 articles were chosen as possible candidates for synthesis.

Inclusion/Exclusion Criteria

Of the 61 articles, 7 were chosen for the final synthesis by applying the following inclusion/exclusion criteria:

1. The study must focus on student-student or student-teacher interactions.
2. The study must contain the original data, as both the original data and interpretations of that data will be drawn upon for this synthesis.
3. The study must focus on interactions within an academic context, whether inside or outside the classroom.
4. At least one of the participants in the interactions recorded in the study was multilingual.
5. The interactions took place between adults.

By applying these five requirements, the total number of studies was reduced from 61 to 7. All of the seven studies included in this synthesis focus on student-student or teacher-student interactions between multilingual adults in an academic context. The rationale for these criteria sprung from my own teaching experiences. As a current instructor at Carnegie Mellon University, my students are representatives of the population under investigation in this study. In conducting this study, I hope to provide fellow teachers, researchers and myself with a more comprehensive understanding of the negotiations of power in multilingual academic environments.

Final Sample/Evaluation of Sources

While the object of a synthesis is to recombine previous findings in new ways, it is still important for a qualitative synthesis to provide appropriate contextualization of the individual studies. This contextualization will allow for a more transparent and salient application of my own analysis in the following section. I will first briefly introduce each article via the following table. Its purpose is to summarize the focus and types of interactions of each study included in this synthesis, after which a more complete contextualization will be provided for each. For complete citations of the included articles, please see the Reference section. Each article included in the synthesis is preceded by a *.

The following chart also includes the appraisal score given to each article. The appraisal was based on three major criteria. First, the methodology presented in the study was clear and easily replicable. Second, a large amount of the original data was included by the researcher. This allowed for easier inclusion within this synthesis. Third, and finally, the study was judged on how logical and convincing the interpretations of the data proposed by the researcher were. Each study was given a score of 1, excellent, 2, fair, or 3, poor.

Author(s) Publication Year	Focus of Study	Types of interactions recorded	Appraisal Score
Achugar, M. (2009)	The creation of a professional identity in a bilingual creative writing graduate program	What: Student-student and teacher-student classroom interactions in a Spanish-English bilingual graduate student creative writing program at a Southwestern US university near the Mexico border How: videotaped classroom observations and formal interviews with the students	1
Gu, M. (2011)	Language choice and identity construction in peer interactions in a multilingual university environment	What: Students in a teacher training program views on intra- and inter-group interactions and language use on campus at a university in Hong Kong. How: Individual and focus group interviews.	2
Mayes, P. (2010)	The discursive construction of identity and power in the critical classroom	What: Two sections of an ESL composition course, with a focus on two teacher and five students at a US university in Wisconsin How: Class observations, videotaped student-teacher writing conferences, and student writing samples and course documents	1
Mohamed, H. & Banda, F. (2008)	Classroom discourse and discursive practices in higher education	What: Student-writer and lecturer-reader interactions at a university in Tanzania. How: Review of documents, student and lecturer interviews and five sessions of classroom observation.	1
Morita, N. (2004)	Negotiating participation and identity in second language academic communities	What: Open-ended in-class discussions either as a whole class or in small groups during graduate seminars over the course of one academic year at a Canadian university How: Weekly reports from students, formal interviews with the researcher, and classroom observations	1
Nelson, G. (2000)	Individualism-collectivism and power distance in second language classrooms	What: Classroom misunderstandings presented in a narrative fashion. How: unclear, however narrative suggests the retelling of anecdotal first-hand experience	3
Starfield, S. (2009)	Negotiating writer identity and authority in a first-year university course	What: Academic student writing in a first year sociology course at a South African university How: Classroom observations, interviews with some students and all teachers, and written documents	2

The seven studies listed in the chart above are each unique social environments with their own players, settings and interactions. Before a synthesis can be useful, each study must be fixed within its unique context. Beginning with Achugar (2009), the study is conducted at a US/Mexico border university and focuses on the development of the professional identities of aspiring writers in an English/Spanish bilingual graduate program. The location of this study, the US/Mexico border, plays an important role in defining the context in which this graduate program functions. As Achugar describes, "This academic community is unique since it is the only bilingual creative-writing program in the United States and also because it is located in an area characterized by continuous contact between native speakers of Spanish and English...resulting in a complex cultural and linguistic landscape," (pp. 68). In addition to the unique surroundings in which the recorded interactions take place, the program itself is unique in that it is the only one of its kind currently in existence within the US.

While the researcher conducted a qualitative longitudinal project to obtain her data, the focus of this study is on a specific classroom interaction between one of the program's professors and the rest of his class, specifically three students who dominate the interaction between each other and the professor. The class is a writing course and this specific interaction takes place during the critique of one student's paper. The topic of discussion focuses on the use of dreams in writing.

Similarly, Starfield (2002) also investigates the development of writer identity and authority, but the context is quite different from that in Achugar (2009). In her study, Starfield looks at this development in a sociology one course at a South African university. These participants, unlike the ones in Achugar (2009), are not graduate students, but rather beginning level university students, and therefore these students will have much different levels of authority in their academic setting. Even the manner of multilingualism is different. While the first study took place in a bilingual program, Starfield's study is located in an environment in which English is seen as the dominant language, which is not the native language of the participants in her study. Also, Starfield looks at two one-on-one interactions between an instructor and a student with the focal event being the discussion of the students' papers, which is much different from the classroom interaction investigated in Achugar (2009).

Like Starfield (2002), Mohamed and Banda (2008) locate their study in an African (in this case Tanzanian), English-dominant university setting, where they target the interactions of multilingual students. The bulk of the data from this study arises from faculty interviews and their feedback on students' writing, in which the authors foreground the role of the instructor as the dominant figure.

In another study which focuses on identity, Morita (2004) looked at identity in second language academic communities at a western-Canadian university. Like Achugar's study, these participants were graduate students, but were native Japanese speakers entering different graduate programs. Again, their position as graduate students, even in their first year, affords these participants a different identity and sense of authority than those undergraduate first semester students in Starfield (2009). Because of these students' involvement in different departments, e.g. language education, educational studies, and Asian studies, they were not located within a singular English-dominated context. Rather, each student in this study had multiple connections to different language communities. The interactions analyzed in this study were taken from in class whole-group and small-group discussions.

Another study centered on classroom interactions is that by Mayes (2010). This study is located at a university in Wisconsin whose five main participants are either from the Midwest US and consider themselves to be bilinguals (3) or international students (2). Mayes details their interactions with their instructors and fellow students in an ESL composition course.

Coming from a completely different part of the world, Gu (2011) describes the issues of language choice and identity construction in peer interactions. Gu's study is located at a multilingual university in Hong Kong and uses interviews with ten students to investigate her research questions.

Finally, Nelson's (2000) study is difficult to situate entirely due to a lack of contextualization, but she does provide some detail that the two interactions described in her study at a US university. The first interaction is with a 19-year-old Japanese student who is embarrassed by the printing of her name on her test by the ESL teacher. The second interaction is between an ESL teacher and her advisor, which is not included in the analysis of this study.

Each study is located in a unique context and those contexts range in their similarities and differences to the other studies included in this synthesis. Because of the breadth of contexts which this synthesis is taking into consideration, I believe that the conclusions drawn from the coding and findings present next are strengthened and the proposed model of power relations has the ability to encompass a variety of multilingual academic environments.

Coding

The approach to coding and analysis for this synthesis was comprised of both predetermined categories as well as the inclusion of categories that arose from the data themselves. First, coming from the theoretical background of this paper which includes both Foucaultian ideas about the networks of power in which every social event takes place as well as the idea of the right to speak from Bourdieu, the initial two categories for coding were identity and authority. The idea of identity fits with Foucault's idea that each social event occurs as an interplay between members of differing levels of power. Identity could thus be said to be formed within these social events as a result of different personal and social aspects which convey or detract power from the members of a particular social event. Authority could also be seen as a co-creation by members in a social event, but in addition, authority can also be seen within Bourdieu's theory of the right to speak. Identity is important in social interaction, but it is the authority both given to oneself as well as given by others that provides a person with the right to speak in an interaction.

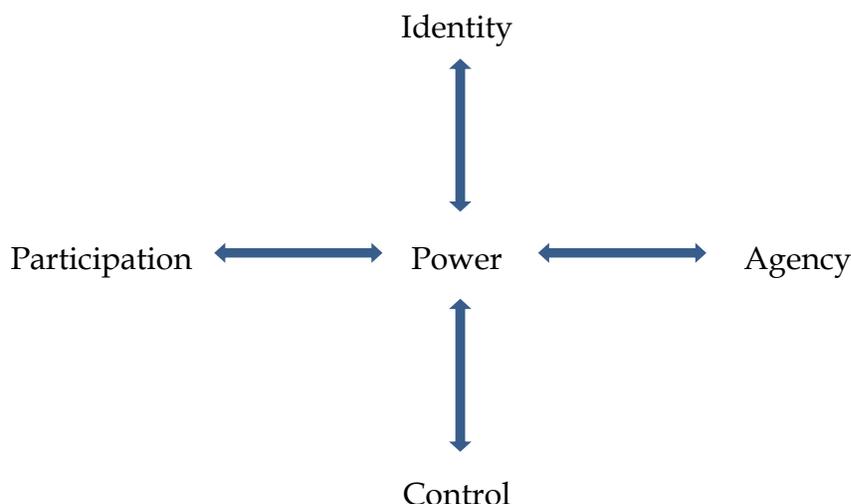
In addition to identity and authority, two other categories arose from the investigation of the selected articles, control and participation. Participation was identified in all of the texts, and it was catalogued in terms of the amount of verbal or physical involvement in a given interaction or situation. While participation is fairly straight-forward, control arose out of the need to create a category that was in between authority and participation. Authority on its own was not sufficient to encompass situations in which participants without authority were given the right to speak and participate in a particular situation. For example, Mayes (2010, p. 204) provides a transcription of an interaction between a student and a teacher in which the teacher, Becky, is trying to explain an assignment to the student:

Becky: I understand that you guys wanna take the assignments and try to figure out what I want from you
but,
..really what I want from you,
is t- kinda try to take the assignment and, and,
(1.1) do with
(.7) do with it what you will

In this interaction, it is clear that the students, as well as the teacher, see the teacher as the person with authority, but the control over what to do with the assignment is delegated to the students, who lack authority in this situation. Because of these situations in which authority does not automatically result in power over a particular event or activity, the category of control was developed.

Each of the four categories (identity, authority, control, and participation) are located within the framework of power, that is, power has a dialogic relationship with each of these categories. For example, as a person is given more control, their power in a certain situation goes up and their ability to negotiate power relations with others in that situation changes. On the other hand, when a person's self-image is that of an outsider, their identity inhibits access to social power and they therefore lose some of their ability to negotiate power in a specific social situation. Thus power, as overarching negotiational resource, can be influenced by each of the four proposed categories, and they, in turn, can be influenced by power itself, as manifested within a social environment. Figure 1 below provides a graphic of this explanation.

Figure 1: Direct bidirectional influences on classroom power



For coding purposes, these four categories were divided into thematic and linguistic representations found in the text. Thematic representations were those in which the actual topic was being discussed, either in the original data or by the article's author, while linguistic representations were those that were seen as manifestations of a particular category in the actual linguistic aspects of the original data set. Linguistic categories were not identified in the interpretations or writing style of the authors.

RESULTS AND DISCUSSION

Research Question One

How do negotiations of power play out in multilingual academic environments?

In short, negotiations of power are always unique to their specific contexts and the ways in which those power relations play out in interactions cannot be predetermined because of the constant dynamic nature of the creation and recreation of power in social environments. For example, each of these studies were conducted in drastically different geographical environments with their own cultures. It would be impossible to guess how power relations in two sites, even if they were exactly the same, would play out due to the distinct situations in which those power relations are negotiated. The participants' in Achugar (2009) who were in a bilingual program on the US/Mexico border would have had a much different experience had they been more centrally located in the US, where there would possibly be less interaction between two groups of native speakers. That could have drastic effects on what those writers saw as important in creating a professional identity and change all of the interactions they had with their peers and professors. While this first synthesis questions has not be as fruitful as hoped, it has still provided evidence for one important claim, that power relations are dynamically constructed and reconstructed in every social context, and thus it may be more important to look at negotiations of power as something to be aware of and developed within a context, rather than something used to predict interactions in a decontextualized space.

In stating this, I do not mean to say that there are no patterns to be found within the multilingual settings analyzed in this synthesis. Once a situation has been properly contextualized, it is then possible to draw conclusions about the ways in which power is negotiated between participants. As an example, it is possible to identify similar roles between teachers as authority figures in both Mayes (2010) and Mohamed and Banda (2008). Mayes (2010) investigates classroom power in a multilingual, but English-dominated English composition course at a US university, while Mohamed & Banda (2008) investigate classroom interactions between lecturers and their students in an English course at a Tanzanian University. Despite the differing contexts in which these studies were conducted, both studies indicate that authority-role, as assumed by the teacher/lecturer, plays an important part in the actions undertaken by the students in these contexts. By assuming a position of authority over the students, the instructors

and teachers in these two studies demonstrate how the concept of authority is universally available, and that the context in which the instructor or teacher found him or herself allowed for that individual to assume that authority. It is the importance of context as the provider of social positions which I would like to emphasize here. Only within context can we establish power relations, and it is the decisions and actions of the individuals within that context that determine how power is negotiated from one point in time to the next.

Research Question Two

What factors play a major part within these negotiations of power?

To answer this question, this section will first analyze each code developed individually. The discussion section of this paper will then use these categories to show how each of the four factors interact with each other, creating a model of power relations which manifests itself in a multilingual higher-education environment.

Power as identity

Identity, as conceived in this paper, allows students to locate themselves within an interaction and is constantly changing due to both internal and external factors. This creation of identity was the focal point for many of the studies included in this synthesis (Achugar, 2009; Gu, 2011; Mayes, 2010; Morita, 2004; Starfield, 2002). Identity is important in interaction and the web of power relations, as can be seen in this excerpt from original data from Morita (2004): “I found that my self-image got really lowered after I came here . . . But I don’t feel comfortable calling myself a nonnative speaker,” (pp. 586). In this excerpt from the participant Lisa, one can see that self-image, or her identity, has a major impact on her feelings and how she thinks about herself. She does not identify herself as a nonnative speaker of the language, which is important to recreate her self-image in a more positive way, one transferring from her former low self-image upon arrival. By redefining her identity as something other than a “nonnative speaker” she recreates her identity in a more empowering way. Morita (2004) also analyzes this data as a change in identity, surmising that, “Her commitment to improvements . . . allowed her to employ various strategies, and as a result, she experienced some positive personal transformations,” (pp. 586). These “positive transformations” manifest themselves as a reinvented self-image which in turn changes Lisa’s identity within her multilingual context. Her change in identity can be seen as a way to provide herself with more power, thus identity itself is not only acted upon by power, e.g. Lisa’s initial identity problems as a newly-arrived person, but change in identity itself can enhance an individual’s power.

Identity is also an important part of writing, in that one’s identity inherently affects the way in which he writes, as well as providing a personalized voice which defines a person as a writer. Starfield (2002) represents this data in two ways, with the original data and with her interpretation of that data. Starfield puts forth evidence for the creation of writer identity by presenting the use of the first person plural “we” her participant Philip’s essay: “Most intriguingly, Philip uses the first person plural pronoun ‘we’ three times in his introduction: ‘we will look at,’ ‘we look at’ and ‘we need to look at.’ This use of ‘we’ directly inserts a writer into the text,” (pp. 129). By using “we” Phillip places his own identity in relation to the reader of his paper, who is his instructor. By providing this relational pronoun, Philip creates his identity as part of the readership and thus uses this to enhance the interaction between himself, the author, and his instructor, the reader. In presenting identity within an academic work, the author in this multilingual setting was able to promote positive interaction with his reader, which intern reflects his power as a writer.

Power as authority

In addition to identity, authority was also essential in interactions as a source of power in the synthesized studies. For example, Achugar (2009) provides evidence that authority is a major factor in the construction of a bilingual professional identity. As a writer, one needs to show that he or she has the authority to speak/write about a topic, which is significantly more than simply placing his or her identity within a text. The key term which relates to authority in Achugar’s study is “professional”. In attempting to create a professional identity, one is asserting that they have the authority to be authors, which is a pivotal area of struggle for many of her participants. Achugar provides linguistic data which shows significant hedging in student responses, which can be interpreted as underlying assumptions about each student’s right to speak, and how far that right extends. One example comes from the researcher’s transcription of an interaction between one of the participants, Martina, and her professor: “Martina/Professor: To me it takes on a surrealism - and I don’t know if that is good - or if that’s accurate-” By using terms such as “I don’t know” and questioning whether her idea is “good” or “accurate”, Martina shows that in the interaction between her and her professor, she is not the person with authority on the subject and defers the evaluation of the ‘correctness’ of her idea to the professor for approval. From this example, it is clear that authority plays a major role in the linguistic behavior of these individuals. Martina lacks authority in her current situation, or at least believes she does, and therefore gives up some of her power to her professor. With increased authority on the

subject matter, Martina could provide herself with more power in future interactions with both her peers and her professor.

Authority is also a very salient topic in Starfield (2002). Up to this point, I had assumed that greater authority results in greater power, and while this is still part of my interpretation of the impact of authority on power and vice versa, Starfield provides an example of a student who assumes too much authority, thereby failing to properly cite his ideas. The issue here is that the participant, Philip, is not given or does not possess the authority to write in the manner in which he does and thereby his assumption of more authority than he possess has a negative impact on his reader. Starfield asserts this over-assumption of power by stating that "Philip has presumed too much (author's emphasis) authority - that he does not need to provide evidence." The over-assumption of authority which does not exist has a negative effect on the interaction between this student and his reader, and what logically follows is that legitimate authority, which can be defined as the authority allowed a person within a given context by other individuals within the same context, would then have a positive impact on the interaction between writer and reader. Authority provides a person with power that can have a significant impact on interactions, and that authority can be highly useful in multilingual environments, especially for people who find themselves as second language speakers in an environment dominated by the person's second language.

Power as control

Control, which again is defined as the space between authority and participation in an environment is much more evident in student-teacher interactions because authority is clearly given to the teacher over the student and the dissemination of control to the student is a result of teacher choice. This is especially evident in the observations recorded by Mayes (2010) with teachers who were attempting to implement a more student-centered classroom. While these interactions could be interpreted as authority, the importance, to reiterate the explanation above in the coding section, is that the people with authority provide control over a situation to those who lack the authority. The teachers do not give up their authority, but rather only their control over a certain situation for a certain period of time. Control may be the most difficult part of power relations encountered in this synthesis because the ability to provide control falls mainly on the part of the instructor. Students seem to have little power to change the amount of control they have over situations in which they are interacting with a person of greater authority. This can be seen in the teachers from Mayes (2010), who have the goal to give students more control, but struggle with it so much. The following data from Mayes (2010) shows one teacher's struggle with relinquishing control in the classroom:

...(9)I mean right now I'm trying to approach it from the critical..pedagogy
...(7) point of view.
..but,
..it's also difficult because I find myself=,
kinda wanting to creep in and -
and,
and do this teacher-centered,
..you know
[curriculum]. (pp. 201)

The teacher has the goal of placing her own authority in the background in order to provide control to her students, but the actual process of doing so is a struggle. This struggle can be interpreted as the difficulty relinquishing one's own power to raise the amount of power of another. By relinquishing authoritative power, the teachers are attempting to enhance the students' power in the form of their own control over their situation, despite their lack of authority in that situation.

Power as participation

The final category created for coding was that of participation. While each of the four components are important, it is interesting that participation is the only one that is actually observable. By this I mean identity, authority and control need to be interpreted by people's actions or explained by them verbally. On the other hand, actual participation in a social event can be physically observed in the actions taken by the participants. Because this is the only observable action, it plays a key role in power relations. By simply including people and encouraging participation, we could empower those individuals, which would hopefully have an impact on the other three factors included in this model of power and interaction.

While participation can be observed and interpreted in each article, participation plays a particularly crucial role in the interactions discussed in Morita (2004). Morita provides interview data of one participant, Lisa, and Lisa's views on the importance of participation: "I always feel that I have to say something in class to contribute to the class. . . . A small thing is okay. . . . It's not just about my own participation, it's about cooperation. . . . I have to play some role in the classroom," (pp. 584). Here we can see that Lisa's participation is more than just part of some requirement, her participation is part of her self-empowerment in the classroom and as a member of the class. Additionally, Morita explains that participation, or lack thereof, can be the indication of a feeling of less power, displayed as anxiety: "The apparently passive participation of L2 learners, especially learners from certain Asian cultures, is often explained by language learning anxiety or cultural tendencies," (pp. 586). From the examples found in Morita (2004), participation is of vital importance to becoming part of a multilingual community and increasing one's power in that community.

Like Morita (2004), participation was also important in understanding the negotiations of power in Mohamed & Banda (2008). In this study, the researcher observes a number of interactions in which a lecturer is speaking to a class and attempting to interact with them. While Morita's (2004) study displayed an array of interactions, the formality of the Tanzanian lecture environment described in Mohamed & Banda (2008) shows the lack of participation available to the students in this environment. All of the excerpts taken from the classroom observations reveal only two types of interaction between the lecturer and the students, either the lecturer talking directly at the students or the lecturer asking the students whether they are comprehending the material. In the latter case, students only react in chorus by shouting "yes" or remaining silent, as can be seen in the following example from the study:

Lecturer: You only mention the item on which the action was what...
was performed! Is that clear?

Students: (Silence)

Lecturer: Are we – are we working the same – bus all of us here?

Students: (Chorus) Yes!

Lecturer: Do you know what we are doing?

Students: (Chorus) Yes! (pg. 105)

In the scenarios depicted here, the students have limited opportunities to interact with the lecturer, and no opportunity whatsoever to interact with one another. In this situation, the lecturer stagnates any would-be attempts to negotiate power by restricting participation between himself and the class, as well as between members of the class. In this environment, the authority and control asserted by the lecturer dominate the power relations. Without the opportunity to diversify and expand their participation, at least insofar as feeling comfortable asking questions to clarify their apparent misunderstanding of the material, the students will never be able to negotiate for more power in this environment. In saying this, I understand that a lecture environment is not the same as an interactive classroom environment, nor do I think that every teaching situation calls for equal amounts of participation by students and the lecturer. A lecture environment calls for greater participation on the part of the lecturer and giving students too much time to participate could easily derail the goal of this type of course, but from the examples provided, it is obvious that more participation is needed on the part of the students, at least in terms of the chance to and a certain comfortability with asking questions of the lecturer for clarification. The ability to clarify understanding in a lecture format is a necessary part of the learning process and, in returning to Foucault, the ability to clarify one's understanding will lead to a greater understanding of the subject matter. With a greater knowledge of a topic comes greater power, which can later be translated to authority, which will be essential for the students in Mohamed & Banda's (2008) study as they graduate and seek jobs in which they are assumed to possess the necessary knowledge and skills. Via class participation, these students would gain the necessary knowledge to negotiate power and assume roles of authority outside the classroom, even if the role of lecturer/student remained very distant in terms of power within the classroom.

One final point to make about the importance of participation is the social expectations of people within a particular context about what appropriate participation is. In addition to the expectations of people in positions of authority, such as teachers and lecturers in a classroom environment, participation can also be influenced by the cultural and social norms of a given individual. In multilingual environments, the disparity between one individual's cultural expectations of participation may be quite distinct from those of the culture in which an individual finds him/herself. While none of the articles included in this synthesis defined culturally appropriate expectations of participation for their subjects and the examples of participation found in the sample texts do not define distinctions between the subjects' participation and target-culture norms, the idea that participation is also culturally constrained is integral in understanding how and why students participate, especially in multilingual and multicultural contexts. To emphasize the importance of this idea, I will cite an example from Philips (1972). In this study, Philips is investigating the participation structures and communicative competence of native-American children in community and classroom

settings. Over the course of her observations, she notes that participatory expectations from the community often overlap with students' amount of participation in the classroom. Philips (1972) describes the communicative competence in the community as being largely based on non-verbal, physical expression, which contrasts starkly to the expectations their teacher has of them within the classroom. As Philips explains,

Indian children fail to participate verbally in classroom interaction because the social conditions for participation to which they have become accustomed in the Indian community are lacking. The absence of these appropriate social conditions for communicative performances affects the most common and everyday speech acts that occur in the classroom. If the Indian child fails to follow an order or answer a question, it may not be because he doesn't understand the linguistic structure of the imperative and the interrogative, but rather because he does not share the non-Indian's assumption in such contexts that use of these syntactic forms by definition implies an automatic and immediate response from the person to whom they were addressed. For these assumptions are sociolinguistic assumptions that are not shared by the Indians (pp. 341).

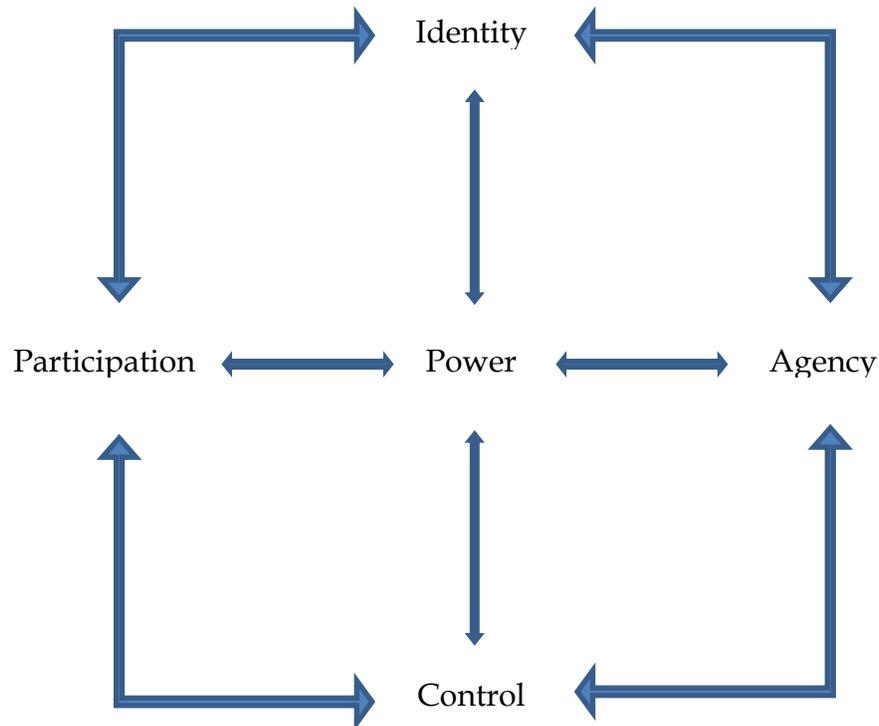
From this explanation of the importance of conflicting social expectations of participation, we can clearly see that not only does participation play an important role in the interactions between students and teachers, but it also complicates the idea of participation within the classroom. In addition to providing students the opportunity to participate, it is also necessary to define what participation is within a specific context, as well as identify conflicts between students' cultural expectations for participation and the expectations held by people in a position of authority in the classroom.

CONCLUSION

Summary of Findings and Discussion

In sum, this synthesis has shown that identity, authority, control and participation each play a major role in interactions in a multilingual higher-education environment. Power, as defined in this study, both influences and is influenced by each of these four factors and that changes within those factors change the amount of power an individual has. These factors are context specific and a high amount of power in one scenario does not mean that an individual will have the same amount of power in another. For example, in the student-teacher interactions discussed in this synthesis, the teacher possessed more power within the interaction, but this power does not translate to situations in which that teacher interacts with a fellow teacher. The four factors of identity, authority, control, and participation change to suit the current environment. For this reason it is important to see power as relative, rather than associating power with a particular individual. It is not that an individual is powerful, it is that they have power within a given context. In addition to the bidirectional effects of power on each of the four factors investigated in this study, I also propose that these four factors operate in a cyclical manner, diagrammed below in figure 2.

