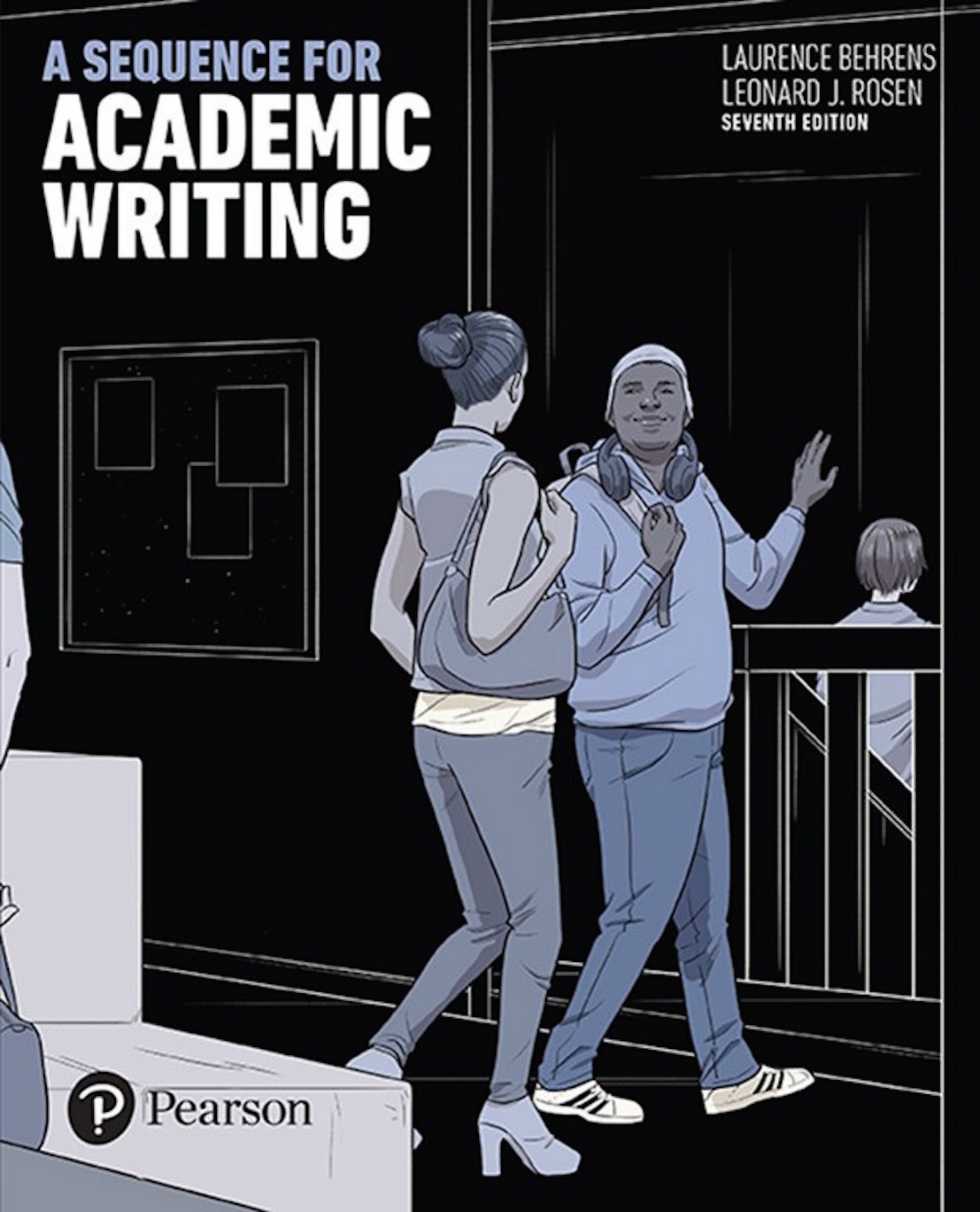
A SEQUENCE FOR ACADEMIC WRITING

LAURENCE BEHRENS
LEONARD J. ROSEN

SEVENTH EDITION



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SEVENTH EDITION

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To the memory of Philip Rodkin (1968–2014)

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Preface for Instructors

A Sequence for Academic Writing evolved out of another of our texts, *Writing and Reading Across the Curriculum (WRAC)*. Through thirteen editions over the past thirty-five years, *WRAC* has helped more than a million students prepare for the writing to be done well beyond the freshman composition course. *WRAC* features a rhetoric in which students are introduced to the core skills of summary, critique, synthesis, and analysis, and a reader that presents readings in the disciplines to which students can apply the skills learned in the earlier chapters.

Because the skills of summary, critique, synthesis, and analysis are so central to academic thinking and writing, many instructors—both those teaching writing across the curriculum and those using other approaches to composition instruction—have found *WRAC* a highly useful introduction to college-level writing. We therefore adapted the rhetoric portion of *WRAC*, creating a separate book that instructors can use apart from any additional reading content they choose to incorporate into their writing courses. *A Sequence for Academic Writing* is both an adaptation of *WRAC* and an expansion: It includes chapters, sections, and additional writing assignments not found in the parent text.

What's New in this Edition?

The seventh edition of *A Sequence for Academic Writing* represents a major revision of the previous edition.

- A new Chapter 1, "An Introduction to Thinking and Writing in College," offers a visually rich invitation to academic life and orients students to key "critical habits of mind" that they will develop throughout their college years: cultivating intellectual curiosity, exploring similarities and differences, arguing with logic and evidence, and challenging arguments. The chapter opens with a definition of academic writing, distinguishing it from both personal, expressive writing and business writing. The chapter closes with a rationale for communicating critical habits of thinking through writing. Throughout, examples about the idea of money illustrate the intellectual foundations of college life. This illustration is extended to Chapter 6 in the form of a new model explanatory synthesis.
- The seventh edition separates the discussion of critical reading from the writing of summaries. In the new Chapter 2, "Reading with Attention," students learn clear, accessible strategies for previewing selections to identify an author's purpose and for reading to understand the structure and content used to achieve that purpose. Students will find a fresh example reading, with margin notations and markups, concerning the brain's ability to remember.
- The new Chapter 3, "Summarizing and Paraphrasing Sources," is the first part of a revised pedagogical strategy to separate quotation into its own Chapter 4 and emphasizes (in Chapter 3) working with *partial* sources, sources in their entirety, and especially challenging sources. The new example article in Chapter 2 on how brains remember is used to illustrate core concepts in Chapter 3. Paul Bloom's level-appropriate but still challenging "The Baby in the Well" is carried over from the sixth edition and presents students with the opportunity to read, understand, and take pride in understanding a provocative essay.

- We devote a new Chapter 4, "Quoting Sources, Using Signal Phrases, and Making Standard 'Moves,'" to instruction not only on what and how to quote but also on how to integrate quotations into the flow of both sentence and paragraph. The discussion of modifying quotations with ellipses and brackets receives all new examples. The new section Six Strategies for Using Signal Phrases (or Sentences) illustrates techniques for integrating quotations, summaries, and paraphrases into sentences. And the new Making Standard "Moves" to Build Paragraphs shows students how to use quotations and paraphrases to build paragraphs in five distinct ways typical of academic discourse: to introduce a fact, to introduce an idea, to start and continue a discussion, to illustrate, and to mark a transition.

- Chapter 5, "Critique and Critical Reading," presents a new model critique on the "The Right to Bury the (Online) Past," an op-ed that appeared in *The Washington Post* in September 2015. The op-ed writer Liz Tucker makes a compelling argument (with which the *Post* disagrees): that the Web's endless storage capacity can hurt those whose youthful indiscretions or painful memories follow them endlessly online, creating both psychological and economic damage. We set the op-ed alongside two additional articles on the debate, which was triggered when a European court required search engine companies to review and, when warranted, grant requests to remove links to sensitive (and no longer relevant) materials. The new model critique takes on a current, contentious issue regarding digital life and issues of free speech and censorship.

- Chapter 6, "Explanatory Synthesis," presents a new model explanation on the idea of money (a topic introduced in the new Chapter 1). The new synthesis explains how money is less an object than it is an agreement, or shared idea, about how we value goods and services. That is, both a dollar bill and a diamond have value only to the extent that we agree they do. The new model paper explores an idea that illustrates academic inquiry at its fascinating best. Money as an idea is a strange (though accessible) notion that will get students thinking. The chapter also features two new passages on the topic of concussions; they demonstrate the differences between arguing and explaining.

- A research librarian has completely revamped Chapter 10, "Locating, Mining, and Citing Sources," to incorporate current practices and techniques on conducting research and on using the latest digital tools and methods. The chapter includes coverage of the 2010 American Psychological Association (APA) guidelines for citation format, **along with the 2016 Modern Language Association (MLA) guidelines**—changes that reflect the latest editions of the MLA and APA manuals.

- Readers familiar with earlier editions will note an increased use of photos and graphics. *A Sequence for Academic Writing* is necessarily a print-heavy text, offering strategies for thinking critically about academic sources. Notwithstanding the digital revolution, sources remain largely (though by no means exclusively) print-based, whether read onscreen or on paper. Working within that constraint, we have tried to ease the visual heaviness of earlier editions and to make *A Sequence for Academic Writing* more visually appealing.

In sum, the seventh edition of *A Sequence for Academic Writing* offers a major revision of a familiar text that freshens examples, clarifies and expands instruction, and generally makes more accessible a book that has helped introduce numerous students to source-based writing in a variety of academic settings. As always, we rely on the criticism of colleagues to improve our work, and we invite you to contact the publisher with suggested revisions.

Organization and Key Features

We proceed through a sequence from "summary, paraphrase, and quotation" to "critical reading and critique," to "explanatory synthesis" and "argument synthesis," to analysis. Students will find in Chapter 9 a discussion of the writing process that is reinforced throughout the text. Chapter 10, "Locating, Mining, and Citing Sources," introduces students to the tools and techniques they will need in order to apply the skills learned earlier in the text to sources they gather themselves when conducting research.

The book ends with a controlled research assignment in Chapter 11, "Practicing Academic Writing." We make a special effort both to address the issue of plagiarism and to encourage students to live up to the highest ethical standards.

Key features in *A Sequence for Academic Writing* include the following:

- *Boxes,* which sum up important concepts in each chapter
- Brief writing *exercises,* which prompt individual and group activities
- *Writing assignments,* which encourage students to practice the skills they learn in each chapter
- *Model papers,* which provide example responses to writing assignments discussed in the text

While we are keenly aware of the overlapping nature of the skills on which we focus and while we could endlessly debate an appropriate order in which to cover these skills, a book is necessarily linear. We have chosen the sequence that makes the most sense to us. Teachers should feel free to use these chapters in whatever order they decide is most useful to their individual aims and philosophies. Understanding the material in a later chapter does not, in most cases, depend on students having read material in the earlier chapters.

Supplements

Instructor's Manual

The *Instructor's Manual (IM)* provides sample syllabi and assignment ideas for traditional and Web-based courses. Each IM chapter opens with a summary of the chapter in the student text, followed by specific instruction on that chapter's focus. Writing/critical thinking activities offer additional exercises use Internet sources. In addition, each IM chapter provides extensive lists of Web source material for both students and instructors. Contact your Pearson representative for access.

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Laurence Behrens

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Part One
Structures

Chapter 1

An Introduction to Thinking and Writing in College

Learning Objectives

After completing this chapter, you will be able to:

1.1 Define academic thinking and writing.

1.2 Cultivate intellectual curiosity.

1.3 Explore similarities and differences.

1.4 Understand the importance of arguing with logic and evidence.

1.5 Understand why arguments must be challenged.

1.6 Understand how writing can be a tool for critical thinking.

College may initially seem both overwhelming and bewildering. You may not even be clear, at first, what college is *for,* aside from taking classes you hope will land you a better job one day. The statistics are clear: a diploma will significantly boost your employment prospects and earning power. Of course, it's not just the diploma that improves your fortunes; it's the skills and habits of thinking you've developed along the way.

These skills and habits include your ability to

1. cultivate intellectual curiosity;
2. explore similarities and differences;
3. argue, using logic and evidence; and
4. challenge arguments.

This brief introduction to thinking and writing in college will touch on these habits and skills and will suggest some of the ways you'll grow intellectually in the coming years.

Defining Academic Thinking And Writing

1.1 Define academic thinking and writing.

What do people think and write about in college? In a word, everything. Besides teaching your classes, grading papers, and serving on academic committees, your instructors also spend a great deal of time investigating questions that fascinate them. What was the main cause of the Soviet Union's collapse? What gives a poem its beauty and power? How can viruses be used to fight cancer?

Pick a topic, any topic, and you're almost certain to find someone on campus studying it in order to understand more deeply what it is and how it works. To take one example, consider a dollar bill—that is, a piece of money.

What could be more typical or ordinary? Is there any point to studying money in an academic setting? Well, yes, there is. Read this excerpt from a student paper, "The 'Idea' of Money." (You'll find the complete paper in Chapter 6, pages 111–113.)

> In a barter-based economy, people traded goods and services they agreed had equal value. In an economy based on money, objects became a substitute for goods and services that would otherwise have been traded. Such substitutes became "currency" or "money." In this new system, the butcher no longer had to trade his meat for beer or shoes if he had no need for them. As long as the butcher, brewer, and shoemaker each valued the same currency—be it stone tools, gold nuggets, or cowry shells—a new kind of exchange could take place. Money emerged across different cultures for the same reason: convenience. But the *form* money took varied from one society to the next and from one historical period to the next depending on what people considered valuable. This raises an important question: If different forms of money arose in different places and at different times, what, exactly, gives money its value?

$ = ?

Aaron Cooper's paper on the origins of money led him to a strange conclusion: the notion that money itself holds no value—that is to say, a nugget of gold is inherently worth no more than a handful of sea shells. More on that in a moment. The point here is that *any* topic, even the most ordinary, can be studied in an academic setting, and inquiries can lead to surprising results.

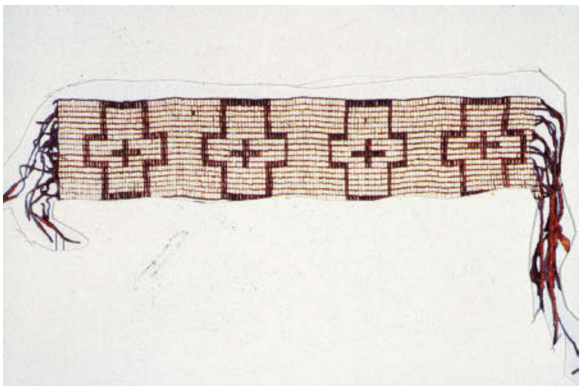
Academic writing builds on careful study and differs from personal writing and business writing. Personal, expressive writing makes private experience (the "I" experience) public in ways the writer hopes will be meaningful to readers. Business writing, such as e-mails, letters, proposals, advertising brochures, and reports, promotes the interests of a company or corporation. Academic writing involves reading widely, searching for evidence, and thinking logically—all in an effort to understand more deeply and to communicate understanding in books, articles, essays, speeches, blog posts, films, and other media.

Cultivating Intellectual Curiosity

1.2 Cultivate intellectual curiosity.

From high school you'll recall that knowledge is divided among broad areas of study—the humanities, sciences, social sciences, performing arts, and so on. These same divisions hold true in college. Within each broad area we find further divisions called disciplines, such as philosophy, physics, history, and anthropology. A single topic—let's consider money once more—can be studied from multiple disciplinary perspectives. Consider a few of the many ways that researchers might study money in an academic setting:

> ***Anthropologists*** study the origins of civilization. They might focus on the forms that money has taken over time and ask: What explains the different forms of money we find in different cultures—for instance, wampum and dolphin teeth?



Wampum (Beads)

Dolphin Teeth

Historians might investigate when and why state-issued money first became widespread. They might study the Roman Empire, which stretched from present-day Great Britain to North Africa and the Middle East. In an empire spanning such vast territories and comprising so many cultures and languages—each with its own forms of money—a common currency would have helped to promote trade and consolidate central authority. During the rule of Julius Caesar, Rome issued the aureus, examples of which survive today.

Roman Aureus

Metallurgists might wonder how changing technologies for extracting metals from raw ore enabled the production and widespread use of state-issued coins like the aureus. For example, how were early crucibles used for smelting gold constructed?

Crucible

Sociologists might study the financial organization of marriages and ask how and why the tradition of paying dowries (the transfer of wealth from the bride's family to the groom's) emerged. Does that ancient tradition survive today in the customary payment of weddings by a bride's family?

Artists create objects such as paintings, sculptures, stories, and poems that provoke conversations. Think how many books you have read or films you have seen that turn on the goal of acquiring money. Consider, for example, novels like Thackeray's *Vanity Fair* or Fitzgerald's *The Great Gatsby*. Consider films like *Wall Street*, *Oceans 11*, and *Trading Places*. What are the uses of conversations about objects of art?

Gun Wrapped in Money

Economists might ask: What *is* money? How does money get its value? What precisely distinguishes one form of money—say, cowry shells—from other forms like dollars? Why would a grocer accept dollars but *not* cowry shells as payment for a quart of milk? Is one currency inherently more valuable than others? This is the question taken up in the paper "The 'Idea' of Money" in Chapter 6.

Every discipline approaches a topic in characteristic ways, with characteristic questions. You can be sure that each approach fascinates its investigators: the historians, economists, and sociologists who study money, for instance, from their distinctive points of view. Your job in taking courses across the curriculum is to be curious: to ask *why*, to cultivate fascination. In time, your fascination will guide you in choosing a major field of study.

Salt

Curious	**Not so much**
• Salt was once used as money? Why? • The word "salary" is derived from salt? When and why did this use develop? • Salt has been farmed and mined for profit? Where? When? How? • How does salt raise blood pressure?	This is a pile of salt.

What does it take to be curious?

For the most part, as a freshman or sophomore, you'll be receiving established knowledge in the form of books, articles, lectures, and lab studies. You're not likely to start out creating knowledge the way your instructors do in their own investigations. But they'll be preparing you to create knowledge by teaching you their methods of investigation. That is, they'll be teaching both the *what* of their discipline and the *how*. The *what* is content: the history of Roman money, for instance, or economic theories of money. The *how* is thinking critically about that content. *Critical* in an academic sense doesn't mean *negative* but rather *careful* and *alert*. Thinking critically involves many skills, chief among them the ability to explore similarities and differences, to argue with logic and evidence, and to challenge arguments (especially your own).

Whether you major in finance, nursing, computer science, or literature, the larger goal is to become a careful, disciplined thinker. That's what employers value in college graduates, and that is what is required of you in becoming an informed, engaged citizen. Plenty of biology and philosophy majors end up working in fields that have nothing to do with biology or philosophy. But the skills and habits of thinking they developed in their studies have everything to do with their success.

Let's take a closer look at four important skills that anchor intellectual life at college:

- Exploring similarities and differences
- Arguing with logic and evidence
- Challenging arguments
- Communicating critical thinking through writing

Exploring Similarities and Differences

1.3 Explore similarities and differences.

Academic thinking often involves close study of examples. Any time you gather multiple examples of a topic and study them, you'll have an occasion to make comparisons and contrasts. Examine these images, which are forms of money from different times and places.

Cowry Shells

Gold Nugget

Stone Tools


Lobi Snakes(Iron)


Squirrel Pelts

Quarter Dollar

In comparing these forms of money, we can observe different materials: worked objects (coins, iron snakes, stone tools) and objects in their natural state (gold nuggets, cowry shells). Squirrel pelts, used as currency in medieval Russia and Finland, are both worked and unworked: squirrels had to be killed and skinned. We can also observe similarities: All these forms of money are portable. People could carry them easily. These forms of money are also divisible: People could accept one cowry shell or many as payment, a smaller lobi snake (once used in Burkina Faso) or a larger one, pennies and nickels in place of a quarter, and so on.

If you were writing a paper about money, you would quickly conclude that money takes no single form. How would you treat the differences and the similarities you found? What conclusions would you draw? In college-level work, you will frequently observe similarities and differences, and you will need to account for them.You can see how Aaron Cooper handles such comparisons and contrasts in his paper, “The ‘Idea’ of Money,” in Chapter 6, pages 111–113.

Arguing with Logic and Evidence

1.4 Understand the importance of arguing with logic and evidence.

In social settings, few people want to be known for arguing all the time. In academic settings, people are *expected* to argue: to use logic and evidence both to present their work and review the work of others.

Later in this text you will learn strategies and techniques for arguing. For now, consider the debatable statement that money is “an idea.” Could you convince others that money is not a “thing” but rather an “agreement” among people? Arguing the point would require you to state that gold in itself, as a metal dug from the earth, is no more valuable than the feathers of a goose or chicken. Is it possible? Say you’re trapped in an Arctic outpost. Winter is approaching and what you need, urgently, is insulation to keep you from freezing to death. In this case, wouldn't three pounds of feathers (to make a down blanket) be of far more value to you than three pounds of gold? And if that's the case, what can be said about the inherent value of gold, feathers, or *any* form of money? Perhaps money *is* an idea!

Gold Nugget

Feather

We're headed toward strange territory here: the notion that money is valuable not in itself but because people agree to value it. Consider this idea: Money is an *agreement*, not a thing. Feathers could be money, and so could salt, beads, or pieces of paper in our wallets. The particular *form* that money takes is meaningless. All that's needed for the larger economy to function is for everyone to agree that whatever we exchange and call money has value. An economy based on sunflower seeds? Why not—peppercorns were once used as money! If you're not comfortable making this argument, you could look for help in the form of experts who could support your position. That's why Aaron Cooper quotes this source in his paper, "The 'Idea' of Money":

> [T]he notion that gold is somehow [a] more "real" [form of money] than paper [money] is, well, a mirage. Gold is valuable because we've collectively decided that it's valuable and that we'll accept goods and services in exchange for it. And that's no different, ultimately, from our collective decision that colorful rectangles of paper [in our wallets] are valuable and that we'll accept goods and services in exchange for them....
>
> We cling to the belief that money needs to be backed by something "solid."
>
> —James Surowiecki, IEEE Spectrum 30 May 2012

In a college setting, our knowledge of the world is built through argument: the ability to examine evidence, reach a conclusion, and convince others that our conclusions are correct or reasonable. Argument will become one of the core skills you'll learn in college.

Challenging Arguments

1.5 Understand why arguments must be challenged.

If arguing is essential in academic settings, so is pushing back against arguments when their logic or evidence is flawed. Consider that the larger intellectual goal in the academy is to build knowledge, and no one is well served when faulty arguments are accepted as true. Later in this text you'll learn how to evaluate and challenge the arguments of others. It goes without saying that others will challenge you when they're not convinced of the soundness of your arguments. So pushing back, respectfully and logically, is essential to your success both in college and beyond.

An example: The enormously influential eighteenth-century thinker Adam Smith is regarded as the first modern economist, and his theory of the emergence of money from barter economies is widely accepted. He believed that people in early societies traded one good for others of equal (mutually agreed upon) value. Eventually, Smith wrote, barter gave way to money when it was no longer convenient or practical to exchange goods in trade. That's the generally accepted view.

The Barter Economy

But in an academic setting, no view of the world, however well regarded, however celebrated its creator, is immune to challenge. Some scholars dispute Smith's theory of how currency emerged in early civilizations. Consider this challenge from anthropologist David Graeber:

> Adam Smith first proposed in *The Wealth of Nations* that as soon as a division of labor appeared in human society, some specializing in hunting, for instance,

> others making arrowheads, people would begin swapping goods with one another (6 arrowheads for a beaver pelt, for instance.) … For exchange to be possible, both sides have to have something the other is willing to accept in trade. This was assumed to eventually lead to the people stockpiling items deemed likely to be generally desirable, which would thus become ever more desirable for that reason, and eventually become money. Barter thus gave birth to money.…
>
> Anthropologists gradually fanned out into the world and began directly observing how economies where money was not used … actually worked.… What they never found was any place, anywhere, where economic relations between members of community took the form economists predicted [based on Adam Smith's theory of barter]: "I'll give you twenty chickens for that cow." Hence in the definitive anthropological work on the subject, Cambridge anthropology professor Caroline Humphrey concludes, "No example of a barter economy, pure and simple, has ever been described, let alone the emergence from it of money; all available [studies suggest] that there never has been such a thing."

Graeber is an anthropologist who has used the evidence of field research to challenge the widely accepted views of Adam Smith. Not surprisingly, supporters of Smith's views have pushed back. A debate, an academic conversation about barter and the emergence of money, has developed. (To catch some of its flavor, Google "Graeber Smith barter money debate.") Why does this debate matter? It matters because some scholars believe that a confused understanding of what money is and how it emerged has profound implications for our economy today.

Challenging arguments is as important as making them; at times, mounting a challenge will take a degree of fearlessness. But if your goal is to help the larger community better understand how the world works, in the end people will thank you.

Communicating Critical Thinking Through Writing

1.6 Understand how writing can be a tool for critical thinking.

Your writing class, indeed all your classes, will be devoted to improving your skills of critical thinking. By way of demonstration, you have followed an example of how *any* topic—in our case, money—can be studied critically. What distinguishes academic study is not the topic but rather the questions that investigators pose about the topic and the methods they use to investigate.

As a college student, you are now—you are becoming—an investigator. You will think critically whenever you cultivate your intellectual curiosity, question similarities and differences, argue using logic and evidence, and challenge the work of others. If your college diploma means anything, it's that you have developed skills in and a respect for critical thinking.

Writing is one of the main ways of both expressing and developing your knowledge. As you write, you force yourself to clarify ideas before communicating them. In this way, writing itself becomes a tool for learning.

Your writing in college will take five typical forms:

- **Summary** accurately distills what you've read or seen.
- **Evaluation** judges the merits of and responds to the arguments of others.
- **Explanation** defines and describes neutrally, without interpretation.
- **Argument** uses evidence and logic to answer debatable questions, build new knowledge, and influence others.
- **Analysis** studies an object closely, illuminating it to yourself and others.

Your college writing course and this text, *Sequence for Academic Writing*, will teach you these forms of writing, as well as the broader skills of critical thinking from which they follow.

So what is college *for* aside from your gaining skills to boost your job prospects and earning power? College is for making knowledge through collaboration and argument; it's for teaching both the content and habits of thinking you'll need to be an informed, engaged citizen who understands that learning never ends. You have embarked on a journey, one that will reward you in ways large and small in the years to come. Enjoy the trip!

Chapter 2
Reading with Attention

Learning Objectives

After completing this chapter, you will be able to:

2.1 Preview a selection.

2.2 Form a preliminary understanding of topic and purpose based on your preview.

2.3 Reread for content and structure.

Being able to read a passage and summarize what it says is basic to college-level work. But for all kinds of reasons, people don't always read carefully — and in college that's a problem because your academic success depends on your ability to understand source materials: books, scholarly articles, essays and popular articles, research reports, op-eds, and more.

This chapter focuses on reading with attention, a skill that involves identifying structure, highlighting text, and making marginal notes. Later, you can use your markups to write summaries—brief restatements—and other paper types that build on summaries: critiques, syntheses, and analyses

Careful, attentive reading involves three interrelated tasks: previewing to understanding the author's purpose, forming a preliminary understanding of topic and purpose, and reading for content and structure. Let's consider these tasks, one at a time.

Previewing to Understand the Author's Purpose

2.1 Preview a selection.

Writers of articles and nonfiction books aim to inform, persuade, or some combination of the two. Explanatory writing defines, describes, and is usually information-rich. In explanations, authors do not inject their opinions. By contrast, in persuasive writing, authors attempt to change your thinking about a topic or to convince you that their opinions are the best ones.[1]

Sources will not be all one type or the other. A paper arguing that the government should mandate a reduction in the salt content of commercially prepared foods might first explain how salt intake affects health. The argument would then follow and build on the explanation. In reading any passage of text, determine the extent to which the author is attempting to explain and/or persuade. Imagine placing every source you read somewhere on a continuum:

Explain__________________Persuade

Ask: Where along this continuum
should I place this source?

Before writing notes on a source, preview it to gain a sense of the whole. Skim the text. Read quickly and identify the author's purpose: to explain and/or persuade.

For an article:

- Read summaries (also called abstracts) if available.
- Read opening and closing paragraphs.
- Read all major headings.
- Read the first line of every paragraph.

For a book:

- Read book jacket information, including the author's biography.
- Read the preface.
- Skim the table of contents.
- Read the first and last paragraph of every chapter.

Let's adapt these strategies to reading and summarizing a single paragraph before applying them to an article-length selection. The following is excerpted from "A Framework for Thinking Ethically" (that is, thinking about right behavior), which you'll find in its entirety in Chapter 11. Read the first and last sentences of the paragraph. Based on this preview, you will gain a clear sense of the whole.

> **THE UTILITARIAN APPROACH TO ETHICS**
>
> Some [philosophers] emphasize that the ethical action is the one that provides the most good or does the least harm, or, to put it another way, produces the greatest balance of good over harm. The ethical corporate action, then, is the one that produces the greatest good and does the least harm for all who are affected—customers, employees, shareholders, the community, and the environment. Ethical

---

[1] There is serious academic debate concerning the extent to which *all* writing attempts to persuade. Still, for practical purposes, it is reasonable to say that writing that makes a good-faith effort to emphasize the topic and not the writer's views can be considered explanatory or informational, while writing that promotes the writer's views is persuasive.

> warfare balances the good achieved in ending terrorism with the harm done to all parties through death, injuries, and destruction. The utilitarian approach deals with consequences; it tries both to increase the good done and to reduce the harm done.
>
> — Manual Velasquez

Let's characterize the author's purpose. To what extent do you find Velasquez explaining? Arguing? Some combination of the two? It should be clear from the first and last sentences as well as from the paragraph's heading (included in the original article) that the author is defining a term: *utilitarianism*. From this brief preview, you've learned enough to write a summary based on your understanding of the author's purpose topic, and content:

Purpose	to explain
Topic	the philosophy of utilitarianism
Content	maximizing good and minimizing bad
Summary	Utilitarianism is an "[a]pproach to ethics" that seeks to maximize the good effects of our actions over bad effects.

To test the accuracy of this summary, reread the paragraph—this time every word. You'll discover that Velasquez devotes the interior sentences to two examples of utilitarianism, neither of which requires making a change to our summary.

Preview one more paragraph: Read the first and final sentences to determine if you've learned enough to understand the author's purpose, topic, and content.

