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A SCHEMA FOR ANALYZING RESPONSE TO LITERATURE APPLIED TO THE RESPONSES OF FIFTH AND EIGHTH GRADERS TO REALISTIC AND FANTASY SHORT STORIES.

THE OHIO STATE UNIVERSITY, PH.D., 1978

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A SCHEMA FOR ANALYZING RESPONSE TO LITERATURE APPLIED
TO THE RESPONSES OF FIFTH AND EIGHTH GRADERS
TO REALISTIC AND FANTASY SHORT STORIES

DISSERTATION

Presented in Partial Fulfillment of the Requirements for
the Degree Doctor of Philosophy in the Graduate
School of The Ohio State University

By

Joanne Marie Golden, B.A., M.A.

****

The Ohio State University
1978

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CHAPTER ONE
THE RESEARCH PROBLEM

Background

Literature Education

Literature has long been advocated as an essential part of the curriculum because of its potential to extend life and language experiences, educate imagination (Frye, 1964), refine values and add to knowledge. Studies of the understanding, effect and the teaching of literature have been the focus of multi-disciplinary research. Increasingly, educators have become aware of the significance of the reader's interaction with the text and the implications for curriculum development. Recent research in Psychology, Linguistics and Reading has advanced our understanding of the psychological processes of the reader and the nature of the written text so that it is a propitious time to formulate a comprehensive theory of reader response. A central concern in designing a literature program is the nature of the reader, how he reads and responds to literature.

Blishen (1972, p. 376) in speaking of the British schools commented that "we have not begun, in the schools, to create a majority of readers. We kill the fledgling habit for so many." Blishen pinpoints the problem as one of interference with the natural reading process by
requiring the student to perform an academic analysis of the text and thus creating anxiety about literature. By breaking the text into parts in search of an inherent meaning, reading literature resembles solving a scientific problem rather than in enjoying and responding to the whole aesthetic experience.

There is a trend in some curriculums to emphasize the student's response to literature rather than textual analysis. The focus of this approach is on how the student and the teacher explore literature together rather than explicit teaching about literature (Adler, 1974). There is a strong case to be argued for looking beyond traditional values assigned to literature by those who see analysis of the "classics" as the ultimate objective of the literature program. We need to investigate more fully what the reader derives from the aesthetic experience—how the reader links into the texts and represents the experience. Lid and Handler (1975, p. 152) suggest that "we are creative in reading literature primarily through our response to the work." To view literature as contributing to personal knowledge and emotional satisfaction provides a more convincing set of purposes for reading.

Teachers of literature need to re-examine their goals for the curriculum. Cawelti (1973) contends that teachers of humanities should focus on extending students' perceptions, developing their ability to express themselves and increasing
students' understanding of life and their own responsiveness to experiences. The humanist's objective is to enrich life by enabling people to understand the significance of their own experience and to discover and articulate about new experiences. Cawelti sees a new objective in literature study as creating opportunities for individuals to articulate about their choices. Fisher (1972) argues the importance of fostering language development in terms of personal growth and views the purpose of English study as assisting the student in conceptualizing and using language to extend, reshape and effect new relationships among experiences. Gregory (1974) feels the significance of literature is in its articulation of alternative worlds and that by exploring these worlds we can think and plan possibilities and discover our own reality. The literary work is one type of experience which can provide a base for developing and communicating response to one's environment. Young (1977) suggests that the development of children's responses must be a priority for English teachers if they are to prepare children for adulthood in the next century.

Some English educators are centering their attention on the development of response-centered curriculums which focus on how students read literature. Squire (1971) sees value in focusing on student response not only to foster social, emotional and intellectual growth but also to increase the student's ability to communicate effectively.
As response is an active process involving the whole of the "human personality," it is important to invite a full range of reactions and to deepen and develop these reactions. This view emphasizes the importance of bringing the individual back into the experience of literature rather than detaching him from it. Purves (1972) cites the focus of this curriculum as the student's experience with the text and the goal is to increase the student's awareness of the similarities and differences among responses. Purves (1969) contends that our purpose as educators is to find out what the "sensitive reader" does when he reads and to extend this further, our aim should be to develop sensitive readers who can explore many aspects of the text and articulate their responses.

It is important for teachers to know how the reader interacts with the text, how past literary experiences and knowledge of the world influence reading and how literary text influences response. The teacher, in examining students' responses to literature can better understand how the student is linking into the text and what knowledge and experience he draws upon to react to the text. When the nature of response is more fully understood, teachers can then plan to meet the students' needs more effectively. Begin with what the child knows and then help him to extend and refine his own responses. Britton (1968) points out, the mature reader is one who has developed and refined his own responses.
This study develops a framework for exploring the nature of response to literature to get at the question of how the reader interacts with the text. By examining the nature of the reader and the text and how the reader represents the experience, we can come to a better understanding of the complex nature of response to literature. In order to approach this goal it will be useful to consider important research in the areas of Psychology, Linguistics and literature. Planning effective literature programs rests upon a knowledge of how the student links into the text and this is the starting point for teachers of literature.

Research in Response to Literature

Research in response to literature has been influenced by the divergent opinions held by various researchers representing different disciplines as to the nature of response and the focal point in the process of response. The history of response research is marked by the different degrees of emphasis placed upon the significance of the text, the author, the reader and the context, of both writing and reading. Some researchers investigate the affective aspect of response centering on the effect of literature on the reader while others explore the cognitive aspect including comprehension, inferencing and judgment. Still others are concerned with factors affecting response such as taste, interest and personal background of the reader. Nicol (1975)
discusses the three major questions asked by researchers in literature response which include how well do readers understand and judge literature, what are literary preferences and what is the nature of response. She further contends that most studies in this area of research will begin with a question indicating the exploratory nature of the study. Purves and Beach (1972) surveyed the research on response to literature prior to 1972 and found that the studies could be categorized into the areas of understanding, judgment, types of response and the effect of literature on the reader.

Of particular importance to this investigation are those studies before and after 1972 that are concerned with the nature of expressed responses and the process of response. It will be useful to highlight a few of the studies mentioned in the earlier survey which raise important issues for this investigation.

There is a need for a stronger theoretical basis for research in response—a theory of reading literature on which to build future research. Many studies in response to literature have focused either on the significance of the text or the importance of the reader without considering response in a more comprehensive framework. The followers of I. A. Richards (1929), who made an important contribution to research in the understanding of literature, make a case for the text as the locus of meaning and the reader is viewed as striving to make an approximation of that text.
The reader's success is dependent upon how closely he can apprehend the meaning inherent in the text, according to this emphasis. Those who focus on the reader uphold the view that meaning is in each individual's interpretation of the text and that each response is necessarily idiosyncratic. Still other researchers, such as Rosenblatt (1968) offer a more reasonable approach by suggesting that meaning lies in the interaction between the text and the reader. The question of the locus of meaning is still a moot one hotly debated by linguists, literary critics and psychologists and is one of central concern to those doing research in response to literature.

Other research ventures are based on differing premises ranging from viewing literature as a base for expressing or revealing personality to that of viewing a literary work as a unified whole completely independent of the reader. At various times in literary history, certain approaches may take precedence over others. For example, literature was viewed in terms of its social context during the 1940's, as a discrete organic object by the New Critics in the 1950's and as a catalyst for generating a reader's thoughts and feelings in the 1960's (Lid and Handler, 1975). The point to be made here is that response to literature is based upon a wide range of assumptions and premises for investigating certain aspects of response. There is no one comprehensive theory of reading literature apparent in the research
nor is there an adequate attempt to find relationships among
the many variables identified as part of the response process.
To understand the complex nature of response to literature,
we need to move in the direction of developing a theoretical
framework which will help to explain the relationships among
the variables.

The Nature of Response

The two major classification schemes for categorizing
types of response to literature are those of Squire (1964)
and Purves and Rippere (1968). The method for eliciting
response in these studies was to present students with
questions about the text to which they responded either
orally or in writing, and the responses were then categorized
according to general types. The Purves and Rippere elements
of literary response were developed on the basis of studying
the responses of students in ten different countries. The
major findings of the Purves (1973, p. 314) study on literary
education in ten countries was that students do demonstrate
patterns of response which reflect the country they represent
and the nature of the literary stimulus. The patterns of
response reflected what people think about what they read.
Ability to respond to literature is acquired and modified
by what the student reads, his learning context, his age and
his cultural milieu, and response may be viewed, according
to Purves, as a "cognitive style, a way of thinking about
the literary experience and a way of ordering that thinking
for discourse." The elements of literary response discussed by Purves and Rippere (1968) are engagement-involvement, perception, interpretation and evaluation and these categories represent a description of students' responses rather than a taxonomy. The focus of response is on the content rather than the form of what students express.

Applebee (1977) reviewed research based on the Purves and Rippere categories. He found that the studies have re-enforced Purves (1973) findings that the teacher's approach affects the content of response, that there is a shift from perception to interpretation responses as children mature and that the type of text influences response. The majority of studies reviewed by Applebee have considered response as something which occurs in a fixed, measurable quantity which Applebee says is a simplification of the process. Hansson (1973) also contended that there is a need for descriptive studies concerned with what happens as the individual responds and that there are limitations of the protocol method which include the use of expressed responses which depend on the verbal ability and the difficulty of the individual and the difficulty of finding "commonality" in the method.

The mode of expression is another issue in evaluating response. While studies surveyed by Applebee indicated that the categories are both flexible and generalizable for a content analysis of response, the mode of expression
also has an influence. Applebee (1973) found that oral responses were lengthier and more prone to summarization than written responses among nine year olds. Beach (1972) found the oral mode led to more engagement responses while the written mode led to more interpretive responses.

Mellon (1975) summarized the results of the National Assessment of Literature and cited the primary research difficulty in response is that the primary data are in the unconscious mind of the reader and that only fragments are externalized verbally. Six poems and three short stories were presented to nine, thirteen and seventeen year olds who were asked to write an essay in response to an open ended question, to justify their answers on a multiple choice test and to respond orally to channeling questions for the National Assessment. Nine and thirteen year olds had difficulty supporting their choices on the multiple choice either due to function of cognitive development, writing ability or knowledge of literature. The channeling questions revealed that adequate responses occurred more in the engagement-involvement category followed by perception, interpretation and evaluation which had the least adequate responses. In the written discussion to the open ended questions performed by the thirteen and seventeen year olds, retelling responses disappeared and interpretive responses increased by three-fold with poems and with short stories, retelling was halved and interpretation doubled in
seventeen versus thirteen year olds' responses, according to the National Assessment findings.

In examining studies which explore the process of response, the case study approach is a major means of learning about how individuals respond and has been implemented by such researchers as Petrovsky (1976), Cooper and O'Dell (1976), and Holland (1975). Cooper and O'Dell (1976) did a case study of an eleventh grade male student and found that he attended to characters, was aware of distinctions between his own experience and the character's and followed no logical sequence in his response. In a study by Silkey and Purves (1973), Purves analyzed the diary response of one of his students and also found that there was no evidence of logical sequence. He found the writer addressed herself to a number of issues including special language, playing with concepts, attention to meter, etc. Petrovsky (1976) studied two high school girls' responses and found that their reality perceptions affected their response. There is a need for more case studies such as these and the direction of future research in response to literature may focus on collecting data from many case studies which will provide evidence for examining the patterns in response.

Thus far, research in response has demonstrated the complex nature of response to literature. There are numerous variables at play, each interacting with others to form a complex system. To understand the complex nature of
response more fully, we need to examine various aspects of
the text and the psychological processes of the reader which
interact to form the reading and response process. All of
the preceding studies either isolate fragments of the process
for study or use parts of theories to explain the process
without integrating related factors or utilizing a theory
of reading. Therefore, this study will attempt to fill this
gap by bringing a theory of reading to response in an attempt
to explore relationships among some important variables such
as the nature of the text and the reader.
Response in a Psycholinguistic Framework

To investigate the relationship between the text and the
reader or how the reader links into the text, we need to
examine the specific nature of the text. What types of cues
are apparent in the text; is the text a cohesive unit of
discourse; is the text characterized by a global framework
such as a story structure; does the text require the reader
to engage in certain activities such as inferencing or
"suspending disbelief." We also need to examine the follow­
ing areas in terms of the psychological processes in which
the reader engages going beyond ego psychology to cognitive
psychology. We need to ask how the text is processed in
memory, more specifically, how is information encoded and
retrieved in memory. Another question to be addressed is
whether text characteristics influence comprehension of the
passage, judgment responses, affective responses, etc.
Gleanings from developmental psychologists have indicated that children process and respond to text differently according to the type of text they read and according to their age level or stage of cognitive development. Children gradually learn to refine their responses, to develop a sense of story, to make critical judgments and to make higher level inferences. The transactional and psycholinguistic theories for viewing the reading process assume that text and reader are equally important in the reading process. Text defined by its form and content is the base or environmental stimuli from which the individual selects information to reconstruct meaning of the text experience. In this view, there is a meaning underlying the surface structure which the reader must reconstruct using surface structure cues.

To investigate the nature and process of response, we need to begin by examining certain text features which appear in the reader's response. We need to consider also the cognitive processes which the reader engages in when he links into the text and how he represents this experience. A psycholinguistic framework will be useful for looking at how the reader actively processes text.

**Statement of the Problem**

The need to bring a stronger theoretical framework to the study of the nature and process of response to literature and to explore the relationship between the text and the reader led to this investigation. The purpose of this
was to develop an integrated framework for analyzing response and to examine responses of fifth and eighth graders from that perspective. The schema for analysis of response consisted of two major components. The first component was applied to the responses of subjects to open ended and channeling questions to determine the level of discourse, the underlying cognitive operation and the pattern of references. The second component involved an assessment of the elements of story structure apparent in the responses to the recall question. The schema for analysis was applied to the responses of fifth and eighth grade students to fantasy and realistic short stories in order to explore the following questions:

1. Is the schema a workable tool for analyzing response to literature?

2. Does the schema help to explain the nature of the reader's interaction with the text?

3. Is there a pattern of responses evident across grade levels and across texts?

4. What is the nature of the text structure which appears in the recall response?

5. How is experience represented, that is, what is the nature of the discourse level, underlying cognitive operation and the reference pattern evident in the responses?

6. Is there a relationship between the nature of the
question and the type of response produced?

7. Is there any evidence of what the reader brings to the text which can be inferred from the responses?

The major question raised in the study is how is the reader linking into the text or more specifically, what is the reader taking away from the text after the reading—what does the reader consider to be salient in the text?

This study developed a schema for analyzing response in order to explore the nature of expressed response to literature in terms of relationships among textual elements, the reader's psychological processes and age and how he represents experience, contributes new data to existing research by developing a stronger theoretical framework to bring to bear on the complex process of response.

**Summary of Procedures**

Twenty subjects representing two grade levels were selected from fifth and eighth grade classes in three suburban schools. They read and orally responded to two different texts. Following the reading-listening task, the students were interviewed by trained individuals and they responded orally to questions and the interviews were taped. Two sessions were required so that students responded to different texts on different days. During the first session, prior to the presentation of the text stimuli, students were asked to complete three inventories measuring literary background, reading interests and transfer and reading habits.
The order of presenting the text was alternated to prevent order from becoming an interfering factor. Transcriptions of the tapes provided the protocols of response to be used in the analysis of data.

**Scope and Limitations of the Study**

The scope of this study is very broad as it draws upon various academic disciplines including Psychology, Linguistics, literature and education with the intention of broadening the perspective of viewing the process of response to literature. The study, on the other hand, is narrow in scope in that limited aspects of the disciplines were used in the investigation and also a small number of subjects and their homogeneous nature limited generalizability to a large broad based population.

While initially stating that one purpose of this study was to investigate the process and nature of response, it must be clarified that the process was inferred from examining the expressed responses of students. Many studies which explore psychological processes attempt to infer process from product as much of response and knowledge is tacit and sometimes inarticulable. Secondly, the response is elicited in reference to certain questions directed toward the subject which naturally result in channeling the responses to some extent.

The tools for analysis are another consideration in the study. Analysis of story structure, for example, is in the
early stages of development and has not been fully refined, thus we are working with rough measurements of text and response elements. In addition, story grammar research thus far has limited itself to very simple, short stories and further research must be undertaken to determine whether these elements are characteristic of larger units of discourse.

Finally, the question of verbal ability as a factor in response is important to consider. Although students were selected on the basis of their scores on a national reading test which was correlated with verbal ability, the pressure of responding orally in a taped interview may have distorted some of the responses even though subjects were assured that the interview was not a test situation and there was no evaluation involved.

**Significance of the Study**

The purpose of this study is to bring a stronger theoretical framework to response to literature. Previous studies have isolated specific aspects of response such as understanding and judgment which have been based on debatable assumptions such as where the meaning of the text lies. In addition, studies have focused on response as being apart from the reading process and measurable in terms of types of expressed response. The significance of this study is in its purpose to examine specific aspects of the text and the reader, the interaction between the text and the reader.
and to examine these in terms of how the individual represents experience.

This study also drew upon research in several disciplines in order to get at a more comprehensive view of how certain variables inter-relate in the complex process of response. Linguistics, Psychology, literature and education all provided valuable research data which was brought to bear on the response process. The importance of age and type of text are two variables which influence response as well as the prior knowledge the reader brings to the text and these were central concerns of the study.

This study, then, drew upon research in several disciplines in order to develop a stronger theoretical framework for looking at response to literature. The focus is upon how individuals link into the text and represent their experience and to further see whether there is any relationship between the grade level of the respondent and the type of text used as a stimulus.

**Organization of the Study**

Chapter One includes a statement of the need for further research in response and a general discussion of research in response to literature. In Chapter Two, a theoretical framework is developed and related research relevant to the framework is explored. In Chapter Three, the procedure is summarized. Chapter Four includes a discussion of the schema to be used for analyzing expressed responses.
In Chapter Five, the schema is applied to the research data and in Chapter Six, the summary and discussion of the results is outlined and the implications for education and future research directions is addressed.
CHAPTER TWO
THEORY AND RELATED RESEARCH

Introduction

The aim of this study is to consider the nature of the reader, the text, the interaction process and how the reader represents his experience. First to be considered is what the reader brings to the experience such as his interpretive framework for viewing the world, his attitudes and preconceptions and kinds of knowledge and experience. Next, aspects of the text in general such as the structure of stories and more specifically, the conventions of fantasy and realism, and the relationship of children and stories will be addressed. Third, how the reader links into the text by reading and responding to literature is considered.

The final section is a synthesis of several schemas designed to describe different kinds of discourse. The synthesis will attempt to present a schema for viewing how individuals represent experience—the kinds of discourse, the underlying cognitive operations and the relationship between the reader and the text. Another aim in looking at the representation of experience is how much "self" and how much "text" appears in the response to determine what the reader extracts from the text, that is, whether he relates to the text or analyzes it.
What the Reader Brings to the Text

A reader brings many aspects of himself to bear on the text including past life experiences, attitudes, tacit knowledge of language structure and use and frameworks for interpreting new experiences. Interpretive frameworks may be modified, refined and expanded as the individual seeks to organize incoming information and represent experience in the verbalization process. In reading, the reader brings a "theory of the world in his head," according to Smith (1971), and this theory influences how the reader will interact with the text. This "theory of the world" will necessarily influence how the reader responds to the text as well.

This section will explore the nature of this "theory of the world" by considering some views on how the individual constructs his view of the world and the nature of the construct.

Prior Knowledge

The notion of the individual as a creative organism who actively participates in constructing frameworks for viewing the world is reflected in Kelly's (1955) theory of personality. Underlying this theory of constructive alternativism is the view that man is a scientist who engages theorizing, testing hypotheses, weighing evidence in order to revise, replace or strengthen his hypotheses about the world—his goal is to predict and control his own life. The creative organism seeks to represent his world by
constructing patterns or templets which he fits over life experiences and he uses these patterns to interpret the world. Constructs are a way of looking at the world and may be tested for their predictive ability. The more open an individual is the more flexible his construct system will be, the more receptive to revision or rejection. While individuals build different sets of constructs, there are common elements which people share that enable them to interact and share cultural contexts.

Building psychological wholes is a result of actively shaping experience in the pursuit of knowledge and is characterized by the integration of particulars according to Polanyi (1966). This shaping or integrating of experience is the logic of the tacit dimension. The functional structure of tacit knowing is that we attend from the particulars to the integrated whole and knowledge of particulars or proximal knowledge is tacit while distal knowledge is articulated. The semantic aspect underlying this notion is that knowledge which is distal is that which is removed from ourselves—motor movements in the performance of a skill, for example, is proximal while the resulting performance is distal. While meaning is extracted from the comprehensive whole, there is still an awareness of the particulars, but if we attend too closely to the particulars through analysis we lose sight of the whole. Polanyi (1958) relates this notion to the reading task and his conclusions are consonant
with the psycholinguistic theory of reading. If a reader attends too closely to textual features, he loses sight of the meaning which is reminiscent of Kolers (1969) contention that "Reading is Only Incidentally Visual." The proximal knowledge, then, is instrumental or subsidiary knowledge and we may be focally ignorant of that knowledge as we seek to make sense of something. If analysis brings subsidiary knowledge into focus, we tend to lose sight of the whole or the meaning. Polanyi (1958, p. 103) defines the intelligent personality as one who continually seeks "to enrich and enliven its own conceptual framework by assimilating new experience." When we change language, we also change our frame of reference. Our attention is focused on making sense of information and our subsidiary knowledge is the adaptation of our concepts and our corresponding use of language to represent it.

