

Syllabus

Time	Wednesdays 10am – 1pm
Place	2-320
Office Hours	TBA & by appointment (office: 3-407)
E-mail/ Phone	jongho@snu.ac.kr / 880-6169

Prerequisite: Phonology I from last semester (or any comparable courses)

Some basic knowledge of Optimality Theory is necessary.

Description & Goals

This is the second half of an introduction to the graduate level phonology. Last semester we have discussed several different phonological theories beginning from the early generative phonology model proposed in SPE: syllable theory, autosegmental phonology, metrical stress theories, underspecification theories, articulatory phonology, and Optimality Theory (OT). Among them, we have focused on OT which is currently the predominant theory in the field of phonology. OT is a general framework which can be independent of most previous phonological theories. We have been mainly concerned with how previous analyses can be translated into OT and whether OT analyses have advantages or disadvantages compared to the analyses of other theories.

In the first half of this semester we will discuss topics like Prosodic Morphology, correspondence theories, morphology-phonology interactions, opacity and Non-Derived Environment Blocking effect (NDEB). The second half of the course covers **stochastic phonological knowledge** and variation in phonology. The first half of the course will proceed at a rather fast pace so that the students can be exposed to the material of the latter topic as early in the semester as possible. Specific topics will be shown below in the class schedule although both topics and schedule may change depending on how we progress.

Like last semester, we will be mainly concerned with standard OT, focusing on how it differs in the analysis of phonological data under consideration from alternative theories such as the following:

- ✓ Rule-based theories
- ✓ serial versions of OT such as Stratal OT and Harmonic Serialism
- ✓ Stochastic OT
- ✓ OT-like theories with constraint weights: Harmonic Grammar and Maximum Entropy Grammar

We will also discuss in class how to use the programs, shown below, for implementing some of the above grammar models and the related learning algorithms:

- ✓ OTSoft (<http://www.linguistics.ucla.edu/people/hayes/otsoft/>)
- ✓ OT-Help (<http://people.umass.edu/othelp/>)
- ✓ Praat (<http://www.fon.hum.uva.nl/praat/>)
- ✓ Maxent Grammar Tool (<http://www.linguistics.ucla.edu/people/hayes/MaxentGrammarTool/>)

Readings

Required Texts	Kenstowicz, Michael (1994) <i>Phonology in Generative Grammar</i> . Blackwell. Kager, René (1999) <i>Optimality Theory</i> . Cambridge University Press.
Supplementary texts	Gussenhoven, Carlos and Haike Jacobs (2011) <i>Understanding Phonology</i> . (3rd

	ed.) London: Hodder Education. McCarthy, John (2002) <i>A thematic guide to Optimality Theory</i> . Cambridge University Press. McCarthy, John (2008) <i>Doing Optimality Theory</i> . Cambridge University Press.
Additional required readings	If a paper discussed in class can be downloaded from the Web, I will just inform you of the Web address. Otherwise, its electronic copy will be sent to you by email.
Rutgers Optimality Archive (ROA)	Many useful OT papers can be downloaded from http://roa.rutgers.edu .

Requirements

- a. Homework assignments (20%)
- b. A final term paper and its presentation (50%)
- c. Readings and class participation (20%)
- ? d. Lead discussion of one paper in the required reading list (10%)

In the next class I will let you know whether (d) is a requirement for this course.

Final term paper

- Select topic and meet with me by Oct. 29.
- Submit a one-page outline of the paper: due on Nov. 26.
- Paper Presentation: Dec. 10
- Paper Due: Dec. 15

Readings and class participation

If you have any questions on the required reading papers and the problem, you can talk to me. For short questions, you can call me; for longer discussions, you can either take my office hours or make an appointment with me. E-mail may be useful for both purposes. Surely, you can come by my office with questions.