"Responding to Bullies" [a student paper]

> Definitions in antibullying laws are inconsistent, the effectiveness of antibullying programs is unproven, and cyberbullying laws may threaten free speech. Still, bullying persists and we must respond. Each day, 160,000 children skip school because they don't want to confront their tormentors (National). Even bullies are at risk: "Nearly 60 percent of boys whom researchers classified as bullies in grades six through nine were convicted of at least one crime by the age of 24. Even more dramatic, 40 percent of them had three or more convictions by age 24" (Fox et al. 2). While bullying in childhood may not be the sole or even main *cause* of later criminal behavior (another possibility: there may be abuse in the home), these statistics provide all the more reason to intervene in the bully/victim relationship. Both victims and bullies require our help.
>
> —Peter Simmons

We learn a great deal from reading the first and last sentences of this paragraph(excerpted from a student paper, which you can find on pp. 000–000):

Purpose	to argue—to present data that changes our opinion
Topic	bullying
Content	difficulties dealing effectively with bullies
Summary	The problem of bullying demands an institutional response that has, up to now, been ineffective and has hurt both bullies and their victims,

When you reread the paragraph in full, you find its interior sentences given to evidence that Simmons uses to change our thinking about bullies. Again, what we learn from the interior sentences does not require changes to our summary.

Exercise 2.1

Previewing a paragraph

Choose a six- to eight-sentence paragraph from an article of interest in a newspaper or magazine (print or online) and preview it as illustrated above. Then summarize that paragraph in a single sentence after noting its purpose, topic, and content.

Now let's apply the previewing strategies to an entire article—concerning the benefits and concerns associated with computer-chip brain implants. For the moment, do not read every word. First, *preview* the article to gain a sense of the author's purpose, topic, and content. Later, you'll return to the selection to read word for word and make notes. As with the paragraphs above, you may be surprised at how much you can learn from a quick preview.

External Enhancements of Memory May Soon Go High-Tech

Jyutika Mehta
December 4, 2015

"Pentagon spurs new work on a brain implant to aid memory problems"

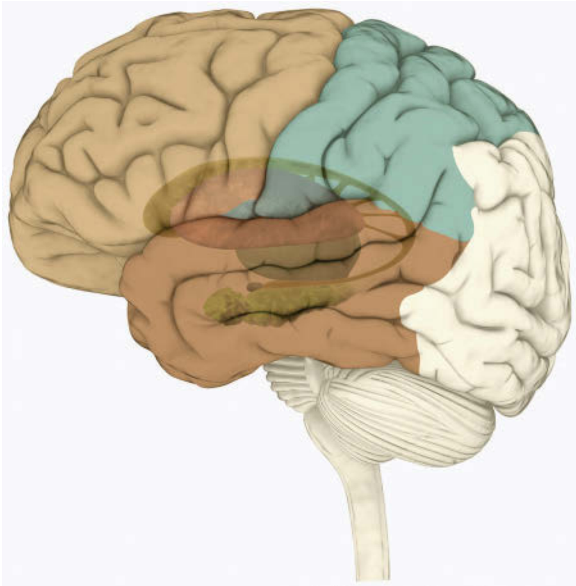
—Headline *LA Times,* July 9, 2014

1 Imagine never again forgetting where you parked your car, or that last item you had on your grocery list, or why you walked into this room anyway. If you trust media stories about research currently under way at Defense Advanced Research Projects Agency (DARPA) to build an implantable device to restore memory, you might not have to worry about these memory lapses in the future.

2 Many neuroscientists share the dream of neuroprosthetic technology that could help damaged brains function. Many such devices are in various stages of experimentation. Beyond helping those with impaired memories, the next step could conceivably be implantable "brain chips" that would improve the memories of the rest of us, ensuring that in the future we never forget anything.

3 But what would it really mean if we were able to remember every single thing?

How brains remember



The Human Brain

Source: National Institute on Aging

4 Since the early neurological work on memory in the 1950s and 1960s, studies have demonstrated that memories are not stored in just one part of the brain. They're widely distributed across the whole brain, particularly in an area called the cortex.

5 Contrary to the popular notion, our memories are not stored in our brains like books on shelves in specific categories. They're actively reconstructed from elements scattered throughout various areas of the cortex by a process called encoding.

6 As we experience the world through our eyes, ears, and so on, various groups of neurons in the cortex fire together to form a neural pathway from each of these senses and encode these patterns into memories. That's why the aroma of cornbread may trigger a Thanksgiving dinner memory at grandmother's house many years ago, or the sound of a car backfiring may trigger a panic attack in a war veteran.

7 A structure called the hippocampus, located within the cerebral cortex, plays a vital role in memory. We find the hippocampus is damaged in conditions that affect memory such as Alzheimer's disease.

8 Forgetting, then, is an inability (either temporary or permanent) to retrieve part of the neural pathway that's been encoded in the brain. Increasing forgetfulness is a normal part of the aging process, as the neurons start to lose their connections and pathways start to wither off. Ultimately the brain shrinks and becomes less effective at remembering. The hippocampus is one of the first areas of the brain to deteriorate with age.

Some things are better left forgotten

9 I believe that forgetting is almost as critical as remembering.

10 I study the brain and examine how language, communication, and hence memory are represented in the brain and the influence disorders such as stroke and post-traumatic stress disorder (PTSD) have on it. While human memory is dynamic and flexible, it's also susceptible to distortions arising from aging and pathological processes.

11 But forgetting isn't just a loss that comes with age. It's a normal part of the memory process. We don't need to remember a lot of what happens to us—what we made for dinner two years ago, where we left the car the last five times we parked in this lot. Those are examples of things that aren't useful to remember anymore.

12 There's also the question of memories that are actively hindering our lives. Research suggests, and my work with memory-related conditions corroborates, that some people have an inability to forget traumatic events. This characteristic is partially responsible for conditions including depression and PTSD.

13 When memories of terrible events don't fade naturally, can we move on with our lives?

14 A patient diagnosed with PTSD-related depression in one of my studies wanted to suppress all memories of his combat experience. He lost two friends in a particular battle and has had difficulty getting past that experience. It appears that we cannot willfully eliminate memories.

15 He tells me that yes, he would like to recall where he put his car keys and would like to remember his children's birthdays, but he would rather eliminate the traumatic memories of his combat experience.

"The mission of the National Center for PTSD is to advance the clinical care and social welfare of America's Veterans and others who have experienced trauma, or who suffer from PTSD, through research, education, and training in the science, diagnosis, and treatment of PTSD and stress-related disorders."

—National Center for PTSD

16 Developing technology for total recall may sound wonderful and time-saving for improving daily living. Never forget an appointment, never spend precious minutes looking for misplaced keys, perhaps never even need a calendar to remember important events. And, of course, an implantable brain chip would be a huge boon for those whose memories have been destroyed by disease or injury. But there's a hitch to total recall that doesn't allow us as individuals and as a society to forget.

17 Perfect memory engenders stasis—the legacy of any failures (personal or in others) won't be allowed to fade and therefore we cannot move past them. Forgetting allows for new beginnings and for personal and societal healing and forgiveness. It is critical for a war veteran to advance past a traumatizing event from the battlefield, or a spouse with hurt feelings to be able to let go of that experience to repair a relationship. We all need to let some memories go; it's part of the process that allows us to appreciate the proverbial forest of our existence while not getting too bogged down with the trees of our daily lives.

18 For better or worse, technology for not ever forgetting may be here sometime soon. Whatever form this imagined external memory enhancement takes, it will be interesting to see how a new way of remembering changes us in return.

19 Perhaps some of us may have to add one more thing to our list—remember to forget.

Forming a Preliminary Understanding of Topic and Purpose

2.2 Form a preliminary understanding of topic and purpose based on your preview.

Based on a quick preview—*skimming*, not word-for-word reading just yet—restate the topic and purpose of the selection in your own words:

> Devices to improve memory and reduce forgetfulness are coming; but we should be cautious in welcoming them because at least some forgetting is a natural part of remembering and may even be beneficial.

Where would you place the article on a continuum ranging from explanatory to persuasive?

Explain______I____________Persuade

Why did we locate the article at a point *between* Explain and Persuade? As noted earlier, authors often do both in one article, and Jyutika Mehta does so here. Based on a quick preview, we've classified the author's purpose as more explanatory than persuasive. Why?

Even from a brief preview, we can see that Mehta both explains how the brain stores and processes memories and argues that some amount of forgetting is useful. The paragraphs of the selection devoted to storage and processing are informational, while the paragraphs devoted to the usefulness of forgetting express Mehta's opinion. From our brief preview, it's possible to get a clear sense of Mehta's purpose: to both explain *and* argue. Mehta has weighted the article more toward explanation. She is not making a strong argument: for instance, that implanted memory chips are a terrible idea. Rather, she's urging caution. From the preview, then, we can determine purpose, topic, and a general sense of content:

Purpose	to explain *and* argue
Topic	brain implants that enhance memory
Content	pluses and minuses of forgetting and of brain implants that enhance memory
Preliminary Summary	We should respond cautiously to brain implants designed to enhance memory.

Rereading for Content and Structure

2.3 Reread for content and structure.

Once you've previewed a selection, reread it carefully. Read every word, prepared to make notes:

- Label sections. Make margin notes to highlight a reading's main sections—that is, groupings of related paragraphs. (The author may have done this for you by providing headings.)
- Underline or highlight the main idea and supporting ideas of each section.
- Label the thesis. Every selection will have a main point, a thesis. Underline or highlight it.
- Is the author's purpose to inform, to persuade, or both?
  - If the purpose is to inform, identify the topic and its parts. Identify facts, examples, definitions, processes.
  - If the purpose is to persuade, identify the author's claim—the main opinion. Identify reasons and evidence. Is the author arguing based on logic? On emotions?
- Identify what you *don't* understand.

Skim the source once more and review your notes. Distinguish as clearly as you can between what you do and do not understand.

- In two or three sentences, restate the main point.
- Seek out others to clarify what you do not understand.

Consider how a section of this reading looks after it's been marked up:[2]

(4–5) Memory consists of parts distributed throughout brain

(6) Each sense has corresponding brain area to store parts of memories. Connections across parts form memories.

(7) Disease affects memory

(8) Forgetting is natural part of aging. Neural connections break down.

How Brains Remember

4 Since the early neurological work on memory in the 1950s and 1960s, studies have demonstrated that memories are not stored in just one part of the brain. They're widely distributed across the whole brain, particularly in an area called the cortex.

5 Contrary to the popular notion, our memories are not stored in our brains like books on shelves in specific categories. They're actively reconstructed from elements scattered throughout various areas of the cortex by a process called encoding.

6 As we experience the world through our eyes, ears, and so on, various groups of neurons in the cortex fire together to form a neural pathway from each of these senses and encode these patterns into memories. That's why the aroma of cornbread may trigger a Thanksgiving dinner memory at grandmother's house many years ago, or the sound of a car backfiring may trigger a panic attack in a war veteran.

7 A structure called the hippocampus, located within the cerebral cortex, plays a vital role in memory. We find the hippocampus is damaged in conditions that affect memory such as Alzheimer's disease.

8 Forgetting, then, is an inability (either temporary or permanent) to retrieve part of the neural pathway that's been encoded in the brain. Increasing forgetfulness is a normal part of the aging process, as the neurons start to lose their connections and pathways start to wither off. Ultimately the brain shrinks and becomes less effective at remembering. The hippocampus is one of the first areas of the brain to deteriorate with age.

[2] You'll find a second marked-up section of this article as well as a complete summary in Chapter 3.

Exercise 2.2

Marking up a passage

Reread the opening of the article by Mehta (p. 16) and mark up paragraphs 1–3.

- In the margin, label this opening section "Introduction." Write a few words beneath this label to express the meaning of these paragraphs.
- Underline, circle, or otherwise highlight what you consider important information in these paragraphs. Turn to page 27 in Chapter 3 to read a second section of Mehta's article with margin notes and highlights. Would you have marked-up the passage the same way? Why or why not?

Reread the end of Mehta's article (p. 18) and mark up paragraphs 18 and 19.

- In the margin, label this section "Conclusion." Write a few words beneath this label to express the meaning of these paragraphs.
- Underline, circle, or otherwise highlight what you consider important information in these paragraphs.

Looking Ahead

Reading with attention—careful reading that helps you distinguish between what you do and do not understand—takes more time than casual, haphazard reading. In a college setting, though, reading with attention ultimately saves time because you won't be returning to a source when writing a paper and ask, "What did that author say?"

Now that you've read attentively and have understood Mehta's article on the prospect of chip-based brain implants, you can follow in Chapter 3 how creating section heads and margin notes prepare you for writing a summary.

Writing Assignment: Reading with Attention

Choose a brief article (12–15 paragraphs) of interest in a newspaper or magazine (print or online). Preview it to gain a quick sense of the whole, then reread it and make margin notes as illustrated in this chapter. Based on your reading, write a preliminary one-sentence summary of the article after stating its purpose, topic, and content.

Chapter 3
Summarizing and Paraphrasing Sources

Learning Objectives

After completing this chapter, you will be able to:

3.1 Summarize and paraphrase parts of sources.

3.2 Summarize entire works using a systematic strategy.

3.3 Write a summary of an especially challenging source.

3.4 Write summaries of visual presentations, including graphs, charts, and tables.

3.5 Avoid plagiarism by citing sources and using your own words and sentence structure.

Summarizing and Paraphrasing *Parts* of Sources

3.1 Summarize and paraphrase parts of sources.

A summary is a brief, objective, and complete restatement of a source. At times, instructors will ask that you summarize an *entire* article or book as a stand-alone assignment. In such cases, your summary will be a paper unto itself (more on this below). More typically, you will read an article or book and identify potentially useful *parts*—a few sentences or paragraphs, perhaps. Later, you might summarize these parts and incorporate them into your papers.

A paraphrase is also an objective restatement of a source, and you use it the same way you do a summary. Paraphrases are more detailed than summaries, however, and sometimes may be the same length of the original passage. Summary and paraphrase are basic to working with sources. Both demonstrate your understanding of what you've read.

When to Summarize and Paraphrase

Summarize:

- To present main points of a lengthy passage (article or book)
- To condense long lists or other details

Paraphrase:

- To clarify a short or complex passage
- To emphasize main points

Quote:

- To capture another writer's particularly memorable language
- To capture another writer's clearly and economically stated language
- To lend authority and credibility to your own writing

Summarizing *Parts* of Sources

To write a summary of a few sentences or paragraphs, follow these steps:

1. Identify the *part* of the source you want to use.
2. Decide whether you want to summarize, paraphrase, or quote from the source.
3. State as briefly as possible your understanding of the author's point.
   - Condense lists into phrases (a list of governors, for example, could be condensed to *current governors*).
   - Reduce multiple examples to a single example (or eliminate examples altogether).
   - Condense stages of a detailed process to a single, descriptive statement.
4. Use your own words. (Quote an occasional word or brief phrase.)
5. Use your own sentence structure. Do not copy the author's sentence structure, substituting your words for the author's.
6. Credit the author. See Chapter 10 for details on citation format.

Here's a paragraph (from a lengthy article) used as a source for a paper on using computers to rebuild distressed communities:

ORIGINAL PASSAGE

In the United States, communities seem to be deteriorating from a complex combination of causes. In the inner cities of big urban centers, many people fear street crime and stay off the streets at night. In the larger suburban and post-suburban areas, many people hardly know their neighbors and "latch key" children often have little adult contact after school. An African proverb which says that "it takes a whole village to raise a child" refers to a rich community life with a sense of mutual responsibility that is difficult to find in many new neighborhoods. . . . Some advocates believe that computer technology in concert with other efforts could play a role in rebuilding community life by improving communication, economic opportunity, civic participation, and education.

—Rob Kling, "Social Relationships in Electronic Forums"

Here's a summary of the source as it might appear on a digital note card:

> **COMPUTER POWER TO HELP HEAL BROKEN COMMUNITIES**
>
> Using tech tools to communicate may keep people talking within communities that are in decline. A community depends on people acting in the interests of neighbors for the common good. Computers can be part of the solution for rebuilding. (Kling 439)

And here's how this summary (highlighted) might appear in a paper titled "Re-imagining Our Neighborhoods." Notice the citation, which combines the source author's name in the lead-up to the summary and a page reference.

> In a pattern that's all too common, the character of a neighborhood can quickly change when good jobs disappear. Neighborhoods once anchored by middle-class manufacturing work disintegrate as homeowners are laid off. Unable to pay the mortgage, people abandon their homes and urban blight sets in, both physical and social. Houses with weed-choked lots and boarded-up windows form the outward signs of decline. Those who remain give up on their neighborhood. They might stop visiting on summer evenings or stop calling to see if everything's okay when a walkway goes unshoveled in winter. Hope may be on the way, however, in programs that introduce computers to marginal neighborhoods. According to sociologist Rob Kling, using computers to communicate may keep people talking within communities that are in decline. A community, after all, is built on people acting in the interests of neighbors for the common good. Computers can be part of the solution for rebuilding (439).
>
> In one neighborhood in Detroit, . . .

CAN A SUMMARY BE OBJECTIVE? By definition, writing a summary requires you to select and restate some parts of the original source and leave out other parts. Deciding what to select and what to leave out calls for your personal judgment, so a summary is in one sense a work of interpretation. And certainly your interpretation of a passage may differ from another person's.

One factor affecting the nature and quality of your interpretation is prior knowledge. If you're new to the subject of anthropology, say, and you're summarizing a journal article in that field, your summary will likely differ from that of your professor. She's an expert, after all, who will have a much clearer sense of what information is crucial and should be included in a summary.

Still, one must begin somewhere. Every expert at some point was a novice. As you gain experience in a subject area, you'll gain in confidence and accuracy. In most cases it's possible to produce a reasonably objective, and accurate, summary of a passage if you read with attention and make a conscious, good-faith effort to be unbiased—which means not allowing your own feelings on the subject to distort your account of the text.

Paraphrasing *Parts* of Sources

Paraphrase a passage when you want to preserve all (or virtually all) the points, major and minor, of a brief original passage and when, for clarity (perhaps the language of the original is especially complex), you want to communicate the ideas in your own words. To avoid plagiarism when paraphrasing, bear two principles in mind:

1. Use your own words. Quote only an occasional word or brief phrase, if needed.
2. Use your own sentence structure. Do not reproduce the author's sentence structure.

ORIGINAL PASSAGE

> We have found out that the distortion in dreams which hinders our understanding of them is due to the activities of a censorship, directed against the unacceptable, unconscious wish-impulses.
>
> —Sigmund Freud

Here's a paraphrase as it might appear on a digital note card. As you can see, it is as long as Freud's original passage.

CENSORSHIP OF DREAMS

It is difficult to understand dreams because they contain distortions. Freud believed that these distortions arise from our internal censor, which attempts to suppress unconscious and forbidden thoughts.

You incorporate paraphrases into your writing just as you do summaries, as illustrated above.

Summarizing Entire Works

3.2 Summarize entire works using a systematic strategy.

Sometimes you will be asked to write stand-alone summaries—brief papers that summarize an entire source. For instance, an instructor may ask you to summarize a lecture, an article, or a book in order to assess your level of understanding. The remainder of this chapter prepares you to write a stand-alone summary. Here are three typical assignments that call for a summary:

Film Studies	Summarize Harvey Greenberg's essay on the film classic *King Kong*.
Mathematics	Read "Structuring Mathematical Proofs" by Uri Leron [*The American Mathematical Monthly* 90 (March 1983): 174–85]. In two to four pages, summarize the concept of linear proof, giving one good example from this course.
Psychology	Summarize Leon Festinger's theory of cognitive dissonance.

Guidelines for Writing Summaries

- **Read the passage carefully.** Determine its structure. Identify the author's purpose in writing. (This will help you distinguish between more important and less important information.) Make a note in the margin when you get confused or when you think something is important; highlight or underline points sparingly, if at all.
- **Reread.** This time divide the passage into sections or stages of thought. The author's use of paragraphing will often be a useful guide. Label, on the passage itself, each section or stage of thought. Underline key ideas and terms. Write notes in the margin.
- **Write one-sentence summaries,** on a separate sheet of paper, of each stage of thought.
- **Write a thesis—a one- or two-sentence summary of the entire passage.** The thesis should express the central idea of the passage, as you have determined it from the preceding steps. You may find it useful to follow the approach of most newspaper stories—naming the what, who, why, where, when, and how of the matter. For persuasive passages, summarize in a sentence the author's conclusion. For descriptive passages, indicate the subject of the description and its key feature(s). *Note:* In some cases, a suitable thesis may already be in the original passage. If so, you may want to quote it directly in your summary.
- **Write the first draft of your summary** by (1) combining the thesis with your list of one-sentence summaries or (2) combining the thesis with one-sentence summaries plus significant details from the passage. In either case, eliminate repetition and less important information. Disregard minor details or generalize them (e.g., George W. Bush and Barack Obama might be generalized as "recent presidents"). Use as few words as possible to convey the main ideas.
- **Check your summary against the original passage** and make whatever adjustments are necessary for accuracy and completeness.
- **Revise your summary,** inserting transitional words and phrases where necessary to ensure coherence. Check for style. Avoid a series of short, choppy sentences. Combine sentences for a smooth, logical flow of ideas. Check for grammatical correctness, punctuation, and spelling.

Read, Reread, and Highlight

Here are three goals in writing a stand-alone summary:

1. To state the author's thesis.
2. To state the author's purpose (which will usually be to inform or argue).
3. To state the main ideas that support of the thesis.

As we've seen in Chapter 2, achieving these goals requires reading with attention. Before summarizing a source, underline key phrases or sentences; circle important words; at each paragraph, and write three- to five-word summaries in the margin. If the author has grouped paragraphs according to specific ideas, give these groupings a label. (The writer may already identify such sections for you by providing headings.) See Chapter 2, Jyutika Mehta's article on digital memory enhancements, pages 16–18. Here are margin notes and highlights for the second of two sections she labeled for her readers:

Some Things Are Better Left Forgotten

9 I believe that forgetting is almost as critical as remembering.

(9) Forgetting is important.

10 I study the brain and examine how language, communication, and hence memory are represented in the brain and the influence disorders such as stroke and post-traumatic stress disorder (PTSD) have on it. While human memory is dynamic and flexible, it's also susceptible to distortions arising from aging and pathological processes.

(10) Disease and age can harm brain.

11 But forgetting isn't just a loss that comes with age. It's a normal part of the memory process. We don't need to remember a lot of what happens to us—what we made for dinner two years ago, where we left the car the last five times we parked in this lot. Those are examples of things that aren't useful to remember anymore.

(11) Forgetting is normal and useful (no need to recall useless details).

12 There's also the question of memories that are actively hindering our lives. Research suggests, and my work with memory-related conditions corroborates, that some people have an inability to forget traumatic events. This characteristic is partially responsible for conditions including depression and PTSD.

13 When memories of terrible events don't fade naturally, can we move on with our lives?

14 A patient diagnosed with PTSD-related depression in one of my studies wanted to suppress all memories of his combat experience. He lost two friends in a particular battle and has had difficulty getting past that experience. It appears that we cannot willfully eliminate memories.

15 He tells me that yes, he would like to recall where he put his car keys and would like to remember his children's birthdays, but would rather eliminate the traumatic memories of his combat experience.

(12-15) Traumas we can't forget can cause PTSD and depression.

16 Developing technology for total recall may sound wonderful and time-saving for improving daily living. Never forget an appointment, never spend precious minutes looking for misplaced keys, perhaps never even need a calendar to remember important events. And, of course, an implantable brain chip would be a huge boon for those whose memories have been destroyed by disease or injury. But there's a hitch to total recall that doesn't allow us as individuals and as a society to forget.

17 Perfect memory engenders stasis—the legacy of any failures (personal or in others) won't be allowed to fade and therefore we cannot move past them. Forgetting allows for new beginnings and for personal and societal healing and forgiveness. It is critical for a war veteran to advance past a traumatizing event from the battlefield, or a spouse with hurt feelings to be able to let go of that experience to repair a relationship. We all need to let some memories go; it's part of the process that allows us to appreciate the proverbial forest of our existence while not getting too bogged down with the trees of our daily lives.

(16-17) Caution: Despite benefits, a "total recall" brain chip would not allow us to forget. Forgetting is useful: (1) prevents "stasis" (2) enables new starts (3) lets traumas fade.

Divide into Stages of Thought and Write a Brief Summary of Each Stage of Thought

Before writing a summary, review the sections you've identified and labeled (if the source author has not already provided headings). For each section, convert your margin notes to sentences. Mehta labeled two main sections of her article: "How brains remember" and "Some things are better left forgotten." In addition to these we've labeled the opening and closing sections "Introduction" and "Conclusion." Here are the four sections headings for her article, along with sentences of summary for each:

Introduction: paragraphs 1–3

> Devices to enhance memory are coming. Just as prosthetic limbs improve the function of people who have lost an arm or leg, "neuroprosthetic technology" holds the potential to improve the function of those with diminished memories.

Section 1: How brains remember, paragraphs 4–8

> The brain does not store memories whole "like books on shelves." Rather, it "widely distribute[s]" the constituent parts of memories to various areas associated with functions like sight and smell. A memory is "encode[d]" through connections among areas and can be lost when these connections break down due to disease or the natural aging process.

Section 2: Some things are better left forgotten, paragraphs 9–15

> Mehta claims that "forgetting is almost as critical as remembering" both in terms of what we typically and usefully forget and what we can't forget. We don't need to remember insignificant details (like what we ate for dinner years ago). At the same time, traumas we can't forget can disrupt our lives. Soldiers who can't forget deadly battles can suffer from depression.

Conclusion: paragraphs 16–19

> Brain chips to enhance memory could benefit people, but we should be cautious because, while forgetting can be useful, perfect memory comes with potential problems. Enhanced memories could relieve us of tedious problems like misplacing keys and could also restore function to people with damaged brains. Yet forgetting has its uses in allowing traumatized people and societies to move on from a painful past to new beginnings. Even as they improve our memories, we may need for our own good to "remember to forget."

Write a Thesis: A Brief Summary of the Entire Passage

The thesis is the statement that announces a paper's subject and the claim that you or—in the case of a summary—a source author will be making about that subject. It is the one-sentence conclusion, or main idea, of the selection. The thesis will be the most general statement of your summary and (absent details, of course) can serve *as* a summary.

Every selection you read will have a thesis, a main point. Begin the summary paper with *your* summary of the author's thesis. The thesis may be located at the beginning of the work. This is called a *deductive* organization: main idea first, supporting details following. The author may locate the thesis at the end of the work: specific details first, leading to the main idea. This is called an *inductive* organization. The author might also locate the thesis anywhere between the beginning and the end.

Here's our summary of Jyutika Mehta's thesis for her article on implantable memory devices:

Our Thesis: In the online journal *The Conversation*, brain and communications researcher Jyutika Mehta reports that devices to reduce forgetfulness are coming and advises that we respond cautiously because at least some forgetting is a natural, beneficial part of remembering.

Your brief restatement of the author's thesis is the most important sentence of your summary, and you should rewrite as necessary until you've accurately distilled the author's main idea. (We revised the thesis of Mehta's article three times before settling on the version above.)

Draft 1: Forgetting is important to memory.
Problem: Statement makes no mention of devices to enhance memory.

Draft 2: Devices to improve memory are coming, but we should be cautious in welcoming them.
Problem: Better because it introduces Mehta's caution. But there's no attempt to *explain* the caution.

Draft 3: Devices to reduce forgetfulness are coming, but we should be cautious in welcoming them because at least some forgetting is a natural, beneficial part of remembering.
Problem: No mention of author or source.

Write Your Summary

To organize your summary, join paragraph or section summaries to your version of the thesis. After placing these sentences into paragraph form, revise to ensure the smooth flow of ideas and to eliminate redundancy. Match the length of your summary to your intended use of the summary. As a general rule, the longest summaries should be no longer than one-fourth the length of the original source. If you are summarizing a book, a book chapter, or an especially long article, your summary should be quite a bit shorter than that.

WRITE A ONE- OR TWO-SENTENCE SUMMARY. The briefest summary would consist of the thesis only—and, possibly, a brief expansion to essential points of the passage. You might use a one-sentence summary to introduce a quotation or to make a brief reference to a source.

WRITE A MIDDLE-LENGTH SUMMARY. When you devote a paragraph or more to discussing a source, you may want to introduce it with a longer summary. Follow the thesis with section summaries. You'll likely need to revise to ensure smooth flow among sentences and to eliminate repetition. Note that we've highlighted transitions.

A Summary of "External Enhancements of Memory May Soon Go High-Tech" by Jyutika Mehta

In the online journal *The Conversation*, brain and communications researcher Jyutika Mehtra reports that devices to reduce forgetfulness are coming and advises that we respond cautiously because at least some forgetting is a natural, beneficial part of remembering. The promise of enhanced memory is enormous: Just as prosthetic limbs improve the function of people who have lost an arm or leg, "neuroprosthetic technology" holds out the potential to improve the function of those with diminished memories. The brain, Mehta explains, does not store memories whole "like books on shelves." Rather, it "widely distribute[s]" the constituent parts of memories to various areas associated with functions like sight and smell. A memory is "encode[d]" through connections among areas and can be lost when these connections break down due to disease or the natural aging process. Mehta claims that "forgetting is almost as critical as remembering" both in terms of what we typically and usefully forget and what we can't. We don't need to remember insignificant details like what we ate for dinner years ago. At the same time, traumas we can't forget can disrupt our lives. For instance, soldiers who can't forget deadly battles can suffer from depression or PTSD. Brain chips to enhance memory could benefit many, but we should be cautious about such technology because perfect memory comes with potential problems. True, enhanced memories could relieve us of tedious problems like misplacing keys and could also restore function to people with damaged brains. Yet forgetting has its uses, allowing people and entire societies to move on from painful pasts to new beginnings. Even as technologies that enhance memories improve our memories, for our own good we may need to "remember to forget."

WRITE AN EXPANDED SUMMARY. A third, more detailed kind of summary consists of a thesis followed by summaries of most of the selection's paragraphs. Use an expanded summary when you intend to devote significant discussion to the source—if, for instance, you are planning to evaluate it. In this case you would summarize more closely, including more details so that you would introduce each point thoroughly (and neutrally) before evaluating it. This is the approach taken by the student who wrote the model critique in Chapter 5. In that paper, the writer devotes three full paragraphs of summary to the article she is evaluating. The point to remember is that a summary has no fixed length (although by definition it is a *brief* restatement); rather, you should expand it and trim it according to your needs.

