

## Advanced Phonological Theory (Ling 211A)

Spring 2016

TuTh 11:00am–12:30pm

Dwinelle 1303

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**Professor** Brian Smith

**Office hours** Regular office hours: Monday 11am-12pm, Wednesday 1pm–2pm  
in addition to individual opt-out office hours

**E-mail** [bwsmith@berkeley.edu](mailto:bwsmith@berkeley.edu)

### COURSE DESCRIPTION

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This course offers a fast-paced introduction to phonology, with a focus on cross-linguistic typology and theory development: the process by which formal phonological models are evaluated and revised in order to meet empirical or conceptual goals. The main topic is Optimality Theory (OT: Prince and Smolensky 1993/2004), the major successor to rule-based frameworks in the tradition of Chomsky and Halle (1968). We will survey the motivations for adopting OT, and become familiar with its formal architecture, its typological predictions, and some of the results it has achieved. We will conclude with a discussion of some of OT's shortcomings and other current issues in phonology, such as opacity, variation, and weighted constraints. After this course, students will be able to converse knowledgeably about contemporary issues in phonology, understand talks at conferences, read the phonological literature, and engage in theory development and comparison.

### TEXTBOOK AND HANDOUTS

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There is a bCourses site where you can access the readings, class handouts, assignments, extra readings, etc.

There is an optional textbook, worth owning for your private bookshelf: *Doing Optimality Theory* by John J. McCarthy. All readings will be posted online, including readings from *Doing OT*.

Many of the readings come from Goldsmith et al.'s (2011) *Handbook of Phonological Theory* or De Lacy's (2007) *Handbook of Phonology*. Both of these are great resources for nearly any topic in phonology. The latter is especially good for Optimality Theoretic analyses of different phonological phenomena.

## REQUIREMENTS

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1. Six problem sets – about one every other week. You are encouraged to work together. E-mail solutions to Brian by the due date. Even if we fall behind schedule, I will stick to the due dates on the syllabus.
2. Weekly readings – read these carefully before class. For every required reading, you should bring written questions or comments to our class meeting (two total). Engaged discussion is part of your grade.
3. Attendance and regular participation in class discussion of problem sets and readings.
4. A short course paper (5–15 pages),— due 5/11 via e-mail (as a pdf file).  
**Paper topic:** take a pre-OT rule-based analysis or grammatical description and reanalyze the data in Optimality Theory.
5. Opt-out office hours — I'll schedule individual office hours with each of you. These meetings will be up to 30 minutes long and occur at the same time every week. If you don't wish to meet a particular week, let me know ahead of time. These office hours will provide you with extra opportunities to discuss the readings, homework assignments, and your research project, along with anything else you might be interested in.

Traditional wisdom: budget 8 hours/week for readings, review, and homework, for each graduate course you take. Talk to me if you're spending more time. (10+ hours per week is probably too much for the homework and readings in this course.)

## IMPORTANT DATES FOR SPRING 2018

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1/26	Deadline for dropping a class without fees
2/2	Deadline for adding a class without fees
2/16	Final deadline for add/drop
2/19 (Mon)	President's Day — no classes
3/26–3/30	Spring recess — no classes
4/27	Last day of formal instruction
4/30–5/4	Reading/review/recitation week
5/11	Spring semester ends, final paper due

## SCHEDULE

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We may deviate from the schedule below, and I'll announce changes in class. The due dates for homework will not change, and you should always prepare question(s)/comment(s) for any readings assigned.

### WEEK 1: FEATURES AND PHONEMIC ANALYSIS

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**Tues 1/16:** Hayes Textbook, Chapters 11–12

**Thurs 1/18:** Mielke (2011)

Mielke, Jeff. 2011. Distinctive features. In Marc van Oostendorp et al. (eds.), *Companion to Phonology*. Wiley-Blackwell.

### WEEK 2: CONSPIRACIES AND THE CONCEPTUAL CRISIS

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**Tues 1/23:** Kisseberth (1970)

**Thurs 1/25:** McCarthy (2008): Doing OT Ch 1.1–1.2

**HW #1 due on Thursday**

Kisseberth, Charles. 1970. On the Functional Unity of Phonological Rules. *Linguistic Inquiry* 1: 291–306.

McCarthy, John. 2008. *Doing Optimality Theory*. Malden, MA and Oxford, UK: Blackwell.

### WEEK 3: THE STRUCTURE OF OT AND RANKING ARGUMENTATION

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**Tues 1/30:** Doing OT Ch. 1.3–1.9

**Thurs 2/1:** Doing OT Ch 2.1–2.4

### WEEK 4: SYLLABLES

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**Tues 2/6:** Zec (2007)

**Thurs 2/8:** Doing OT Ch 2.5–2.8

**HW #1.5 due on Thursday**

(no need to type it up — we'll discuss it in class)

Zec, Draga. 2007. The syllable. In Paul De Lacy (ed.), *Handbook of Phonology*, 161–194. Cambridge University Press.