Figure 2: Bidirectional cyclic interactions between influences on classroom power



As this is a cyclical model, there is no “beginning”, but in order to describe the relationship each factor has with the other I will begin with identity. The identity of an individual is made up of a number of factors which are both internally and externally generated, for example the title Doctor is an institutional part of a person’s identity. In an academic setting, the title of Doctor has a significant impact on how one sees him or herself, as well as how others see that person. In the creation of this identity within this specific context, that person is both granted and grants him- or herself a certain amount of authority. With significant authority, a person is then capable of providing others some amount of control. With insignificant authority, a person can be granted control, increasing his or her ability to participate. When people then participate in an interaction, they are then forced to express their identity within that interaction.

While this cycle sounds positive, it can also have negative effects. For example, if those with authority fail to allow others control over situations, they will deny those without authority the ability to participate. A lack of participation can force people to create an identity which is that of the “other”, the “outsider”, resulting in less authority and a lower self-image.

Pedagogical Implications

The implications from this model for interaction could have a significant impact on the multilingual academic context. First, and maybe most importantly, this model could help inform programs in teacher education about the importance of participation and student-centered models of instruction. This synthesis has shown that allowing students to control their own participation, they are positively impacted in terms of their reformation of identity and development of authority. Aspiring educators and new teachers may feel apprehensive about allowing students to take control for fear of losing control of the classroom, but in reality this may have a detrimental effect on the students’ ability to participate. By allotting students more control, teachers can help students reinvent their identities in a more positive way, help them gain authority and thereby become more independent, critically thinking, invested member of the classroom environment.

While this claim is generally applicable to all learning scenarios, I would like to also focus on the multicultural environment, especially those in which low-proficient speakers are forced into interactions with more proficient or native speakers. By informing these individuals that their participation is vital to establishing a positive identity, and in so doing more authority, I hope to inspire those individuals to take risks and continue to participate. For individuals who have the power, for example a teacher, emphasizing and encouraging participation will empower those with less authority and help integrate them into the multilingual classroom, where they can focus on the

acquisition of the target language, rather than on their identity as an outsider. Overall, this model can be used to make educators and students aware of the underlying factors affecting their interactions in a clear and concise way, as well as give them some direction as to how they can positively affect themselves and their students.

Future Research

Future research in this area is needed to apply this model in different multilingual settings. While this model has been developed by synthesizing previous studies, and thus has some inherent validity in that it can be used to describe the studies included in the synthesis, there is a need to study whether this model can be applicable in describing other academic contexts. In addition, this model needs to be tested to discover whether it can also be applied to teacher-teacher, teacher-administrator, and student-administrator interactions.

Finally, research into the effects of making students and teachers aware of different power relations could show what kind of an impact, if any, the knowledge of power relations has on the interplay of those relations, and whether being aware of one's situation can foster positive growth and development.

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CRITICAL DISCOURSE ANALYSIS: BASICS AND METHODOLOGY

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ABSTRACT

This paper endeavors to introduce the major thinkers in the field of Critical Discourse Analysis, with their models of analysis, fully described and explained. Among those thinkers are Fairclough, Van Dijk, Wodak, and others. Critical discourse analysis (CDA) is practically oriented form of discourse analysis addressing social problem. "Critical" is used in the special sense of aiming to show up connections which may be hidden from people such as the connections between language, power, and ideology. It is a form of applied linguistics; linguistics applied to the remedying of imbalances of power and various forms of social injustice. In this view, since ideologies permeate society by disguising themselves as common sense, the way to resist them is to unmask them. CDA may be defined as being fundamentally concerned with analyzing opaque as well as transparent structural relationships of dominance, discrimination, power and control as manifested in language. In other words, CDA aims to investigate critically social inequality as it is expressed, signaled, constituted, legitimized by language use or in discourse.

KEY WORDS: Critical discourse analysis, General methodology, Micro /Macroproposition, soci-cognitive model.

DISCOURSE ANALYSIS

Before describing the term of discourse analysis, we need to define and explain the term of discourse itself in order to comprehend the basic concepts of discourse analysis. As a branch of language study, discourse is a complete unit that has two forms: written and spoken. Discourse is a unit of language that is the most complete and higher than a sentence or a clause with high cohesion and coherence continuously, that have the beginning and ending, that is delivered both in oral and written. Cook (1989: 7ff.) stated that the term of discourse is the language in use for communication.

According to Widowson (2007: XV), discourse is an area of language study concerned with how people make meaning, and make out of meaning in texts and as social practice, whether simple or complex, all texts are the uses of language which are produced with the intention to refer to something for some purposes.

In sum, referring to some theorists (Trappes-Lomax, 2004: 136), discourse is a term used in linguistics to describe the rules and conventions underlying the use of language in expanded stretches of text both spoken and written. Discourse practically always relies on the speaker or the writer (what he is talking about or writing) and the hearer or reader (what he is listening or reading). In discourse analysis, each of linguistic analysts use different theories and techniques of a number of disciplines for the study of language in use. They tend to favour one or more of a variety of approaches to conducting their research that have developed from these various sources. There are four main headings related to the ways and means of discourse analysis: rules and principles, contexts and cultures, functions and structures, and power and politics:

1. Rules and principles
 - pragmatics (including speech act theory and politeness theory)
 - conversation analysis
2. Contexts and cultures
 - ethnography of communication
 - interactional sociolinguistics
3. Functions and structures
 - systemic-functional linguistics (SFL)

- Birmingham school discourse analysis
- text-linguistics
- 4. Power and politics
 - pragmatic and sociolinguistic approaches to power in language
 - critical discourse analysis

Discourse analysis approach of language includes critical discourse analysis which is not only doing the textual interrogation but also revealing the relationship of the interrogation product with the macro contextual behind the text. It is more specifically as a study on how the power misused or how the domination and the inequality put into the community (ibid.).

CRITICAL DISCOURSE ANALYSIS

Critical discourse analysis (CDA) is practically oriented form of discourse analysis addressing social problem. "Critical" is used in the special sense of aiming to show up connections which may be hidden from people such as the connections between language, power, and ideology (Fairclough, 1989: 5). It is a form of applied linguistics; linguistics applied to the remedying of imbalances of power and various forms of social injustice. In this view, since ideologies permeate society by disguising themselves as common sense, the way to resist them is to unmask them (Trappes-Lomax, 2004: 158). CDA may be defined as being fundamentally concerned with analyzing opaque as well as transparent structural relationships of dominance, discrimination, power and control as manifested in language. In other words, CDA aims to investigate critically social inequality as it is expressed, signaled, constituted, legitimized by language use or in discourse (Wodak & Meyer, 2001: 1ff.).

According to Van Dijk, CDA is a type of discourse analytical research that primarily studies the way social power abuse, dominance, and inequality are enacted, reproduced, and resisted by text and talk in the social and political context (Van Dijk, "18 Critical Discourse Analysis", 353 – 371) (<http://www.discourses.org/OldArticles/Critical%20discourse%20analysis.pdf>).

He added that CDA is a specific form and practice of discourse analysis obviously always needs to account for at least some of the detailed structures, strategies and functions of text and talks, including grammatical, pragmatic, interactional, stylistic, rhetorical, semiotic, narrative or similar forms of verbal and paraverbal organization of communicative events (Wodak & Meyer, 2001: 97). Referring to Van Dijk, Fairclough, and Wodak's opinions, one can provide the characteristics of Critical Discourse Analysis as follows:

First, action concerns that discourse is observed as the matter that has goals whether it is to influence, debate, persuade, react, etc.

Second, context confirms that discourse considers the context such as background, situation, event, condition and all of matters outside of the text and other factors which influence the meanings such as language participants, the situation when text is produced and aimed. Discourse should be interpreted in a certain situation and condition.

Third, history places discourse in a specific social context and cannot be understood without concerning the attached context.

Fourth, power elaborates that what discourse form whether spoken or written language is not neutral and natural but it represents a form of power fight.

Fifth, ideology focuses that text, conversation, and others are forms of ideological practice. More specifically, CDA focuses on the ways discourse structures enact, confirm, legitimate, reproduce, or challenge relations of power and dominance in society (Ibid.).

There are many types of critical discourse analysis. Hence, the theoretical and analytical use is also different. Critical discourse analysis of conversation is different from the critical discourse analysis of news reports in the press, lesson, and teaching at school. But, overall the common perspective of conceptual and theoretical framework is closely related. Most kinds of CDA ask questions about the way specific discourse structures are deployed in the reproduction of social dominance, whether they are part of a conversation or a news report or other genres and contexts. Thus, the typical vocabulary of many scholars in CDA will feature such notions as "power", "dominance", "hegemony", "ideology", "class", "gender", "race", "discrimination", "interests", "reproduction", "institutions", "social structure" and "social order" besides the more familiar discourse analytical notions (Van Dijk, 1993: 354).

Based on the explanation above, it can be concluded that the study of critical discourse analysis deals with the relationship between discourse and social problems. CDA was developed to identify the hidden socio-political control which proponents of CDA believe actively constructs society on some levels. This may be one reason the highly politicized media has much influence on the society's view (Atkins, 2002: 2).

SOME MODELS OF CRITICAL DISCOURSE ANALYSIS

There are three major models of critical discourse analysis which are always associated with the researchers such as Norman Fairclough, Teun A. van Dijk and Ruth Wodak. They essentially have the same idea of critical discourse analysis, but they have distinctive models of analysis. Generally, they analyse how social and political inequalities are manifested in and reproduced through discourse. It is very clear among researchers that only Fairclough and van Dijk who have detailed models of critical discourse analysis.

Norman Fairclough's Dialectal-Relational Approach (DRA)

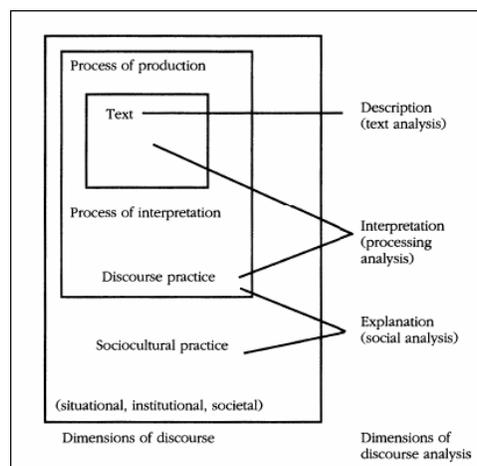
Norman Fairclough is one of the founders of critical discourse analysis that looks at "the influence of power relations on the content and structure of writings". Fairclough explains that CDA aims to "systematically explore often opaque relationships of causality and determination between (a) discursive practices, events and texts, and (b) wider social and cultural structures, relations and processes; to investigate how such practices, events and texts arise out of and are ideologically shaped by relations of power and struggles over power" (Fairclough, 1995: 132). He provides us with a useful definition that summarizes most other definitions of CDA:

CDA is the study of often opaque relationships of causality and determination between (a) discursive practices, events and texts, and (b) wider social and cultural structures, relations and processes; to investigate how such practices, events and texts arise out of and are ideologically shaped by relations of power and struggles over power; and to explore how the opacity of these relationships between discourse and society is itself a factor securing power (ibid.:133).

Looking at language as discourse and social practice, someone cannot analyse the text only, not just analyse the process of production and interpretation, but also analyse the texts, processes, and their social conditions. Accordingly, Fairclough distinguishes three dimensions or stages of Critical Discourse Analysis (ibid.: 98):

- a. Description is the stage which is concerned with formal properties of the text.
- b. Interpretation is concerned with the relationship between text and interaction with seeing the text as the product of a process of production, and as sources in the process of interpretation. Notice that Fairclough uses the term interpretation for both the interactional process and a stage of analysis.
- c. Explanation is concerned with the relationship between interaction and social context with social determination of the process of production and interpretation, and their social effects.

The following figure is Norman Fairclough's Model of Critical Discourse Analysis



According to Meyer (2001), his method is, like Wodak's, pragmatic and problem oriented. First, he sets out to identify and describe the social problem to be analysed. Then, he goes on with the structural analysis of the context, then the interactional analysis focusing on linguistic features (such as agents, time, tense, modality and syntax), and finally, he conducts an analysis of interdiscursivity, which seeks to compare the dominant and resistant strands of discourse. Fairclough's analytical framework is represented schematically below:

1. Focus upon a specific social problem which has a semiotic aspect; go outside the text and describe the problem and identify its semiotic aspect.
 2. Identify the obstacles to it being tackled, through an analysis of:
 - a. The network of practices it is located within
 - b. The relationship of semios is to other elements within the particular practice(s) concerned
 - c. The discourse (the semiosis itself)
 - structural analysis: the order of discourse
 - interactional analysis
 - interdiscursive analysis
 - linguistic and semiotic analysis
 3. Consider whether the social order (network of practices) in a sense 'needs' the problem.
 4. Identify possible ways past the obstacles.
 5. Reflect critically on the analysis.
- (Ibid: 28) and Fairclough (2001: 125-127)

Van Dijk's Socio-Cognitive Approach (SCA)

Van Dijk's Socio-Cognitive Discourse Analysis is an approach characterised by the interaction between cognition, discourse and society. It began in formal text linguistics and subsequently incorporated elements of the standard psychological model of memory, together with the idea of *frame* taken from cognitive science. A large part of van Dijk's practical investigation deals with stereotypes, the reproduction of ethnic prejudice, and power abuse by elites and resistance by dominated groups.

Van Dijk also emphasizes the control of discourse dimensions as a means to gain access to power. A further element in his account of discourse production and comprehension is the *K-device*, which is shorthand for personal, interpersonal, group, institutional, national and cultural knowledge (Van Dijk, 2005: 75). Cognition, realised in collective mental models as a result of consensus, is the interface between societal and discourse structures (Van Dijk, 2009: 62-85). While societal structures influence discursive interaction, in the latter the former are said to be "enacted, instituted, legitimated, confirmed or challenged by text and talk" (Fairclough and Wodak 1997: 266). Van Dijk (2009:62-85) believes CDA needs a model of context such as Moscovici's (2000) social representation theory: One individual's cognition is informed by dynamic constructs known as *social representations*, that is, the concepts, values, norms and images shared in a social group, and activated and maintained in discourse.

This approach therefore suggests concentrating the analysis upon linguistic markers as follows:

- stress and intonation
- word order
- lexical style
- coherence
- local semantic moves such as disclaimers
- topic choice
- speech acts
- schematic organization
- rhetorical figures
- syntactic structures
- propositional structures
- turn-takings
- repairs
- hesitation.

It supposes that most of these are exemplary forms of interaction which are in principle susceptible to speaker control, but in practice mostly not consciously controlled. Other structures, such as the form of words and many structures of sentences, are grammatically obligatory and contextually invariant and hence usually not subject to speaker control and social power.

SCA further suggests six steps of analysis:

1. The analysis of *semantic macrostructures*: topics and macropropositions.
2. The analysis of *local meanings*, where the many forms of implicit or indirect meanings, such as implications, presuppositions, allusions, vagueness, omissions and polarizations are especially interesting.
3. The analysis of '*subtle*' *formal structures*: here, most of the linguistic markers mentioned are analysed.
4. The analysis of *global and local discourse forms* or formats.
5. The analysis of *specific linguistic realizations*, e.g. hyperbole, litotes.
6. The analysis of *context* (Meyer, 2001: 26).

The Discourse-Historical Approach (DHA) (Wodak and colleagues)

It attempts, *inter alia*, to describe those cases where language and other semiotic practices are used by those in power to maintain domination (Reisigl & Wodak, 2009: 87-121). Initially, it was concerned with prejudiced utterances in anti-Semitic discourse. Recent developments include the discursive construction of national sameness and the social exclusion of out-groups through the discourses of difference, and the reconstruction of the past through sanitised narratives. The general approach reflects sociolinguistics and ethnography; it also gives an important place to Habermas's notion of the public sphere and to strategic communicative action as opposed to ideal communication oriented to understanding. Its central tenet is the importance of bringing together the textual and contextual levels of analysis. **The model of context used in this approach invokes historical knowledge understood in terms of four layers:**

- (a) The linguistic co-text,
- (b) The intertextual and interdiscursive level,
- (c) The extralinguistic level, and
- (d) The socio-political and historical level (Wodak & Meyer, 2009: 1-33).

The interconnection between various texts and discourses leads directly to the notions of *de-contextualisation* and *recontextualisation*, processes in which elements typical of a particular context can be taken out of it and inserted into a new context with which it has not been conventionally associated.

DHA has further produced a series of analytical and descriptive tools, drawing on linguistic models and argumentation theory. In particular, **DHA lists six strategies for identifying ideological positioning: *nomination, predication, argumentation, perspectivisation, intensification* and *mitigation***, which are analysed as part of a larger process that includes also the characterisation of the contents of a discourse, linguistic means of expression and context-dependent linguistic realisations of stereotypes. One of the strengths of DHA is the emphasis on the combination of observation, theory and method, and the continuum between application and theoretical models. Its historical, political and sociological analyses are also an important part of its methodology, especially in relation to systems of genres, although the lack of a fully systematic procedure in this regard is one of its weaknesses.

The discourse-historical approach concentrates upon these six discursive strategies as follows (Wodak, 2001: 73):

- *Referential strategy or strategy of nomination*, where the linguistic devices of interest are membership categorization, metaphors and metonymies and synecdoches.
- *Strategies of predication* which appear in stereotypical, evaluative attributions of positive or negative traits and implicit or explicit predicates.
- *Strategies of argumentation* which are reflected in certain *topoi* used to justify political inclusion or exclusion.
- *Strategies of perspectivization, framing or discourse representation* use means of reporting, description, narration or quotation of events and utterances.
- *Strategies of intensification and mitigation* try to intensify or mitigate the illocutionary force of utterances.

GENERAL METHODOLOGY

Methodology is one of the most complex issues within the field of CDA. Meyer, for instance, claims that there is no such thing as a common methodology or theoretical viewpoint in CDA:

CDA theoreticians draw on a number of theoretical levels in their analyses, from epistemology, grand theories or general social theories, middle-range theories, microsociological, socio-psychological theories, discourse theories to linguistic theories (see Meyer, 2001: 18-20 for a more thorough discussion).

CD analysts are both aware of this criticism and recognize it. Van Dijk states that CDA, like any good scholarship, should integrate the best work from all the relevant contributors and disciplines (Van Dijk, 2001: 95-96), whereas Wodak points out that CDA has never attempted to be or to provide one single or specific theory. Quite the contrary: 'studies in CDA are multifarious, derived from quite different theoretical background, oriented towards different data and methodologies. Researchers in CDA rely on a variety of grammatical approaches. The reason for this, according to Wodak (2001: 8), is that relationships between language and society are so complex and multifaceted that interdisciplinary research is necessary.

Furthermore, Meyer (2001) claims that in CDA there is an assumption that all discourses are historical and can therefore only be understood with reference to their context, making him conclude that CDA, thus, is open to the broadest range of factors that exert an influence on texts. Consequently, by applying extra-linguistic factors such as culture, society, and ideology, CDA scholars, by necessity, have to make use of an interdisciplinary procedure. Nevertheless, there are at least a few features that are common no matter which approach to CDA one chooses.

Firstly, they are all problem oriented and not focused on specific linguistic items (although linguistic expertise is obligatory for the selection of the items relevant to specific objectives).

Secondly, both theory and methodology are eclectic, i.e. both are integrated as far as it is helpful to understand the social problems under investigation (ibid: 29).

As for a single and applicable methodology, even Fairclough admits that it simply does not exist. CDA is not a technique, nor a tool from a toolbox; it is as much theory as method (Fairclough, 2001: 121). Van Dijk elaborates: 'In CDA, theory formation, description, problem formulation and applications are closely intertwined and mutually inspiring' (Van Dijk, 2001:96). However, the aim of CDA is clear: It can only make a significant and specific contribution if it is able to provide an account of the role of language, language use, discourse or communicative events in the (re) production of dominance and inequality (Van Dijk, 1993:279).

Nevertheless, the method of CDA is generally composed of four main steps: 1) Having a text or discourse to be analyzed. This text or discourse must be authentic from any social event. 2) Interpretation from a selection of information that may portray or reveal any structure of power, domination, and/or exploitation. The interpretation can be done from the phonetic, morphological, syntactic, or semantic analysis. 3) Launching theory from the interpretation and further examination of the assumptions of the information that contains the structures issued. 4) Operationalization which is the conceptualization of the selection of theoretical concepts, relations, and assumptions.

ILLUSTRATIVE EXAMPLES (VAN DIJK, 2006:728-740)

Van Dijk uses some fragments from a debate in the British House of Commons on asylum seekers, held on March 5, 1997. Mrs Gorman, representative of Billericay for the Conservative Party, then still in power, had taken the initiative for this debate, which she opened with a critique of the alleged costs of asylum seekers, costs she claimed were being paid by poor old English ratepayers. Among those who opposed her was Jeremy Corbyn, of the Labour Party.

In order to enhance the usefulness of our analysis, he shall assign an analytical category to each example, and order the categories alphabetically. After the category name he shall add the domain of discourse analysis to which the category belongs (e.g., meaning, argumentation, etc.). The main point of the analysis is to show how various ideologies, especially those of racism and antiracism, are expressed in various kinds of structures. There are in principle hundreds of such categories, so a small selection are made.

Some Categories of Ideological Discourse Analysis

Actor description (meaning).

The way actors are described in discourses also depends on our ideologies. Typically we tend to describe ingroup members in a neutral or positive way and outgroup members in a negative way. Similarly, we will mitigate negative

descriptions of members of our own group, and emphasize the attributed negative characteristics of Others. Here is how Mrs Gorman describes a Romania asylum seeker:

(1) In one case, a man from Romania, who came over here on a coach tour for a football match decided that he did not want to go back, declared himself an asylum seeker and is still here 4 years later. He has never done a stroke of work in his life (Gorman).

Authority (argumentation).

Many speakers in an argument, also in parliament, have recourse to the fallacy of mentioning authorities to support their case, usually organizations or people who are above the fray of party politics, or who are generally recognized experts or moral leaders. International organizations (such as the United Nations or Amnesty International), scholars, the media, the church or the courts often have that role. People of different ideologies typically cite different authorities. Thus, Mr. Corbyn ironically asks Mrs. Gorman whether she has not read the reports of Amnesty or Helsinki Watch.

Burden (topos).

Argumentation against immigration is often based on various standard arguments, or *topoi*, which represent premises that are taken for granted, as self-evident and as sufficient reasons to accept the conclusion. One of the *topoi* of antiimmigration discourse is that asylum seekers are a financial ‘burden’ for ‘us’:

(2) It is wrong that ratepayers in the London area should bear an undue proportion of the burden of expenditure that those people are causing (Gorman).

Categorization (meaning).

As we also know from social psychology, people tend to categorize people, and so do speakers in parliament, especially when Others (immigrants, refugees, etc.) are involved. Most typical in this debate is the (sub) categorization of asylum seekers into ‘genuine’ political refugees, and ‘bogus’ asylum seekers, a categorization formulated in the following ways:

(3) There are, of course, asylum seekers and asylum seekers (Gorman).

(4) . . . those people, many of whom could reasonably be called economic migrants and some of whom are just benefit seekers on holiday, to remain in Britain (Gorman).

Comparison (meaning, argumentation).

Different from rhetorical similes, comparisons as intended here typically occur in talk about refugees or minorities, namely when speakers compare ingroups and outgroups. In racist talk, outgroups are compared negatively, and ingroups positively. In antiracist talk, we may negatively compare our country or government with loathsome undemocratic regimes. In the following example, Mr. Corbyn uses an argumentative comparison with the Second World War to emphasize the plight of asylum seekers:

(5) Many soldiers who were tortured during the Second World War found it difficult to talk about their experiences for years. That is no different from the position of people who have been tortured in Iran, Iraq, West Africa, or anywhere else (Corbyn).

Consensus (political strategy).

To claim or insist on cross-party or national consensus is a well-known political strategy in situations where the country is threatened, for instance by outside attack. Immigration is often seen as such a threat. Thus, Mrs Gorman insists that the current immigration law is the fruit of consensus, and hence should not be tampered with:

(6) The Government, with cross-party backing, decided to do something about the matter (Gorman, C).

Counterfactuals (meaning, argumentation).

(see also Counterfactuals.) “What would happen, if . . .” the typical expression of a counterfactual, is often used in this debate by the Labour opposition in order to suggest that the conservatives try to imagine what it would be like to

be in the situation of asylumseekers, an persuasive argumentative move that is also related to the move of asking for empathy:

(7) I suggest that he start to think more seriously about human rights issues. Suppose he had to flee this country because an oppressive regime had taken over. Where would he go? Presumably he would not want help from anyone else, because he does not believe that help should be given to anyone else (Corbyn).

(8) If that happened in another country under a regime of which we disapproved, the British Government would say that it was a terrible indictment on the human rights record of that regime that prisoners were forced to undertake a hunger strike to draw attention to their situation (Corbyn).

Disclaimers (meaning).

A well-known combination of the ideologically based strategy of positive self-presentation and negative other-presentation are the many types of disclaimers. Note that disclaimers in these debates are not usually an expression of attitudinal ambiguity, in which both positive and negative aspects of immigration are mentioned, or in which humanitarian values are endorsed on the one hand, but the 'burden' of refugees is beyond our means. Rather, disclaimers briefly save face by mentioning our positive characteristics, but then focus rather exclusively on their negative attributes. Hence our qualification of the positive part of the disclaimer as Apparent, as in Apparent Denials, Concessions, Empathy, etc.:

(9) [Apparent Empathy] I understand that many people want to come to Britain to work, but there is a procedure whereby people can legitimately become part of our community (Gorman).

(10) [Apparent Denial] I did not say that every eastern European's application for asylum in this country was bogus. However. . . (Gorman).

Euphemism (rhetoric; meaning).

The well-known rhetorical figure of euphemism, a semantic move of mitigation, plays an important role in talk about immigrants. Within the broader framework of the strategy of positive self-presentation, and especially its correlate, the avoidance of negative impression formation, negative opinions about immigrants are often mitigated, especially in foreign talk. The same is true for the negative acts of the own group. Thus, racism or discrimination will typically be mitigated as resentment or unequal treatment, respectively. Similarly Ms Gorman in this debate uses the word 'discourage' ('to discourage the growing number of people from abroad. . .') in order to refer to the harsh immigration policies of the government, and thus mitigates the actions of the conservative government she supports. Similarly, the Labour (Corbyn) opposition finds the condemnation of oppressive regimes by the Government 'very muted' instead of using more critical terms. Obviously, such mitigation of the use of euphemisms may be explained both in ideological terms (ingroup protection) as well as in contextual terms, e.g., as part of politeness conditions or other interactional rules that are typical for parliamentary debates.

CONCLUSIONS

In this approach described above, discourse is treated under three perspectives: as text endowed with linguistic form, as 'discursive practice' through which texts are produced, distributed, and consumed and as 'social practice' which has various ideological effects, including normativity and hegemony.

CDA emphasizes power, exploitation, inequality as the social conditions of language, tracing them through various contexts including political and economic discourse, racism, advertising and media, and institutional settings such as bureaucracies and education. Notice that, while these may be played out in individual speech events, the frame of reference is broader than, and logically prior to, any given event. Moreover, the focus on speakers' intentions as the source of meaning that is common to methodological individualist approaches is absent in all large-scale approaches.

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INVESTIGATING COLLOCATION ERRORS OF PAKISTANI EFL LEARNERS

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ABSTRACT

The purpose of this study is to contribute literature in the field for the researchers to do empirical analyses. The research points out collocation problems that Pakistani English as a foreign language (EFL) learners come across. This study is of a qualitative nature. The researcher has studied a great deal of literature to find out actual problems being confronted by EFL learners. In collocation problems, first language transfer seems to be the most dominant problem. In addition to first language (L1) transfer, the learners also use synonymy and overgeneralization which contribute to collocation digression in the target language.