Summarizing Challenging Sources

3.3 Write a summary of an especially challenging source.

Inevitably, you will encounter readings that challenge you—that on first glance may seem too difficult or too long for easy comprehension. When you encounter such material, use the skills learned in Chapter 2 on attentive reading and the skills learned here to read and understand, and then demonstrate your understanding by writing a summary. Take heart: If you work systematically, you will make progress. Remember that you don't need to read a difficult source all in one sitting. If, in previewing the selection, you can identify sections (or if the author has labeled sections), read and make margin notes for one section at a sitting. Return to the assignment regularly, reading a section (or two) at a time, and soon enough you'll have completed the task.

In "The Baby in the Well," by Paul Bloom, we find a fascinating but challenging essay on the topic of "empathy": the ability to imagine yourself in someone else's circumstance and "feel his or her pain." We've eased the difficulty of the piece in three ways:

- Leading off with a summary
- Providing section headings, which do not appear in the original *New Yorker* essay
- Highlighting the thesis

When encountering challenging selections on your own, you won't have the benefit of these aids—although authors will, on occasion, divide their work with section headings. Still, by reading systematically, you *can* take on difficult material and understand it.

Reading and Summarizing Challenging Sources

- Use your preview skills (see Chapter 2, "Reading with Attention").
- Realize you may not complete your reading in one sitting.
- Expect to be confused. When you encounter sentences that confuse you, reread them. Place a question mark in the margin. Move on—and when you complete your reading, revisit passages you've highlighted with a question mark.
- Identifying sections as you read—groupings of related paragraphs—is a key to understanding: the better you can divide the whole into parts, distinguishing main ideas from supporting ideas, the clearer the entire piece will be.

Demonstration Summary of Paul Bloom's "The Baby in the Well"

Read this summary of "The Baby in the Well" before reading the essay itself. After reading, you can follow the process of how we wrote section summaries and prepared to write the summary.

> In "The Baby in the Well: The Case against Empathy," Paul Bloom argues that, while empathy is important in fostering positive human relationships, we should prefer reason as a guide to social policy because empathy's focus on the distress of one individual may blind us to the suffering of thousands whose names and faces we do not know. Bloom begins with an uncontroversial point: Many believe that what makes us moral beings is empathy, the ability to see the world from others' points of view, to feel their pain and distress, and to feel the impulse to help them. Most people are capable of empathy, a quality Bloom believes is necessary not only for human progress but also for the survival of our species.
>
> There is a downside to empathy, however: Empathy tends to focus on the distress of individuals or relatively small groups of individuals whose names and faces we know, a phenomenon known as the "identifiable victim effect." But the same people who feel empathetic toward individuals can be oblivious to large-scale catastrophes such as genocide, mass starvation, and deaths due to preventable illnesses as well as to routine homicides that occur in the thousands every year. Because our empathetic impulses may overpower our "dispassionate analysis of a situation," empathy can "lead us astray." When we act only on impulses of empathy, we may help a relatively small number of identifiable individuals, but we often ignore many other individuals who don't have "names or stories" or with whose political values we don't sympathize.
>
> For this reason, good moral judgment often requires us to put empathy aside; to assume that all lives have the same value; and to use qualities like "prudence, reason, fairness [and] self-control" to plan for the well-being of humanity as a whole. Of course, no one wants to live in a world without empathy. As a moral guide, however, empathy should "yield to reason." Our generous assistance to the few is often wasted. But assistance to the many, "guided by deliberation and calculation," is essential for the future well-being of the billions of people who constitute humankind.

Before reading a challenging selection word for word, PREVIEW it.

- Read the title: if you do not understand every word in the title, consult a dictionary. In this example, do not proceed until you understand the word *empathy.*
- Read the entire first paragraph.
- Read the first sentence of every subsequent paragraph.
- Read the full final paragraph.

After you have previewed the selection, reread with attention. This time divide the passage into sections or stages of thought. The author's use of paragraphing will often be a useful guide. On the passage itself, label each section or stage of thought. Underline key ideas and terms. Write notes in the margin. *Note:* The section headings we provided to aid your reading do not appear in the original *New Yorker* essay.

The Baby in the Well: The Case against Empathy*

—Paul Bloom

Paul Bloom, professor of psychology and cognitive science at Yale University, is also co-editor-in-chief of the scientific journal Behavioral and Brain Sciences. He is the author of numerous articles and books, including How Children Learn the Meaning of Words *(2000) and* How Pleasure Works: The New Science of How We Like What We Like *(2010). This article appeared in* The New Yorker *on May 20, 2013*.

SECTION 1: Definition and importance of empathy.

1 In 2008, Karina Encarnacion, an eight-year-old girl from Missouri, wrote to President-elect Barack Obama with some advice about what kind of dog he should get for his daughters. She also suggested that he enforce recycling and ban unnecessary wars. Obama wrote to thank her, and offered some advice of his own: "If you don't already know what it means, I want you to look up the word 'empathy' in the dictionary. I believe we don't have enough empathy in our world today, and it is up to your generation to change that."

2 This wasn't the first time Obama had spoken up for empathy. Two years earlier, in a commencement address at Xavier University, he discussed the importance of being able "to see the world through the eyes of those who are different from us—the child who's hungry, the steelworker who's been laid off, the family who lost the entire life they built together when the storm came to town." He went on, "When you think like this—when you choose to broaden your ambit of concern and empathize with the plight of others, whether they are close friends or distant strangers—it becomes harder not to act, harder not to help."

3 The word "empathy"—a rendering of the German *Einfühlung*, "feeling into"—is only a century old, but people have been interested for a long time in the moral implications of feeling our way into the lives of others. In "The Theory of Moral Sentiments" (1759), Adam Smith observed that sensory experience alone could not spur us toward sympathetic engagement with others: "Though our brother is upon the rack, as long as we ourselves are at our ease, our senses will never inform us of what he suffers." For Smith, what made us moral beings was the imaginative capacity to "place ourselves in his situation . . . and become in some measure the same person with him, and thence form some idea of his sensations, and even feel something which, though weaker in degree, is not altogether unlike them."

4 In this sense, empathy is an instinctive mirroring of others' experience—James Bond gets his testicles mashed in "Casino Royale," and male moviegoers grimace and cross their legs. Smith talks of how "persons of delicate fibres" who notice a beggar's sores and ulcers "are apt to feel an itching or uneasy sensation in the correspondent part of their own bodies." There is now widespread support, in the social sciences, for what the psychologist C. Daniel Batson calls "the

empathy-altruism hypothesis." Batson has found that simply instructing his subjects to take another's perspective made them more caring and more likely to help.

SECTION 2: Empathy necessary to human survival?

"The word 'empathy' . . . is only a century old, but people have been interested for a long time in the moral implications of feeling our way into the lives of others."

5 Empathy research is thriving these days, as cognitive neuroscience undergoes what some call an "affective revolution." There is increasing focus on the emotions, especially those involved in moral thought and action. We've learned, for instance, that some of the same neural systems that are active when we are in pain become engaged when we observe the suffering of others. Other researchers are exploring how empathy emerges in chimpanzee and other primates, how it flowers in young children, and the sort of circumstances that trigger it.

6 This interest isn't just theoretical. If we can figure out how empathy works, we might be able to produce more of it. Some individuals stanch their empathy through the deliberate endorsement of political or religious ideologies that promote cruelty toward their adversaries, while others are deficient because of bad genes, abusive parenting, brutal experience, or the usual unhappy goulash of all of the above. At an extreme lie the 1 percent or so of people who are clinically described as psychopaths. A standard checklist for the condition includes "callousness; lack of empathy"; many other distinguishing psychopathic traits, like lack of guilt and pathological lying, surely stem from this fundamental deficit. Some blame the empathy-deficient for much of the suffering in the world. In *The Science of Evil: On Empathy and the Origins of Cruelty* (Basic Books), Simon Baron-Cohen goes so far as to equate evil with "empathy erosion."

7 In a thoughtful new book on bullying, *Sticks and Stones* (Random House), Emily Bazelon writes, "The scariest aspect of bullying is the utter lack of empathy"—a diagnosis that she applies not only to the bullies but also to those who do nothing to help the victims. Few of those involved in bullying, she cautions, will turn into full-blown psychopaths. Rather, the empathy gap is situational: Bullies have come to see their victims as worthless; they have chosen to shut down their empathetic responses. But most will outgrow—and perhaps regret—their terrible behavior. "The key is to remember that almost everyone has the capacity for empathy and decency—and to tend that seed as best as we possibly can," she maintains.

8 Two other recent books, *The Empathic Civilization* (Penguin), by Jeremy Rifkin, and *Humanity on a Tightrope* (Rowman & Littlefield), by Paul R. Ehrlich and Robert E. Ornstein, make the powerful argument that empathy has been the main driver of human progress, and that we need more of it if our species is to survive. Ehrlich and Ornstein want us "to emotionally join a global family." Rifkin calls for us to make the leap to "global empathic consciousness." He sees this as the last best hope for saving the world from environmental destruction, and concludes with the plaintive question "Can we reach biosphere consciousness and global empathy in time to avoid planetary collapse?" These are sophisticated books, which provide extensive and accessible reviews of the scholarly literature on empathy. And, as befits the spirit of the times, they enthusiastically champion an increase in empathy as a cure for humanity's ills.

9 This enthusiasm may be misplaced, however. Empathy has some unfortunate features—it is parochial, narrow-minded, and innumerate.[1] We're often at our best when we're smart enough not to rely on it.

SECTION 3: The problem with empathy: Its focus on "babies in wells."

10 In 1949, Kathy Fiscus, a three-year-old girl, fell into a well in San Marino, California, and the entire nation was captivated by concern. Four decades later, America was transfixed by the plight of Jessica McClure—Baby Jessica—the eighteen-month-old who fell into a narrow well in Texas, in October 1987, triggering a fifty-eight-hour rescue operation. "Everybody in America became godmothers and godfathers of Jessica while this was going on," President Reagan remarked.

11 The immense power of empathy has been demonstrated again and again. It is why Americans were riveted by the fate of Natalee Holloway, the teenager who went missing in Aruba, in 2005. It's why, in the wake of widely reported tragedies and disasters—the tsunami of 2004, Hurricane Katrina the year after, or Sandy [in 2012]—people gave time, money, and even blood. It's why, last December [2012], when twenty children were murdered at Sandy Hook Elementary School, in Newtown, Connecticut, there was a widespread sense of grief, and an intense desire to help. Last month [April 2013], of course, saw a similar outpouring of support for the victims of the Boston Marathon bombing.

SECTION 4: How empathy operates.

12 Why do people respond to these misfortunes and not to others? The psychologist Paul Slovic points out that, when Holloway disappeared, the story of her plight took up far more television time than the concurrent genocide in Darfur. Each day, more than ten times the number of people who died in Hurricane Katrina die because of preventable diseases, and more than thirteen times as many perish from malnutrition.

13 There is, of course, the attention-getting power of new events. Just as we can come to ignore the hum of traffic, we become oblivious of problems that seem unrelenting, like the starvation of children in Africa—or homicide in the United States. In the past three decades, there were some sixty mass shootings, causing about five hundred deaths; that is, about one-tenth of 1 percent of the homicides in America. But mass murders get splashed onto television screens, newspaper headlines, and the Web; the biggest ones settle into our collective memory—Columbine, Virginia Tech, Aurora, Sandy Hook. The 99.9 percent of other homicides are, unless the victim is someone you've heard of, mere background noise.

14 The key to engaging empathy is what has been called "the identifiable victim effect." As the economist Thomas Schelling, writing forty-five years ago, mordantly observed, "Let a six-year-old girl with brown hair need thousands of dollars for an operation that will prolong her life until Christmas, and the post office will be swamped with nickels and dimes to save her. But let it be reported that without a sales tax the hospital facilities of Massachusetts will deteriorate and cause a barely perceptible increase in preventable deaths—not many will drop a tear or reach for their checkbooks."

[1]By *innumerate,* Bloom means unable to think quantitatively, especially in terms of conceiving or appreciating large numbers. Used in this context, *innumerate* means unable to conceive of the great numbers of people who are or will become victims of natural or human-made disasters.

PART 1 Los Angeles Times ALL THE NEWS ALL THE TIME
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VOL. LXVIII CC ★ MONDAY MORNING, APRIL 11, 1949 DAILY, SEVEN CENTS

KATHY'S BODY TAKEN FROM SHAFT

LAST TRIP—The body of little Kathy Fiscus is brought to the surface in the tired arms of Bill Yancey—the first man down last night and the last to come up. The fatigued but eager crews still stood ready to render any service for her—even now. Times photo

KATHY—This snapshot, taken last December of the laughing San Marino child, was then of interest mostly to her parents—whose grief the whole nation now shares.

Church Blast Kills Six and Injures 50

Furnace Explosion Pulls Down Roof on Sunday Throng

MARION, S.D., April 10 (AP) The St. Mary's Catholic Church blew up today while it was partly filled with Palm Sunday worshipers. Six persons were killed and at least 50 injured when the roof and brick walls came tumbling down upon them as they knelt in their pews.

Many more escaped injury because they were in front of the church enjoying the sunshine waiting for the bell to call them to worship. About 75 persons were in their seats.

It was just before the 9 a.m. Mass was to begin.

The Rev. Joseph Zimmerman, 73, pastor for the parish of Marion and Monroe, waited in the sacristy to enter the altar, banked with palm leaves.

Walls Blown Out

Some of the parishioners complained it was cold in the church. Phil Wachendorf, a car dealer who had helped the church obtain a bottle-fuel furnace a few years ago, volunteered to go to the basement and turn it on. The janitor had gone outside to ring the bell.

Wachendorf, speaking from his hospital bed in Sioux Falls, said he threw the furnace's switch and "everything blew up."

The whole building shook, and then bricks and timbers showered down upon the congregation. Wachendorf, badly hurt and his hands burned, managed to crawl out of the basement through a hole in the wreckage.

The force of the blast caved in the roof and blew out the walls. There was a small fire, but it was extinguished quickly.

The sound of the explosion, plus the screams of injured and trapped persons, attracted the attention of nearly every person in this farm town of 775 people.

Bodies Found

They rushed to the crumbled church and began to dig in the rubble. The only part of the building that remained standing was some of the wall around the altar and the choir space.

Father Zimmerman had been trapped by debris falling into the sacristy. Helped out, he escaped with a broken rib and cuts. Then he assisted rescue operations.

Found were the bodies of Mr. and Mrs. John Marson, Mrs. Peter Redding, Mrs. George Bittner and Mrs. Philip Luke, all of Marion, and Charles McGinnis of Monroe. All were in their 60s or 70s.

Hospital Jammed

Ambulances and doctors rushed in from all surrounding communities. Private cars were commandeered to take injured to Sioux Falls and Mitchell, the closest cities with good hospital facilities. Each is about 40 miles from Marion.

The Chicago, Milwaukee, St. Paul & Pacific Railroad provided a special train to carry the injured to Mitchell.

The injured arrived at hospitals so fast, there was no accurate count of the number.

One eyewitness was Miss Agnes

Turn to Page 10, Column [illegible]

FEATURES INDEX

U.S. Troop Increase in Europe Suggested

Secretary of the Army Royall says European leaders stress importance of ground forces in defense planning. They urge necessity of increasing American forces there. See Page 10, Part I.

On Other Pages

WARMEST DAY OF YEAR KEEPS LIFEGUARDS BUSY

Los Angeles' warmest day since last Oct. 22 sent thousands to the beaches yesterday and gave lifeguards their busiest day in two years.

In the South Bay area, from El Porto Beach to Palos Verdes, 143 rescues were made, according to Lt. Bill Stidham of the Los Angeles County Lifeguards.

Stidham said 23 first-aid cases were treated and 11 lost children returned to their parents.

By midmorning the temperature reached 88 deg.—the maximum. Low was 51. All-time record for April 10 is 96 deg., in 1904.

Another warm day is in store for today, the weatherman predicted.

THOUSANDS OF DP'S IN ANTI-RED RIOT

MUNICH, April 10 (AP)—Thousands of displaced persons engaged in a riotous demonstration against Russia today.

American military police dispersed the crowd by using tear gas. An estimated 10,000 persons [illegible] art in the de[illegible]ation

G[illegible]an police said the crowd was protesting [illegible] persecution of churches. The demonstrators marched through Munich's streets and attempted, police said, to break into a building housing a Soviet liaison mission.

At least five persons were reported injured. Several persons were detained for questioning. The marchers were said to consist mostly of Ukrainians.

Cossacks in Van

The procession was led by seven Cossacks carrying a Cossack flag. Many Ukrainians and Cossacks outside Russia have opposed the Soviet regime since the Bolshevik revolution of 1917.

Witnesses said American military police with armored cars prevented the cowd from breaking into the Soviet mission building. The displaced persons grabbed stones from ruined buildings and stoned the Americans. Then the American MPs used tear gas in routing the crowd.

The demonstration started with a mass meeting in Munich's Koenigsplatz. The crowd there was estimated at 10,000, but it had dwindled some by the time the Americans intervened.

The crowd, whipped up by two hours of oratory, set out in an unorganized procession. En route they spotted some "known Com[illegible]

After [illegible] continue[illegible] to the Russian mission quarters. Two German police were among the injured. They were in the vicinity but are prohibited by occupation directives from acting against displaced persons.

A U.S. Army spokesman said the military police used tear gas after the demonstrators refused a request to disperse.

SPORTS SECTION IN WHITE TODAY

Due to mechanical limitations involved in publication of an unusually large paper—56 pages—the sports section in today's Times appears in white instead of its customary green. For the convenience of readers it is published as usual in a four-page separate section which can be removed. It will be found inserted between Pages 22 and 23, Part I.

Grounded Ship Awaits Rescue by Coast Guard

A Coast Guard ship and a salvage tug late last night were standing by the SS Steel Chemist, 15,000-ton freighter, aground at the south end of San Nicholas Island, 90 miles off the Southern California coast.

A hole was stove in the Isthmian Line vessel when she struck the rocks in a dense fog, but she was in no grave danger, agents of the company said, although losing fuel.

The Coast Guard buoy tender Diligence and the tug Kanak attempted to float the ship off the rocks at high tide during the night, but the effort was unsuccesful.

Second Tug Due

A second tug, the Viking, was expected to arrive at the scene before dawn today for a second attempt to refloat the freighter.

The 465-foot craft was bound for Los Angeles-Long Beach Harbor from the Far East and Honolulu with a heavy cargo of Ha[illegible] sugar, coconut [illegible] ber. She went aground at [illegible] but word of her plight did [illegible] reach the harbor area here until two hours later.

Forty-five persons were aboard the vessel, including refugees bound for the United States from Burma.

Shotgun Blast Kills Man on Fishing Boat

A man identified as Harry Anderson, about 45, of 2165 Clifton Ave. was killed by an accidental shotgun blast aboard a small fishing boat in Pyramid Cove, San Clemente Island, yesterday, Coast Guard radio reported.

According to a terse message received at Long Beach headquarters, Anderson met death aboard the boat Coral King, from San Pedro.

DARKNESS FALLS

Parents Learn News Their Child Is Lost

It was in a darkened, modest San Marino home that word of their daughter's death came to Mr. and Mrs. David Fiscus.

Behind drawn shades in their bedroom, the ashen-faced, dry-eyed parents were told by Dr. Paul Hanson that 3½-year-old Kathy would be with them no longer.

The news came at 8:45 p.m., shortly after the anxious parents ended the third of their vigils in a police car, parked with its engine running, in front of the house.

Ready to Follow

From 5:55 until 7:35 p.m. they sat in the car—ready to follow an ambulance carrying their little daughter to the hospital should the rescuers find her alive.

They sat calmly and with little conversation the whole time. Mrs. Fiscus was in the car's back seat with her sister, Mrs. Hamilton Lyon; the father in front with the driver.

Streets leading from the rescue scene past the home and to St. Luke Hospital were blocked and motorcycle officers stood ready to escort the ambulance.

Minister Calls

After Dr. Hanson left the house the parents were visited by a minister.

Down the slope toward the scene of the desperate activity, the nearly incessant glare of news camera flashbulbs whitened the night sky.

But the only one to notice from the Fiscus home was Jeeper, Kathy's black and white dog, who kept his watch from the yard.

San Marino's Epic Drama Magnet for Vast Throngs

A great crowd—between 5000 and 10,000, officers estimated—stood under the hot sun throughout the day yesterday—restive and somber, watching tense volunteer workers fight to rescue Kathy Fiscus.

It was a quiet throng.

Few of the onlookers could know or guess what progress the perspiring rescue crews were making. Yet they stayed on, mutely watching.

Any moment might be the supreme one — when the news would come that Kathy had been reached. The crowd waited.

The spectators covered every conceivable place of vantage. They pressed 30 deep against the 10-foot steel mesh fence which borders the field on the south and east. They strained against the police-guarded ropes that marked off the rescue operation on the north and west.

Few could get a decent look. Even those who had the best spots could see but little. Rugged workers toiling about a 24-inch casing. Men descending into the casing. Buckets filled with earth rising from the top of the rescue pipe. A worker dumping the buckets. Over and over again, hour after hour. That was all.

But as though under a spell the throngs stayed on—to the numbing climax.

THE WEATHER

U.S. Weather Bureau: Scattered high cloudiness today and tomorrow with early morning fog near the coast. Slightly cooler afternoons. High today near 80. Highest temperature yesterday, 88; lowest, 51.

Doctor Asserts Life Apparently Ended Friday After Fall

[Full page of pictures on Kathy Fiscus rescue operations on Page 3, Part I, and more pictures and stories on Pages 2, 4, 5, 6 and 7, Part I.]

Kathy Fiscus is dead.

She died last Friday after she fell into an abandoned well in a San Marino vacant lot and became wedged in a rusty pipe 94 feet underground.

Dr. Paul Hanson made that official announcement to a hushed throng gathered at the scene of heroic rescue attempts at 8:53 p.m. yesterday.

"Kathy apparently has been dead since she was last heard speaking Friday night," the physician said over a public-address system.

He then read a message from the 3½-year-old child's parents, Mr. and Mrs. David H. Fiscus, 2590 Robles Ave.

"There is nothing we can say to thank the people who helped by their many sacrifices," the message said.

Dr. Hanson asked the crowd of several thousand grouped under the shroud of night to leave as a courtesy to the little girl's family.

Drowning Belief Cited

Mrs. Jeanette Lyon, Kathy's aunt, disclosed that the cause of Kathy's death is believed to be drowning. She said she had asked Dr. Hanson if the youngster had drowned, and he said she had.

An autopsy surgeon will be assigned to the case today and an autopsy probably will be scheduled to determine the exact death cause.

Less than one hour after Dr. Hanson made his public announcement Kathy's body was brought from the earth that had clutched her close.

Bill Yancey, San Gabriel cesspool contractor who was the first man to the bottom of the 94-foot rescue shaft, carried it out—the last man to leave the hole.

A vagrant frill of a pink party dress strayed from the gray blanket that covered it as the body was placed in a black hearse from Turner & Stevens Mortuary in Pasadena.

She was wearing the dress when she unaccountably fell through the well opening two inches narrower than this newspaper page.

Hush Greets News

News of Kathy's death was received with hushed frustration by sympathizers who had held a glimmer of hope to the last.

The child's body had been reached in the well pipe at 6:03 p.m. by rescuers who cut through the corroded metal with pneumatic saws.

This was 49 hours and 18 minutes after she dropped into the earth while frolicking in the plowed field.

Her body was grotesquely wedged into a bend in the pipe, her legs jammed hard against the side of the 14-inch-wide well.

Dr. Hanson and Dr. Robert McCullock, the Fiscus family physician, remained after the announcement of her death to assist in extricating the body.

Last Sound Friday

Kathy's last sound came about 6:30 p.m. Friday. She had answered through sobs the questions of her mother shouting frantically down the well.

Then a rope was dropped. Apparently she held to it while it was pulled up a few feet. But her tiny hands lost their grip on the hemp and she fell back against the jagged sides of her dark tomb.

She cried for a while then, softly. And that was all.

From the physician's analysis this presumably was the time of her death.

From all of the Southland men came with equipment to free Kathy from her cylindrical coffin. The plight of the little blond girl captured the sympathy of the world.

Gargantuan Effort Made

A gargantuan effort to pull her free—and alive—from the earth, grew to epic proportions. Men and machines worked without rest, stubbornly determined to lift Kathy into the sunshine again.

Two days of heroism followed. Men risked their lives for the Kathy who lay dead 94 feet beneath them, but who even in the death that was her secret inspired the world to prayer.

And then in a night seared by floodlights came the tragic knowledge that the laughter of Kathy Fiscus was still forever.

News Delayed for Over Two Hours

Official word of the child's death was delayed more than two hours by volunteer supervisors who insisted on prolonged secrecy. Her body was reached by O. A. Kelly and H. E. (Whitey) Blickensderfer.

Raymond Hill, engineer nominally in charge of the rescue operations, first announced that Kathy had been found at 6:03 p.m. He refused to say at first whether the child, whose fate held the world in suspense, was alive or dead.

After repeated conferences at the mouth of the rescue shaft, a white canvaslike bag was lowered into the hole. The bag later was pulled up empty.

Kelly remained at the bottom of the shaft, presumably to attach rescue implements to the child. She was found with her legs hunched into a cramped position.

Rope Pulled With Agonizing Care

Moments later ropes were lowered into the well. Four

Turn to Page 2, Column 1

15 You can see the effect in the lab. The psychologists Tehila Kogut and Ilana Ritov asked some subjects how much money they would give to help develop a drug that would save the life of one child, and asked others how much they would give to save eight children. The answers were about the same. But when Kogut and Ritov told a third group a child's name and age, and showed her picture, the donations shot up—now there were far more to the one than to the eight.

16 The number of victims hardly matters—there is little psychological difference between hearing about the suffering of five thousand and that of five hundred thousand. Imagine reading that two thousand people just died in an earthquake in a remote country, and then discovering that the actual number of deaths was twenty thousand. Do you now feel ten times worse? To the extent that we can recognize the numbers as significant, it's because of reason, not empathy.

SECTION 5: How empathy leads us astray.

17 In the broader context of humanitarianism, as critics like Linda Polman have pointed out, the empathetic reflex can lead us astray. When the perpetrators of violence profit from aid—as in the "taxes" that warlords often demand from international relief agencies—they are actually given an incentive to commit further atrocities. It is similar to the practice of some parents in India who mutilate their children at birth in order to make them more effective beggars. The children's debilities tug at our hearts, but a more dispassionate analysis of the situation is necessary if we are going to do anything meaningful to prevent them.

"A 'politics of empathy' doesn't provide much clarity in the public sphere."

18 A "politics of empathy" doesn't provide much clarity in the public sphere, either. Typically, political disputes involve a disagreement over whom we should empathize *with*. Liberals argue for gun control, for example, by focusing on the victims of gun violence; conservatives point to the unarmed victims of crime, defenseless against the savagery of others. Liberals in favor of tightening federally enforced safety regulations invoke the employee struggling with work-related injuries; their conservative counterparts talk about the small businessman bankrupted by onerous requirements. So don't suppose that if your ideological opponents could only ramp up their empathy they would think just like you.

19 On many issues, empathy can pull us in the wrong direction. The outrage that comes from adopting the perspective of a victim can drive an appetite for retribution. (Think of those statutes named for dead children: Megan's Law, Jessica's Law, Caylee's Law.) But the appetite for retribution is typically indifferent to long-term consequences. In one study, conducted by Jonathan Baron and Ilana Ritov, people were asked how best to punish a company for producing a vaccine that caused the death of a child. Some were told that a higher fine would make the company work harder to manufacture a safer product; others were told that a higher fine would discourage the company from making the vaccine, and since there were no acceptable alternatives on the market the punishment would lead to more deaths. Most people didn't care; they wanted the company fined heavily, whatever the consequence.

20 This dynamic regularly plays out in the realm of criminal justice. In 1987, Willie Horton, a convicted murderer who had been released on furlough from the Northeastern Correctional Center, in Massachusetts, raped a woman after beating

"There's a larger pattern here. Sensible policies often have benefits that are merely statistical, but victims have names and stories."

and tying up her fiancé. The furlough program came to be seen as a humiliating mistake on the part of Governor Michael Dukakis, and was used against him by his opponents during his run for president the following year. Yet the program may have *reduced* the likelihood of such incidents. In fact, a 1987 report found that the recidivism rate in Massachusetts dropped in the eleven years after the program was introduced, and that convicts who were furloughed before being released were less likely to go on to commit a crime than those who were not. The trouble is that you can't point to individuals who *weren't* raped, assaulted, or killed as a result of the program, just as you can't point to a specific person whose life was spared because of vaccination.

21 There's a larger pattern here. Sensible policies often have benefits that are merely statistical, but victims have names and stories. Consider global warming—what Rifkin calls the "escalating entropy bill that now threatens catastrophic climate change and our very existence." As it happens, the limits of empathy are especially stark here. Opponents of restrictions on CO_2 emissions are flush with identifiable victims—all those who will be harmed by increased costs, by business closures. The millions of people who at some unspecified future date will suffer the consequences of our current inaction are, by contrast, pale statistical abstractions.

"[I]t is impossible to empathize with seven billion strangers, or to feel toward someone you've never met the degree of concern you feel for a child, a friend, or a lover."

22 The government's failure to enact prudent long-term policies is often attributed to the incentive system of democratic politics (which favors short-term fixes), and to the powerful influence of money. But the politics of empathy is also to blame. Too often, our concern for specific individuals today means neglecting crises that will harm countless people in the future.

SECTION 6: Empathy isn't enough.

