

## Chapter 2

### Lenses for Analyzing Discourse

#### 2.1 Introduction

Chapter 2 is divided into three parts. Section 2.2 discusses several of the foundational issues in the study of discourse. Section 2.3 covers the concepts that this thesis utilizes: genre, thematic unity markers, surface and notional structures, salience scheme and macrostructures. Section 2.4 reviews discourse work done in Chinese and similar isolating languages as well as works which inform this study.

#### 2.2 Foundational Issues in the Study of Discourse

In this section, the terms *text* and *discourse* are defined as they are used in this thesis, and discourse analysis is discussed.

##### 2.2.1 Definition of *text* and *discourse*

Linguists use the terms *text* and *discourse* to refer to wide variety of material. According to Crystal, *discourse* is “a continuous stretch of (especially spoken) language larger than a sentence...” (Crystal 2003: 141) whereas *text* is “a stretch of language recorded for the purpose of analysis and description...[it] and may refer to collections of written or spoken material (the latter having been transcribed in some way)” (Crystal 2003: 461). Longacre does not define the term *text* but seems to use it interchangeably with *discourse* (Longacre 1996: 1, 4) which he defines as covering monologue and dialogue, both verbal and non-verbal (Longacre 1996: 7). Stubbs makes no theoretical distinction between the two terms (1983: 9). Brown and Yule define *discourse* as “language in use” and *text* as “the verbal record of a communicative act” (1983: 6).

In this thesis, a synthesis of Brown and Yule and Crystal’s definitions will be used. Discourse will refer to language in use and will be divided into two types: unrecorded and recorded. The unrecorded form is discourse (e.g. a conversation between two friends) and the recorded form is text. The recording of a discourse can either be verbal (e.g. recording of a conversation) or a written record (e.g. a story).

Therefore all texts can be described as discourses but not all discourses can be described as texts<sup>13</sup>.

### 2.2.2 What is Discourse Analysis?

A broad definition of discourse analysis is “the analysis of language in use” (Brown and Yule 1983: 1). Stubbs (1983: 1) maintains that discourse analysis studies the structure of a text above the sentence level; it takes cues from the word, phrase and clause level to show how the text is knit together into larger units, marking the relationship between these units.

Longacre (1996: 1) maintains that sentential grammar cannot explain many elements that are found in sentences, such as anaphoric references; these can only be explained by looking at the text as a whole. He states that “language is only language in context” (1996: 1); language is strings of interconnected and inseparable sentences which have individual and collective meaning. Discourse analysis identifies these connections and describes how they make a unified whole.

Johnstone (2002: 3-4) interprets *discourse* as what happens when people use the knowledge they have about language (from what they have done, seen or written before) to do things that they want to do (communicate in some way). She describes *analysis* as what is done when this ‘language in use’ is examined from various angles for its structure and function.

### 2.3 Lenses for Analyzing Discourse

Discourse analysis can be visualized as using a pair of x-ray vision glasses with changeable lenses. Donning these lenses, the analyst sees the inner structure and multifaceted, interconnected layers of a text. In this section, five lenses are used to organize the analytical frame for this study. The first lens to be utilized is a typological etic scheme, to describe what genre is, what different types of genre occur within a monologue discourse, how the narrative genre is defined and how the current texts fit into the narrative genre by their characteristics.

The second lens is text segmentation (thematic units, boundary markers). Most oral and written texts can be analyzed into units, indicated through written indentation, oral pauses and other devices. Givón (1984), Barnwell (1980), Dooley and

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<sup>13</sup> I would like to thank Vong Tshuh Shi for sharing with me how she defined these terms.

Levinsohn (2001) and van Dijk and Kintsch (1983) all discuss how texts are divided into segments and what signals for these divisions occur at the boundaries.

The third lens, surface and notional structure scheme (Longacre 1996: 33-50), allows the analyst to identify the plot which contributes to the text's coherence and progress. The plot is primarily reflected in the surface structure yet also manifests itself in the notional structure. The plot is composed of the actual telling of the events that happen in the surface structure; the story is what the reader builds in his mind. This lens allows the analyst to see what characteristic features a language uses to indicate the notional structure and how it marks the surface structure of narratives.

The fourth lens through which the analyst may look is an etic narrative salience scheme; the one used here is adapted from Longacre (1996: 27). This lens allows the analyst to look at a narrative text and distinguish between what composes the story's backbone (i.e. Storyline, mainline) and the flesh (i.e. non-Storyline, supporting material).

The fifth lens is macrostructure, which is derived by examining the text from a global perspective, and identifying how the abstract of the text controls what happens within the text. Using these five lenses – etic types, thematic units, surface and notional structure scheme, etic salience bands and macrostructure – the text can be analyzed from various perspectives.