## WEEK 5: CONTRAST AND FAITHFULNESS

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**Tues 2/13:** McCarthy & Prince (1995: 1–10), Beckman (1998/2004)

**Thurs 2/15:** Steriade (2007)

**HW #2 due Thursday**

Beckman, Jill. 2004. Positional Faithfulness. In John J. McCarthy (ed.), *Optimality Theory in Phonology: A Reader*, 310–42. Malden, MA, and Oxford, UK: Blackwell.

Steriade, Donca. 2007. Contrast. In Paul De Lacy (ed.), *Handbook of Phonology*, 139–158. Cambridge University Press.

## WEEK 6: JUSTIFYING CONSTRAINTS

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**Tues 2/20:** Doing OT, Chapter 4

**Thurs 2/22:** Pater (1999), Zuraw & Lu (2009)

**HW #3 due Thursday**

Pater, Joe. 1999. Austronesian Nasal Substitution and Other NC Effects. In René Kager, Harry van der Hulst, and Wim Zonneveld (eds.), *The Prosody-Morphology Interface*, 310–343. Cambridge: Cambridge University Press.

Zuraw, Kie. and Lu, Y.A., 2009. Diverse repairs for multiple labial consonants. *Natural Language & Linguistic Theory*, 27(1), pp.197-224.

## WEEK 7: STRESS, PART 1

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**Tues 2/27:** Gordon (2011)

Gordon, Matthew. 2011. Stress systems. In J. Goldsmith et al. (eds.), *Handbook of Phonological Theory*, 2nd ed. 141–163. Malden, MA: Wiley-Blackwell.

## WEEK 8: STRESS, PART 2

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**Tues 3/6:** Smith (2008)

**HW #4 due Thursday**

Smith, Jennifer. 2008. Markedness, faithfulness, positions, and contexts: Lenition and fortition in Joaquim Brandão de Carvalho, Tobias Scheer, and Philippe Ségéral (eds.), *Optimality Theory. Lenition and fortition*. Berlin: Mouton de Gruyter.

## **WEEK 9: PROSODIC MORPHOLOGY, PART 1**

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**Tues 3/13:** McCarthy (1981)

**Thurs 3/15:** McCarthy & Prince (1999: 10–51)

McCarthy, John J. 1981. A Prosodic Theory of Non-concatenative Morphology. *Linguistic Inquiry* 12. 373–418.

McCarthy, John J., and Alan Prince. 1999. “Faithfulness and Identity in Prosodic Morphology.” In René Kager, Harry van der Hulst, and Wim Zonneveld (eds.), *The Prosody-Morphology Interface*, edited by, 218–309. Cambridge: Cambridge University Press.

## **WEEK 10: PROSODIC MORPHOLOGY, PART 2**

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**Tues 3/20:** Inkelas (2014), Chapter 4

**HW #5 due Thursday**

Inkelas, Sharon. 2014. *The Interplay of Morphology and Phonology*. Oxford: Oxford University Press.

## **WEEK 11: CYCLIC EFFECTS, OUTPUT-OUTPUT FAITHFULNESS, AND LEXICAL PHONOLOGY**

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**Tues 4/3:** Benua (1995)

**Thurs 4/5:** Bermúdez-Otero (2016)

Benua, Laura. 1995. Identity effects in morphological truncation.

Bermúdez-Otero, Ricardo. 2016. Stratal Phonology. *The Routledge handbook of phonological theory*. Abingdon: Routledge.

## **WEEK 12: OPACITY**

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**Tues 4/10:** Baković (2011)

**Thurs 4/12:** McCarthy (2002), Chapter 3

**HW #6 due Thursday**

Baković, Eric. 2011. Opacity and ordering. In John Goldsmith, Jason Riggle & Alan Yu (eds.), *Handbook of Phonological Theory*. 2nd edition. Blackwell Publishers.

McCarthy, John. 2002. *A Thematic Guide to Optimality Theory*. Cambridge University Press.

### **WEEK 13: MORPHOLOGICALLY-CONDITIONED PHONOLOGY**

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**Tues 4/17:** Inkelas (2011)

**Thurs 4/19:** Smith (2011)

Inkelas, Sharon. 2011. The phonology-morphology interaction. In John Goldsmith, Jason Riggle & Alan Yu (eds.), *Handbook of Phonological Theory*. 2nd edition. Blackwell Publishers.

Smith, Jennifer. 2011. Category-specific effects. Companion to Phonology, ed. by Marc van Oostendorp et al., 2439–2463. Malden, MA: Wiley-Blackwell.

### **WEEK 14: VARIATION AND CONSTRAINT WEIGHTING**

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**Tues 4/24:** Coetzee & Pater (2011)

**Thurs 4/26:** Pater (2016)

Coetzee, Andries.; and Joe Pater. 2011. The place of variation in phonological theory. In John Goldsmith, Jason Riggle & Alan Yu (eds.), *Handbook of Phonological Theory*. 2nd edition. Blackwell Publishers.

Pater, Joe. 2016. Universal grammar with weighted constraints. In *Harmonic Grammar and Harmonic Serialism*, ed. by John McCarthy and Joe Pater. London: Equinox.

**Final paper due on 5/11**