23 Moral judgment entails more than putting oneself in another's shoes. As the philosopher Jesse Prinz points out, some acts that we easily recognize as wrong, such as shoplifting or tax evasion, have no identifiable victim. And plenty of good deeds—disciplining a child for dangerous behavior, enforcing a fair and impartial procedure for determining who should get an organ transplant despite the suffering of those low on the list—require us to put our empathy to one side. Eight deaths are worse than one, even if you know the name of the one; humanitarian aid can, if poorly targeted, be counterproductive; the threat posed by climate change warrants the sacrifices entailed by efforts to ameliorate it. "The decline of violence may owe something to an expansion of empathy," the psychologist Steven Pinker has written, "but it also owes much to harder-boiled faculties like prudence, reason, fairness, self-control, norms and taboos, and conceptions of human rights." A reasoned, even counterempathetic analysis of moral obligation and likely consequences is a better guide to planning for the future than the gut wrench of empathy.

24 Rifkin and others have argued, plausibly, that moral progress involves expanding our concern from the family and the tribe to humanity as a whole. Yet it is impossible to empathize with seven billion strangers, or to feel toward someone you've never

met the degree of concern you feel for a child, a friend, or a lover. Our best hope for the future is not to get people to think of all humanity as family—that's impossible. It lies, instead, in an appreciation of the fact that, even if we don't empathize with distant strangers, their lives have the same value as the lives of those we love.

25 That's not a call for a world without empathy. A race of psychopaths might well be smart enough to invent the principles of solidarity and fairness. (Research suggests that criminal psychopaths are adept at making moral judgments.) The problem with those who are devoid of empathy is that, although they may recognize what's right, they have no motivation to act upon it. Some spark of fellow feeling is needed to convert intelligence into action.

SECTION 7: Concession: Where empathy does matter.

26 But a spark may be all that's needed. Putting aside the extremes of psychopathy, there is no evidence to suggest that the less empathetic are morally worse than the rest of us. Simon Baron-Cohen observes that some people with autism and Asperger's syndrome, though typically empathy-deficient, are highly moral, owing to a strong desire to follow rules and insure that they are applied fairly.

27 Where empathy really does matter is in our personal relationships. Nobody wants to live like Thomas Gradgrind—Charles Dickens's caricature utilitarian, who treats all interactions, including those with his children, in explicitly economic terms. Empathy is what makes us human; it's what makes us both subjects and objects of moral concern. Empathy betrays us only when we take it as a moral guide.

28 Newtown, in the wake of the Sandy Hook massacre, was inundated with so much charity that it became a burden. More than eight hundred volunteers were recruited to deal with the gifts that were sent to the city—all of which kept arriving despite earnest pleas from Newtown officials that charity be directed elsewhere. A vast warehouse was crammed with plush toys the townspeople had no use for; millions of dollars rolled in to this relatively affluent community. We felt their pain; we wanted to help. Meanwhile—just to begin a very long list—almost twenty million American children go to bed hungry each night, and the federal food-stamp program is facing budget cuts of almost 20 percent. Many of the same kindly strangers who paid for Baby Jessica's medical needs support cuts to state Medicaid programs—cuts that will affect millions. Perhaps fifty million Americans will be stricken next year by food-borne illness, yet budget reductions mean that the FDA will be conducting two thousand fewer safety inspections. Even more invisibly, next year the average American will release about twenty metric tons of carbon dioxide into the atmosphere, and many in Congress seek to loosen restrictions on greenhouse gases even further.

"Many of the same kindly strangers who paid for Baby Jessica's medical needs support cuts to state Medicaid programs—cuts that will affect millions."

SECTION 8: Conclusion: Empathy should yield to reason.

29 Such are the paradoxes of empathy. The power of this faculty has something to do with its ability to bring our moral concern into a laser pointer of focused attention. If a planet of billions is to survive, however, we'll need to take into consideration the welfare of people not yet harmed—and, even more, of people not yet born. They have no names, faces, or stories to grip our conscience or stir our fellow feeling. Their prospects call, rather, for deliberation and calculation. Our hearts will always go out to the baby in the well; it's a measure of our humanity. But empathy will have to yield to reason if humanity is to have a future.

Write a Brief Summary of Each Stage of Thought

The purpose of this step is to wean you from the language of the original passage so that you are not tied to it when writing the summary. Here are brief summaries for each stage of thought in the sections of "The Baby in the Well."

Section 1: *Definition and importance of empathy* (paragraphs 1–4).

Many believe that what makes us moral beings is empathy, the ability to see the world from others' points of view, to feel their pain and distress, and to feel the impulse to help them.

Section 2: *Empathy necessary to human survival* (paragraphs 5–8)?

Empathy research focuses on how our moral impulses are affected when we see or sense others who are in pain. Some people feel no distress at the pain of others, but most are capable of empathy, a quality Bloom believes is necessary not only for human progress but also for the survival of our species.

Section 3: *The problem with empathy: its focus on "babies in wells"* (paragraphs 9–11).

Empathy is "parochial, narrow-minded, and innumerate."[2] It tends to focus on individuals or relatively small groups of individuals who are in well-publicized distress.

Section 4: *How empathy operates* (paragraphs 12–16).

Because of the "identifiable victim effect," people care about the effects of highly publicized tragedies on people whose faces they can see. But at the same time, they seem oblivious to large-scale catastrophes such as genocide, mass starvation, and deaths due to preventable illnesses as well as to routine homicides that occur in the thousands every year.

Section 5: *How empathy leads us astray* (paragraphs 17–22).

So empathy "can lead us astray." Our empathetic impulses may overpower our "dispassionate analysis of a situation." Acting on impulses of empathy may help a relatively small number of identifiable individuals, but it may also hurt many other individuals of whom we are less aware, who don't have "names or stories," or with whose values we don't politically sympathize.

Section 6: *Empathy isn't enough* (paragraphs 23–24).

Moral judgment often requires us to put empathy aside; to assume that all lives have the same value; and to use qualities like "prudence, reason, fairness [and] self-control" to plan for the well-being of humanity as a whole.

Section 7: *Concession: Where empathy does matter* (paragraphs 25–27).

No one wants to live in a world without empathy, a quality that is so vital in maintaining our human relationships.

Section 8: *Conclusion: Empathy should yield to reason* (paragraphs 28–29).

But as a moral guide, empathy should "yield to reason." Assistance to the few is often wasted because it is too much or it is unneeded. But "guided by deliberation and calculation," assistance to the many is essential for the future well-being of the billions of people who constitute humankind.

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[2]See definition of *innumerate* in footnote 1, page 35.

Write a Thesis: A Brief Summary of the Entire Passage

Probably no two summaries of Bloom's thesis statement (which appears about a third of the way into his essay) would be worded identically. But it is fair to say that any reasonable thesis will indicate that Bloom's subject is the inadequacy of empathy for dealing with large-scale human suffering. This inadequacy results from what he calls the "identifiable victim effect"—our tendency to respond favorably more often to individuals whose names and faces we know than to large numbers of present or future victims who remain anonymous to us. Does Bloom make a statement anywhere in this passage that pulls all this together? Examine paragraph 9 and you will find his thesis—two sentences that sum up the problems with empathy:

> **Bloom's thesis (paragraph 9):** Empathy has some unfortunate features—it is parochial, narrow-minded, and innumerate. We're often at our best when we're smart enough not to rely on it.

You may have learned that a thesis statement must be expressed in a single sentence. We would suggest a slight rewording of this generally sound advice and say that a thesis statement must be *expressible* in a single sentence. For reasons of emphasis or style, a writer might choose to distribute a thesis across two or more sentences. Certainly, the sense of Bloom's thesis can take the form of a single statement.

Here is our summary of Bloom's thesis:

> **Our summary of Bloom's thesis:** In "The Baby in the Well: The Case against Empathy," Paul Bloom argues that, while empathy is important in fostering positive human relationships, we should prefer reason as a guide to social policy because empathy's focus on the distress of one individual may blind us to the suffering of thousands whose names and faces we do not know.

The author and title reference could also be indicated in the summary's title (if this were a freestanding summary), in which case their mention could be dropped from the thesis statement. Bear in mind that writing an accurate thesis for a summary takes time. In this case, it took four drafts, roughly ten minutes, to compose a thesis and another few minutes of fine-tuning after a draft of the entire summary was completed. It's fair to say that if you can't express the thesis in your own words, you do not (yet) understand the passage:

Draft 1: In "The Baby in the Well: The Case against Empathy," Paul Bloom argues that we should not rely on empathy.

Problem: Vague. It's not clear from this statement why Bloom thinks we should not rely on empathy.

Draft 2: In "The Baby in the Well: The Case against Empathy," Paul Bloom argues against empathy because of its focus on the distress of the individual rather than on the suffering of large numbers of people.

Problem: Better, but the thesis should note that Bloom acknowledges the value of empathy and indicates what he sees as a preferable alternative to empathy.

Draft 3: In "The Baby in the Well: The Case against Empathy," Paul Bloom argues that, while empathy has its place, we should prefer reason because empathy's focus on the distress of one individual may blind us to the suffering of thousands of individuals.

Problem: Close—but a better thesis would formulate a more precise phrase than "has its place" and would introduce the crucial idea of the "identifiable victim effect"—one indicated in the final thesis by the phrase "whose names and faces we do not know."

Write a Draft by Combining Thesis, Section Summaries, and Selected Details

Combining your thesis for the selection and your section summaries will give you a rough draft of your summary. At this point, you'll need to reread and make adjustments by inserting transitions, for instance, or eliminating redundancies. Your final draft of the summary should read as any finished paper.

You've read a summary of Bloom's essay before reading the selection itself, on page 32. Now, knowing how it was put together—by combining individual summaries of Bloom's sections and our summary of his main point—you may want to reread it. If you have reason to write an expanded summary, add details from the selection according to which part(s) of the article you want to emphasize. We've added (in highlights) details for the opening paragraph of our summary:

> In "The Baby in the Well: The Case against Empathy" Paul Bloom argues that, while empathy is important in fostering positive human relationships, we should prefer reason as a guide to social policy because empathy's focus on the distress of one individual may blind us to the suffering of thousands whose names and faces we do not know. Bloom begins by referring to statements on the importance of empathy from well-known figures like Barack Obama and Adam Smith. He points out that many believe that what makes us moral beings is empathy, the ability to see the world from others' points of view, to feel their pain and distress, and to feel the impulse to help them. Some people, either because of their own belief systems or because of abuse they have suffered at the hands of others, lack this essential human capacity. Bullies, for example, according to Emily Bazelon, show "an utter lack of empathy." Fortunately, most people are capable of this quality that Bloom believes is necessary not only for human progress but also for the survival of our species.

Summarizing Graphs, Charts, and Tables

3.4 Write summaries of visual presentations, including graphs, charts, and tables.

In your reading in the sciences and social sciences, you will often find data and concepts presented in nontext forms—as figures and tables. Such visual devices offer a snapshot, a pictorial overview of material that is communicated more quickly and clearly in graphic form than as a series of (often complicated) sentences. Note that, in essence, graphs, charts, and tables are themselves summaries. The writer uses a graph, which in an article or book is often labeled as a numbered figure, and presents the quantitative results of research as points on a line or a bar or as sections ("slices") of a pie. Pie charts show relative proportions, or percentages. Graphs, especially effective in showing patterns, relate one variable to another: for instance, income to years of education or sales figures of a product over a period of three years.

Writers regularly draw on graphs, charts, and tables to provide information or to offer evidence for points they are arguing. Consider the following passage from the prefatory "Discussion" to the study done for the Center for Immigration Studies (CIS), *Immigrants in the United States: A Profile of America's Foreign-Born Population*, by Steven A. Camarota:

> It is difficult to understate the impact of immigration on the socio-demographics of the United States. New immigration plus births to immigrants added more than 22 million people to the U.S. population in the last decade, equal to 80 percent of total population growth. Immigrants and their young children (under 18) now account for more than one in five public school students, one-fourth of those in poverty, and nearly one-third of those without health insurance, creating very real challenges for the nation's schools, health care systems, and physical infrastructure. The large share of immigrants who arrive as adults with relatively few years of schooling is the primary reason so many live in poverty, use welfare programs, or lack health insurance, not their legal status or an unwillingness to work.
>
> Despite the fact that a large share of immigrants have [*sic*] few years of schooling, most immigrants do work. In fact, the share of immigrant men holding a job is higher than native-born men. Moreover, immigrants make significant progress the longer they reside in the United States. This is also true for the least educated. While many immigrants do very well in the United States, on average immigrants who have been in the country for 20 years lag well behind natives in most measure of economic well-being.

Camarota, who is the director of research at CIS, uses a good deal of data that likely came from graphs, charts, and tables. In the following pages, we present graphs, charts, and tables from a variety of sources, all focused on the subject of U.S. immigration.

Bar Graphs

Figure 3.1 is a *bar graph* indicating the countries that have sent the highest number of immigrants to the United States in the decades from 1901–1910 through 2001–2010. The horizontal—or *x*—axis indicates the decades from 1901 through 2010. The vertical—or *y*—axis on the left indicates the percentage of immigrants represented by each country. Each vertical bar for each decade is subdivided into sections representing the countries that sent the most immigrants in that decade. Note that in the decade from 1901 to 1910, the three top sending countries were Italy, Russia, and Austria-Hungary. A hundred years later, in the decade from

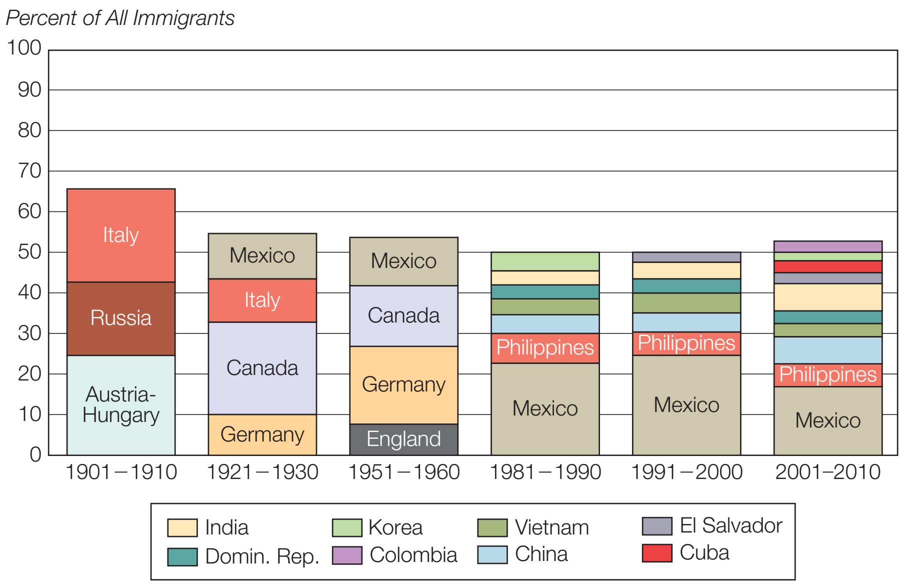

Figure 3.1 Top Sending Countries: Selected Periods[3]

2001 through 2010, the top sending countries were Mexico, the Philippines, and China. (Note that the decades from 1931 through 1950 and from 1961 through 1980 are not represented in the graph.)

Here is a summary of the information presented in Figure 3.1:

> Between 1900 and 2010, the flow of immigration to the United States has dramatically shifted from Europe to Asia and the Americas. In the decade from 1901 to 1910, three European countries—Italy, Russia, and Austria-Hungary—accounted for most of the immigrant flow to this country. Starting in the next decade, however, two countries in the Americas—Mexico and Canada—became the top sources of immigrants to the United States. Mexico has remained a top sending country for most of the twentieth century and into the present century, currently accounting for more immigrants than any other nation. At the same time, immigration from Mexico dropped off slightly in the decade from 2001 to 2010. All of other top sending countries during this decade are in Asia and South and Central America. The top sending Asian countries are Korea, India, Vietnam, China, and the Philippines; those from the Americas include—in addition to Mexico—Colombia, Cuba, El Salvador, and the Dominican Republic. Collectively, immigrants from the Asian and American countries represented on the chart in the 2001–2010 decade account for slightly more than 50 percent of all immigrants admitted.

Figure 3.2 is a horizontal bar graph summarizing the results of the U.S. Census Bureau census of 2000, showing the fifteen largest ancestries among U.S.

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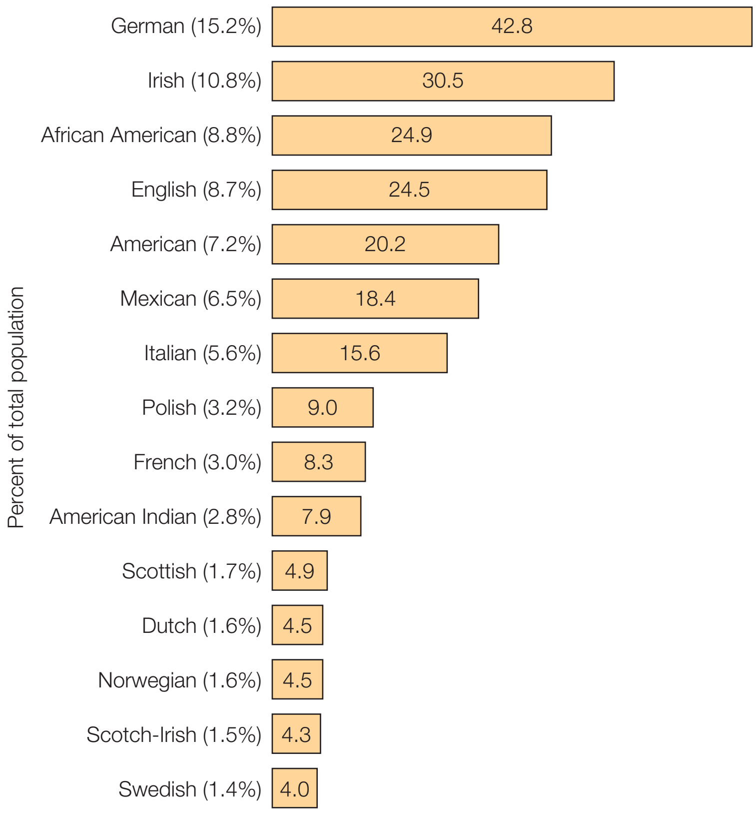
[3]"Figure 2. Top Sending Countries "Comprising at Least Half of All L[egal] P[ermanent] R[esidents]. Selected Periods." Ruth Ellen Wasem [Specialist in Immigration Policy], "U.S. Immigration Policy: Chart Book of Key Trends, C[ongressional] R[esearch] S[ervice]: Report for Congress." p. 3. Source: CRS Analysis of Table 2, Statistical Yearbook of Immigration, U.S. Department of Homeland Security, Office of Immigration Statistics, FY2010. www.crs.gov, http://www.fas.org/sgp/crs/homesec/R42988.pdf.



Source: U.S. Census Bureau, Census 2000 special tabulation.

Figure 3.2
Fifteen Largest Ancestries: 2000 (In millions. Percentage of total population in parentheses.)

Source: https://www.census.gov/prod/2004pubs/c2kbr-35.pdf

citizens. The data corroborate what we have learned in grade school: that America is a nation of immigrants. In this type of graph, the shaded portion of the bar represents a particular value (in this case, millions of people responding to the U.S. Census). We also find percentages at the beginning of each bar, in parentheses. Finally, the length of each portion of the bar is proportional to the percentage.

Exercise 3.1

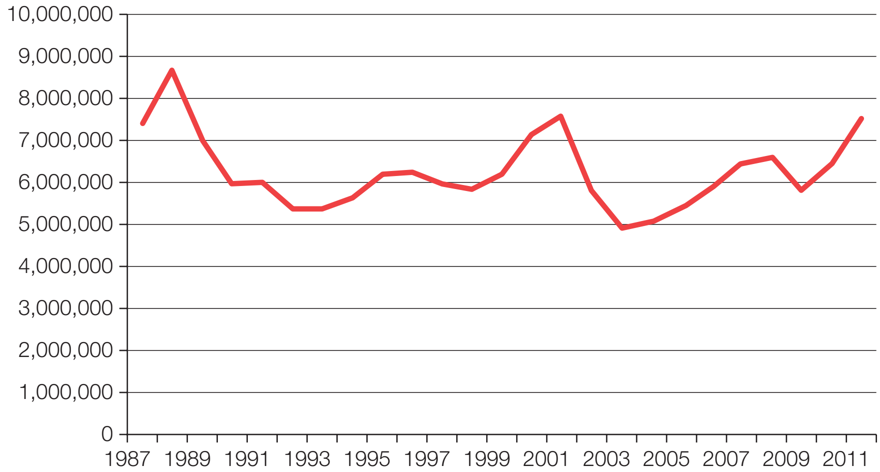
Summarizing Graphs

Write a brief summary of the data in Figure 3.2. Use our summary of Figure 3.1 as a general model.

Line Graphs

Line graphs are useful for showing trends over a period of time. Usually, the horizontal axis indicates years, months, or shorter periods, and the vertical axis indicates a quantity: dollars, barrels, personnel, sales, anything that can be counted. The line running from left to right indicates the changing values, over a

Figure 3.3
Nonimmigrant Visas Issued by the U.S. Department of State[4]



given period, of the object of measurement. Frequently, a line graph features multiple lines (perhaps in different colors, perhaps some solid, others dotted, etc.), each indicating a separate variable to be measured. Thus, a line graph could show the changing approval ratings of several presidential candidates over the course of a campaign season. Or it could indicate the number of iPads versus Android tablets sold in a given year.

Figure 3.3 is a line graph indicating the fluctuations in the number of nonimmigrant ("legal temporary") visas issued by the U.S. State Department from 1987 through 2013. The number of such visas reached its highest level—nearly 9 million—in 1988 and 1989. The lowest number of visas—fewer than 5 million—was issued in 2004. Following the line allows us to discern the pattern of nonimmigrant migration. By combining the information gleaned from this figure with other information gathered from other sources, you may be able to make certain conjectures or draw certain conclusions about the patterns of immigration.

In Figure 3.4, we have a quadruple line graph, which allows us to view at the same time the changes in "Average Weekly Earnings of Full-Time Foreign-Born Workers, Ages 25 to 64, by When They Came to the United States to Stay, 2009." With two lines representing men and women from Mexico and Central America, and two lines representing men and women from the rest of the world, the reader can easily make comparisons about earning power relative to nation-groups of origin and year of arrival in the United States. These four simple lines show dramatic evidence concerning the earning power of immigrants who have been in the United States the longest.

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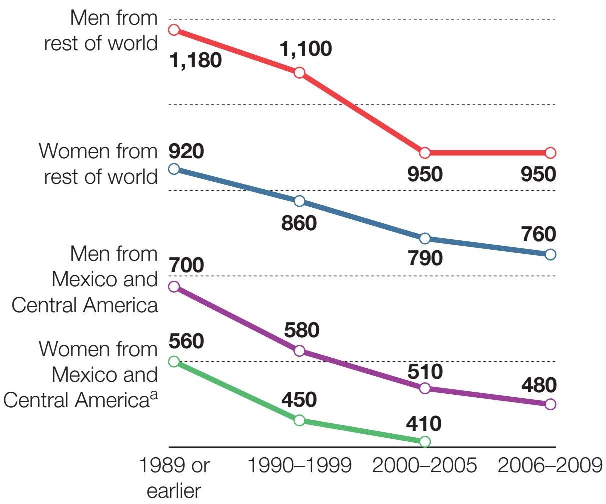
[4]"Figure 6. Nonimmigrant Visas Issued by the U.S. Department of State." Source: CRS presentation of data from Table XVIII of the annual reports of the U.S. Department of State Office of Visa Statistics. Ruth Ellen Wasem [Specialist in Immigration Policy], "U.S. Immigration Policy: Chart Book of Key Trends, C[ongressional] R[esearch] S[ervice]: Report for Congress. p. 7. www.crs.gov, http://www.fas.org/sgp/crs/homesec/R42988.pdf.



[a] The sample of woman from Mexico and Central Bureau, Current Population survey, Outgoing Rotation Groups, 2009.

Figure 3.4
Average Weekly Earnings of Full-Time Foreign-Born Workers, Ages 25 to 64, by When They Came to the United States to Stay, 2009

Source: Congressional Budget Office based on monthly data from the Census Bureau, Current Population Surveys, Outgoing Rotation Groups, 2009.

Exercise 3.2

Summarizing Line Graphs

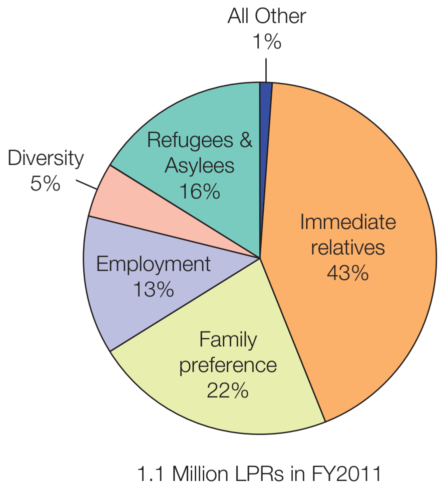
Write a brief summary of the key data in Figure 3.4. Use our summary of Figure 3.1 (or your summary of Figure 3.2) as a model.

Pie Charts

Bar and line graphs are useful for visually comparing numerical quantities. *Pie charts*, on the other hand, are useful for visually comparing percentages of a whole. The pie represents the whole; the individual slices represent the relative sizes of the parts.

Figure 3.5 is a pie chart indicating the major categories of immigrants who were classified as legal permanent residents (LPRs) in fiscal year 2011. At a glance, you are able to perceive percentages that are visually larger or smaller slices of a pie.

Figure 3.5
Breakdown of Legal Permanent Residents (LPRs) in Fiscal Year 2011[5]



Exercise 3.3

Summarizing Pie Charts

Write a brief summary of the data in Figure 3.5. Use our summary of Figure 3.1 (or your summary of Figure 3.2) as a model.

Other Charts: Bubble Maps, Pictograms, and Interactive Charts

A *bubble map* is a type of chart characterized by disks of various sizes placed on a map of the world, a country, or a smaller region. The relative sizes of the disks represent various percentages or absolute numbers, making it easy to see at a glance which countries or regions have larger or smaller numbers of whatever variable is represented by the disk.

Figure 3.6 depicts a bubble map in which variously sized bubbles, placed over particular cities and regions in the United States, represent numbers of foreign-born students who have secured visas for studying in the United States. A quick look at the map reveals three main destinations for foreign-born students: the Northeast corridor from Washington to Boston, and the Los Angeles and San Francisco metropolitan areas.

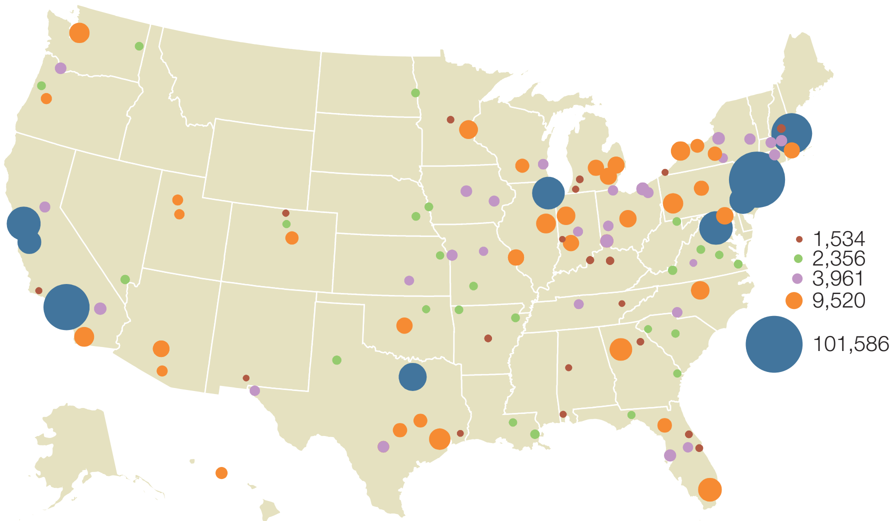


Figure 3.6 Map: 118 U.S. Metro Areas with at Least 1,500 Foreign Students, 2008–2012

Source: Brookings Institute. 2014. http://www.brookings.edu/research/interactives/2014/geography-of-foreign-students#/M10420

[5]Ruth Ellen Wasem [Specialist in Immigration Policy], "U.S. Immigration Policy: Chart Book of Key Trends, C[ongressional] R[esearch] S[ervice]: Report for Congress. www.crs.gov, http://www.fas.org/sgp/crs/homesec/R42988.pdf, p. 5 (second chart—pie).

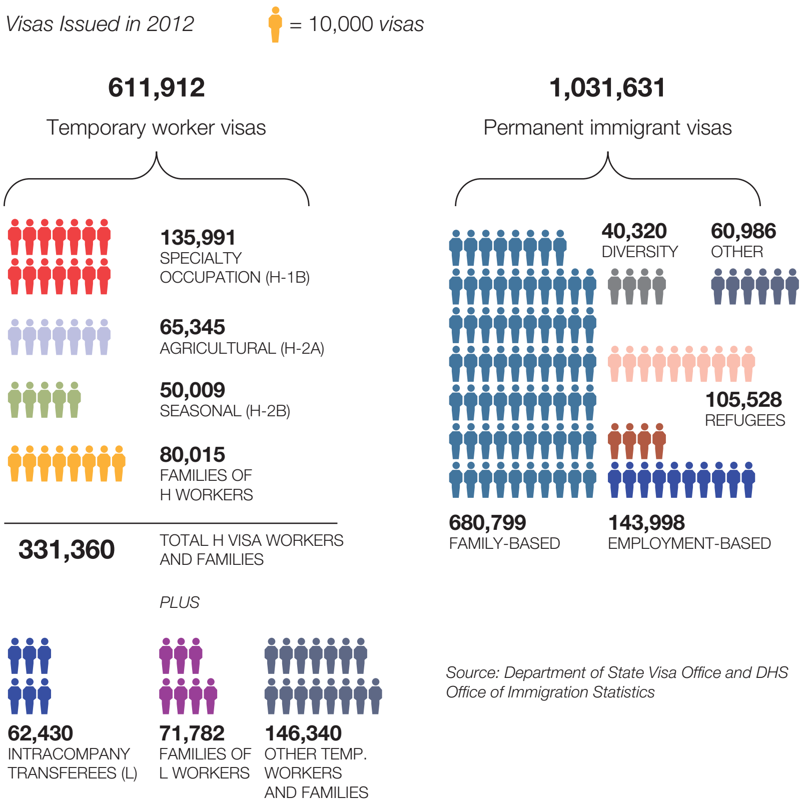


Figure 3.7 U.S. Visas Issued in 2012[6]

Pictograms are charts that use drawings or icons to represent persons or objects. For example, a pictogram depicting the resources available to a particular nation engaged in a war might use icons of soldiers, tanks, planes, artillery, and so on, with each icon representing a given number of units.