KEYWORDS: Collocation, EFL learners, First language transfer

COLLOCATION ERRORS DUE TO FIRST LANGUAGE TRANSFER

Pakistani EFL learners commit collocation errors due to the transfer of first language into the target language. Learners' native language (L1) largely has an influence on their consequent learning of L2 collocations (Nesselhauf, 2003, 2005). Learners' dependence on their L1 collocation knowledge may lead them to assume that there exists a one-to-one correspondence between L1 and L2 collocation options. Fortunately where there is an exactly identical match between collocations in both languages, transfer from the learners' mother tongue could result in a positive, satisfying production (Ellis, 2008). However, such success based on native language transfer is not always the case (Nesselhauf, 2003, 2005). The difference between L1 and L2 collocations can also cause some problems for EFL learners. In other words, whenever collocations in the mother tongue and the target language do not match deviant and unusual collocation structures often arise. According to several past studies, native language impact is evident in EFL learners' collocations. By and large, there obviously exists negative transfer from L1.

Bisk-up (1992), explored Polish and German EFL learners' performance in English collocation use, reported that the learners, based on risk taking, did transfer their L1 collocation knowledge to their production of L2 collocations, thus clearly leading to the erroneous use of English collocations. For example, while the targetlike collocation in English is to set a record, the Polish learners tended to use to state a record, which indicates an L1 collocation pattern. L1 interference can be seen in Huang (2001) as well when Taiwanese EFL university students, when they were asked to do a sentence-completion test, created L2 combinations based on L1, such as a black horse rather than the target-like collocation a dark horse. Nesselhauf (2003) provided help for the previously mentioned studies in that L1 influence, in her study of collocations used by German EFL learners, is significant, resulting in L2 errors for many times. She also confirmed the importance of native language impact on L2 collocation learning and suggested that since L1-L2 collocation disharmony is a major cause of errors in learner language, English teachers should focus on such incongruent collocations in the two languages in order to avoid learners from committing such transfer errors.

It is also worth noticing that Koya (2003) reported that even high-proficiency students seem to heavily depend on their knowledge of L1 collocations, which surprised the researcher himself since he had predicted to see the least evidence of L1 transfer among high-proficiency students. On the other hand, low-proficiency learners were found to apply an avoidance strategy and astoundingly depended less on their first language. These supplies counter evidence against much past literature which indicated that L1 transfer is trait of low-proficiency learners (e.g. Ellis, 1987; Odlin, 1989). Moreover, Fan (2009), examined Hong Kong ESL learners' collocation production in writing, also discovered an adverse effect that L1 Chinese had on the learners' use of English collocations. In particular, the study found substandard L2 collocations that seem to result from word-for-word translation from Chinese, such as left/right face or left side face, which are not found in native speakers' corpora (Fan, 2009, p. 118).

Another study that is in line with the aforesaid ones as to L1 transfer is Ying (2009). In the study of English collocations produced by Chinese speakers, i.e. English majors and non-English majors, Ying discovered that collocations which have no translation equivalents in L1 are considered difficult, in comparison to those which are congruent with L1. In more details, the learners probably searched for L1 equivalents with no awareness of L1-L2 incongruity and then produced L2 erroneous combinations, which is in harmony with Nesselhauf (2003). Moreover, for both groups of learners, errors in lexical collocations clearly outnumber those in grammatical collocations. With reference to research on L2 acquisition of English collocations by Thai EFL learners, L1 transfer has also been

widespread. As discovered by Boonyasaquan (2006), who investigated Thai learners' collocation errors in translating a Thai business article, into English, mother tongue, i.e. Thai, was one of the most common sources of errors. The learners seemed to directly translate some L1 collocations into non-target like English. An example given in this study is *expensive price, which is assumed to be directly translated from raakhaa p 'high price', i.e. literally raakhaa 'price' and p 'expensive'. Another study the results of which are consistent with Boonyasaquan (2006) in terms of first language influence on collocation use is Mongkolchai (2008), who explored English collocation competence of third-year English majors in a university in Bangkok, Thailand. The research instruments, viz. a sentence completion test and a multiple-choice test, seemed to elicit collocation data presenting evidence of the native language transfer.

A clear example of transfer-based errors is the use of the preposition "in" in place of "at" in the sentence *I became skillful in drawing (Mongkolchai, 2008, p. 46). It is self-evident that interference from EFL learners' native language plays vital role in L2 collocation acquisition. As demonstrated in the above mentioned studies, the mother tongue seems to exert an adverse effect on their use of English collocations, which results in L2 erroneous combinations.

COLLOCATION ERRORS DUE TO USE OF SYNONYMS

Apart from dependence on their native tongue, EFL learners in the process of learning collocations are sometimes seem to resort to an analogy strategy referred to as synonymy strategy. This is often used by learners whose L2 proficiency is limited. They may try substituting a synonym for a word in L2, and they are unaware of constituting a collocation violation. In reality, a very restricted number of synonyms in English can occur in the same grammatical pattern (Nation, 2001). In other words, words that are very close in meaning do not always share the same grammatical collocation. For instance, even though the verbs ask and plead are semantically similar, i.e. involving making a request (Cambridge advanced learners' dictionary, 2008, pp. 74-75 & 1085), the grammatical patterns in which the verbs are likely to occur are different. That is, the verb ask is used in the pattern ask someone + infinitive with to, whereas the verb plead requires the preposition with, as in plead with someone + infinitive with to. For this reason, a substitution of plead for ask in the grammatical pattern of the latter verb, i.e. without with, causes ungrammaticality in English (Phoocharoensil, 2010, p. 242).

According to many studies of L2 English collocation acquisition, synonymy has been a common learning strategy. In Farghal and Obiedat (1995), it was implied that Arabic EFL learners greatly relied on the open-choice principle for word choice, replacing a word with its synonym. Such a strategy often led them to deviant, ungrammatical collocations in English. In a similar fashion Howarth (1996, 1998) reported L2 learners seemed to draw an analogy between collocates of two synonyms, thus frequently resulting in errors in the target language. For example, they produced the erroneous combination *adopt ways, which was presumably caused by analogy with the correct collocation adopt an approach (Howarth, 1998, p. 41). Like the above studies having been mentioned, Zughol and Abdul-Fattah (2001) discovered assumed synonymy in the use of English collocations by Arabic speakers. It was reported that as a result of the nature of the instructional /pedagogical input the learners received in class and the influence of bilingual dictionaries, the learners' collocation use was evidently based on a synonymy strategy, which violates the selection restrictions, i.e. semantic constraints, of the target language. For instance, the verb failed was incorrectly employed as opposed to defeated in the sentence *The enemy failed in the battle (Zughol & Abdul-Fattah, 2001, p. 11).

With respect to some research studies on Thai learners' acquisition of English collocations, synonymy has also been discovered. Boonyasaquan (2006), in her study of how Thai EFL learners translated a business news articles from Thai to English, reported on their collocation violations arising from an application of synonymy, which accounts for 8.62% of all the collocation errors. A clear example given in the study is *a qualified hotel in lieu of a quality hotel, which may reflect the learners' confusion over the use of the synonyms qualified and quality (Boonyasaquan, 2006, p. 83). Lending support to Boonyasaquan (2006), Mongkolchai (2008) noticed collocation errors committed by English majors, who speak L1 Thai, through synonymy. For instance, they used *a newspaper booth, which is a digression from the target like one a newspaper kiosk, commonly found in a native speaker corpus.

COLLOCATION ERRORS DUE TO REPETITION AND OVERGENERALIZATION

Repetition and overgeneralization are also one of the factors because of which Pakistani learners get indulged in making collocation errors. Repetition is another strategy on which EFL collocation learners often rely. With repetition, learners resort to the repeated use of a limited number of familiar collocations. Moreover, repetition may occur as a consequence of learners' lack of confidence to create L2 collocations through analogy (Howarth, 1998). Put simply, they may not want to risk using L2 combinations with which they are not familiar. Research studies on L2 English collocation learning have pinpointed repetition as an origin of collocation problems. Among those studies, Granger (1998) shows that French learners of English tended to repeatedly employ the intensifier very in the combination of adverb + adjective. Furthermore, some other collocations, e.g. deeply-rooted, repeatedly occurred in their writing as well. Granger, Paquot & Rayson (2006) agreed with Granger (1998) in that EFL learners seem to overuse a limited group of collocations perhaps because they stick to familiar formulaic sequences which they feel safe to use. Similarly, Howarth (1998) also discovered a difference between individual writers' repetition of conventional collocations. Shih (2000) was investigated overused of collocations in a Taiwanese learner corpus of English, focusing on a set of synonyms big, large, and great. The findings from a comparative study of Taiwanese Learner Corpus of English and British National Corpus (BNC) showed that the collocations with big were importantly overused by Taiwanese learners. More precisely, the learners used big far more frequently than native speakers normally do when describing abstract concepts, whereas the use of big referring to concrete objects occurs with more frequency in the native speaker corpus. Shih reported that repetition is viewed as a simplification strategy or overgeneralization applied by Taiwanese learners when faced with L2 collocation problems. In other words, the word big is perhaps extended to abstract concepts, which is not a normal practice of native speakers'. According to Zughol & Abdul-Fattah (2001), overgeneralization, i.e. the extension of the use of a certain L2 feature to another, has been found as a source of incorrect use of L2 English collocations, and this strategy is seen as a feature of learner language. The subjects in this study confused the words shame and ashamed, thereby extending the use of ashamed, while the word shame was intended.

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TOWARD AN ANALYSIS OF THE BOND BETWEEN EMOTIONAL INTELLIGENCE AND SELF-EFFICACY AMONG EFL TEACHERS

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ABSTRACT

This study explored the relationship between emotional intelligence (EI) and self-efficacy in 71 Iranian EFL teachers in private language institutes. The participants' EI and self-efficacy were rated through questionnaires. They were also administered a demographic sheet. The findings revealed that EFL teachers' EI was significantly and positively correlated with their self-efficacy, and it could also account for a considerable amount of variance in teachers' self-efficacy. Another line of the results showed significant differences in the teachers' EI and self-efficacy with respect to the demographics- marital status and years of teaching experience. Implications are discussed.

KEY WORDS: Emotional Intelligence, Self-efficacy, EFL Teachers

INTRODUCTION

Recent research clearly indicates that teachers can highly affect students' educational outcomes (Anderson, 2004). Research also shows that schools make a difference in terms of student achievement, and the significant factor in that difference is that it can be attributed to teachers. Particularly, differential teacher effectiveness is a strong determinant of differences in student learning (Darling-Hammond, 2000). Research also reveals that there is a strong positive correlation between teacher effectiveness and student learning. Successful teachers believe that they can make a difference in student learning outcomes and they teach accordingly (Gibbs, 2002). Teacher effectiveness is also in close connection with their self-efficacy levels i.e., the belief teachers have about their teaching skills and capacities (Gibbs, 2002; Tschannen-Moran, Woolfolk-Hoy & Hoy, 1998). Bandura (1995) opined that people with high self-efficacy persisted with the task in the face of hardship and obtained better results with substantially lower levels of stress. In addition, self-efficacy beliefs can contribute to one's accomplishment and well-being in several ways (Pajares, 2002).

Dembo and Gibson (1985) argued that the issue of pinpointing antecedents of efficacy and the ways to augment teachers' sense of efficacy is of high importance and relevance. Sutton and Wheatley (2003) also opined that great amount of variation in teacher self-efficacy could be attributed to variance in teachers' emotions. This is specifically true with respect to careers such as teaching, with its affectively challenging disposition, high levels of emotional involvement, difficulty and continuous interaction. As such, research should investigate the relationship between teacher emotions and self-efficacy (Emmer & Hickman, 1991) to see whether and how they are related with each other. To this end, this study set out to examine the relationship between emotional intelligence and teacher self-efficacy among foreign language teachers in private language institutes in Iran.

LITERATURE REVIEW

Teacher Self-Efficacy

Research on teacher self-efficacy has been inspired by Bandura's (1997) social cognitive theory. Bandura (1995) argued that self-efficacy can be referred to as people's beliefs about their potentiality to create expected levels of performance that exert influence on events that impact their lives, and that these beliefs indicate how people feel, think, motivate themselves and behave. People with a strong sense of self-efficacy set themselves more challenging goals and maintain stronger commitment to those goals than do people with lower levels of self-efficacy (Bandura, 1995).

Teacher self-efficacy refers to the extent to which teachers believe they can make change and impact on student behavior and learning outcomes (Gibson & Dembo, 1984). Or as Tschannen-Moran et al (1998, p. 22) opined teacher self-efficacy is "the teacher's belief in his or her capability to organize and execute courses of action required to successfully accomplish a specific teaching task in a particular context". Teachers who have a high sense of self-efficacy about their teaching potentiality can enhance students' motivation and cognitive development (Bandura,

1995). The task of making environments suitable to learning depends on the talents and self-efficacy of teachers (Bandura, 1995).

Tschannen-Moran, et al, (1998) emphasized the importance of teacher self-efficacy and its connection with a broad range of teaching and learning outcomes. These outcomes embrace teachers' classroom behavior, effort and goal-setting, their openness to novel ideas and desire to try innovative methods, planning and organizational competence, perseverance, resilience, commitment and eagerness for teaching and longevity in their profession. Furthermore, teacher self-efficacy can influence student achievement, attitude and emotional growth and is related to the organization health, atmosphere in the school, classroom based decision-making and to student self-efficacy.

Atay (2007) also stated that teachers' self-efficacy can highly affect their instructional activities as well as student attitudes and achievements. Research findings also indicated that teacher efficacy affects teacher's control orientations and control behaviors; their use of classroom discussions and creative teaching practices; their feedback to learners; stress level and their satisfaction with the teaching profession (Bandura, 1997; Tschannen-Moran et al., 1998). However, little research has been conducted which examines EFL teachers' self-efficacy.

Emotional Intelligence

EI has its root in the concept of "social intelligence" that was first identified by Thorndike (1920). Thorndike (1920, cited in Wong and Law, 2002, p. 245) defined social intelligence as "the ability to understand and manage men and women, boys and girls –to act wisely in human relations".

Definitions of emotional intelligence widely vary. Some researchers see EI as an ability, which can be measured most precisely by a performance test (Salovey & Mayer, 1990). The skill sets which are included in this explanation of EI are using emotion to facilitate thinking, understanding emotion, managing emotion, and perceiving emotion. Other researchers view EI as a mixed model, including both ability and dispositional traits (Goleman, 1995). Still, other mixed models take into account the factors of mood, motivation, social skills and well-being to define emotional intelligence (Bar-On, 2007). Bar-On credits, Darwinism, Thorndike's theory of social intelligence, Wechsler's observation of non-cognitive factors, and Gardner's theory of multiple intelligences, and others as major impacts on his famous model (Bar-On, 2007). Bar-On, Bar-On (1997) defined EI as "an array of non-cognitive capabilities, competencies, and skills that influence one's ability to succeed in coping with environmental demands and pressures" (p. 14).

For testing individuals' emotional intelligence, Bar-On developed a 133-item self-report Emotional Intelligence scale. The Bar-On EI test, called the emotional quotient inventory (EQ-I), is a self-report measure of emotionally and socially intelligent behavior that offers an estimate of emotional-social intelligence (Bar-On, 1997). This test covers 5 major scales and 15 subscales contributing to the emotional energy and self-motivation required to deal with daily environmental challenges and obstacles as follows (see also Bar-On, 2000):

- (1) Intrapersonal: managing oneself, the ability to know one's emotions.
 - (a) Emotional self-awareness (the ability to be aware of, recognize and understand one's emotions).
 - (b) Assertiveness (the ability to express one's feelings, beliefs, thoughts and to defend one's right).
 - (c) Self-regard (the ability to be aware of, understand, accept and respect oneself).
 - (d) Self-actualization (the ability to realize and reach one's potential).
 - (e) Independence (the ability to be self-directed and self-reliant in one's thinking and actions and to be free from emotional dependency).
- (2) Interpersonal: managing relationships with others.
 - (a) Empathy (the ability to understand and appreciate others' feelings).
 - (b) Interpersonal-relationship (the ability to establish and maintain mutually satisfying relationships that are characterized by emotional closeness and intimacy and by giving and receiving affection).
 - (c) Social responsibility (the ability to demonstrate oneself as a cooperative, contributing and constructive member of one's social group).
- (3) Adaptability: ability to adjust to change.
 - (a) Problem solving (the ability to effectively solve problems).

- (b) Reality testing (the ability to validate one's feelings and thoughts by assessing the correspondence between what is subjectively experienced and what objectively exists).
- (c) Flexibility (the ability to adjust one's feelings/thoughts to change).
- (4) Stress management: controlling stress
 - (a) Stress tolerance (the ability to manage one's strong emotions, adverse events, and stressful conditions by positively coping with problems).
 - (b) Impulse control (the ability to control one's emotions and resist an impulse to act).
- (5) General mood: the ability to be optimistic and positive as well as to enjoy life.
 - (a) Happiness (the ability to feel satisfied with life and to have fun).
 - (b) Optimism (the ability to look at the brighter side of life and maintain a positive attitude in the face of problems).

EI has been extensively under study both theoretical and experimental within the few last decades. It has been associated significantly and positively to enhanced adapted behavior such as: overall relationship satisfaction and stability (Gottman, et al., 2001), social life with higher quality social life (Lopes, et al., 2003), improved academic achievement (Nelson and Nelson, 2003; Parker et al., 2004), longer retention in the educational arena (Parker, et al., 2006), more satisfaction in one's life (Bastin, et al., 2005) and the utilization of better adjusted coping strategies (Gohm & Clore, 2002; Matthews et al., 2006).

Moreover, teachers' EI, especially that of EFL teachers, has been under research scrutiny. Iordanoglou (2007), for instance, explored the relationship between EI, job commitment, leadership and satisfaction among Greek 332 primary education teachers. The findings revealed that EI could positively impact leadership effectiveness and is also closely related to teachers' satisfaction and commitment. The results insinuate that in addition to cognitive abilities, the selection criteria in education should also cover emotional competencies to ensure educators' acceptable performance.

OBJECTIVE OF THE STUDY

As noted earlier, much research has been done on EI (e.g., Brackett and Salovey, 2006; Schutte et al., 1998) and on self-efficacy (e.g., Ross, 1994; Tschannen-Moran et al., 1998), but little (Chan, 2004) has been conducted on the relationship between these two constructs. As long as these two coping resources, EI and efficacy, are of current concern in all areas of education (Tschannen-Moran et al., 1998) and since they contribute to teaching effectiveness (Mortiboys, 2005; Pajares, 1992), some research should be done in the EFL setting to investigate if and how they are related. Summarizing, the current study aims at exploring the bond between EFL teachers' EI and self-efficacy.

As such, the following two research questions were addressed in the study:

- 1) Is there any statistically significant relationship between emotional intelligence and self-efficacy among EFL teachers?
- 2) Is there any statistically significant difference in teachers' EI and perceived self-efficacy regarding demographics?

METHODOLOGY

Participants

Upon obtaining permissions from principals, 5 private language institutes were sampled based on accessibility criterion in Iran. Out of 103 recruited EFL teachers, 71 returned completed questionnaires (about 69 % return rate). Of the teachers who responded, 45 were male and 26 were female. Their ages ranged from 23 to 48 years old ($M=34.36$, $SD=9.36$) with a range of between 1 and 24 years of teaching experience ($M=10.18$, $SD=11.22$).

Instruments

EI and self-efficacy measures were utilized along with a demographic form asking about the participants' age, gender, marital status and years of teaching experience.

Emotional Intelligence Scale

To assess language teachers' EI, the researcher used Bar-On EI test (Bar-On, 1997). This test employs a 5-point response scale with responses ranging from strongly disagree to strongly agree. It consists of 5 major factors and 15 sub-factors or components. A Persian version of the EI scale with 90 items was used in this study (Appendix A). To analyze the norms of the Farsi version of the questionnaire, Samouei (2003) sampled 500 university students (with

age range of 18-40 years) in Iran. He found that the test has appropriate internal consistency, test-retest reliability, and constructs validity. With the adapted Farsi version, the Cornbach's alpha coefficient was found to be 0.93 and the reliability index gained through odd-even, split-half method was [0.88].

Self-efficacy Scale

In this study, the short form of the Teacher Sense of Efficacy Scale (Tschannen-Moran and Woolfolk Hoy, 2001) was utilized (Appendix B). The short version of this scale consists of 12 items. Participants responded to the items by indicating their degree of agreement with each of the 12 statements using a five-point likert-type scale ranging from 1 (nothing) to 5 (a great deal). The reliability for the original 12-item scale is 0.90 (Tschannen-Moran and Woolfolk Hoy, 2001). In the current study, the reliability estimate (Cornbach's alpha coefficient) of the scale was $\alpha = 0.86$.

Procedure

To get reliable data and comply with research ethics, the researcher explained the objective of the research to the subjects and informed them about the estimated time required to fill in the scales (about 25 minutes). Furthermore, all participants were assured that their taking part in the study would be anonymous and optional. It was also added that the findings would include group data and that individual participants and language institutes would not be publicized or known. This information was offered in an informed permission sheet that was submitted with the survey folder. The completion of the survey suggested implied consent and therefore no signed consent form was returned. Teachers were encouraged to contact the investigator if any questions or concerns showed up as a result of their participation in the research. They took the questionnaires home, completed them and submitted to the researcher within 2 weeks.

Finally, in order to answer the research questions, the responses received from the scales were arranged in tables and analyzed.

RESULTS

In order to investigate the relationships between teachers' EI and self-efficacy, a Pearson Product-Moment Correlation analysis was conducted. The findings showed that there was significant positive correlation between these two constructs ($r = -0.71, p < 0.01$) (Table 1).

Table 1: The results of correlation between teachers EI and self-efficacy

	Self-Efficacy
EI	0.71**

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

To analyze the data further, Regression Analysis was conducted. The results indicated that teachers' total score of EI was a positive predictor of the dependent variable (teacher self-efficacy). In this part of the research $R^2 = 0.50$ ($\beta = .71, t = 8.41, p < .01, F(1, 71) = 70.76$), indicating that 50 % of the variance in self-efficacy is explained by the independent variable, EI (see Table 2).

Table 2: Regression analysis summary for EI predicting self-efficacy

Predictor	R	R ²	F(1, 70)	B	SEM	Beta (β)	t
EI	.71	.50	70.76**	9.69	14.85	.71	8.41**

** $p < .01$

Pearson product-moment correlation was used to investigate the role of teaching experience in teachers' EI and self-efficacy. The results showed that teachers' years of teaching experience was positively related with their overall EI ($r = 0.42, p < 0.01$) and self-efficacy ($r = 0.62, p < 0.01$) (Table 3).

Table 3: Correlations of teacher EI and self-efficacy and burnout with years of teaching experience (YTE)

	YTE
EI	0.42**
Self-Efficacy	0.62**

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

Finally, to explore whether there were significant emotional intelligence and self-efficacy differences among EFL teachers with respect to gender and marital status, two factorial ANOVA analyses were conducted for emotional intelligence and self-efficacy separately with independent variables of gender and marital status. In this way, individual and joint effects of the two independent variables on the dependent variable could be checked.

Since all the prerequisite ANOVA assumptions - Independence of observations, Normality, and Homoscedasticity - were met. First, a 2X2 ANOVA was run to explore the impact of gender and marital status on self-efficacy. The results revealed statistically significant main effect for marital status ($F(1, 71) = 13.75, P = .001$), and the effect size was ($\eta^2 = 0.17$). It was shown that married teachers' self-efficacy ($M = 144.35, SD = 21.51$) was noticeably higher than that of unmarried participants ($M = 125.57, SD = 17.23$). However, the main effect for gender ($F(1, 71) = 1.63, P = 0.26, \eta^2 = .02$), and the interaction effect (Gender * Marital Status) ($F(1, 71) = 1.29, P = 0.25, \eta^2 = .01$) did not reach statistical significance (Tables 4 and 5).

Table 4: Descriptive Statistics (Dependent Variable: Self-Efficacy)

Gender	Marital Status	Mean	Std. Deviation	N
Female	Married	137.33	19.75	12
	Single	125.14	15.33	14
	Total	130.76	18.23	26
Male	Married	148.78	21.90	19
	Single	125.80	18.46	26
	Total	135.51	22.84	45
Total	Married	144.35	21.51	31
	Single	125.57	17.23	40
	Total	133.77	21.26	71

Table 5: Tests of Between-Subjects Effects (Dependent Variable: Self-Efficacy)

Source	Type III Sum of Squares	Df	Mean Square	F	Sig.	Partial Eta Squared
Corrected Model	7128.81 ^a	3	2376.27	6.495	.001	.22
Intercept	1173243.43	1	1173243.43	3206.94	.000	.98
Gender	597.58	1	597.58	1.63	.206	.02
Marital Status	5031.77	1	5031.77	13.75	.000	.17
Gender * Marital Status	473.66	1	473.66	1.29	.259	.01
Error	24511.57	67	334.45			
Total	1302232.00	71				
Corrected Total	31640.39	70				

a. $R^2 = .25$ (Adjusted $R^2 = .19$)

To explore the impact of gender and marital status on Emotional intelligence among EFL teachers, another two-way between-group ANOVA was conducted. The results indicated a statistically significant main effect for marital status ($F(1, 71) = 9.73, P = .003, \eta^2 = 0.12$) with married teachers' EI ($M = 362.61, SD = 45.88$) significantly lower than that of single teachers ($M = 331.02, SD = 33.25$). But no significant gender effect ($F(1, 71) = 6.95, P = .32, \eta^2 = 0.01$) and interaction effect ($F(1, 71) = .69, P = .40, \eta^2 = 0.00$) was noticed. In other words, the effect of one independent variable on the dependent variable did not depend on the level of the second independent variable (Tables 6 and 7).

Table 6: Descriptive Statistics (Dependent Variable: EI)

Gender	Marital Status	Mean	Std. Deviation	N
Female	Married	353.41	30.62	12
	Single	328.214	27.97	14
	Total	339.84	31.36	26
Male	Married	368.42	53.32	19
	Single	332.53	36.21	26
	Total	347.68	47.21	45
Total	Married	362.61	45.88	31
	Single	331.02	33.25	40
	Total	344.81	42.03	71

Table 7: Tests of Between-Subjects Effects (Dependent Variable: EI)

Source	Type III Sum of Squares	Df	Mean Square F	Sig.	Partial Eta Squared	
Corrected Model	19252.25 ^a	3	6417.41	4.11	.010	.15
Intercept	7775136.66	1	777513.66	498.00	.000	.98
Gender	1519.56	1	1519.56	.97	.327	.01
Marital Status	15177.13	1	15177.13	9.735	.003	.12
Gender * Marital Status	463.96	1	463.96	.29	.58	.00
Error	104458.36	67	1559.08			
Total	8565518.00	71				
Corrected Total	123710.62	70				

a. $R^2 = .15$ (Adjusted $R^2 = .11$)

DISCUSSION

The current study explored the relationship between emotional intelligence and self-efficacy and the extent to which these two constructs are moderated by gender, teaching experience, and marital status in a sample of Iranian ELT teachers. The results revealed that there is a significant positive relationship between EI and teaching efficacy. In other words it was shown that the higher teacher EI, the higher their self-efficacy. Further, EFL teachers' EI proved to be a potent predictor of teacher self-efficacy. This is consistent with previous theoretical and empirical studies, though limited in TESOL context.

Bandura (1997) opined that somatic information caused by physiological and emotional states affected efficacy beliefs (p. 106). Also part of the variation in teacher efficacy is the result of variance in teachers' emotions (Sutton and Wheatley, 2003). Along the same line, Chan (2004) found that components of EI could significantly predict self-efficacy. The results of the present study corroborate those of Penrose et al. (2007) indicating that there is a moderate association between EI and teacher self-efficacy of primary and secondary school teachers. Therefore, it is interesting and useful to curriculum planners, teacher educators and language teachers that EI and self-efficacy are positively correlated, because each of them has the potentiality to be ameliorated, and each can positively affect the other. Put it another way, increasing EI during teacher education programs can help to the burgeoning of teachers' self-efficacy and vice versa.