In this paper, while mention may be made of other genres, the focus will be on the dimensions of these selected narrative texts. This genre, as suggested by Dooley and Levinsohn (2001: 44), is often the simplest with which to begin analysis. Section 2.3.1 discusses the classification of the chosen texts as distinctly narrative texts.

### **2.3.1 Typology and Genre**

The first lens, typological characteristics, allows the analyst to distinguish what type of monologue discourse he is analyzing. Longacre (1996: 8-10) has developed a rubric of etic criteria from which the type of a text can be ascertained. To clarify, an etic description of a text is a top-down approach of analyzing a text, one which is coming from the perspective of an outsider, i.e. one not as intimately familiar with the subtleties of the language as a native speaker. In contrast, an emic description would be one provided by a native speaker. So while the researcher can make an

educated guess about the emic description of a text, only the native speaker can provide a truly emic analysis.

Two primary binary parameters, *contingent temporal succession* and *agent orientation*, mark out the four main genre types of monologue: narrative, procedural, behavioral and expository. The second two parameters, *projection* and *tension*, provide further distinction within each genre. The resulting 16 outcomes enable description of most monologue discourses. Each of these four binary characteristics of texts, as Longacre has defined them, are discussed briefly.

With contingent temporal succession (or contingent succession) most of the current action is dependent on previous events happening. This shows the distinction between, for example, a prophecy and a eulogy. Agent orientation describes the prominence of or reference to agent(s) throughout the text. This marks the difference between, for example, a narrative and a how-to text. The third characteristic is projection, distinguishing between completed actions and those that have not been completed or realized yet. This highlights the difference between how something should be done, for example how to assemble a bed, and how something was done, for example an account of how World War II was won. The final binary characteristic is tension, which describes whether there is a problem which must be solved. This explains the difference between a Sherlock Holmes mystery and a discourse analysis thesis. These four characteristics with sample discourse types are summarized in Table 8 below. Note that the fourth parameter, tension, is not shown.

**Table 8 Notional types (adapted from Longacre 1996: 10)**

	(+) agent orientation	(-) agent orientation	
(+) contingent succession	Narrative	Procedural	
	Prophecy	How-to-do-it	(+) proj
	Story	How-it-was-done	(-) proj
(-) contingent succession	Behavioral	Expository	
	Hortatory Promissory	Budget Proposal, Futuristic Essay	(+) proj
	Eulogy	Scientific Paper	(-) proj

**Note: The fourth parameter, tension, is not shown.**

Longacre (1996: 11-13) notes that the parameters which make up each etic type manifest themselves in the surface structure of the text. Contingent succession, agent orientation and projection are the most salient, corresponding to chronological linkage, participant reference and aspect, respectively. Chronological linkage is marked in the selected texts by coordinating conjunctions such as *jiu* 'then' and *yi hou* 'after', temporal adverbs such as *yi tian* 'one day', and the perfective marker *le*. Each of the chosen texts is oriented around and dependent on one or more agents.

Projection in the text is shown through perfective, experiential and durative aspect markers. Along with these and temporal adverbs, one can safely assume that the texts are describing actions that happened in the past tense of the story world and so are negative in terms of projection. The parameter of tension is more difficult to identify in the surface structure but within each selected story, a problem arises and creates tension which must be resolved. As has been shown in the description above, the characteristics of the four selected texts show that they fall squarely in the etic typological box of narrative story according to Longacre's rubric. Furthermore, the four selected texts follow the criteria which discourse analysts advise when performing preliminary discourse analysis on a language (Grimes 1975, Dooley and Levinsohn 2001). Finally, because the story is a climatic narrative it is expected that it will follow the surface and notional patterns put forth by Longacre (1996).

Within the genre of narrative, children's stories are often notionally and structurally simpler than ones for older audiences. For example, the length of the selected texts

in this thesis range from 32-58 sentences per story and explicit participant references are maintained throughout (more so than in Mandarin stories for teenagers or adults). Children's stories will often teach a moral. The selected texts warn of what happens to greedy people; they tell children that there will be sorrow in life but that it can be overcome. Children's stories also pass down history or how people believe things came into being. Three of the selected texts tell the story of how a natural phenomenon was created or subdued. Therefore, these stories give children a new perspective on how to think about their circumstances.

### 2.3.2 Segmentation of the Text

Segmentation of the text is the second lens through which to look at a text. Narrative texts can be divided into *thematic groupings* – units of texts which share a continuous theme. Van Dijk and Kintsch, for instance, describe these units as *episodes* which are defined as “a sequence of sentences dominated by a macroproposition” (1983: 204). Van Dijk and Kintsch outline eight ways in which these thematic groupings are marked in Table 9 below.

**Table 9 Van Dijk and Kintsch's thematic grouping markers (1983: 204)**

1. Change of possible world
2. Change of time or period
3. Change of place
4. Introduction of a new participant
5. Reintroduction of old participants by a full noun phrase
6. Change of perspective or point of view
7. Different predicate range (change of frame or script)
8. Macroconnectives (such as conjunctions).

