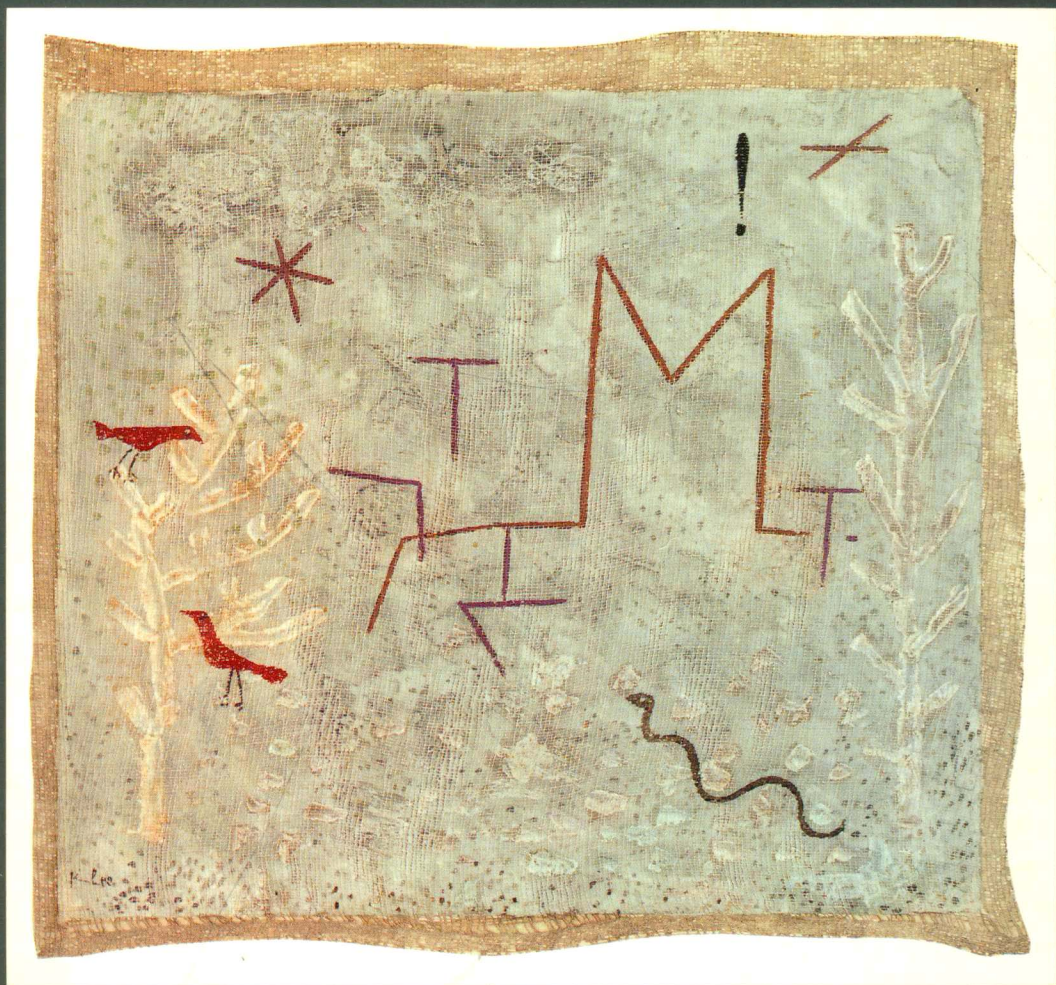


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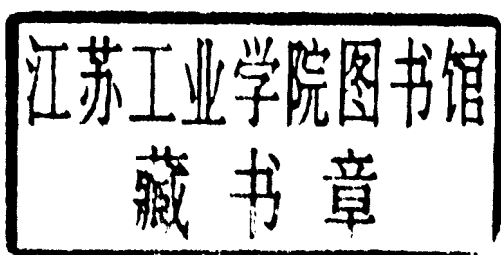
MORPHOLOGICAL THEORY



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*An Introduction to Word Structure in
Generative Grammar*

Andrew Spencer



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Preface

This book is about morphology, that is, the structure of words. More importantly, it's about the kinds of *theories* that linguists have constructed to explain word structure. Although I hope the book will be useful in helping to develop the skills of morphological analysis, the primary goal is to show the reader how theories have been developed, criticized, and revised and why, in some cases, they've been abandoned.