Bruner (1976) upholds the important of perceiving things schematically rather than in detail as a way of organizing our experiences more effectively, and schemas serve as an economizing device in thinking. In considering the beholder of art, who is engaged in one mode of knowing, Bruner argues that if the beholder becomes too engrossed with the figures in the canvas, the conversion of impulses or fusion of inner experiences will end because the work is no longer perceived as an integrated whole. Art, unlike science, allows for the personal coefficient in response though recognizing common
elements which define us as humans. If we see a relationship of ourselves and a work of art, we seek to "recreate and to live it" and Bruner suggests that in this sense, life imitates art.

There are detrimental effects of the personal coefficient in responding to art as in any other experience. Richards (1929) considers the interference of presuppositions, preconceptions and irrelevant associations with the comprehension of poems, for example. Richards emphasizes the importance of prior expectations in influencing interpretation of the text. One type of technical presupposition interfering with meaning is the attention to detail without reference to the whole. Another is a technical dogma which seeks fulfillment of certain criteria regarding rhyming and meter, for instance. A third preconception is the judgment of a poem in terms of what the reader feels is of value and evaluating the poem on whether or not the value is present. Critical dogmas such as these prevent the reader from looking at what else the poem offers as well as obscuring his judgment. The personality, according to Richards (1929, p. 285) "stands balanced between the particular experience which is the realized poem and the whole fabric of its past experiences and developed habits of mind," and the concern is whether the personal element contributes to or interferes with the meaning of the poem. The same is true of irrelevant associations which may lead the reader to focus on personal
experience which does not contribute to the meaning of the poem. The personal element, then, is an integral part of the reading experience but some preconceived ideas or irrelevant associations can interfere with the comprehension of the text.

In considering the individual's use of schemas to organize and represent experiences, Chafe (1977) presents an interesting view. In his discussion of the recall and verbalization of past experiences, the organization of content is a major focal point. The concept of chunking or schematizing an experience entails the breaking down of global chunks which occurs under the influence of certain stereotype patterns which exist in our minds. A schema is defined by Chafe (1977, p. 222) as "a stereotyped pattern by which experience is organized" and how an experience is broken down. Schemas are used to organize discourse, interpret experience and organize behavior. The manner in which the speaker breaks down chunks is determined by what he considers as salient and salience is dependent upon interests, personality and predispositions.

Piaget's notion of verbal syncretism is relevant here in that it suggests that objects are perceived in terms of general forms which we construct and which can be denoted as the schema of objects. Piaget argues that syncretism is subjective while objective synthesis presupposes analysis. In an experiment, Piaget (1974) asked children to relate
proverbs to corresponding sentences and found that the presence of schemas was always evident in their answers and these contributed to their misunderstanding of the meanings. The child tries to assimilate information into his own point of view without understanding the inter-relationships among the parts. The child's schemas are necessarily limited because they are not modifying their schemas to account for alternative points of view. Piaget perceives syncretism as a transition between pre-logical and logical stages of thought. Eventually these schemas will grow in complexity and become valuable tools for thought.

Summary

The individual constructs a network of schemas for interpreting and representing experience. These schemas differ across individuals but share common frames of reference such as those which help to define a culture. The schemes if they are effective are useful tools of thought and effective means of organizing experience. They may also serve to obstruct meaning if they are egocentric as in the case of children, if they are rigid or if they do not correspond to reality. These schemas must certainly have an impact on the reading experience and influence response to literature. It is possible that we may infer the impact of prior knowledge on literature experience by examining the expressed responses of students as well as by administering inventories or other measurement devices.
The Literary Text

Introduction

In seeking to understand the nature of response to literature more fully, it is important to consider various components of the text and to ascertain whether these text characteristics have any bearing on the type of response produced. The two primary components of a text are the semantic component and the structure of the discourse. The structure is essentially the framework of the story—its setting and episode structure—and may reflect its membership in certain classes of fiction such as fairy tales, novels and short stories. The content of the story is concerned with specific characters and their development and can be further classified as realism or fantasy.

In this section, the text is discussed in terms of the nature of the story and the modes of realism and fantasy with the assumption that each mode makes different demands on the reader and thus may generate different kinds of responses. A second area is the impact of the story framework or schema on the recall of the text. Does the existing story schema reappear in the recall protocol of the reader and can we infer which structural features are salient to the reader in reconstructing the story. The third area is the relationship between children and stories which is included in this section because the nature of story text and its impact on children is emphasized.
Fantasy and Realism

Frye (1957) points out the difficulty in using terms such as "realism" as descriptors when they serve more effectively to identify tendencies in fiction. He describes realism as the "art of verisimilitude" in that the concern is with how much fiction is like that which we know. Structural principles fit into the context of that which is plausible. Frye classifies fiction in terms of the hero's power of action in relation to the world. At one end of the continuum is the divine hero of myths and at the other end is the inferior anti-hero trapped in an absurd world. The hero who is most like we are would reflect the most realistic point on the scale.

Townsend (1976) suggests that fiction is realistic if the events described in it might happen in real life in a setting which is in the present. Thrall, et al (1960) depict the writer of realism as seeking to portray a relative truth which is "verifiable by experience." They portray realism as focusing on common, average events in which the representation attempts a mimesis of life.

Fantasy is perceived by Thrall, et al (1960) as breaking away from experienced reality by taking place in a non-existent world, depicting incredible or unreal characters or using physical or scientific principles which do not hold with our current experience. Alexander (1965) argues that writers of fantasy must be realists in order to create a
sound base for their stories and to remain consistent with their initial premises. There is freedom to create a unique setting, then, but characters must have credibility in that setting and events should have logical implications. Hunter (1977) concurs with Alexander's point of view in that she contends that all fantasy must be rooted in fact and that a bridge must be built from a known experience to the fantastic. She further defines fantasy as the growth of ordinary people who have special beliefs and superstitions.

An important way of distinguishing between realism and fantasy is to consider the demands it makes upon the reader. Forster (1927) argues that "fantasy asks us to pay something extra" and some readers are willing to go beyond the literal while others are not. Fantasy may hint at the supernatural or directly convey it by introducing superhuman characters, placing ordinary characters in an unrealistic setting or through the use of parody, according to Forster.

An interesting framework for looking at realism and fantasy is the "hierarchy of veracity" proposed by Warlow (1978) which ranges from "verifiable belief" to "imaginative assent" according to the degree to which they correspond to external reality—the stories progress from allegorical myths to psychological realism. The assumption is that the more familiar children are with the different story conventions the better they will be able to predict and understand the different forms of narrative. The significance of this
framework is that it draws attention to the importance of the
text itself as having an impact on the reading process.

In considering realism and fantasy, it is important to
be cognizant of particular story conventions and the demands
made upon the reader. Perhaps the realistic story depicts
a secondary world which is plausible while a fantasy story
represents a world which is preferable. Each world may
 call for different kinds of engagement as well as different
kinds of response.

The Structure of the Text

The notion that stories have a schema or structure
which is discernible among certain classes of stories was
exemplified by Propp (1968) in his study on Russian folktales.
Propp posited a morphology of the folktale which described
it according to its component parts and the relationship of
the parts. The folktale was examined in terms of the func­
tion of the dramatis personae which served as the basic func­
tions. After studying over one hundred Russian folktales,
Propp concluded that the tales were fairly uniform with
recurrent themes, identical sequences of events and a limited
number of functions, thirty-one. The categories of elements
which defined the structure of the tale included functions
of the dramatis personae, conjunctive elements, motivation,
character appearance and attributes or properties. Morpho­
logically, a folktale may be termed as any development
either out of villainy or a lack of something.
Rummelhart (1975) developed a story grammar in an effort to systemmatize some of the relationships among elements developed by Propp. The grammar consists of a set of syntactic rules which generate the constituent structure of stories as well as a set of semantic interpretation rules. The grammar represents the hierarchal nature of stories which is characterized by the arrangement of propositions ranging from the most central to the least. The structure is comprised of a setting and an episode, which is subdivided into events, reactions to events, motivation and goal attempts. Relationships among events may be temporal or causal ones which culminate in the outcome of actions. The development of this grammar rests on the assumption that a simple story involves a series of sentences combined into psychological units according to Rummelhart (1975).

The effect of story schema on the individual's ability to comprehend and recall discourse is a fruitful area of research which has produced some significant studies. Bower (1976) contends that stories provide a "microcosm" from which to study human understanding. Well structured stories enable readers to predict and therefore comprehend more effectively as well as assisting in the organization of recall. The story schema represents the internal structure of simple stories and is used to comprehend and recall new stories as well as in constructing original stories. A story grammar is essentially a hierarchal arrangement of
propositions in a story and the assumption is that those higher up are more salient and therefore more likely to be remembered according to Bower. In one study undertaken to test these effects of story grammar on memory, Mandler and Johnson (1977) based their story grammar on Rumelhart (1975). The hypothesis of the study was that there exists a story schema which guides comprehension in encoding and retrieval during recall. The simplest kind of story is defined as having a setting, beginning, development and ending and underlying these basic nodes are a series of actions, reactions, goal attempts, outcomes and endings. The premise of the study is that the effects of the schema will be most pronounced in retrieval and that the longer the delay between hearing the story and recall, the more the retelling will approximate an ideal rather than an actual story schema. In the recall experiment, the protocols of first, fourth and university students were scored on the presence or absence of propositions. It was found that first graders recalled settings, beginnings and outcomes better than attempts, endings and reactions. A similar pattern appeared in fourth grade protocols though there was no longer a significant difference between recall of events and outcomes. Adults recalled all the basic components though endings and reactions were less well recalled. The results re-enforced the utilization of a schema to organize recall and the schemas differ in what they stress according to age. The less
structured stories resulted in poorer recall and more sequence inversions.

Thorndyke (1977) developed a simplified version of the Rumelhart (1975) grammar which proposes that the principal elements of a story are the setting, theme, plot and resolution. Experiments were designed to determine the effect of varying degree of plot structure on memory and constructed four passages which were presented to Stanford undergraduates who were asked to recall the passage. It was found that mean recall of the propositions decreased the lower they were in the hierarchy. In the narrative-after theme passage, seventy-five per cent of the subjects inserted the goal proposition into the beginning of their recall. In a second experiment, the narrative structure was maintained but syntax and semantic elements were manipulated. The results indicated that both structure and characters affected recall though when the same characters were used, interference resulted. As in the Mandler and Johnson (1977) study, it was found that narrative structure is significant in recall and that the more central or the higher the level of the propositions, the better they are recalled.

Stein (1978) supports the view of the significance of story schema in encoding and retrieval and suggests that if categories are missing in the text structure, they are inferred during encoding and transferred into the underlying cognitive structure. Children as adults expect certain
information to appear in stories and when information is missing, new information may be added so that the story more directly approximates an ideal rather than actual schema. In studying the recall protocols of fifth and first graders, it was found that fifth graders recalled as much information from stories with marked inversions as those with expected sequence while first graders did not. Transformations were attributed to the effort to conform to an expected story sequence. Children can learn to understand stories with different structures such as those using the flashback technique according to Stein. It was also evident from the study that children's own stories increase in complexity as they mature to include involved goal structures, interaction between characters and dialogues. When children were probed about their internal responses, first and fifth graders remembered more than they included in their recall.

Children and Stories

In the preceding discussions, the general textual components of structure and mode, fantasy and realism, have been considered. In this section the focus is on several studies which are more specifically directed to the relationship of children and text components. Applebee (1978) analyzed young children in their role as storytellers and observed a continuum in writing which begins in the "world of immediate experience" and ends in the "imaginative world." As the child matures, there appears to be a shift from
completely realistic to purely fantasy worlds. Fantasy is defined by Applebee (1978, p. 76) as "the exploration of new worlds distant from the home," and children are better able to explore these new worlds as they mature. The stories of five year olds displayed greater distancing than those of two year olds with only one-third remaining near the home. Reading maturity would also presume an ability to take on a variety of secondary worlds which may be removed from direct experience thus as the child matures, he may decenter from the self and move outward to the text.

Spencer (1971) discusses the importance of good stories as vital encounters between the child and the author. The emergence of the child in the spectator role is evident when the child wonders whether a story is true. Certainly at this point the child is detaching himself from the text and observing it at a distance. In retelling the story, the child who is growing away from egocentrism starts to consider what is involved in a story as he relates its events to a listener. Tolkein (1969) contends that when a child asks whether the story is true, he is really desiring to find out which kind of literature he is experiencing. He also notes the child's difficulty in expressing his response to a story because children do not often engage in analyzing their experiences.

Another interesting relationship between children and stories is drawn by Bettleheim (1977) in his analysis of
fairy tales. According to Bettleheim, the fairy tale represents an "existential dilemma" which allows the child to come to grips with the problem in its basic form. The psychological identification with the hero is based on sympathy for an appealing figure. The child makes choices on the basis of who he wants to be and the child needs the assurance that he can succeed as the hero does. Favat (1977) also develops the notion of identification in arguing that the fairy tale, characterized by its magic, animism and egocentrism reaffirms the child's view of the world. According to Favat, children not only identify with the hero but they also respond to the form of the story as in its patterned repetitions, for example. After eight years of age, children seek stories which are more realistic for their satisfaction according to Favat.

Applebee (1976) studied the expectations which the child develops about stories and the judgments he makes about familiar stories. Responses were elicited from children aged six to seventeen. The children sampled, claimed to have enjoyed the stories they know and on the basis of previous experience, they expect to enjoy the stories they read. Children at age six were most likely to say that a story ended badly because they viewed stories in terms of their details rather than plots. By age nine, children are beginning to develop an interest in the theme of the story and recognize that stories are fictional. Another developmental
trend is that children become more tolerant of other viewpoints as they mature and an earlier concern with age appropriateness and reading difficulty is replaced by a concern with complexity and richness of the story.

Summary

For the purposes of this study, it is important to analyze certain textual components to determine whether there are any relationships between the nature of the text and the type of response produced. It is likely that certain story conventions and structural aspects make certain demands upon the reader which may affect both his reading of and response to the text. Text is one of the many variables which may interact in the complex process of response to literature.

Interaction Between Text and Reader

Introduction

In looking at the interaction between the text and the reader, it is important to consider how the reader links into the text. If we emphasize the cognitive activities in which the reader is engaged as he reconstructs meaning or processes language, our focal point is on the reading process. If we look at how the reader thinks and feels about the text, how he experiences the text either during reading or in the reflective period following, we are looking at the response to the text. More clearly, reading is the act of reconstructing meaning and response is the reader's reaction to text.
In order to understand the complex nature of response, it is important to look at the reading act in its entirety. The concern here is not with the total, ongoing response during reading but with the nature of the expressed response following the reading, that is, how does the reader shape the experience with language, what elements of the text are apparent in his response and how does he feel about the text.

In order to comprehend this more fully we need to know something of the nature of the experience in which he has just participated and how he actively engaged in it. This section considers the psycholinguistic view of the reading process which emphasizes the active role of the reader in processing text. Secondly, the reader engaged in interacting with a literary text is perceived as participating in an experience. The final section addresses the nature of the process of response to a literary text.

The Reading Process

A theory of the reading process which explains the interaction between the text and the reader is the psycholinguistic theory which posits the reader as an active processor of language. The fluent reader samples the print in the text for important orthographic, syntactic and semantic cues, relying on his tacit knowledge of language which enables him to predict what will occur next in the text. Reading is a selective process involving minimal use of available graphic information and as information is processed, the
The reader makes tentative decisions which are confirmed, recast or refined in a sort of "psycholinguistic guessing game" according to Goodman (1967). The reader predicts and anticipates on the basis of graphic, syntactic and semantic information sampling enough from the print to confirm his guesses aided by the redundancy in language.

This view of the reading process is most useful for examining the relationship between the text and the reader. It helps us to answer the question of what the reader brings to reading, what types of cognitive processes he uses to process text, and how he reconstructs meaning from the text. The reading process viewed from this perspective also highlights the importance of the text—its structure and cue system—which are used to interpret meaning. Thus if a study seeks to investigate how the reader actively interacts with the literary text, a psycholinguistic perspective is a useful one to bring to response research. To develop this notion of how the reader links into the text, it might be useful to consider the interaction between specific kinds of texts and the reader.

The Literature Experience

Rosenblatt (1968) emphasizes the contribution of personal factors in affecting response to literature. The student is engaged in an "exploration" of literature which intimates the significance of the personal factor. The reader and the text equally contribute to the literature
experience and students must be aware of their role in the aesthetic experience in terms of what they bring to reading. Rosenblatt argues that literature is a "mode of personal life experience" which enables students to participate directly in making choices and clarifying their choices by experiencing the alternatives represented in literature.

Warlow (1978) also considers the personal factor in reading which influences the reader's decision as to whether he will enter the secondary world. Two kinds of reading may occur, according to Warlow, though not simultaneously. Fantasy reading requires a commitment to experience the secondary world while critical reading creates a distancing effect detaching the reader from the experience. By emphasizing the development of critical reading in the schools, we have not given children the opportunity to become involved in the secondary world according to Warlow.

Slatoff (1970) concurs with Rosenblatt in the view that a work of literature is a region to be explored and the involvement with literature engages the individual's consciousness in many ways. Reflection following the reading involves a different kind of relationship with the work which often follows certain "lines of inquiry" and thus the individual no longer directly experiences the work. The literature experience requires the reader to bring his own consciousness and experiences to bear on the text and the more knowledge or story experience the reader has, the more he will
Slatoff contends that reading literature requires that the individual contribute his self awareness to the experience.

In the preceding discussion, it has been argued that reading literature is participating in an experience. It is clear that reading is a special kind of experience which differs from others in the actual world because literature is an imagined experience without physical reality (Bacon, Breen, 1959). We as readers may have similar feelings of "living through an event" in both the real and imagined worlds. In order to improve reading the relationship between the actual experiences in life and the virtual experiences in literature must be re-emphasized. The reader can participate in making the text an imagined experience and as in any experience, the individual never loses his own reality.

A point of view developed in this study is that reading literature is one of many experiences in the world in which an individual may actively participate. The participation is of course contingent upon the reader's decision to enter into the secondary world with his full consciousness. The reader participates in the experience by processing language and actively responding to the imagined world. He becomes in a sense suspended in time in another world. Following the reading experience, the reader may assume a reflective role and look back upon the experience and attempt to articulate his feelings and thoughts about the work itself,
the effect upon him or the way he links into the text. In examining the area of response to literature, these notions will be more fully developed.

Response to Literature

Response to literature is a very complex process involving the inter-relationship of many variables. During the aesthetic experience, the reader's total consciousness is brought to bear on the text. As an individual participates in any event, he may engage in a wide range of cognitive activity and affective reactions which remain largely unarticulated through a variety of modes of representation including writing, discussion, art or drama. The focus of this study is on the nature of the articulated response to texts.

The writer invites his audience to believe in the world he presents as both possible and interesting. In the representational arts such as literature, the audience is committed to share in an exploration which will extend and refine his own world of experiences (Harding, 1937). "Empathetic insight" enables the reader to enter into alternative worlds and imagine what the character is involved in and to contemplate, participate and respond to the work (Harding, 1978a). Harding (1978a, p. 72) defined response as "the imaginative sharing of the participant's experience" accompanied by evaluation and the awareness of having made a special agreement with the author. Response suggests an active involvement with the text which begins with the self and moves
toward the objective world of the text and in this sense, art is "a thing of our making, one in which we are the interpretive artists," according to Harding (1978b, p. 391).

Britton (1968) perceives our aim as language educators to refine and develop the responses children are already making and that development is a matter of increasing the sense of form or pattern of events. To improve response, Britton suggests that reading for a variety of purposes at various levels should occur to provide readers with opportunities to attend to forms of language and patterns of events and feelings.

Bodkin (1962) reflected on her reading of "The Rime of the Ancient Mariner," and discovered that certain poems had become unconsciously interwoven into her emotional life revealing a set of relationships between certain literary passages and characteristic emotional states of the mind. These associations are significant to readers in that these "interwoven personal and literary reminiscences in the background of the mind contribute again and again emotional significance to connected words and event," thus we should allow for our own "personal equation" in criticism according to Bodkin (1962).

Squire (1964) studied the responses of fifty-two ninth and tenth graders while reading four short stories. Interviews were conducted with students at various points during the reading. Responses indicated an impact of broad
personality patterns or clusters of characteristics rather than single personality traits. Judgment of literary values was greater at the end of the story as were the self-involvement responses. Interpretational responses were dominant and consistent throughout the reading. Responses revealed certain failures to grasp meanings such as misunderstanding key words, reliance on stock responses, critical predispositions, etc.

In a study by Silkey and Purves (1973), Silkey kept a diary of what went on in her mind as she came to terms with a poem. The diary was characterized by active consciousness, a tentative mind, humor and use of analogic processes though there was no logical sequence of thought. Silkey focused on a wide variety of information from grammatical to imagery but there was a patterning of three concepts which dominated in the diary which were focus, juxtaposition and probing. Petrovsky (1976) posited that literature is a way to consensus, a way to share reality perceptions and fantasies. The discourse initiated by response to external reality is much like discussion initiated by response to literature–discourse serves as a way to form, share, understand and evaluate both responses and perceptions according to Petrovsky. In two case studies with high school students, Petrovsky found that there were revealed the unique reality of perceptions and individual style determined by how the person perceived reality. These diverse responses can lead
to consensus through sharing of responses which implies the importance of having free response as part literature study.