Other researchers have posited additional and complementary ways of segmenting a text. Barnwell (1980: 235-241) offers an expanded list of mostly surface markers, suggesting twelve widely used criteria for identifying the major thematic units within a text. These criteria are usually found in clusters of two or more at the boundary of a thematic unit; a single criterion can be considered weak evidence for a boundary. The greater the number of markers present, the more likely it is to be a major boundary; a section break will likely have more boundary markers than a paragraph break. Conversely, the text which comprises a major unit is likely to show more evidence of internal unity such as same time, place, topic and participants, as

well as parallel forms, logical coherence and lexical coherence. When applied to a narrative text, these criteria facilitate the identification of the surface structure and Storyline.

The 12 criteria proposed by Barnwell are listed in Table 10 below. Her list is not intended to be exhaustive but suggestive.

**Table 10 Barnwell's boundary markers (1980: 236-240)**

1. Grammatical markers
2. Change in time
3. Change in place
4. Change in participants
5. Topic sentences or phrases
6. Summary statements
7. Overlap clauses
8. Rhetorical questions
9. Direct address
10. Use of certain tenses or adverbial tense markers
11. Phonological variations (in oral texts)
12. Visual formatting changes (in written texts)

Basing their work on Givón's (1984: 245) criteria for thematic unity, Dooley and Levinsohn (2001: 35-42) describe passages of texts as displaying thematic continuity when a continuous time period, location, type of action and/or same participants are maintained. Thematic continuity is disrupted when one or more of these features shift. The greater the number of features that shift, the more likely there is to be a break between thematic units. Conversely, the more indicators of unity which occur in a section of text, the greater the likelihood that it is a thematic unit. Dooley and Levinsohn's markers of thematic continuity and discontinuity are shown below in Table 11.

**Table 11 Dimensions of thematic continuity/discontinuity in narrative**  
(adapted from Dooley and Levinsohn 2001: 37, based on Givón 1984: 245)

<b>Dimension</b>	<b>Continuity</b>	<b>Discontinuity</b>
<b>Participants</b>	same cast and same general roles vis-à-vis one other	discrete changes of cast or change in relative roles
<b>Location</b>	same location or (for motion) continuous change	discrete changes of location
<b>Action</b>	all material of the same type: event, nonevent, conversation, etc.	change from one type of material to another
<b>Time</b>	events separated by at most only small forward gaps	large forward gaps or events out of order

In this thesis, the texts are analyzed by thematic units based on a combination and adaptation of van Dijk and Kintsch's topic change markers, Barnwell's thematic unit boundary markers and Dooley and Levinsohn's dimensions of thematic continuity and discontinuity, as shown in Table 12 below. Note that the terms "markers of text segmentation", "markers of thematic unity/disunity" and "boundary markers" are used interchangeably in this thesis.

**Table 12 Markers of text segmentation used in this thesis**

<b>Primary</b>	<b>Secondary</b>
Introduction or reintroduction of participants	Conjunctions
Intro or change in location	Direct and Indirect Speech
Change in action	Author Intrusion / Evaluative statements
Change in time	Change of focus
New paragraph	Rhetorical questions
	Author intrusion
	Aperture phrase
	Summary sentences
	Preview statements

The greater the number of criteria which occur within a segment of text, the greater the evidence for it being a thematic unit. Section 3.2 discusses which markers of thematic unity were found in the four selected texts.



### 2.3.3 Surface and Notional Structure

The surface and notional structure is the third lens through which the analyst examines a narrative discourse. Once the thematic units of a text are identified, these become the surface structure stages of the narrative. According to Longacre's rubric, the etic surface structure may contain up to nine etic components: Title, Aperture, Stage, Pre-Peak Episode(s), Peak (and possibly a second Peak), Post-Peak Episode(s), Closure and Finis (1996: 35-38). These components are grammatically marked. The Aperture (if the story has one) is a formulaic opening phrase which signals to the reader what type of story and genre it is or what to expect. The Stage is marked by stative and locative verbs because it introduces who the participants are and where the story will take place. Pre-Peak Episodes usually have clearly defined changes in time, are sequentially ordered and are connected through conjunctions. They help to build the plot up to its Peak.

The language utilized in the Peak is often markedly different from the rest of the narrative, signaling to the reader that this part of the plot is to be considered especially important. Longacre characterizes the Peak as being a zone of turbulence (1996: 38); routine features which mark the storyline may conspicuously disappear or other features which have not been used may now be employed. Longacre outlines six primary Peak markers: rhetorical underlining, concentration of participants, heightened vividness (for example, higher verb density, change of tense, shift to a more specific person (e.g. 3rd person to 2nd or 1st, plural to singular)), movement along the narrative-drama continuum, change of pace, change of vantage point or orientation and particles/onomatopoeia.