Morphology is unusual amongst the subdisciplines of linguistics, in that much of the interest of the subject derives not so much from the facts of morphology themselves, but from the way that morphology interacts with and relates to other branches of linguistics, such as phonology and syntax. Indeed, the theme of the 'interface' between morphology and other components of grammar is one which runs through the whole book.

As the subtitle indicates, we'll be concerned with morphology in generative grammar. My aim has been to choose 'mainstream' trends and describe how morphology fits into those trends. Not everyone will agree with my choice of what counts as 'mainstream' generative grammar. In part, my decisions have been motivated by my personal interests and my particular (often rather limited) expertise. Among the topics which I've had to ignore are historical morphology (that is, morphology in language change), psycholinguistic research on morphology (in children and adults), and computational approaches. Nonetheless, I believe I've covered most of the key theoretical issues confronting contemporary linguists with an interest in morphology.

A variety of specialists have an interest in morphology and I hope this book will therefore prove useful to phonologists, syntacticians, historical linguists, descriptive linguists and others whose main interests lie outside morphological theory as such. In addition, psycholinguists and computer scientists working on language processing should find the book relates to their concerns. However, my primary audience is students of linguistics, and my intention is that the book should enable the student to tackle research articles relating to morphology in linguistic theory in the standard international journals, such as *Language*, *Linguistic Inquiry*, *Natural Language and Linguistic Theory*, *The Linguistic Review* and *Yearbook of Morphology*. In addition, such a reader should be able to make reasonable sense of the increasing numbers of

theoretical monographs dealing with questions of morphology. In a sense, the book has been designed as a kind of graduated guidebook to such literature.

For the phonology interface, it has been relatively easy to determine what counts as 'mainstream' (though this won't immunize me from criticism!). The syntax interface presents a much richer assortment of theoretical approaches. I've chosen the framework which I personally find most congenial, namely, the so-called Government-Binding theory of Chomsky. This should not be taken as an indication that work in other frameworks should be neglected. On the contrary, specialists working on other theories (especially Lexical Functional Grammar and Generalized Phrase Structure Grammar) have had an extremely keen interest in morphology and the structure of the lexicon, and some of the better technical ideas which have worked their way into Government-Binding approaches have been 'borrowed' from those other frameworks. However, Government-Binding syntax is the framework with which students are most likely to be acquainted if they take courses in contemporary syntax. Moreover, the dominance of GB theory means that it tends to serve as the backdrop for theoretical discussion in any framework.

The importance of the 'interfaces' between morphology and the rest of linguistics has been responsible in large part for the revival of interest in morphology over the past fifteen years or so. Nowadays, it's simply not possible to do certain types of phonology or syntax without an appreciation of the implications for morphology. This puts a serious onus on the student of linguistics, however. Although the more elementary concepts in morphology can be grasped quite adequately without any real reference to the rest of linguistics, it's impossible to understand the full implications of contemporary research in morphology without a basic background in phonology and syntax. The book is written so as to be as autonomous as possible. For this reason I've been careful to explain as far as I can (even if very cursorily) the terms I use from outside morphology. The more important terms, whether from morphology or outside, are put in boldface at the first mention which includes a brief gloss.

It would, of course, be wrong to pretend that anyone can understand theory construction in morphology without a basic understanding of theoretical linguistics. Beyond part I especially, I assume some familiarity with such concepts as 'phoneme', 'distinctive feature', 'constituent structure', 'generative grammar'. However, linguistics courses vary immensely in what they cover, and, for this reason, I've added lists of textbooks and other introductory material for branches outside morphology to the Further Reading sections of the Notes to each chapter. These should provide more than sufficient background, especially in phonology and syntax.