Tentative Class Schedule (Ken = Kenstowicz 1994)

Week	Topics	Readings
1. 9/3	Introduction Prosodic Morphology (PM)	Ken ch. 11
2. 9/10	holiday	
3. 9/17	PM in OT	Kager ch. 5
4. 9/24	Lexical phonology	Ken ch. 5
5. 10/1	Cyclicity in OT: Output-Output correspondence	Kager ch. 6
6. 10/8	Optimal Paradigm	McCarthy (2005)
7. 10/15	Coupling/Agreement by correspondence	McCarthy (2010), Rose & Walker (2004), Zuraw (2002)
8. 10/22	Opacity: OT-CC Staratal OT	Kager ch. 9.2; McCarthy (2007), Kiparsky (2000)
9. 10/29	NDEB	Inkelas (2000), McCarthy (2003)
10. 11/5	Overview of variation	Coetzee & Pater 2011
11. 11/12	Partially-ordered constraint theory	Kiparsky (1993), Anttila (2002)
12. 11/19	Stochastic OT	Boersma & Hayes (2001), Hayes & Londe (2006), Heyes et al. (2009)
13. 11/26	Lexical variation	Zuraw (2010)
14. 12/3	Weighted constraints	Pater et al. (2012)
15. 12/10	Paper presentation	
	Paper Due (12/15)	

Bibliography

OT (classic papers)

- McCarthy, John and Alan Prince (1995). Faithfulness and reduplicative identity. In Jill Beckman, Laura Walsh Dickey & Suzanne Urbanczyk (eds.) *University of Massachusetts Occasional Papers in Linguistics 18: Papers in Optimality Theory*. Amherst: GLSA. 249-384.
- McCarthy, John and Alan Prince (1999) Faithfulness and Identity in Prosodic Morphology. In *The Prosody Morphology Interface*. ed. by Rene Kager, Harry van der Hulst, and Wim Zonneveld. Cambridge: Cambridge University Press. pp. 218-309. (M&P 1997 ROA; a more extensive study of M&P 1995)
- Prince, Alan and Smolensky, Paul (2004) *Optimality Theory: Constraint Interaction in Generative Grammar*. Malden, MA, and Oxford, UK: Blackwell. [Revision of 1993 technical report, Rutgers University Center for Cognitive Science. Available on Rutgers Optimality Archive, ROA-537.]

(Output-to-output) Correspondence

- Benua, Laura (1995) Identity effects in morphological truncation. *UMass Working Papers* 18: 77-139.
- Benua, Laura (1997) *Transderivational identity: phonological relations between words*. PhD dissertation, Umass, Amherst. [ROA 259]
- Kenstowicz, M. (1995) Cyclic vs. non-cyclic constraint evaluation. *Phonology* 12. 397-436.
- *Kenstowicz, M. (1996) Base-identity and uniform exponence: alternatives to cyclicity. In J. Durand and B. Laks (es.), *Current trends in phonology: models and methods*. CNRS, Paris X, and University of Salford. University of Salford Publications. 363-93. [ROA-103]
- Kenstowicz, M. (1997) Uniform Exponence: Exemplification and extension. *University of Maryland Working Papers in Linguistics* 5: 139:55.
- *McCarthy, John (2005) Optimal Paradigms. In Laura Downing, Alan Hall, and Renate Raffelsiefen (eds.) *Paradigms in Phonological Theory*, 170-210, Oxford University Press. [ROA]
- *McCarthy, John (2010) "Agreement By Correspondence Without Corr Constraints" The Selected Works of John J. McCarthy. Available at: http://works.bepress.com/john_j_mccarthy/106
- Myers, James (1999) Lexical phonology and the lexicon. [ROA-330-0699]
- *Rose, Sharon & Rachel Walker (2004) A typology of consonant agreement as correspondence. *Language* 80.3, 475-531.
- *Steriade, Donca (2000) Paradigm uniformity and the phonetics-phonology boundary. *Papers in Laboratory Phonology V: Acquisition and the lexicon*, ed. by Michael Broe and Janet Pierrehumbert, 313-34. Cambridge: Cambridge University Press.
- *Zuraw, Kie (2002) Aggressive reduplication. *Phonology* 19.3.