After the Peak, the Post-Peak Episodes return to the same linguistic patterns as the Pre-Peak Episodes, in terms of being narrative or dialogue paragraphs and having similar grammatical characteristics. The structure of the Closure can vary depending on what type of narrative it is. It can be an exposition of how the tension was resolved and what happened to the characters. It is also possible for there to be a moral at the end of the story. Selected narrative genres will have a Finis or formulaic phrase which closes all narratives of that type.

The etic notional structure can be analyzed into seven components, described by Longacre (1996: 34-35) in more colloquial terms as Exposition "lay it out" (setting, location and participants are set), Inciting Moment "get something going" (a problem arises), Developing Conflict "keep the heat on" (the problem gets worse), Climax "knot it up proper" (problem seems unsolvable), Denouement "loosen it"

(problem begins to be solved), Final Suspense “keep untangling” (problem continues to be resolved), and Conclusion “wrap it up” (problem is solved).

Todorov (Lacey 2000: 29) describes similar stages in the notional structure of a climactic narrative, but frames it in terms of equilibrium. His five stages roughly correspond to Longacre’s seven. At Stage 1 a state of equilibrium is defined (similar to Longacre’s Exposition); at Stage 2 there is a disruption to the equilibrium by some action or crisis (Inciting Moment); at Stage 3 the character(s) recognize that there has been a disruption and set goals to resolve the problem (Developing Conflict and Climax); at Stage 4 the character(s) attempt to repair the disruption and obstacles needed to be overcome to restore order (Denouement and Final Suspense); and at Stage 5 there is reinstatement to the equilibrium, the situation is resolved and a conclusion is announced (Conclusion). These five stages can also be summarized in three stages: world at equilibrium, world unbalanced, world back at equilibrium or at a new equilibrium. A comparison of Longacre and Todorov’s views are shown below in Table 13.

**Table 13 A comparison of Longacre (1996) and Todorov's (Lacey 2000) notional structure**

Longacre (1996)			Todorov (Lacey 2000)
Exposition	"Lay it out"	Setting, location, participants set	Stage 1: A state of equilibrium is defined
Inciting Moment	"Get something going"	Problem arise	Stage 2: Disruption to the equilibrium by some action or crisis
Developing Conflict	"Keep the heat on"	Problem gets worse	Stage 3: The Character's recognition that there has been a disruption, setting goals to resolve the problem.
Climax	"Knot it up proper"	Problem seems unsolvable	
Denouement	"Loosen it"	Problem begins to be solved	Stage 4: The Character's attempt to repair the disruption, obstacles need to be overcome to restore order.
Final Suspense	"Keep untangling"	Problem continues to be resolved	
Conclusion	"Wrap it up"	World returns to its former equilibrium or a new state of equilibrium.	Stage 5: Reinstatement to the equilibrium. Situation is resolved, a conclusion is announced.

The notional structure and the surface structure often show a high degree of correlation with each other, though they may not do so precisely (Longacre 1996: 34). Table 14 below shows the possible relationships between the surface and notional structure in Longacre's etic scheme. The Title and Aperture are surface features only. The Stage, where the characters, location and time are set, corresponds to the Exposition. In this section, clauses usually follow expository or narrative patterns. In the Pre-Peak Episodes, the discourse style changes to narrative or dialogue as the problem becomes apparent (reflecting the Inciting Moment) and worsens (Developing Conflict), and the patterns are established for 'normal' story telling in the particular narrative.

The Peak contrasts with the other elements of the surface structure in that it exhibits different language and surface features than the rest of the narrative, as mentioned previously. Longacre (1996: 36-37) suggests three possible combinations between

the Peak, Climax and Denouement: first, the Climax may be encoded in the Pre-Peak Episode and the Denouement corresponds to the Peak; second, the Climax may be encoded as the Peak and the Denouement corresponds to the Post-Peak Episodes. If there are two episodes which display Peak-like characteristics and one corresponds to the Climax and the other to the Denouement, then Longacre designates these as Peak 1 and Peak 2. Once the Peak has passed, any Post-Peak Episodes correspond to the Final Suspense. The Closure will vary depending on the type of narrative. The Closure corresponds to the Conclusion. The Finis is often a formulaic ending, only appearing in the surface structure. These stages are summarized in Table 14 below.