Holland (1975) contends that readers respond to a literary work according to their own personalities and identities—lifestyles developing from infancy which are brought to any new experience including literature. It is important to consider how different individuals recreate a text through their personalities in order to key into general patterns of response. There are, then, individual differences in response because of the wide variety of personalities. Developmental differences are also apparent as indicated by Applebee (1978) in his study on the concept of story. Applebee found that children in the preoperational stage were unable to integrate a well-organized representation of their experience. In the concrete operational stage, children were able to categorize responses in classes such as "it's funny" or "it's sad." In the early stage of formal operations, subjects engaged in analysis of the work and began to distinguish between their subjective and objective responses. In the second stage readers were able to generalize about the work and to think abstractly about it—they began to see literature as a way to understand life.

In looking at the nature of the reading experience, a focus of interest is how the individual uses the narrative convention to organize his experience into a conception of the world (Meek, et al, 1978). Reading stories may engage
the reader in moving from the self into the world of events or to turn inward to his thoughts and feelings (Meek, et al, 1978). In exploring the nature of response to literature, the real questions center on what the reader takes with him when he closes the book. What kinds of inferences about prior knowledge and understanding of and response to the literary text can we make by examining the expressed responses of students.

**Representation of Experience**

**Introduction**

Language is an instrument for shaping experience and establishing relationships with the self and the experience, the world and the experience and for creating new experiences. An individual continuously participates either directly or indirectly in a variety of experiences and represents his feelings and thoughts about them by recording the ongoing activity, reporting about it as past experience and by generalizing or theorizing about the experience. Underlying the representation of an experience is the individual's attempt to organize his thinking by fitting new information into an existing schema or reorganizing the schema to accommodate the information. As the individual organizes experiences through language, he engages in a range of discourse functions and cognitive activities with the sense that an audience of some kind will hear his representation.
While thinking at all levels may occur at any point during the representation, it can be argued that a predominant cognitive activity is characteristic of a specific level of discourse so that a speaker recalling and reporting on a past experience may engage primarily in chronologic thinking while he may center at the analogic level of thinking during exposition when he is generalizing about the experience.

Sapir (1970) argues that language analyzes experience into elements and establishes relationships between the experience and the actual world thus enabling individuals to go beyond their own experiences in order to understand their culture. Language conjointly serves to assist and retard us in the exploration of experience and is totally immersed in experience according to Sapir. Language functions as a means of shaping, understanding and discovering experience and further, it substitutes for experience "in the sense that speech and action form a web of unbroken pattern" (Sapir, 1970, p. 9). Sapir isolates two patterns of language—patterns of expression and patterns of reference—which operate within a context of thinking and communication.

In this section, the use of language in shaping experience will be explored in an effort to bring together several schemas for analyzing discourse and to consider further the notion of how an individual links into and articulates about experience.
The Creative Language User

It is evident language cannot represent all aspects of experience so the speaker must interpret aspects as examples of types such as schemas, frames and categories (Chafe, 1977). This internal schema or prototype must match in some way with the features of the experience. Chafe proposes three choices a speaker may make in the verbalization process. Schematization involves the breaking down of a chunk of information into smaller units which requires the individual to make choices on the basis of the salience of features. Framing calls for the speaker to select small chunks which convey the right amount of detail and sentences are the constraints in framing. Categorization requires a further particularization of the chunks into words or phrases and at this point the degree of codability of the particular becomes important. In categorizing the speaker tries to relate experiential content of an idea with prototype contents of an available category. The importance of Chafe's description of the verbalization process is the underlying assumption that the individual is a creative organism who makes choices about how to represent experience at three levels. To verbalize is to select salient features of an experience which can best represent it to another individual.

Langer (1953) discusses the poet's created world as a "semblance of events lived and felt" which are organized into a "completely experienced reality--a piece of
virtual life" (Langer, 1953, p. 212). When the individual begins to read he enters the world of virtual experiences and response is an integrated, organic reaction to represented experience. The experiential nature of the virtual world is more intense and significant than many experiences in the actual world because it is more directly tied into "personal existence." Virtual experiences are the illusions of life shaped into poetic form from Langer's view.

How Language is Used to Shape Experience

Moffett (1968) proposed a theory of discourse which was based on the assumption that language learning and the development of symbolic expression depends on cognitive growth. The structure of discourse is a series of relationships among the speaker, the listener and the subject. In the speaker-listener relationship, the concern is for the audience and how effective rhetoric is for communication. In the speaker-subject relationship, the focus is on the referential relation and how the speaker abstracts information. Moffett suggests that curriculum be built upon the notion that composing and thought reflect parallel lines of development and that language is an instrument of thought. Variation in discourse is evidenced in the concepts of time and space and activities of growing distance between the speaker and the audience can be arranged on a continuum—reflection, conversation, correspondence and publication. The distance between speaker and subject can be illustrated
through verb tenses which include "what is happening," "what happened," "what happens," and "what will or may happen."

Underlying each of these subjects is a logic being used by the speaker or writer which may be chronologic, analogic or tautologic. Moffett suggests that in the "what is happening" level, the language user is perceiving and participating in an ongoing experience. In the "what happened" level the speaker is telling an informal audience about what transpired during the now past experience; he is selecting from memory and summarizing the event in a narrative form. He may recap the experience in conversation to a friend or at a greater distance from the friend in correspondence. In the "what happens" level, the language user is involved in comparing the experience to other experiences and thus generalizing. In the "what may happen" level the experience itself becomes less direct and involved in parts of generalizations which in turn are compared to other generalizations to form tautologic thinking or theorizing. Thus, there is an arrangement along a continuum of recording or drama, reporting or narrative, generalizing or exposition and theorizing as well as a progression from chronology to analogy to tautology.

In this type of schema, growth is represented by increasing differentiation of kinds of discourse and levels of abstraction.

Underlying this entire schema, then, is the argument that linguistic complexity increases as cognitive ability
increases—the cognitive ability to inter-relate classes and propositions and to embed lower level abstractions into higher order abstractions. The distance between speaker and audience reflects the notion of decentering or adapting levels of discourse to accommodate the type of audience. According Moffett sees the central dimension of growth as a shift from the self to the world and the individual's attempt to assimilate and accommodate itself to the world. Moffett built his theoretical framework on the writing of children in fourth through the twelfth grades.

Britton, et al (1975) studies the development of writing in students ranging from eleven to eighteen and provided a framework of function categories to answer the question "why are you writing?" thus addressing the issues of intention and effect. The schema for distinguishing the different functions discussed in the preceding study and Britton (1971) rests upon the distinction between the two roles the language user may assume either the participant or the spectator. The participant role involves the individual constructing a view of the world in order to operate within it and the spectator role involves constructing a view of the world without expecting outcomes in the real world. These roles are based upon the relation of the speaker to the subject or experience, his role in relation to the experience and whether he is actively involved or looking on to an experience.
There are three major categories of discourse functions, each having their own subcategories and these include: the expressive function based on Sapir's (1970) notion of expressive speech; the transactional function, using Moffett's categories as a base; and the poetic function. The expressive speech function is that which stays closest to the speaker and is best understood by those who know the speaker and his context. It is essentially the verbalization of the speaker's immediate concerns and is relatively unstructured and free from demands of task and audience. Developmentally, expressive language is "a kind of matrix from which differentiated forms of mature writing are developed" (Britton, et al, 1975, p. 83).

In the transactional function, the utterance comes closer to meeting the demands of the participant role as it is "language to get things done." The function of transactional language is to inform, to instruct and to persuade. The subcategory of informative includes functions of recording, reporting, generalizing and theorizing. The second subcategory of transactional language is conative which includes regulative and persuasive uses of language. The emphasis in the transactional category is on the content of the message.

The third function is the poetic function which meets the demands of the spectator role. The poetic mode is a verbal construct which captures the writer's thoughts and
feelings in a patterned form. The utterance becomes a work of art in that the intent of the work is achieved through its form. The emphasis of the poetic function, then, is on form. These function categories were designed to describe language in use, particularly writing and serve to focus on the intention of the writer and the effect of the utterance on the audience. As the writer moves out of the expressive function, he develops more maturity by manipulating different writing registers as well as accommodating different audiences; he begins to recognize and utilize different literary forms.

Britton (1970) sees language as a means for representing experience which allows us to organize information and construct a picture of the world. Information is classified according to how it fits in with what we already know. Part of response is evaluation which involves forming, testing and modifying categories according to the way we feel about things. Response is also characterized by a reaction to the form as well as the content of literature. In our role as readers, we are actively involved in assimilating, organizing, modifying, evaluating and anticipating new experiences.

Purves and Rippere (1968) also developed categories to describe the writing of students basing their categories on how students respond to a literary work. Unlike Moffett's and Britton's categories, this study did not suggest a hierarchy. The four major categories include engagement-
involvement, perception, interpretation and evaluation. Engagement-involvement essentially entails how the reader experienced the work, the private reaction of the reader to the author, the content, the structure, the language and the morality of the work and whether the reader granted the work existence or identified with aspects of the work. The category of perception involves looking at the work as an object removed from the self which is to be classified or analyzed. Perception involves taking a point of view, comprehending the work, understanding the different elements of the work and their relation to each other, for example, the tone, the language, literary devices, structure, mask, genre, conventions and the context of the work. Interpretation follows the establishment of the "otherness of the work" and may involve relating the experience to the world, establishing meaning, making inferences and finding analogies. The interpretive category finds the reader engaged in going beyond the text to interpret symbols, make inferences, discover inferred irony, metaphor and allusion, to consider style, and to evaluate characters' motivation.

The fourth category is evaluation which is the personal or objective view of whether the work is good or bad. This category includes the citing of criteria, affective evaluation and evaluation of the author's method, intention, symbolic appropriateness, the moral significance and the thematic importance of the work. In assigning the writing
to categories, it was found that the total number of statements representing certain elements is the most effective way of reporting. The objective of literature education, according to the authors, is to develop a range of responses to literature. The categories are based upon a consideration of the audience's relation to the work, the world and the author and the categories represent the stances the respondent takes toward the work when writing about literature.

Frye (1964, p. 33) discusses the "motive for metaphor" as the "desire to associate, and finally to identify, the human mind with what goes on outside it." He proposes there are three levels of the mind and three types of language. The first is the level of consciousness and awareness where the self is distinguished from everything else and the language used is the "language of self expression" which reflects the speculative or contemplative nature of the mind. The second is the level of social participation involving the working language of teachers, businessmen, lawyers, etc., and uses the "language of practical sense." This level involves doing something about the world and adapting to it. Language is characterized by action words rather than labels and modifiers. The third is the level of imagination which produces the literary language of poems, plays and novels and connotes the human ability to construct possible models of human experience. The levels of language represent different reasons for using words. In the arts, we are
constructing worlds and in the sciences we see the world as it is. Literature is "a concrete human world of immediate experience," according to Frye (1964, p. 27). In the level of consciousness, the individual is in the center of everything, surrounded on all sides by what he isn't. At the level of practical sense, there is a human world or society surrounding the individual and at the imaginative level, the individual is in the world he constructed and the only limitation is the imagination itself.

**Summary**

An individual's relation to an experience is complex, involving different levels of thought, distance and discourse. When an individual perceives an ongoing experience, he may engage in a wide range of thought processes such as perception, generalization, and theorizing which may take on the form of an inner verbalization of the experience and it would be unusual for him to give a narrative describing the events. When he participates in an experience, the individual may record aspects of it to himself or to a limited, personal audience, the emphasis of the discourse is on revealing the self and the structure of the discourse is loose representing a network of the speaker's attitudes, feelings and thoughts. The individual is involved in the experience and to some degree conscious or aware of his involvement.
In participating in a direct experience, the consequence may be a physical or verbal action. In participating in an indirect or virtual experience such as reading, the individual, if the book is good, may take on the secondary world and become suspended in its time and space. While thus suspended, he is engaged in an ongoing, though often inarticulate response which may range over the affective and cognitive domains. In the reflective period following the reading, the reader may know or feel more than he is able to communicate. Some of his responses may be elicited through probing questions but much of it as the ongoing response while reading remains tacit.

When the reader begins to reconstruct the experience from memory as he perceived it for an audience, the emphasis may shift from the self to the content focusing on what the experience was about. As the individual is looking back upon an experience for the purpose of representing it to others, he is engaged in reporting the experience with an eye on chronology—it is a function of language which is transactional-literal because it attempts to reconstruct the actual experience. In this mode, the audience assumes greater import because the language user's intent is to communicate the experience; thus, there is a "level of social participation" involved.

Expressed response to an experience may also take the form of establishing relations and explaining, classifying,
interpreting, evaluating or generalizing about the experience. The purpose of the discourse, then, is to tie the experience in with other experiences or knowledge about the world and to find meaning and significance in the experience--is there something equivalent or larger under which this experience can be one example? The function at this level is transactional-relational in that it involves the analysis of several experiences. The individual may bring criteria of evaluation or tools of interpretation to bear on the experience, thus going beyond the actual or literal experience to make some inferences about it. In this mode, the individual not only reflects back upon the experience, then, but also attempts to go further to establish relationships with other experiences or to make inferences about the experience.

A final way in which experience may be represented is the speculation on what will or may happen. In this mode, the actual world experience fades into a muted data input for a theory or a "distorted" representation in a poem. Self and content give way to emphasis on form and language. At the level of imagination, a world that may happen is represented in a poem or novel and the focus is on the verbal construct and the purpose is to satisfy a distant audience.

The representation may also be in the form of a theory or argument in which the rhetoric assumes importance as in a formal debate, the structure of the argument is crucial.
Thus at the level of poesy and tautology, the structure of the representation is of greatest importance as the individual transforms an actual experience into a poetic construct or it disappears into a theory. At this level the language user is creating a possible world either to convince or to entertain and he is operating in a mode far and above the characterization of actual experience so the structure imposed on that possible world is of great significance. The possible worlds imply that they do in differing degrees tap into the actual world.

In looking at the representation of experience, we can view not only the level of thought and discourse but also the focus of the response to the experience or text. We may find that the response may focus to differing degrees either on the text or on the self. For example, at one end of the spectrum, an egocentric child may relate his response to himself and digress into recounting an experience which is personal and removed from the actual text and this represents a kind of exophoric reference (Halliday and Hasan, 1976). At the other end of the continuum the respondent who is a sophisticated reader may engage in an analysis of the text, citing references within the text or endophoric references to support his interpretation (Halliday and Hasan, 1976). This sort of objective analysis focusing on the text would be more characteristic of someone who has entered at least into the stage of formal or higher level thinking. Most of
the responses to a literature experience would presumably fall into a self-text or text self category. The assumption in developmental terms, is that fifth graders, for example, would make more self-text responses while eighth graders would make more text-self responses. Thus, as one develops in thinking ability and ability to manipulate language, he should gradually minimize himself and maximize the text or the experience.
CHAPTER THREE
METHODOLOGY

Introduction

The purpose of this study was to develop a schema for exploring the nature of fifth and eighth grade oral responses across realistic and fantasy texts. In this chapter, the methodology is considered while the schema is developed in the following chapter. Subjects were selected from three schools representing stable, homogeneous and middle class communities. Subjects and parents consented for participation in the study and all of the subjects scored between the fiftieth and ninetieth percentiles on the Reading and Vocabulary sections of the California Test of Basic Skills which was taken the previous Spring.

Six subjects were selected from four different classrooms with four different teachers. Each group of six was involved in two different sessions on two separate days. During the first sessions, subjects completed three inventories and then the investigator introduced the task. Subjects listened to and read one of the texts, whose order was alternated for each presentation. Following exposure to the text, subjects were randomly assigned to six interviewers who asked them a set of pre-designed questions which consisted of one general question eliciting free response, one
recall question eliciting a retelling response and five channeling questions to invite certain types of responses such as evaluation, identification, etc. The interviews were taped. In the second session, the same procedure was followed with a different text. Probe questions were built into the interview in order to control the variation introduced by the different interviewers. Ten subjects were selected from each group of twelve fifth and twelve eighth graders so that the total number of subjects used in the study was twenty. Four of the original twenty-four subjects were eliminated because of problems in the transcription of the tapes or due to mis-stated questions by the interviewers.

The first part of this chapter explains the procedure for selecting subjects for the sample; the second section considers the procedure of the study; in the third section, the instrumentation is discussed and this includes the use of oral responses, the listening-reading presentation of the text, the literary texts, the inventories and the interview questions; and the last section concerns the analysis of data.

**Selection of Subjects**

Evidence about the nature of responses at different ages was the principal goal of the study. The subjects were selected, therefore, from a relatively stable, homogeneous community which was middle to upper-middle class and subjects'
scores on a language ability test ranged between the fiftieth and ninetieth percentiles in order to equalize the effect of background and language ability on the responses. Individual background was considered in part in terms of inventories measuring literary background, interests and reading habits. 

Subjects

Subjects were chosen from two intact fifth grade and two intact eighth grade classes with each class having a different teacher. Subjects were drawn from one junior high school and two elementary schools each representing a suburban, middle class and relatively homogeneous community. The schools were within a two mile radius of each other and one of the elementary schools feeds into the junior high school. The procedure for selecting students involved having each teacher invite her students to participate in a study concerned with finding out how students respond to literature. Students were given forms describing the study and asked to sign their names as well as obtaining parental permission to participate. When forms were collected, it was found that since all students did not return forms, it was not possible to select randomly within classes so subjects represented those who wished to participate. Twelve of forty subjects were selected from the fifth grade and twelve of twenty-eight were selected from the eighth grade. All subjects scored between the fiftieth and ninetieth percentile on the Reading and Vocabulary sections of a national test. The
scores on this test were viewed as an indication of verbal ability conducive for the tasks involved in the study—reading, listening, and responding verbally. A third requirement for participating in the study was that students had not heard the stimulus texts prior to the task.

Procedure

During the first week of the data collection in May, six subjects from one fifth grade class were removed from their classrooms at 1:00 p.m. and taken to a large classroom. The investigator introduced the study and asked the students to fill out three questionnaires regarding their reading interests, habits and background. Following completion of the surveys, students were asked to listen to a taped version of the fantasy short story as they read the text. A male Professor of Communication recorded the taped version of both stories which were presented to all of the subjects. Following the exposure to the text stimulus, three subjects remained in the room and the other three went into a similar room adjoining the first. Each subject was then matched up randomly with an interviewer who introduced the questioning as finding out about how they responded to the story, and the subjects were assured that the responses would not be evaluated as a test nor would anyone see the responses except the investigator. Each subject was then interviewed by the trained university student who followed an exact set of interview questions. Subjects responded to the questions orally.
Interviewers consisted of four graduate students in Reading who were participating in or had participated in a Reading Practicum and two undergraduate students who were currently enrolled in the investigator's Reading methods course. The interviewers participated in a training session with the investigator prior to the data collection which focused on how to converse with children both verbally and non-verbally, familiarizing interviewers with the questions, how to introduce the interview and how to handle subjects' questions during the interview. Interviewers were asked to introduce the questions in the same manner, to repeat but not rephrase questions for children who needed clarification and to use only the probe questions which were built into the interview, for example, "is there anything else you can add?" Probe questions were built into the interview in order to reduce the possibility of interviewers inserting their own idiosyncratic elicitation techniques. The interview was prefaced with the statement that the questions were not a test but a way of finding out how students respond to stories. All of the interviewers were women.

The second day at 1:00 p.m., the same six students were taken to the same room to hear and read the realistic short story selection. Following the reading, each student reported to the same room as on the previous day and was interviewed with the same set of questions by the same interviewer. The purpose for using the same interviewers for each
subject was to reduce the possibility of individual personalities affecting the responses. On the third day, six students were removed from their classrooms at 1:00 p.m. in the second fifth grade class. The same procedure was followed in administering the questionnaires in one large classroom. This group was presented with the realistic short story during the first session to make sure there was no effect due to the order in which the stories were presented. Following the reading and listening to the text, subjects were assigned randomly to the interviewers and three remained in the room and three others went to an adjoining classroom. The same interview procedure was used. On the following day, subjects responded at the same time, place and with the same interviewers to the fantasy short story.

At the junior high school, subjects were removed from two different classes. One group of six subjects participated in an 11:00 a.m. session on a Tuesday where they heard and read the fantasy story after filling in the same questionnaires as the fifth graders. Subjects were randomly assigned to the interviewers who followed the same procedure. Six subjects from a 1:00 p.m. English class were removed to a different room where they filled out questionnaires and responded to the realistic story. These subjects were also randomly assigned to interviewers. The same six subjects were drawn from each of their classrooms on Thursday at the same times and listened to and read the second text. The
data were collected on Tuesday and Thursday rather than on two consecutive days to accommodate the schedules of the two English teachers involved. One subject who was absent during one of the sessions participated in a make-up session on Friday of that same week. One subject was interviewed by two different interviewers due to the absence of the original interviewer. In addition, one subject was interviewed by the investigator due to the absence of another investigator. Despite these alterations, it was determined that the responses were still to be included as part of the data of the eighth grade sample.

One fifth grade and one eighth grade subject were eliminated from the sample due to inarticulate, poorly transcribed responses. A second fifth grade and a second eighth subject were eliminated due to changes in the interview questions made by one interviewer and one subject who did not return to school. Thus the sample consisted of ten fifth and ten eighth grade students.

During the initial completion of the questionnaires and the listening-reading of the text, the interviewers were not present in the room. The purpose of this was to lessen the effect of the subjects responding to the interviewer rather than to the text. The investigator was not in the room during the interviews to lessen the formality of the situation and to achieve a conversational type exchange rather than a formal procedure with the investigator looking on.
Subjects were encouraged not to interact with each other following the reading in order to avoid having them influence each other's responses. An effort was made to position subjects and interviewers far enough apart from each other to avoid hearing other people's responses.