The results also revealed a positive correlation between participants EI and years of teaching experience. In other words, teachers' emotional experiences are likely to increase with every year of teaching. This is in accordance with

previous research indicating that EI is acquired and enhanced through learning and continuous experience (Goleman, 1995). Bar-On (2000) also argued that EI can be ameliorated through training, programming and therapy.

As for the influence of gender, it was shown that there was no significant difference between EI and self-efficacy of male and female teachers. It shows that, disregarding experience, both male and female teachers can be triumphant in their career. These results corroborated those of Gencer and Cakiroglu (2007). These findings were also in line with the findings of Hopkins and Bilimoria (2008) while in discordance with those of Ciarrochi, Chan and Bajgar (2001) which showed that there were significant differences between females and males, with females reporting higher EI levels. This conflict may be connected to cultural and environmental issues. Another reason for this lack of gender difference is that female teachers might underrate their competence or men might overrate theirs or both. Whether there were no real gender differences, or the real gender differences could not be noticed by self-report scales in the current lines of results has to await further research.

Finally, the results revealed significant EI and self-efficacy differences with respect to marital status among EFL teachers, such that married teachers' EI and Self-efficacy were significantly higher than those of single teachers. One plausible explanation for these findings is that marriage could offer an emotionally fulfilling intimate association, meeting the need for social connection and involvement, which could have implications for both physical and mental health (House, Umberson & Landis, 1988). Research shows that marriage reduces depressive symptoms in both men and women (Simon, 2002). As such, married teachers can more efficiently avail themselves of their emotional resources in coping with stressful situations in EFL context. Moreover, the influence from the people in one's life, family, occupation or education, can estimate the level of self-efficacy in that person (Bandura, 1997). Likewise, married teachers' responsibilities on parenthood, marital life and occupational affairs yield a high self-efficacy.

CONCLUSION AND IMPLICATION

In essence, the findings of the present study suggest that ameliorating teachers' emotional intelligence might positively influence their self-efficacy. These findings may have implications for teachers' well-being, pro-social behavior, motivation and teaching effectiveness and accordingly students' achievement. As Bar-On (2000) argued, EI develops gradually and can be enhanced via educational programs and therapy. As such, the findings underline the importance of establishing and developing pre-service and in-service programs for teachers to focus on the skills related to emotional management and regulation. According to Moafian and Ghanizadeh (2009, p. 715), "these courses are expected to help teachers manipulate their emotions appropriately, shift undesirable emotional states to more productive ones, understand the link between emotions, thoughts and actions, attract and sustain rewarding interpersonal relationships in the classroom, and be sensitive to students' emotions."

In addition, based on the results of this research, it is not equitable to judge a teacher based on only one of his/her characteristics. Each teacher with certain kinds of demographics is unique and no over-general statements can be made about him/her. Thus, educational stakeholders can help teachers to surmount their problems better by knowing how different teachers are and how these differences lead to different performances, outcomes and perceptions in the school and classroom arenas.

In the current study, the participants were not diverse enough. Therefore, any generalization of the findings to other contexts should be done with caution. It is recommended that the present study be replicated with a larger and more representative and diverse sample of the EFL teacher population. Also Future research should utilize measures based on objective performance along with self-reporting measures to gain a more precise estimate of teacher EI and self-efficacy. Future research should also examine demographic variables such as academic subjects taught, grade level taught, and economic status. Last but not the least, in future research, different dimensions of emotional intelligence and self-efficacy should be taken into account. In the current study only overall measures of teacher self-efficacy and EI were considered.

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ABSTRACT

The present study attempts to determine the theoretical basis of the Noun Phrase Accessibility Hierarchy in second language acquisition. Various studies have reported that the order of this hierarchy can be a valid predictor of the difficulty of relative clauses. However, it is unclear whether this difficulty should be attributed to the grammatical function of noun phrases (grammatical relation) or the configurational differences in the relative clause structure. A few articles have reported that learners of English would be more sensitive to configurational distinction than grammatical relation distinction in relative clause production, implying that the former determines the difficulty of relative clauses in comprehension and production. In order to clarify this issue, two experiments were conducted. The results indicated that Japanese learners of English have a tendency to be more sensitive to configurational distinction than to the difference in grammatical relation and the difference in thematic role in both comprehension and production. The implications of these findings and directions for future research are also discussed.

KEYWORDS: second language acquisition, relative clause, configuration, grammatical relation

INTRODUCTION

Relative clause acquisition in second language acquisition (SLA) has been one of the most active areas in applied linguistics. Relative clauses have been considered to be a grammatical item that is acquired in the later stage of language acquisition in both first and second languages. This is because relative clause formation includes syntactically complex linguistic manipulation. In other words, the relative clause is a relatively more complex feature than other grammatical features. Since the 1970s, research on English relative clause acquisition and/or learning has been conducted among a variety of contexts using different approaches. There are a few strong hypotheses on the difficulty of relative clauses in comprehension and production. Among these hypotheses, the Noun Phrase Accessibility Hierarchy proposed by Keenan and Comrie (1977) has been validated by many researchers so far.

Keenan and Comrie (1977) proposed this hierarchy (subject > direct object > indirect object > object of preposition > genitives > object of comparative; where > means 'is more accessible than') based on the framework of relational grammar. The grammatical relation in relational grammar is assumed to be primitive and a derivative of the configurational structure⁽¹⁾. This hierarchy originally suggested that if a language can relativize a given position in the hierarchy, then it will be able to relativize all the higher positions in that hierarchy (Ohba, 1995: 19). However, after Comrie (1981) argued that the hierarchy may be able to predict the learning order and the frequency of the appearance of relative clauses in written materials, SLA researchers began examining the validity of this order in the hierarchy in terms of a variety of contexts. Although Keenan and Comrie (1977) did not explicitly argue that the grammatical relation in relative clauses plays a crucial role in determining the difficulty of relative clauses in comprehension and production, SLA researchers absorbed in the markedness theory in the 1980s utilized the hypothesis to find some practical implications for language teaching (Gass, 1982; Eckman, Bell, and Nelson, 1988)⁽²⁾. This was done without testing whether the grammatical relation per se determines the difficulty of relative clauses. Eventually, the Noun Phrase Accessibility Hierarchy was adopted in SLA research where researchers believed, without much consideration, that the grammatical relation in the relative clause structure could account for the difficulty of relative clauses. The validity of a grammatical relation as a theoretical basis for determining the difficulty of relative clauses was never tested, but the language data collected from second language learners basically conformed to the order in this hierarchy. This fact has only made it easier for SLA researchers to conclude that the grammatical relation could account for the difficulty of relative clauses.

However, some SLA researchers have begun questioning the theoretical foundation of the Noun Phrase Accessibility Hierarchy in SLA due to the observation that the genitive relative clause (GEN) is sometimes produced more accurately by second language learners than the hierarchy initially predicts. The GEN is placed after the object of preposition (OPREP) in the hierarchy and should therefore be more difficult than a relative clause of a subject (SU), direct object (DO), indirect object (IO), and OPREP. Despite this, the GEN is often produced as accurately as or more accurately than a subject relative clause, which is predicted to be the easiest item in the hierarchy. Gass (1980) reported that in language production tasks such as sentence combining tasks, her subjects showed equally high accuracy in GEN test items and subject relative clauses. Her study also mentioned that GENs in English are constructed as units of [whose + noun phrase (NP)] and the role of the NP following the GEN marker *whose* may be able to determine the difficulty of GENs. This implies that if the role of the NP in the GEN is the subject, then the difficulty of the GEN may be equivalent to that of the subject relative clause. However, she did not clearly explain why the GEN could be produced as accurately as a subject relative clause.

The proposal⁽³⁾ made by Hamilton (1994) is clearer and even more specific than Gass's explanation. Hamilton (1994) proposed another theoretical foundation for the Noun Phrase Accessibility Hierarchy based on Chomsky's Standard Theory. Chomsky's theory, the polar opposite of the relational grammar approach (Keenan & Comrie, 1977; Gass, 1982; Eckman, Bell, & Nelson, 1988), assumes that the configurational structure is primitive: the grammatical relation emerges from this structure in generative grammar. Hamilton (1994) argues that, based on the theoretical framework applied in Wolfe-Quintero (1992), the varying difficulty of the different relative clauses is due to the degree of phrasal discontinuity set up by the *wh*-extraction in each of the English relative clause types. He also argues that the high accuracy of second language learners in the GEN test items in Gass (1980) can be explained by the configurational approach using the following two points: (1) the *wh*-extraction site in GEN relativization changes according to the phrasal structure position of the possessed NP and (2) all the GEN sentences in Gass (1980) and the tasks prepared by other researchers that involved the possessed subject or direct object NPs (Hamilton, 1994, p. 150)⁽⁴⁾.

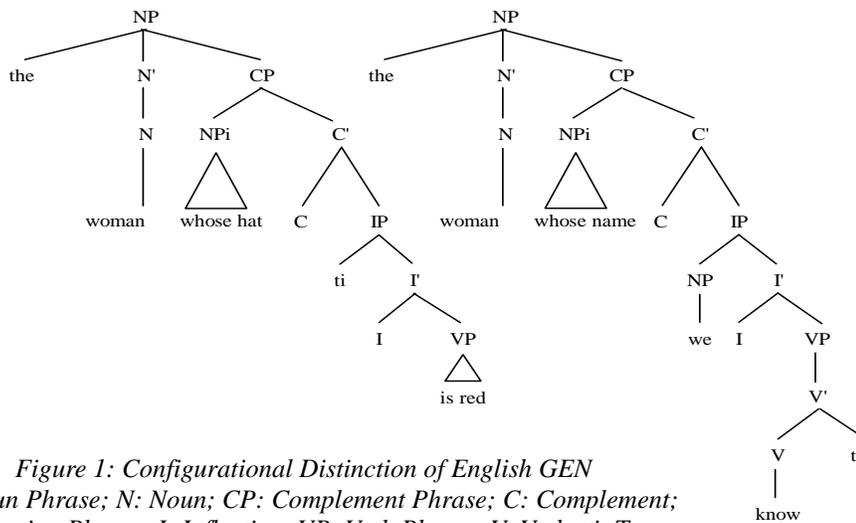


Figure 1: Configurational Distinction of English GEN
 NP: Noun Phrase; N: Noun; CP: Complement Phrase; C: Complement;
 IP: Inflection Phrase; I: Inflection; VP: Verb Phrase; V: Verb; ti: Trace

The configurational distinction of English GEN according to the phrase structure position of the possessed NP is exemplified by the two tree-diagrams displayed above (see Figure 1). If we count the nodes intervening between the gap and the head of the relative clause, we can see that the structural distance between the gap and the head is greater in [whose + NP (DO)] than in [whose + NP (SU)]. This is because the number of nodes between the gap (trace) and the head (woman) is 3 (IP, C', and CP) in [whose + NP (SU)] and 6 (V', VP, I', IP, C', and CP) in [whose + NP (DO)]. Therefore, we can assume that the transformation distance in relativization is longer in the unit of [whose + NP (SU)] than in that of [whose + NP (DO)], which implies that in relativizing⁽⁵⁾, [whose + NP (SU)] may be more difficult for the participants than [whose + NP (DO)]. In an attempt to test the validity of this configurational account on the difference in the difficulty of [whose + NP], Ito (1995) carried out a research project in order to examine if there is another Noun Phrase Accessibility Hierarchy in GENs, [whose + NP (SU)] > [whose + NP (DO)] > [whose + NP (IO)] > [whose + NP (OPREP)] > [whose + NP (OCOMP)]. The results indicated that there may be another hierarchy in GENs and the each GEN's difficulty level can be explained in terms of the role of the unit of [whose + NP]. In other words, although a certain relative clause is GEN, its difficulty may change according to the type of NP. However, Ito's study could not directly explain the supremacy of the configurational approach over the grammatical relation approach in interpreting the second language learners' data because he did not provide any evidence to prove

that the former approach is more useful than the latter one. In other words, he only provided indirect evidence to show that the difficulty of GENs changes in direct proportion to the order in the original Noun Phrase Accessibility Hierarchy. As a consequence, Ito should consider that since different types of GENs differ in terms of their difficulty levels, their difficulty may be related to the difference in the location of the NP. Thus, his argument can be interpreted based on grammatical relation and not configurational account.

Thus far, there are two different interpretations of the Noun Phrase Accessibility Hierarchy. The question that arises is which of the two is better.

In the first attempt to clarify the effects of configurational distinction on English relativization, Hamilton (1995) measured second language learners' sensitivity in English relativization in terms of the configurational distinction associated with argument prepositional phrases (PPs) versus adjunct PPs and the difference in grammatical relation between the IO and the OPREP. If we attempt to find the configurations that are constant throughout but are clearly different in terms of the grammatical relation or vice versa, the similarity in terms of word order and distinction in terms of the configuration between the IO and the OPREP can be used in order to empirically examine the language sensitivity to configurational distinction or the grammatical relation.

In English, both the IO and the OPREP are PPs. In addition, the IO is always an argument PP, while the OPREP can be either an argument or adjunct PP. With regard to the phrase structure, the adjunct PP has a tendency to be placed higher than the argument PP (Radford, 1988: 237–239). Pinker (1989: 40–41) argues that the argument status of an NP is indicated by it being existentially entailed by the verb or being obligatory in the surface structure. Moreover, IOs are identified by their ability to undergo dative shift, which most OPREPs are unable to do.

In sentence combing tasks, in Hamilton (1995) investigated whether his participants performed differently on the same OPREPs if the configuration was different. His study indicated that second language learners showed sensitivity to configurational distinction in English relative clause production. Since a statistically significant level was not found, the results only showed that the configurational version may be more promising than the account based on the grammatical relation. It is thus reasonable to state that Hamilton's study has made a significant contribution in determining the theoretical basis of the Noun Phrase Accessibility Hierarchy in SLA research. However, there are several drawbacks in his research design. One of the most serious drawbacks was the sampling of participants. The investigation consisted of three comparisons of the participants' test performances in sentence combining tasks. In the first investigation, participants were sampled from the University of South Carolina to examine if there was any statistical difference in the participants' test scores in a pair of configurational differences: argument (OPREP) versus adjunct (OPREP). In the second investigation, participants were gathered from the University of Alabama and the University of North Carolina (Charlotte) to determine if there was any statistical difference in the participants' test scores in a pair of grammatical relation difference: argument (IO) versus argument (OPREP). Finally, in the third investigation, the participants were gathered from the three universities mentioned above to test the effects of thematic distinction on the difficulty of relative clauses: adjunct (OPREP, beneficiary goal) versus adjunct (OPREP, goal). The third investigation was conducted to ensure that the thematic value never affected the difficulty of relative clauses, which provided essential evidence for interpreting the results of the second investigation because Hamilton could not construct the test items with the same thematic values. Therefore, he attempted to conclude that grammatical relation does not affect their accuracy in English relativization if thematic distinction does not have any effect on the participants' accuracy in relativization. Since the purpose of Hamilton's study was basically to test the superiority of configuration to the grammatical relation, the author believes that the same participants should have been gathered if he intended to show that the same English learners were sensitive to configurational distinction but not to the distinction based on the grammatical relation. Therefore, at this point, his study should be replicated in a more controlled condition.

Moreover, in mainstream SLA research, the Noun Phrase Accessibility Hierarchy has been accepted as a valid predictor of the difficulty of relative clauses based on the grammatical relation because the order in the hierarchy has conformed to the linguistic data from second language learners not only in production but also in comprehension. Therefore, we should also examine whether or not second language learners show sensitivity to configurational distinction in either production or comprehension tasks.

Two experimental studies are reported in this paper. The first is the replication of Hamilton's study in a more controlled condition. By employing a grammaticality judgment test, the second study examines if the second language learners are more sensitive to configurational distinction than the distinction of the grammatical relation at the level of linguistic comprehension.

EXPERIMENTS

The First Experiment

Purpose

The purpose of the first Experiment was to replicate and expand the findings of Hamilton (1995). In this investigation, Japanese learners of English as a foreign language (EFL) in a formal instructional setting were sampled and their performance in (1) configurational distinction, (2) distinction of the grammatical relation, and (3) thematic distinction were examined in terms of their test scores in sentence combining tasks. The participants were expected to be more sensitive to configurational distinction in English relativization. Based on the discussion thus far, the following hypotheses, which are originally from Hamilton (1995), were developed for the present study.

Hypotheses

Hypothesis 1: The performance of Japanese EFL learners will be significantly different for the relativization of NPs in argument versus NPs in adjunct if other factors are constant.

Hypothesis 2: The performance of Japanese EFL learners will not be significantly different for the relativization of NPs in IO versus NPs in OPREP if other factors are constant.

Hypothesis 3: The performance of Japanese EFL learners will not be significantly different for the relativization of NPs in beneficiary goal versus NPs in goal object if other factors are constant.

Analysis

The three hypotheses were evaluated by performing a one-way analysis of variance (ANOVA) with repeated measures in order to examine the overall difference of the test scores. Then, using Ryan's method, a multiple comparison test was conducted on three pairs of six testlets to clarify the location of the significant difference⁽⁶⁾.

Participants

The participants in this study ($N = 116$) were freshmen enrolled in English reading comprehension classes at a private university, Japan. All of them were native speakers of Japanese. The average age was 18 years and 6 months. Their ages varied from 18 to 20 years. All had completed at least six years of formal English courses prior to this study. The male:female ratio was 2:1. In general, Japanese students are required to learn the usage of English relative clauses in junior high school and high school.

Materials

The 30-item sentence combining test in Hamilton (1995: 113–114) (Appendix I) was administered. This test consists of six parts (A, B, C, D, E, and F), and each part has 5 items. The values of the configuration, grammatical relation, and theme are as follows: [(A) argument/OPREP/location], [(B) adjunct/OPREP/location], [(C) argument/IO/beneficiary goal], [(D) argument/OPREP/goal], [(E) adjunct/OPREP/beneficiary goal], and [(F) adjunct/OPREP/goal]⁽⁷⁾. All the intended relative clause sentences are right-embedded because the difference in the placement of the relative clause in each sentence is one of the influential factors of the difficulty of relative clauses (Kawauchi, 1988).

Test Item Classification

Example: configurational distinction

Type A: argument/OPREP/location

We left the table. I placed the money on the table.

Type B: adjunct/OPREP/location

She drove the bus. I did my homework on the bus.

In order to clarify the configurational distinction between argument and adjunct, the author has added some explanations describing the test items in A and B. The tree diagrams displayed below (Figure 2) show that a

reanalysis, which should be carried out in V', can be conducted in the case of argument but not in the case of adjunct. The argument "on the table" is one of the components of V' but the adjunct "on the table" is attached to the VP. In other words, the adjunct "on the bus" is generated from the VP "did my homework." Therefore, the argument and adjunct can be said to differ in terms of configuration.

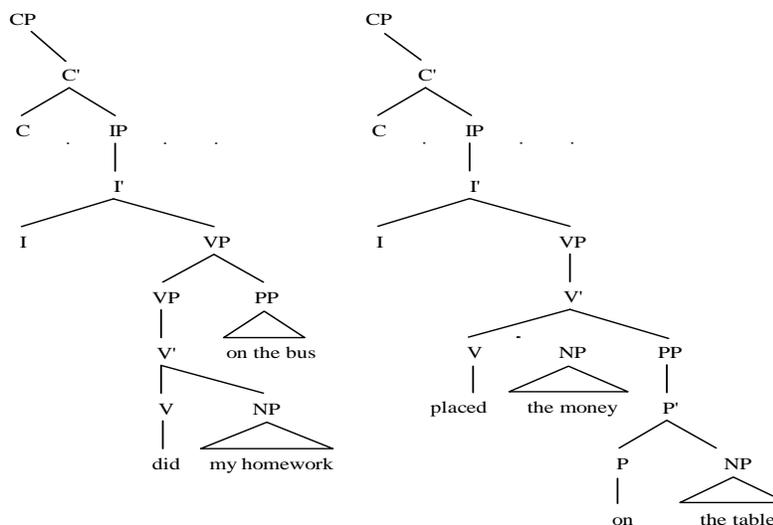


Figure 2: Configurational Structure

CP: Complement Phrase; C: Complement; IP: Inflection Phrase; I: Inflection;
 VP: Verb Phrase; V: Verb; PP: Prepositional Phrase; P: Preposition;
 NP: Noun Phrase

Procedures ⁽⁸⁾

The sentence combining test was administered to the participants in a warm-up period in the author's English reading comprehension classes. The participants were given oral and written instructions in Japanese, and they were given 30 minutes to complete the test. Although the participants were not informed of the purpose of the investigation, they were encouraged to answer as many questions as possible. The test papers were scored by the author. The scoring was based on whether the participants had used an appropriate relative pronoun in order to combine the two sentences based on the criterion established in Celce–Murcia and Larsen–Freeman (1983) and Quirk, Greenbaum, Leech, and Svartvik (1985). The author ignored local errors such as spelling, agreement, articles, third-person singular present verb markers, plurality, and so forth as long as he could understand the meaning of the participants' answers.

Reliability Estimation

The Spearman–Brown split-half method was performed in order to measure the reliability coefficient of the relative clause test. The split-half method can be used when each test item is considered to be independent and can also contribute to the total test score independently (Brown, 1996, pp. 194-196). Since each item is clearly independent in this relative clause test, this method is a permissible estimating procedure for the test. In this method, the author scored the odd and even numbered items separately and first, examined the Pearson's product-moment correlation (r). Each value was then corrected for the reduction to half-test length using the Spearman–Brown prophecy formula ($r_{xx'} = 2r/1+r$).

Test Item Validation

In order to calculate the contribution of each item to the total test score, this correlation was estimated. Moreover, the calculated value of this correlation was first changed by the Fisher z transformation in order to average the mean score of the correlation coefficient of each item. Then, the estimated value was adjusted to its corresponding Pearson's product-moment correlation coefficient value. The reason why the estimated values of point-biserial correlations were transformed by the Fisher z format is that, in this type of test, it is necessary to convert correlation coefficients from an ordinal scale to an interval one. The value of this mean score of the point-biserial correlation

(r_{phi}) will be used as an indicator of the validity of the relative clause test.

RESULTS AND DISCUSSION

The reliability coefficient of the 30-item relative clause test by the *Spearman-Brown split-half method* was 0.84. In addition, the validity coefficient was 0.26. Since the reliability coefficient was high and the validity coefficient was acceptable (Brown, 1996), the test scores were used for statistical analyses without any modifications.

Table 1: Descriptive statistics ($N=116$)

Test section	Grammatical Relation	Configuration	Thematic Role	Mean	Full Score	SD
A	OPREP	argument	location	5.00	3.19	1.35
B	OPREP	adjunct	location	5.00	2.16	0.82
C	IO	argument	Beneficiary-Goal	5.00	3.58	0.98
D	OPREP	argument	Goal	5.00	3.37	1.13
E	OPREP	adjunct	Beneficiary-Goal	5.00	2.44	1.18
F	OPREP	adjunct	Goal	5.00	2.31	1.25

Table 1 shows the mean scores and standard deviations in each section of the sentence combining test. In order to examine the difference between the mean scores in each pair of the configurational distinction groups (A and B), grammatical relation distinction group (C and D), and thematic distinction group (E and F), one-way ANOVA with repeated measures was first performed.

Table 2 indicates an overall significant difference ($F = 87.14$, $p < 0.01$). Multiple comparison tests using Ryan's method were conducted on the three pairs of six testlets (A and B, C and D, and E and F) in order to address the three hypotheses. The results of the multiple comparison tests were discussed by examining each of the three hypotheses given below.

Table 2: Analysis of Variance (ANOVA) ($N=116$)

Source	SS	df	MS	F-ratio	p level
Participant	449.13	115	3.91		
Distinction	331.16	5	66.23	87.14	<0.01
Error	438.67	575	0.76		
Total	1218.96	695			

GR: grammatical relation; TIC: test item characteristic

Hypothesis 1: The performance of Japanese EFL learners will be significantly different for the relativization of NPs in argument versus NPs in adjunct if other factors are constant.

The result of the multiple comparison tests on the mean scores in the configurational distinction group (A and B) revealed that there was a statistically significant difference between the mean scores (A: $M = 3.19$; B: $M = 2.16$), which implied that the Japanese EFL learners performed significantly better in the argument condition than in the adjunct one ($t = 8.86$, $p < 0.01$). Therefore, the first hypothesis was supported. It can be concluded that the Japanese EFL learners were sensitive to the configurational distinction in English relativization.

Hypothesis 2: The performance of Japanese EFL learners will not be significantly different on the relativization of NPs in IO versus those in OPREP if other factors are constant.

Another multiple comparison test on the mean scores in the grammatical relation group (C: $M = 3.58$; D: $M = 3.37$) shows that there was no statistically significant difference between the mean scores. This implies that the Japanese EFL learners performed equally on the two pairs without being influenced by the difference in the grammatical relation ($t = 1.80$, $n.s.$). Therefore, the second hypothesis was supported.

Hypothesis 3: The performance of Japanese EFL learners will not be significantly different for the relativization of NPs in beneficiary goal versus NPs in goal object if other factors are constant.

Another multiple comparison test on the mean scores in the thematic distinction group (E: $M = 2.44$; F: $M = 2.31$) revealed that the performance of the Japanese EFL learners did not differ ($t = 1.13$, *n.s.*). This implied that the third hypothesis was also supported⁽⁹⁾.

The results may suggest that Japanese EFL learners are sensitive to configurational distinctions in various English relativizations. However, they are not sensitive to grammatical relation and thematic distinctions⁽¹⁰⁾. These results implied that the participants are sensitive “in the same way to hierarchically relevant distinctions in either grammatical relations or thematic roles” (Hamilton, 1995, p. 110). This also indicated that the data pertaining to second language learners’ data should be interpreted based on configuration rather than the grammatical relation and the thematic role. In other words, configurational distinction is more economical than the other two because the configurational approach elegantly illustrates the changes in the scores of relative clause production. Although many SLA researchers do not deny the effectiveness of the Noun Phrase Accessibility Hierarchy as a predictor of the difficulty of various types of relative clauses in both comprehension and production, we perhaps consider that the difficulty of relative clauses should be explained in terms of configurational differences rather than grammatical relations. However, the hierarchy is the hypothesis that was initially put forward as an implicational universal grammar. The results of this study should be interpreted as a counterargument not for the theoretical foundation of the hierarchy itself but for the attitudes of SLA researchers. These researchers simply hastened to use the implicational grammar hypothesis for interpreting SLA data and were easily convinced that grammatical relation is the main factor in determining the difficulty of English relative clauses without examining the suitability of the theoretical basis of the hierarchy in the SLA context.

The Second Experiment

Purpose

The first purpose of this study was to evaluate the validity of the hypothesis proposed by Hamilton (1995) from a different perspective. In this investigation, Japanese EFL learners were sampled and their grammaticality judgments on the distinction of (1) grammatical relation and (2) configuration were examined. Since the validity of Hamilton’s hypothesis was ascertained in linguistic production tasks such as sentence combining tests in Experiment I, the participants were expected to be more sensitive to configurational distinction than to grammatical relation even in linguistic comprehension tasks such as grammaticality judgment tests. The present study employed the difference between (1) IO and OPREP as the distinction of grammatical relation and (2) argument and adjunct as that of configuration. The difference between pied-piping (PDPG) and preposition stranding (PPSG) is used in constructing the grammaticality judgment test. In “Government and Binding Theory,” as mentioned before, the reanalysis that should be carried out in V' can be conducted in the case of argument but not in the case of the adjunct PP. Thus, PPSG is grammatically acceptable in the argument PP but not in the adjunct PP because reanalysis cannot be carried out in V' in the case of adjunct. On the other hand, PDPG is grammatically acceptable in either argument or adjunct PP, which implies that the difference between PPSG and PDPG reflects the configurational difference between argument and adjunct (Mazurkewich, 1984; Bardovi-Harlig, 1987; White, 1987; Goodluck & Stojanovic, 1996; Park & Lee, 2001). Therefore, when other factors are constant, second language learners are expected to show different judgments in different configurational conditions but the same judgment in different grammatical relation conditions. In other words, this study will investigate whether second language learners show different grammaticality judgment on the acceptability of PPSG and PDPG if the configuration in the PP changes.