Figure 3.7 is a pictogram depicting three categories of immigrant visas issued in 2012: temporary worker visas (including those "H" visa workers who have high-level or other specialized skills), permanent immigrant visas, and a third (miscellaneous) category, consisting of intracompany transferees and their families, along with other temporary workers and their families.

In this particular figure, each icon of an individual represents approximately 10,000 immigrants. Each of the three major classes of immigrant visas is subdivided into several categories. So, for example, the temporary worker visa category is subdivided into those who have specialty occupations, those who are agricultural workers, those who are seasonal workers, and those who are family members of the workers. The other two main categories of visas are subdivided in other ways, based on the makeup of those categories.

[6]"Visas Issued in 2012." Jill H. Wilson, Brookings Institute, "Immigration Facts: Temporary Foreign Workers" 18 June 2013. Pictogram under paragraph 2. http://www.brookings.edu/research/reports/2013/06/18-temporary-workers-wilson.

Interactive charts, found online, allow you to bring up concealed data by moving your cursor over particular areas. (If all the data were actually shown on the chart, it would overwhelm the graphic.) For example, locate the following two interactive maps from the *New York Times*.

Go to: Google or Bing
Search terms: *"snapshot global migration new york times"*
"immigration explorer new york times"

The global migration graphic is a bubble map. Moving your cursor over any particular bubble brings up a box showing the increase or decrease in immigrants for that particular country. The size of the bubble is proportional to the size of the increase or decrease in immigration.

The immigration explorer map depicts the immigrant component of every county in the United States. Moving your cursor over any particular county reveals the number of foreign-born residents of that county, along with its total population in the year 2000. A simple calculation reveals the percentage of foreign-born residents in each county.

Tables

A table presents numerical data in rows and columns for quick reference. If the writer chooses, tabular information can be converted to graphic information. Charts and graphs are preferable when the writer wants to emphasize a pattern or relationship; tables are preferable when the writer wants to emphasize numbers. While the charts in Figures 3.1 to 3.7 are focused on a relatively small number of countries and other variables, the table in Figure 3.8 breaks down immigration into numerous countries and several regions.[7] Note that this table is divided into two sets of data: immigration by world region and immigration by country. The regional component of the table allows us to focus on the big picture. In terms of sources of immigrants to the United States, the longer country component allows us to draw finer distinctions among the countries that make up these regions.

A table may contain so much data that you would not want to summarize *all* of it for a particular paper. In this case, you would summarize the *part* of a table that you find useful. Here is a summary drawn from the information from Figure 3.8 focusing primarily on those regions and countries that provide the largest numbers and the smallest numbers of immigrants, but also pointing out other interesting data points. Notice that the summary requires the writer to read closely and discern which information is significant. The table reports raw data and does not speak for itself. Toward the end of the summary the writer, who draws on data from other sources (such as the bar graph in Figure 3.1) and who

[7]Randall Monger and James Yankay, Table 3: "Legal Permanent Resident Flow by Region and Country of Birth: Fiscal Years 2010 to 2012."*U.S. Legal Permanent Residents 2012*, March 2013, p. 4. Department of Homeland Security, Office of Immigration Statistics Policy Directorate. http://www.dhs.gov/sites/default/files/publications/ois_lpr_fr_2012_2.pdf.

Figure 3.8 Legal Permanent Resident Flow by Region and Country of Birth, Fiscal Years 2010 to 2012[8]

Region and Country of Birth	2012 Number	2012 Percent	2011 Number	2011 Percent	2010 Number	2010 Percent
Total	**1,031,631**	**100.0**	**1,062,040**	**100.0**	**1,042,625**	**100.0**
Africa	107,241	10.4	100,374	9.5	101,355	9.7
Asia	429,599	41.6	451,593	42.5	422,063	40.5
Europe	81,671	7.9	83,850	7.9	88,801	8.5
North America	327,771	31.8	333,902	31.4	336,553	32.3
Caribbean	127,477	12.4	133,680	12.6	139,951	13.4
Central America	40,675	3.9	43,707	4.1	43,951	4.2
Other North America	159,619	15.5	156,515	14.7	152,651	14.6
Oceania	4,742	0.5	4,980	0.5	5,345	0.5
South America	79,401	7.7	86,096	8.1	87,178	8.4
Unknown	1,206	0.1	1,245	0.1	1,330	0.1
COUNTRY						
Total	**1,031,631**	**100.0**	**1,062,040**	**100.0**	**1,042,625**	**100.0**
Mexico	146,406	14.2	143,446	13.5	139,120	13.3
China, People's Republic	81,784	7.9	87,016	8.2	70,863	6.8
India	66,434	6.4	69,013	6.5	69,162	6.6
Philippines	57,327	5.6	57,011	5.4	58,173	5.6
Dominican Republic	41,566	4.0	46,109	4.3	53,870	5.2
Cuba	32,820	3.2	36,452	3.4	33,573	3.2
Vietnam	28,304	2.7	34,157	3.2	30,632	2.9
Haiti	22,818	2.2	22,111	2.1	22,582	2.2
Colombia	20,931	2.0	22,635	2.1	22,406	2.1
Korea South	20,846	2.0	22,824	2.1	22,227	2.1
Jamaica	20,705	2.0	19,662	1.9	19,825	1.9
Iraq	20,369	2.0	21,133	2.0	19,855	1.9
Burma	17,383	1.7	16,518	1.6	12,925	1.2
El Salvador	16,256	1.6	18,667	1.8	18,806	1.8
Pakistan	14,740	1.4	15,546	1.5	18,258	1.8
Bangladesh	14,705	1.4	16,707	1.6	14,819	1.4
Ethiopia	14,544	1.4	13,793	1.3	14,266	1.4
Nigeria	13,575	1.3	11,824	1.1	13,376	1.3
Canada	12,932	1.3	12,800	1.2	13,328	1.3
Iran	12,916	1.3	14,822	1.4	14,182	1.4
All other countries	354,270	34.3	359,794	33.9	360,377	34.6

(Countries ranked by 2012 LPR flow)

SOURCE: U.S. Department of Homeland Security, Computer Linked Application Information Management System (CLAIMS), Legal Immigrant Data, Fiscal Years 2010 to 2012.

[8]"Legal Permanent Resident Flow by Region and Country of Birth, Fiscal Years 2010 to 2012." Source: U.S. Department of Homeland Security, Computer Linked Application Information Management System (CLAIMS), Legal Immigrant Data, Fiscal Years 2010 to 2012. Dept. of Homeland Security, "U.S. Legal Permanent Residents 2012." p. 4. http://www.dhs.gov/sites/default/files/publications/ois_lpr_fr_2012_2.pdf.

also calculates percentages, speculates on the reason for the changing numbers of immigrants from Pakistan and then sums up her overall impression of the data in the table:

> During the years 2010 to 2012, by far the largest number of legal immigrants to the United States came from Asian countries, primarily The People's Republic of China, India, and the Philippines. After Asia, North America—chiefly Mexico, the Caribbean countries, and Central America—provided the greatest number of immigrants. Together, these two regions accounted for more than 73 percent of the more than 1,031,000 immigrants who entered the United States legally in 2012. By contrast, the region of Oceania—made up of Melanesia, Micronesia, and Polynesia, islands in the tropical Pacific—accounted during the same year for only half of 1 percent of total U.S. legal immigration. Europe in 2012 provided about 8 percent of the total—a far cry from a century ago when this region provided more than 60 percent of total U.S. immigrants.
>
> In terms of individual countries during the period 2010–2012, Mexico, by a huge margin, provided more immigrants to the United States than any other country, with the number rising at a small but steady rate in all three years. As indicated above, China was second after Mexico as the source country of the highest numbers of immigrants, though the pattern in these three years does not indicate a trend: There were 17,000 more Chinese immigrants in 2011 than there were in 2010, but in 2012 the number dropped by more than 5,000. On the other hand, immigration from the Dominican Republic shows a steady drop: from 53,780 in 2010 to 46,109 in 2011, to 42,566 in 2012. Pakistan also provided 20 percent fewer immigrants in 2012 than it did in 2010, a significant decline possibly related to the war against the Taliban and to American military strikes in that country. On the whole, however, during this three-year period, there were no major shifts in total numbers of immigrants, with increases or decreases no greater than 3 percent.

Exercise 3.4

Summarizing Tables

Focus on other data in Figure 3.8 and write a brief summary of your own. Or use a search engine to locate another table on the general topic of immigration and summarize its data.

Avoiding Plagiarism

3.5 Avoid plagiarism by citing sources and using your own words and sentence structure.

Plagiarism is generally defined as the attempt to pass off the work of another as one's own. Whether born out of calculation or desperation, plagiarism is the least tolerated offense in the academic world. The fact that most plagiarism is unintentional—arising from an ignorance of the conventions rather than deceitfulness—makes no difference to many professors.

The ease of cutting and pasting whole blocks of text from Web sources into one's own paper makes it tempting for some to take the easy way out and avoid doing their own research and writing. But, apart from the serious ethical issues involved, the same technology that makes such acts possible also makes it possible for instructors to detect them. Software marketed to instructors allows them to conduct Web searches, using suspicious phrases as keywords. The results often provide irrefutable evidence of plagiarism. You can avoid plagiarism and charges of plagiarism by following the basic rules provided in the box on page 54.

Following is a passage from an article by Richard Rovere on Senator Joseph P. McCarthy, along with several student versions of the ideas represented.

> McCarthy never seemed to believe in himself or in anything he had said. He knew that Communists were not in charge of American foreign policy. He knew that they weren't running the United States Army. He knew that he had spent five years looking for Communists in the government and that—although some must certainly have been there, since Communists had turned up in practically every other major government in the world—he hadn't come up with even one.[9]

One student version of this passage reads:

> McCarthy never believed in himself or in anything he had said. He knew that Communists were not in charge of American foreign policy and weren't running the United States Army. He knew that he had spent five years looking for Communists in the government, and although there must certainly have been some there, since Communists were in practically every other major government in the world, he hadn't come up with even one.

Clearly, this is intentional plagiarism. The student has copied the original passage almost word for word.

Here is another version of the same passage:

> McCarthy knew that Communists were not running foreign policy or the Army. He also knew that, although there must have been some Communists in the government, he hadn't found a single one, even though he had spent five years looking.

This student has attempted to put the ideas into her own words, but both the wording and the sentence structure are so heavily dependent on the original passage that even if it *were* cited, most professors would consider it plagiarism.

In the following version, the student has changed the wording and sentence structure sufficiently, and she uses a *signal phrase* (a phrase used to introduce a quotation or paraphrase, signaling to the reader that the words to follow come

---

[9]Richard Rovere, "The Most Gifted and Successful Demagogue This Country Has Ever Known," *New York Times Magazine*, 30 April 1967.

from someone else) to credit the information to Rovere properly so that there is no question of plagiarism:

> According to Richard Rovere, McCarthy was fully aware that Communists were running neither the government nor the Army. He also knew that he hadn't found a single Communist in government, even after a lengthy search (192).

And although this is not a matter of plagiarism, as noted above, it's essential to quote accurately. Do not change any part of a quotation or omit any part of it without using brackets or ellipses. (For more on brackets and ellipses, see pages 59–61.)

Rules for Avoiding Plagiarism

- Cite *all* quoted material and *all* summarized and paraphrased material, unless the information is common knowledge (e.g., the Civil War was fought from 1861 to 1865).
- Make sure that both the *wording* and the *sentence structure* of your summaries and paraphrases are substantially your own.

Looking Ahead

You've learned to summarize and paraphrase both parts of sources and entire sources. In the next chapter, you'll learn how to weave summaries, paraphrases, and quotations, into your sentences and how to build paragraphs based on sources.

Writing Assignment: Summary

Read the following article by Marcia Wood, which originally appeared in the government periodical *Agricultural Research*. Write a summary of the article, following the directions in this chapter for dividing the article into sections, for writing a one-sentence summary of each section, and then for joining section summaries with a thesis. Prepare for the summary by making notes in the margins. You may find it useful to recall that well-written pieces often telegraph clues to their own structure as a device for assisting readers. Such clues can be helpful when preparing a summary. Your finished product should be the result of two or more drafts.

Note: Additional summary assignments can be found in Chapter 11, "Practicing Academic Writing," focusing on ethical dilemmas.

Breakfast Helps Kids Handle Basic Math, Study Suggests

—Marcia Wood

Even people who know a lot about the human brain may be impressed by the extent to which eating a single breakfast—or skipping it—can influence a child's ability to solve math problems.

Just ask scientist Terry Pivik, whose research with 81 children has shown that those who ate breakfast were better able to tackle dozens of math problems in rapid-fire succession than peers who didn't have a morning meal.

As a psychophysiologist, Pivik studies how our brains influence our behavior. Based in Little Rock, Arkansas, he directs the Brain Function Laboratory at the Agricultural Research Service–funded Arkansas Children's Nutrition Center and is a research professor in pediatrics at the University of Arkansas for Medical Sciences.

In his study of healthy 8- to 11-year-old volunteers, Pivik used EEG (electroencephalographic) sensors to harmlessly record electrical activity generated in regions of children's brains involved in solving math problems. The sensors were fitted into a soft cap that the youngsters wore as they viewed simple math problems presented to them on a computer monitor, calculated the answer in their heads, and then quickly selected one answer from among three on-screen choices.

In all, the kids had a little more than 1 second to process each problem.

Each child took two math tests in the morning. Half of the children ate breakfast during a break in the testing; the others did not.

Factors that could skew results were carefully controlled. For example, to prevent sleepiness, a watchful nurse and a wristband-mounted monitor that the volunteers wore ensured that each child had a full 8 hours of rest the night before the tests.

EEG data showed that "children who skipped breakfast had to exert more effort to perform the mental math that the tests required and to stay focused on the task at hand," says Pivik. "In contrast, those who ate the breakfast that we provided used less mental effort to solve the problems, stayed more focused on the tests, and improved their scores in the post-breakfast test."

Previous studies by researchers elsewhere have shown an association between nutrition and academic performance. However, the design of the Arkansas study had some important differences. "We carefully controlled when the kids either had breakfast or skipped it, and what they ate," Pivik explains. "To the best of our knowledge, this is the first published study, with kids of this age group, that both controlled the morning meal and used EEG technology to monitor brain activity while the children were processing mathematical information."

Pivik and nutrition center colleagues Yuyuan Gu and Kevin B. Tennal, along with Stephen D. Chapman—formerly at the center—published their findings in a peer-reviewed article in *Physiology & Behavior* in 2012.

The research is part of ongoing investigations in Pivik's lab to discover more about how to nourish the brain and enhance children's ability to learn. "There's much more to uncover about the role that nutrition plays in influencing the neural networks that kids engage when they're doing mental arithmetic," Pivik says. "We're addressing this knowledge gap because math skills are so critical in today's world."

Chapter 4

Quoting Sources, Using Signal Phrases, and Making Standard "Moves"

Learning Objectives

After completing this chapter, you will be able to:

4.1 Select effective material to quote directly and indirectly.

4.2 Alter quotations with ellipses and brackets.

4.3 Avoid classic mistakes in using quotations.

4.4 Use six strategies to incorporate quotations, summaries, and paraphrases into your sentences.

4.5 Make standard "moves" with summaries, paraphrases, and quotations to build paragraphs.

Choosing Quotations

4.1 Select effective material to quote directly and indirectly.

In Chapter 3 we saw that *summary* is an objective, brief restatement of what someone else has said or written and that *paraphrase* is another kind of restatement, though one that is often as long as the original source. Summaries and paraphrases use your words, not the source author's. A *quotation*, by contrast, records the *exact* language used by someone in speech or writing. Almost all academic pursuits build on the writing and research of others, and you will regularly refer to that work by quoting, summarizing, and paraphrasing. How, why, and when to do so is the topic of this chapter.

Quotations can be direct or indirect. A *direct* quotation precisely records the language of another. An *indirect* quotation is one in which you report what someone has said without repeating the words exactly as spoken (or written):

Direct quotation	Franklin D. Roosevelt said, “The only thing we have to fear is fear itself.”
Indirect quotation	Franklin D. Roosevelt said that we have nothing to fear but fear itself.

Direct quotations are indicated by a pair of quotation marks (“ ”); a direct quotation must reproduce exactly the wording of the original passage. When using an indirect quotation, you have the liberty of changing words (although not meaning).

Every time you use a quotation—or a summary or paraphrase—you must *credit your source* by identifying both the author and, in combination with a Works Cited page, information on where to find the referenced material. Citations work in two parts. The first appears in your sentence (an in-text citation). Here, you provide the author’s name and a specific page reference. Here are two versions of an in-text citation:

- From the beginning, the AIDS antibody test has been “mired in controversy” (Bayer 101).
- From the beginning, Bayer claims that the AIDS antibody test has been “mired in controversy” (101).

The second part of a citation appears in an alphabetized Works Cited list (in the sciences called a References list):

Bayer, Ronald. “Ethics and Public Policy: Engaging the Moral Challenges Posed by AIDS.” *AIDS Patient Care and STDs*, vol. 20, no. 7, 2006, pp. 456–60.

See Chapter 10, pages 235–240, to learn more on citing sources.

When to Quote

- To capture another writer’s particularly memorable language
- To capture another writer’s clear, concise language
- To lend authority and credibility to your own writing

Quote Memorable Language

Quote when source material is worded so eloquently or powerfully that to summarize or paraphrase would diminish much of its impact and significance. Here, for example, is historian of magic Jim Steinmeyer on why the illusions of great magicians succeed:

> The success of a magician lies in making a human connection to the magic, the precise focus that creates a fully realized illusion in the minds of the audience. The simple explanation is that seldom do the crude gimmicks in a magic show—

> those mirrors, threads, or rubber bands—deceive people. The audience is taken by the hand and led to deceive themselves.
>
> —from *Hiding the Elephant*

No summary or paraphrase could do justice to the evocative power of Steinmeyer's words about audiences deceiving themselves. If you were writing a paper, say, on the evolution of magic from early religious rituals to stage shows, you might very well want to quote Steinmeyer.

Quote Clear, Concise Language

Quote particularly clear and economical language when your words of summary or paraphrase, by contrast, would be wordy. Read this passage from the online academic journal *The Conversation*. (You've read the complete piece in Chapter 2.)

> Since the early neurological work on memory in the 1950s and 1960s, studies have demonstrated that memories are not stored in just one part of the brain. They're widely distributed across the whole brain, particularly in an area called the cortex.
>
> Contrary to the popular notion, our memories are not stored in our brains like books on shelves in specific categories. They're actively reconstructed from elements scattered throughout various areas of the cortex by a process called encoding.
>
> As we experience the world through our eyes, ears, and so on, various groups of neurons in the cortex fire together to form a neural pathway from each of these senses and encode these patterns into memories. That's why the aroma of cornbread may trigger a Thanksgiving dinner memory at grandmother's house many years ago, or the sound of a car backfiring may trigger a panic attack in a war veteran.
>
> — Jyutika Mehta, *from* "External Enhancements of Memory May Soon Go High-Tech"

Assume that you're writing a paper on memory and decide to refer to Mehta's paragraphs on brain function and memory. You might quote specific words or phrases or entire sentences.

> The brain does not store whole memories "like books on shelves." As brain and communications researcher Jyutika Mehta explains, it "widely distribute[s]" the constituent parts of memories to various areas associated with functions like sight and smell. A memory is "encode[d]" through connections among areas and can be lost when these connections break down due to disease or the natural aging process.

The brackets in the quoted material alert readers that we've altered Mehta's original language to fit the flow of our sentence. (You'll find more below on altering quotations for this purpose.)

Quote Authoritative Language

When you quote experts or prominent political, artistic, or historical figures, you enhance the credibility of your own work. You might quote to help explain or define or to support an argument. In this next example, student writer Peter

Simmons quotes the author of a well-reviewed book on bullying to help him clarify the *mis*use of the term:

> “[A]t least ten different definitions” are being used in state laws, according to Emily Bazelon, author of *Sticks and Stones: Defeating the Culture of Bullying*—and, for her, that’s a problem. A frequent commentator on the subject, Bazelon argues that “bullying isn’t the same as garden-variety teasing or a two-way conflict. The word is being overused,” she writes, “expanding accordionlike, to encompass both appalling violence or harassment and a few mean words.”

Altering Quotations

4.2 Alter quotations with ellipses and brackets.

At times, you may need to alter a quotation in order to integrate it effectively into your writing. Two of the ways to do so are to use ellipses and to use brackets.

Use Ellipses to Indicate Omissions

At times you may decide to omit some words from a quotation—possibly for reasons of length, possibly because you want to emphasize only one part of a quoted passage. When you omit words from a quotation, alert readers to the change by using ellipses, three spaced periods (. . .). Consider the following:

> It’s hard to pinpoint the invention of the electric car to one inventor or country. Instead it was a series of breakthroughs—from the battery to the electric motor—in the 1800s that led to the first electric vehicle on the road.
>
> —U.S. Department of Energy, “Timeline: History of the Electric Car”

Here is one way to quote this sentence, leaving out the parenthetical remark “from the battery to the electric motor.” The ellipses indicate that you have altered quoted material by removing words.

> “It’s hard to pinpoint the invention of the electric car to one inventor or country. Instead it was a series of breakthroughs . . . in the 1800s that led to the first electric vehicle on the road.”

Online you will readily find advice on using ellipses to:

- omit the beginning of a sentence;
- omit the end of a sentence;
- quote the opening of a paragraph, omit sentences, and resume quoting the end of the paragraph; or
- omit one or more paragraphs when quoting a lengthy passage.

The details of punctuation vary somewhat in these cases, but the point to remember is clear: Show omissions with ellipses.

Use Brackets to Add or Substitute Words

Sometimes you must *add* words to a quotation both for clarity and to integrate another person's language into the flow of your own sentence. When doing so, use brackets, which distinguish your words from those of the source author's. For instance, when a quoted pronoun's reference (such as "she" or "he") would be unclear, delete the pronoun and substitute an identifying word or phrase in brackets. In making the substitution, no ellipses are needed.

Assume you've decided to quote the underlined sentence:

> Young teens need to learn that not everything they hear or see is true. Let your child know that the TV show or movie he sees, the radio station or music he listens to, and the magazine he reads may have a definite point of view. <u>Talk with him about how the media can promote certain ideas or beliefs, which may differ from those of your family</u>. If your child wants to watch, listen to, or read something that you believe is inappropriate, let him know exactly why you object.
>
> —U.S. Department of Education: "Media—Helping Your Child through Early Adolescence"

In quoting this sentence, you need to identify the pronoun *him.* If you don't, readers won't understand the reference. You can make the substitution inside or outside the quotation. If inside, use brackets:

> "Talk with [your young teen] about how the media can promote certain ideas or beliefs, which may differ from those of your family."

If you clarify the reference outside the quotation (and, hence, do not alter the quotation), you do not need to use brackets:

> The U.S. Department of Education urges parents to talk with their young teen "about how the media can promote certain ideas or beliefs, which may different from those of your family."

At times, you may need to change verb tense, number (plural versus singular), or some other point of grammar in order to integrate a quotation into your sentence:

> "If your [children want] to watch, listen to or read something that you believe is inappropriate, let [them] know exactly why you object."

You should also add clarifying, bracketed information to quoted material when a reference essential to the sentence's meaning is implied but not stated directly. Consider the following:

> How do we know that we are all originally from Africa? <u>Twenty years ago the proposition was mostly guesswork</u>.
>
> —Nayan Chanda, *Bound Together*

If you wanted to quote the underlined sentence, you would use brackets to clarify the meaning of "the proposition":

> "Twenty years ago the proposition [that we are all originally from Africa] was mostly guesswork."

As with ellipses, there are numerous variations on when and how to use brackets to note altered quotations, and you will readily find advice online. Here is the principle to remember: *Anytime* you add to a quotation, use brackets to distinguish your words from the source author's.

Avoiding Classic Mistakes in Quoting

4.3 Avoid classic mistakes in using quotations.

Avoid Quoting Too Much

Quoting just the right source at the right place can significantly improve your papers. The trick is knowing when to quote (discussed above) and how much to quote. A common error is quoting too much.

The language and intellectual content of your papers should primarily be yours: *your* language, *your* thesis, *your* conclusion. You can and should refer to the work of others to support and improve your work, but when you borrow too much—whether by quoting, summarizing, or paraphrasing—you risk giving away intellectual ownership. Use quotations sparingly as you would a piquant spice. Quote only the words you need, and no more.

Quote Only What You Need

- When you can quote a sentence or two, do not quote a paragraph.
- When you can quote a phrase, do not quote a sentence.
- When you can quote a word or two, do not quote a phrase.

Avoid Freestanding Quotations

Avoid using quotations without a lead-in that sets a context for understanding. Freestanding quotations can be jarring, as in this example:

AVOID

> Many in higher education believe athletic programs distort what ought to be the primary objective of college life. "It sends the wrong message when football coaches earn multiples of what full professors earn." Others are less concerned with symbols than with actual dollars, arguing that money spent on football deprives deserving academic programs of much-needed support.

Even if it were followed by a parenthetical citation, a freestanding quotation like this one ("It sends the wrong message") jars the reader. Introduce quotations with a *signal phrase* (as highlighted here) that prepares readers:

BETTER

> Many in higher education believe athletic programs distort what ought to be the primary objective of college life. As Rhode Island's Assistant Commissioner for Post-Secondary Learning, Anne Sachs, argues, "It sends the wrong message when football coaches earn multiples of what full professors earn." Others are less concerned with symbols. . . .

Understand When to Use First and Last Names

Mention an author's first name only on initial use:

> Many in higher education believe athletic programs distort what ought to be the primary objective of college life. Anne Sachs, Rhode Island's Assistant Commissioner for PostSecondary Learning, objects to the pay scales of athletic staff: "It sends the wrong message when football coaches. . . ."

All subsequent references to Anne Sachs would be limited to her last name, Sachs. In no event would you refer to the author of your source as "Anne."

> Sachs is particularly offended that some schools pay their head football coach far more than they do their president.

Don't Introduce Well-Known Names

When your readers are college students and instructors, some names—for instance, those of presidents and well-known people like Einstein, Freud, and Picasso—need no introduction and should not be introduced with an identifying (or signal) phrase.

AVOID

> As Albert Einstein, a famous physicist, wrote, . . .

> The famous painter Pablo Picasso once said, . . .

BETTER

> As Einstein wrote, . . .

> Picasso once said, . . .

Figures such as Einstein and Picasso are part of the cultural landscape. In an academic setting, it is expected that everyone knows who they are. Even if you didn't know at first that Eleanor Roosevelt was the influential and much-admired wife of President Franklin Delano Roosevelt, you would not (on learning that fact during your research) begin a sentence, "Eleanor Roosevelt, wife of Franklin

Delano Roosevelt, . . ." As a general rule, write identifying phrases only for source authors who are likely to be unknown to your readers.

Exercise 4.1

Incorporating quotations

> [1]Since the early neurological work on memory in the 1950s and 1960s, studies have demonstrated that memories are not stored in just one part of the brain. [2]They're widely distributed across the whole brain, particularly in an area called the cortex.
>
> [3]Contrary to the popular notion, our memories are not stored in our brains like books on shelves in specific categories. [4]They're actively reconstructed from elements scattered throughout various areas of the cortex by a process called encoding.
>
> [5]As we experience the world through our eyes, ears, and so on, various groups of neurons in the cortex fire together to form a neural pathway from each of these senses and encode these patterns into memories. [6]That's why the aroma of cornbread may trigger a Thanksgiving dinner memory at grandmother's house many years ago, or the sound of a car backfiring may trigger a panic attack in a war veteran.
>
> —Jyutika Mehta, *from* "External Enhancements of Memory May Soon Go High-Tech"

Quote from this passage as follows, using ellipses and/or brackets:

1. Quote sentence 2, providing a clear reference for the word *they're.*
2. Quote sentence 3, from "our memories are" through to the end of sentence 4, deleting the words from *not stored* through *They're.*
3. Quote sentence 6, providing a clear reference for the word *That's.*

Using Signal Phrases

4.4 Use six strategies to incorporate quotations, summaries, and paraphrases into your sentences.

When you incorporate quotations, summaries, or paraphrases into your work, do so in ways that ensure the smooth flow of your sentences. (In "Avoiding Freestanding Quotations" above, you've seen a jarring example of what happens when you *don't* prepare readers for a quotation.) Let's assume that, while conducting research for a paper on foreign aid—particularly, the logic by which the United States gives aid to other countries—you come across the following, written by ecologist Garrett Hardin:

> If we divide the world crudely into rich nations and poor nations, two thirds of them are desperately poor, and only one third comparatively rich, with the United States the wealthiest of all. <u>Metaphorically each rich nation can be seen as a lifeboat full of comparatively rich people</u>. In the ocean outside each lifeboat swim the poor of the world, who would like to get in, or at least to share some of the wealth. What should the lifeboat passengers do?

> First, we must recognize the limited capacity of any lifeboat. For example, a nation's land has a limited capacity to support a population and as the current [early 1970s] energy crisis has shown us, in some ways we have already exceeded the carrying capacity of our land.

Suppose you want to refer to Hardin's essay by quoting the underlined sentence or by summarizing or paraphrasing his metaphor concerning the lifeboat. We have already noted the importance of introducing references with a *signal phrase*. At the heart of all such phrases is the verb, which characterizes what is to come and sets the reader's expectations. You have options in choosing these verbs. Consider using the ones listed in this box.

Signal Verbs to Introduce Quotations, Summaries, and Paraphrases

Choose from the following list the verb that best characterizes what your source author says. The present tense is typically used in introducing sources.

adds	considers	illustrates	says
agrees	contends	implies	sees
argues	declares	insists	shows
asks	defends	maintains	speculates
asserts	denies	notes	states
believes	derides	observes	suggests
claims	disagrees	points out	thinks
comments	disputes	rejects	warns
compares	emphasizes	relates	writes
concedes	explains	reports	
concludes	finds	responds	
condemns	holds	reveals	

Signal Verbs and Tense

Use signal verbs in the "historical" present tense when introducing quotations, summaries, and paraphrases. The logic: The content of a quotation, summary, or paraphrase is always "present" to you and readers in the way, say, a movie is present every time you watch it, regardless of when it was filmed.