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**Table 14 Etic surface and notional structure of narrative (adapted from Longacre 1996: 36)**

SURFACE STRUCTURE	TITLE	APERTURE	STAGE	(PRE-PEAK) EPISODES	PEAK 1	PEAK 2	(POST-PEAK) EPISODES	CLOSURE	FINIS	
		Formulaic phrase or sentence	Expository or narrative paragraphs	Narrative or dialogue paragraphs.  Pre-Peak Episodes marked by: * Changes in time * Sequential time * Clear transitions between paragraphs or episodes * References to what has happened previously * Conjunctions	Paragraph discourse  Marked by: * Rhetorical underlining * Concentration of participants * Heightened vividness (e.g. shift of tense, shift to more specific person) * Shift along the narrative-pseudo-dialogue-dialogue-drama continuum. * Change of pace (e.g. variation in length of units, less conjunction and transition) * Change of vantage point or orientation.		See Pre-Peak Episodes.	Of varied structure: Often an expository paragraph, but can also be a narrative or hortatory discourse (with a moral).	Formulaic phrase/sentence.	
Notional Structure (Plot)			Exposition	Inciting Moment	Developing Conflict	Climax	Denouement	Final Suspense	Conclusion	
	Surface features only	"lay it out"	"get something going"	"keep the heat on"	"knot it up proper" "loosen it" OR: A: Climax may be encoded as Peak and Denouement as Peak 2 B: Climax may be encoded as Pre-Peak Episodes and Denouement as Peak C: Climax may be encoded as Peak as Denouement as Post-Peak Episodes.		"keep untangling"	"wrap it up"	surface feature only	

As Longacre (1996: 33) has written, plot is the main coherence device of narrative. *Plot* is the explicit order of events in which they occur in the text (Tehan 2008: 68). This moves the story along, developing toward a notional Climax, which Longacre comments often corresponds to the Peak (1996: 33). The plot is reflected in both the surface (grammatical) and notional (semantic) structure because both show what is happening in the narrative as it unfolds. In contrast with *plot*, *story* is the chronological events described in the plot along with those that are inferred by narrative, creating a whole picture of what the narrative is about (Tehan 2008: 68).

### **2.3.4 Storyline and Supportive Material**

The fourth lens through which to look at narrative discourse which is used in this research is prominence. A discourse is interesting because certain events, participants or objects are foregrounded against what is normal. Foregrounded material is considered to have prominence. Kathleen Callow offers a definition integrating all of these terms, defining prominence as “any device...which gives certain events, participants, or objects more significance than others in the same context” (Callow 1974: 50). The context may be the clause, sentence, paragraph or entire discourse. Some prominence markers have a scope of only the clause or sentence in which they occur; others have larger scopes of the whole paragraph or larger unit.

In narrative, the plot consists of events which are given prominence in the surface structure. These events, set in contrast with other happenings which occur in the narrative, form the backbone (or Storyline) of the narrative. Happenings which do not move the plot forward make up the supportive material, fleshing out the story from the backbone. Longacre (1996) has developed an etic salience scheme for narrative which is based on the work of Grimes (1975) and Hopper and Thompson (1980). Briefly, Grimes categorizes the contents of a narrative as being either events or non-events. Within the non-events are four sub-categories: setting, background, evaluation and collateral.

Hopper and Thompson (1980) have developed a list of transitivity parameters which can be used to rank the transitivity of clauses. These parameters quantify “the effectiveness with which an action takes place” (Hopper and Thompson 1980: 251). The ten parameters are: number of participants (two or more vs. one), kinesis (action vs. non-action), aspect (telic vs. atelic), punctuality (punctual vs. non-punctual), volitionality (volitional vs. non-volitional), affirmation (affirmation vs.

negation), mode (realis vs. irrealis), agency (high vs. low potency), affectedness of the object (totally vs. not affected) and individuation of the object (highly individuated vs. non-individuated).

One parameter which Longacre notes as being conspicuously absent is sequentiality (1996: 24). While a certain event (or series of events) may have positive values for these parameters, indicating that it is on the Storyline, if it is not sequential in respect to the other events, then it is considered Flashback and not part of the main Storyline.

Using these characteristics, clauses can be ranked in order of transitivity, allowing the analyst to gauge how close a particular clause is to being on the Storyline where the transitivity is high. How close a clause is to the Storyline sheds light on how it moves the story forward. Transitivity is a key component of a narrative as it determines how effective and intense the action is. The verb in the Storyline clause is “buzzing”; it has such high “energy” from being active, punctual, volitional and any other qualities from the transitivity spectrum that it is able to propel its subjects forward through the story, farther than they could have gone with less salient verbs. Verbs with lesser transitivity may be describing habitual or background activities; verbs with no transitivity describe states. The analyst then is concerned about the transitivity of each clause and what role it plays in moving the story forward. Longacre synthesizes Hopper and Thompson’s transitivity parameters and Grimes’ event and non-event models into an etic salience scheme for narrative, found in Table 15 below.