The author developed the following hypotheses based on the above discussion:

Hypotheses

Hypothesis 1: The grammaticality judgment of Japanese EFL learners will not be sensitive to the distinction of grammatical relation. Thus, their performance will not be significantly different for the grammaticality judgment of IO versus that of OPREP.

Hypothesis 2: The grammaticality judgment of Japanese EFL learners will be sensitive to the configurational distinction. Thus, their performance will be significantly different for the grammaticality judgment of NPs in argument PPs than in adjunct PPs.

Hypothesis 3: Japanese EFL learners will show a higher grammatical acceptability of sentences with NPs in

argument PPs than in adjunct PPs.

Hypothesis 4: Japanese EFL learners will show a higher grammatical acceptability of sentences with NPs in PPSG in argument PPs than in adjunct PPs.

Hypotheses 1 and 2 are developed in order to investigate whether grammatical relations or configurational distinction determines the participants' performance in grammaticality judgment. Hypothesis 3 is proposed because in argument PP, both PPSG and PDPG are grammatically acceptable; it can therefore be expected that more sentences will be judged correct in argument condition than in the adjunct one where PPSG is not permissible. Hypothesis 4 is constructed to interpret the result of hypothesis 3. Since both PPSG and PDPG are grammatically acceptable to the same extent in the argument condition, it is predicted that the participants will show a higher grammatical acceptability to PPSG in the argument condition than in the adjunct one where PPSG is not grammatically acceptable. If hypothesis 3 is supported, then the author will examine whether or not hypothesis 4 can be confirmed.

Analysis

The four hypotheses were evaluated by performing two two-way ANOVAs with repeated measures in order to examine the overall difference of test scores. A multiple comparison test using Ryan's method was conducted to clarify the location of any significant differences. The details of factorial design will be described when discussing the results.

Participants

The participants in this study ($N = 77$) were sophomores enrolled in English reading comprehension classes at a private university, Japan. All of them were native speakers of Japanese. The average age was 20 years and 3 months. Their ages varied from 19 to 24 years. All of them had completed at least 6 years of formal English prior to the present investigation. The male: female ratio was 1:1. The sample was homogeneous with regard to nationality and language. In general, Japanese students are required to learn the usage of relative clauses in junior high school and high school. Therefore, it was concluded that the participants may have basic skills in comprehension and production of English relative clauses.

Materials

The 16-item grammaticality judgment test was constructed using the sentences provided in the sentence combining task prepared by Hamilton (1995) (Appendix II). This grammaticality judgment test consists of three parts [(A) (4 items)], [(B) (4 items)], and [(C) (8 items)]. The values of their grammatical relation and configuration are as follows: [(A) OPREP/argument], [(B) IO/argument], and [(C) OPREP/adjunct]. The difference between (A) and (B) is the value of the grammatical relation. In part A, 2 items present PPSG and the remaining 2 items PDPG. In part B, 2 items present PDPG and the remaining 2, PDPG. In part C, 4 items present PPSG and the other 4, PDPG. All the relative clauses are right-embedded because the difference in the location of the relative clause in each sentence is one of the influencing factors in the difficulty of relative clauses in comprehension and production (Sadighi, 1994; Aarts & Schils, 1995).

Native control

The author administered the grammaticality judgment test to a group of native English speakers ($N = 10$). All the participants were teaching English at tertiary schools in Japan. None of them accepted the sentences in PS in the adjunct condition.

Procedures

The grammaticality judgment test was administered to the participants in the author's English reading comprehension classes. They were given oral and written instructions in Japanese. They were asked to put an 'O' mark on all the sentences that they judged to be correct. Although the participants were not informed about the purpose of the test, they were encouraged to take the test seriously. The author scored the tests and only counted the test items that indicated each participant's acceptance in each section of the test. In addition, the reliability estimation and test item validation was carried out using the same procedures shown in Experiment I.

RESULTS AND DISCUSSION

The reliability coefficient of the 16-item grammaticality judgment test obtained by using the Spearman-Brown split-half method was 0.75. In addition, the validity coefficient was 0.21. Since the reliability coefficient was moderate to

relatively high and the validity coefficient was acceptable, the test scores were used for statistical analyses without any corrections for attenuation. Table 3 presents the mean scores of and standard deviations in each test item characteristic (PPSG and PDPG) in tests A (argument OPREP) and B (argument IO). The distinction between tests A and B is based on the distinction of grammatical relation.

Table 3: Descriptive statistics ($N=77$)

	Grammatical Relation	Configuration	Test item Characteristic	Mean	Full Score	SD
Test A	IO	argument	PP	1.08	2.00	0.64
Test A	IO	argument	PS	0.97	2.00	0.70
Test B	OPREP	argument	PP	1.07	2.00	0.67
Test B	OPREP	argument	PS	1.08	2.00	0.73

TIC test item characteristic

In order to determine whether there is a statistically significant difference between the mean scores, a two-way ANOVA was performed. The present inquiry employed a 2×2 factorial design, with the difference between grammatical relation (IO and OPREP) and test item characteristic (PPSG and PDPG).

Hypothesis 1: The grammaticality judgment of Japanese EFL learners will not be sensitive to the distinction of grammatical relation. Thus, their performance will not be significantly different for the grammaticality judgment of IO versus that of OPREP.

Table 4 describes the results of the two-way ANOVA investigating the effects of the two factors: (1) the difference between the grammatical relation (IO or OPREP) and (2) test item characteristic (PDPG or PPSG) on the participants' performances in the grammaticality judgment test.

Table 4: Analysis of Variance (ANOVA) ($N=77$)

Source	SS	df	MS	F-ratio	p level
Participant	20.01	76	0.26		
A: GR	0.16	1	0.16	0.33	0.56
Error [AS]	36.49	76	0.48		
B: TIC	0.16	1	0.16	0.18	0.67
Error [BS]	67.59	76	0.89		
A×B	0.26	1	0.26	0.93	0.34
Error [ABS]	21.4	76	0.25		
Total	146.07	307			

GR: grammatical relation; TIC: test item characteristic

The results indicated that neither of the two factors is statistically significant (grammatical relation: $F = 0.33$, $p = 0.56$; test item characteristic: $F = 0.18$, $p = 0.67$), which implies that Japanese EFL learners were neither sensitive to the grammatical relation nor to the test item characteristic when they attempted to judge the grammaticality of the sentences. The interaction between the two factors is not significant ($F = 0.93$, $p = 0.34$). In order to confirm the fact that there was no statistically significant effect of each factor on the grammaticality judgment, multiple comparison tests were also conducted using Ryan's method. First, the multiple comparison test on the distinction of grammatical relation revealed that there was no statistically significant difference between IO ($M = 1.03$) and OPREP ($M = 1.08$) ($t = 0.58$, $p = 0.56$). In addition, another multiple comparison test on the test item characteristic also indicated that there was no statistically significant difference between PDPG ($M = 1.08$) and PPSG ($M = 1.03$) ($t = 0.43$, $p = 0.67$). The results confirmed that the distinction of the grammatical relation and that of the test item characteristic did not affect the participants' grammaticality judgment. Therefore, hypothesis 1 was supported.

Hypothesis 2: The grammaticality judgment of Japanese EFL learners will be sensitive to configurational

distinction. Thus, their performance will be significantly different for the grammaticality judgment of NPs in argument PPs versus adjunct PPs.

In the examination of hypothesis 1, the equivalency of tests A and B was ascertained because the distinction of the grammatical relation and the difference of the test item characteristics were shown not to affect the grammaticality judgment of Japanese EFL learners. Table 3 describes the mean scores of and standard deviation of each test item characteristic (PPSG and PDPG) in the combination of tests A (argument OPREP) and B (argument IO) and in test C (adjunct OPREP).

Table 5: Descriptive Statistics ($N=77$)

	Grammatical Relation	Configuration	Test item characteristic	Mean	Full Score	SD
Test A&B	OPREP & IO	argument	PP	2.15	4.00	1.04
			PS	2.05	4.00	1.17
Test C	OPREP	argument	PP	2.03	4.00	1.07
			PS	1.81	4.00	1.16

This study also employed a 2×2 factorial design, with configurational distinction (argument and adjunct) and test item characteristic (PPSG and PDPG) as within subject factors. Table 4 shows the results of the two-way ANOVA examining the effects of (1) configurational distinction (argument or adjunct) and (2) test item characteristic (PPSG and PDPG) on the participants' performances in the grammaticality judgment test.

Table 6: Analysis of Variance (ANOVA) ($N=77$)

Source	SS	df	MS	F-ratio	p level
Participant	40.75	76	0.54		
A: Configuration	2.37	1	2.37	6.41	<0.05
Error [AS]	28.38	76	0.37		
B: TIC	1.43	1	1.43	0.51	0.48
Error [BS]	213.32	76	2.81		
A×B	0.55	1	0.55	0.43	0.52
Error [ABS]	98.2	76	1.29		
Total	385.00	307			

TIC: test item characteristic

The results indicated that the effect of configuration was significant ($F = 6.41$, $p < 0.05$) but the effect of test item characteristic was not significant ($F = 0.51$, $p = 0.48$), which implies that Japanese EFL learners are sensitive to the configurational distinction but not to the difference in the test items. In other words, the participants have a tendency to accept more sentences in the argument condition than in the adjunct one. The interaction between the two factors is not significant ($F = 0.43$, $p = 0.52$). At this point, we can argue that the participants are sensitive only to the configurational distinction. Therefore, hypothesis 2 was supported.

Hypothesis 3: Japanese EFL learners will show a higher grammatical acceptability of sentences with NPs in argument PPs than those in adjunct PPs.

In order to examine hypothesis 3, we conducted multiple comparison tests using Ryan's method on each of the two factors. The multiple comparison test on the configurational distinction revealed that there was a statistically significant difference between argument ($M = 2.10$) and adjunct ($M = 1.92$) ($t = 2.52$, $p < 0.01$). This result indicates that the participants showed significant grammatical acceptability in the argument condition than in the adjunct one. Therefore, hypothesis 3 was supported.

Hypothesis 4: Japanese EFL learners will show a higher grammatical acceptability of sentences with NPs in PPSG in argument PPs than in adjunct PPs.

In order to examine hypothesis 4, another multiple comparison test was conducted on the test item characteristic. The result showed that there is no statistically significant difference between PDPG ($M = 2.08$) and PPSG ($M = 1.94$) ($t = 0.71$, $p = 0.48$). The results indicated that Japanese EFL learners did not accept PPSG in the argument condition more than they did in the adjunct condition. There was also no statistically significant difference between their grammaticality acceptability in PDPG and PPSG. Therefore, hypothesis 4 was not supported.

In summary, although the participants accepted more sentences in the argument condition than in the adjunct one, they did not show a higher grammatical acceptability of sentences with NPs in PPSG in argument PPs than in adjunct PPs. Therefore, we cannot strongly claim that Japanese EFL learners are always sensitive to configurational distinction in grammaticality judgment.

CONCLUSION

This paper determined the basis of the Noun Phrase Accessibility Hierarchy in SLA by conducting two experiments. Experiment I investigated the superiority of the configurational distinction to the distinction of the grammatical relation in accounting for the degree of difficulty of relative clauses in sentence combining among Japanese EFL learners. The participants consisted of 116 Japanese university students studying English as a foreign language. The research findings lead us to consider that second language learners of English are more sensitive to configurational distinction than to grammatical relation and thematic distinctions when they produce relative clauses in English. Experiment II investigated the effects of configurational distinction and grammatical relation with regard to Japanese EFL learners. The participants consisted of 77 Japanese university students who were studying English as a foreign language. The research findings revealed that the participants were affected by the configurational distinction when they judged the grammaticality of the presented sentences that had relative clauses but were not sensitive to the distinction of the grammatical relation. However, the participants did not accept PPSG in the argument condition more than in the adjunct one. Therefore, we cannot strongly claim that they were always affected by the configurational distinction in linguistic comprehension. However, it is justifiable to say that the difficulty of relative clauses should be attributed to the configurational difference rather than the difference of grammatical relation in the relative clause structure. Thus, the results of these two experiments indicate the supremacy of a configurational account over a grammatical relation one with regard to the Noun Phrase Accessibility Hierarchy in SLA.

It should be acknowledged that one of the limitations of this investigation is that it focused on the participants' language data. Thus, the results can be generalized only for Japanese students. However, many previous studies conducted on participants with various language backgrounds, ages, and educational backgrounds. As a result, findings have often been difficult to interpret because they can only be generalized to the single situation in which the data was collected. In addition, the results of this study may be influenced by certain internal and external factors:

1. The nature of the reliability of measures in general and
2. The restrictions on the range of abilities that were sampled in the investigation.

In general, tests are not simply reliable and valid but they can be reliable and valid for specific types of students and specific ranges of abilities. In this regard, this research should be replicated with a larger sample of participants from a considerably wider population.

The author is interested in learning about the participants' cognitive processes that are engaged in solving the types A and B in the sentence combining test. If we are able to determine the difference in the cognitive processes used in taking tests A and B, we can better understand the reason why the participants were able to provide more correct answers in the argument condition than in the adjunct one. This issue should be explored in future research.

NOTES

* This article is a theoretical and experimental synthesis of the author's research projects from 2001 to 2009.

(1) Throughout this paper, 'configurational structure' refers to 'syntactic structure.'

(2) For a historical overview of the Noun Phrase Accessibility Hierarchy in the SLA context, see Ohba (1995). For a basic distinction between rational grammar and generative grammar in terms of the assumptions in research, see Matsunami, Ikegami, and Imai (1983).

(3) For the same type of account from the perspectives of maximal projections, see Berent (1994).

(4) Hamilton (1995) argues that Gass (1980) constitutes an appeal to the identity of configuration.

(5) On the other hand, in generative grammar, the degree of difficulty has not been treated as a main concern because the research focus is always on the possibility of transformation itself.

(6) Some statisticians and psychologists consider the use of Ryan's method as a multiple comparison procedure to be problematic. However, the author decided to employ Ryan's methods based on constructive comments from Dr. Fumiko Matsuda, Professor, Department of Educational Psychology, Faculty of Education, Hiroshima University, Japan.

(7) The test items in E and F are used to investigate the effects of grammatical relation, which have different thematic values, on learners' interlanguage performance. For further discussion of thematic values, see Jakendoff (1994).

(8) Since we do not have anything that resembles an external criterion relative clause test, we cannot investigate the concurrent validity of the relative clause test. Therefore, the author focused on the discrimination ability of the relative clause test and attempted to internally examine its validity. For further discussion on the relationship between the discrimination ability of test items and test validity, see Brown (1996).

(9) The mean frequency of preposition omission for C versus D as well as for E versus F was not significantly different for paired *t* tests, which suggests that Japanese EFL learners approach these test sentences in the same way as far as factors related to preposition omission are concerned.

(10) It is possible that the thematic relationship between the NP and the verb may have made the participants perform better in the argument condition than in the adjunct one. However, this issue was ignored in the present study. Further study should be conducted in this area.

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APPENDIX A: The SENTENCE COMBINING TEST

Type A: [argument/OPREP/location]

- (1) We left the table. I placed the money on the table.
- (2) My friend mailed the letter. I put a stamp on the letter.
- (3) The student wanted the paper. The teacher put a grade on the paper.
- (4) This is the desk. I laid my pen on the desk.
- (5) This is the chair. She set her coat on the chair.

Type B: [adjunct/OPREP/location]

- (6) She drove the bus. I did my homework on the bus.
- (7) My wife found the bug. I dropped a book on the bug.
- (8) We found the train. I lost my bag on the train.
- (9) This is the sofa. The boy took a nap on the sofa.
- (10) This is the highway. He drove his car on the highway.

Type C: [argument/IO/beneficiary goal]

- (11) Everyone likes the teacher. I gave a present to the teacher.
- (12) We watched the student. The teacher handed the paper to the student.
- (13) This is the boy. I passed the ball to the boy.
- (14) I know the woman. He offered the money to the woman.
- (15) This is the child. I told a story to the child.

Type D: [argument/OPREP/goal]

- (16) Everyone liked the store. They took me to the store.
- (17) She left the party. I took my friends to the party.
- (18) We found the beach. She sent the children to the beach.
- (19) This is the house. The girl brought her bags to the house.
- (20) This is the country. I mailed a postcard to the country.

Type E: [adjunct/OPREP/beneficiary goal]

- (21) You know the woman. I cooked a cake for the woman.
- (22) This is the man. I bought a book for the man.
- (23) She brought the child. He made a toy for the child.
- (24) This is the boy. The girl sang a song for the boy.
- (25) Everyone liked the teacher. She brought flowers for the teacher.

Type F: [adjunct/OPREP/goal]

- (26) I remember the trip. My son took a pillow for the trip.
- (27) I watched the game. She brought a camera for the game.
- (28) This is the party. I baked cookies for the party.
- (29) This is the meeting. He wrote a speech for the meeting.
- (30) No one liked the class. I read a book for the class.

APPENDIX B: THE GRAMMATICALITY JUDGMENT TEST

Argument OPREP

- (1) We left the table, which I placed the money on.
- (2) My friend mailed the letter on which I put a stamp.

- (3) The student wanted the paper, which the teacher put a grade on.
- (4) This is the desk on which I laid my pen.

Argument IO

- (5) Everyone likes the teacher whom I gave a present to.
- (6) We watched the student to whom the teacher handed the paper.
- (7) This is the boy whom I passed the ball to.
- (8) I know the woman to whom he offered the money.

Adjunct OPREP

- (9) She drove the bus which I did my homework on.
- (10) My wife found the bug on which I dropped a book.
- (11) You know the woman for whom I baked a cake.
- (12) She likes the boy whom I bought a car for.
- (13) This is the highway which he drove his car on.
- (14) This is the sofa on which the boy took a nap.
- (15) She brought the child for whom she made a toy.
- (16) This is the man whom I bought a book for.

VERIFICATION OF TASK-INDUCED INVOLVEMENT HYPOTHESIS THROUGH
LANGUAGE MODALITY IN INCIDENTAL VOCABULARY LEARNING
(READING VS. LISTENING MODALITY)

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ABSTRACT

Laufer and Hulstijn (2001) proposed “the Involvement Load Hypothesis for second language (L2) vocabulary learning, which was a motivational-cognitive construct of involvement, consisting of three basic components: *need*, *search*, and *evaluation*” (p.14). Tasks that induce a higher involvement load have proved more effective in terms of vocabulary retention as compared with tasks with a lower involvement load. However, it is not much clear whether task involvement load is a function of language modality; does it have different representation and load if modality platform changes from reading to listening? In a bid to address this question the present study aimed at investigating “The effect of task-induced involvement on incidental vocabulary learning through listening and reading modality-based activities among Iranian Intermediate EFL Learners.” 125 female English as a foreign language (EFL) students in the form of four experimental and one control groups formed the participants of this study, who were exposed to reading- and listening-oriented context of task presentation to compare the effects of six tasks with different involvement loads (tasks with high involvement load like writing, unscrambling, and text-reconstruction; tasks with low involvement load like fill in blanks, matching and multiple-choice) and to see which skill is more useful for vocabulary retention. The control group (N=25) received vocabulary instruction through conventional methods while the experimental groups (N=100, in every group 25 students) were taught using the target tasks through two different modes of presentation; reading and listening with different involvement loads. Based on a quasi-experimental design, respective statistical analyses including t-tests and ANOVA were run. All experimental groups outperformed the control; task-induced involvement instruction was more effective in improving learners` vocabulary retention. However, the reading-based instruction with high involvement load tasks outperformed the listening-based one; an indication of the modality-dependent nature of both task presentation and involvement load hypothesis.

KEY TERMS: Incidental Vocabulary Learning, Task-induced involvement, and Gloss.

INTRODUCTION

English is becoming more and more important for international communicative purposes, such that in Iran, it has become such a necessity that has been one of the most important subjects in secondary and high schools as well as in institutions of higher education. Contrary to this prominence, most of us as both a language teacher and language learner can appreciate the feeling of frustration when conversation fails because we do not have enough words or when looking at a word and feeling that we have seen it many times before, but we cannot remember its meaning. Top compensate for such an instructional failure, some of the teachers employ the audio-visual method, and others use the task oriented approach, etc, but it should be accepted that vocabulary learning cannot be confined to just classroom settings. Therefore, how to help students enlarge their vocabulary size and ensure better retention when they come across new words incidentally should be considered by language teachers and researchers. Although teachers know importance of vocabulary learning in English teaching, it is impossible for them to spend most of the class time on vocabulary learning alone. Moreover, students themselves are not interested in intentional vocabulary learning in which they are requested to do some exercises that focus on vocabulary itself. So, most EFL learners prefer incidental vocabulary learning in which their attention is focused on some other features. Based on this approach, they learn vocabulary through reading texts, working on reading comprehension tasks or doing other activities that are not directly related to vocabulary learning itself. Listening process, similar to reading, may be taken another platform for incidental vocabulary learning. A growing number of studies in recent years (Hulstijn, 1992, Rott & Williams, 2003; Rott, 2005) have examined the effectiveness of several techniques to promote incidental vocabulary learning through reading, such as glossing (i.e. providing the meaning of words in the margins of a text) since it is held that texts provide learners with a rich input where lexical items are highly contextualized.

The most common area for text-based instruction of vocabulary concerns that of incidental vocabulary. “Incidental vocabulary learning means learning without the intention to learn, or the learning of one thing (e.g., vocabulary) when the learner’s main concern is with something else (e.g., communication). In contrast, intentional vocabulary learning refers to the learning of vocabulary by deliberately committing lexical information to memory” (Laufer and Hulstijn, 2001, p. 27). Furthermore, empirical evidence for the effectiveness of incidental learning over the intentional mode is simply substantial. Shelton and Newhouse (1981), for example, observe that “learners who were exposed to the stimulus material in an incidental-learning situation significantly performed better in a subsequent recall test than subjects who were simply instructed to learn the same material” (pp. 36-38). Huckin and Coady (1999) argue that “texts in which learners are interested can be more conducive to incidental vocabulary acquisition” (pp. 181-193). Taylor and Beach (1984) claim “overall, empirical evidence shows that for most students, expository reading cause a greater challenge than narrative reading. Although many factors may contribute to run into difficulty with expository reading, the four most commonly cited are text structure, conceptual density and familiarity, vocabulary knowledge, and prior knowledge” (pp. 134-146).

“Empirical research on tasks and incidental acquisition points to a variety of factors conducive to successful retention of words. The presence of marginal glosses was found to enhance vocabulary retention, when compared to the absence of marginal glosses (Hulstijn, 1992; Hulstijn, Hollander & Greid anus, 1996; Jacobs, Dufon, & Fong, 1994; Watanabe, 1997). Laufer and Hulstijn (2001) present the Involvement Load Hypothesis in the incidental L2 vocabulary learning building on the levels of processing framework. Craik and Tulving (1975) suggested that “what is critical to retention is not simply the presence or absence of semantic encoding (depth of processing; a qualitative construct), but also the richness with which the material is encoded (spread or elaboration of encoding, a quantitative construct)” (pp. 268-294). Craik and Lockhart’s levels of processing theory was challenged by Bad Deley (1978), Eysenck (1979), and Nelson (1977). The main points of criticism were concerned with the following two questions: (1) What exactly constitutes a level of processing, and (2) How do we know that one level is deeper than another? In a response to these questions, Lockhart and Craik (1972) acknowledged that the terms depth and spread/elaboration lack operational definitions and independent indices, and thus that circularity is inherent in the levels of processing approach. They also acknowledged the importance of investigating the effect of encoding tasks and processes in conjunction with the effect of retrieval tasks and processes (pp. 671-684).

THE INVOLVEMENT LOAD HYPOTHESIS

Laufer and Hulstijn (2001) advanced the Involvement Load Hypothesis for second language vocabulary learning, in which they proposed a motivational-cognitive construct of involvement, comprising three basic components: *need*, *search*, and *evaluation*. The *need* component refers to the motivational, non-cognitive dimension of involvement. *Search* and *evaluation*, as opposed to *need*, are conditional upon the allocation of attention to the form –meaning relationship (R. Schmidt, 1994, pp. 165-210, 2001, pp. 3-32). *Search* refers to “the attempt to find the meaning of an unknown L2 word or trying to find the L2 word form expressing a concept (e.g., trying to find the L2 translation of an L1 word) by consulting a dictionary or another authority like a teacher” (Laufer & Hulstijn, 2001, p. 14). *Evaluation*, on the other hand, refers to “the assessment of an appropriate meaning or use of a given word as is prescribed by a specific context” (Laufer & Hulstijn, 2001, p. 14). The component of *evaluation* implies “a comparison of a given word with other words, a specific meaning of a word with its other meanings, or combining the word with other words in order to assess whether a word does or does not fit its context”. These three factors have two degrees of prominence (ibid).

The degrees of the components in the involvement load hypothesis (Mayumi Tsubaki, 2008, p. 178)

Components	Degrees of involvement load	Explanations
Need	Index 0 (None)	The learner does not feel the need to learn the word.
	Index 1 (Moderate)	The learner is required to learn the word.
	Index 2 (strong)	The learner decides to learn the word.
Search	Index 0 (None)	They do not need to learn the meanings or forms of the word.
	Index 1(Moderate)	The meaning of word is found.
	Index 2(Strong)	The form of word is found.
Evaluation	Index 0 (None)	The word is not compared with other words.
	Index 1(Moderate)	The word is compared with other words in the provided context.
	Index 2(Strong)	The word is compared with other words in self-provided context.

According to Laufer and Hulstijn (2001, p. 14), it is not the case that all of the three involvement factors can be at work simultaneously during a reading or listening task. The combination of these factors with their degrees of prominence comprises involvement load. Hulstijn and Laufer (2001) proposed “the idea of an involvement index, in which the absence of a factor is marked as 0, a moderate presence of a factor equals 1, and a strong presence of a factor signifies 2” (p. 15).

INVOLVEMENT LOAD HYPOTHESIS (ILH)

Involvement Load Hypothesis has been the subject to various research studies. For example, Laufer and Hulstijn (2001) conduct the study reporting the importance of hypothesis. Among the three components, need was 1 because that learners were required to do the task as a class activity, and they had no search or evaluation index condition. The participants in one group did not look for the meaning because the meaning of the target words was glossed. They did not need to evaluate them against other words. But, their study can be held as an evidence for a partial support to the ILH. Then, they (2001) suggested some empirical support for the task factors need; search, and evaluation that are found in several studies. The findings are as follows:

- Word retention is higher when learners choose the meaning of target words in a text from several synonyms (moderate evaluation) compared to when word meaning is explained by a synonym (no evaluation) (Hulstijn, 1992).
- Using new words in original sentences during a read and retell task (strong evaluation) results in greater word knowledge compared to using the words in unoriginal sentences (no evaluation) (Joe, 1995, pp. 149-158, 1998, pp. 357-377).
- Support for task-induced involvement also comes from studies that compare reading-based tasks to word-focused tasks without reading. (pp. 1-26).

GLOSSES AND TEXT ENHANCEMENT

Glosses, by definition, are notes that are written in L1 or a simpler form in L2 to facilitate learners’ reading. To attract learners’ attention, glossed words or information can be boldface typed or underlined (Roby, 1999, pp.94-101). With the provided information next to unknown words, learners know their meanings immediately and proceed with minimum interruption of reading or listening process (Lomicka, 1998; Nagata, 1998). Glosses are viewed as a valuable tool that facilitates reading in a foreign language (Richgels & Hansen, 1984; Watanabe, 1997). They are largely used in materials that textbook writers include potential unknown words or words of low frequency to L2 learners (Davis, 1983, pp. 185-197).