**Instrumentation**

**Oral Responses**

Oral responses were favored as modes of expression over written responses because it was thought that composing ability in writing might introduce another variable—that the effort required to produce a literary text in response to a literary text might inhibit response or constrain it. The National Assessment for the study of literature invited students to respond to literature in both oral and written modes. Mellon (1975) summarized the difficulties of using written responses as not only putting the burden on students to compose but also asking them to engage in a verbalization process which might require instruction. Applebee (1973) observed that oral responses were lengthier and more prone to summarization than recalling specific details in the story. By using oral responses rather than written, it seems more likely that subjects would have more of an equal advantage and produce a more natural response. The effect of being evaluated might also be lessened if he were engaged in an interview rather than writing responses. The factor of time also entered in the choice of oral responses,
particularly in the junior high school where scheduling was rigid. The interviews lasted from five to ten minutes while composing a written answer may have required more time for subjects to formulate their responses.

Listening and Reading

The mode of presenting the literary stimulus was to have subjects listen to a taped recording of the stories while they read along in the text. The purposes of using this mode was two-fold. The practical reason was that this type of presentation is designed to reduce variance in the individual reading rates in order to equalize exposure time to the text as well as meeting the demands of the limited time allotted for working with subjects. Due to scheduling restrictions, particularly in the junior high school, the time frame was limited to one hour. This proved to be ample time for presenting the texts and conducting the interviews, however if individual reading rates had been involved, the time frame might have been inadequate.

Secondly, the combination of reading and listening was to have the effect of facilitating comprehension and thus lessening the effect of misunderstanding the text which might interfere with responding. Duker (1971) cites the Day and Beach survey of thirty-four studies comparing the relationships between reading and listening and one of the generalizations was that a combination of visual and auditory presentation of material leads to more efficient
comprehension than either reading or listening along. The recorder was selected on the basis of his communication ability and an even speech pattern which would not interfere with the story.

The Literary Stimuli

Fantasy and realism were used as the literary stimuli because it is likely that each makes a different demands on the reader. Realism invites the reader to link into a possible experience, one which resembles aspects of the actual world. Fantasy, on the other hand, asks the reader to "suspend disbelief" by accepting a world which is not plausible, one in which the characters or the setting have a supernatural quality, a world described by special vocabulary. Since the reading may make different demands, the response may also vary according to the type of text and the nature of the activity in which the reader was involved. It is conjectured in this study that because the texts make different demands on the reader, then, the responses to the texts may also reflect different choices and types of representations.

"The End of the Party" by Graham Greene is the realistic story stimulus and was taken from an anthology of stories for all ages entitled The Best of Both Worlds: An Anthology of Stories for All Ages compiled by Georgess McHague. The presentation of this story was twenty-five minutes. The fantasy selection was "The Sword" by Lloyd Alexander which
was part of a collection of tales written by Alexander in a book entitled *The Foundling and Other Tales of Prydain*. The story was seventeen minutes in length.

The setting for the fantasy story is the magical kingdom of Prydain where quests, forces of good and evil, magical swords and kings who must prove their worth are present. The vocabulary of the story is also special in that swords and scabbards, grievous deeds and apparitions appear as well as proper names such as Rhitta, Drynwyn and Amrys. King Rhitta inherits the sword, Drynwyn, whose inscription dictates that it must be used for noble purposes. When the King murders an innocent shepherd with it, he is visited by the shepherd's apparition which haunts him until the end of the story. The realistic story involves two twins from a wealthy English family who seem to be able to sense each other's thoughts and feelings. The twins attend a birthday party and play a game of hide and go seek in the dark. One twin who is desperately afraid of the dark experiences quite an ordeal. This story approaches the end of the continuum in Warlow's veracity scale which is psychological realism.

The Dale-Chall Readability Formula was used for determining the readability level of the two stories. Harris (1974) states that the Dale-Chall formula is the most highly favored one for determining readability in the middle and upper grades. Both stories had an average corrected grade
level of fifth grade and sixth grade (5.0 to 5.9). "The End of the Party" had a formula raw score of 5.5 while "The Sword" had a formula raw score of 5.9.

Inventories

Inventories were used in the study to assess the attitudes, habits and reading background of the subjects. Inventories were administered prior to the data collections and served the purpose of providing some information on what the reader brings to the text. The scores on the three measures were tabulated for each student and matched against responses to determine whether there was any relationship between prior knowledge of literature, reading interests and reading habits.

Assessing children's background in literature in order to get at the kind of reading experiences children have had is an important part of the study. One measure for surveying children's literary background was Huck's Taking Inventory of Children's Literary Background. The inventory is comprised of sixty multiple choice questions concerning the characters and events of selected Mother Goose rhymes, poetry, tales and fables, and modern stories. Chomsky (1972) cited this inventory as a good measure of reading which was correlated to linguistic stages of development. In considering the relationship of the amount and complexity of what children read to the rate of linguistic development, Chomsky found that the Huck Inventory was an excellent measure. Scores on the inventory were positively related to linguistic
stages—the higher the score on the inventory, the more developed is the child's linguistic stage. The inventory also related positively to other reading measures in the study including interviews and a book checklist. It was concluded that the Huck inventory serves as an excellent single measure of reading exposure related to linguistic stages. Results indicated that experiencing more complex language in reading does influence knowledge of language.

Purves (1973) developed several inventories for measuring students' reading interests and habits for use in his study on literature and education in ten countries. Two of the questionnaires were used in this study to assess reading interests and habits. The Attitude Questionnaire on interest and transfer of literature was comprised of twenty multiple response questions which included such items as matching up real people with characters in books or relating events in a story to real events as in the question "when you read a novel or a story, do you imagine that what is happening in the story takes place in some town or city that you have seen?" Other questions centered on the number of books read in the past year and reasons for choosing to read books, etc. A second survey asked students to indicate the frequency with which they read certain types of literature such as adventure, mystery, myths and legends, for example. In addition, the survey measured habits regarding television and reading the newspaper.
Purves (1973) found that the Interest and Transfer measure proved highly reliable as an instrument of measure in all of the countries except Iran and Finland. The Kuder-Richardson Formula 20 was used for testing reliability estimates and the inventories used proved to be generally reliable. Purves emphasized the significance of considering the influence of bringing literary experience to the rest of one's life and conversely bringing life experiences to bear on what one reads in a story. Though both questionnaires were completed, it was determined that the Interest and Transfer inventory provided more useful data for use here.

**Interview Questions**

Following exposure to the literary text, students were assigned randomly to interviewers who asked them specific questions to which they responded orally into a tape recorder. The first question was a general one designed to elicit the initial response to the story to indicate what subjects elected to say in a free response situation. The first question, "what would you like to say about the story?" was phrased so that children could respond in a number of different ways, that is, the phrasing was designed to avoid inviting particular responses such as evaluation, retelling, etc. Mellon (1975) in his review of the National Assessment in Literature discussed the use of a similar question for eliciting response: "what do you have to say about the story?"
The second task was a retelling task which was presented in the following way: "tell me all you can remember of what the story was about—I have never heard the story before." It was important to construct a situation in which the reteller believed he was telling the story to someone who had not heard it so he would attempt to reconstruct the text as completely as possible. Applebee (1978) asked the children in his interviews to "tell me about the story." This approach may not be as successful as one in which the child believes the interviewer has not heard the story before. Applebee did find in his preliminary interviews that wording of questions may bias responses toward retelling, for example, "write about your favorite story" could elicit a number of different types of responses. The retelling question was presented after the free response question because it seemed likely that if students were asked to focus first on the details of the story that this might interfere with a child's spontaneous, free response.

The third set of questions involved channeling questions which were designed to elicit certain types of responses such as evaluation, identification, interpretation and relationships with personal or literary experiences. Children were asked questions such as "what does the story make you think of?"; "how does the story make you feel?"; "what do you think of the story?"; "what did you especially notice in the story?"; and "does the story remind you of others you've read?"
As these questions cue certain types of responses, it was more effective to place them at the end of the interview as the channeling may have affected the free or retelling responses. Meyer (1975) used cued recall as the third task in her study on the organization of the text and its effect on memory to ascertain whether incomplete recall was a result of retrieval or whether the details were not in long term memory. The cued recall, then, helped to elicit information not presented in the free recall. The channeling questions in the third task of this study were directed toward inviting responses not stated in the free response. Since respondents would probably contribute more if probing questions were asked, each of the questions in the study had a built in probing question. For example, after a subject had responded to the initial question "what does the story make you think of?", the second question "is there anything else it makes you think of?" was asked. Subjects in many cases added more responses when the probing questions were presented. The time required for the interviews ranged on the whole between five and ten minutes. Following each interview, the subjects returned to their regular classes.

Analysis of Data

Taped interviews were transcribed into written protocols and punctuation was inserted by the investigator. Response statements were analyzed by classifying them according to categories developed in the schema. Free responses and
channeled responses were analyzed by using a model developed by the investigator which considered responses in terms of the type of discourse used and the underlying cognitive operations employed; at the center of the model is the relationship between the reader and the text. Thus the model was developed in an attempt to explain some important cognitive and linguistic elements which are apparent in response and which indicate how individuals use language to shape experience.

A second portion of the analysis involves an assessment of the amount and nature of the self and text which appears in the response. For example, if a subject talks about a personal experience, then this is a self-oriented response but if the focus is on interpreting the text, the response is text oriented. There can be a combination of self-text and text-self responses, however, and this is the most likely type of response. The responses can be analyzed in terms of the quantity or quality of self or text in the response or degrees of subjective or objective responses and which is the primary focus of the response across grade level and across texts. This analysis is termed as patterns of references.

The third type of analysis involves the recall response. Texts were analyzed in terms of their semantic structure by abstracting central propositions and structural elements which represent the core of the story. Since the stories
are comprised of many details and fairly complicated structures, only those elements which are central to the story development were abstracted. Recall responses were analyzed to determine whether the central structural and semantic elements were present. Thus a sort of matching between the text and the reconstructing of the text was undertaken.

**Statistical Analysis**

Statistical analysis was used to obtain a frequency distribution of the types of responses produced. Frequencies were obtained for descriptive purposes to determine the proportion of types of responses across grades and texts for the open ended and channeling questions. The purpose for using frequencies, then, was in order to get a sense of the patterns of responses.

**Summary of Method**

Subjects who demonstrated verbal ability on a language test were identified at two grade levels. Subjects read and listened to realistic and fantasy stories and responded to open ended, channeling and recall questions posed by trained interviewers in a taped session. Oral responses to the questions comprised the response data used as evidence in the study.
CHAPTER FOUR
A SCHEMA FOR ANALYSIS

Introduction

The purpose of this study was to develop a framework for analyzing the nature of response to literature and to explore the responses of fifth and eighth graders across texts within this perspective. By studying readers' responses, we can assess the kinds of discourse used in response and infer from the language structure, the underlying cognitive operations. One principal component of this schema for analysis, then, is to explain the levels of discourse and underlying thinking which characterizes the response.

The schema, in addition to looking at the language and thinking involved in response, considers how the reader links into the text, that is what textual elements appear in the response. This linking into the text is exemplified by examining the patterns of references apparent in the response. For example, a response may reflect an endophoric reference in which the individual links directly into the text referring back to the text. The reference may also be exophoric in that a respondent will link into his own personal experiences or to experiences in the world such as other texts or events. The kinds of references the reader
makes reflects the features of the reading experience which he considers to be the most salient.

Another component of the schema which further explains how the reader links into the text is the recall response. By considering how the individual has reconstructed the text, we can infer what structural aspects have guided him in retelling the story. In matching the structure of the text with the story structure apparent in recall, it was possible to see the parallel between central story propositions in the text and those that appear in the recall.

The model for analyzing response to literature explains the nature of response by examining the kinds of links the reader has made with the text, the kinds of discourse and thinking apparent in the representation of the experience and how the text is reconstructed in recall. With this model, then, the nature of text and reader, the interaction between text and reader and how experience is represented can be further explored. The schema for analyzing open and channeled responses includes aspects of the schemas developed by Britton (1971), Moffett (1968), Purves and Rippere (1968) and Frye (1964). By synthesizing these four studies, the schema developed in this investigation explains a broader range of variables including: the function or purpose of language; the thinking underlying language; and the relationship of the reader to the text. In addition, the schema considers response in terms of the patterns of
such as the amount of "self" and "text" which appear in the responses. By viewing responses as they vary across age and text, it becomes apparent that the nature of what the reader brings to the language structure of the text is an important dimension in response to literature.

In this chapter, the sections include: a description of the schema for analyzing open and channeled responses in terms of levels of discourse and patterns of reference and an examination of the story structures apparent in the fantasy and realistic texts.

**Levels of Discourse**

There are four levels of discourse in the schema, each reflecting a different purpose for using language. An utterance may function as expression, report, exposition or construct. Underlying each level of discourse is a general cognitive operation which can be inferred from the response. In any uttered response, it is clear that an individual may shift to different levels of discourse as well as engage in a number of cognitive operations. It is, however, evident that a predominant level of discourse and cognitive operation is discernible in any given response. In this section, the levels of discourse and underlying cognitive operations will be discussed.

**Level of Expression**

At the expression level of discourse, the purpose of the utterance is to reveal the self. The individual having
participated in a virtual experience, shapes the experience with language used to reflect his personal involvement or engagement. The respondent indicates the nature and intensity of his involvement with the story through his language. The purpose of this response is primarily one of establishing a link between the self and the text. The language, then, is that of self-expression and the underlying cognitive activity is association.

Expressive responses may be further categorized to determine how the individual uses discourse to empathize, identify or relate to the characters, events and meaning of the story or to reveal a value system by pronouncing a moral judgment on how one should behave. An empathetic response would be exemplified by a child who said he felt sorry for one of the characters or sad about what happened to a character. A response reflecting identification with the story is one in which the speaker establishes a relationship with some aspect of the story such as sharing the character's fear of the dark. Finally, an expressive response revealing the individual's moral values is suggested by a pronouncement that "you should never lie or break promises." The Expressive level of discourse serves the function of revealing how the self relates to the experience and though association is a principal cognitive operation, it is largely affective in nature.
Level of Report

The Report level of discourse involves the individual's attempt to reconstruct the past experience, to recapture the structure and the content of the text. The focus at this level is on the substance and structure of the experience itself. From the report of the speaker, we can infer that he is engaged in the underlying cognitive operation of recalling a past event. The language user selects salient features from the story and sets them in a sequential or chronological framework. Attention is directed toward recreating the significant features of the experience. Reporting may involve the reconstruction of a past event in a summary format or in a closer approximation of the details of the text.

What the recall data reveals is that which the speaker has chosen as a salient aspect of the text to articulate; recall data is not representative of what the reader knows about the text because he often knows more than he includes in the retelling. The respondent may select components of the text's structure or content to include in his recall. In responding to a question, the subject may offer a summary of events of the story, or recall a particular event which made an impression on him. Often an event is recalled in order to support a general statement about the text which will be apparent in the chapter on the analysis of data.
Level of Exposition

At the Exposition level of discourse, the purpose of using language is to explain "what happens," to make generalizations about the virtual experience. The respondent looking back on the experience, then, seeks to represent it in general terms. Underlying this level of discourse are three cognitive operations which may be inferred, including classification, interpretation and evaluation. Bloom et al (1956) developed a taxonomy of educational objectives which described six cognitive behaviors reflecting a development from simple or concrete to complex and abstract. Three of the cognitive operations developed in this schema reflect elements in the Bloom taxonomy. Classification, for example, is part of the first behavior--Knowledge--and reflects the individual's ability to structure and systemmatize experience such as demonstrating familiarity with categories of literature. Interpretation is a part of the second behavior--Comprehension--and involves the ability to abstract generalizations and to get at the meaning and intent of the material. Evaluation is the sixth cognitive behavior which connotes the ability to use criteria to judge the value of the experience. Based upon other studies of students' responses to literature, it was determined that classification, interpretation and evaluation are three principal cognitive operations apparent in response at the exposition level. Following are brief definitions of the three cognitive operations:
Classification- the text is used as an example of a more general category of literature or life experience. At this level, the purpose is to go beyond the text to make some larger sense of the work by relating it to the world. A statement reflecting this is "the story is like many Science Fiction tales I've read."

Interpretation- a coming to terms with the meaning or import of the work. The respondent seeks to explain the significance of the work either in terms of its theme such as "the story is about alienation" or in terms of its moral as in the story suggested that "lying will catch up with you." Interpretation involves considering the thought of the total work.

Evaluation- an assessment or critical judgment of the quality or value of the work. The respondent may evaluate this work according to general characteristics such as interesting, enjoyable, difficult, etc., and support the judgment with a reason such as "the story is interesting because of its style and the way the characters are developed." A distinction should be made between an opinion or quick reaction and an evaluative statement which involves a critical judgment.

Level of Construct

The fourth level of discourse includes two different types of verbal constructs. In the theoretic construct, the individual hypothesizes about a possible principle in the world.
In the poetic construct, the speaker or writer creates a possible world—a virtual experience. In both of these constructs, the form or structure imposed upon the message is of crucial importance. To present a possible theory, the construct must reflect the form of scientific argument with hypotheses, examples and proofs. To present a possible world, the construct must reflect certain "poetic" conventions so that the import is manifested through its form. While this level of discourse is important in a total model for analyzing responses, it is of less significance in this study as the responses of fifth and eighth graders will probably not achieve the construct level due to the ages involved as well as the structure of the questions in the interview.

The four levels of discourse and the underlying cognitive activities help to focus on the nature of response in terms of the encoder of the experience who attempts to shape the experience through his representation of it. If the levels are seen on a continuum, the content of the text or experience is most significant at the expressive and recall levels. At the exposition level, the individual seeks to generalize and discover relationships so that content and structure work together to create meaning. At the construct level, the form or structure of the message is of central importance. Several different shifts are apparent along the continuum. There is a shift in the topic of the
discourse from the self to the content of the text and then to the form of the text. Not only is a shift from the informal (self) to formal (structure) apparent but there is also a gradual increase of distance from the audience, from a limited, personal audience to a formal, distant audience. It would seem evident that a sort of hierarchy exists in cognitive activity and discourse structure as we move along the continuum toward developing more complex forms of thought and language. A representation of the four levels of discourse and the underlying cognitive operations is represented in Table 1.

### TABLE 1

LEVELS OF DISCOURSE AND COGNITIVE OPERATIONS

<table>
<thead>
<tr>
<th>Level of Discourse</th>
<th>Cognitive Operation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Expression</td>
<td>Engagement-Involvement</td>
</tr>
<tr>
<td></td>
<td>Empathize</td>
</tr>
<tr>
<td></td>
<td>Identify</td>
</tr>
<tr>
<td></td>
<td>Moralsize</td>
</tr>
<tr>
<td>Report</td>
<td>Recall</td>
</tr>
<tr>
<td></td>
<td>Summarize</td>
</tr>
<tr>
<td>Exposition</td>
<td>Generalization</td>
</tr>
<tr>
<td></td>
<td>Classify</td>
</tr>
<tr>
<td></td>
<td>Interpret</td>
</tr>
<tr>
<td></td>
<td>Evaluate</td>
</tr>
<tr>
<td>Construct</td>
<td>Poetic</td>
</tr>
<tr>
<td></td>
<td>Theoretic</td>
</tr>
</tbody>
</table>
Patterns of Reference

The individual responds to literature by linking into the text in several different ways. At any level of discourse, he may refine or further develop his responses by supporting them with references to himself, the world or the text. Reference according to Halliday and Hasan (1976) is a type of cohesion in which the information for retrieval is the identity of that which is referred to. References may be either exophoric or situational, referring to something outside the text or endophoric which includes references to something within the text or textual. These terms are used by Halliday and Hasan in a more narrow sense for the purpose of analyzing linguistic elements of a text which determine the cohesion of the text. For the purposes of this study, the terms of reference will be used in a much broader sense to determine whether subjects refer to textual elements in their responses--endophoric references--or elements outside the text such as personal or world references--exophoric references.

Exophoric references, then, may have two subdivisions. The first is reference to the self such as personal experiences in which the individual links the text in with his own life which parallels an event in the story. A second type of exophoric reference is the link into the world, that is, a respondent might relate the text to "a time long ago" or to another story or class of stories he has heard before.
The exophoric response is one in which the respondent moves outward from the text toward something separate from the text yet still generated by reading the text.

Endophoric or textual references are those in which the individual goes back to draw upon or link into the text for his response. Textual references reflect allusions to semantic components of the text such as isolating certain structural components of the text which includes references to style, vocabulary, comprehensibility and format. References also focus back on the text as the individual links into the content of the text by isolating certain events, interpreting meaning, evaluating or classifying the text or analyzing characters. The patterns of references are depicted in Table 2.

**TABLE 2**

**PATTERNS OF REFERENCE**

<table>
<thead>
<tr>
<th>Exophoric</th>
<th>Endophoric</th>
</tr>
</thead>
<tbody>
<tr>
<td>Self</td>
<td>Content</td>
</tr>
<tr>
<td>Personal</td>
<td>Events</td>
</tr>
<tr>
<td>Experiences</td>
<td>Characters</td>
</tr>
<tr>
<td>Content</td>
<td>States</td>
</tr>
<tr>
<td></td>
<td>Reactions</td>
</tr>
<tr>
<td>World</td>
<td>Structure</td>
</tr>
<tr>
<td>Comparison to</td>
<td>Style</td>
</tr>
<tr>
<td>other texts</td>
<td>Lexicon</td>
</tr>
<tr>
<td>Comparison to</td>
<td>Format</td>
</tr>
<tr>
<td>life</td>
<td></td>
</tr>
</tbody>
</table>
The open ended responses and the channeled responses were analyzed according to the level of discourse, the underlying cognitive operation and the patterns of references. By using this model for analysis, it was possible to determine the kinds of patterns evident in responses across texts and grade levels. It was apparent that responses reflect certain ways the reader links into the text and provide evidence on what the reader brings away from the text as well as how the experience is shaped through language.