It's perfectly possible to teach a complete course in morphology from this book, spanning, say, the last two years of a three-year degree in Linguistics. However, it's also possible to look upon the book as a sourcebook for instructors wishing to construct courses in morphology at various levels, as well as for students following such courses, or for those who wish to incorporate some discussion of morphology into more traditional linguistics teaching (say, phonology, syntax, or lexicology). For the more elementary courses (say, second-year undergraduate), one might use part I, the less advanced sections of part II, the first three sections of chapter 6 and then the more descriptive sections of the subsequent chapters. A more advanced course (say, second-semester postgraduate) might take part I as basic background reading and then use the book to concentrate on topics from parts II, III or IV. All the chapters except the last are furnished with exercises. Those marked with an asterisk (*) are

problems I regard as more deep or advanced, and which are therefore more suited to postgraduate students or in many cases to larger-scale undergraduate assignments. Some of the exercises are effectively feedback exercises on the chapter itself and may have relatively straightforward answers. Others are problem sets illustrating the theoretical issues discussed in that chapter (and earlier chapters). Not infrequently, the exercises include data which are actually problematical for some of the theoretical proposals discussed in the chapter. In some cases, the exercises are simply meant to raise more general questions, often taken up again in later chapters. This means that the exercises are an integral part of the book. It also means that many of the exercises are open-ended and lack a 'correct answer', and for this reason even some of the elementary exercises will serve well as a starting point for more advanced discussion.

During the lengthy gestation period of this volume, I've had the benefit of considerable help, advice, criticism and support from friends and colleagues. Neil Smith deserves special thanks for suggesting the idea in the first place, and for reading most of the book and giving me extremely detailed comments, as well as much needed encouragement. Likewise, Dick Hayward and Iggy Roca read a large part of the manuscript and provided extremely helpful criticism. These three colleagues merit my special gratitude. Individual chapters received invaluable commentary from Bob Borsley, Andrew Carstairs-McCarthy, Grev Corbett, Nigel Fabb, Chris Lyons, and Matt Shibatani. In addition, I must thank Liliane Haegeman for inviting me to teach in Geneva for a year, where much of the book was written or prepared. Conversations with her and Ian Roberts did much to clarify my thinking in a variety of areas. In addition, Pavla Munch-Peterson, Ádám Nádasy, Marek Piotrowski and Vlad Žegarac helped with some of the linguistic examples. I must also thank several generations of students in London and Geneva for being guinea pigs to my pedagogical experiments in morphology, and for test-driving some of the exercises with such good humour. Finally, special thanks to Fay Young, for much more than just proof-reading.

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Abbreviations

Abs.	Absolutive (case)
Acc.	Accusative (case)
Act./ACT	active
Adj./ADJ	adjective
ADJP	adjective phrase
ADV	adverb
ADVP	adverb phrase
AFF	affix
Ag	Agent (theta role)
Agr	Agreement (GB theory)
All.	Allative (case)
AMR	Allomorphy Rule (Dressler)
AOG	Affix Ordering Generalization
AP	antipassive; adjective phrase
APF	Adjectival Passive Formation
APPL	applicative
ART	article
ASL	American Sign Language
Asp.	aspect
AUX	auxiliary (verb)
BEC	Bracket Erasure Convention
Ben	Benefactive (theta role)
BSL	British Sign Language
C	<i>see</i> Comp
CAOG	Compound Affix Ordering Generalization
CAUS	causative
CFPP	Case Frame Preservation Principle
cl	clitic
CL	classifier
Com.	Comitative (case)