Using glosses on reading and vocabulary learning has advantages. Boldfaced or underlined glosses can make unfamiliar words salient to the learners and lead them to pay more attention to the unknown words, which in turn enhance their vocabulary learning (Jacobs et al., 1994, Kost, Foss, & Lenzini, 1999; Nagata, 1998). The presence of gloss enables learners to look back and forth between the text and target words, which creates multiple encounters of the words to facilitate word retention (Watanabe, 1997, pp. 287-307). Hulstijn (1996) claimed that the effects of L1 or L2 marginal gloss were greater than the effects of dictionary, because learners tended to regard dictionary as the last resort as they didn’t want to interrupt their reading or they couldn’t find the correct meanings among so many entries in the dictionary. So, marginal glosses can solve the problems of learners’ ignoring new words and wrong inference of word meanings (pp. 327-330).

Furthermore, various types of task have been experimented via reading modality of presentation. There are some evidences for the superiority of reading activity as it includes high involvement tasks over low involvement tasks. A research was carried out by Shehade, A (2005) to compare reading with sentence writing on incidental acquisition of ten unfamiliar words. Thereby, the ‘sentence writing’ group had significantly higher scores on the immediate test and on the delayed test (pp. 13-30). In another study reading was compared with sentence writing and with fill-in the blanks task. Participants were high school learners aged 16. One group read a text and looked up ten unknown words, the second group wrote sentences with the target words, and the third group filled in the target words in given sentences, one word in each sentence. To perform tasks 2 and 3, the groups received a list of the ten target words

with explanations of their meaning. Both on the immediate and the delayed tests, the reading group performed significantly worse than the other two groups. On both tests, the sentence writing condition yielded the highest score (Long, M. H., 1985, pp. 77-99).

INCIDENTAL VOCABULARY LEARNING THROUGH LISTENING

Contrary to the commonality of reading-based vocabulary instruction on the experimentation of ILH, few studies have examined L2 vocabulary acquisition through listening. Brown, Waring and Donkaewbua (2008) examined the rate at which Japanese EFL students learned vocabulary from reading, reading-while-listening, and listening-only. They found the reading-while-listening mode produced the greatest gains (5 of 28 words), and the listening-only mode produced the smallest gains (1 of 28 words) (pp. 136-139). Little (2007) examined whether listening and generative tasks could enhance incidental L2 vocabulary acquisition and retention. The generative model assumes when learners actively generate or elaborate on target items read in a text, better retention occurs as new and known information is integrated (Wittrock, 1974, cited in Joe, 1998, pp. 357-377). Little found listening to and retelling twelve 3-5 minute stories helped high proficiency among Japanese EFL learners who managed to acquire 300 target words in two weeks and it aided in retention over four weeks. He constructed and recorded stories for this purpose because research showed it took less time to learn associated words in a story line of listening context and providing opportunities for recalling enhance acquisition and retention, suggesting the task's qualitative nature rather than intention to learn determines retention (Little, A & Kaoru Kobayashi, 2011, pp. 63-74)

METHODOLOGY

Participants

One hundred twenty five EFL learners with age range of 18-23 enrolled in the intermediate level in an Iranian private language school were the participants who were identified as homogeneous group based on the Nelson proficiency test.

Materials

Passages selected for the experiment

Ten similar reading and listening comprehension passages were chosen from a reading textbook named "Active Skills for Reading" (Neil J. Anderson, 2008) as the course book with 10 target words in every passage. This book provided learners of English with high interest reading passages that included audio CD for listening groups, many of them adapted from authentic sources.

Tasks selected for the experiment

Six tasks were used in this study that include:

- Task 1: Reading/listening comprehension with marginal glosses
- Task 2: Reading /listening comprehension plus fill -in -blanks
- Task 3: Reading/listening comprehension with matching questions
- Task 4: Reading/listening comprehension with text-reconstruction exercise
- Task 5: Reading/listening comprehension with unscramble questions
- Task 6: Reading/listening comprehension with composition

Instruments

Nelson test

A sample of Nelson as proficiency test with 35 items was used to determine the learners ` level of proficiency for choosing nearly homogeneous groups.

Pre-test

A 50-item multiple-choice vocabulary test was retrieved from www.elt.thomson.com. These 50 tested words were chosen quite randomly from 100 target words of treatment passages. Before starting the main study, it was piloted in order to make sure of its applicability and reliability index via KR_21 formula. Then, it was administered as a pretest to both groups (control and experimental) to capture the initial differences between the groups. This pretest was conducted to ensure the novelty of the words to be learned by the subjects during the treatment period.

Post-test

The same pre-test was administered as an achievement post-test after seven weeks of time interval to measure the amount of vocabulary learning by the experimental and control groups. The point should be underscored that the pre-test and post-test were equal in all respects except the arrangement of the target words.

The Target Words

One hundred target words were selected from ten reading texts, based on three criteria:

1. Assumed unfamiliarity to the participants.
2. Ease of incorporating the words into a narrative describing personal experiences, and
3. Ease of supplying a synonym or a definition in English.

The list of the target words was also submitted to some experienced English teachers for comments on the unfamiliarity to intermediate levels in the Institute.

Procedure

This study was basically quasi-experimental in design as schematically represented as follows:

G1 (experimental) T1 x T2	G3 (experimental) T1 x T2
G2 (experimental) T1 x T2	G4 (experimental) T1 x T2
G5 (control) T1 T2	X= treatment
T1= pretest	T2=posttest

To implement the design, first sampling was done. In order to select the participants of the study, the researcher administered a standardized Nelson test among 140 students enrolled at Zabansara, an English school in Bojnurd. 125 students could take part in the research, they were selected through stratified random sampling. It should also be noted that their participation was quite voluntary. The result of the Nelson test was used to assign the subjects into five homogenous groups on the basis of the dispersion of scores around the mean. So, the sample was randomly stratified into 25 subjects in each group. It was not plausible to assign the learners into 5 groups of intermediate language learners unless this Nelson test was administered. So, the NELSON test was administered to 140 cases. The mean (13.96) and standard deviation (3.05) for the NELSON test are displayed in Table 1. Based on the mean score plus one and half SD, 125 cases were selected to participate in the main study. They were divided into one group as a control group and four groups as experimental groups. Every group included 25 participants. Then, a 50-item test was retrieved from www.elt.thomson.com to use it as a pretest for diagnostic purpose. The reliability of the test was estimated (0.70) through KR-21 formula.

In an interval of one week after the pretest administration, the treatment took place for ten sessions; two sessions a week, and each session was 60 minutes during which the participants in their respective groups were required either to read or listen to one of the passages. After one week following the treatment, the same pretest was used as posttest to measure the progress.

Control group

The group members were exposed to an alternatively rendered reading and listening materials thereby they were asked to answer reading/listening comprehension questions (true/false, multiple-choice ...). But the tasks induced no need; students did not feel the need to learn the target words because they could answer the questions without referring to the marginal glosses, and without searching. Because meaning of the target words were glossed for them, they did not search the meaning of new words by looking up the dictionary, and no assessment was run because they did not compare and decide on the meaning of the words in comparison with different words or different senses of the same word. Time for the tasks was 60 minutes. These tasks emphasized on whole understanding of the reading/listening text; therefore, they induced low involvement load for learning new vocabulary. So, the involvement index was 0.

Experimental groups

The experimental groups were exposed to low and high involvement tasks through reading and listening modalities based on two distinct frameworks displayed in tables 1 and 2 along with detailed explanation as follows:

1. Experimental groups with low involvement tasks (reading or listening group with same tasks):

- Two groups of students read and two groups of students listened to the text (for 10 minutes). They, then, were asked to answer true /false reading/listening comprehension questions. The instruction was accompanied by three tasks. As details are presented in table 1, the tasks were true/false, fill-in blanks and matching integrated with glossing, glossing listed with distracters, and glossing with time on task, respectively. The first one, as was experienced with the control group, was characterized by 0 index at all three levels including need, search and evaluation; then equally 0 involvement index.
- As to the second task they were asked to fill in the blanks with the words provided. Contrary to the first type, in this task the levels were characterized differently; need and evaluation each being moderated enjoyed 1 index value since the need to learn the target words was imposed by the task not by the students so involvement index was 1. But if the students felt the need to learn the target words by them not by task the need index would be stronger; index 2. Meanwhile, the task did not address the search level because all the target words were glossed for the students. They did not look for the meaning of new words. Moderate evaluation index is also justified on the ground that the words were compared with other words in context provided by teacher so involvement index was 1. But if the students were to compare the new words with other words in context provided by them, there would be a stronger evaluation index. Altogether, the involvement index was 2.
- The third matching-exercise task which asked the participants to match target words with their definitions, enjoyed moderate need because the need to learn the target words was imposed by the task; no search, because all the target words had been glossed for them, and also no evaluation was addressed since they were not required to compare and decide on the meaning of the words in comparison with different words or different senses of the same word.

Table 1: The tasks given to the students inducing low involvement load

Task		Learning Activities and time on task	Need	Search	Evaluation	Involvement Index
1. Reading comprehension questions		Glossed	0	0	0	0
2	1	0	1	Glossed, listed with distracters	2. Comprehension + Blank-filling	
1	0 Words not evaluated at all	0 The meanings of the target words were provided	1 Target words not needed	Glossed Time on task: 60 minutes	3. Matching	

Note: Total Involvement Index was the result of the sums of the three indexes for each component.

2. Experimental groups with high involvement tasks (reading or listening group with same tasks):

- Two groups of students read and two groups of students listened to the text for 10 minutes. Then, they were asked to answer true/false reading/listening comprehension questions. Similarly, the groups, as displayed in table 2, were exposed to three tasks including text-reconstruction, unscrambling, and composition which they were integrated with glossing, glossing and glossing time on task activities, respectively. ?
- As to the first task, the participants were encouraged to memorize reading/listening texts, and produce a summary using the target words. The task was characterized moderate in terms of need because the need to learn the target words was imposed by the task not by them; search level was absent since all the target words were glossed for the students, and they did not look for the meaning; however, a strong evaluation was required in that the learner had to use the new words in learner-generated contexts. So the task involvement index was equated to 3.

- The second task being concerned with rearranging unscrambled sentences and the third task addressing text composition were very much similar in the respective activities to the first task, and the indices of all three levels (i.e., need, search and evaluation) were 3.

Table 2: The tasks given to the students inducing high involvement load and the involvement index was 3

Task	Learning Activities and time on task	Need	Search	Evaluation	Involvement Index
3	2	0	1	Glossed	4.Text-reconstruction
3	2	0	1	Glossed	5.Unscramble
3	2 Words not evaluated at all	0 The meanings of the target words were provided	1 Target words not needed	Glossed Time on task: 60 minutes	6.Composition

RESULTS

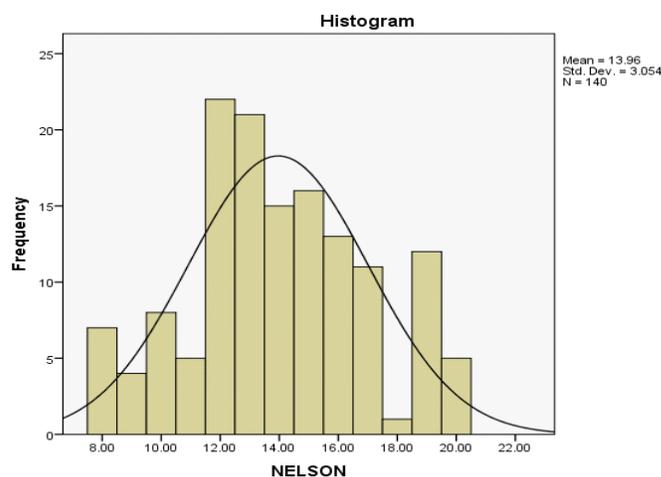
Homogenous subject selection

As descriptively shown in table 3, sampling was statistically conducted out of 140 originally available learners out of which and based on their position on the normal probability curve, the participants whose scores lied between +/- SD mean score were selected (N=125) being homogenous groups on the basis of the dispersion of scores around the mean.

Table 3: Nelson test used for homogeneity purpose

N	Valid	140
	Missing	0
Mean		13.9643
Std. Deviation		3.05445
Variance		9.330

Based on the mean score plus one and half SD, 125 cases were selected to participate in the main study.



Testing statistical assumptions

Four assumptions must be met for an appropriate parametric test, i.e. interval data, independence, normality and homogeneity of variances. The assumption of normality – as displayed in Table 4 – is probed based on the ratios of

skewness and kurtosis over their respective standard errors. If the ratios are within the ranges of +/- 1.96 the data enjoy normal distribution as is the case for the present data. The assumption of homogeneity of variances is reported below when discussing one-way ANOVA results.

Table 4: Normality Test

GROUP		N	Skewness		Normality of Skewness	Kurtosis		Normality of Kurtosis
		Statistic	Statistic	Std. Error		Statistic	Std. Error	
1	PRETEST	25	-0.03	0.46	-0.06	-1.26	0.90	-1.40
	POSTTEST	25	0.03	0.46	0.06	-1.02	0.90	-1.14
2	PRETEST	25	-0.38	0.46	-0.83	-0.04	0.90	-0.05
	POSTTEST	25	-0.56	0.46	-1.21	-0.48	0.90	-0.53
3	PRETEST	25	-0.75	0.46	-1.62	0.38	0.90	0.42
	POSTTEST	25	-0.27	0.46	-0.58	-0.60	0.90	-0.67
4	PRETEST	25	0.04	0.46	0.09	-0.50	0.90	-0.55
	POSTTEST	25	0.44	0.46	0.96	0.39	0.90	0.43
5	PRETEST	25	-0.49	0.46	-1.05	-0.51	0.90	-0.57
	POSTTEST	25	0.28	0.46	0.60	-0.52	0.90	-0.58

The pretest statistics

The pretest was administrated to both groups (control and experimental groups). To ensure the participants` homogeneity in terms of vocabulary knowledge prior to the treatment, One-way ANOVA was run to compare the mean scores of the five groups on the pretest. As displayed in Table 5, the mean scores for the five groups are: control (M = 11.92), Reading with High Involvement Tasks (RWHIT) (M = 12.64), Reading with Low Involvement Tasks (RWLIT) (M = 12.56), Listening with Low Involvement Tasks (LWLIT) (M = 12.88) and Listening with High Involvement Tasks (LWHIT) (M = 11.88). Table 5, 6, and 7 show the results of the ANOVA.

Table 5: Descriptive Statistics Pretest

	N	Mean	Std. Deviation	Std. Error	95% Confidence Interval for Mean		Minimum	Maximum
					Lower Bound	Upper Bound		
CONTROL	25	11.9200	2.44813	.48963	10.9095	12.9305	8.00	16.00
RWHIT	25	12.6400	2.46441	.49288	11.6227	13.6573	7.00	17.00
RWLIT	25	12.5600	2.69382	.53876	11.4480	13.6720	6.00	16.00
LWLIT	25	12.8800	2.00666	.40133	12.0517	13.7083	9.00	17.00
LWHIT	25	11.8800	2.38607	.47721	10.8951	12.8649	7.00	15.00
Total	125	12.3760	2.40518	.21513	11.9502	12.8018	6.00	17.00

As displayed in Table 6 the assumption of homogeneity of variances is also met (Levene`s F = .55, P = .69 < .05). Based on these results it can be concluded that the experimental and control groups were homogenous in terms of their ability on lexical component.

Table 6: Assumption of Homogeneity of Variances for Pretest

Levene Statistic	df1	df2	Sig.
.552	4	120	.698

The results of the one-way ANOVA indicate that there are not any significant differences between the mean scores of the five groups on the pretest (F = .87 (4, 120), P = .482 > .05). Since t critical value at 120 df equals 1.98 which is higher than F value of .87. Then, the groups were not significantly different from each other prior to the treatment.

Table 7: One-Way ANOVA Pretest by Groups

	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	20.288	4	5.072	.873	.482
Within Groups	697.040	120	5.809		
Total	717.328	124			

Furthermore, the Levene Test for equality of means shows that significance value is .698 which is higher than .05. This means that there is no significant difference between the groups prior to the treatment. So the groups are homogenized. In quantitative research, if significant value is smaller than 0.05, the null hypothesis is rejected. So, the probability value (p-value) is calculated: $P\text{-value} = .698 > \alpha = 0.05 \rightarrow \text{Accept } H_0$

To compare the variances, if we had the same variances, we should use the ANOVA to compare the variances. So, we have: $P\text{-value} = .482 > 0.05 \rightarrow \text{Accept } H_0$

It means that there is no significant difference in means of the groups in pretest. as indicated in Figure 2.

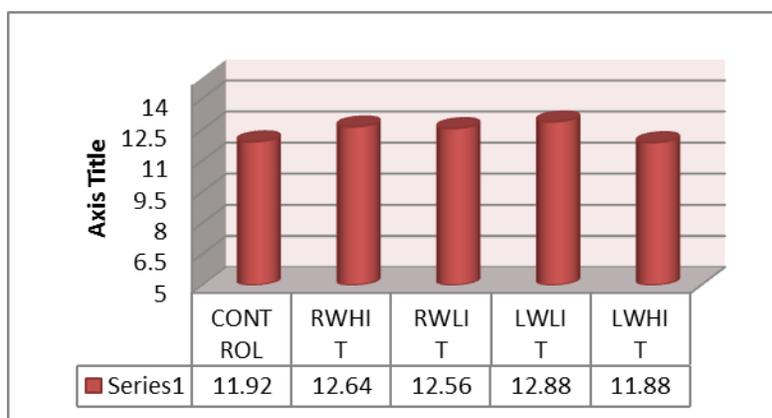


Figure 2: Mean Scores on Pretest

The posttest statistics

Similarly, a One-way ANOVA was run to compare the mean scores of the five groups on the posttest in order to probe the effect of low and high reading and listening involvement tasks on vocabulary retention. As displayed in Table 8, the mean scores for the five groups are; control (M = 13.92), Reading with High Involvement Tasks (RWHT) (M = 17.48), Reading with Low Involvement Tasks (RWLIT) (M = 15.40), Listening with Low Involvement Tasks (LWLIT) (M = 15.24) and Listening with High Involvement Tasks (LWHT) (M = 16.20).

Table 8: Descriptive Statistics Posttest

	N	Mean	Std. Deviation	Std. Error	95% Confidence Interval for Mean		Minimum	Maximum
					Lower Bound	Upper Bound		
CONTROL	25	13.9200	2.13931	.42786	13.0369	14.8031	10.00	18.00
RWHT	25	17.4800	1.73494	.34699	16.7639	18.1961	14.00	20.00
RWLIT	25	15.4000	2.30940	.46188	14.4467	16.3533	11.00	19.00
LWLIT	25	15.2400	1.87705	.37541	14.4652	16.0148	12.00	20.00
LWHT	25	16.2000	1.80278	.36056	15.4559	16.9441	13.00	20.00
Total	125	15.6480	2.27984	.20392	15.2444	16.0516	10.00	20.00

As displayed in Table 9 the assumption of homogeneity of variances is also met (Levene's F = 1.01, P = .40 < .05).

Table 9: Assumption of Homogeneity of Variances for Posttest

Levene Statistic	df1	df2	Sig.
1.013	4	120	.403

Table 9 shows the equality of variances in five groups by using Levene Test and the result is that variances in five groups are equal. According to this table significant value is higher than 0.05.

P-value= .403 > α = 0.05 → Accept H0

The results of the one-way ANOVA also indicate that there are significant differences between the mean scores of the five groups on the posttest (F = 10.90 (4, 120), P = .000 < .05). This shows a positive result. Therefore, we conclude that the means between five groups are not equal and there is a significant difference between them. Thus the null-hypothesis as low and high reading and listening involvement tasks do not have any significant effect on the improvement on the EFL learners’ reading and listening abilities **is rejected**.

Table 10: One-Way ANOVA Posttest by Groups

	Sum of Squares	df	Mean Square	F	Sig.
Between Groups	171.872	4	42.968	10.909	.000
Within Groups	472.640	120	3.939		
Total	644.512	124			

Although the F-value of 10.90 indicates significant differences between the mean scores of the five groups on the posttest, the post-hoc Scheffes tests must be run to compare the groups two by two.

Table 11: Post-Hoc Scheffe’s Tests

(I) GROUP	(J) GROUP	Mean Difference (I-J)	Std. Error	Sig.	95% Confidence Interval	
					Lower Bound	Upper Bound
CONTROL	RWHIT	-3.56000*	.56133	.000	-5.3163	-1.8037
	RWLIT	-1.48000	.56133	.146	-3.2363	.2763
	LWLIT	-1.32000	.56133	.244	-3.0763	.4363
	LWHIT	-2.28000*	.56133	.004	-4.0363	-.5237
RWHIT	RWLIT	2.08000*	.56133	.011	.3237	3.8363
	LWLIT	2.24000*	.56133	.005	.4837	3.9963
	LWHIT	1.28000	.56133	.274	-.4763	3.0363
RWLIT	LWLIT	.16000	.56133	.999	-1.5963	1.9163
	LWHIT	-.80000	.56133	.730	-2.5563	.9563
LWLIT	LWHIT	-.96000	.56133	.572	-2.7163	.7963

*. The mean difference is significant at the 0.05 level.

Figure 3 shows the difference between means of groups in posttest.

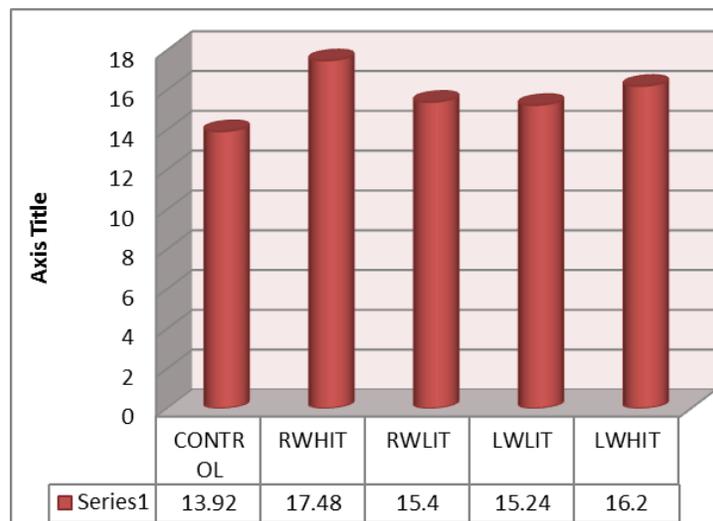


Figure 3: Mean Scores on Posttest

Testing the first hypothesis

Based on the results displayed in **Table 11** it can be concluded that:

A: There is a significant difference between the mean scores of the control group (M = 13.92) and RWHIT (M = 17.48). The reading high involvement tasks group outperformed the control group on the posttest.

B: There is not any significant difference between the mean scores of the control group (M = 13.92) and RWLIT (M = 15.40).

C: There is not any significant difference between the mean scores of the control group (M = 13.92) and LWLIT (M = 15.24).

D: There is a significant difference between the mean scores of the control group (M = 13.92) and LWHIT (M = 16.20). The listening high involvement tasks group outperformed the control group on the posttest.

E: There is a significant difference between the mean scores of the RWHIT group (M = 17.48) and RWLIT (M = 15.40). The reading high involvement tasks group outperformed the reading with low involvement tasks group on the posttest. Thus the second null-hypothesis as reading comprehension activity with higher involvement load tasks does not result in more vocabulary retention than tasks with lower involvement load **is rejected**.

Accordingly, we can have a result that this method (reading comprehension activity with higher involvement load tasks) caused to increase the vocabulary retention scores.

Testing the second hypothesis

F: There is a significant difference between the mean scores of the RWHIT group (M = 17.48) and LWLIT (M = 15.24). The listening high involvement tasks group outperformed the reading with low involvement tasks group on the posttest.

G: There is not any significant difference between the mean scores of the RWHIT group (M = 17.48) and LWHIT (M = 16.20).

H: There is not any significant difference between the mean scores of the RWLIT group (M = 15.40) and LWLIT (M = 15.24).

I: There is not any significant difference between the mean scores of the RWLIT group (M = 15.40) and LWHIT (M = 16.20).

J: There is not any significant difference between the mean scores of the LWLIT group (M = 15.24) and LWHIT (M = 16.20). Thus the first null-hypothesis as listening comprehension activity with higher involvement load tasks does not result in more vocabulary retention than tasks with lower involvement load **is supported**.

Accordingly, we can have a result that the effect of this method (listening comprehension activity with higher involvement Load tasks) does not have significant difference with other methods (reading with low involvement tasks and listening comprehension activity with lower involvement Load tasks).

As a result, task-induced involvement has significant effect on vocabulary retention scores as we had an increase in mean scores of the four experimental groups (the mean scores of experimental groups: Reading comprehension activity with higher involvement Load tasks, Listening comprehension activity with higher involvement Load tasks, Reading comprehension activity with low involvement tasks and Listening comprehension activity with lower involvement Load tasks are equal to 17.48, 16.20, 15.40, and 15.24, respectively which are higher than the mean score of control group`s posttest that is equal to 13.92).

DISCUSSION

The findings of this study provide strong support for the Involvement Load Hypothesis (Laufer & Hulstijn, 2001), which claims that tasks with a higher involvement load are more effective for vocabulary retention than tasks with a lower involvement load. Drawing upon the criteria outlined in the hypothesis, the involvement index was 3 for writing, unscrambling, and text-reconstruction tasks, 2 for fill-in-blanks, 1 for matching and 0 for multiple-choice task. Thus, the following prediction was formulated:

The retention scores of the ten target words will be highest in tasks with high involvement loads (writing, unscrambling, and text-reconstruction), and lower in tasks with low involvement loads (fill-in-blanks, matching, and multiple-choice tasks).

The results of this study suggest that foreign language pedagogy would benefit from the inclusion of task-induced involvement Load. According to obtained results, tasks with higher involvement Load through reading activity is more effective than conventional methods of vocabulary instruction. Results also show that vocabulary retention in reading skill with high involvement tasks is more than listening skill with high involvement tasks. So, the results of this study are against Vidal (2003) results concerning the priority of listening skill to reading skill, she believed listening is more effective for vocabulary retention. But results of this study emphasize Marcella and Nation (2001) results about high effect of reading for vocabulary retention.

CONCLUSION

The results of this study are in accordance with what has already been achieved by Hustijn and Laufer (2001) in the experiment done among adult EFL learners in Israel and the Netherlands to investigate whether retention of incidental vocabulary acquisition is contingent on amount of task-induced involvement. Their experiments showed that the task of composition with incorporated target words produced best retention results, and the task of reading comprehension plus filling in target words produced better results than task of reading comprehension with marginal glossing for target words.

In conclusion, the Involvement Load Hypothesis is applicable to the incidental vocabulary acquisition, and the study demonstrates that in listening and reading practice, incidental acquisition does occur and task with higher involvement load does produce better retention. But according to the results, incidental acquisition is more in reading activity than listening activity. So, In light of the findings of the present study, we may find some useful implications for vocabulary teaching and learning.

- First, the results of this study suggest that teachers should design a variety of listening and reading-based tasks that can induce the need for the attention to target words to develop learners' vocabulary knowledge.
 - Secondly, teachers could design or select tasks varying in involvement load for different words depending on the type of reinforcement they want to provide.
 - Finally, the findings of this study also suggest that tasks with high involvement loads like writing with new words could serve as an efficient means to increase learners' vocabulary.

LIMITATIONS AND DELIMITATIONS OF THE STUDY

Like any other study, some inevitable limitations, which may raise new questions for further researches in the field in the future, were imposed on this study. Several limitations are present in this study like short duration and failure to consider personal variables. All data in this study have been collected from selected intermediate English learners studying at Zaban Sara, one of the best English institutes in Bojnurd, north Khorasan, Iran, so the result obtained by studying this population may not be generalizable to others who differ significantly in terms of factors such as levels of general proficiency or vocabulary size. Since the population utilized for this study is solely limited to Iranian EFL learners, we can mention the most important restriction in this study can be related to the over generalizability factor. In sum, it should be mentioned that:

1. The participants of the study were all females; the result could not be generalized to other groups of language learners.