Present tense Jefferson *writes* that "all men are created equal."

But when referring generally to a source written in the past, one you are not immediately quoting, summarizing, or paraphrasing, use the past tense.

Past tense Jefferson *wrote* many drafts of the Declaration of Independence.

Six Strategies for Using Signal Phrases (or Sentences)

You can incorporate sources into the flow of your sentences in a variety of ways. Here's how we would introduce and then quote, summarize, and paraphrase Garrett Hardin. In each case, we've highlighted the signal phrase (or sentence):

1. IDENTIFYING PHRASE AT THE BEGINNING

Quotation

> As Garrett Hardin argues, "Metaphorically each rich nation can be seen as a lifeboat full of comparatively rich people" (26).

Summary

> Garrett Hardin uses the metaphor of a lifeboat—comparing those who are safely on board and alive versus those who are not and at risk of drowning—to explore the logic of helping the poor (26).

Paraphrase

> Garrett Hardin develops the metaphor of a lifeboat to examine the logic by which the United States gives aid to other nations. Those in the boat are like the wealthy nations of the world with resources enough to feed their citizens. Those swimming in the ocean beyond the boat are like poor nations struggling for survival. Poor nations want to climb aboard to share the resources of the wealthy and live. But the boat can only support so many passengers without sinking itself. Should those in the boat help those outside and risk hurting (or killing) themselves by sharing limited resources (26)?

2. IDENTIFYING PHRASE IN THE MIDDLE

Quotation

> "Metaphorically each rich nation can be seen as a lifeboat," claims Garrett Hardin, "full of comparatively rich people" (26).

Summary

> To explore the logic of helping the poor, Garrett Hardin uses the metaphor of a lifeboat—comparing those who are safely on board and alive versus those who are not and at risk of drowning (26).

Paraphrase

> The logic by which the United States gives aid to other nations can be explored through the metaphor of a lifeboat. Those in the boat are like the wealthy nations of the world with resources enough to feed their citizens. Those swimming in the ocean beyond the boat are like poor nations struggling for survival, according to Garrett Hardin, the ecologist who developed this metaphor. Poor nations want to climb aboard to share the resources of the wealthy and live. But the boat can only support so many passengers without sinking itself. Should those in the boat help those outside and risk hurting (or killing) themselves by sharing limited resources (26)?

3. IDENTIFYING PHRASE AT THE END

Quotation

"Metaphorically each rich nation can be seen as a lifeboat full of comparatively rich people," claims Garrett Hardin (26).

Summary

With food and resources enough to support their citizens, the wealthy nations of the world are like passengers in a lifeboat who face the question of using limited resources to help those outside the boat, according to Garrett Hardin (26).

Paraphrase

The logic by which the United States gives aid to other nations can be explored through the metaphor of a lifeboat. Those in the boat are like the wealthy nations of the world with resources enough to feed their citizens. Those swimming in the ocean beyond the boat are like poor nations struggling for survival. Poor nations want to climb aboard to share the resources of the wealthy and live. But the boat can only support so many passengers without sinking itself. As Garrett Hardin, the ecologist who developed this metaphor, asks, should those in the boat help those outside and risk hurting (or killing) themselves by sharing limited resources (26)?

4. REFERENCE TO A SOURCE PRECEDED BY THAT

Quotation [no comma + bracketed lowercase initial word]

The ecologist Garrett Hardin suggests that "[m]etaphorically each rich nation can be seen as a lifeboat full of comparatively rich people" (26).

Summary

Garrett Hardin asserts that the wealthy nations of the world are like passengers in a lifeboat faced with the dilemma of using limited resources to help those outside the boat (26).

Paraphrase

Garrett Hardin believes that the metaphor of a lifeboat can help us examine the logic by which the United States gives aid to other nations. Those in the boat are like the wealthy nations of the world with resources enough to feed their citizens. Those swimming in the ocean beyond the boat are like poor nations struggling for survival. Poor nations want to climb aboard to share the resources of the wealthy and live. But the boat can only support so many passengers without sinking itself. Should those in the boat help those outside and risk hurting (or killing) themselves by sharing limited resources (26)?

5. IDENTIFYING SENTENCE AT THE BEGINNING—WITH A COLON

Quotation

Garrett Hardin invents a provocative comparison for examining the logic of foreign aid: "Metaphorically each rich nation can be seen as a lifeboat full of comparatively rich people" (26).

Summary

> Garrett Hardin suggests we use a metaphor to examine the logic of foreign aid: With food and resources enough to support their citizens, the wealthy nations of the world are like passengers on a lifeboat who face the question of using limited resources to help those outside the boat, according to Garrett Hardin (26).

Punctuation note: If the words following a colon form a complete sentence, capitalize the first letter of the first word.

Paraphrase

> Garrett Hardin uses the metaphor of a lifeboat to examine the logic by which the United States gives aid to other nations: Those in the boat are like the wealthy nations of the world with resources enough to feed their citizens. Those swimming in the ocean beyond the boat are like poor nations struggling for survival. Poor nations want to climb aboard to share the resources of the wealthy and live. But the boat can only support so many passengers without sinking itself. Should those in the boat help those outside and risk hurting (or killing) themselves by sharing limited resources (26)?

6. BLOCK QUOTATION Use a sentence and colon to introduce quotations longer than four lines.

> Garrett Hardin uses the metaphor of a lifeboat to examine the logic by which the United States gives aid to other nations:
>
>> If we divide the world crudely into rich nations and poor nations, two thirds of them are desperately poor, and only one third comparatively rich, with the United States the wealthiest of all. Metaphorically each rich nation can be seen as a lifeboat full of comparatively rich people. In the ocean outside each lifeboat swim the poor of the world, who would like to get in, or at least to share some of the wealth. What should the lifeboat passengers do? (26)

Incorporating Quotations into Your Sentences

- **Quote only the part of a sentence or paragraph that you need.** Use no more of the writer's language than necessary to make or reinforce your point.
- **Incorporate the quotation into the flow of your own sentence.** The quotation must fit, both syntactically and stylistically, into your surrounding language.
- **Avoid freestanding quotations.** A quoted sentence should never stand by itself. Use a *signal phrase*—at the beginning, the middle, or the end of the sentence—to attribute the source of the quotation.
- **Use ellipsis marks.** Indicate deleted language in a quoted sentence with ellipsis marks.
- **Use brackets to add or substitute words.** Use brackets to add or substitute words in a quoted sentence when the meaning of the quotation would otherwise be unclear.

Exercise 4.2

Summarizing, paraphrasing, and quoting a brief passage

Read the following paragraph from Lincoln's Second Inaugural Address. Make use of the paragraph in three ways: First, write and introduce a summary. Second, write and introduce a paraphrase. Third, quote and introduce the underlined words. When quoting Lincoln, you need to use brackets. Model your three references to this paragraph on any of the six strategies discussed in this section. Remember to use an appropriate signal phrase (including verb) and quotation marks, as needed.

In the opening sentence, Lincoln is referring to his first inauguration:

> On the occasion corresponding to this four years ago all thoughts were anxiously directed to an impending civil war. <u>All dreaded it, all sought to avert it</u>. While the inaugural address was being delivered from this place, devoted altogether to *saving* the Union without war, insurgent agents were in the city seeking to *destroy* it without war—seeking to dissolve the Union and divide effects by negotiation. Both parties deprecated war, but one of them would *make* war rather than let the nation survive, and the other would *accept* war rather than let it perish, and the war came.
>
> —Abraham Lincoln, *Second Inaugural Address*, March 4, 1865

Making Standard "Moves" to Build Paragraphs

4.5 Make standard "moves" with summaries, paraphrases, and quotations to build paragraphs.

Writers use quotations, summaries, and paraphrases in at least five common ways to build paragraphs: to introduce a fact, to introduce an idea, to hold a conversation, to illustrate, and to mark a transition. (Two additional uses—introducing and concluding papers—are discussed in Chapter 9 on pages 191–201.) The paragraphs that follow illustrate these basic "moves" with sources.

Using Sources to Build Paragraphs

A paper is built of individual paragraphs, and each paragraph should make a point that supports your larger thesis—your paper's major, organizing statement. One important way of building paragraphs is to refer to source materials by using quotations, summaries, and paraphrases. To make full use of a source, understand the point of the paragraph in which it will appear and the function of that paragraph in the paper as a whole. Once you understand the broader context, you are ready to quote, summarize, and paraphrase.

How to Use Sources to Build Paragraphs

These guidelines can help you to introduce sources into your paragraphs. Be flexible in applying the guidelines. At times, you may need to invert or skip steps.

1. Write a topic sentence establishing the main idea of the paragraph. On occasion, you might quote or summarize a source to establish this idea.
2. Move your reader toward the source. Follow the topic sentence with another sentence (or two) that introduces the particular fact, example, statistic, or opinion you're calling attention to in the source.
3. Directly introduce the source. If you are stating the author's name in your sentence (as opposed to noting it in a citation), use a signal phrase ("According to Smith . . .) and/or a descriptive verb (Smith argues that . . .).
4. Quote, summarize, or paraphrase the source using techniques.
5. Cite the source.
6. *Use* the source: Comment, respond, explain its significance.
7. (Optional) Introduce additional sources into the paragraph to create a conversation, but do so only if you prepare for each new source by following some version of steps 1–6.

Making Standard Moves with Source-Based Paragraphs

Here are five ways to build your references to quotations, summaries, and paraphrases into well-developed paragraphs. These strategies are typical "moves" that experienced writers make with source materials.

USE SOURCES TO INTRODUCE A FACT You can summarize, paraphrase, or quote in order to establish a fact important to your paragraph. When you can, use sources written by experts.

(1) Topic sentence

(2) Move the reader toward the source.

(3) Directly introduce the source.

(4) Quote, Summarize, or paraphrase the source.

(5) Cite the source.

(6) Use the source.

The physics of a space elevator should be familiar to any child who has spun a nope with a rock attached to one end: as the arm spins, the rope remains extended at its full Length in the air, apparently defying gravity. The rope and the rock stay up because centrifugal force acts to push the weight outward, while the rope keeps the rock from flying off. In the case of a space elevator, instead of the child spinning the weight, it is the earth that's spinning. And instead of a rope perhaps three feet in Length extending taut from the child's hand out to the rock, the far end of a space tether would be attached to a weight extending 62,000 miles from earth (Aravind 125-26; Kent 3). Movement up and down the tether would not involve the use of a counterweight and pulley system, as with terrestrial elevators, but rather a mechanical climber to ferry cargo to and from space.

The writer of this paragraph summarizes two sources. A check of the Works Cited list for the paper indicates that the authors wrote originally for the United States Air War College and the *American Journal of Physics*. These sources are authoritative and, by association, so is the content of any paragraph that draws on them.

USE SOURCES TO INTRODUCE AN IDEA You can use a source to introduce a clear and forcefully stated idea into your paper—and to set up a response. That response can be your own, as in the following example, or it can involve the use of additional sources. In either case, you are using a source as an occasion to introduce an idea and then discuss it.

(1) Topic sentence.

(4) Quote summarize or paraphrase the source.

(5) Cite the source.

(2) Move reader toward the source.

(3) Directly introduce the source.

(6) Use the source.

Something other than or in addition to the imbalance Beall writes about, between *self-expression* and *communication*, must cause the problems so many musicians encounter in trying to create hit songs. Beall suggests what this might be when, quoting industry executive Jason Flom, he asks: "Where . . . have all the musical geniuses gone? Why has this generation not produced even one musical genius on the level of Dylan or Sly Stone, or John Lennon, or Prince?" (para. 10). In responding, Beall sticks to the terms he has introduced: we lack geniuses, he writes, because too few artists are reaching beyond self-expression in an effort to communicate. This answer assumes we have no musical geniuses because of problems with musicians themselves. But given the hit-focused, backward-Looking nature of the industry, an alternative answer based on a different assumption seems possible: the industry itself is the problem.

In this paragraph, the writer quotes a provocative question ("Where . . . have all the musical geniuses gone?") and responds at length. The result is a dialogue between the quoted author and the student writer. In addition, the writer could have called other authors into the conversation, as shown in the next example.

USE SOURCES TO START AND CONTINUE A DISCUSSION The following paragraph weaves summaries and quotations into a discussion about a single idea: a software program designed to analyze music. The writer summarizes a source to introduce the idea, weaves other sources into the paragraph in order to challenge the idea, and adds still other sources to challenge the initial challenge. The result is a rich discussion.

(1) Topic sentence

(2) Summaries move reader to quoted source, below.

Critics and proponents of Hit Song Science software are now fiercely debating its merits. Those who support the technology believe that the success of Norah Jones may push the industry to sign musicians whose work might initially seem too edgy or unprofitable (Westcott; uPlaya; "New Music"). Critics worry that Jones is the exception in an industry "not exactly renowned for its daring" (Wake, qtd. in "Jukebox"). Because Hit Song Science bases its ratings of new songs on *past* hits, other critics predict

(4) Quote, summarize, or paraphrase the source.

(3) Directly introduce the source.

(5) Cite the source.

(6) Use the source and

(7) Introduce other sources

> that future music run through HSS algorithms will lack surprises ("New Music"). Alert to this criticism, one of the founders of HSS says that "[r]eticent artists need to understand [that HSS] is just a tool to help them get their art to a mass audience, rather than affect the art they're making" (McCready, qtd. in Westcott). Critics remain concerned. They see the potential for computers to encroach on, and possibly dictate, artists' decisions in crafting their work. On learning of the new technology, one composer/performer and professor of music at the New England Conservatory said: "Just shoot me now" (Labaree). He is far from alone in his skepticism. A multi-platinum selling composer/performer who appreciates the potential of HSS to be one of many tools available to artists nonetheless cautions that "[t]ools don't write great songs" (Stolpe).

In this case, the writer doesn't join the discussion by stating his own ideas, although he could have. Rather, he chose to advance the paper by conducting a discussion among others.

USE SOURCES TO ILLUSTRATE One classic use of sources is to illustrate a generalization. The following paragraph opens with a summary of a source (the novelist Chinua Achebe's commentary on Joseph Conrad's *Heart of Darkness*). Sentences 2, 3, and 4 make a generalization, which is followed by two examples, both quoted.

(1) Topic sentence

(2) Move reader toward the source.

(3) Directly introduce the source.

(4) Quote, summarize, or paraphrase the source.

> The majority of Achebe's argument seeks to demonstrate the underlying racism of Conrad's novel. Achebe does so effectively. One would be hard pressed to deny that Conrad's Africa is, as Achebe puts it, the "antithesis" of civilization. Conrad's depiction of Africa's physical qualities romanticizes its backwardness. Achebe cites two prime examples: "Going up that river [the Congo] was like traveling back to the earliest beginnings of the world" and "The steamer toiled along slowly on the edge of a black and incomprehensible frenzy." Achebe goes on to exhibit Conrad's racist depiction of African people:
>
> > No they were not inhuman. Well, you know that was the worst of it—this suspicion of their not being inhuman. It would come slowly to one. They howled and leaped and spun and made horrid faces, but what thrilled you, was just the thought of their humanity—like yours—the thought of your remote kinship with this wild and passionate uproar. Ugly. (37)
>
> This passage reveals the crux of Achebe's attack: Conrad not only depicts Africans and Africa in an inhuman way, but his method of identifying the "kinship" between Africa and Europe dehumanizes the former.

(5) Cite the source.

(6) Use the source.

Notice how the quoted examples illustrate the generalization that "One would be hard pressed to deny that Conrad's Africa is, as Achebe puts it, the 'antithesis' of civilization."

USE SOURCES TO MARK A TRANSITION Sometimes you can use sources to mark a transition, when you summarize what has come before and move the reader in a new, related direction. In this next example, notice how the writer concludes one point, then in a fresh paragraph introduces a sentence fragment (stylistically justified) to move the reader to a new point. The quotation following the transition suggests the new direction that the paper will take.

> From the very first week of school, Benjamin could never—and never wanted to—compete against Eric's bluntness or Marc's temper. Of all of us, he rejected most completely the unwritten law of dorm life: that sarcasm and violence are positive values. Still, Benjamin hung out with us. He Lived in our corner of the dorm, and he wanted to be friendly. But everyone, including Benjamin, understood that he occupied the lowest spot in the order.
>
> That is, until he left midyear. According to Collins, "any social arrangement works because people avoid questioning it most of the time" (p. 74). The inverse of this principle is as follows: when a social arrangement is questioned, that arrangement can fall apart. The more fragile the arrangement (the flimsier the values on which it is based), the more quickly it will crumble. For the entire first semester, no one questioned our rude, macho rules, and because of them we pigeon-holed Benjamin as a wimp. At the beginning of the second semester, we found him packing up his room. Marc, who was walking down the hall, stopped by and said something like: "Hey, buddy, the kitchen get too hot for you?" I was there, and I saw Benjamin turn around and say: "Do you practice at being such a __________, or does it come naturally?" Marc said something in a raised voice. I stepped between them, and Benjamin said: "Get out." I was cheering.

(2) Move the reader toward the source.

(3) Directly introduce the source.

(5) Cite the source.

(4) Quote, summarize, or paraphrase the source.

(1) Topic sentence.

(6) Use the source.

After quoting Collins (a source cited earlier in the paper), the writer puts the quotation to immediate use by restating it (in its "inverse" form) and using it as a principle by which to guide an analysis that becomes the focus of the remaining paragraph. The quotation moves the paper in a new but related direction. Note the slight rearrangement of paragraph elements: The topic sentence is delayed because the paragraph begins with a quotation.

Looking Ahead

Chapter 2 focused on reading with attention in a way that helps you understand sources and use them without needing to reread. In Chapter 3, you learned about two ways of restating the work of others: summary and paraphrase. In this chapter we've covered how to quote a source, how to fit your quotation (summary, or paraphrase) into the flow of a sentence, and how to build source-rich sentences into paragraphs that achieve the aims of your papers.

We turn, now, to three of the main types of papers you will be called on to write while in college: critique, synthesis, and analysis. For each, you will use some combination of summary, paraphrase, and quotation, thereby building on and practicing the skills covered in these first there chapters.

Writing Assignment: Building Source-Based Paragraphs

As you have seen, a source-based paragraph introduces a source; quotes, summarizes, or paraphrases the source; and then discusses the source. You've considered six ways writers can do this. Now find an example to share with your classmates. Choose an article or book from any of your current courses and identify a paragraph that makes an effective "move" with one or more sources. Scan or photocopy this paragraph and, as illustrated above, label the elements that make it a good example of paragraph building.

Chapter 5

Critical Reading and Critique

Learning Objectives

After completing this chapter, you will be able to:

5.1 Understand the connection between critical reading and critique.

5.2 Analyze the informative and persuasive strategies authors use to achieve their purpose.

5.3 Identify points of agreement and disagreement with an author and evaluate assumptions.

5.4 Write a critique of an article, editorial, or chapter.

Critical Reading

5.1 Understand the connection between critical reading and critique.

In college work, you read to learn and use new information. But sources are not equally valid or equally useful, so you must learn to distinguish critically among them by evaluating them. Through evaluation, you determine the extent to which sources are reliable.

There is no ready-made formula for determining reliability. Critical reading and its written equivalent—the *critique*—require discernment; sensitivity; imagination; knowledge of the subject; and, above all, willingness to become involved in what you read. These skills are developed only through repeated practice. But you must begin somewhere, and so we recommend that you start by posing two broad questions about passages, articles, and books that you read:

1. To what extent does the author succeed in his or her purpose?
2. To what extent do you agree with the author?

Question 1: To What Extent Does the Author Succeed in His or Her Purpose?

5.2 Analyze the informative and persuasive strategies authors use to achieve their purpose.

All critical reading *begins with an accurate summary.* Before attempting an evaluation, you must be able to locate an author's thesis and identify the selection's content and structure. You must also understand the author's *purpose.*

Authors write to inform, to persuade, and to entertain. A given piece may be primarily *informative* (a summary of the research on cloning), primarily *persuasive* (an argument on what the government should do to alleviate homelessness), or primarily *entertaining* (a play about the frustrations of young lovers). Or it may be all three (as in John Steinbeck's novel *The Grapes of Wrath,* about migrant workers during the Great Depression). But if the finished piece is coherent, it will have a primary reason for having been written. Identifying this primary reason—this purpose—is your first job as a critical reader.

Your next job is to determine how successful the author has been in achieving this objective. As a critical reader, you bring different criteria, or standards of judgment, to bear when you read pieces intended to inform, persuade, or entertain.

Writing to Inform

A piece intended to inform provides definitions, describes or reports on a process, recounts a story, gives historical background, and/or provides facts and figures. An informational piece responds to questions such as these:

What (or who) is ________________?

How does ________________ work?

What is the controversy or problem about?

What happened?

How and why did it happen?

What were the results?

What are the arguments for and against ________________?

To the extent that an author answers such questions and you could (if you had the time) confirm these answers , the selection is intended to inform. Having determined this, you can organize your response by considering three criteria: accuracy, significance, and fair interpretation of information.

EVALUATING INFORMATIVE WRITING

Accuracy of Information It is your responsibility as a critical reader to determine if information is trustworthy. You should check facts against other sources. Government publications are often good resources for verifying facts about political legislation, population data, crime statistics, and the like. You can also search key terms in library databases and on the Web.

Web Sites and the Trust Factor: Know What Sort of Site You're On

- **Some Web-based sources** are identical to print-based counterparts.

  These sites—for instance, the Web-based version of major newspapers and magazines—will be as authoritative as their edited, fact-checked counterparts in print. They differ only in their medium of publication. You should try to verify information found on such sites (by checking against other sources), but the likelihood is high that this information is reliable.

- **Many Web-based sources** are self-published.

  Self-published Web sites present a greater challenge in terms of accuracy because distorted "facts," unsupported opinion, and hidden agendas are often offered as reliable. Beware! It will often be difficult to verify what you find on such sites.

Significance of Information One useful question that you can put to a reading is "So what?" In the case of selections that attempt to inform, you may reasonably wonder whether the information makes a difference. What can the reader gain from this information? How is knowledge advanced by the publication of this material? Is the information of importance to you or to others in a particular audience? Why or why not?

Fair Interpretation of Information At times you will read reports whose sole purpose is to relate raw data or information. More frequently, once authors present information, they will attempt to evaluate or interpret it. Distinguish between the author's presentation of facts and figures and his or her attempts to evaluate them. Watch for shifts from straightforward descriptions of factual information ("20 percent of the population") to assertions about what this information means ("a *mere* 20 percent of the population"), what its implications are, and so on. You may find that the information is valuable but the interpretation is not.

Questions to pose for interpreted facts:

- Could you offer a contrary explanation for the same facts?
- Does more information need to be gathered before firm conclusions can be drawn? Why?

Writing to Persuade

Writing is frequently intended to persuade—that is, to influence the reader's thinking. To make a persuasive case, the writer must begin with an assertion that is arguable, some statement about which reasonable people could disagree. Such an assertion is called a *thesis*. Here are two examples:

> Because they do not speak English, many children in this affluent land are being denied their fundamental right to equal educational opportunity.
>
> Bilingual education, which has been promoted by a small group of activists with their own agenda, is detrimental to the very students it is supposed to serve.

Thesis statements such as these represent conclusions that authors have drawn as a result of researching and thinking about an issue. You go through the same process yourself when you write persuasive papers or critiques. And just as you are entitled to evaluate critically the assertions of authors you read, so your professors—as well as other students—are entitled to evaluate *your* assertions.

Keep in mind that writers organize arguments by arranging evidence to support one conclusion and to oppose (or dismiss) another. You can assess the validity of an argument and its conclusion by determining whether the author has (1) clearly defined key terms, (2) used information fairly, and (3) argued logically and not fallaciously(see pp. 82–85).

Exercise 5.1

Informative and Persuasive Thesis Statements

With a partner from your class, identify at least one informative and one persuasive thesis statement from two passages of your own choosing. Photocopy these passages and highlight the statements you have selected.

As an alternative, and also working with a partner, write one informative and one persuasive thesis statement for *three* of the topics listed at the end of this exercise. For example, for the topic of prayer in schools, your informative thesis statement could read:

> Both advocates and opponents of school prayer frame their position as a matter of freedom.

Your persuasive thesis statement might be worded as follows:

> As long as schools don't dictate what kinds of prayers students should say, then school prayer should be allowed and even encouraged.

Don't worry about taking a position that you agree with or feel you could support; this exercise doesn't require that you write an essay. Here are the topics:

Immigration policy
Stem cell research
Grammar instruction in English class
Violent lyrics in music
Teaching computer skills in primary schools
Curfews in college dormitories
Course registration procedures

EVALUATING PERSUASIVE WRITING On July 7, 2015, the consumer protection organization, Consumer Watchdog, petitioned the Federal Trade Commission (FTC) to argue that U.S. citizens should enjoy the right to be forgotten online: the right to ask search engine companies, like Google, to delist—that is, to remove from search engine results—links to Web sites that are irrelevant, embarrassing, or damaging.

A fascinating debate ensued, as you'll discover in the following brief selections. As you read, consider the merits of each argument and take a position. What do *you* think about the "Right to Be Forgotten" online—and why? Crucially, you must understand the reasons for your conclusions. In the model critique that follows the third selection, you'll see how student Ethel Weiss develops her response.

Here is a list of the readings:

- The opening two paragraphs from Consumer Watchdog's complaint to the FTC
- The *Washington Post*'s (negative) response to Consumer Watchdog's position
- An editorial in support of Consumer Watchdog's position

Consumer Watchdog

July 7, 2015

Chairwoman Edith Ramirez
Commissioner Julie Brill
Commissioner Maureen K. Ohlhausen
Commissioner Joshua D. Wright
Commissioner Terrell McSweeny
Federal Trade Commission
600 Pennsylvania Avenue, N.W.
Washington, D.C. 20580

Re: Complaint Regarding Google's Failure to Offer "Right to Be Forgotten" in the U.S.

Dear Chairwoman Ramirez and Commissioners Brill, Ohlhausen, Wright, and McSweeny:

I am writing on behalf of Consumer Watchdog, a nationally recognized nonprofit, nonpartisan consumer education and advocacy organization, to formally lodge a complaint about Google's failure to offer U.S. users the ability to request the removal of search engine links from their name to information that is inadequate, irrelevant, no longer relevant, or excessive. In Europe the ability to make this request is popularly referred to as the Right To Be Forgotten. As Commissioner Brill has suggested it may more accurately be described as the Right Of Relevancy or the Right To Preserve Obscurity. Google's refusal to honor the right and consider such removal requests in the United States while holding itself out to be concerned about users' privacy is both unfair and deceptive, violating Section 5 of the Federal Trade Commission Act. We urge the Commission to investigate and act.

Here is why the Right To Be Forgotten—or Right of Relevancy—is so important to protecting consumers' privacy in the digital age: Before the Internet if someone did something foolish when they were young—and most of us probably did—there might well be a public record of what happened. Over time, as they aged, people tended to forget whatever embarrassing things someone did in their youth. They would be judged mostly based on their current circumstances, not on information no longer relevant. If someone else were highly motivated, they could go back into paper files and folders and dig up a person's past. Usually this required effort and motivation. For a reporter, for instance, this sort of deep digging was routine with, say, candidates for public office, not for Joe Blow citizen. This reality that our youthful indiscretions and embarrassments and other matters no longer relevant slipped from the general public's consciousness is Privacy By Obscurity. The Digital Age has ended that. Everything—all our digital footprints—are instantly available with a few clicks on a computer or taps on a mobile device.

—John M. Simpson

Americans Shouldn't Demand a "Right to Be Forgotten" Online

Washington Post*

By the Editorial Board, August 28, 2015

Should the Federal Trade Commission force Google to respect people's "right to be forgotten"?

No.

Last year a European court ordered the online search giant to bow to people's interest in obscurity, and ever since the company has had to take requests from European citizens who want their Google results purged of unflattering links. European judges reasoned that privacy concerns should take precedence over public access to online speech.

Now Consumer Watchdog, a U.S. nonprofit, wants to bring these sorts of limits on freedom of expression to the United States: The group petitioned the FTC to force Google to offer U.S. citizens similar treatment. It's an understandable but misguided request.

First, any FTC action likely would run afoul of the First Amendment. The FTC wouldn't mandate the removal of information from the Internet; Web sites wouldn't be taken down. But they would become much harder to locate, with the FTC effectively prescribing what speech should be findable and what should not. The government shouldn't entangle itself.

Consumer Watchdog's request also would create an incentive for tech companies to suppress information, as they would face regulatory scrutiny for permitting unflattering information to remain accessible while facing little countervailing pressure to keep information findable. Google has acceded to only about 40 percent of delisting requests it has received in Europe since it lost its case there. But the company could decide in the future that carefully evaluating delisting requests isn't worth the time, and other companies might, too.

Even without FTC action, Europe's regulatory overreach may affect the whole Internet: French privacy authorities are pressing Google to remove links from all its search sites, not just those most Europeans use.

If government mandates are a bad idea, what about voluntary action? Google says it wants its search results to reflect "the whole Web," not just what search subjects want viewable. That's the right instinct. As much as possible, there should not be two worlds of public information online—an attenuated one that is accessible to all, and a wider realm that is accessible to those with more time, know-how, or money. Moreover, online norms should not tilt the system against small-time publishers in favor of larger ones who have more capacity to make a fuss when their links are delisted. After pushback from major European media organizations, Google restored links to some of their material. It seems unlikely a local blogger writing on a no-name site would get equal consideration, or even know how to press for it.

There's room for compromise with people who worry that one slip-up saved on a Web site somewhere will haunt them for the rest of their lives. Google announced in June that it will deny people easy access to "revenge porn," for example, since its only purpose is to degrade. And when it comes to information people voluntarily surrender about themselves, whether for public circulation or not, Web services' privacy policies should be clear about what information users are handing over and how they can purge it later.

These would be modest improvements. But unspectacular progress is better than starting down the road of stifling the Internet's remarkably free flow of information.

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*Editorial Board, *Washington Post*, August 28, 2015. https://www.washingtonpost.com/opinions/americans-shouldnt-demand-a-right-to-be-forgotten-online/2015/08/28/dbc8c262-4aaa-11e5-8e7d-9c033e6745d8_story.htm.