Schema for Analyzing Recall

Introduction

In order to analyze the recall responses of subjects, it was important to first consider the structure apparent in the text. A structure is loosely defined as an arrangement of propositions in a hierarchy. Those propositions which represent the basic nodes of the story are central propositions which are higher up in the hierarchy. The basic nodes reflect the setting and principal event structure of the story. The stories are comprised of a series of episodes which may include events, states and reactions. Episodes comprise the Beginning, Development and Resolution of the story and reflect one or more goal attempts and outcomes. Reactions to events may be internal as in the case of the character thinking about something, or external in which the character reacts in an overt manner. An outline of a general story structure is as follows:
Setting = Time
   Place
   Characters
   Event or State

Beginning = State
   Event
   Reaction (external or internal)

Development = State
   Event
   Reaction (external or internal)

Resolution = State
   Event
   Reaction (external or internal)

This outline suggests an arrangement of possible elements but the particular elements and their order will vary across stories in terms of the distribution of events, states and reactions. The skeletal story structure will probably include a Setting, Beginning, Development and Resolution for most stories. The structural elements which are a part of this schema for analysis are based on the story grammar studies of Rumelhart (1975), Mandler and Johnson (1977) and Thorndyke (1977) though these grammars were designed for simple stories.

This section includes a structural analysis of "The Sword" and "The End of the Party" to determine the central propositions and their linear arrangement. The central
propositions have been abstracted from the stories and are represented in terms of their function in the story structure. In the analysis of the recall protocols of subjects, the story schemas abstracted in this section were matched to the schemas represented in the recall responses to determine how the reader reconstructed the story—what the reader considered as salient in the story.

**Structure of "The Sword"

"The Sword" or the fantasy short story consists of the Setting which is comprised of a state and an event. The Beginning includes an event and a reaction and the Development consists of six episodes including goal attempts and outcome, states, events and reactions. The Resolution includes several states and events. The story is a complex one in that there is a supernatural element which is a ghost who visits the King periodically to remind him of his wrongdoings and the visit promotes either internal or external reactions from the King, thus the ghost serves as a catalyst for the King's behavior. The ghost's appearances have been classified as a state since the King is the only one who sees the ghost.

The King, in the early development of the story, interprets the ghost's visits as an omen of treachery in his subjects and his goal becomes one of stamping out the rebels by killing many of his people. The outcome of the goal attempt is that the state of the bloodstained sword and
the ghost's visits become intensified driving the King into hiding in the recesses of his castle to escape. The resolution of the story involves the poetic justice notion that the King is destroyed by the very sword he has so ignobly used. The central propositions of the story as they appear within the Setting and the Event Structure are as follows:

**Setting**

State= Time- long ago  
Place- Kingdom of Prydain  
Characters- King Rhitta; Shepherd Amyrs  
Event= King inherits enchanted sword, Dyrmwyn

**Event Structure**

**Episode 1:** Event= King tramples shepherd's fence  
Beginning Reaction(e)= King promises to mend fence

**Episode 2:** Event= Shepherd reminds King of promise  
Develop- ment Reaction(i)= King angers

**Episode 3:** Event= Shepherd reminds King of promise  
Reaction(e)= King slays shepherd  
Reaction(e)= King's councillors convince him the murder was justified

**Episode 4:** Event= King orders shepherd's family compensated  
State= bloodstain appears on Dyrmwyn  
Reaction(e)= King takes shepherd's land since there are no kinsmen

**Episode 5:** Event= King banishes war lord after disagreement over land
State= stain on sword darkens and spreads
Reaction(e)= nobles rise against King

Goal

Attempt

State= stain spreads further
Reaction(i)= Rhitta believes Amyrs is omen of treachery

Episode 6: Event= King commands war band to assemble at dawn to kill noblemen's kinsmen
State= Amyrs appears but Rhitta unable to draw sword
Event= war leader announces killing of kinsmen
State= sword turns black
State= shepherd appears, weeping

Outcome
Event= war band kills friends of kinsmen

Episode 7: Event= King commands underground chambers be built
Event= spiral castle is built
Event= King hides in recesses

Episode 8: State= bleeding shepherd appears in chamber
Resolution
Event= Rhitta draws sword, hands won't unclench, sword blazes
Event= burst of flame fills chamber killing King and guards
State= no one can find the King in the labyrinth
State= only the shepherd grieves the King's death

In the fantasy story, there is a Setting consisting of a state and event. There is also an event structure which
is comprised of one event and reaction in the Beginning, six episodes in the Development and one episode in the Resolution. Each of the episodes is characterized by the changing states of the ghost's reappearance and the growth of the bloodstain on the sword, both intensifying as the King's killing of his subjects increases.

Structure of "The End of the Party"

"The End of the Party" consists of a Setting, which includes two states, one dealing with the time and space of the story, the other referring to a portent of things to come. The Event Structure includes a Beginning with an event and state, a Development with four episodes comprised of states, events and reactions and a Resolution with an event and a state. The story centers around a young child's fear of the dark and his repeated goal attempts to avoid being in the dark during a game of hide and go seek. As the child's fear mounts, his twin brother senses his fright and tries to help him to deal with the situation. Various portents of the inevitable end appear in the story so that the sensitive reader can predict the outcome of the boy's confrontation with the dark and the unfortunate results.

The mood of the story is dominant and the events and external reactions become a backdrop to the internal reactions of the twins. The story would be at the realistic end of the continuum ranging from fantasy to realism as it exemplifies psychological realism by focusing on the character's
attempt to resolve an internal conflict. The structure of the story in terms of the Setting and Event Structure is outlined in the following:

**Setting**

*State* = Time- present, January 5  
*Place* = England  
*Characters* - Twins Peter and Frances Morton  
Mrs. Henne-Falcon; nurse  
*State* = bad dream; shadow of bird heralding death

**Event Structure**

**Episode 1**: Event = Frances' pretense of a cold to avoid party  
*Goal*  
*Attempt* = Frances' dread of party intensifies  
*Beginning*

**Episode 2**: Event = arrival at Mrs. Henne-Falcon's children's party  
*Development*  
Event = engaging in programme of entertainment  
Event = tea at 5:00 p.m.  
*State* = Frances' fear of hide and seek mounting

**Episode 3**: Event = announcement of hide and seek in the dark  
*Goal*  
*Attempt* = Frances' plea that his nurse was coming so he shouldn't play  
*Reaction(e)* = Mrs. Henne-Falcon dismisses excuse

**Episode 4**: Event = Peter tells of his brother's fear to help him out  
*Goal*  
*Attempt* = Children's chorus of calling Frances cowardly  
*Reaction(e)* = Frances says of course he'll play

**Episode 5**: Event = lights turned out and everyone hides  
*Event* = Peter seeks Frances to comfort him in dark
Outcome State= Frances is crouched in a corner with hands over ears and eyes shut tightly

Episode 6: Event= Peter reaches out and touches Frances' face
Reaction(e)= Frances dies from fright

Event= unknowing, Peter clutches Frances' hand to comfort him

Episode 7: Event= lights turned on; Mrs. Henne-falcon screams as she sees Frances dead
Resolution State= Peter's puzzled grief as the pulse of fear beat on after Frances' death

The realistic story has an Event Structure surrounding one principal event--playing hide and seek in the dark--and one main state--a child's fear of the dark and his inability to confront his fear. When the state and event come together, the child is unable to handle the fear which ironically, his brother helps to intensify in his attempts to assist his frightened brother.

Summary
The fantasy story and the realistic story have been analyzed according to the principal propositions which characterize the structure of the stories. A schema for analyzing recall of stories accounts for components of structure apparent in the response by scoring the protocols on the presence or absence of central propositions. The major question is how much of the story structure appears in the recall response. In reconstructing the story during retelling, does the respondent center on goal attempts and outcomes, internal or external reactions or sequences of events?
Which elements in the story structure are more salient across ages and texts and are elements in certain sections, such as the Beginning, Development or Resolution recalled more than others. In the next chapter, the recall responses are analyzed according to the structure presented in this chapter.
CHAPTER FIVE
ANALYSIS OF DATA

Introduction

The purpose of this study was to develop a schema for exploring the nature of responses to literature and to apply the schema across fifth and eight graders' responses to two different kinds of texts. The analysis of responses focused on determining the discourse level of response, the underlying cognitive operation, the type of reference or link made by the respondent, and the story structure which appears in the recall. In addition, questionnaire responses were scored to assess the literary background, reading interests and reading habits of the subjects and to determine whether any relationship existed between the scores and the type of responses produced.

This chapter is divided into the following sections: first is an analysis of responses to the open ended questions followed by an analysis of the responses to the channeling and recall questions. In the last section, the results of the questionnaire data are considered. In the interview, the channeling questions followed the recall task but the order is reversed for analysis purposes as the same schema is used to analyze open ended and channeling questions while a different schema is used for analyzing recall data.
Analysis of Open Ended Responses

The first question asked of all students following each exposure to the text was "what would you like to say about the story?" This question was designed to invite a variety of responses and it was surmised that responses would reflect the subject's natural preference for response, that is, did he tend to move toward a statement about his own relationship with the text or toward an analysis of the text, for example.

The responses across ages and texts yielded one principal pattern at the level of discourse. The majority of subjects responded by offering a brief evaluative statement about the story. Often subjects would initially state that the story was interesting, good, hard, etc. Some subjects gave no further response than these initial descriptive terms. Since this kind of response did not indicate a particular cognitive operation but rather appeared as an automatic reaction, they were termed as non-classifiable responses. If a subject supported the initial statement by providing some sort of reason for his initial reaction, then the response was considered to be at the exposition-generalization level of discourse.

Responses to the Stories

Fifth grade subjects primarily stated that both stories were either "good, nice or interesting." Other responses to the fantasy story included one subject who
said she did not understand the story and another who commented that it was hard and one subject provided a moral judgment about the King's behavior. In response to the realistic story, one fifth grader commented that "it was scary" while two others gave a very brief summary statement of what the story was about.

The majority of the fifth graders provided a supporting statement for their evaluation which was reflected in the type of reference they used. In responding to "The Sword" one fifth grader used an exophoric reference to compare the story to one she had heard before: "it's interesting, I've heard something like it before." Another subject compared it to a story you would hear from a long time ago" and one subject said "it told about a long time ago." Two subjects referred back to the story's style for their supporting statements by suggesting that "it was written pretty well" or that it would be "better for eighth or seventh graders if this is part of a book." One subject linked into the content of the text by recalling the incident of the "king wrecking the fence." Another subject interpreted the story as having "told a moral." The responses of the fifth grade subjects to the fantasy short story, then, were generally evaluative statements at the exposition level of discourse with both exophoric and endophoric references.
In the responses of fifth graders to the realistic short story, the same pattern of presenting an evaluative statement supported by various references was evident. Subjects remarked that the story was either "scary, nice interesting or good." Patterns of reference varied somewhat in this story in that more endophoric references to the content of the story were apparent. Following the evaluative statement, for example, three subjects referred to the closeness of the brothers. Two subjects compared the text to others they had read and three confined their responses to recall in the form of summary statements of the content. One child indicated that the story was "nice" because "it meant something to me because the brothers were close."

The patterns of response, then, were generally evaluative at the exposition level of discourse with a mixture of exophoric and endophoric references.

The eighth graders revealed a similar pattern of responses in terms of the initial evaluative statement but there were some differences in the patterns of references. Responses to the open question included descriptors such as it was "good, hard, weird, stupid, neat and interesting" to describe the fantasy short story. Four of the responses were expressive in stating how the reader felt about the story such as "I thought it was interesting."

Patterns of reference for the short story included four endophoric references to specific aspects of the content.
Two of the responses concerned interpretation of the meaning or the moral implications of the work such as it was about "greed" and it taught "a moral on lying." Two other endophoric references alluded to the vocabulary of the story as either contributing to making it "hard" or that it used "good adjectives." A further comment by the subject who referred to the adjectives was a suggestion that the story needed "more characters." The responses to the fantasy story were primarily at the exposition level and evaluative and all of the references were endophoric as the subjects supported their generalizations with references back to the text.

The eighth graders' responses to the realistic short story also reflected evaluative statements supported by various patterns of reference. Comments about the story included descriptive terms such as "interesting, confusing, strange, weird and hard." Three subjects expressed their general feeling about the story stating "I thought it was hard, good or strange." Patterns of reference were again primarily endophoric with three subjects referring to the specific events in the story. Two subjects commented on the interpretation of the story and one on the difficulty of trying to interpret. A more difficult response to classify was one girl's response that the story was "nice if you like parties." This response would be closest to an exophoric reference relating to a notion of parties in general. Two subjects commented on the structure of the story, one
remarking that "the story came together at the end" and
the other stating that she would like to read the book. The
responses to the realistic story were primarily at the exposi-
tion level of discourse with evaluative thinking and a major-
ity of endophoric references.

Summary

The open ended question did not invite a variety of
extended responses as expected. Most of the responses
appeared to be automatic reactions not requiring much deliber-
ation. This type of response may have been a result of its
being the first in the interview and perhaps the subjects
were uncomfortable initially. Another possibility is that
this question requires a period of time for reflection which
was not provided for in the interview. Reading is a private
act and the first question in the interview required the
subject to make the experience public immediately following
the experience. Subjects across grade levels and across
texts responded with flat descriptors such as strange, good,
hard, etc. Some of the subjects did not go beyond this
indicating that they were not evaluating the text but rather
giving a quick, automatic response. Other subjects contri-
buted a reason supporting their judgment by referring to
a specific aspect of the text either its content or the
language. Most of the responses had a sameness about
them without much variation in the generalizations and
supporting references. Responses to the open ended
questions are represented in Table 3.
TABLE 3
RESPONSES TO THE OPEN ENDED QUESTION

<table>
<thead>
<tr>
<th>Discourse Level</th>
<th>Cognitive Operation</th>
<th>Reference</th>
<th>N/C</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 2 3</td>
<td>Em Id V Cl In Ev</td>
<td>End Ex</td>
<td></td>
</tr>
</tbody>
</table>

Fantasy
Fifth Graders
8 1 7 3 2
Eighth Graders
4 5 5 8 1

Realism
Fifth Graders
2 2 5 2 5 3 3 1
Eighth Graders
3 5 3 5 6 2 2

Key for Abbreviations

Discourse levels:
1 - Expressive 2 - Report 3 - Exposition

Cognitive Operations:
Em - Empathy  Id - Identification  V - Value
Cl - Classification In - Interpretation
Ev - Evaluation

References:
End - Endophoric  Ex - Exophoric
Non-Classifiable - N/C
Analysis of Channeled Responses

While the five channeling questions followed the retelling task in the interview, the analysis is placed here because the same model for analysis of the open ended question was applied to this data. Subjects were asked five questions:

What does the story make you think of?
How does the story make you feel?
What do you think of the story?
What did you especially notice in the story?
Does the story remind you of any others you've read?

The first two questions were designed to elicit a personal association responses and thus focused on the self. The third question invited an evaluative response while the fourth question refocused the subject's attention on specific aspects of the text to elicit an interpretive response. The last question asked the subject to think about literature as a whole by comparing it to other stories he had read, thus providing an opportunity to display his knowledge of literary conventions.

In analyzing the responses, a code of abbreviations for classifying responses is employed. In this section, one or two responses were used to illustrate the schema for analysis. The other responses are either classified in Appendix A or analyzed in the section on the case studies. Responses are classified according to each of the five questions.
What does the story make you think of?

In responding to the fantasy short story, fifth graders were primarily reflecting the third level of discourse, the exposition level. Six of the eight responses were interpretive involving a judgment of the King's behavior and two examples of this type of response are:

3-In/End  5-how people they just won't trust anybody; they won't really believe it until it's too late for them to change what they've done.

10-keeping your word to somebody else and not just saying something and not doing it just because you can, like that King he was ruler of everybody and he could say something and not do it and that's what the story reminded me of.

Three of the level three responses were classificatory in that the references were comparisons to other times or other stories:

3-Cl/Ex  2-a story that you would hear a long time ago when there were still Kings ruling everyplace.

7-like back a long time ago about Kings when there was Kings and big castles and stuff; there was like Kings had these people for them to do things for them like servants.

One response was expressive and reflected the subject's statement of her relationship to the story:

1-Id/Ex  8-I wouldn't like to see the way the King is or the man.

One expressive response involved a value judgment concerning the King's behavior:

1-V/Ex  5-well, people should be more careful about keeping their promises.
Eighth graders' responses to the fantasy story were interpretive, comparisons of the story to other times and texts and statements reflecting value judgments. Examples of the interpretive responses included:

3-In/End  7-just showed the King and the King kept trying to kill all those people and it just showed it didn't get him anywhere.

10-real selfish, greedy person who doesn't want to do anything only things for himself.

Classificatory responses which referred to other literature included:

3-Cl/Ex  1-fairy tales, like those old stories like the Romans and it's sort of like a fable that teaches us a lesson.

9-old times when people had fears of something they did wrong and didn't want to accept the reality.

Statements reflecting subjects' own value system were:

1-V/Ex  5-The King shouldn't have been mean to the shepherd cause one mean thing can lead to another mean thing.

6-you shouldn't be that way--think you're too good for everybody; you shouldn't really lie to people and tell them you're going to do something and not do it--you should do it if you tell them you're going to do it.

The fifth graders' responses to the realistic story included six comments reflecting children's identification with the story and all were exophoric, referring back to the self and personal experiences:

1-Id/Ex  1-it makes me think of one of the ghost stories we tell at slumber parties.
7-like at night when you're watching scary movies.

Two other responses were expressive, revealing the subjects' sense of values and one included:

1-V/Ex 8-you shouldn't be afraid of the dark just because you had a dream but maybe in the boy's case I guess he just believed that he was dead so he was just afraid.

Two responses were interpretive and endophoric referring to the theme of the work:

3-In/End 9-someone who fears the dark and how much he fears it.

10-being afraid of the dark and not wanting to go to a party cause you're scared.

The eighth graders' responses to the realistic story involved expressive, classificatory and interpretive responses. The three expressive included two identification responses and one value response:

1-Id/Ex 6-It makes me think of my little brother who turns on the light when he comes in like I said before it makes me mad but there is nothing you can do; it's more or less our fault cause we scare him and all.

1-V/Ex 10-little boy that should be told there's nothing to be afraid of in the dark.

Three responses referred to other texts or categories:

3-Cl/Ex 1-sort of like one of those terror movies, those stories that symbolize evil sort of like a bat--I think it was a nightmare that came true; it started with a dream mostly and then something happened after that to make it come true.

7-ESP
Interpretive responses included the following examples:

3-In/End 5-closeness of twins; like the way somebody can just die of fright.

6-how the two brothers --really how the other brother really loved the other brother enough to sacrifice his well being to help his other brother; I liked that, that was nice.

Summary

In considering subjects' responses to the question "what does the story make you think of?" the differences at the cognitive operation level and the reference level were more significant across text than across age. At the discourse level, age and text influenced responses. The frequency distribution of responses is represented in the following table. The number in parentheses indicates the number of subjects and is included in the table if it is not in agreement with the number of responses. This indicates that one subject had more than one response. In the following table, three fifth graders had two classifiable statements each representing two different categories and four eighth graders had two classifiable statements each representing two different categories.

The frequency of responses of fifth and eighth graders to the fantasy story is presented in Table 4 as are frequency of responses of fifth and eighth graders to the realistic story.
TABLE 4
RESPONSES TO: WHAT DOES THE STORY MAKE YOU THINK OF?

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<td>Eighth Graders</td>
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<td>3 7 1</td>
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This question was designed to elicit association responses of subjects to determine what kinds of relationships the reader established with the text. For example, subjects might think of an experience in their own lives or in the world or the text might generate some thoughts about theme.

Responses at the discourse level provided the most interesting differences. First, the majority of fifth graders' responses to the realistic text were expressive while the majority of eighth graders' responses were at the exposition level. Second, the fifth graders had more expressive responses to the realistic story and more exposition
level responses to the fantasy story. While expressive responses to both stories were equal for the eighth graders, they had almost twice as many exposition level responses for the fantasy story than the realistic story. Other differences were observed at the cognitive level where there were more identification responses at both grade levels for the realistic story, more interpretive responses to the fantasy story and more classificatory responses for the fantasy. The patterns of reference reflected twice as many endophoric references for the fantasy story at both grade levels.

How does the story make you feel?

In response to the fantasy story, nine of the ten responses of fifth graders were expressive and reflected empathizing, identifying and moral judgment. Empathetic responses included:

1-Em/Ex  5-sort of sad that he had to force that kind of death on himself by forgetting his promise.

8-very sad for the man.

Responses revealing the subjects' values included:

1-V/Ex  6-you shouldn't go back on your word--I never did but keep never going back on your word.

10-like I should keep my word if I tell somebody I'd do something I should just keep my word to be truthful and not just say something that you're not really going to do that you should keep your word and stuff.

Identification responses included the following examples:

1-Id/Ex  1-well, if I was the King, I'd feel ashamed...
5-sort of bad that I don't keep all of my promises.