2. The participants were all non-English major speakers who were learning English as a foreign language in intermediate level, so the result might not be generalized to English major.
3. This project was limited to the study of the effect of reading and listening tasks on vocabulary retention. These tasks might comprise of different parts and integrate different skills.
4. This study only tested the effects of task-induced involvement on learners' passive (receptive) knowledge of words. It is not known how task-induced involvement affects active (productive) recall of new acquired words.
5. The current study investigated the short-term effect of tasks with different involvement loads on vocabulary learning.
6. In practice, it was too difficult to conduct the study empirically with two different language skills; reading-based and listening-based vocabulary tasks.

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Appendix A

Nelson Proficiency Test

Direction for questions 1-35. Read the following questions carefully. Then select the one item a, b, c, or d which is the best answer and mark your sheet.

1. I'm going to spend a few days with some of mine, who live in the north of Scotland.
a. Relatives b. families c. neighbors d. companies
2. The outside the house said "No Parking".
a. Advice b. signal c. label d. notice
3. He has no of winning.
a. Occasion b. luck c. opportunity d. chance
4. These people over there are speaking a language I don't understand. They must be
a. Foreign b. strange c. rare d. outlandish
5. I didn't write it. That is not my on the cheque.
a. Mark b. letter c. firm d. signature
6. The actors have to before they appear in front of the strong lights on television.
a. Cover up b. paint up c. make up d. do up
7. It's a difficult problem but we must find the answer
a. By one way or other c. somehow or other
b. Anyhow or other d. anyway or other
8. I want immediately.
a. That this work is made c. this work made
b. That this work is done d. this work done
9. He's used to in public.
a. Be speaking b. the speaking c. speaking d. speak
10. You can fly to London this evening you don't mind changing planes in Paris.
a. Provided b. except c. unless d. so far as
11. It's ages him.
a. That I don't see c. that I didn't see
b. Ago I saw d. since I saw
12. He made me
a. Angry b. be angry c. to be angry d. that I got angry

13. Do what you think is right, they say.
 a. However b. whatever c. whichever d. for all
14. He arrived late, was annoying.
 a. What b. that c. which d. the which
15. His job is yours.
 a. The same that b. as c. alike d. similar to
16. He needs a
 a. Few days` rest c. few days rest
 b. Little days` rest d. little days rest
17. Do you know the repairs?
 a. To do b. how to do c. to make d. how to make
18. We usually have fine weather..... summer.
 a. At b. on c. in d. while
19. Your work has beenso we`re going to give you a rise in salary.
 a. Regular b. well c. satisfactory d. available
20. The weather says it will rain tomorrow.
 a. Provision b. forecast c. advertisement d. advice
21. There are a lot of mistakes in this exercise. I`ll have toit again with you.
 a. Come through b. go over c. repass d. instruct
22. If there are no buses, we`ll have to take a taxi. We must get there
 a. Somehow or other c. somewhere or other
 b. On one way or another d. anyway or other
23. I read, the more I understand.
 a. The more b. so much c. how much d. for how much
24. he does his work, I don`t mind what time he arrives at the office.
 a. So far as b. so long as c. in case d. meanwhile
25. entering the hall, he found everyone waiting for him.
 a. At b. while c. on d. in
26. It`s yearsa picture.
 a. That I don`t paint c. that I didn`t paint
 b. Since I painted d. ago I painted
27. I found the first question
 a. To be easy b. the easy c. that it was easy d. easy
28. an empty seat at the back of the bus.
 a. She happened to find c. she happened to meet
 b. It happened her that she found d. it happened her that she met
29. It was raining, was a pity.
 a. What b. that c. the which d. which
30. Your car is mine.
 a. The same that b. as c. similar to d. alike
31. I`m going away for a
 a. Holiday of a week c. week holiday
 b. Holiday week d. week`s holiday
32. Why ? it`s not very important.
 a. To worry b. worry c. you are worried d. you worry
33. I don`t like at me.
 a. Them shouting b. them shout c. their shout d. that they shout
34. It often snows January.
 a. On b. in c. for d. at
35. That`s the best horse in the
 a. Career b. run c. rate d. race

Appendix B

Pre Test/ Post Test

Direction for questions 1-50. Read the following questions carefully. Then select the one item a, b, c, or d which is the best answer and mark your sheet.

1. Martin and David disagree a lot, but they are veryof each other`s opinions.
a. exhausting b. variable c. tolerant d. unique
2. Susan has a great deal offor her grandfather and visits him at least once a week.
a. client b. affection c. confidence d. possession
3. I`ve been to many neighboring countries, but I`ve never traveled to any really.....places.
a. critical b. aggressive c. far-off d. permanent
4. That beach community has become a favoritefor retired people to live in.
a. locale b. facility c. insulting d. credit
5. Clara`s father has some verybeliefs. For example, he thinks a woman shouldn`t work after she gets married.
a. sacred b. conservative c. decorated d. enthusiastic
6. The doctor told me to take two pills if the pain
a. modifies b. intensifies c. drops d. digests
7. That island is a for birds. They can live there undisturbed by people.
a. brisk b. off-beat c. sanctuary d. scene
8. Hotel rates are always significantly lower during the
a. accommodation b. endurance c. off-season d. infection
9. Before 1776, the United States was aof Great Britain.
a. vehicle b. organ c. colony d. genre
10. That top secret information is onlyto the president and his closest advisors.
a. accessible b. impossible c. believable d. universal
11. Thirty elephants were killed with machine guns in a wildlife sanctuary in a (n)incident of illegal hunting.
a. helpless b. appalling c. vulnerable d. resilient
12. When the for a species of animal for pets is high, they can be sold at high price.
a. command b. knowledge c. demand d. chore
13. Unable to adapt to the new conditions of life, the dinosaurs became.....
a. survival b. significant c. extinct d. hectic
14. Because it was against their religion to have children, the believers were slowly
a. disappeared b. edited c. organized d. preserved
15. It isthat the most endangered animals should be those most carefully protected by laws.
a. wandering b. fitting c. regarding d. simplistic
16. During the show, platform shoes and synthetic fabrics were trendy.
a. demon b. shift c. era d. vanity
17. In the wild, animals that are are the more vulnerable to attack.
a. frail b. sanitary c. final d. skeptical
18. There are many questions about cloning, and particularly about human cloning.
a. ethical b. scarce c. careful d. deficient
19. The American bison nearly went extinct due to unreasonable of it for meat and leather.
a. exploitation b. reputation c. introduction d. determination
20. In Jurassic park, a scientist dinosaurs from extinction with appalling consequences.
a. fertilized b. revived c. expected d. invaded
21. Can you use your computer to how much my property in Arizona will be worth in 2015?
a. calculate b. scamper c. relate d. consume
22. This year I hope to realize my dream of in the sky in a hang glider.
a. soaring b. fulfilling c. figuring d. reacting
23. Experts say that when a country`s money supply is very high, that means that things start to get more expensive andis the result.
a. property b. inflation c. flood d. ritual
24. You should stop smoking! It decreases your and increases your life expectancy.
a. fear of living b. cost of living c. lack of living d. aim of living
25. The population is so here. An average of ten people lives in each apartment.

- a. graded b. popular c. dense d. distinctive
26. White flowers are a symbol of
- a. awareness b. advance c. purity d. logo
27. Because of her Sara would never speak out during class discussions, even if she had good ideas.
- a. modesty b. progress c. salary d. shortage
28. The jewelerthe wrong name inside my wedding ring.
- a. encountered b. engraved c. saved d. excluded
29. In the spring, flowersand show us their beautiful colors.
- a. bloom b. blast c. cover d. exceed
30. Eileen loves to her engagement ring to her jealous friend.
- a. blank b. reserve c. show off d. expel
31. Manymove their head offices to other countries to reduce the amount of tax they must pay.
- a. Appreciation b. corporation c. reduction d. ingredient
32. For years scientists have tried tothe meaning of whale songs.
- a. throw b. increase c. interpret d. pressure
33. Our company a cutting- edge computer system last week.
- a. adopted b. blackmailed c. committed d. remained
34. The soaring cost of living is with the rising price of oil.
- a. overdone b. associated c. banned d. cultivated
35. The broadcast two different versions of the new story, which confused the viewers.
- a. aisle b. media c. corridor d. currency
36. It's important to say "thank you" to show that you are for something.
- a. affluent b. good-looking c. grateful d. wholesome
37. John searched for his passport as his flight was getting ready to leave.
- a. intentionally b. frantically c. eventually d. equivalently
38. One of my coworkers was promoted tothis week.
- a. supervisor b. extract c. dependence d. slogan
39. While some snakes are dangerous, the ones in my garden are completely
- a. bitty b. innocuous c. reckless d. addicted
40. When my daughter asked my permission to go abroad, my answer was no, but later I changed my mind.
- a. mild b. initial c. capital d. lethargic
41. The key to healthy diet is to eat a amount of food each day: not too much and not too little.
- a. veteran b. moderate c. alternate d. concentration
42. Aspirin didn't help my headache, but that massage you gave me I feel great now.
- a. did the trick b. refined well c. eliminated fast d. put out soon
43. Cookies and candy have lots ofthat give you quick energy.
- a. fiber b. carbohydrate c. portion d. crop
44. The hula hoop was a in the 1950s and 60s. It was very popular for a time, but then it disappeared.
- a. fad b. feature c. medium d. detail
45. I'm the rising cost of living and the high prices of property in this city! I've decided to move to the country.
- a. satisfied with b. fed up with c. dealt with d. interested in
46. When the ship hit a rock, its of oil spilled into the sea.
- a. veracity b. cargo c. gravity d. balance
47. If we could only the energy of the sun, the world's energy problems would be solved.
- a. harness b. channel c. invest d. commute
48. The stolen car was quickly in the thieves' garage and the parts sold.
- a. ventilated b. connected c. dismantled d. emigrated
49. Medical has developed a cutting-edge method of treating tumors.
- a. pioneer b. comparison c. function d. struggle

50. The criminal's story is supposedly true, but I doubt its
- a. attainment
 - b. concept
 - c. correctness
 - d. appealing

“LIFE IS BETTER THAN DEATH”
“LOVE IS BETTER THAN HATE”
A STUDY OF THREE SURREALIST PLAYS BY TOM STOPPARD

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ABSTRACT

Tom Stoppard is a leading figure in contemporary British drama. Since he began writing in the early 1960s, he makes use of various literary movements and trends that were dominant in the first half of twentieth century, both thematically and technically. Some of the plays he wrote in the 1970s; namely, *After Magritte*, *Jumpers* and *Artist Descending a Staircase*, show his deep admiration and diligent employment of the tenets of the surrealist movement. Of special importance to Stoppard was the movement's call for a revolt against all restraints on free creativity and its insistence on freeing man's mind before freeing him socially or politically. The expressed aims of this paper are first to shed light on the points of similarities between Stoppard and the surrealists; and second, to try to show to what extent Stoppard succeeds in employing the ideas advocated by the surrealists in his plays.

KEY WORDS: Stoppard, Surrealism, *After Magritte*, *Jumpers* and *Artist Descending a Staircase*,

After the theatrical and financial success of Tom Stoppard's *Rosencrantz and Guildenstern are Dead* (1967), he became vocal in the English theatre during the 1970s. Critics generally considered him “the new white hope of British theatre” (Taylor, 1971, p.99). He was in a favorite position at that time, and this may account for his preference to write for the stage rather than for television or radio. Actually he wrote nothing for television between 1968 and 1975. Meanwhile, he wrote only two plays for radio: *Where are They Now?* (1970), and *Artist Descending a Staircase* (1972).

The plays discussed in this paper reflect clearly Stoppard's “distrust for naturalistic drama...[his] constantly breaking the illusion and playing with the audience's expectations” (qtd. in Sheildley, 1994, p.105). Also the same preoccupations of his earlier plays are still manifest in these plays: his fascination with the eccentric and his presentation of various kinds of misleading images- visual or oral- which, according to Stoppard, must always have logical explanations to them. As a matter of fact, he repeatedly stresses the logic that undergirds the structure of his highly theatrical and imaginative plays: “I would think it a personal failure to write a play which is not consistent in every way...They've got to make absolutely logical sense to me” (qtd in Fleming, 1996, p.114). This is what happens in *After Magritte* (1970), *Artist Descending a Staircase* and *Jumpers* (1972). These plays revolve around the themes of the relativity of truth, man's apparent need to divert himself from painful realities, the inability of rational mind to explain man adequately to himself. A more important theme is man's consistent need for love, sympathy and mutual understanding. *Jumpers* and *Artist* are plays about love: love of a woman, of one's vocation, and of life itself. Moreover, these plays reflect Stoppard's exploitation of situations rather than plots: “ I have enormous difficulty in working out plots, so actually to use Hamlet, or a classical whodunit...for a basic structure, takes a lot of pressure off me” (qtd in Jenkins, 1987, p. 50). This statement is important, in the sense that it informs us of Stoppard's intention to continue exploiting the plays-within-plays technique, and of his extensive borrowing from others, as in *Artist* and *Jumpers*.

Stoppard first came to know Surrealism in 1963, when he and Anthony C. H. Smith-his friend and would-be agent-were commissioned by John Boorman to write for a television series that would employ a new form of documentary. Stoppard was assigned Surrealism, and the excerpt suggests that the documentary functioned by illustrating Surrealism via examples rather than by talking about it. While this script was probably not filmed, in early 1964 Stoppard did assist Smith and Boorman in a pseudo-documentary series entitled *The New Comers*. The show featured the Smith family and was loosely based on the family's attempt to adapt to a life in a country town. In one of the episodes, Stoppard made a rare acting appearance, as he “played with a violin bow the cords [from which] that suspended a bookcase” (Fleming, 1996, p. 117). Similar surrealist visual jokes appear in *Jumpers* and *After Magritte*.

Although Stoppard persistently insists on the existence of a predetermined pattern and logic in our life, he sometimes gives pronouncements that befit a Neo-Surrealist. In an interview with Hayman (1974), he declares: "What's wrong with bad art is that the artist knows exactly what he's doing" (p.17). On another occasion, he states: "Each day is a sort of new beginning. I rarely sit down knowing what I want to do next. And I feel that it is something of a miracle to get to the end of a play" (Hardin, 1981, p. 157). This may account for the fact that his plays often begin with an image and move towards other images which may remain unresolved either for the characters or the spectators or for both of them, as in *Artist, Jumpers* and *After Magritte*. In other words, Stoppard's plays give the impression that he starts writing without knowing how the strands will eventually come together.

In fact, Stoppard shares with the surrealists many characteristics. He upholds Magritte as his favorite painter, imitating his method of confusing the viewers by presenting many contradictory and incongruous images at the same time. He shares their optimism, faith in life and their confidence in man's ability to participate in life actively.

After Magritte is a one-act play, written for the Ambience Theatre Club. As the title suggests, this play shows the impact of Surrealism on Stoppard, for the play's events supposedly occur after a visit to an exhibition by the Surrealist painter René Magritte. It represents an elaboration of the fact that truth changes with perspectives and of the assurance made by Harris, one of the characters in the play, that "There is obviously a perfectly logical explanation for everything" (Stoppard, 1971, p.32). (All subsequent quotations are from this edition.) In commenting on the play's theme, Stoppard points out that *After Magritte* "starts with total illusion," and that the whole play is "an explanation of how illusions came to take place" (Smith, 1977, p.5).

Stoppard uses in this play the idea of the conflict between appearance and reality. As a matter of fact, it is constructed out of the characters' various attempts to account for and interpret two visual puzzles: the bizarre visual puzzle which the play opens with, and the apparently unidentifiable hopping figure, who will prove the innocence of the Harris family from the non-existent crimes they are accused of.

The opening tableau of the play represents a visual puzzle for the audience, and it is more indicative of a modern painting than that of a situation likely to occur in real life. (Hayman, 1979, p.143) The room where the events take place is almost bare, for most of the furniture which includes a bench-type table, a settee, two chairs, a television set, a cupboard and a gramophone (p.9) is piled against the street door in a sort of barricade. The audiences see also an old woman in a bathing cap, lying face upon an ironing board with a white bath towel over her body and a black bowler hat over her stomach. Reginald Harris stands on a wooden chair in order to blow into the lampshade, which is on a pulley, counterweighted by a basket overflowing with different kinds of fruit. He wears his black evening dress trousers underneath his thigh-length green rubber fishing waders. Thelma, dressed in a ball gown, crawls about on all fours, "giving vent to an occasional sniff" (p.10). Through the window, at the back of the stage, the Police Constable PC. Holmes, who will report to Inspector Foot this bizarre spectacle, looks in. Hayman (1977) rightly describes the impact of the opening scene as "very much like that of a Surrealist painting," (p.82) in the sense that one can hardly discern any comprehensible meaning at the first view.

The audiences perceive the opening tableau of the play without attempting to connect cause and effect, just as a painting of Magritte rearranges ordinary objects, such as a rock, a train, a bowler hat in a way that divorces them from their expected roles. The difference between the play and Magritte's painting lies in the fact that the former does not let the visual puzzle go unexplained, whereas the latter admits no such intention. In Magritte's painting

The images must be seen *such as they are...*The mind loves the unknown. It loves images whose meaning is unknown, since the meaning of the mind itself is unknown. The mind doesn't understand its own *raison d'être*, and without understanding that... the problems it pose has no *raison d'être* either. (qtd in Jenkins, 1987, pp. 54-5)

This means the existence of a great gap between reality and appearance, and the relativity of truth and reality, since they are governed by our limited perception of the appearances one sees. Henceforth stem Magritte's continuous efforts to disorient and disturb the viewer by creating tension between two opposing kinds of visual reality. For instance, he paints a man with a bowler hat, whose face is obliterated by a dove. In other words, Magritte builds an atmosphere of tension and menace by explaining little or nothing in his paintings, whereas Stoppard creates a comic effect by offering multiple and opposing explanations for the same visual puzzle.

In the course of the action, the audiences are informed through the characters' actions and dialogues of the reason behind this bizarre spectacle. The furniture has been piled up to clear space for the Harris who have been practicing for a professional dance competition. The Mother is resting on the ironing board because she has been given a massage by Thelma. Harris blows on the light bulb to cool and then remove it. He has been wearing waders

to replace a bulb in the bathroom while the bath was full. He is bare to the waist, because his dress shirt has to be ironed. Thelma was looking for her shoes, PC Holmes is there because Harris's car has been traced as having parked in a non-parking area in Ponsonby Place in the afternoon.

Stoppard manages to confront his audience with yet another puzzle, verbal this time, immediately after clarifying the first visual puzzle. The Harrises argue about a one-legged man who hobbled up to their car while driving out from the Tate Gallery back home.

Harris and his wife are preoccupied with a debate about the identity of that "bizarre and desperate figure," whom they saw at Ponsonby Place. Each one of the characters gives his opinion of what that figure might be by using language. Thelma thinks him a footballer, with shaving foam on his face and a football in his hand. Harris insists that he was not wearing football shirt but pajamas, had a white beard; was carrying a tortoise, and that he must have been blind, because he had a white stick. Instead of football or turtle, the Mother insists that the mysterious figure is a man who "was playing hopscotch on the corner,...He carried a handbag under one arm, and with the other he waved at me with a cricket bat" (pp.38-9).

Consequently, what the audiences see in *After Magritte*, is an attempt at deduction and the existence of conflicting explanations for everything. In their conversation with Inspector Foot, who arrives there to investigate the meaning of this bizarre spectacle, which he regards as suspicious, immediately after everything is restored to normal, each member of the Harrises is adamant that he/she is only reporting what he/she has seen and insists that his/hers is the only right explanation.

What emerges here is that language may sometimes lead to the mounting of confusion and ambiguity rather than to clarification of the situation. Stoppard here shares both the Surrealists and the Absurdist's concept of the unreality of language and its inadequacy as a means of communication. Magritte, the painter, always confuses the viewer, by deliberately distorting the harmony between the visual and written images, and by using the objects in an unexpected Surrealist manner. For instance, he considers labeling the picture of a pipe as 'Pipe' an abuse of language, since no one can touch or smoke it; so, he writes "This Is Not a Pipe," or he inscribes a door under the picture of a horse. Magritte seems to say that reality is not what seems to us, and that language is no rescue in this respect. As far as Stoppard is concerned, the meaning of words depends on a "learned code which continually blinds us to its inherent unreliability" (Jenkins, 1987, p.57). The conversation between Harris and Thelma at the beginning of the play illustrates this well:

(Harris blows into the lampshade)

Thelma: It's electric, dear.

Harris: (*mildly*) I didn't think it was a flaming torch.

Thelma: There is no need to use language. That's what I always say. (p. 11)

During his investigation of the meaning of the suspicious spectacle in Harris's house, Inspector Foot accuses the Harrises of being accomplices in a 'non-existent' robbery that was supposed to have taken place in Ponsonby Place. Depending on a 'misleading' report by an old lady who deduces a robbery upon seeing a broken crutch and two metal coins on the pavement, Foot puts forward a hypothesis, explaining what happens. According to his hypothesis, the Harrises are charged with performing without an anesthetic an illegal surgery at Mafeking Villas on a bald-nigger minstrel, and of helping a one-legged man who uses his crutch as a weapon to steal money from the Post Office, for the robbery happened in the same place where Harris parked his car.

Foot's insistent search for evidence to substantiate his hypothesis about the supposed double crime committed by the Harrises has great ironical implication, for it turns out later that Foot himself is the bizarre figure who occasions much dissension between Harris and Thelma.

The end of the play reflects Stoppard's obsession with working events out to their logical conclusion, which would eventually pervade all his plays. Indeed, although Stoppard has eschewed linear cause-to-effect realism in his highly imaginative plays for theatre and radio, he has repeatedly stressed the logic that underlies them.

As we shall see, the same method will be repeated in *Artist* and *Jumpers*. As audience, we come to the conclusion that the apparent surrealistic absurdities of the play's action are not wholly arbitrary or accidental; in fact, they are confined to a prearranged pattern in spite of Stoppard's insistence that he does not know how his genius works. Commenting on Stoppard's tendency to construct his plays, however absurd and surrealistic their actions are, Billington (1987) points out:

What knocks the play on the head for me is that Stoppard never really rejoices in the absurdities of family life. Stoppard is more orderly, and consequently he misses some of the fun of the arbitrary, the accidental, the unforeseen, the irrelevant which gives life to drama. (p.90)

Inspector Foot deduces from the characters' apparently contradictory versions of what they have seen that it was he who hobbled up to Harris's car. During the blackout, as Harris extracts the bulb, Foot tells us that he left his car outside his house in Ponsonby Place one night and woke up late in the following morning. Upon seeing a car pulling away from the only parking space in the road, Foot stopped shaving, rushed into the street, seized his wife's bag and parasol which he failed to open, and, in his haste to put on his pyjamas, he put both feet into the same leg. In other words, the whole puzzle about the burglar was the result of the Old Lady's misleading report about the scattered coins on the pavement, because leaving unconsciously the handbag open, Foot scattered the money all his way back to his home. (pp. 45-6)

When the light comes on again, the audiences see the characters in yet, another bizarre spectacle, which is as grotesque as the earlier ones. Unable to interpret it, Holmes recoils in paralysis. The scene runs as follows: The Mother stands on one bare foot only on a wooden chair, playing the tuba; Foot is standing on one foot, wearing sunglasses, and eating a banana; Harris, blindfold, is standing on one leg and counting to test Foot's hypothesis that a blind man cannot stand on one foot; and Thelma is crawling around the table sniffing and searching for a needle to mend her evening dress.

Beyond this, Stoppard hardly provides information on the characters themselves. It is as if he reports to us a series of images he has seen in one of modern painting galleries. In other words, the characters lack psychological depth. For instance, we do not know anything about Thelma and Harris except their interest in attending parties, about Foot except his love of details and precision, about The Mother except her enthusiasm to play the tuba, one of the favorite objects in the paintings of Magritte. Hearing that tubas are figured in his exhibition in the Tate Gallery, the Harrises decide to take her there, thus initiating the whole chain of subsequent events in the play.

Accordingly, the play deals with what happens after the Harrises visit Magritte's exhibition. It further shows to what extent Stoppard has exploited Magritte's style of painting in the dramatic construction of the play.

It is not surprising to know that Magritte is one of Stoppard's favorite artists. In fact, what attracts Stoppard towards Magritte is an affinity with the painter's sense of humor, and an interest in his argumentative insistence that object and image are not identical, that similarity can never be considered a proof of identity, and that there is no logic of causality to map the relations between things, images and names. (Hayman, 1979, p.144) Accordingly, Stoppard, like the Belgian painter, questions the nature of perception and our ability to perceive clearly the images presented to us. To both of them, truth is relative and constantly distorted by our personal desires and prejudices. Commenting on Stoppard's application of Surrealism, Brassell (1985) points out:

Following Magritte's theory, Stoppard creates a pair of three dimensional, quasi-surrealistic canvases in which there is a minimum of movements...and the visual arrangement of setting takes absolute primacy. The description of the controversial figure in Ponsonby Place has a certain surrealistic quality too. (pp. 100-101)

Like most surrealistic painters, Stoppard rearranges the ordinary objects in the most unexpected way. In the visual as well as verbal puzzles he presents in *After Magritte*, he draws his audience's attention to daily life objects which lost their appeal and ceased to attract our attention. In this way, he asks them to rediscover things around them in order to view them in new and unexpected ways. Consequently Stoppard often creates a work of art which escapes the possibility of having any direct rational meaning. Hence, its appeal to the subconscious and imagination rather than to the perception and senses. This accurately befits the surrealist doctrine which considers the subconscious and imagination as the sources of the artist's inspiration.

Stoppard's next play after *After Magritte* is *Jumpers* (1972). As a play, *Jumpers* achieved what *After Magritte* failed to: to affirm Stoppard's dramatic genius and ensure him a wide literary fame as a first-rate modern dramatist of everlasting importance. *Jumpers* is basically a play about love, an assertion of man's need for love, humility and charity in a mechanistic world. In this respect, as Cahn puts it, the play represents a "positive step out of the disjointed world of the tradition of the absurdists" (Ibid.). Love, which is the central Surrealist theme, is presented in

variety of forms; love of man for woman, of man for his vocation, and of God for man. Also, there is the love of power over others, which is presented through Archie.

As a surrealist play, *Jumpers* celebrates the world of the irrational, of mystery, of the unexpected within man's life. Stoppard, in reminiscence of *After Magritte*, teases his audience's expectations with various perplexing visual puzzles, which are logically explained afterwards. In this respect, Jonathan (1975) points out that "*Jumpers* is a mildly surrealist farce which plays with confusions and cross purposes like Stoppard's *After Magritte*. [It] involves switches between reality and various kinds of illusion" (p. 5). The play opens with two visual tableaux, in which we see, in a pseudo-surrealist mode, a brilliant juxtaposition of various incongruous and disparate realities. Hayman (1979) makes a comparison between the metaphysical poets and Stoppard's dramatic style, in the sense that their literary output contains "the most heterogeneous ideas yoked by violence together" (p.141). Violence, as Hayman points out, was to become a policy for the Surrealist. André Breton says: "For me, the only real evidence is a result of the spontaneous extra-lucid and defiant relationship suddenly sensed between two things which common sense would never bring together" (Ibid). Stoppard's plays, as a matter of fact, are full of relationships, among other things, which common sense would never have brought together.

The first five pages of the play feature a series of puzzling tableaux. Archie, unseen, is a master of ceremonies at Dotty's party. He announces the reappearance of the much-missed and much-loved star of a musical comedy, Dorothy Moore. This is followed by a series of incoherent songs by Dotty, who describes herself as "unreliable and neurotic" (Stoppard, 1972, p.17). (All subsequent quotations are from this edition). After that, the audiences see a dazzling spectacle of the poker-faced secretary performing a striptease on a swing hanging from a chandelier. She moves like a pendulum in and out of the spotlight, and each time she appears, she takes off some clothing. Another character on the stage, Crouch, is bewildered by what is going on, because "*every time he turns downstage, the secretary is in view behind him, and every time he looks upstage, the gap is empty*" (Ibid, p.18).