Opacity in OT; Serial OT approaches

- *Kiparsky, Paul (2000) Opacity and Cyclicity. *The Linguistic Review* 17, 2-4, 351-365. [available at <http://www.stanford.edu/~kiparsky/>]
- McCarthy, John (2007) *Hidden Generalizations: Phonological Opacity in Optimality Theory*. London: Equinox Publishing.
- *McCarthy, John (2008) The gradual path to cluster simplification. *Phonology* 25.2, 271-319.
- *McCarthy, John (2010) "An introduction to Harmonic Serialism" Available at: http://works.bepress.com/john_j_mccarthy/103

Stochastic phonological knowledge; variation in OT

- Anttila, Arto (1997) *Variation in Finnish Phonology and Morphology*. Doctoral dissertation. Stanford, CA: Stanford University.
- Anttila, Arto (1997) Deriving variation from grammar. *CILT* 146.
- *Anttila, Arto (2002) Morphologically Conditioned Phonological alternations. *Natural Language and Linguistic Theory* 20.1: 1-42. [available at <http://www.stanford.edu/~anttila/research/papers.html>]
- *Boersma, Paul & Bruce Hayes (2001) Empirical tests of the gradual learning algorithm. *LI* 32.1.
- Coetzee, Andries (2009) Learning lexical indexation. *Phonology* 26.1, 109-145.

- *Coetzee, Andries & Joe Pater (2011) The place of variation in phonological theory. In J. Goldsmith, J. Riggle & A. Yu (eds.) *The Handbook of Phonological Theory*, 2nd edition. Malden, MA and Oxford, UK: Blackwell, 401-434. [ROA-946]
- *Hayes, Bruce and Zsuzsa Londe (2006) Stochastic phonological knowledge: the case of Hungarian vowel harmony. *Phonology* 23.1.
- Bruce Hayes, Kie Zuraw, Péter Siptár, and Zsuzsa Londe (2009) Natural and unnatural constraints in Hungarian Vowel Harmony. *Language* 85: 822-863.
- *Inkelas, Sharon (2000) Phonotactic blocking through structural immunity. In Siebels and Wunderlich (eds.), *Lexicon in focus. Studia Grammatica* 45. Berlin: Akademie-Verlag, 7-40.
- Inkelas, Sharon, Orhan Orgun and Cheryl Zoll (1997) The implications of lexical exceptions for the nature of the grammar. In Iggy Roca (ed) *Derivations and constraints in phonology*. Oxford: Oxford University Press, 393-418.
- Ito, Junko & Armin Mester (1999) The phonological lexicon. In *Handbook of Japanese Linguistics*.
- Ito, Junko & Armin Mester (2006) Indulgentia Parentum Filiorum Pernicies: Lexical Allomorphy in Latin and Japanese. In Eric Bakovic, Junko Ito, and John McCarthy, eds. *Wondering at the Natural Fecundity of Things: Essays in honor of Alan Prince*.
- *Kiparsky, Paul (1993) An OT perspective on Phonological variation. Handout. [available at <http://www.stanford.edu/~kiparsky/>]
- Pater, Joe (2000) Non-uniformity in English secondary stress: the role of ranked and lexically specific constraints. *Phonology* 17.2, 237-274.
- Pater, Joe (2008) Gradual learning and convergence. *LI* 39.2, 334-345.
- Pater, Joe (2009) Morpheme-specific phonology: constraint indexation and inconsistency resolution. In Steve Parker, (ed.) *Phonological Argumentation: Essays on Evidence and Motivation*. London: Equinox. 123-154. [downloadable from <http://people.umass.edu/pater/index-5.html>]
- Pater, Joe, Robert Staubs, Karen Jesney & Brian Smith (2012). Learning probabilities over underlying representations. In *Proceedings of the Twelfth Meeting of ACL-SIGMORPHON: Computational Research in Phonetics, Phonology, and Morphology*. Learning probabilities over underlying representations.
- Zuraw, Kie (2002) Aggressive reduplication. *Phonology* 19.3: 395-539.
- *Zuraw, Kie (2010) A model of lexical variation and the grammar with application to Tagalog nasal substitution. *Natural Language and Linguistic Theory* 28.2: 417-472.
- Zuraw, Kie (2011) Predicting sai-siot in Korean compound nouns: Phonological and non-phonological factors. Handout presented at the 21st Japanese/Korean Linguistic Conference, Seoul National University.
- Zuraw, Kie (2012) Studies in Phonology 2 (Quantitative models of phonological variation) class handouts. Seoul National University.