The Right to Bury the (Online) Past

***Washington Post*, September 13, 2015**
By Liza Tucker

Liza Tucker is a consumer advocate with the nonprofit group Consumer Watchdog.

Imagine your 18-year-old daughter is decapitated in a car accident. Gruesome police photographs of her body are leaked onto the Internet. Every time someone searches your family's name, the photos pop up at the top of the page. That's what happened to Christos and Lesli Catsouras because in the United States, unlike in Europe, search engines are not required to act on requests by individuals to remove such links.

That's why our nonprofit consumer group has petitioned the Federal Trade Commission to grant every American "the right to be forgotten," a position the [*Washington*] *Post* criticized in an August 28 editorial, "Stifling the Internet," for potentially opening the door to the purging of "unflattering" links upon request. We believe that families such as the Catsourases should have the right to ask the Internet's corporate gatekeepers to stop elevating deeply disturbing, unauthorized, irrelevant, excessive, or distorted personal information to the top of search results associated with their names.

Extending the right to be forgotten to Americans would not mean that government would limit freedom of expression, as the *Post* suggested. True suppression of speech happens when a government reviews all media and suppresses those parts it deems objectionable on moral, political, military, or other grounds. With a right to be forgotten, Google, Yahoo, and other corporations—not the government—would decide what material should not be provided in response to search requests, while the material would still remain on any Web sites that posted it.

Google may be battling this right in the United States, but in Europe it has shown that it is perfectly capable of separating the wheat from the chaff. Google reports that it has evaluated more than 310,000 requests to remove more than 1.1 million URLs. It has removed about 42 percent and left 58 percent alone.

The sorts of requests that Google had denied involve people who want embarrassing, but still relevant, information excised from the Web. For example, Google did not remove links to recent articles reporting on the arrest and conviction of a Swiss financial professional for financial crimes. He's still in that business, so those who might deal with him should know. Google denied a request from a man in Britain to remove references to his dismissal for sexual crimes committed on the job. Such information is relevant to his next employer.

Requests that Google has honored also make sense. A rape victim in Germany asked it to remove a link to a newspaper article about the crime. A woman in Italy asked for the removal of links to a decades-old article about the murder of her husband in which her name was used. Google rightly complied as the widely accessible information victimized individuals all over again.

Such readily accessible material can be devastating, unjustly foreclosing economic and social opportunities. The more prominent the result, the more credible, accurate, and relevant it can seem, even if the opposite is true.

For example, a Florida doctor locked herself into a bedroom to avoid a violent boyfriend. After he jimmied the lock with a knife, she scratched his chest with her fingernails. He told police she had used the knife on him. Police arrested them both and charged her with aggravated assault with a deadly weapon. The charges against her were soon dropped, but she had to pay thousands to Web sites to remove her mug shot.

A middle-aged school guidance counselor disclosed the fact that she modeled lingerie in her late teens when she was hired, but she still was fired after the photos surfaced on the Web. It made no difference that the photos were irrelevant to her job.

U.S. law already recognizes that certain information should become irrelevant after the passage of time has demonstrated that an individual is not likely to repeat a mistake. The Fair Credit Reporting Act, which is enforced by the FTC, dictates that debt collections, civil lawsuits, tax liens, and even arrests for criminal offenses in most cases be considered obsolete after seven years and so excluded from credit reports.

This concept is not lost on Google. When a teacher in Germany who was convicted for a minor crime over 10 years ago contacted the company, it removed links to an article about the conviction from search results for the individual's name. But public figures are a different matter. When a high-ranking public official asked to remove recent articles discussing a decades-old criminal conviction, Google declined.

Google touts its privacy principles, claiming that it strives to offer its diverse users "meaningful and fine-grained choices over the use of their personal information." It's deceptive and unfair for Google to make this claim but not to honor the privacy it purports to protect.

Google makes money off online searches. It has an obligation not to exploit or appropriate the salacious details of peoples' lives in the pursuit of clicks and money without considering petitions to have such details removed.

The Catsouras family and others have the right not to be traumatized forever by images or information that never belonged in the public domain. They deserve the right to bury the past and move on. Google's refusal to answer the family's pleas without a law in place compelling it to do so shows exactly why the FTC needs to act.

Exercise 5.2

Critical Reading Practice

Look back to Chapter 2, pages 19–20, for the section titled "Rereading for Content and Structure." Use each of the guidelines listed there to examine the argument by Liza Tucker. Note in the margins of the selection, or on a separate sheet of paper, the argument's main point, subpoints, and use of examples.

PERSUASIVE STRATEGIES

Clearly Defined Terms The validity of an argument depends to some degree on how carefully an author has defined key terms. Take the assertion, for example, that American society must be grounded in "family values." Just what do people who use this phrase mean by it? The validity of their argument depends on whether they and their readers agree on a definition of "family values"—as well as what it means to be "grounded in" family values. The success of the argument—its ability to persuade—hinges on the definition of a key term. In responding to an argument, be sure you (and the author) are clear on what exactly is being argued.

Note that, in addition to their *denotative* meaning (their specific or literal meaning), many words carry a *connotative* meaning (their suggestive, associative, or emotional meaning). For example, the denotative meaning of "home" is simply the house or apartment where one lives. But the connotative meaning—with its associations of family, belongingness, refuge, safety, and familiarity—adds a significant emotional component to this literal meaning. (See more on connotation in "Emotionally Loaded Terms," below.)

In the course of her argument, Tucker writes the following: "We believe that families such as the Catsourases should have the right to ask the Internet's corporate gatekeepers to stop elevating deeply disturbing, unauthorized, irrelevant, excessive, or distorted personal information to the top of search results associated with their names." In part, agreement with Tucker depends on whether or not readers share her definition of what counts as "irrelevant" information. As a newspaper in the business of guarding our rights to free speech, the *Post* believes that all information has value (is "relevant") and should not be suppressed. Not surprisingly, the *Post* and Tucker disagree over the right to be forgotten online.

As the writer of a critique, you should identify and discuss any undefined or ambiguous term that might give rise to confusion.

Fair Use of Information Information is used as evidence in support of arguments. When you encounter such evidence, ask yourself two questions: (1) "Is the information accurate and up to date?" At least a portion of an argument becomes invalid when the information used to support it is wrong or stale. (2) "Has the author cited *representative* information?" The evidence used in an argument must be presented in a spirit of fair play. An author is less than ethical when he presents only the evidence favoring his own views even though he is well aware that contrary evidence exists. For instance, it would be dishonest to argue that an economic recession is imminent and to cite only indicators of economic downturn while ignoring and failing to cite contrary (positive) evidence.

"The Right to Bury the (Online) Past" is not an information-heavy essay. The success of the piece turns on the author's powers of persuasion, not on her use of facts and figures. Tucker does, however, discuss Google's (self-) published track record of reviewing petitions for delisting information. Her discussion of this material extends only as far as Google's self-published examples. Yet more than a month prior to publication of her op-ed in the *Post*, Google suffered a data leak concerning its delisting policies, and newspapers like *The Guardian* found reasons to be skeptical that Google was doing all it could, or should, in transparently considering petitions for delisting. This information casts doubts on Google's ability to handle delisting well. The information was available to Tucker, though it went unused—a point raised in the model critique of her argument because it raises questions about her assumption that we can trust Google to make the right delisting decisions.

LOGICAL ARGUMENTATION: AVOIDING LOGICAL FALLACIES At some point, you'll need to respond to the logic of the argument itself. To be convincing, an argument should be governed by principles of *logic*—clear and orderly thinking. This does *not* mean that an argument cannot be biased. A biased argument—that is, an argument weighted toward one point of view and against others, which is in fact the nature of argument—may be valid as long as it is logically sound.

Let's examine several types of faulty thinking and logical fallacies you will need to watch for.

Emotionally Loaded Terms Writers sometimes attempt to sway readers by using emotionally charged words. Words with positive connotations (e.g., "family values") are intended to sway readers to the author's point of view; words with negative connotations (e.g., "paying the price") try to sway readers away from an opposing point of view. The fact that an author uses emotionally loaded terms does not necessarily invalidate an argument. Emotional appeals are perfectly legitimate and time-honored modes of persuasion. But in academic writing, which is grounded in logical argumentation, they should not be the *only* means of persuasion. You should be sensitive to *how* emotionally loaded terms are being used. In particular, are they being used deceptively or to hide the essential facts?

Tucker uses her share of emotionally loaded words, part of her strategy of securing the reader's support for her position. Certainly no one would want "gruesome" photos of our deceased loved ones readily available online. No one would want others to gawk at personal information we regard as "deeply disturbing, . . . irrelevant, excessive, or distorted." Tucker wants us on her side, and her emotionally loaded language works—to an extent. Still, critical readers must recognize these words for what they are: part of an emotional strategy for argument. For the logic of her argument we must look elsewhere. Above all, do not let an emotional appeal blind you to shortcomings of logic, ambiguously defined terms, or a misuse of facts.

***Ad Hominem* Argument** In an *ad hominem* argument, the writer rejects opposing views by attacking the person who holds them. By calling opponents names, an author avoids the issue. Consider this excerpt from a political speech:

> I could more easily accept my opponent's plan to increase revenues by collecting on delinquent tax bills if he had paid more than a hundred dollars in state taxes in each of the past three years. But the fact is, he's a millionaire with a millionaire's tax shelters. This man hasn't paid a wooden nickel for the state services he and his family depend on. So I ask you: Is *he* the one to be talking about taxes to *us*?

It could well be that the opponent has paid almost no state taxes for three years, but this fact has nothing to do with, and is used as a ploy to divert attention from, the merits of a specific proposal for increasing revenues. The proposal is lost in the attack against the man himself, an attack that violates principles of logic. Writers (and speakers) should make their points by citing evidence in support of their views and by challenging contrary evidence.

Faulty Cause and Effect The fact that one event precedes another in time does not mean that the first event has caused the second. An example: Fish begin dying by the thousands in a lake near your hometown. An environmental group immediately cites chemical dumping by several manufacturing plants as the cause. But other causes are possible: A disease might have affected the fish, the growth of algae might have contributed to the deaths, or acid rain might be a factor. The origins of an event are usually complex and are not always traceable to a single cause. You must carefully examine cause-and-effect reasoning when you find a writer using it. In Latin, this fallacy is known as *post hoc, ergo propter hoc* ("after this, therefore because of this").

Tucker argues that federal regulation is needed to force Google into considering petitions to delist offensive, irrelevant Web sites. Even allowing for agreement on what counts as "irrelevant," Tucker assumes that a Federal Trade Commission rule would lead to the outcome she desires. Essentially, she's arguing cause and effect: do this (set a rule) to cause that (responsible delisting). Yet there are problems that may cloud these effects. First, she's not considering the potential conflicts Google faces each time it considers a petition to delist. Might financial concerns—money to be made from advertising—complicate Google's ability to make ethical decisions? Second, should Google be making these decisions at all? Do its employees have the training or interest to make sound, consistent decisions about delisting sites? True, an FTC rule would force an "effect," and some sites would be delisted. But would this be the best possible, fairest, and most consistent effect? (You'll find more on this line of critique in the model paper.)

Either/or Reasoning Either/or reasoning also results from an unwillingness to recognize complexity. If in analyzing a problem an author artificially restricts the range of possible solutions by offering only two courses of action and then rejects the one that he opposes, he cannot logically argue that the remaining course of action, which he favors, is therefore the only one that makes sense. Usually, several other options (at least) are possible. For whatever reason, the author has chosen to overlook them. As an example, suppose you are reading a selection on genetic engineering in which the author builds an argument on the basis of the following:

> Research in gene splicing is at a crossroads: Either scientists will be carefully monitored by civil authorities and their efforts limited to acceptable applications, such as disease control; or, lacking regulatory guidelines, scientists will set their own ethical standards and begin programs in embryonic manipulation that, however well intended, exceed the proper limits of human knowledge.

Certainly, other possibilities for genetic engineering exist beyond the two mentioned here. But the author limits debate by establishing an either/or choice. Such a limitation is artificial and does not allow for complexity. As a critical reader, you need to be on the alert for reasoning based on restrictive either/or alternatives.

Tone

Tone refers to the overall emotional effect produced by a writer's choice of language. Writers might use especially emphatic words to create a tone: A film reviewer might refer to a "magnificent performance," or a columnist might criticize "sleazeball politics."

These are extreme examples of tone; tone can also be more subtle, particularly if the writer makes a special effort *not* to inject emotion into the writing. As we indicated in the section on emotionally loaded terms, the fact that a writer's tone is highly emotional does not necessarily mean that the writer's argument is invalid. Conversely, a neutral tone does not ensure an argument's validity.

Many instructors discourage student writing that projects a highly emotional tone, considering it inappropriate for academic or preprofessional work. (One sure sign of emotion: the exclamation mark, which should be used sparingly.)

Hasty Generalization Writers are guilty of hasty generalization when they draw their conclusions from too little evidence or from unrepresentative evidence. To argue that scientists should not proceed with the Human Genome Project because a recent editorial urged that the project be abandoned is to make a hasty generalization. That lone editorial may be unrepresentative of the views of most individuals—both scientists and laypeople—who have studied and written about the matter.

False Analogy Comparing one person, event, or issue to another may be illuminating, but it can also be confusing or misleading. Differences between the two may be more significant than their similarities, and conclusions drawn from one may not necessarily apply to the other. A candidate for governor or president who argues that her experience as CEO of a major business would make her effective in governing a state or the country is assuming an analogy between the business and the political/civic worlds that does not hold up to examination. Most businesses are hierarchical, or top down: When a CEO issues an order, he or she can expect it to be carried out without argument. But governors and presidents command only their own executive branches. They cannot issue orders to independent legislatures or courts (much less private citizens); they can only attempt to persuade. In this case the implied analogy fails to convince the thoughtful reader or listener.

Begging the Question To beg the question is to assume as proven fact the very thesis being argued. To assert, for example, that the United States does not need a new healthcare delivery system because it currently has the best healthcare in the world does not prove anything: It merely repeats the claim in different—and equally unproven—words. This fallacy is also known as *circular reasoning.*

Non Sequitur ***Non sequitur*** is Latin for "it does not follow"; the term is used to describe a conclusion that does not logically follow from the premise. "Because minorities have made such great strides in the past few decades," a writer may argue, "we no longer need affirmative action programs." Aside from the fact that the premise itself is arguable (*have* minorities made such great strides?), it does not follow that because minorities *may* have made great strides, there is no further need for affirmative action programs.

Oversimplification Be alert for writers who offer easy solutions to complicated problems. "America's economy will be strong again if we all 'buy American,'" a politician may argue. But the problems of the U.S. economy are complex and cannot be solved by a slogan or a simple change in buying habits. Likewise, a writer who argues that we should ban genetic engineering assumes that simple solutions ("just say no") will be sufficient to deal with the complex moral dilemmas raised by this new technology.

Exercise 5.3

Understanding Logical Fallacies

List the nine logical fallacies discussed in the preceding section. Briefly define each one in your own words. Then, in a group of three or four classmates, review your definitions and the examples we've provided for each logical fallacy. Collaborate with your group to find or invent additional examples for each of the fallacies. Compare your examples with those generated by the other groups in your class.

Writing to Entertain

Authors write not only to inform and persuade but also to entertain. One response to entertainment is a hearty laugh, but it is possible to entertain without encouraging laughter: A good book or play or poem may prompt you to reflect, grow wistful, become elated, get angry. Laughter is only one of many possible reactions. Like a response to an informative piece or an argument, your response to an essay, poem, story, play, novel, or film should be precisely stated and carefully developed.

Question 2: To What Extent Do You Agree with the Author?

5.3 **Identify points of agreement and disagreement with an author and evaluate assumptions.**

A critical evaluation consists of two parts. The first part, which we just discussed, assesses the accuracy and effectiveness of an argument in terms of the author's logic and use of evidence. The second part, discussed here, responds to the argument—that is, agrees or disagrees with it.

Identify Points of Agreement and Disagreement

Be precise in identifying where you agree and disagree with an author. State as clearly as possible what *you* believe in relation to what the author believes as presented in the piece. Whether you agree enthusiastically, agree with reservations, or disagree, you can organize your reactions in two parts:

- Summarize the author's position.
- State your own position and justify why you believe as you do. This elaboration becomes an argument itself, regardless of the position you take.

Any opinion that you express is effective to the extent you support it by supplying evidence from your reading, your observation, or your personal experience. Without such evidence, opinions cannot be authoritative. "I thought the article on inflation was lousy." Or "It was terrific." Why? "I just thought so, that's all." Such opinions have no value in an academic setting because the criticism is imprecise: The critic has taken neither the time to read the article with care nor the time to explore his or her own reactions.

Exercise 5.4

Exploring Your Viewpoints—in Three Paragraphs

Go to a Web site that presents short persuasive essays on current social issues, such as reason.com or drudgereport.com. Or go to an Internet search engine like Google or Bing and type in a social issue together with the word "articles," "editorials," or "opinion," and see what you find. Locate a selection on a topic of interest that takes a clear, argumentative position. Print out the selection on which you choose to focus.

- Write one paragraph summarizing the author's key argument.
- Write two paragraphs articulating your agreement or disagreement with the author. (Devote each paragraph to a *single* point of agreement or disagreement.)

Be sure to explain why you think or feel the way you do and, wherever possible, cite relevant evidence—from your reading, experience, or observation.

Explore Reasons for Agreement and Disagreement: Evaluate Assumptions

One way of developing your responses to a reading is to explore the underlying *reasons* for agreement and disagreement. Your reactions are based largely on assumptions that you hold and how those assumptions compare with the author's. An *assumption* is a fundamental statement about the world and its operations that you take to be true. Often, a writer will express an assumption directly, as in this example:

1 One of government's most important functions is to raise and spend tax revenues on projects that improve the housing, medical, and nutritional needs of its citizens.

In this instance, the writer's claim is a direct expression of a fundamental belief about how the world, or some part of it, should work. The argumentative claim *is* the assumption. Just as often, an argument and its underlying assumption are not identical. In these cases, the assumption is some other statement that is implied by the argumentative claim—as in this example:

2 Human spaceflight is a waste of public money.

The logic of this second statement rests on an unstated assumption relating to the word *waste.* What, in this writer's view, is a *waste* of money? What is an effective or justified use? In order to agree or not with statement 2, a critical reader must know what assumption(s) it rests on. A good candidate for such an assumption would be statement 1. That is, a person who believes statement 1 about how governments ought to raise and spend money could well make statement 2. This may not be the only assumption underlying statement 2, but it could well be one of them.

Inferring and Implying Assumptions

The words *infer* and *imply* are important in any discussion of hidden, or unstated, assumptions. You should be clear about their meanings. A critical reader *infers* what is hidden in a statement and, through that inference, brings what is hidden into the open for examination. Thus, the critical reader infers from statement 2 on human spaceflight the writer's assumption (statement 1) on how governments should spend money. At the same time, the writer of statement 2 *implies* (hints at but does not state directly) an assumption about how governments should spend money. There will be times when writers make statements and are unaware of their own assumptions.

Writers *imply*. Readers *infer*.

Assumptions provide the foundation on which entire presentations are built. You may find an author's assumptions flawed—that is, not supported by factual evidence. You may disagree with value-based assumptions underlying an author's position. For instance, you may not share a writer's assumption of what counts as "good" or "correct" behavior. You may disagree with the conclusions that follow from such assumptions. At the same time, you should be willing to examine the validity of your own assumptions. When your beliefs about the world and how it works are contradicted by actual experience, you may be forced to rethink these beliefs.

Determining the Validity of Assumptions

Once you have identified an assumption—either implied or stated directly—how do you test its soundness, its validity? Start by considering how well the author's assumptions stack up against your own experience, observations, reading, and values—while remaining honestly aware of the limits of your own personal knowledge. Readers will want to examine two assumptions at the heart of Liza Tucker's essay:

1. People have a right to anonymity.
2. For-profit companies are (or should be) equipped to make difficult decisions concerning ethics.

At the very least, readers should be aware of competing assumptions:

3. A free and open society should avoid limiting information.
4. For-profit companies are in business to make money, not arbitrate ethical disputes.

Whether you agree or disagree with an author's assumptions (statements 1 and 2) or the competing assumptions (statements 3 and 4), it is your job to recognize them, whether they are stated or not. In developing your critical response to a source, you should spell out assumptions as best you can and then accept or reject them. Ultimately, your agreement or disagreement with an author will rest on your agreement or disagreement with that author's assumptions.

Critique

5.4 Write a critique of an article, editorial, or chapter.

A *critique* is a *formalized, critical reading of a passage.* It is also a personal response, but writing a critique is considerably more rigorous than saying that a movie is "great" or a book is "fascinating" or "I didn't like it." These are all responses, and, as such, they're a valid, even essential, part of your understanding of what you see and read. But such responses don't illuminate the subject—even for you—if you don't explain how you arrived at your conclusions.

Your task in writing a critique is to turn your critical reading of a passage into a systematic evaluation in order to deepen your reader's (and your own) understanding of that passage. When you read a selection to critique, determine the following:

- What an author says
- How well the points are made
- What assumptions underlie the argument
- What issues are overlooked
- What implications can be drawn from such an analysis

When you write a critique, positive or negative, include the following:

- A fair and accurate summary of the passage
- Information and ideas from other sources (your reading or your personal experience and observations) if you think these are pertinent
- A statement of your agreement or disagreement with the author, backed by specific examples and clear logic
- A clear statement of your own assumptions

Remember that you bring to bear on any subject an entire set of assumptions about the world. Stated or not, your assumptions underlie every evaluation you make. You therefore have an obligation, both to the reader and to yourself, to clarify your standards by making your assumptions explicit. The process of writing a critical assessment forces you to examine your own knowledge, beliefs, and assumptions. Ultimately, the critique is a way of learning about yourself.

How to Write Critiques

You may find it useful to organize a critique into five sections: instructions, summary, assessment of the presentation (on its own terms), your response to the presentation, and conclusion.

The box that follows offers guidelines for writing critiques. These guidelines are not a rigid formula. Most professional authors write critiques that do not follow the structure outlined here. Until you are more confident and practiced in writing critiques, however, we suggest you follow these guidelines. They are meant not to restrict you but rather to provide an initial, workable sequence for formally evaluating the work of others.

Guidelines for Writing Critiques

- **Introduce.** Introduce both the passage under analysis and the author. State the author's main argument and the point(s) you intend to make about it.

  Provide background material to help your readers understand the relevance or appeal of the passage. This background material might include one or more of the following: an explanation of why the subject is of current interest, a reference to a possible controversy surrounding the subject of the passage or the passage itself, biographical information about the author, an account of the circumstances under which the passage was written, and a reference to the intended audience of the passage.
- **Summarize.** Summarize the author's main points. Make sure to state the author's purpose for writing.
- **Assess the presentation.** Evaluate the validity of the author's presentation, distinct from your points of agreement or disagreement. Comment on the author's success in achieving his or her purpose by reviewing three or four specific points. You might base your review on one or more of the following criteria:

  Is the information accurate?

  Is the information significant?

  Has the author defined terms clearly?

  Has the author used and interpreted information fairly?

  Has the author argued logically?
- **Respond to the presentation.** Now it is your turn to respond to the author's views. With which views do you agree? With which do you disagree? Discuss your reasons for agreement and disagreement; when possible, tie these reasons to assumptions—both the author's and your own. Where necessary, draw on outside sources to support your ideas.
- **Conclude.** State your conclusions about the overall validity of the piece—your assessment of the author's success at achieving his or her aims and your reactions to the author's views. Remind the reader of the weaknesses and strengths of the passage.

Demonstration: Critique

The critique that follows is based on Liza Tucker's op-ed piece "The Right to Bury the (Online) Past" (pp. 80–81), which we have already begun to examine. In this formal critique, you will see that it is possible to agree with an author's main point—in this case, that we should enjoy a right to be forgotten—yet disagree with how she argues in support of her point. Critiquing a different selection, you could just as easily accept the author's facts and figures but reject the conclusion he or she draws from them. As long as you articulate the author's assumptions and your own carefully, explaining in some detail your agreement and disagreement, the critique is yours to take in whatever direction you see fit.

Model Critique

Weiss 1

Ethel Weiss
Professor Alex Neill
Writing 2
11 February 2017

Critique of
"The Right to Bury the (Online) Past"
by Liza Tucker

1 Should people have the right to selectively erase their digital past? It's a fact of cyber-life that the Web has an endless memory, possibly a record of everything we've written or viewed online. Who hasn't regretted posting an awkward (or worse) comment or photo, wondering if a bad moment will come back to haunt us? As Internet writer and editor Jason Feifer remarks, "If every regrettable thing we did became part of a permanent social record, we'd all end up bitter and friendless."

1 Intro: raising key questions, making the issue real for readers, setting context for the critique.

2 It's understandable that people might want relief from damaging or embarrassing online cyber materials. Residents of Europe got that relief in May 2014 when the European Court of Justice ruled:

> European citizens have a right to request . . . commercial search firms, such as Google, that gather personal information for profit, should remove links to private information when asked, provided the information is no longer relevant. . . . The Court found that the fundamental right to privacy is greater than the economic interest of the commercial firm and, in some circumstances, the public interest in access to information. (Electronic)

2 Intro: setting more focused context: European Court's ruling on right to be forgotten (RTBF).

3 In a recent editorial, the *Washington Post* argued that this right "to be forgotten" should *not* be extended to Americans. The *Post* was responding to a request by the advocacy group Consumer Watchdog that the Federal Trade Commission (FTC) issue a ruling similar to the European Court's. Liza Tucker responded with an editorial of her own defending Consumer Watchdog. In her view, Americans should have the right to "ask the Internet's corporate gatekeepers to stop elevating deeply disturbing, unauthorized, irrelevant, excessive, or distorted personal information to the top of search results." At stake in this debate is a question crucial to democracy: Should the free flow of information and ideas ever be restricted? Tucker says *yes*. She has the best of intentions, but her desire to impose a European Court–like solution in this country raises issues of trust, freedom of speech, and conflict of interest.

3 Intro: steering reader to Tucker by way of *Washington. Post.* In last (highlighted) sentence, thesis: both agree and disagree with Tucker.

4–5 Summary of Tucker.

4 Tucker wants the FTC to require Google (and other search companies), when asked, to consider delisting links to embarrassing online materials that are no longer relevant or newsworthy. She cites the disturbing example of a middle-aged woman who lost her job as a social worker because years earlier, as a teenager, she posed as a lingerie model. Should decades-old photos be allowed to ruin a woman's career when these photos have no bearing on her present work? With the links removed from search lists, these materials would still exist on the Internet but would be difficult (or impossible) to find.

5 Both the *Post* and Tucker agree that, for the moment, Google (Europe) is responding well to requests for delisting links. As of November 3, 2015, the company received 337,132 requests to delist URLs and agreed to do so 42% of the time (Transparency Report). That left 58% of requested materials listed and easily available—links, for instance, to news reports about a man convicted of financial irregularities who wanted references to those irregularities delisted even though he continued to work in the financial industry. Tucker believes the delisting system in Europe has led to a responsible outcome that could be duplicated in the United States. Yet the *Post*, pointing to these same statistics, worries that Google could eventually choose to "suppress information, . . . [concluding] that carefully evaluating delisting requests isn't worth the time."

6 Summary of Tucker continues, using *Washington Post* to make key distinction.

***Post*: Google should act voluntarily. Tucker: Rules are needed.**

6 Still, the *Post* recognizes the need to delist some materials. But instead of forcing Google to act, the *Post* believes that the company should act voluntarily. In fact, Google has already shown a willingness to do so by delisting links to so-called "revenge porn." The *Post* believes rule-free, "unspectacular progress is better than starting down the road of stifling the Internet's remarkably free flow of information." Tucker doesn't want to wait for Google and other companies to police themselves. She wants the FTC to act now.

7 (Highlighted) transition to critique is a version of the thesis.

First critique of Tucker: *Washington Post*'s position on freedom of speech is correct. Restricting flow of digital info may put First Amendment rights in danger.

7 Tucker is fighting the right battle but advocating the wrong approach in demanding the FTC give Americans a right to be forgotten. Google's business is to scour the Web and deliver search results in the form of a list. As an indexer of Web links, Google is (or should be) blind to the content of this list. In no event is it responsible for this content, which it didn't create. Google's role in the Web-searching experience is to make content available to us, ensuring our right to read and a publisher's right to create any content we want, no matter how offensive to some. In this capacity, Google plays an important role in maintaining the free, unrestricted flow of digital information. The *Post* argues correctly that no matter how "unflattering" online material may be to a particular individual, the danger posed by selectively removing links to that material is potentially *more* damaging because it places the First Amendment freedoms of the larger society at risk.

8 Critique above continues re: censorship and argues Tucker wrong in claiming RTBF won't involve censorship.

8 Tucker believes that forcing Google to consider delisting requests would avoid this danger because the First Amendment applies only to restrictions on speech imposed by governments, not by companies. Technically, this is a valid distinction. The European Court is not dictating which materials can and can't be listed in Google's search results. The Court leaves that decision to Google as it responds to each and every request to delist. Companies can set whatever policies they want along these lines. For instance, if Google wanted to delist every Web site that

displayed the word "orange," it would be within its rights to do so. Still, the cumulative result of delisting is the loss of easy access to certain Web sites. When an organization makes previously public information unavailable, that begins to look like censorship *even if* the government is not dictating which links get suppressed. The first problem with Tucker's argument is that she supports a rule that, as the *Post* writes, could "stifl[e] . . . the Internet's remarkably free flow of information."

9 The second problem is that even if Google agreed to consider requests for delisting certain links, such decisions should not be left in the hands of for-profit companies because of possible conflicts of interest. One conflict, suggested by the *Post*: In deciding cases, Google might consider the size of the media outlet whose content is getting delisted. The smaller the outlet, the less likely it will have the resources to fight a delisting. This calculation might favor larger outlets, which Google might shy away from for fear of getting sued. A second possible conflict: In deciding cases, Google might be motivated by financial considerations—and it would be within its rights to do so as a for-profit company. What would happen, for instance, if links to photos someone wants removed earned Google a significant amount of advertising revenue? In its delisting decision, Google would be forced to weigh ad revenues against requests to delist. There should be no place for either type of conflict when making decisions like these.