**Table 15 Etic salience scheme for narrative (Longacre 1996: 28)**

1' Pivotal Storyline (augmentation of 1)
1. Primary Storyline (S/Agent > S/Experiencer > S/Patient)
2. Secondary Storyline
3. Routine (script-predictable action sequences)
4. Backgrounded Actions/Events
5. Backgrounded Activity (Durative)
6. Setting (Exposition)
7. Irrealis (Negatives and Modals)
8. Evaluation (Author Intrusion)
9. Cohesive and Thematic

Note: Flashback as an ill-defined category it can group with (2) or (4); as a well-defined morphosyntactic category it can be added after (5).

Each band in the scheme marks a different type of Storyline or non-Storyline material that is conveyed in one clause. Of the nine bands which compose the etic salience scheme, Pivotal Storyline, Primary Storyline and Secondary Storyline (Bands 1', 1 and 2) mark Storyline events with different prominence levels. These Storyline bands serve to move the story along, telling the main events of what happened. The other six non-Storyline bands support the Storyline by coding other types of information. Routine, Backgrounded Actions/Events and Backgrounded Activity (Bands 3, 4 and 5) provide information that adds other events to the Storyline band. Setting (Band 6) tells the reader where an event is set in time or location. All of the above bands refer to elements that are actually considered part of the events narrated in the story world.

Irrealis (Band 7) describes what is not real in the narrative: e.g. what could have happened, what was not done and what might have happened if something had or had not been done. Evaluation (Band 8) is the author's intrusion into the story, giving the reader his opinion on what is happening. Finally, Cohesion and Thematic Material (Band 9) serve to knit the narrative into a cohesive whole that is easy to understand. While these bands describe clause-level classifications, there may be some crossover, for example evaluative or cohesive words can appear on other bands.

Promotion and demotion between bands is a common occurrence. These are often accomplished through the addition of a temporal adverb such as 'suddenly' (promotion) or by the subordination of a clause (demotion). Promotion and demotion of clauses in the salience scheme are further discussed in Chapter 4.

Longacre's etic salience scheme suggests what types of bands to look for in a narrative, leaving the analyst to construct an emic salience scheme to fill in the ways in which a specific language marks each band in a specific type and genre. These bands are primarily distinguished by what types of verbs, adverbs and clauses are used. Much research has been done in languages where the salience bands are defined by what tense or aspect the verb shows, the type of verb as well as other grammatical markers such as types of adverbs.

While this categorization is helpful for languages which conjugate verbs, a different categorization scheme is needed for isolating languages which do not mark tense and aspect on the verb. Somsong (1991) has analyzed Thai narratives and has generated an emic salience scheme for Standard Thai. It is instructive to examine it



(found below in Table 16) as it is a useful model for Mandarin, another isolating language.

**Table 16 Emic salience scheme for Thai (Somsonge 1991: 113)**

1. Storyline	Sequential marker(s) + (a series of) Cognitive experiences, events proper, motion, action verbs
2. Background	a. Backgrounded activities, temporal adverbs b. Cognitive states
3. Flashback	Temporal phrases
4. Setting	a. Stative, possessive, existential, equative verbs b. Temporal, spatial elements c. Directional verbs
5. Irrealis	a. Temporal phrases b. Questions, negations, conditionals
6. Evaluation	a. First person pronouns b. Question + stative verb, moral
7. Cohesion	a. Adverbial clauses (script determined) b. Relative clauses (repetitive back reference)

Somsonge (1991: 97, 114) found seven bands in the Thai narratives she examined: Storyline, Background, Flashback, Setting, Irrealis, Evaluation and Cohesion. Storyline is comprised of motion, action, cognitive experience or event proper verbs, which are accompanied by sequential markers. In some instances, these verbs appear serially. Motion and action verbs may occur singly or serially. Background, which includes backgrounded activities and cognitive states, supplies the story with new information and further detail. The verbs in backgrounded activities may be customary/routine, prolonged, repetitive, ongoing or gradual. They often co-occur with other grammatical markers such as pre- and post-serial verbs and different types of adverbs. Cognitive states are also included under the background band, signified by verbs of cognition and emotion, and often accompanied by elements indicating the duration of time.

Flashback is characterized by time phrases, auxiliaries and aspect markers. Setting includes expository and descriptive material as well as temporal and spatial settings. Temporal setting is marked by temporal clauses, phrases, and words. Spatial setting is marked by spatial clauses, phrases and words as well as by directional verbs.

Irrealis is shown through alternatives, conditionals and negation, but most prominently by preserial and auxiliary verbs.

Evaluation is signified by the author's evaluation or opinion about props, participants, facts or something that habitually happens. The author can also present a global evaluation such as a moral which embraces the whole story. Cohesion is often marked by adverbial clauses, though relative clauses, thematicity, topicalization, summary and preview clauses are also used.

One goal of this study is to discover what kinds of verbs and verb phrases are found in each band and what other markers delineate the various bands in Mandarin. What does the Mandarin salience scheme for narrative look like? Longacre and Somsonge's salience schemes will serve as a starting point for generating an emic salience scheme of Mandarin. This proposed emic salience scheme can then be used as a blueprint to discover the functions of verbs and clauses in a narrative, to show how prominent material is marked.