The second tableau is a vivid theatrical spectacle. It begins with Archie announcing the appearance of the "INCREDIBLE-RADICAL!-LIBERAL!!-JUMPERS!!," (Ibid) four of which come from either side of the stage, jumping, tumbling, and somersaulting. What is important is that when we first hear of the word 'Jumpers,' it is coupled with the name of a political party and it soon acquires an overtone of expediency. 'Jumpers,' in fact, acquires multiple meanings as the play progresses. The jumpers form a human pyramid and stand on each other's shoulders in a 3-2-1 formation. Stoppard says that "the initial impetus for the play...is an entirely visual image. ...the image of a pyramid of gymnasts, occupying the stage, followed by a gunshot, followed by the image of one gymnast being shot out of the pyramid and the others imploding on the hole" (Hayman, 1977, p.5). Dotty looks down in surprise as the dying man pulls himself against her legs, shedding blood on her white dress.

These events force us to wonder what an extraordinary household George's is! This is done deliberately in order for the audience to prepare themselves for any theatrical eccentricities that may confront them. In fact, the play, as we shall see, ends just as it begins, with a seemingly dream-like and surreal sequence of events. Therefore, the audience must keep in mind that Dotty and George's world is not an ordinary one.

The ideas of the play revolve around issues concerned with moral philosophy, which Professor George, a deist in Archie's materialistic university which serves as a microcosm for the new British society, will be debating in a departmental symposium. Theatrically, the play is about a professor dictating a lecture to his secretary while, in the next room, his wife is trying to hide the corpse of the murdered jumper.

Ironically, while George is trying to bring order to his chaotic world through philosophy, the real world that surrounds him appears "crazily surreal in its bizarre and dream-like progress" (Morwood in Bareham, 1990, p.126). Moreover, as a character, George is sometimes comically presented. For example, he wears unmatched socks, tries to drink from a tumbler full of pencils, and answers the front door, in reminiscence of *After Magritte*, with "*a bow-and-arrow in one hand and a tortoise in the other, his face covered in shaving foam*" (p.43).

George explains that the acrobatic troupe contains "a mixture of the more philosophical members of the university gymnastics team and the more gymnastic members of the Philosophy School" (p.51). As a young man, Stoppard must have come across many cultural trends and philosophical movements in the seventies and the play's characters

testify to this. The members of the university are combination of “logical positivists...linguistic analyst...Benthamite, Utilitarians, Kantians...Empericists...[and] Behaviorists” (pp. 50-51).

The jumpers are led by Archie, a jack of all disciplines and the power behind the new Rad-Lib Government. He is a man of no convictions whose actions spring wholly from elastic pragmatism. Believing goodness and truth to be unknowable, he condones whatever is expedient. Duncan McFee opposes Archie’s epistemological relativism, believing that “good and bad aren’t actually *good* and *bad* in any absolute or metaphysical sense,” for he actually believes them to be “categories of our own making, social or psychological conventions which we have evolved in order to make living in groups a practical possibility” (p. 48).

Therefore, in Archie’s world, where good and bad do not exist, McFee’s conventions are very important, because they enable the gymnasts to jump to any number of philosophical, psychological and political positions.

However, in the second Act, Stoppard chooses to disclose the fact that the murdered jumper, who was shot out of the pyramid in the opening scene, was indeed McFee himself. At the end of the same act, the audiences are told by Crouch of McFee’s decision to leave the university, break off a clandestine affair with George’s secretary and to enter a monastery. This happens after McFee’s recognition of the possibility of altruism, the existence of good and evil and, in effect, of moral absolutes in our lives.

When Stoppard was asked if the play was a political one, and why he avoided discussing political issues explicitly, he insisted that all political questions hinge on more basic questions of morality: “*Jumpers* obviously is not a political play, nor is it a play about politics, [or] ideology...The play reflects my belief that political acts have a moral basis to them and are meaningless without them” (Stoppard, 1974, p. 12).

This means the crushing down of any position the jumpers leap to, since they remove the premise that moral absolutes do exist. In this way, Stoppard is siding with George against Archie who holds a materialistic view of life which is considered by Stoppard an insult to the human race. Stoppard asserts here man’s need for things other than materialism and rational thinking in his life.

In addition, George’s long speeches throughout the play reveal his certainty, not only of the existence of moral absolutes but of a realm of a spirit which transcends both the Darwinian view of man as animal and the Marxist view of man as a material.

Moreover, George does not dismiss humanity as valueless, nor does he offer a humanistic view that mankind is the measure of all values. Rather, George sees human imperfection and, in this way, reiterates Stoppard’s belief in the “perfectibility of society, and the concomitant of that belief is a recognition of its imperfection. That’s why I am not a revolutionary person, I don’t believe that the painful progress towards the perfect society happens in revolutionary spasms. I think it is a gradualist thing of growing enlightenment, I believe in the contagious values” (qtd in Roberts, 1978, p. 86).

This optimism which Stoppard advocated is what links him to the surrealists. He thinks hopefully of the future, of man’s ability to transform his life to something better. It is not necessary, for him, to wait for revolutions and political actions to free man. Freedom, to Stoppard, is man’s responsibility. Consequently, man is not a puppet in an absurd universe; he is an active participant, fully aware of his limited abilities as a fallen creature, yet capable of exploiting what is available in order to improve his living conditions.

George is a staunch believer in God and in moral absolutes which he finds embarrassing nowadays. His values cannot survive in the universe where quarrelsome jumpers can land on the moon, and churches are converted into gymnasiums. Stoppard also believes in the existence of an ultimate external reference for all our actions, that our view of good behavior must not be relativist and that it is wrong and unacceptable to rely on social conventions in our judgment of what is good and bad. This leads him to the conclusion that if “our behavior is open to absolute judgment, there must be an absolute judge” (qtd in Delaney, 1990, p.47). The play, then, seems to be a celebration of the spirit, of moral instinct and of a metaphysical realm within the modern world.

The other character, through which Stoppard presents his own concept of the world’s irrationality and love, is Dotty. Dotty’s role is sometimes wrongly dismissed as unimportant, especially if we regard the weighty philosophical arguments in the play. However, hers is a vital one, which helps to illuminate and emphasize the dilemma of modern man. She is the first character to appear on stage and has the last words in the play. Although, Dotty is mentally disturbed, as she cannot distinguish one moon song from the other, she occupies a unique position in the structure of the play for a number of reasons. First, she forms the centre of emotional interest for three male characters in the play; second, she plays a special role in the murder investigation; and finally, she is to become the medium through

which the impact of moon landing is illustrated. Throughout the play, Stoppard uses the idea of madness associated with the full moon in his portrayal of her disintegrating world.

Her work as a musical comedy performer affects her view of things: she is mindlessly optimistic and romantic. Her beliefs centre symbolically on “that old-fashioned, silvery harvest moon, occasionally blue, jumped over by cows and completed by Junes, invariably shining on the one I love” (p.41). For her, people are not good or bad, but eternally hopeful, full of limitless possibilities. George first thinks of her when she enters his class as the “hyacinth girl” (p.33), a symbol of hope and renewal in T. S. Eliot’s “The Waste Land.” (Morwood in Bareham, 1990, p. 127)

Presently, Dotty realizes the shallowness of her beliefs in this world of uncertainties and crises. Crump (1979) analyses Dotty’s plight penetratingly. He says that Dotty represents man’s nature, uncomplicated and unrefined by intellect, emotions or appetites. She is an entertainer and spends most of the time in her bedroom. She has been psychologically traumatized by the triumph of rational materialism in the modern world, represented by the activities of the Rad-Lib Party on the one hand, and by the technological achievements such as moonlanding on the other. (p.359) Actually, Stoppard wants to indicate, through the disastrous incident which takes place on the moon, the impact of technology on man’s spiritual values. Dotty’s suffering is deepened by what happens on the moon. The spaceship is so damaged that only one astronaut is capable of returning to earth. Captain Scott and Astronaut Oates struggle until Oates is knocked to the ground to be last seen by millions of television viewers as that “tiny receding figure waving forlornly from the featureless wastes of the lunar landscape” (p.22).

This incident destroys the planet’s aura of romance and poetry. The moon becomes a land of desolation and ugliness. Technology has defiled Dotty’s romantic ideals, and her metaphysical world is left in fragments. In a passionate speech, she laments the demise of moon in poetry, citing Keats, Shelly, and Milton (p.41), and, as a university graduate, she tearfully reflects that moon landing has made the world seem little and local and has undermined the absolutes men previously took on trust. She is appalled by this vision of the moral anarchy that she believes will be unleashed. (p.75)

Dotty’s realization of man’s evil and the inadequacy of her optimism should not be confused, Delaney (1990) affirms, with the existentialist despair that life is meaningless. Her collapse into insanity signifies the persistence of emotional and spiritual needs, which seem irrational when viewed from a sane and materialistic perspective. She longs for something incredible rather than credible. She wants to believe in God, the soul, or right and wrong, absolutes which the jumpers refuse to believe in. (p.51) Her blight thus corresponds partially to that of modern man, who is in constant search for means to function in a grim and chaotic world, from which the spiritual consolations of the past have been withdrawn.

The moments of the most intense feeling in the play are those in which she pleads for George’s emotional support that might make her life worth living. It is worth mentioning here that *Jumpers* is the first of Stoppard’s plays to explore human relationship in any depth. For example, Dotty and George make convincing, though unsuccessful, attempts to come at with each other. George, whose lecture tries to prove that man is good or bad but not indifferent, fails Dotty and remains inhumanely indifferent to her feelings and pains.

Moreover, Dotty’s involvement with George, Bones and Archie signifies three types of personal relations, from which one may find some emotional support and understanding. This also represents, as Crump (1979) suggests, “three stages in the historical development of the relationship between man and woman,” in the sense that George offers traditional married love, Bones offers idealistic and romantic love while Archie offers merely physical relationship of the modern type. (p. 360)

Dotty also forms, along with the other female character, the secretary, part of the puzzling reality the men try to interpret. Both women play scenes of physical exposure. Stoppard, as a surrealist artist, invests woman with an air of enigma, which like the world, defies man’s rational thinking and scientific approaches. She is part of the irrationality of the world, of its mystery. In this way, she is a true surrealist heroine.

The play ends with a Coda, which is dramatically important, for it recapitulates the themes of the play. As audience, we see in a bizarre dream form the departmental symposium, George’s failure to bring order to his chaotic world, to help Cleghrope in his ordeal, and also the murder of Cleghrope. The Coda carries out McFee’s prediction: “I have

seen the future...and it's yellow" (p.80), in clear reference to the Jumpers' yellow uniform. It is Archie's world, not George's; a world of meaninglessness and chaos. Billington (1987) rightly recognizes that *Jumpers* demonstrates that "a world that denies the metaphysical absolutes of good and evil, that sunders any tolerance of the irrational, that subverts moral sanctions...will fall into chaos" (p. 87).

Archie interrupts George's attempts to confirm the values he believes the world should hold, insisting:

Do not despair-many are happy...more eat than starve, more are healthy than sick...and one of the thieves was saved...vast areas are unpolluted; millions of children grow up without suffering deprivation...and millions, while deprived and cruelly treated, none the less grow up...Wham, bam, thank you Sam. (p. 87)

Archie's statement represents an acceptance of the status quo, a reconciliation with the state of absurdity that Beckett has dramatized. Nevertheless, Archie is not pessimistic about the future, as he urges us to see only the good in life, for there is little use in dwelling on the negative aspects. Archie's speech vindicates the most crucial theme of the play: that mankind is not simply a passive victim in the world, but can be an active participant. Our world is full of miseries and bad things, the play suggests, but man's task is not to submit or wait endlessly for someone to save him, he must create his own world.

Stoppard, through George, Cleghthrope and McFee, is protesting against such a world vision. George's speeches represent a reaction against modern man's denial of all values and are affirmation of the belief that something within us makes us human, something which makes us believe in goodness and beauty. Cleghthrope was killed because of his decision to shift from agnosticism and of his insistence on "find[ing] room for man's beliefs" (p.84). Archie orders Cleghthrope's killing because he cannot tolerate the intrusion of spiritual values into his bleak world order. Those characters' actions assert that man is not a mechanical object in this world, without heart to feel and a soul to yearn. Man must move beyond materialism and must go in search for spiritual realms, for the irrational. As a matter of fact, irrationality stamps us as human. So, the play, as a whole, insists on the innate goodness in man, that he must be hopeful and active in this world, however bleak it may seem.

Artist Descending a Staircase (henceforth *Artist*) was broadcast in the same year as *Jumpers* (1972). This play is considered Stoppard's radio masterpiece, although he undervalues it, describing it as merely a "dry-run," (Hardin, 1981, p.156) for ideas that will appear in his stage play *Travesties* (1974). However, *Artist* turns out to be one of Stoppard's most highly praised works. As in all his other radio plays, Stoppard exploits the opportunities the radio, as a medium of dramatic action, offers, to the extent that much of the play's meaning resides in the radio performance, and cannot be captured on stage, on screen, or even in print; it depends heavily on sounds and our proper explanation as to what they mean.

The play addresses itself to many crucial issues in modern art which again reflects Stoppard as that relentless dramatist who never tires of moving endlessly from one point to another in his plays, hence his plays' everlasting importance. In *Artist*, Stoppard repeats the same methods used in *Jumpers* and *After Magritte*, that is of presenting a group of characters whose interpretations of the plays' puzzles, audible this time, are as different as their personalities and personal predilections. Stoppard, in this respect, always insists that his plays represent:

A series of conflicting statements made by conflicting characters, and they tend to play a sort of infinite leapfrog. You know an argument, a refutation, the rebuttal of the refutation, then a counter-rebuttal, so that there is never any point in this intellectual leapfrog of which I feel that is the speech to stop it on, that is the last word. (Stoppard, 1974, pp. 6-7)

The characters in *Artist* express different viewpoints regarding the problem of artist innovation, freedom, love, truth, all along with other crucial issues the play touches, such as the 'usefulness' of the artist to his society, the impact of literary works on society or whether the artist has the ability to change his society, and who is the artist. As Donner explains to Martello, looking back on their days in Paris of the World War I, all art, whether rational which celebrates reason, history and logic, or their own "anti-art of lost faith...[became] the same insult to a one-legged soldier and the one-legged, one-armed, one-eyed regiment of the maimed"(Stoppard, 1973, p. 27). (All subsequent quotations are from this edition.) This view clearly indicates the state of affairs after World War I: everything became meaningless and an object of ridicule including art itself when measured against the atrocities of the war.

In this sense, *Artist* is a serious play that makes a shift in Stoppard's artistic tendencies. After denying a direct involvement in the socio-political preoccupation of his time, Stoppard now admits that "there is no such thing as 'pure' art-art is a commentary on something else in life...I think that art ought to involve itself in contemporary

social and political history as much as anything else” (qtd in Roberts, 1978, p. 84). In this way, *Artist* is a commentary on the literary and artistic tendencies that dominated Europe in the period between 1914 and the time of writing the play, i.e., 1972.

In *Artist*, characters adopt various literary trends which range from realism to surrealism. Beauchamp, one of the three artists, who carries the central debate in the play, busies himself with tonal art, a surrealist tape-recording of apparently unrelated and frequently unidentifiable sounds. To Beauchamp, the mind is a tablet upon which has been inscribed the manifestoes of realism, and that man is capable of new experience if his means of expression are liberated. For him, “Art consists of constant surprise. Art should never conform. Art should break its promises. Art is nothing to do with expertise: doing something well is no excuse for doing the expected” (p. 42).

In this way, Beauchamp is a true Surrealist: he believes that man must liberate himself first, because only through this he will be able to rediscover things around him, as this liberation will provide him with new means of expression. His art will be a series of surprises for the viewer as well as the reader. In short, he must always look for the unexpected and the hidden.

Donner, the other artist in the trio, holds the opposite point of view. In his youth, he was attracted to Avant-gardism, the movement of experimentation and surprise, but he is now engaged with realism, with what the eyes see. He tells Beauchamp: “I have returned to traditional values, that is where the true history of art continues to lie, not in your small jokes” (p.22). Donner, then celebrates those literary forms we have labeled as Realistic. He will do the expected. He believes that, by conforming to the expectations of every man, he has rediscovered the criterion which decides the value of the work of art and also the link between art and life. Thus, his works become an imitation of life itself, i.e., nothing unexpected.

Martello criticizes both his friends’ opinions on art. For him
Painting...is a technique and can be learned, like playing the piano. But how can you teach someone to *think* in a certain way?-to paint an utterly simple shape in order to ambush the mind with something quite unexpected about that shape by hanging it in a frame and forcing you to see it, as it were, for the first time. (p.39)

This recalls the surrealists’ belief that anyone can be an artist once he is liberated. Paul Eluard says that anyone can be a poet, since imagination and the subconscious are characteristics we all share. This also reminds us of Duchamp’s “ready-mades,” and his assertion that any object can be an artistic object by the simple choice of the artist; that is to choose objects from our daily life, put them in a frame and force the viewer to look at them in a new way.

Through Martello, Stoppard uses once again the idea of ‘ambush’ to describe those moments of discovery and revelation in man’s life. Stoppard, as a surrealist, tends to arouse his audience’s expectations in a certain direction, then he surprises them from another. Significantly, he describes his own plays as advancing through a “series of small, large, and microscopic ambushes- which might consist of a body falling out of a cupboard, or simply an unexpected word in a sentence” (Stoppard, 1974, p.6). Martello is the most important character in the play. He often uses words and phrases unexpectedly. He once says: “...my brain is on a flying trapeze that outstrips all possibilities of action. Mental acrobatics, Beauchamp- I have achieved nothing but mental acrobatics-*nothing!*- whereas you, however wrongly and for whatever reason, came to grips with life at least this once, and killed Donner” (p.16). The fun that underlies these statements makes us, Sammelles (1988) suggests, take a second look at language. It means that Martello uses clichés to hang up language in a frame, forcing us to see it, as it were; for the first time. (p.30) In fact, the comic exchanges among the three artists help to show us that talk is inconclusive, evasive: it creates confusion, not clarity. The following passage, for example, entertains us by leading us astray:

Donner: I think, in a way, edible art is what we’ve all been looking for.

Martello: Who?

Donner: All of us!- Breton!-Ernest!-Marcel-Max-you-me remember how Pablo used to shout that the war had made art irrelevant?-Well-

Martelo: Which Pablo?

Donner: What do you mean which Pablo?- *Pablo!*

Martello: What, that one-armed waiter at the Café Suisse! (p. 26)

In this audible scene, as listeners, we tend to take Pablo for Pablo Picasso, because we depend in our understanding on hearing only. The play, as a whole, abounds in such audible illusions, especially if we take into consideration that most of the events in the play are the old men's memories. They usually cannot remember the exact names of places or persons.

The play, furthermore, shows Stoppard as being influenced by the surrealist artist, Marcel Duchamp, who was known in America long before the Europeans paid him any heed. He was discovered by the British towards the end of his life. The first major Duchamp exhibition in Europe was held at the Art Council in Britain, in 1966. During the exhibition, BBC Television showed a film about him entitled 'Rebel Ready-Made'; and the Art Council issued a catalog including nearly all his works. Guralnick (1990) suggests that Stoppard might have visited this exhibition, because this play reveals, among other things, his extensive knowledge of Duchamp, and that he developed "so preternatural affinity with [Duchamp] that even the play's least assuming details have demonstrable connections to the artist" (p.291).

The title of the play echoes Duchamp's "Nude Descending a Staircase," one of the most famous paintings in the twentieth century. This painting shows Duchamp's experimentation with motion while the Cubists and every other modern painter had abandoned the subject. Duchamp also sensed the contemporary fascination with machinery. For nearly all his life, he was so intensely modern that much of his work eluded and outraged even the avant-garde. Moreover, Stoppard's title implies that Duchamp is the "giant who casts in the shadow those pygmies Beauchamp, Martello, and Donner," who are nothing themselves if not "versions of Duchamp himself, cubistically fragmented" (Ibid). Indeed, the whole play is in essence a translation of Duchamp's famous painting. For, just as the painting is a portrait of a nude who emerges from the interplay of geometric shapes that attempt to evoke her, the play is a portrait of an artist, Duchamp, who emerges from the interplay of innumerable allusions to his life and work.

Beauchamp, in particular, resembles Duchamp. Like Beauchamp, Duchamp devoted himself for decades to eccentric projects, such as motorized optical experiments and miniaturized production of his major works. In addition, he turned his attention to chess, eventually publishing a book on the subject and competing in international tournaments. Painting, Duchamp contended, bored him: he was wary of art that appealed to the eye instead of the mind. He once said: "I am interested in ideas- not merely the visual products. I want painting once again to be in the service of the mind" (qtd in Roth, 1973, p. 463).

In this way, he is very much like Beauchamp, who defends his recordings saying: "I am trying to liberate the visual *image* from the limitation of visual *art*. The idea is to create images-pictures-which are purely *mental*...I think I'm the first artist to work in this field" (p.36).

Furthermore, Beauchamp's ludicrous tapes of ping-pong recall Duchamp's "musical work," which he produced with John Cage in Toronto in 1968. This work consists of a chess game played on a board that had been wired for sound. Even Beauchamp's recordings of silence evoke Cage and Duchamp, as it is evident from one of Duchamp's provoking pronouncements:

Happenings have produced into art an element no one had put there; boredom. To do a thing in order to bore people is something I never imagined! And that's too bad, because it's a beautiful idea. Fundamentally, it's the same idea as John Cage's silence in music, no one had thought of that. (qtd. in Guralnick, 1990, p. 292)

The correspondence among Duchamp, Martello, and Donner is also interesting. Martello's "mental acrobatics" remind us of Duchamp's insistence on not taking his artistic endeavors- though they often cause critical uproar-too seriously (Richter, 1965, p.87) Besides, Martello's attempt to create "a wooden man with a real leg"(p.32) mirrors Duchamp's proposal to create a number of projects that earned the name of art, purely by being impossible to create. (Ibid., pp. 89-90) More important, Martello's bust of Sophie, the only female character in the play-with its hair of ripe corn, teeth of pearls, feathers upon her swan-like neck- recalls Dali's 'Ruby Lips,' a work that "takes literally the romantic cliché of lips like rubies and teeth like pearls"(Guralnick, 1990, p. 293).

Donner's curious proposal to make art edible is by sculpting a Venus de Milo in sugar or a thinker in salt. (p.26) his sugar art alludes directly to Duchamp's wooden birdcage filled with sugar cubes sculpted from marble-a work that amazes us as unexpected. Finally, Donner's interest in "justify[ing] a work of art to a man with an empty belly," recalls Apollinaire's predication that "it will be the task of an artist as detached from aesthetic preoccupations, and as

intent on the energetic as Marcel Duchamp, to reconcile art and the people” (Guralnick, 1990, p. 293). Donner is also the only character in the play who refers to Duchamp directly, when he quotes him, saying: That was Marcel...I think he had talent under all those jokes. He said to me, ‘There are two ways of becoming an artist. The first way is to do the things by which is meant art. The second way is to make art mean the things you do.’ What a stroke of genius! It made everything possible and everything safe!- safe from criticism since our art admitted no standards outside itself; safe from comparison, since it had no history; safe from evaluation, since it referred to no system of values beyond the currency it had invented. (p. 24)

This is an exact summary of avant-gardism. It reflects modern times search for change and experimentation, for new criteria, methods, techniques that would be appropriate. It also reflects the surrealist doctrine of making everything possible and the surrealist’s constant search for new techniques to embody their ideas. One more similarity between Donner and Duchamp lies in their return to Realism after the Dadaism of their youth and after experimentation with almost every kind of abstract art.

What is significant here, is that Sophie is the cause behind Donner’s conversion. Her first meeting with the three artists took place just after World War I ended, in 1919, in their joint exhibition, ‘Frontiers in Art,’ which consisted of series of pictures of fences and barbed wire. She was attracted to the face of one of them, though she was not sure who was who, because her sight was failing when she visited the exhibition. In 1920, Sophie becomes totally blind. She visits the attic, where the three artists lived, and, from her description of the newspaper photograph, they realize that the one she fell in love with was actually Beauchamp who stays with Sophie for two years. Consequently, he decides to desert her, although she informs him of her constant need for him. She is utterly blind now and rejected by the man she loved. In doing this, Beauchamp shows an innate lack of feeling. Sophie’s situation, in fact, creates the first centre of pain in the play. The second centre is related to Donner, who is the most sensitive of the three artists. He was the first to recognize Sophie at the exhibition and he believed they exchanged a look. When Beauchamp deserts her, Donner expresses his desire to stay with her, but she tells him that she has lost her ability to fall in love:

Sophie: (*Cries out*) It’s not possible!...-What are you thinking of, Mouse?...We can’t live here like brother and sister. I know you won’t make demands of me, so how can I make demands of you? Am I to weave you endless tablemats and antimacassars in return for life?... (p. 49)

Sophie wants real love; she does not want to be the object of others’ pity. While she is speaking, her panic at the silence of the room is intensified by her sense of helplessness and exposure, which ultimately culminates in throwing herself through the window. In this way, she vindicates Martello’s description of her as a “nice girl due for a sad life” (p. 51).

Donner is sincere in his love; he remains constant to Sophie’s memory. This explains his anger and rejection of both Beauchamp’s criticism of his post-pop, Pre-Raphaelite portrait of her and of Martello’s metaphorical surrealist figure of her. He tells Martello: “What right have you to sneer at her memory?-I won’t allow it, damn you! My God, she had a sad enough life without having her beauty mocked in death by your contemptible artistic presumptions” (p. 28).

Just before the play ends, in the ninth flashback, Martello reveals to Donner his suspicion that it might have been Donner not Beauchamp whom Sophie loved. We do not know the real motive behind Martello’s decision to tell Donner. What is important is the impact of this revelation on the latter. Fired by his love, he decides to abandon avant-gardism to adopt a more realistic attitude towards art. So, just before his own death, he becomes a committed artist engaged in a realistic portrait of his beloved, Sophie. In short, he discovers himself as an artist, as soon as he discovers that Sophie might have loved him. Stoppard, through this dénouement, suggests that love, sympathy and openness are essential to the artist. Donner is finally redeemed by his ability to love and to feel.

In this play, Stoppard once again confirms man’s need for love and sympathy. Sophie says: “I will not want to be alone, I cannot live alone, I am afraid of the dark; not *my* dark, the real dark” (p.49). She refers, here, not only to her blindness, but to a life of loneliness, misery and solitude, if she does not find someone to love or communicate with.

Sophie, in her own way, tries to define love, that world's mystery, which is at the centre of man's existence, and one of the most important preoccupations of philosophers, thinkers, artists, and even scientists. For Donner, his unrequited love means, before Martello's revelation, that: "even when life was at its best there was a small part missing and I knew that I was going to die without ever feeling that my life was complete"(p.51). What was missing in Donner's life was a woman's love. But, once he knows that the one Sophie loved might have been him, he imagines, hopefully the happy life they might have led if they had lived together. Sophie's portrait brings her closer to him. His love and her memory endow his work with meaning.

Finally, in a typical surrealist manner, Stoppard tends to remove the situations presented in these plays from reality. *After Magritte* presents a situation more indicative of a modern surreal painting than one likely to happen in real life. Most of the events in *Jumpers* are presented in a dream-like form which are crazily surreal in their bizarre and strange atmosphere. Stoppard tries in these plays to convey bewilderment of modern man who is put under constant pressure from the outside world.

The plays discussed in this paper represent an invitation for man to enjoy and celebrate life. In spite of the bleak world and the total incomprehension the characters suffer from in *Jumpers*, George wonders that even the logical positivist believes that: "life is better than death, that love is better than hate, and that the light shining through the east window of their bloody gymnasium is more beautiful than a rotting corpse" (p.87).

Stoppard in *After Magritte* stresses the fact that irrationality is a part of our world, while *Artist Descending a Staircase* stresses man's creative abilities and at the same his need for love and sympathy.

All these plays seem to stress the fact that there is more in life than we expect. This is clearly evident in George's belief that 'there is more in [him] than meets a microscope,' vindicating thus the inadequacy of modern man's scientific approaches to life.

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The next issue to be published on
May 2013