In the responses of the eighth graders, six responses to the fantasy reflected expressive responses of empathy and value judgments. Two responses were exophoric referring to other times and one was interpretive. Empathetic responses included:

1-Em/Ex 4-I felt sorry for the shepherd really cause you know the King had promised him that he would fix it and he didn't and he was killed.

10-sorry for the King because he died and he really didn't have any friends and he was a loner.

Responses which reflected the subjects' values were:

1-V/Ex 5-you really don't get ahead by being greedy and stuff like that--you really fall far behind.

6-It makes you think a little before you do things--before you tell somebody you're going to do it and you should make a time to do it and not forget about it like he did.

One response was a recall of some of the events in the story:

2/End 6-gross--this guy running around and he's all bloody and all and sort of weird because it gives you a funny feeling about how that guy got into his quarters and his guards fell asleep sort of like he's the victim of circumstances, his guards fell asleep and I'm not sure he was in the big castle under the ground and all so I don't see how the guy could have gotten in either how he could have gotten into the underground passages.

Three responses compared the story to other worlds and texts:

3-Cl/Ex 9-all the Kings for years and how he tried to do his best to save his kingdom but he couldn't--he just did more wrong.
In response to the realistic story, most of the fifth graders' responses were expressive, reflecting empathizing, identification and moral judgments. Identification responses included the following:

1-Id/Ex 9-rather I suppose in his place or I could picture him like that when the people teased him I could picture what happened.

10-just like Frances did, kind of scared of the dark and if I was afraid of the dark, I wouldn't want to go either but Frances did so and he'd played the game so now he's not scared anymore.

One response was endophoric referring to the story's structure:

3-Ev/End 1-it's sort of weird cause it doesn't tell everything and it makes me feel sort of confused too.

Empathetic responses were:

1-Em/Ex 6-well it makes me feel kind of sad for that guy cause he told him that he didn't really want to play his older brother did and they started calling him a coward so it made me feel kind of sad that he died playing hide and go seek.

8-I guess it makes me feel sorry for the boy that was frightened cause I guess he was a lot frightened.

Those responses reflecting moral values included:

1-V/Ex 5-You really shouldn't make fun of people cause it might hurt their feelings--it's bad enough to make them have to do it to prove it to themselves.

8-because the boy shouldn't be afraid of the dark just because he had a bad dream.

The patterns of responses of the eighth graders to the realistic story included primarily expressive responses
though several reflected a concern for certain structural aspects of the story such as whether it was a true story. This interest in establishing the veracity reveals an interest in classifying the story as realistic or fantasy and arises as a result of the ending which is possible though not really plausible. Responses which reflected identification with the story included:

1-Id/Ex 1-well, it's sort of the same with me--sometimes I have a feeling when I'm in the dark and then it goes away.

3-well I guess I was thinking I was in the dark--it makes me know there's no reason in the world to be scared of the dark not when you play hide and seek anyway cause there's just noises of people walking around.

Empathetic responses included:

1-Em/Ex 5-sad kind of for Peter that they were so close and now he doesn't have a brother.

10-I feel sorry for the little boy because he's so afraid and he just needs someone to help him get over that fear.

Three responses were endophoric involving interpretation:

3-In/End 6-Sort of weird--did he really die? I have this feeling that this kid just died from being scared of the dark--I was sort of debating about if he died or if he's still alive or what.

7-strange, seems like it could be true but then it seems like it couldn't.

One response was evaluative at the exposition level:

3-Ev/End 1-it was interesting; it wasn't boring when you were right in the middle of the story you wouldn't want to stop, you would want to see what would happen and it doesn't have a lot of information.
Summary

This question prompted fewer distinctive differences in responses either across grade levels or texts. The eighth graders as in the first set of responses were more prone to offer exposition level responses while the fifth graders responded more expressively. Following are the patterns of responses to the question "how does the story make you feel? which is represented in Table 5.

**TABLE 5**

**RESPONSES TO: HOW DOES THE STORY MAKE YOU FEEL?**

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<thead>
<tr>
<th>Discourse Level</th>
<th>Cognitive Operation</th>
<th>Reference</th>
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At the level of discourse the differences appeared at age rather than text. Altogether, ten eighth graders responded expressively while eighteen statements were classified as expressive for fifth graders. Eight exposition level responses were evident in eighth graders while only two were observable at the fifth grade level. Cognitive operations did not reveal any important patterns across age and text in response to this question. References reflected seven endophoric across texts for eighth graders and one for fifth graders. The primary reference pattern, then, was exophoric across ages and texts. The question was designed to elicit primarily expressive responses referring back to the self and this expectation was met by the fifth graders though eighth graders had a balance of discourse levels and reference patterns.

What do you think of the story?

The initial evaluative statements, similar to the responses in the open ended question were supported by endophoric and exophoric references. Endophoric references referring to the structure of the story for fifth graders to the fantasy story included the following:

3-Ev/End 1-I think it's good but I think it's a little bit old for fifth graders.

4-it was a good story and it was a learning experience.

Interpretive responses included:

3-In/End 1-it teaches a lesson about being nasty.
Responses revealing moral values of the subjects were:

1-V/Ex 8-I think what the King did wasn't probably right.

10-like if you say things and don't keep your word, then somebody should listen to the story if they are like that.

Subjects recommended the story for those who like knights, swords, adventure stories about the past, a long time ago but not if they like humor and comedy.

The eighth graders' responses to this question parallel to some degree the responses to the open ended question in that they begin with an initial evaluative statement linked with a supporting reference. Four responses were endophoric, three referring to the structure of the text and one recalling specific events in the story—all were an attempt to evaluate the story.

3-Ev/End 3-it could have been better, it wasn't a very good story; imagination--I don't like stories like that.

One response related to difficulty in interpretation:

3-In/End 7-didn't know all the words but as the story went on, it explained itself.

Seven responses were non-classifiable as the subjects limited their responses to one word descriptors such as it was "good."

Recommendations for the story were based on whether the readers would like fairy tales, if they liked stories on the order of mythology or because of what the story told about fears.
Fifth graders' responses to the realistic story were primarily evaluative but there were also interpretive responses. Several of the evaluative responses referred to the way in which the story was written as well as attention to certain plot details:

3-Ev/End 5-it's interesting, it's very nice because it explains how good two brothers got together and usually you know brothers don't usually get together and they really cared for each other and one boy could actually see what the other boy was thinking. It was nice.

8-I think it's a nice story to tell but sometimes little kids maybe will believe that it's true and they'll get frightened and they'll imagine it--they'll have the same kind of dream.

Interpretive responses included:

3-In/End 10-told a lot, describing what Peter was like and how his brother helped.

The story was recommended by some subjects for readers who aren't afraid of the dark or depending on whether they like scary stories or mystery stories.

Eighth graders' responses reflected references to the story's style and language. Seven of the responses were evaluative responses referring back to the story's structure or content:

3-Ev/End 5-not like other stories; it tells a lot in a little bit of time.

6-it was pretty; I like it just for the reason of how the brothers cared for each other so much.

Three responses were non-classifiable because they just reflected general descriptive terms such as "good."
Summary

This question was designed to elicit an evaluative response and as in the open ended question, the statements reflected one general descriptor such as the story was "good" with some of the subjects offering a supporting reason for their judgment such as a reference to the way in which the story was written or a particularly appealing aspect of the theme. The patterns of responses are represented in Table 6.

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The majority of fifth graders' responses across text were at the exposition level involving evaluation which was supported by an endophoric reference. The eighth graders, as a whole, did not offer supporting statements for their general descriptors of the story and thus seven were termed as non-classifiable. In response to the realistic story, the majority of eighth graders gave supporting reasons for their responses and these were classified at the exposition level involving evaluation supported by endophoric references. As in the open ended, responses, which were characterized by evaluative responses, most of the responses here also reflected initial automatic reactions which were not classifiable as evaluative responses which would ordinarily require a more in-depth reflection.

What did you especially notice in the story?

This question was designed to focus on the subject's attention to the text and to elicit more endophoric references than the first two questions which focused on the self. In the fantasy story, the responses were primarily recall of an event or chain of events with specific reference to the content. Fifth graders' responses were:

2/End 4-the King who didn't keep his promise.

8-the shepherd was poor and needed help but the King wouldn't help him.

10-the King didn't keep his word to the weak guy.
Responses which related to how the story was written were:

3-In/End 1-they had some words that were sort of English, I think, and they talked like they were from England and the story was sort of old I guess.

5-when the shepherd kept coming I sort of expected the shepherd to keep coming back and bothering him; I noticed the part where they kept saying what happened to the sword.

Eighth graders' responses included four which concerned the interpretation of content while three others considered specific details in the story. One comment reflected a moral judgment of the character and one referred to the story as part of a class of stories. Interpretive responses were:

3-In/End 1-well at first when I just read it, I thought it was a fable and I thought that the sword would play a big part in it and I thought that the King would either be a hero with the use of the sword or he would do something drastic with it like what happened in the story.

7-the King cared more about himself than his people he ruled over; he tried to make his land rich so everything grows so he'd have more, it didn't seem like he cared too much about the people because he took the land when the man died.

References interpreting the text's structure and language were:

3-In/End 6-how "liar" was spelled and the blood on the lamb's fleece and I can't remember the other word but it looked like it was spelled wrong; I just picked up those words cause I didn't think they were spelled that way or something.

10-the blood was stained on the sword and never would come off and kept growing up the sword more and more.

In the fifth graders' responses to the realistic story, the responses were geared more toward interpretation than
recall as children selected meaningful components of the story which were related to the theme. References were endophoric in these responses also due primarily to the nature of the question. Interpretation responses included:

3-In/End 7-they kept getting scared cause when somebody was thinking something the other boy would get his thoughts and get scared.

8-the boy was afraid of the dark a lot and that his brother was trying to help but he couldn't cause his brother wouldn't let him.

Two responses interpreting the text's structure were:

3-In/End 1-they didn't tell everything, you had to guess about the story.

9-they would keep reminding me of his fear of the dark and how he didn't want to go to the party and why.

In the eighth graders' responses to the realistic story, seven responses were endophoric referring either to events in the story or comments about the text's structure.

3-In/End 7-well that Peter and Frances—that Peter could feel or you know sort of like had Frances' mind anyway; he could just tell everything that Frances was doing, he could just see it in his face and it was just like looking into a mirror.

8-like one brother used to cover up for the other brother a little like to help him in hide and go seek.

Summary

This question was designed to invite one subject to attend closely to the text and thus elicit endophoric responses and the results indicated that subjects did focus on the text. The results are presented in Table 7.
TABLE 7
RESPONSES TO: WHAT DID YOU ESPECIALLY NOTICE IN THE STORY?

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<th>Discourse Level 3</th>
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In response to this question which was designed to invite subjects to look closely at the text the responses as a whole reflected textual references particularly attempts to interpret the meaning of the text and occurred at Level Three. The major difference in responses across grade levels and texts was apparent at the discourse level. Seven fifth graders responded at the recall level to the fantasy story whereas there were no recall responses to the realistic text by fifth graders. Eighth graders offered eight responses to
the fantasy text and seven responses to the realistic text which were at the exposition level involving interpretation and endophoric references. Nine fifth grade responses to the realistic story were at the exposition level involving interpretation and endophoric references. The question, then, elicited the kinds of responses expected—attention to specific elements in the text and largely an attempt to interpret aspects of the story content.

Does the story remind you of others you've read?

The nature of this question required the subject to make classificatory statements about the sort of story involved so that reference patterns linked to other literature rather than the self. Similar patterns were apparent in responses to both stories. Some statements were classificatory but referring to subjects' own taste in literature, thus referring to the self. The question did not elicit responses from all subjects perhaps because the age involved has not had much experience to articulate about literature. In the fantasy short story, the classificatory responses for fifth graders included the following:

3-C1/Ex 1-yeah, one that I read a long time ago; because it's about, it doesn't have anything to do with a King or anything but it's about this girl she's just real greedy and it reminds me of the King.

5-well sort of one, it was about a sword; it would command three wishes and three wishes could only be used for good--they could only be good wishes, you couldn't wish upon somebody that they die cause the sword wouldn't do it.
Responses which reflected the subject's taste in reading were:

1-Id/Ex  4-no, I usually read funny stories or sports stories about people that are stars.

7-I don't read stories like that, I like to read happy stories.

The eighth graders' responses to the fantasy story were largely exophoric references to other texts in terms of predominant characters, themes or genres. Eight responses were classificatory and examples of these were:

3-Cl/Ex  2-"The Sword"--I think that's the name of it because it had sort of the same theme.

4-there was like something that I read a long time ago just about a greedy King and he was afraid somebody was going to overthrow him and his kingdom would be taken from him; this was a long time ago, third or fourth grade.

6-a little bit of "The Sword in the Stone" cause he struggled and he did something wrong and he's going to have to pay for it.

Most of the fifth graders' responses to the realistic story were classificatory with subjects recalling similar plot sequences in other stories that they had read. Four responses were non-classifiable. Classification responses were:

3-Cl/Ex  4-not really, I can't think of any I read one and it was real scary, it was Alfred Hitchcock I can't remember the name of it; it was about a boy who was scared of the dark and he went into this house and was killed by something.

8-well because it was the same kind of story except it was a girl who was imagining one day in school and that night she had a real bad nightmare and it's just kind of like the same thing in this story.
Two expressive responses reflected subjects' reading tastes:

1-Id/Ex  7-I don't really read stories like that, I like happy ones.

In the eighth graders' responses to the realistic text, there were fewer comments of any kind. Three responses were classification while seven responses were labeled as non-classifiable due to no response. The responses which related to the mood of the story were:

3-Cl/Ex  1-it's sort of the same as Chiller movies except it doesn't have as much action or plot but it's longer with more things between it.

7-well I've seen a couple of movies that were something like this and I have read--it was about ghosts and stuff and a couple of strange things happened.

Summary

This question was designed to elicit exophoric responses where subjects would compare the text to others they had read and it was thought that responses would indicate subjects' familiarity with literary genres. Fifth graders compared the story to movies they had seen which had supernatural themes while eighth graders in response to the realistic story did not respond. This may be due to the fact that the realistic story does not suggest a particular literary convention as does the fantasy and if it does remind subjects of other stories, they are stories seen on television or at the cinema. The fantasy story, on the other hand, prompted eighth graders to compare it to other fantasy stories while the fifth graders did not find as many comparisons.
The patterns of responses to the last channeling question are presented in Table 8.

**TABLE 8**

**RESPONSES TO: DOES THE STORY REMIND YOU OF OTHERS YOU'VE READ?**

<table>
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This question was designed to invite students to consider other kinds of stories they had read before in order to obtain evidence about the kinds of literature experience students bring to the text, particularly knowledge of genres. Fifth graders' responses revealed a similar pattern of discourse level, cognitive operation and pattern of reference.
across texts. Four responses to the fantasy selection were at the exposition level involving classification and exophoric references and five responses to the realistic story involved the same patterns. The eighth graders responded to the fantasy story by classifying at the exposition level with exophoric references. In response to the realistic story only three responses could be categorized while seven were labeled as non-classifiable due to no response. For the eighth graders, then, the realistic story did not call to mind any relationship with similar content or literary genees perhaps because the literary conventions of realism are less pronounced than those of fantasy.

Recall Responses

Introduction

Propositions representing the story structure of the fantasy and realistic texts were outlined in Chapter Four. The propositions were arranged in four major divisions: Setting, Beginning, Development and Resolution. Within those categories, further refinements were made to account for propositions representing states, events, reactions, goal attempts and outcomes. Subjects' protocols were analyzed and marked to determine which elements of the structure were present in the recall responses. In this section, each subject's recall of story elements is mapped onto the outline of the story structure and responses are grouped according to each grade level and each text. The recall responses are presented first followed by a discussion.
he structural elements of each story are presented and an X is placed next to the element which appeared in the subject's protocol. There are four representations of the structural elements which illustrate fifth and eighth graders' recall of the fantasy and realistic texts.

The question presented in the interview to elicit recall was "tell me all you can remember of what the story was about; I have never heard the story before." The second part of the question was included to invoke a more detailed story retelling because it was thought that subjects would take the listener into account. While this question was presented following the open-ended question in the interview, it is analyzed in this chapter because there is a different schema for analysis applied.

The following representation of the story structure according to its principal elements is represented in the same format as in Chapter Four. Each subject's recall of a particular element is indicated in the schema and by looking at individual responses within grades and across texts, it was possible to determine patterns in the recall responses. A summary and discussion of the findings follows the presentation of the recall data, which serve to illustrate what features of the text the readers consider to be salient and how they attempt to reconstruct the story in the retelling task.
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Filmed as received.

UNIVERSITY MICROFILMS.
### Responses to the Fantasy Story

#### Fifth Graders

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Responses to the Fantasy Story

Eight Graders

Subject: 1 2 3 4 5 6 7 8 9 10

Setting
State
Time
Place
Characters
Event

Scene 1
Event

Scene 2
Event

Scene 3
Event

Scene 4
Event

Episode 5
Event 1
State 1
Reaction(e) 1
Reaction(e) 2
Goal Attempt 1

Episode 6
Event 1
State 1
Event 2
State 2
Event 3
State 3
Outcome 1

Episode 7
Event 1
Goal Attempt 2
Event 2
Event 3

Episode 8
State 1
Event 1
Event 2
State 2
State 3
Outcome 2
### Responses to the Realistic Story

#### Fifth Graders

**Subjects:** 1 2 3 4 5 6 7 8 9 10

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**Beginning**

**Episode 1**

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**Episode 2**

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**State**

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**Episode 3**

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**Development**

**Episode 4**

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**State**

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**Episode 6**

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| Event 2 | x x |

**Resolution**

**Episode 7**

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**State**

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133
### Responses to the Realistic Story

#### Eighth Graders

<table>
<thead>
<tr>
<th>Subject</th>
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**Setting**
- State 1
- Time
- Place
- Characters: x x x x
- State 2: x x x

**Beginning**
- Episode 1
  - Event 1: x x x x x x x
  - Goal Attempt 1
- State: x
- Event 2

**Development**
- Episode 2
  - Event 1: x x
  - Outcome 1
  - Event 2: x x x
  - State: x x
- Episode 3
  - Event
  - Reaction(e) 1: x x
  - Reaction(e) 2: x

**Resolution**
- Episode 4
  - Event: x x x x x
  - Goal Attempt 3
  - Reaction(e) 1: x x x x
  - Reaction(e) 2: x x x x
  - Outcome 2
In recalling the basic element of Setting, seven fifth graders introduced the characters of the fantasy story, omitting references to the time, place or initial event. Six subjects recalled the event and external reaction in the Beginning of the story. Of the six episodes in the Development, events and reactions in Episodes Two and Three were recalled by six subjects and five respectively. Episodes Four through Six had minimum recall. Included in Episode Five was the major goal attempt recalled by two subjects and the outcome was not included in any of the retellings. The second goal attempt was recalled by four subjects who also included the outcome; the second goal attempt was part of Episode Seven and the second outcome was in the Resolution. The Resolution in Episode Eight was recalled by less than half of the subjects.

In looking at the pattern of propositions apparent in the responses, the majority of subjects recalled the characters, the Beginning of the story and the initial two episodes in the Development of the story. Few subjects recalled Episodes Four through Six which included the initial goal attempt and outcome. Less than half recalled the second goal attempt and the Resolution. The Beginning of the story was the best recalled division and the Development was the least recalled. There were more events and external reactions recalled than states and internal reactions which was an interesting result as the states
in this story always followed an external reaction or event. For example, each time an ignoble deed was performed by the King, the sword would grow blacker and the ghost of the shepherd would reappear. The recall responses did not indicate that subjects were picking up this cause-effect relationship. Subjects in omitting the goal attempts revealed that they did not consider the King's attempt to rid his kingdom of treachery as a salient feature in the story.

The eighth graders' responses to the fantasy story represented a different patterns of responses in terms of the number of story elements included as well as the distribution of these elements across the four major divisions of Setting, Beginning, Development and Resolution. The principal differences in the recall responses of fifth and eighth graders was in the retelling of elements in the Development and Resolution of the story rather than the Beginning and the Setting. Most of the subjects at both grade levels recalled only the characters in the story, neglecting the time and place.

Eight subjects included an introduction to the main characters and three recalled the initial event in the Setting. Four subjects recalled the event and six subjects the state in the Beginning episode. The majority of subjects recalled more in the Development portion of the story than did the fifth graders, particularly in Episodes Three, Four and Five. The first goal attempt and outcome had minimal
recall though half of the subjects recalled the second goal attempt and outcome. The Resolution was included in the recall by five subjects. In the recall protocols of the eighth graders, the characters, the Beginning and the Development were included by the majority of subjects.