### **2.3.5 Macrostructure**

Underlying the string of sentences which make up a text is the macrostructure. It presents a distilled version of the text. The macrostructure guides what is included in the story, based on the author's intentions when creating it. The macrostructure is a reasonable summary of the text linking each proposition in the text. Both Storyline and non-Storyline material were used as the base for generating the macrostructures. This was because, as van Dijk and Kintsch (1983) and Greninger (2009) have postulated, there may be information in non-Storyline clauses that have macrorelevance. Greninger (2009: 70), too, points out that using Storyline-only clauses may create an adequate summary of the plot for some texts, but for others that encode pertinent information in non-Storyline material, these may not create the desired global semantic structure. Therefore, for the purposes of this thesis, both Storyline and non-Storyline clauses are used to generate the macrostructure. Selected non-Storyline clauses are included in the base material because they have significance in the higher levels of macrostructure e.g. presentation of the problem which must be resolved. Then van Dijk's four macrorules, as shown below and quoted directly from Somsonge (1991: 16-17), are successively applied to the text.

Generalization rule (M1) The first rule substitutes several properties of the same superordinate class with the name of the superordinate class. By application of this rule, the predicates and the arguments are

generalized to a more general concept. It is an essential property of generalization that information be deleted. The deletion of information is required as it is irrelevant at the macrolevel. When information is deleted, it is irrecoverable.

Deletion rule (M2) The second rule says that if a proposition is not a presupposition of any other proposition in the sequence, it will be deleted. The deleted proposition can be left out “without changing the meaning or influencing the interpretation of the subsequent sentences of the discourse” (van Dijk 1977b: 144). As the deleted proposition is not a condition for the interpretation of any other proposition, it is considered irrelevant, i.e., non-presuppositional. Also, a proposition is deleted “if it determines the interpretation of a proposition which is itself deleted or substituted” (van Dijk 1977a: 11).

Integration rule (M3) This rule combines or integrates the sequence of essential and coherently related sentence propositions into global information. By application of the integration rule, the more specific information of the passage will be deleted if “its global information has already been expressed in the text by the proposition that also serves as macroproposition” (van Dijk 1977a: 12). Besides, if a proposition expresses a macroproposition already expressed by a preceding proposition, it may be deleted. The information integrated by this rule can be recovered because “it is part of the more general concept or frame” (van Dijk 1977b: 146). Therefore, the proposition considered to be a normal or expected fact will be integrated.

Construction rule (M4) This last macrorule and the integration rule are variants of each other. However, the construction rule is distinguished from the integration rule in that it “has no input proposition that organizes other propositions” (van Dijk 1977a: 14).

The macrorule of construction operates as follows:

It organizes microinformation by combining sequences of propositions that function as one unit at some macrolevel; it reduces information without simply deleting it; and it

introduces information at the macrolevel that is 'new' in the sense of not being part of the text base or entailed by individual propositions of the text base (van Dijk 1977a: 15).

Essentially, the construction rule "summarizes a sequence of actions or events by introducing a name that refers to the sequences as a whole (e.g., reading books, going to class, taking exams, studying) (Kintsch 1977: 44).

Van Dijk (1977a: 10) also describes a Zero rule which is considered to be "the application of a macrorule whose input and output are identical". This will also be employed in the generation of macrostructures.

## 2.4 Literature Review

Very little Mandarin discourse analysis seems to have been written on the structure of Mandarin children's narratives. Therefore, the review of literature below is a sample of works written on surface and notional structures, salience schemes, cohesion and macrostructures in Mandarin and similar languages which do not employ tense systems. These will serve to shed light on the discourse patterns Mandarin exhibits.

Somsong's analysis of Standard Thai (1991) is one of the first in-depth discourse analysis studies of a non-tense language. Her data is taken from ten Thai folktales, seven native Thai stories and three stories translated from Aesop's fables. Her foci which are most relevant to this study are three-fold: first to create a reasonable macrostructure of each text using the Storyline clauses, secondly to discover the surface and notional structures of the selected Thai narratives and thirdly to outline the salience scheme and identify how each band is marked. Because Thai is an isolating language like Mandarin, her study gives insight into how Mandarin may mark salience bands and surface and notional structures.

As part of her preliminary analysis, the text was divided into chunks. The boundaries of these chunks are marked by change of time, circumstance and location, the introduction of new participants and temporal adverbs. These chunks compose the surface structure of the stories and are identified as being Title, Aperture, Stage, Pre-Peak Episodes, Peak, Peak', Post-Peak Episodes, Closure and Finis. The Peak is marked by movement along the narrative-drama continuum, higher density of Storyline verbs, the use of the passive construction, rhetorical

underlining and an increased number of participants on stage. Further analysis indicated that these Thai climactic narratives can be analyzed to include six stages of notional structure: Exposition, Inciting Incident, Developing Conflict, Climax, Denouement and Conclusion. Only Final Suspense (from Longacre's etic scheme) is not included as a proposed universal feature. Instead Somsonge found that in some narratives, an antithetical paragraph is used to explain the Developing Conflict.

