The Chinese University of Hong Kong
Department of Linguistics and Modern Languages
1st term, 2022-2023

LING 5102A Foundations II: Syntax and Semantics

(Version 27/07/2022)

Course overview:

The course aims to introduce to the students the important theoretical concepts in generative syntax and in syntax-semantics interface. The first part of the course will be focusing on **Principles & Parameters** modal (P&P) of the generative syntax, which is also known as **Government & Binding Theory** (GB). It explores the common properties of human languages (Universal Grammar) and systematic differences between different languages (parametric differences). Examples to illustrate the working of Universal Grammar and parametric differences will be from the more familiar languages such as English and Mandarin Chinese to the less familiar languages, such as Germanic and Romance languages, Japanese, etc. Core theories in GB will be discussed: X-bar Theory, Theta Theory, Case Theory, Binding Theory, movement theory (Head-movement, A-movement & A'-movement), Locality etc. The second part of this course will focus on research problems related to **syntax-semantics interface**, such as quantification.

Learning outcomes:

This course continues to further the goals of syntax I and aims

- to familiarize students with the goals, core assumptions and technical notions in the P&P modal of the generative grammar;
- to familiarize students with major constructions that have important bearings on Universal Grammar and parametric differences;
- To help students further develop skills in logical analysis and critical thinking.

Learning activities:

Lecture (hr) in class	Assignment (hr) out class	Reading (hr) out class
3	1 (on average)	3
Mandatory	Mandatory	Mandatory

Assessment scheme:

Description	***Points***
Assignment 1	15
Assignment 2	20
Assignment 3	25
Assignment 4 or Final exam	40
Total=	100

Grade Descriptions:

Grade	Overall Course
A	Outstanding performance on all learning outcomes. The student demonstrates a deep understanding of the theoretical and empirical motivations for the generative syntactic approach. S/he is able to use diagnostic tests creatively to analyze syntactic structures, both novel and taught. Coherent syntactic argumentation can be well articulated. The knowledge synthesized enables them to discover theoretical gaps and suggest alternative in syntactic theories.
A-	Generally outstanding performance on all (or almost all) learning outcomes. The student should have a comprehensive understanding of the generative syntactic approach. S/he is able to properly explain the relations between syntactic concepts and conduct relevant syntactic tests in analyzing structures discussed in class and novel structures.
B	Substantial performance on all learning outcomes, or high performance on some learning outcomes which compensates for less satisfactory performance on others, resulting in overall substantial performance. The student has a reasonable understanding of the generative syntactic theory. S/he is able to propose and apply relevant syntactic tests in analyzing structures taught in the course. But some problems are found in analyses.
C	Satisfactory performance on the majority of learning outcomes, possibly with a few weaknesses. The student only demonstrates reasonable but partial understanding of the syntactic theory and principles, and is able to collate relevant information or enumerate some tests in analyzing syntactic structures. However, there are obvious problems in justifying the proposed syntactic analysis
D	Barely satisfactory performance on a number of learning outcomes. The student is able to recall some concepts taught and name some relevant syntactic tests. However, understanding of the relations between concepts is generally poor. S/he can only provide some vague description of the syntactic structures taught without justifications.
F	Unsatisfactory performance on a number of learning outcomes, or failure to meet specified assessment requirements. The students can only name the concepts at best and barely have any understanding of the relations between them. They have little idea how structures are described and diagnosed.

List of Topics:

Topic	*Contents/fundamental concepts*	*Recommended readings*
The Generative Enterprise: P&P modal	- Innateness of Language Faculty - Mental grammar - Principles and Parameters framework	Haegeman (1994): Intro. Ouhalla (1999): ch. 1 Poole (2011): ch. 1 Carnie (2012): ch. 1
X'-Theory	- Phrase structure - X'-theory (Why? How?) - Projections: NP, DP, VP, IP/TP, CP.	Haegeman (1994): ch. 2 Ouhalla (1999): ch. 2, 6 Poole (2011): ch. 2, 3 Carnie (2012): ch. 2, 3, 4, 6, 7
Theta Theory	- Thematic structure - Theta role assignment, θ-criterion - Argument structures - A-positions, θ-positions	Haegeman (1994): ch. 1 Ouhalla (1999): ch. 7 Poole (2011): ch. 4 Carnie (2012): ch. 8
Case Theory	- Theory of abstract Case - Government - Case filter, Visibility Hypothesis, inherent case - DP hypothesis	Haegeman (1994): ch. 3 Ouhalla (1999): ch. 8 Poole (2011): ch. 4 Carnie (2012): ch. 11
Binding Theory	- Binding conditions A, B and C - Coreference, referential dependency - Anaphora, pronouns, referential expressions - Control vs. Raising - *pro*-drop and Null Subject Parameter	Haegeman (1994): ch. 4, 5 Ouhalla (1999): ch. 9 Poole (2011): ch. 5 Carnie (2012): ch. 5, 15, 17
Movement Theory	- A-movement/NP-movement - Burzio's generalization - Raising verbs, passivization - ECM verbs, unaccusatives, ergatives, unergatives - VP-subject-internal hypothesis	Haegeman (1994): ch. 6 Ouhalla (1999): ch. 8 Poole (2011): ch. 6 Carnie (2012): ch. 11
	- Head-movement - A'-movement, A'-positions, A'-dependency - *Wh*-movement, relativization, topicalization	Haegeman (1994): ch. 7 Ouhalla (1999): ch. 8 Poole (2011): ch. 6 Carnie (2012): ch. 12
Locality	- Subjacency, bounding nodes - Island constraints, island types (strong, weak) - Empty Category Principle (ECP), intermediate traces - Condition on Extraction Domain (CED) - Parasitic gap, adjunct island - Resumptive pronoun (Optional topic)	Haegeman (1994): ch. 7, 8 Ouhalla (1999): ch. 10 Poole (2011): ch. 6
Logical Form & Quantification (*if we still have time*)	- Quantifiers: ∃, ∀ - Quantifier Raising (QR) and LF-movement - Arguments for covert *wh*-movement: selectional restriction, crossover effects (weak, strong) - Locality constraints on LF-movement - ECP revisited, superiority effects, adjunct traces - Barriers (optional topic) - Reconstruction effects, Ellipsis, Intervention effects	Haegeman (1994): ch. 9, 10 Ouhalla (1999): ch. 10 Poole (2011): ch. 7, 8 Huang (1982)

Learning resources

- Detailed lecture notes will be distributed to students each week.

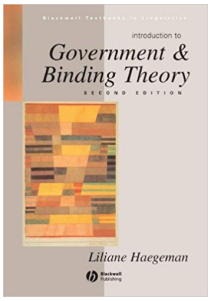
Useful References

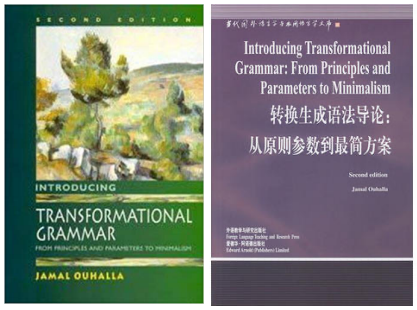
A. Recommended textbooks

1. Haegeman, Liliane (1994). *Introduction to Government & Binding Theory* (Second edition), Blackwell Publishing.
   (This is the most extensive and complete version of the GB theory; however, it is long with much detailed explanation. If you have time, this book is highly recommended.)
2. Ouhalla, Jamal (1999). *Introducing Transformational Grammar: From Principles and Parameters to Minimalism* (Second edition), Arnold Publishers. (essentially. ch. 6-9)
   - The authorized reprinted English version published by *Waiyu Jiaoxue Yu Yanjiu Chubanshe* [Foreign Language Teaching and Researching Press].
     (This version is exactly the same as its original Second edition)
3. Poole, Geoffrey (2011). *Syntactic Theory*, 2nd edition. Macmillan.
   - The authorized reprinted English version published by *Shanghai Waiyu Jiaoyu Chubanshe* [Shanghai Foreign Language Education Press].
     (This version is exactly the same as its original Second edition)

   (This is a good and concise textbook on GB theory. The essential topics are covered. If your time is limited, this book gives you an overview of the theory.)

(Any of the three recommended textbooks will be helpful to accompany your study.)





4. Carnie, Andrew. (2012). *Syntax: A Generative Introduction*. 3rd edition. Blackwell.
   (- **Students who have no background on grammar are recommended to read chapters 2-4 before the first lecture of the course**.)

B. Useful textbooks for the Government & Binding Theory (GB) and for the Minimalist Program (MP) for the students who want to pursue syntax in the future.