The eighth graders recalled more events and states in the Development of the story as well as more internal and external reactions. Altogether the eighth recalled sixty-nine elements in the Development while the fifth graders recalled thirty-three. Subjects at both levels referred to the character aspect of Setting rather than any of the other details. The first goal attempt and outcome was not recalled by the majority of subjects at either grade level. The King's attempt to rid his kingdom of treachery by slaying his subjects seemed to be less salient for subjects than the initial act of killing the shepherd and the visitations of the ghost. The significance of the King's goal attempts were that they contributed to the stain on the sword and the shepherd's visits though they were not included in many of the recall responses. The most significant finding across grade levels was that the older subjects recalled at least twice as many elements in the Development and the Beginning of the story, and they were more attentive to the states and internal reactions of the characters. The retellings of the eighth graders on the whole were more complex and detailed capturing more of the original story elements.
In response to the realistic story, the most salient feature of the Setting was again the characters. Few subjects recalled the Beginning which included the first goal attempt and the first episode in the Development which included the first outcome. The second goal attempt was recalled by three subjects while the third goal attempt was included in the retellings of five subjects. Of the five episodes in the Development, the fifth one was the only one recalled by the majority of subjects. The Resolution in terms of the event was recalled by eight subjects while only one recalled the state. Initial goal attempts and outcomes were not included in most of the recall responses for either stories for fifth graders. The Beginning was included in many responses to the fantasy text though not in the realistic text. The realistic text generated more recall of elements in the Development and the Resolution. As in the fantasy story, the events and external reactions were recalled more than the internal reactions or states. The only significant difference across texts was in the Beginning of the story which was better recalled in the fantasy story perhaps because an event and external reaction started the story while a state and description of time and place characterized the beginning of the realistic story.

Eighth graders responses to the realistic text revealed interesting patterns in the elements recalled.
The eighth graders included the initial goal attempt in the Beginning of the story in their recall responses as a whole. They were more sensitive to the character's attempts to avoid an unpleasant situation and unfortunate outcome than the fifth graders. The eighth graders were more aware of a goal attempt in the realistic story and seemed on the basis of their recall data to have a better sense of the relationship of events. Though there were more events recalled in the fantasy story, it seemed apparent that many of the subjects were not tying into the King's attempts to rid his kingdom of treachery. In the realistic story, the eighth graders had a sense of the boy's efforts to avoid the party which was reflected by the number who recalled the goal attempts. Concerning the recall of states and events, it was apparent that the fantasy story elicited more state elements than the realistic story as well as more event elements.

The eighth graders introduced the characters in all but one case. Nine subjects recalled the initial goal attempt in the Beginning though only two recalled the first outcome in Episode Two. The second and third episodes were not recalled to a great extent by the subjects though the second goal attempt was in the third episode. Half of the subjects recalled the third goal attempt and outcome in Episode Four. Episodes Five and Six in the Development were well recalled...
by the majority of subjects, who were able to inter-relate the events more effectively than the fifth graders. Most of the fifth graders were unable to link the twin's cause of death to his brother's touch while many eighth graders perceived this. The Resolution was recalled by the majority of the eighth graders. The eighth graders recalled fifty-two elements in the Development while the fifth graders recalled thirty.

Across texts, the eighth graders recalled more events in the fantasy text and this may be attributed to the fact that the fantasy text was comprised of a chain of events and reactions while the realistic story was primarily a narrative of a boy's state of fear. The recall responses to the realistic text indicated a deeper sense of the cause effect relationship of events as most of the subjects were able to account for the boy's death at the end, unlike the fifth graders.

Two Case Studies

Subject Three

In order to consider how the individual responds to two different kinds of texts, a male fifth grade student aged ten years, ten months was selected as one case study. His responses to the open ended questions were as follows:

well, it was a nice story, it was kind of interesting; it was written pretty well. (fantasy)

well, it was a nice story except for the end; it was kind of sad at the end but I like mostly the part
where Frances' brother tried to help him with his fear of darkness. (realistic)

In response to the fantasy text, the subject referred to the style of the story to support his evaluative statement. In the realistic story, there was an empathetic response of sadness as well as a positive feeling toward one of the characters and this served as the basis for the evaluative statement.

Then asked, "what does the story make you think of?" the following responses were given:

it makes me think of how some people forget important things for other matters when they kill somebody for getting overexcited because he was too frightened of something or just scared then it's not really good. (fantasy)

well sometimes it makes me think of how I used to be afraid of the dark and things like that. (realistic)

The response to the fantasy was an interpretive response which revealed the subject's attempt to come to terms with the character of the King and the reference was endophoric. The response to the realistic story was an expressive response in which the subject identified with the story by recalling his own fear of the darkness.

The subject's answers to the question "how does the story make you feel?" were:

it makes me feel kind of angry and a little sad; angry for the way he killed the shepherd and sad because he killed some people. (fantasy)

well, kind of sad. (realistic)

These responses did not really reveal any significant
differences though the first comment was a direct reference to the King's behavior and his reaction to that while the second response was too limited to analyze.

When asked "what do you think of the story?" the responses were:

I think it was a pretty good story; to me it kind of teaches a lesson about forgetting things. (fantasy)

well, I thought it was a nice story; I liked the way it was written; it was pretty good. (realistic)

The first comment was an evaluative statement supported by an interpretation of the meaning as something which teaches a lesson. The second response is also endophoric in that it refers to a supporting statement of how the story was written.

In response to the question "what did you especially notice in the story?" the statements were:

when the King kept seeing images of the shepherd and also the way he couldn't let go of the sword. (fantasy)

the way the boy was afraid of the dark and how his older brother tried to help him lose his fear of the dark. (realistic)

Both of these responses were endophoric, referring back to specific aspects of the text, the first considered the events surrounding the King and the second referred to the relationship between the two characters.

The last channeling question was "does the story remind you of any others you've read?" and the responses were:

it reminds me of a fable about a lion and I think it was an owl cause the lion and the owl, well there was a fly
flying around it and the owl flew out and pushed over a rock and covered up the whole cave and except for one crack so the lion could breathe and the fly flew out of the crack and the lion was stuck in there forever and before that he came to a lot of people because they couldn't think of anything to help the lion. (fantasy)

I usually don't think about those kinds of things when I'm reading a story or listening to one. It reminds me a little bit of a story, I can't remember the name, about an animal who died, I think it was a horse; it kind of reminded me of it. (realistic)

In the first response to the fantasy story, the subject recalled the plot of what seemed to be a fable about a lion, an owl and a fly. The child may have found a link between the lion trapped in a cave and the King hidden in his castle but it is not really clear. The second response is difficult to interpret though it seems as if the child chose the story about the horse because it had the common element of death.

In his recall response to the fantasy story, the subject began by introducing the principal character and discussing the event and external reaction in the Beginning of the story. In the Development part of the story, the subject recalled the first two of six episodes. He did not include the first goal attempt and outcome though he did mention one of the three reactions and one of the three states in the fifth episode. He recalled a state in the sixth episode and the goal attempt in the seventh episode. He included two states and one event in the Resolution of the story. The subject, then, recalled primarily the beginning and ending of the story and did not capture the principal elements in
the Development of the story. The Setting was described in terms of the characters without reference to the time, place or initial event— the King's inheritance of the sword which begins all of the action.

In response to the realistic story, the subject again introduced the principal characters and included no other references to the Setting of the story. The response to this story differed in that the subject did not include the episode in the Beginning of the story nor the episode in the beginning of the Development of the story. The first goal attempt and outcome was again omitted though he included the second goal attempt and the third goal attempt in Episodes Three and Four. Episode Five, in terms of the two events was included in the retelling though Episode Six was omitted. The subject did include the event in the Resolution of the story. The principal difference between the two retellings was that the Beginning of the story was more fully recalled in the fantasy text and more aspects of each episode were recalled in response to the fantasy text. The fantasy text was certainly more event oriented with an interweaving of cause-effect relationships. The realistic story, on the other hand, was more of a mood setting device which developed according to the psychological state of the characters; though there were more specific events, the story was more directed toward developing a state of mind.
On the Huck Inventory of literary background, the subject scored 70 which indicates that he was able to answer correctly 70 out of 100 questions. This was the highest score of all the fifth graders on the inventory and reflected the fact that the subject had experienced a variety of literature though the score did not reflect an extensive reading background. On the inventory of Interest and Transfer the subject respond mostly by identifying "occasionally" or "once or twice" as the response indicating the interest and transfer of books in his life.

**Subject Eight**

Subject Eight was selected as the eighth grade student for the second case study and he is aged fourteen years, one month and attends a suburban junior high school. His responses to the open ended question "what would you like to say about the story?" resulted in the following responses:

- kind of a neat story; I sort of didn't understand about how the old shepherd kept coming back whether it was a ghost or what. (fantasy)

- it was kind of hard to understand; at the end it was really hard to understand. (realistic)

Both responses reflected the subject's concern about interpreting the story in terms of the supernatural device in the fantasy story and the death of the twin at the end of the realistic story. The statements cannot be termed as evaluative since the initial descriptor was not supported by a reason but rather an endophoric reference back to a specific aspect of the stories.
In response to the question "what does the story make you think of?" the subject responded as follows:

that it was back in the days of King Arthur and Greek mythology. (fantasy)

reminds me of another story about twin brothers, one of them died and I can't remember the name of it but one of them, the dead one kept coming back and his brother could see him but the parents couldn't and they thought the brother was just talking to himself. (realistic)

Both of these responses were exophoric in that the subject compared the stories to others he had read. The significant difference is that the fantasy response prompted the subject to think of similar genres such as mythology and similar settings such as the days of King Arthur. The realistic story response called to the subject's mind a similar story in terms of content which involved two brothers who were close and a touch of the supernatural.

In response to the question "how does the story make you feel?" the subject responded:

well the story sort of like had a moral to it you might say like the King he'd always do things to people instead of helping them so maybe it's supposed to mean you should help people instead of being mean to them; I sort of feel that the King should have fixed the gate in the first place instead of just letting the sheep, instead of killing the shepherd after all those arguments. (fantasy)

it was hard to understand well like I couldn't understand how he could die from just hiding in the dark or his brother touching him. (realistic)

The subject attempted to interpret the fantasy story by coming to terms with the moral or import of the story and then made his own value judgment about the King's behavior.
The response, then, is both interpretive in the first part and expressive in the second as the subject assesses the meaning and makes a personal comment to agree with the point of the story. In response to the realistic story, the subject discussed his difficulty in understanding the ending. Apparently the subject has problems with the plausibility of the story in that a person might be able to die if fear of something reached a high intensity. The subject is more concerned with establishing whether the story is real rather than going beyond the text to look at the implications.

The question "what did you think of the story?" invited the following responses:

it was a pretty good story. (fantasy) Recommendations of the story were based on "because maybe there's something to learn from it and also alot of people don't read that much anymore; it was a real good story.

I didn't like it too much. (realistic) Recommendations of the story were based on "well if somebody who understands this kind of story but I don't understand it really.

These responses did not yield any significant differences though the first recommendation was based upon learning something from the story. The second response was difficult to classify because the subject did not respond fully. Evaluative seems to be a higher level cognitive skill and fifth and eighth graders have difficulty in making evaluative judgments; the evaluative statement if often reduced to a quick, one word response which does not indicate that a high
level of thing is occurring. One possible explanation for the subject's acceptance of the ghost and flaming sword in the fantasy and his difficulty understanding death from fright is that he had agreed to suspend his disbelief in the fantasy but he had been committed to a realistic story and the strange ending interfered with his expectations of realism.

In response to the question "what did you especially notice in the story?" the responses were as follows:

well the names of the King and all that; they were sort of hard to pronounce and I think the King was sort of a meany or something. (fantasy)

like one brother used to cover up for the other brother a little like trying to help him in hide and go seek. (realistic)

In response to the fantasy story, the vocabulary was a point of interest to the subject as he referred back to the text. He was aware of language as well as the nature of the King's character. In the realistic story, the subject referred back again to the relationship of the two characters which seemed to be something this subject really linked into.

In response to the question "does the story remind you of any others you've read"? the subject responded:

well there was some Greek myth, I can't remember the name of it and it had something about revenge in it also like that except it was about some guy who was tied to a mountain and a hawk would attack him and he kept healing the wounds--it sort of like had revenge also. (fantasy)

There was no response to the realistic story. The first story prompt an interesting recall of the myth of Prometheus.
The subject seemed to sense some relationship between the structure of myth and the fantasy of Prydain which is patterned similarly to folk tales though no sense of genre was prompted by the realistic story where the subject was more aware of interpreting content.

The recall responses to the fantasy and realistic story there were some interesting findings. In response to the fantasy story, the subject recalled the characters and initial event in the Setting and the event and external reaction which comprised the Beginning of the story. The subject also recalled many of the events, states and reactions in Episodes Two, Three and Four of the Development. In Episode Five, the first goal attempt was not recalled though the subject included mention of a reaction and two states. The outcome was also omitted in Episode Seven where only one state was recalled. The second goal attempt and outcome was recalled by the subject who also included two states and an event in the Resolution of the story. Unlike the fifth grader, many of the details in the Development of the story were included in the retelling though the development of the plot in terms of the King trying to rid his kingdom of treachery was not fully realized.

In response to the realistic story, the characters were included in the retelling though none of the other aspects of the Setting were included. The event representing the initial goal attempt in the Beginning of the story was
included in the retelling as were the events, states and outcome which comprised the first episode in the Development of the story. The second and third goal attempts and outcomes in Episodes Three and Four were omitted from the retelling. In Episode Five, the subject recalled the events and in Episode Six, one event was recalled. The subject recalled the event in the Resolution of the story. The pattern differs somewhat across stories in that more details were recalled in the fantasy story particularly in the Development part of the story. It is possible that the subjects at both grade levels recalled plot more effectively than states or internal reactions marking character development as in the realistic story. It is also apparent that the fantasy story is more readily tied into a genre comparison or look at literary conventions while the realistic story prompts references to the actual content.

On the Huck Inventory, the subject scored 73 out of 100 which was the highest score among the eighth graders. The score as well as the subject's responses indicated that he had a literary background which was fairly wide though not extensive. He seemed to be particularly familiar with the fairy tale, mythology conventions which he compared to the fantasy story. On the Interest and Transfer questionnaire most of his responses, as in the case of the fifth grade subject, fell into the categories of "occasionally" and "once or twice" to indicate transfer of literature.
Questionnaire Data

The scores on the questionnaires are reported in Tables 20 and 21.

**TABLE 8**

**SCORES ON THE HUCK INVENTORY**

<table>
<thead>
<tr>
<th>Subjects</th>
<th>Fifth Graders</th>
<th>Eighth Graders</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>38</td>
<td>54</td>
</tr>
<tr>
<td>2</td>
<td>46</td>
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</tr>
<tr>
<td>3</td>
<td>70</td>
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<td>57</td>
<td>73</td>
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<tr>
<td>9</td>
<td>60</td>
<td>46</td>
</tr>
<tr>
<td>10</td>
<td>54</td>
<td>73</td>
</tr>
</tbody>
</table>

The range of scores among the fifth graders was from thirty-eight to seventy with the majority (seven) falling in the range of fifty to sixty-five. The range for the eighth grade was between forty-six and seventy-three with the majority of scores falling in the range of fifty-four to sixty-eight. It was determined that the range across grades was very similar, indicating the homogeneous background of
subjects and the fact that on the basis of this inventory, subjects did not have a wide or extensive literary background as the range within grades and across grades fell between fifty and seventy for most subjects as seen in Table 9.

**TABLE 9**

**SCORES ON THE PURVES' INVENTORY OF INTEREST AND TRANSFER**

<table>
<thead>
<tr>
<th>Subjects</th>
<th>Fifth Graders</th>
<th>Eighth Graders</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Oft Occ 0/T N S</td>
<td>Oft Occ 0/T N S</td>
</tr>
<tr>
<td>1</td>
<td>3 2 10</td>
<td>5 5 3 1 1</td>
</tr>
<tr>
<td>2</td>
<td>2 1 6 5 1</td>
<td>5 4 2 2 2</td>
</tr>
<tr>
<td>3</td>
<td>5 7 2 1</td>
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</tr>
<tr>
<td>10</td>
<td>5 3 3 4</td>
<td>4 7 3 1</td>
</tr>
</tbody>
</table>

**Key for Abbreviations**

<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Oft</td>
<td>Often</td>
</tr>
<tr>
<td>Occ</td>
<td>Occasionally</td>
</tr>
<tr>
<td>0/T</td>
<td>Once or twice</td>
</tr>
<tr>
<td>N</td>
<td>Never</td>
</tr>
<tr>
<td>S</td>
<td>Seldom</td>
</tr>
</tbody>
</table>
The scores on this inventory indicated that subjects felt that stories carried over into their lives to some extent as the majority of fifth and eighth graders chose responses which were "occasionally" or "once or twice" and "often" was chosen more than "never" or "seldom." The scores were relatively stable across and within grades, yielding no significant differences which would merit a comparison of scores to individual responses produced. These scores indicate as the Huck inventory that the population in the sample had similar backgrounds and interests.

As none of the subjects scored in the high range and very few scored in the average range, it was determined that the scores on this questionnaire did not yield enough significant data to warrant a comparison of individual scores with the types of responses produced or to draw any relationships between prior knowledge as measured by the questionnaires and the reading of the stories. The scores themselves revealed interesting data on the background of the subjects' reading which was not extensive according to the results. This may indicate that subjects are not reading very widely or that the literature, primarily children's classics, are not used in the classrooms. The scores suggest that in future research, we may need to look at prior knowledge in ways other than measuring literature background such as the influence of television and the movies.
Summary

Chapter Five presented the analysis of data of the responses of fifth and eighth grade subjects across texts. In the first section, the responses to the open ended and channeling questions were discussed to determine patterns across groups. In the second part, the recall responses of subjects across texts was discussed. In the third section, responses were viewed in terms of two subjects in a case study format. In the last section the scores of the responses on the inventories were presented. In Chapter Six, the summary of the findings, the implications of the study and research directions is addressed.
CHAPTER SIX
SUMMARY, IMPLICATIONS AND RECOMMENDATIONS

Summary

It was the purpose of this study to bring a theoretical framework to the field of response to literature and to develop a schema for classifying children's responses to literature, and secondly, to investigate the nature of fifth and eighth graders' responses to realistic and fantasy texts within this framework. A summary of procedures, findings, implication for education and an assessment of future research directions follows.

Procedures

In this study, response to literature was defined as the verbal response, orally expressed to a series of questions posed in a taped interview designed to elicit responses to two different types of texts. Ten fifth graders and ten eighth graders were exposed to a reading-listening presentation of a realistic and fantasy short story. Following exposure to the text, subjects were randomly assigned to different interviewers who asked them questions related to the text. One major question was designed to elicit a
free response, the second question was designed to invite a recall of the text response and five additional questions attempted to channel subjects' responses into identification, interpretation and evaluation responses, for example. The subjects participated in two different sessions and the order of the text presentation was alternated. In all of the first sessions, the subjects were asked to complete questionnaires, measuring literary background and interests and transfer of literature.

The second part of the procedure was to develop a schema for analyzing the protocols of the subjects' responses to literature. The schema was developed in order to account for the level of discourse used to respond and the underlying cognitive operation which was inferred from the discourse level. In addition, the responses were classified according to the kinds of references either to the text, to the self or to the world which were made by subjects and these reflected how the child was linking into the text. A fourth dimension of the schema was the matching of a story structure schema to the structure of the schema in the subjects' recall protocols. This part of the schema was designed as a way of assessing how much of the story structure and content the subject was able to recapture in a verbal response. The effectiveness of the schema in terms of its explanatory value, then was tested by applying it to the responses of fifth and eighth graders to the two texts.
Findings

The open ended question invited subjects to respond in a variety of ways by asking them what they would like to say about the story. Fifth graders tended to respond with statements that were explanations rather than expressions and demonstrated a greater balance of responses across discourse levels in response to the realistic story. The eighth graders contributed primarily exposition level responses with at least twice as many endophoric references across texts than did the fifth graders. The fifth graders had a greater balance of references across texts. The principal cognitive operation across grade levels and texts was evaluation as most subjects judged the text according to some vague personal criteria and assessment of the text's value was supported. The question may not have invited extensive and varied responses because it was the first one in the interview or because the structure of the interview influenced a quick reaction from the subjects without time for reflection.

Responses to the channeling questions revealed several interesting patterns across grade levels and texts. On the whole, eighth graders had fewer expressive responses than the fifth graders, seven fewer in response to the fantasy story and ten less in response to the realistic text. Eighth graders contributed eleven more exposition level responses to the fantasy story than fifth graders though there was
only a difference of one in response to the realistic story. Fifth graders offered seven more identification responses to the realistic story and eight more than the eighth graders to the realistic story. The fantasy story prompted a difference of six interpretation responses contributed by the eighth graders and eight classification responses to the fantasy story. The fact that fifth graders had more expressive and identification responses as a whole while the eighth graders contributed more interpretation responses may be a result of classroom instruction rather than developmental differences. It would seem likely that elementary students might be encouraged by their teachers to respond to literature in a variety of ways including drama, art extensions and personal writing with the intent of enabling students to establish a personal link with the story. Eighth grade students, on the other hand, would more likely be asked to interpret the meaning of the text and to analyze it, thus de-emphasizing the personal response.

The only distinctive difference in reference patterns was that fifth graders used more exophoric responses (eight) than the eighth graders in response to the realistic story. This may be explained by the fact that the story centered around a little boy who was afraid of the dark and this fear may have been shared by many of the fifth graders. The fifth graders also picked up on the mood of the story and compared it to ghost stories and scary movies due to the end.
Another interesting result was that while eighth graders contributed higher level responses as a whole, they had more non-classifiable responses and responded less than the fifth grade subjects. This again may be a result of classroom instruction in that students at the higher grades are not given the opportunity to share and develop their responses to stories. As the children move into the upper grades, the focus may shift from the children themselves to the subject.