From her research, Somsonge proposes that the Thai narratives in her corpus utilize seven salience bands: Storyline, Background, Flashback, Setting, Irrealis, Evaluation and Cohesion. Her categorization of Thai Storyline verbs (as previously discussed in Section 2.3.4) was particularly helpful and will inform analysis of the Mandarin Storyline.

Finally, a macrostructure was created using only Storyline clauses as a base. Her reasoning is that Storyline-only clauses make a good abstract of the text and give a foundation for further abstraction.

In contrast to Somsonge, Greninger (2009) takes a critical look at Longacre's (1989a) assertion that Storyline material is the main source of material for creating a macrostructure. He asks the question: What types of clausal information are employed in the construction of macrostructural summaries and how often is each type employed (Greninger 2009: 152)? First, Greninger describes nine salience bands in Solu Sherpa (a Tibeto-Burman language spoken in Eastern Nepal) oral narrative: Storyline, Flashback A, Background Actions, Flashback B, Background Activities, Setting, Irrealis, Evaluation and Cohesion. As a result of his research, he found that all nine types of clausal information could be used in macrostructure construction. Thirty-eight percent of the information units came from the Storyline band while the remaining 62% of material came from the other eight bands. The Storyline band was the most-employed individual band, with background material providing the second largest amount of material. He concluded that in order to form plausible macrostructures of Solu Sherpa oral narratives, a broader spectrum of salience bands must be included than just Storyline clauses.

In a later work, Somsonge (2004) explores the marking of foregrounded material across the Tai-Kadai and Mon-Khmer language families. In this paper, she proposes that foregrounded material in these non-tense languages is characterized by serial clause construction, temporal auxiliaries and aspectual auxiliaries. One insightful point that she makes in the paper is that the default time reference in narratives is the past or accomplished time. When temporal and aspectual auxiliaries occur, they

serve to emphasize foregrounded events, because they highlight the fact that an action has already been completed.

Halliday (2001: 346-363) investigates the relationship between what he terms the lexico-grammar and the text as a whole, focusing specifically on Mandarin. He poses three questions. First, "How are grammatical units organized internally such that they form 'parts' of a textual 'whole'?" He describes two ways this is done. The first way is by changing the word order from SVO to S *ba* OV; this use of the *ba* construction gives the verb prominence. The second way is through the use of Theme, which links clauses, paragraphs and sections of text together to form a unified whole. Both of these methods allow prominent material to be linked with other prominent material to form a more cohesive and coherent text.

Halliday then asks "How does a grammar set up semantic relations that create unity in a text?" He focuses on just two areas: references and conjunctions. Reference creates cohesion through tracking participants and maintaining unity in Theme. Conjunctions link clauses together, link paragraphs together and ultimately the whole text. These conjunctions form a hierarchy that unifies the text. His third question is "Do the logical-semantic relations that link grammatical units also figure in relating one phase of a text to another?" He answers in the affirmative, saying that conjunctions not only connect words, phrases and clauses, but they also serve to elaborate, extend and enhance the semantic structure of the text. Therefore conjunctions have both a grammatical and a semantic linking function in a text.

Hopper and Thompson (1980) posit that the transitivity of a verb directly correlates with its groundedness in narratives. Groundedness refers to the linguistic features used to foreground or background material. Main topics tend to be foregrounded using certain devices while those that support the main idea or contrast it in some way tend to be backgrounded a different way (Hopper and Thompson 1980: 280). The higher the transitivity, the more foregrounded it becomes while the less transitive it is, the more backgrounded it becomes. Their work on this transitivity continuum was informative in deciding the salience of a verb and its clause and where to place it in the salience scheme of clauses.

In terms of a discussion on the function of aspect markers, the discussion presented by Li and Thompson (1981) in their foundational work on Mandarin grammar was immensely helpful, particularly in terms of explaining how the functions of particular adverbs and particles contribute to the aspect of the sentence, giving insight into the Mandarin salience scheme.

## 2.5 Summary

In this chapter three broad topics were covered. Section 2.2 discussed several foundational issues in the study of discourse. The terms *text* and *discourse* were defined along with what discourse analysis is. Section 2.3 presented five lenses through which the analyst looks at a narrative text to create order from it. These are the typology of texts or genre, thematic unity markers, surface and notional structures, Storyline and non-Storyline material and macrostructure. Section 2.4 reviewed discourse work that has been done in similar languages to Mandarin as well as discourse topics useful in analysis for this thesis.

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