Comp/COMP	Complementizer (node) (GB theory)
COND	conditional
COOP	Cooperative
CP	complementizer phrase (GB theory)
Dat.	Dative (case)
Det	determiner (GB theory)
dim.	diminutive
DIST	distributive
D.O.	direct object
duopl.	duoplural
DUR	durative
ec	empty category
ECM	Exceptional Case Marking
ECP	Empty Category Principle
El.	Elative (case)
E-language	externalized language
EMPH	emphatic
Erg.	Ergative (case)
Ev	Event (theta role)
EWP	Extended Word-and-Paradigm
Exp	Experiencer (theta role)
F/fem.	feminine
FOPC	First Order Projection Condition
FPC	Feature Percolation Convention
FSP	First Sister Principle
fut./FUT.	future
GB	Government-Binding
Gen.	Genitive (case)
Go	Goal (theta role)
GPSG	Generalized Phrase Structure Grammar
GTC	Government Transparency Corollary
H	high (tone)
HMC	Head Movement Constraint
I	<i>see</i> Infl
IA	Item-and-Arrangement
Ill.	Illative (case)
imm. fut.	immediate future
imper.	imperative
imperf.	imperfect
impfv.	imperfective
indic.	indicative
Iness.	Inessive (case)
INF	infinitive
Infl	Inflection (node) (GB theory)
Instr./INSTR	Instrumental (case)
I.O.	indirect object
IP	Item-and-Process; Infl phrase (GB theory)
IPA	International Phonetic Alphabet

IPM	Initial Phrase Marker
ITER	iterative
L	low (tone)
LCS	Lexico-conceptual structure
LF	Logical Form (GB theory)
LFG	Lexical Functional Grammar
Loc.	Locative (case, theta role)
LP	Lexical Phonology
l-s structure	logico-semantic structure (Marantz)
LSF	French Sign Language (Langue des Signes Française)
M/masc.	masculine
MID	middle
MPR	Morphonological Rule (Dressler)
MSC	Morpheme Structure Condition
N	neuter; noun
NEG	negative
neut.	neuter
NGP	Natural Generative Phonology
NI	noun incorporation
Nom.	Nominative (case)
NOM	Nominalization; nominative
NP	noun phrase
NVAP	No Vacuous Application Principle
Obj./OBJ	object
Obl./OBL	oblique
OM	object marker
OPT	optative
P	preposition
PAS	Predicate-argument structure
Pass./PASS	passive
PAST PT	past participle
Pat	Patient (theta role)
perfv.	perfective
PF	Phonological Form
PI	preposition incorporation
pl./PL	plural
P/N	person/number
Poss./POSS	possessive
PP	Prepositional Phrase
PR	Phonological Rule (Dressler)
Prep.	prepositional (case)
pres.	present
PRES PT	present participle
PROG	progressive
PSC	Paradigm Structure Condition
psg	phrase structure grammar
PTCL	particle
PTCPL	participle

Q	question
QR	Quantifier Raising
REC(IP)	reciprocal
refl./REFL	reflexive
RHR	Righthand Head Rule
S	subject; sentence
S _I	intransitive subject
S _T	transitive subject
SCC	Strict Cycle Condition
SDSP	System Defining Structural Property
SEMEL	semeliterative
sg./SG	singular
SM	subject marker
So	Source (theta role)
SPE	<i>The Sound Pattern of English</i> (Chomsky and Halle, 1968)
SR	surface representation
SUBJ	subject
subj.	subjunctive
T/A	tense/aspect
Th	Theme (theta role)
TOP	topic
TRANS	transitive
TSL	Trisyllabic Laxing
UBH	Unitary Base Hypothesis
UG	Universal Grammar
UR	underlying representation
UTAH	Universal Theta Assignment Hypothesis
V	verb
VP	verb phrase
WFR	word formation rule
WP	Word-and-Paradigm
W-syntax	Word syntax
1-AEX	1-Advancement Exclusiveness Law (Relational Grammar)
2VP	Second Velar Palatalization

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PART I

Preliminaries