1. Adger, David (2003). *Core Syntax - A Minimalist Approach.* Oxford University Press.
2. Hornstein Norbert, Jairo Nunes & Kleanthes Grohmann (2005) *Understanding Minimalism*. Cambridge University Press.
3. Bosković, Zeljko & Howard Lasnik (2007). *Minimalist Syntax: The Essential Readings*. Blackwell Publishing.
4. Haegeman, Liliane. (2006). *Thinking Syntactically: A Guide to Argumentation and Analysis*. Blackwell.
5. Radford, Andrew (2009) *Analysing English Sentences*. Cambridge University Press.

C. Reference books and handbooks for <u>further</u> research on syntax

1. Baltin, Mark and Chris Collins (2001). *The Handbook of Contemporary Syntactic Theory.* Blackwell.
2. Everaert, Martin and Henk van Riemsdijk (eds.) (2017). *The Wiley Blackwell Companion to Syntax* (Second editions), Wiley Blackwell.
3. Boeckx, Cedric (2011). *The Oxford Handbook of Linguistic Minimalism.* Oxford University Press.

Course schedule (subject to adjustment):

Week	*Date*	*Topics* (cf. List of Topics for details)	*Comments*
1	Sept 6	- The generative enterprise - X'-Theory (I): constituency, VP	Sept 10, 9:30-12:30 Optional Online tutorial session (I)
2	Sept 13	- X'-Theory (II): NP, TP	Sept 17: 14:30-17:30 Optional Online tutorial session (II)
3	Sept 20	- X'-Theory (III): CP - Theta Theory	Sept 24: 14:30-17:30 Optional Online tutorial session (III)
4	Sept 27	- Case Theory (I): Case filter	
5	Oct 4	******* No Class **********	Double Ninth Festival
6	Oct 11	- Case Theory (II): DP hypothesis - A-movement (I): passivization, unaccusatives	
7	Oct 18	- A-movement (I): ergativity, *v*P - Binding Theory (I): Principles A, B, C,	
8	Oct 25	- Binding Theory (II): control, PRO - A'-movement: *wh*-movement, relativization	
9	Nov 1	- Locality (I): Subjacency, ECP,	
10	Nov 8	- Locality (II): CED, other types of islands.	Nov 5: 14:30-17:30 Optional Online tutorial session (IV)
11	Nov 15	- Locality (iii): relativized minimality - Logical Form (I): QR	
12	Nov 22	- Logical Form (I): arguments for QR	
13	Nov 29	- Logical Form (II): ECP and LF, Barrier Reconstruction, Ellipsis, Intervention effects	*if time permits*

Feedback for evaluation:

Students are welcomed to give their comments and feedback on this course directly to the course teacher and the teaching assistant via emails. A mid-term course evaluation and an end-of-term course evaluation will be conducted.

Teacher's contact details

Professor/Lecturer/Instructor:	
Name:	Prof. Victor Junnan Pan
Office Location:	G15, Leung Kau Kui Building
Email:	victorjunnanpan(AT)cuhk.edu.hk
Teaching Time & Venue (Lecture)	6:30 – 9:15 pm, Tuesday, Cheng Yu Tung Building 209A-B
Website:	http://ling.cuhk.edu.hk/people/victor/
Office hours:	By appointment
Other information:	Language of instruction: English

Teaching assistant's contact details

Teaching Assistant/Tutor:	
Name:	Mendoza Carleon, Zhao Xuejiao
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Teaching Time & Venue (Tutorial):	Optional online tutorial sessions
Office hours:	By appointment

Academic honesty and plagiarism

- Attention is drawn to University policy and regulations on honesty in academic work, and to the disciplinary guidelines and procedures applicable to breaches of such policy and regulations. Details may be found at http://www.cuhk.edu.hk/policy/academichonesty/.
- With each assignment, students will be required to submit a signed declaration that they are aware of these policies, regulations, guidelines and procedures. For group projects, all students of the same group should be asked to sign on the declaration.
- For assignments in the form of a computer-generated document that is principally text-based and submitted via VeriGuide (URL: https://veriguide2.cse.cuhk.edu.hk/cuhk/index.jsp), the statement, in the form of a receipt, will be issued by the system upon students' uploading of the soft copy of the assignment. Assignments without the receipt will not be graded. Only the final version of the assignment should be submitted via VeriGuide.