Across texts, the fifth graders had more evaluative and identification responses to the realistic story and in response to the fantasy story, there were seven report level responses while there were none for the realistic story. This may be attributed to the event oriented nature of the fantasy story as opposed to the character development emphasized in the realistic story. Patterns of references included an equal distribution of endophoric and exophoric references across texts. Eighth graders also had more evaluative responses, classification responses and exophoric references to the fantasy story than they did to the realistic story. The fantasy story prompted the notion of a literary genre for the eighth graders as they compared the fantasy story to King Arthur, Greek and Roman mythology and generally days gone by. The classification responses did invite eighth grades to draw on their knowledge of other literature when responding to the fantasy story. While the
fifth graders contributed classificatory responses to the realistic story, the comparisons seemed to be generated by a television or movie notion of supernatural tales rather than literary genres as references to Chiller movie and Alfred Hitchcock were evoked.

Recall responses revealed more interesting data as a whole across grade levels than across texts. In response to the fantasy story, eighth graders recalled forty-six more elements in the Development of the story than the fifth graders. The eighth recalled twice as many elements in the Resolution of the story. In response to the realistic story, eighth graders included eight more elements in the Beginning, twenty-two more elements in the Development and eight more recalls of the first goal attempt. As a whole, the goal attempts and outcomes were not included in the retellings across grades. Another interesting finding was that Setting was recalled primarily in terms of introducing the main characters without including initial states, events, time or place which all served as a backdrop to the story.

The finding that eighth graders recalled a number of more elements in the Development of the story than the fifth graders may be attributed to the different stages of cognitive ability either in encoding or retrieving the details of the story. In addition, the eighth graders may have been more sensitive to the fact that the listener had not heard the story before while the fifth graders were less aware of this.
Across texts, the fifth graders recalled nine more elements of the Beginning in the fantasy story than they did in the realistic story and this represented the only distinctive difference for this grade across text. The eighth graders included thirty-seven more elements of the Development of the fantasy story and eight more of the first goal attempt in the realistic story. The difference in the number of elements recalled in the fantasy story may be attributed to the fact that it was more event oriented than the realistic story which was more concerned with the psychological development of the characters. States on the whole were less well recalled than events and external reactions across grades and across texts.

**Implications**

One of the most significant implications of this study for educators is that response to literature is influenced by the nature of text as well as by the reader. Readers are sensitive to elements of the text such as style, lexicon and events, and they are aware of their relationship to the secondary world. Readers in responding to the fantasy story, for example, agreed to accept the author's world without wondering about the veracity of the story. In response to the realistic story, however, several subjects became disconcerted when they were confronted with an implausible ending. There was evidence, then, that subjects were aware of textual elements when responding and that these elements
not only influenced the type of response but also the demands made upon the reader, both in reading and in reconstructing the text. Teachers, in planning literature programs, should certainly be aware of the potential of text in influencing response as well as reading.

In looking at how responses differed across grades, it became clear that more than developmental stages accounted for the differences. The fact that eighth graders had more interpretive responses and fewer expressive responses may be a result of teaching emphasis as mentioned previously. As children enter the upper grades, the curriculum becomes more subject centered and less child centered in many instances. Sharing books is replaced by textual analysis as students are encouraged to abstract the "inherent" meaning in the text. Often responses may be evaluated as correct or incorrect depending upon how closely the response approximates the text. The implications for education are evident here in that teachers should encourage a variety of responses to literature and that instruction may more explicitly focus on literary elements and relationships.

The study surely suggests that the nature of the theoretical framework used to interpret students' responses contributes to a better understanding of the nature and complexity of response to literature. The notion that the reader brings his prior knowledge to bear on his reconstruction of and relationship to the text and his responses
reveal information about the reading-response process, the representation of experience and the knowledge which the reader brings to the text. If a teacher understands that response to literature is a key way of tapping into the child's interaction with the text, she or he will be more prepared to assist the child in developing reading strategies as well as response to literature.

The schema developed for looking at response provides the teacher with a way of considering the kinds of responses children are making and what the reader considers to be salient in the text. In a child centered curriculum, the most important aim is to find out what the child knows and to assist him in linking into the text experience. The educator, then, taps into what the child knows and assists him in further developing his thinking and language. Certainly all responses should be encouraged but some are more developed than others. This study contributed to the knowledge of the nature of response so that educators can not only invite the students to respond but also to assist them in refining and extending their reading experience.

One of the principal goals of educators should be to understand the nature of the learner and the theoretical framework developed in this study contributes to knowledge about how individuals participate in an experience and shape it with language.
Recommendations

The first question to consider is the complex nature of response to literature, which reflects a number of associations the reader can make and that responses can be expressed in a variety of ways such as through art, drama, writing, play, etc. Expressed verbal response is that part of response which the reader can articulate. Certainly, the primary response is an ongoing, comprehensive process which occurs as the reader reads and which remains largely tacit. When response is discussed in this study, it is defined in a limited way as an orally articulated response to certain questions posed in an interview. The central question in response is similar to questions in various disciplines such as cognitive psychology or language development in that inferences are made about processes by examining products whether they are types of behavior, utterances or other observable phenomena. By introducing the interview method as a means of eliciting response, an adult has intruded upon the private reading experience and asked the subject to articulate something which is largely tacit and which he has not had time to reflect upon.

The question of expressed response is not only a concern, then, but also how the response is elicited. By responding to a set of questions, the individual may feel the burden of performance and evaluation. The individual is not constructing a free association response as much as
he is answering questions about himself and his relation-
ship to the text. While the schema developed here is used
to analyze oral responses to literature, it should be applied
to other kinds of response data such as writing, free talk
in groups and informal discussions with the teacher. In
addition to providing opportunities for different modes of
response, future studies could employ different designs
such as the case study or ethnomethodology. In both of
these designs, the subjects would be in a more natural and
informal setting where the investigator could serve the
role of observer or establish a comfortable relationship
with an individual for a case study. Atmospheres like this
may lessen the contrived effect of the interview method.

Another question for future research is the notion
of the prior knowledge the reader brings to the text
and how this can be assessed in a study. One way of getting
at prior knowledge is to examine the responses themselves
to determine whether there are any references indicating
past experiences and knowledge. A second means is to
measure what the student knows about literature, for example,
through a series of tests or questionnaires. If a case
study method is used then the investigator could assist the
subject in articulating his response to get at underlying
reasons for the way he responds. There is a need for
developing effective means of assessing that prior knowledge
since it plays an important role in reading and response.
Finally, prior knowledge may have a different connotation now than it did twenty years ago. An objective of this study was to obtain some sense of the subjects' prior knowledge of literary conventions or genres which resulted in some interesting findings. Fifth graders appeared to draw on a knowledge of supernatural stories which they picked up from television and movies rather than from books though the eighth graders tied into certain fantasy conventions.

Second, the scores on the Huck Inventory across grades were fairly low, ranging between fifty and sixty on a 100 point scale. The implication here is that researchers need to examine the kinds of knowledge students abstract from television and movies in terms of story conventions and to explore the relationship between these structures and literature to determine the nature of the story structure the children bring to reading.

Another direction for future research is to explore further the impact of the type of text on the response produced. This study revealed significant differences in responses across texts and the impact of text on reader response merits further investigation. Studies which employ other texts representing fantasy and realistic conventions or other types of texts are needed. The question of which aspects of the content and structure of the text affect responses needs to be addressed. With a wider sample of subjects from different backgrounds reading a variety of
texts, the nature of the reader and the impact of text on response can be further explored.

As the nature of classroom instruction may have an important effect on the types of responses students produce, it would be interesting to investigate teaching environments to determine how response is fostered or hindered. An important issue to consider is how students perceive the literature experience in the school—what sort of expectations do they have about responding to literature? In addition, it would be important to explore the shift in responses across grade levels to determine whether this reflects developmental or instructional bases.

A major direction in response research would be for reading theorists to join with English Educators and researchers of other disciplines to relate response to reading rather than isolating it as an extension of a literature program.

The theoretical framework developed in this study is useful for the basis of a number of different studies. There are major implications for the content of the literature program as well as how the learning experience is organized. What is needed now are in-depth studies of individuals and groups in more natural settings in order to explore further the inter-relationship of a variety of elements that influence response. A major concern of future studies should be the interaction between the
participants in learning experience as well as the social context of reading and responding to literature. Studies based on this theoretical framework will be concerned to a large extent with the nature of communicative competence as reading and talking about literature is explored. The focus is on how children use language to shape experience and to engage in experience.
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APPENDIX A

RESPONSES TO CHANNELING QUESTIONS
What Does The Story Make You Think Of?

Fantasy Story-Fifth Graders

3/In/End 1-a mean old King and he wants everything for himself.

4-well, it make me think of keeping your promises and stuff like that.

9-yes, that the King if he had of given his word and then made the fence that this never would have happened.

3-C/Ex 1-this story that I read a long time ago was was sort of like that one.

Fantasy Story-Eighth Graders

3-In/End 2-about someone that had to do certain things to keep their leadership.

4-he just let his imagination get away with him.

5-like greed and stuff can take over and you think you're doing okay but then all of a sudden, it's not the way he thinks it is.

6-Rhitta thought he was too good and turned out to be a liar.

3-CI/Ex 2-fairy tales.

7-I a long time ago with Kings.

1-V/Ex 4-I guess that's it's mainly greed, you shouldn't let it overcome you, you shouldn't think you're too good or lie.

Realistic Story-Fifth Graders

1-Id/Ex 2-ESP

4-it makes me think I'd like to have a brother like that and they are twins; it seems sort of fun to have a brother cause I only have a sister. Sometimes when I'm scared of the dark I just think about other things like when I get up from a bad dream I just think of other things and it makes me feel better and that
story makes me think there's nothing to be afraid of in the dark.

5-it makes me think of how sometimes just because somebody's afraid of something it doesn't mean you should make fun of them because that's the only reason he died because he didn't want to feel like a coward and he didn't want to be made fun of or anything like that and lots of people I know I did it when I was little my brothers they always, I didn't trust anyone in my family I don't trust them now either but I wouldn't trust them because they were always trying to scare me and stuff like that and one time they turned out all the lights--it was dark at nighttime--and I got up to get a drink and went downstairs and my brother jumped out from the corner and he grabbed me and scared me so much that I just fell over and started screaming and woke everybody up too. You shouldn't make fun of somebody just because they are afraid of something like somebody who's afraid of snakes because they were once almost bitten by one or almost killed cause if you have something to be afraid of that's good cause if everyone went around not being afraid of anything, then everybody would be frightening everybody else.

6-being scared and parties and stuff where they play hide and go seek.

Realistic Story-Eighth Graders

3-no, because I'm not scared of the dark and just being in the dark and dead people.

2-ghost story and a haunted house.

9-like someone helping another.

How Does The Story Make You Feel?

Fantasy Story-Fifth Graders

2-like you're there and sort of like you're watching a soap opera or something.
4-sort of, I can think. It made me feel like I wouldn't like to be the King cause he'd have I'd have all that on my mind not fixing the fence and killing that shepherd and it would make me feel bad. Being the King and you know like ruling a place it would be fun but then it comes to stuff like that I think be scary if an omen kept on coming around and scaring you at night and the omen had the lamb in his hands scaring the King--I think I'd be scared.

7-kind of scary cause you knew he was going to do something mean.

**Fantasy Story-Eighth Graders**

1-Em/Ex 7-sort of upset with the King for how he acted all the time--in a way I felt sorry for him but in a way I didn't.

**Realistic Story-Fifth Graders**

1-Id/Ex 1-sort of happy cause I think about if I were at slumber parties and I feel happy at slumber parties.

5-it makes me feel sort of bad because sometimes I make fun of my Mom for being afraid of snakes when she was younger she and her sister who died was separated from their mother in the garden by a snake and they couldn't move and there wasn't enough room there wasn't enough clearance for their mother to hit the snake and kill it with the hoe so they couldn't really do anything.

7-kind of shaky about what's going to happen like see the whole time there's kids all around the house hiding and the whole house long and dark and the windows are shut and everything and Peter and Frances were both scared.

**Realistic Story-Eighth Graders**

1-Id/Ex 2-kind of scared of the dark; It makes you think about when you're laying there at night.

1-Em/Ex 9-kind of sad, this kid was always frightened.
What Do You Think of the Story?

Fantasy Story—Fifth Graders

3-Ev/End 9—it was pretty good but it was a little hard to follow.

5—it was pretty good like when people are fighting over a sword or something you feel like you're gonna get cut or something or killed or something scary.

Fantasy Story—Eighth Graders

3-Ev/End 6—if it had more action, it was sort of repetitious. Sort of stupid—there's not too many people running around and getting killed and coming back all bloody. It was sort of a little odd like guys running around guys falling asleep and they don't even hear anybody coming in, they don't know how to guard him and I don't see how he could be afraid of just that one guy and he had everybody killed and everything and he killed all the women and children and everything I would of rebelled too. I don't see how there was anybody to help him fighting if everybody was after him and they they pronounced him dead and whatever and said they hadn't seen him for a while and that he was still in this underground cave.

Realistic Story—Fifth Graders

3-Ev/End 1—if somebody made it up, it was really good.

2—well, it was real describing and everything.

4—I liked it cause it was sort of like a mystery cause they were trying to figure out why you're scared and all that.

10—it was good. It told a lot about it, I mean it described what Peter was like and everything and what his brother was like and that his brother helped him not to be afraid of the dark

3-In/End 9—sort of had something behind that you could feel as the story went on.
6—well I'm not sure what I thought of it.
It was nice. It talked to you mostly of how
the kid was afraid of the dark and stuff
and it taught you a lesson to tell them you
are afraid of the dark if you are—see he
slept in the room with his twin brother with
a night light cause he was afraid of the
dark cause a couple of years ago, a year
before the girl tapped him on the shoulder
and he didn't know she just came up and it
scared him so from then on he was afraid
and I guess it made me feel kind of sad again
that he died playing hide and seek.

Realistic Story—Eighth Graders

3-Ev/End  3—I thought it was pretty good and that
people should read it especially if they're
scared of the dark.

4—well I guess after I had started to under­
stand it it was pretty good. The author
should have told more at the begining of
what was happening cause it took awhile and
by then you had really lost the rest of it.

7—lots of ways of expressing everything--good
words of use.

9—liked it because of the plot and the way
it's acted--it's about everyday things.

10—it was okay but it was kind of weird. It
centered around a little boy.

What Did You Especially Notice in the Story?

Fantasy Story—Fifth Graders

2/End  6—when the King wanted to have all this pro­
tection you know cause he thought that see
the shepherd I guess he kept saying he was
having dreams of the shepherd and it really
wasn't a dream well I'm not sure if it was
a dream or not so he kept wanting to get
into like another chamber in going into
more tunnels and stuff and that's what I
really remembered the most.
7-cut men—something about the sword and some dried up blood that was over something.

8-that the shepherd was poor and needed help but the King wouldn't help him.

9-parts where the shepherd would come in the nightmare and when it became day that the King couldn't forget about him even though it wasn't dark.

10-the King didn't keep his word to the weak guy.

**Fantasy Story—Eighth Graders**

**3-In/End** 3-that he believed in evil spirits or things like that.

5-that he thought he had gotten rid of the shepherd getting him to fix the gate but he really didn't—he was haunting him for the rest of his life.

**3-Ev/End** 2-they used a lot of big words

**Realistic Story—Fifth Graders**

**3-In/End** 5-when they said that the one boy was dead because everybody had made fun of him when his older brother had said he I don't think my brother had better play because he doesn't like the dark and everybody was singing 'cowardly, cowardly' and all this stuff and it you know upset him a little bit but they shouldn't have made fun of him and I really noticed the part when they said he died when he was afraid of the dark.

6-when he tried to tell the people he was afraid of the dark and they started calling him coward and stuff; when the chandelier fell I noticed that cause the lady screamed cause she went in there and the brother was dead.

10-Frances isn't afraid anymore because of his brother's help.
Realistic Story—Eighth Graders

3-In/End 2-they kept repeating that he was scared and what he was scared of.

4-the brothers liked to stick up for each other and help each other when one of them was scared.

5-that Frances seemed much younger than Peter and more dependent on the nurse and he was scared of the dark alot.

6-how programme was spelled; the nurses and the doctors too, he said if they found out if he was sick they came out and put stuff on his chest and check his throat and look at his tongue so I noticed that.

9-fear of the dark and the noises.

Does the Story Remind You of Others You've Read?

Fantasy Story—Fifth Graders

3-Cl/Ex 2—yes like in plays and stuff I forget the name of it--it's because it's about like the same stuff like a long time ago when people were in power like that and stuff.

Fantasy Story—Eighth Graders

3-Cl/Ex 1—yeah like some stories because of the King and the castle and the soldiers and the guards and everything.

3-no, except we read another story called "The Sword" but it wasn't like that.

5-not at all except for some things that they have like spirits and stuff.

7-no I haven't read too many about Kings or anything like that.

Realistic Story—Fifth Graders

3-Cl/Ex 1—yes, there's a story I read about a ghost--I don't know why it reminds me of that but it does.
6-yeah but I can't think of the name. They weren't playing hide and go seek or something but he did die, they weren't twins or anything but they were like good friends you know. I forget what they were doing and one of the kids died.

Realistic Story-Eighth Graders

3-C1/End 5-let me think like some story about brothers who were close and stuff like that, that they'd help each other I don't know the names of them or anything but a couple of them show them dying right beside their brothers for no reason like I read a book for English about when like he didn't know then he was going to die but he accepted it after they died that they would be okay and were happier cause they would have to suffer as much.
APPENDIX B
SAMPLE PAGES FROM QUESTIONNAIRES
### Part I: Classics

1. **Treasure Island** is an adventure tale written by:
   - b. William Shakespeare.
   - c. Edgar Allan Poe.
2. **Little Women** is a book about:
   - a. three girls and their eccentric aunt.
   - b. a private school for girls.
   - c. four sisters who lived during the Civil War.
3. **Black Beauty** is:
   - a. a dog.
   - b. a horse.
   - c. a hunting falcon.
4. **Robinson Crusoe** called his companion and helper:
   - a. my man Friday.
   - b. Sancho.
   - c. Little John.
5. **One of Hans Brinker’s exciting experiences** is:
   - a. a horse race.
   - b. an ice-skating race.
   - c. a boat race.
6. In **The Prince and the Pea** two boys from different backgrounds are:
   - a. shipwrecked together.
   - b. trade places with one another.
   - c. met at an exclusive boys' school.
7. Mary, Dickon, and Colin are all characters in:
   - c. *Return to Gone-Away*.
8. Heidi lived in the Swiss mountains with her:
   - a. brothers.
   - b. mother.
   - c. grandfather.
9. The book *The Swiss Family Robinson* begins when:
   - a. the family is shipwrecked.
   - b. when the family is visited by a rich uncle.
   - c. when the family is tried for witchcraft.
10. Alice begins her journey to Wonderland by:
    - a. eating cinnamon candy.
    - b. going down a rabbit hole.
    - c. packing a suitcase.
11. In the book *Winnie-the-Pooh* the characters are:
    - a. live animals and a little boy.
    - b. ten-year-old boys and their dog, Pooh.
    - c. stuffed animal toys and Christopher Robin.

### Part II: Fairy Tales, Myths, and Legends

12. **The Wind in the Willows** tells of the adventures of:
    - a. Rabbit, Piglet, and Owl.
    - b. Rat, Toad, and Mole.
    - c. Frog, Weasel, and Dragonfly.
13. When Wendy, John, and Michael fly to Neverland with Peter Pan, they face danger:
    - a. from Captain Hook.
    - b. from the Miserable Witch.
    - c. from Tiger Lily.
14. **Mowgli**, in *The Jungle Book*, was reared by:
    - a. by dogs.
    - b. by wolves.
    - c. by lions.
15. **Tom Sawyer** got out of white-washing the fence by:
    - a. by paying his friends to do it.
    - b. by running away.
    - c. by pretending to like it.
16. Johnny Appleseed planted his orchards in:
    - b. the South.
    - c. the Midwest.
17. Paul Bunyan’s companion is usually:
    - a. Babe, the Blue Ox.
    - b. Harry, the Horned Frog.
    - c. the Great American Eagle.
18. **Pecos Bill** was:
    - a. a cowboy.
    - b. a lumberjack.
    - c. a riverboat captain.
19. The rooster Chanticleer was nearly eaten by:
    - a. by a fox.
    - b. by a chicken hawk.
    - c. by his owner.
20. Robin Hood’s sworn enemy was:
    - a. the Constable of County Clark.
    - b. the Sheriff of Nottingham.
    - c. Will Scarlet.
21. **Arthur** proved himself destined to be king by:
    - a. winning a jousting contest.
    - b. cutting down a great tree.
    - c. pulling a sword from a stone.
22. The secret of Aladdin’s wonderful lamp was that:
    - a. it contained a genie.
    - b. it was filled with pearls.
    - c. it could be turned into a palace.
23. **Hansel and Gretel** got rid of the wicked old witch by:
    - a. by drowning her.
    - b. by pushing her into an oven.
    - c. by putting her into a vat of boiling water.
24. **Ulysses**, disguised as a beggar, revealed his identity by:
    - a. by shooting his own bow.
    - b. by recognizing his wife.
    - c. by removing his disguise.
Interest and Transfer

Purves (1973)

1. Have you done something you would not ordinarily have done because you read about it in a story, poem or play?

2. While you were reading a book have you thought of yourself as one of the people in it?

3. Have you compared a person you meet in real life with people you have read about?

4. Have you been in a situation and asked yourself what some person in a story you read would have done in that situation?

5. When you read a novel or a story, do you imagine that what is happening in the story takes place in some town or city that you have seen?

6. Have you done something or gone somewhere, felt that this has happened before and then realized that in fact it happened in a book you read?

There are a total of fifteen questions on the inventory and subjects respond by selecting one of several answers including often, occasionally, once or twice and never, for