9 Second critique of Tucker: two conflicts of interest:

(1) Google might avoid delisting links to big media companies;

(2) Google faces possible conflict between profit and delisting.

10 While Google seems to be following the European Court's ruling, we have no real way of knowing, and this is the third problem with Tucker's argument: She takes Google at its word that it's doing the right thing. After all, the company has published a Transparency Report about its delisting decisions, which essentially claims: "Look, we're doing well! We're complying with the law!" Maybe not. *The Guardian* (UK) reports that before a Web leak in July 2015, Google had "refused to make public" its data on right-to-be-forgotten requests. The information exposed in that leak led one Dutch researcher to state that Google "is becoming almost like a court or government, but without the fundamental checks on its power." *The Guardian* determined that "Google's data leak reveals flaws in making it judge and jury over our rights." The newspaper has called on Google to be "much more transparent" in its policies for delisting links.

10 Third critique of Tucker: We don't know if Google is making ethical RTBF decisions.

Two problems: transparency + concentration of power.

11 Of course, Google invited none of this scrutiny. It fought a losing legal battle with the European Court, and it would fight any attempt to grant U.S. citizens a similar right to be forgotten. But whether in Europe or in the U.S., the decision to grant or deny delisting requests should be taken out of Google's hands because the company is a commercial enterprise not geared to making complicated ethical decisions based on standards it refuses to share. Not that businesses are inherently *un*ethical, and not that Google hasn't been reasonable: according to one report, Google has spent "sizeable resources towards achieving the correct balance in its decisions" and "has been more active and transparent than any competitor" (Powles). But given its for-profit nature and lack of dedicated focus on ethics, there is no reason to trust Google's judgments in granting or refusing a petitioner's request to delist search results. Indeed, after the data leak, *The Guardian* wrote that the company "probably shouldn't be making these decisions without much finer-grained guidance and worked examples from the democratic organs of Europe" (Powles).

11 Critique turns to writer's suggestion for resolving problem: take decision out of Google's hands.

12 Conclusion. Writer agrees with Tucker that a need exists. Disagrees that Google should take charge of solution.

Writer doesn't offer specific solution but points in direction of possibilities.

12 Tucker is right: people need relief from damaging online materials. But Google should not be the entity providing that relief. Some other entity—neither the government (for fear of censorship) nor search companies (for fear of conflicts of interest)—should undertake the task of handling delisting requests. Perhaps neutral mediators or arbitrators could help resolve such requests. Whatever the solution, Tucker is correct in arguing that Americans, along with Europeans, should have a "right to be forgotten" online. But she and Consumer Watchdog are wrong to insist that the FTC force Google into making delisting decisions. We need a delisting process that both preserves the free flow of necessary information and allows search engine companies do what they do best.

Weiss 7

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Exercise 5.5

Informal Critique of the Model Critique

Write an informal response to this critique. What are its strengths and weaknesses? To what extent does the critique follow the general Guidelines for Writing

Critiques that we outlined on page 90? To the extent that it varies from the guidelines, speculate on why. Jot down ideas for a critique that takes a different approach to Tucker's op-ed.

Critical Reading for Critique

- ***Understand the selection.*** Examine the context; note the title and subtitle; identify the main point; identify the subpoints; break the reading into sections; distinguish between points, examples, and counterarguments; watch for transitions within and between paragraphs; and read actively.
- ***Establish the writer's primary purpose in writing.*** Is the piece meant primarily to inform, persuade, or entertain?
- ***Evaluate informative writing. Use these criteria (among others):***

  Accuracy of information

  Significance of information

  Fair interpretation of information
- ***Evaluate persuasive writing. Use these criteria (among others):***

  Clear definition of terms

  Fair use and interpretation of information

  Logical reasoning
- ***Evaluate writing that entertains. Use these criteria (among others):***

  Interesting characters

  Believable action, plot, and situations

  Communication of theme

  Use of language
- ***Decide whether you agree or disagree with the writer's ideas, position, or message.*** Once you have determined the extent to which an author has achieved his or her purpose, clarify your position in relation to the writer's.

Looking Ahead

In this chapter, you have seen how critical reading leads to critique. For the most part, a critique focuses on a single source, although the writer of a critique can usefully refer to other sources when evaluating an argument. We move now to synthesis, a paper in which you refer to multiple sources in order to explain or argue. Syntheses often incorporate critiques, just as critiques incorporate summaries. The typical forms of academic writing blend into each other, a point you will continue to see demonstrated throughout this text.

Writing Assignment: Critique

Read and then write a critique of "Why We Need Violent Video Games" by Ethan Gilsdorf, which was originally presented as a talk on WBUR 90.9, Boston's National Public Radio (NPR) station.

Before reading, review the tips presented in the Critical Reading for Critique box (p. 95). When you're ready to write your critique, start by jotting down notes in response to the tips for critical reading and the earlier discussions of evaluating writing in this chapter. What assumptions does Gilsdorf make? Review the logical fallacies on pages 82–85 and identify any that appear in the essay. Work out your ideas on paper or on screen, perhaps producing an outline. Then write a rough draft of your critique. Review the reading and revise your rough draft at least once before considering it finished. You may want to look ahead to Chapter 9, "Writing as a Process," to help guide you through writing your critique.

For an additional exercise in writing critiques, see Chapter 11, a practice chapter that assembles readings on ethical dilemmas. You will have the opportunity to write a critique that you then place into a larger argument.

Why we Need Violent Video Games

***Ethan Gilsdorf*[1]**

In the wake of the Sandy Hook Elementary School killings, pundits, parents and media have jumped on video game violence as a possible scapegoat.

Right after his tête-à-tête with gun rights advocates, Vice President Biden convened meetings with video game industry leaders. Then there was a "Videogames Return Program" run by a group called Southington SOS, based in a community neighboring Newtown. The notion: On a designated day, anyone could redeem their old copies of "Thrill Kill," "Postal 2" and "Call of Duty" for gift vouchers for more family-oriented, non-lethal entertainment. (In the end, that program was cancelled, likely due to fears of negative publicity.)

Now, even as President Obama announced Wednesday [January 16, 2013] four major legislative proposals and 23 executive actions to curb gun violence, suspicion still clouds the gaming industry. Even the National Rifle Association blames violent video games for this nation's blood lust.

Remember rock 'n' roll? Comic books? Heavy metal and rap music? Dungeons & Dragons? We've all been down this clichéd road before. For now, anyway, we will not see the repeat of what often happens when our well-meaning citizenry seeks to demonize the latest scourge on America's youth. So erase the image of mountains of XBox and PS3 cartridges and discs set afire by angry mothers.

5 Still, the search for cause and effect remains a noble pursuit. If only we could stop our troubled young men (and so often they are troubled, young and men) from being exposed to X, then we wouldn't be asking ourselves, again and again, "Why?"

In the case of Newtown, gunman Adam Lanza was a gamer. But he didn't fit the profile of the typical first-person shooter fan. He liked non-violent games such as Dance Dance Revolution. Yes, a game that teaches you how to dance, not how to blow apart the chest cavities of other dancers.

Amidst all the soul-searching and finger-pointing, video game industry spokespeople are quick to note that no credible study shows a direct relationship between TV, movie, or video game violence, and aggression. And, as those opposed to restrictions or bans on video games frequently cite, the youth violent crime rate is at an all-time low.

Paradoxically, could it be that violent video games are an important outlet for aggression? That,

[1]Ethan Gilsdorf, "Why We Need Violent Video Games." WBUR 90.9, Boston's NPR News Station. 13 Jan. 2013. Radio. Used by permission.

on the whole, these games and "play violence" let us express anger and aggression in a safe way? Perhaps violent video games aren't only "not so bad," but actually help keep the real-world killings where they belong—in our imaginations, as harmless fantasies.

It may seem counterintuitive to suggest this. But in my experience, gaming—be it video games, or live-action role-playing, or D&D, or the greatest war game of all, American football—offer relatively safe, participatory narratives where we get to play good or evil, the aggressor or the defender, the killer or the killed. We engage in the fight. Our hearts race and our blood pumps. We have an emotional stake in the action, even if that action is largely make-believe. There are bangs and bruises from foam-rubber swords, and yes, concussions from errant tackles. But for men (and some women) who need to run and hunt and hit, I'll take a broken rib or swollen ego over actual carnage on the battlefield or playground. The vast, vast majority of players don't let their violent fantasies get the better of them, or others.

10 We have perhaps civilized ourselves more quickly than our psyches know what to do with. Not long ago in our nation's Tame-the-Wild-West mythology, any trouble with the neighboring tribe was settled with tomahawks and shotguns. Centuries prior, in other eras, we settled scores with battle axes. Our species still craves action.

Our most violent video games are another expression, another evolution of this same phenomenon. They're simply another way to feel the fear, scare away the zombies and save the day. They offer a hunt/shoot/kill scenario as a way to solve problems because, well, our psyches seem to need these visceral, adrenaline-rich experiences. That's why they sell so well.

Vision quests, ropes courses, and roller coasters offer similar thrills. But we can't very well go deer hunting or jump out of airplanes every weekend, can we?

In response to the Newtown deaths, a better question to ask might be this: Why does our culture continue to fail young, vulnerable men like Lanza—men often described as "intelligent but withdrawn," who disengage from society so completely as to become mass killers?

In Lanza's case, he was described as "smart but shy," a "genius" and a "Goth." A skinny kid estranged from his father. A nerd.

15 If some of these men are hopelessly mentally ill, then we need to do all we can to prevent their access to real guns. But sane or depressed, many men feel powerless. Many feel angry. Many feel disengaged. They just want a stake in the action.

Video games might be the best outlet they've got.

Chapter 6
Explanatory Synthesis

Learning Objectives

After completing this chapter, you will be able to:

6.1 Define synthesis as a purposeful discussion of relationships inferred among sources.

6.2 Distinguish between explanatory and argument syntheses.

6.3 Explain the process involved in writing a synthesis.

6.4 Write and revise an explanatory synthesis.

What is a Synthesis?

6.1 Define synthesis as a purposeful discussion of relationships inferred among sources.

A *synthesis* is a written discussion that draws on two or more sources. It follows that your ability to write syntheses depends on your ability to infer relationships among sources like these:

- Essays
- Fiction
- Interviews
- Articles
- Lectures
- Visual media

This process is nothing new for you because you infer relationships all the time—say, between something you've read in the newspaper and something you've seen for yourself, or between the teaching styles of your favorite and least favorite instructors. In fact, if you've written research papers, you've already written syntheses.

In a *synthesis,* you make explicit the relationships that you have inferred among separate sources.

Using Summary and Critique as a Basis for Synthesis

The skills you've already learned and practiced in previous chapters will be vital in writing syntheses. Before you're in a position to draw relationships among two or more sources, you must understand what those sources say; you must be able to *summarize* those sources. Readers frequently benefit from at least partial summaries of sources in your synthesis essays. At the same time, you must go beyond summary to make judgments—judgments based on your *critical reading* of your sources: what conclusions you've drawn about the quality and validity of these sources, whether you agree or disagree with the points made in your sources, and why you agree or disagree.

Using Inference as a Basis for Synthesis: Moving Beyond Summary and Critique

In a synthesis, you go beyond the critique of individual sources to determine the relationships among them. Is the information in source B, for example, an extended illustration of the generalizations in source A? Would it be useful to compare and contrast source C with source B? Having read and considered sources A, B, and C, can you infer something else—in other words, D (not in a source, but your own idea)?

Because a synthesis is based on two or more sources, you will need to be selective when choosing information from each. It would be neither possible nor desirable, for instance, to discuss in a ten-page paper on the American Civil War every point that the authors of two books make about their subject. What you as a writer must do is select from each source the ideas and information that allow you to achieve your purpose in the best way possible.

Identifying Your Purpose

Your purpose in reading source materials and then drawing on them to write your own material is often reflected in the wording of an assignment. For instance, consider the following assignments on the Civil War:

Economics	Argue the following proposition, in light of your readings: "The Civil War was fought not for reasons of moral principle but for reasons of economic necessity."
Government	Prepare a report on the effects of the Civil War on Southern politics at the state level between 1870 and 1917. Focus on one state.

Each of these assignments creates a particular purpose for writing. Having located sources relevant to your topic, you would select for possible use in a paper only the parts of those sources that helped you in fulfilling this purpose. And how you used those parts—how you related them to other material from other sources—would also depend on your purpose.

EXAMPLE: SAME SOURCES, DIFFERENT USES If you were working on the government assignment, you might draw on the same source as a student working on a literature assignment by referring to Robert Penn Warren's novel *All the King's Men*, about Louisiana politics in the early part of the twentieth century. But because the purposes of the two assignments are different, you and the other student would make different uses of this source. The parts or aspects of the novel that you find worthy of detailed attention might be mentioned only in passing—or not at all—by the other student.

Using Your Sources

Your purpose determines not only what parts of your sources you will use but also how you will relate those parts to one another. Because the very essence of synthesis is the combining of information and ideas, you must have some basis on which to combine them. *Some relationships among the material in your sources must make them worth synthesizing.* It follows that the better able you are to discover such relationships, the more easily you will be able to use your sources in writing syntheses.

Types of Syntheses: Explanatory and Argument

6.2 Distinguish between explanatory and argument syntheses.

In this and the next chapter, we categorize syntheses into two main types: *explanatory* and *argument.* The easiest way to recognize the difference between the two types may be to consider the difference between a news article and an editorial on the same subject.

For the most part, we'd say that the main purpose of the news article is to convey *information* and that the main purpose of the editorial is to convey *opinion* or *interpretation.* Of course, this distinction is much too simplified: News articles often convey opinion or bias, sometimes subtly, sometimes openly; editorials often convey unbiased information along with opinion. But as a practical matter we can generally agree on the distinction between a news article that primarily conveys information and an editorial that primarily conveys opinion. Consider the balance of explanation and argumentation in the following two selections.

Seau Suffered from Brain Disease

*by Mary Pilon and Ken Belson**
New York Times
January 10, 2013

The former N.F.L. linebacker Junior Seau had a degenerative brain disease linked to repeated head trauma when he committed suicide in the spring [2012], the National Institutes of Health [NIH] said Thursday.

The findings were consistent with chronic traumatic encephalopathy [CTE], a degenerative brain disease widely connected to athletes who have absorbed frequent blows to the head, the N.I.H. said in a statement. Seau is the latest and most prominent player to be associated with the disease, which has bedeviled football in recent years as a proliferation of studies has exposed the possible long-term cognitive impact of head injuries sustained on the field.

"The type of findings seen in Mr. Seau's brain has been recently reported in autopsies of individuals with exposure to repetitive head injury," the N.I.H. said, "including professional and amateur athletes who played contact sports, individuals with multiple concussions, and veterans exposed to blast injury and other trauma."

Since C.T.E. was diagnosed in the brain of the former Eagles defensive back Andre Waters after his suicide in 2006, the disease has been found in nearly every former player whose brain was examined posthumously. (C.T.E. can be diagnosed only posthumously.)

Researchers at Boston University, who pioneered the study of C.T.E., have found it in 33 of the 34 brains of former N.F.L. players they have examined.

Concussion Problem Not Unique to U-M

The State News (Michigan State University)
October 13, 2014
By the Editorial Board

Officials, coaches and fans alike have been discussing the issue of football players' concussions for a long, long time. But incidents like what happened when U-M [University of Michigan] quarterback Shane Morris was concussed during this year's game against Minnesota are still part of a fervent national conversation.

But isn't the solution fairly obvious?

If there's even the slightest suspicion that a player has suffered a head injury, remove him from the game. Period.

After Shane Morris was hit against Minnesota, it was clear he had no business playing. He could barely stay on his feet, and had to lean on a fellow player to stay upright. Nonetheless, he went back in the same game for two more plays, inciting public outrage.

Though U-M football head coach Brady Hoke said he didn't believe Morris had been concussed, U-M's athletic director Dave Brandon later confirmed that Morris had in fact suffered a mild concussion injury.

And while U-M claims the medical team didn't see the hit, it was pretty [d***] clear to spectators. Even ESPN announcer Dave Cunningham, who was calling the game, was quick to express his shock.

"I gotta tell you right now, that No. 7 (Morris) is still in this game is appalling," Cunningham said. "It is appalling that he was left in on that play to throw the ball again as badly as he was hit by Cockran . . . that is terrible looking after a young player."

The dangers of continuing to play after a concussion are pretty well-known at this point, so how did Morris's re-entry somehow slip through the cracks? How many officials does it take to notice a player can't stand up, and suggest he be evaluated before returning to the field?

"We now understand that, despite having the right people on the sidelines assessing our student-athletes' well-being, the systems we had in place were inadequate to handle this unique and complex situation properly," Brandon said in a statement. . . .

[T]his isn't just U-M's problem. It's important to recognize this kind of rash decision making could happen at any college football game, putting any player's health at risk, even in Spartan Stadium.

So to those on the sidelines, pay attention. And remember that you are ultimately deciding if a game win is worth more than a man's health and well-being.

Both of these passages address the topic of concussions. The first, excerpted from a 2013 news report in the *New York Times,* is informational, focusing only on evidence of chronic traumatic encephalopathy (CTE) in the brain of National Football League player Junior Seau, who committed suicide earlier that year (2012). The article quotes a statement from the National Institutes of Health on the association between CTE and repeated head injuries among athletes, professional and amateur, and also veterans. The article makes no interpretive statements, states no arguable claim, concerning the topic. By contrast, the second passage, written by the student editorial board of the *State News* (at Michigan State University), takes a forceful stance in response the continued play of a University of Michigan student athlete after being concussed in a game against rival University of Minnesota. The first passage is informative, an explanation; the second passage is an argument. As an alert, critical reader, you should be able to determine whether authors are explaining or arguing.

How to Write Syntheses

6.3 Explain the process involved in writing a synthesis.

Although writing syntheses can't be reduced to a lockstep method, the guidelines listed in the box below should be helpful. In this chapter, we focus on explanatory syntheses. In the next chapter, we'll discuss the argument synthesis.

Guidelines for Writing Syntheses

- **Consider your purpose in writing**. What are you trying to accomplish in your paper? How will this purpose shape the way you approach your sources?
- **Select and carefully read your sources** according to your purpose. Then reread the passages, mentally summarizing each. Identify those aspects or parts of your sources that will help you fulfill your purpose. When rereading, *label* or *underline* the sources' main ideas, key terms, and any details you want to use in the synthesis.
- **Take notes on your reading.** In addition to labeling or underlining key points in the readings, you might write brief one- or two-sentence summaries of each source. This will help you in formulating your thesis statement and in choosing and organizing your sources later.
- **Formulate a thesis.** Your thesis is the main idea that you want to present in your synthesis. It should be expressed as a complete sentence. You might do some predrafting about the ideas discussed in the readings in order to help you work out a thesis. If you've written one-sentence summaries of the readings, looking over the summaries will help you to brainstorm connections between readings and to devise a thesis.
- When you write your synthesis drafts, you will need to consider where your thesis fits in your paper. Sometimes the thesis is the first sentence, but more often it is *the final sentence of the first paragraph.* If you are writing an *inductively arranged* synthesis (see p. 124), the thesis sentence may not appear until the final paragraphs.
- **Decide how you will use your source material.** How will the information and the ideas in the passages help you fulfill your purpose?
- **Develop an organizational plan,** according to your thesis. How will you arrange your material? It is not necessary to prepare a formal outline, but you should have some plan that will indicate the order in which you will present your material and the relationships among your sources.
- **Draft the topic sentences for the main sections.** This is an optional step, but you may find it a helpful transition from organizational plan to first draft.
- **Write the first draft** of your synthesis, following your organizational plan. Be flexible with your plan, however. Frequently, you will use an outline to get started. As you write, you may discover new ideas and make room for them by adjusting the outline. When this happens, reread your work frequently, making sure that your thesis still accounts for what follows and that what follows still logically supports your thesis.
- **Document your sources.** You must do this by crediting sources within the body of the synthesis—citing the author's last name and the page number from which the point was taken—and then providing full citation information in a list of Works Cited at the end. Don't open yourself to charges of plagiarism! (See pp. 52–54.)
- **Revise your synthesis,** inserting transitional words and phrases where necessary. Make sure that the synthesis reads smoothly, logically, and clearly from beginning to end. Check for grammatical correctness, punctuation, and spelling.

NOTE: You should accept a certain amount of backtracking and reformulating when writing a synthesis. For instance, in developing an organizational plan (step 6 of the process), you may discover a gap in your presentation that sends you scrambling for other sources—back to step 2. Our recommendations here will give you a structure for starting, but be flexible and expect discontinuity.

Writing an Explanatory Synthesis

6.4 Write and revise an explanatory synthesis.

Many of the papers you write in college will be more or less explanatory in nature. An explanation helps readers understand a topic. Writers explain when they divide a subject into its component parts and present them to the reader in a clear and orderly fashion. Explanations may entail descriptions that re-create in words some object, place, emotion, event, sequence of events, or state of affairs.

- As a student reporter, you may need to explain an event—to relate when, where, and how it took place.
- In a science lab, you may observe the conditions and results of an experiment and record them for review by others.
- In a political science course, you might review research on a particular subject—say, the complexities underlying the electoral college and our selection of presidents—and then present the results of your research to your professor and the members of your class.

Your job in writing an explanatory paper—or in writing the explanatory portion of an argumentative paper—is not to argue a particular point but rather *to present the facts in a reasonably objective manner.* Of course, explanatory papers, like other academic papers, should be based on a thesis (see p. 108). But the purpose of a thesis in an explanatory paper is less about advancing a particular opinion and more about focusing on the various facts contained in the paper.

Demonstration: Explanatory Synthesis—The "Idea" of Money

To illustrate how the process of synthesis works, we'll begin with a number of short extracts from several articles on the same subject.

Suppose you were writing a paper on an intriguing idea that occurred to you as you stood in a checkout line at the grocery, waiting to buy a loaf of bread: that the pieces of paper you hand over to the cashier have no real value. That is, a dollar bill is just a rectangular piece of paper. For that matter, a gold nugget is just a lump of mineral. You wonder as you receive your change: What gives money its value?

Fascinated by the possibility that money is not worth anything at all—except the value we mutually attach to it—you decide to conduct some research with the goal of *explaining* what you discover to interested classmates.

Exercise 6.1

Exploring the Topic

Read the selections that follow on the subject of money and how its value is established. After you read the selections and before resuming our discussion, make some observations for yourself. Consider these questions: What is money? What makes money valuable? What makes money lose its value? Share your observations with other students.

In the following pages we present excerpts from the kinds of source materials you might locate during the research process.

Note: To save space and for the purpose of demonstration, we offer excerpts from three sources only; a full list of sources appears in the Works Cited of the model synthesis on page 119. In preparing your paper, of course, you would draw on the entire articles from which these extracts were taken. (The discussion of how these passages can form the basis of an explanatory synthesis resumes on p. 107.)

A Brief History of Money: Or, How We Learned to Stop Worrying and Embrace the Abstraction

IEEE Spectrum
by James Surowiecki
May 30, 2012

In the 13th century, the Chinese emperor Kublai Khan embarked on a bold experiment. China at the time was divided into different regions, many of which issued their own coins, discouraging trade within the empire. So Kublai Khan decreed that henceforth money would take the form of paper.

It was not an entirely original idea. Earlier rulers had sanctioned paper money, but always alongside coins, which had been around for centuries. Kublai's daring notion was to make paper money (the chao) the dominant form of currency. And when the Italian merchant Marco Polo visited China not long after, he marveled at the spectacle of people exchanging their labor and goods for mere pieces of paper. It was as if value were being created out of thin air.

Kublai Khan was ahead of his time: He recognized that what matters about money is not what it looks like, or even what it's backed by, but whether people believe in it enough to use it. Today, that concept is the foundation of all modern monetary systems, which are built on nothing more than governments' support of and people's faith in them. Money is, in other words, a complete abstraction—one that we are all intimately familiar with but whose growing complexity defies our comprehension.

Apple, Banks in Talks on Mobile Person-to-Person Payment Service

Wall Street Journal*
November 11, 2015
Robin Sidel and Daisuke Wakabayashi

Apple Inc. is in discussions with U.S. banks to develop a payment service that would let users zap money to one another from their phones rather than relying on cash or checks, according to people familiar with the matter.

The move would put the tech giant in competition with an increasing number of Silicon Valley firms trying to persuade Americans to ditch their wallets in favor of digital options.

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*Robin Sidel and Daisuke Wakabayashi. "Apple, Banks in Talks on Mobile Person-to-Person Payment Service." Reprinted with permission of The Wall Street Journal, Nov. 11, 2015. http://www.wsj.com/articles/apple-in-talks-with-u-s-banks-to-develop-mobile-person-to-person-payment-service-1447274074

A small but growing number of Americans are already starting to embrace such services allowing consumers to pay baby sitters, split dinner checks, and share other bills.

The talks with banks are continuing and it is unclear if any of the firms have struck an agreement with Apple, these people said. Key details remain in flux, including technical aspects that would determine how the service would tie into the banking industry's existing infrastructure, they said.

If Apple's plans go forward, the service would likely be similar to PayPal Holdings Inc.'s Venmo platform, which is popular among younger consumers to do things such as pitch in on gifts and share rent payments with roommates.

Germany in the Era of Hyperinflation

Alexander Jung

You could say journalist Eugeni Xammar had a stroke of reporter's luck when the Barcelona daily La Veu de Catalunya sent him to Berlin in the fall of 1922, a pivotal moment in the country's history. In the months that followed, it was the most exciting place in the world to report from. Germany's financial structures collapsed, and the mark [Germany's unit of currency] began its descent into near worthlessness.

"The price of tram rides and beef, theater tickets and school, newspapers and haircuts, sugar and bacon, is going up every week," Xammar wrote in February 1923. "As a result no one knows how long their money will last, and people are living in constant fear, thinking of nothing but eating and drinking, buying and selling. There is only one topic on everyone's lips in Berlin: the dollar, the mark, and prices."

. . .

Nearly every day the journalist sent home new stories of the hyperinflation he was witnessing, reports of everyday insanity in a country whose currency was going crazy. In 1914, at the start of World War I, the dollar was worth 4.20 marks. From then on the German currency steadily declined, and in the fall of 1922 it went into freefall. By November 1923 the dollar was at 4.2 trillion marks… .

Few people understood what had happened. Even today, three generations later, much of it sounds pretty incredible.

Take, for example, the family that sold its house to emigrate to America. On arrival at the port of Hamburg, they found that the money wasn't enough to pay for their crossing—in fact, it didn't even pay for their tickets back home. Then there was the man who drank two cups of coffee at 5,000 marks each, only to be presented with a bill for 14,000. When he asked why this was he was told he should have ordered the coffees at the same time because the price had gone up in between. And then there's the story about the couple that took a few hundred million marks to the theater box office hoping to see a show, but discovered it wasn't nearly enough. Tickets were now a billion marks each.

. . .

The seeds of the problem were sown many years earlier. Indeed the ball was first set in motion by World War I, during which Germany spent an estimated 160 billion marks on its men and machinery; an unimaginably large sum. The only way the state could finance this was to acquire money by unconventional means.

On August 4, 1914, just three days after the Reich had declared war on Russia, parliament passed a series of currency acts that would have a fundamental impact on the country's money markets. The new legislation suspended the standard of backing cash with gold "until further notice," claiming that an "exceptional increase in unbacked paper notes" was an "economic necessity" in times of war. In other words, the Reich intended to pay for its war effort by printing more and more money.

Soaring National Debt

The sheer volume of banknotes increased dramatically. Whereas there were just 13 billion marks in circulation in 1913, this had jumped to 60 billion by the end of the war. Unfortunately this still wasn't enough to cover the state's expenditures. "As things stand, the only way to finance the cost of fighting the war is to shift the burden into the future through loans," economist Karl Helfferich said in 1915.

The Reich thus racked up huge debts with its own people, repeatedly issuing government bonds; a total of almost 100 billion marks in all. At first Germans bought these bonds almost unthinkingly, secure in the belief that victory was in sight. The national debt shot up from 5 to 156 billion marks.

"There is a point at which printing money affects purchasing power by causing inflation," warned socialist Eduard Bernstein in 1918. But his words and those of others went unheeded. The mountain of bank notes continued to grow, while the volume of goods gradually declined.

It was a classic constellation. Too much money and too few goods could lead to only one thing: inflation.

Consider Your Purpose

We asked a student, Sheldon Kearney, to read these three selections and to use them (and others) as sources in an explanatory paper on money as an idea. (We also asked him to write additional comments describing the process of developing his thoughts into a draft.) His paper (the final version begins on p. 114) drew on twenty selections on the history and philosophy of money. How did he—how would you—go about synthesizing the sources?

First, remember that before considering the *how* you must consider the *why*. In other words, what is your *purpose* in synthesizing these sources? You might use them for a paper dealing with a broader issue: the move to all-electronic forms of payment, for instance. If this were your purpose, any sources on the history and uses of paper money would likely be used in only one section.

For a business or finance course, you might search for sources on the gold standard, the principle that the United States and other nations could convert money on demand to gold. (This is no longer the case in the United States.) Several of the sources you located on the idea of money might prove useful for such an assignment, but you would need to search for other, more specific sources on the reasons gold was chosen to back the monetary supply. Again, your *purpose* in writing governs your choice of sources.

Assume that your goal is to write an explanation of money as an *idea*: an account of how money came to be; how it is used; and why, in and of itself, it is worthless aside from the value we mutually attach to it. The goal: to present information but not advance a particular opinion on the subject.

Exercise 6.2

Critical Reading for Synthesis

Review the three readings on money and list the ways they suggest that money is less a thing than an idea. Make your list as specific and detailed as you can. Assign a source to each item on the list.

Formulate a Thesis

The difference between a purpose and a thesis is primarily a difference of focus. Your purpose provides direction to your research and gives a focus to your paper. Your thesis sharpens this focus by narrowing it and formulating it in the words of a single declarative statement. (Chapter 9 has more on formulating thesis statements.)

Kearney's purpose in this case was to explain, to synthesize source material with little or no comment. He asked the following of his sources: Taken as a whole, what do they mean? Here Kearney discusses how he devised a thesis for his explanatory synthesis:

> I began my writing process by looking over all the readings and noting the main points of each reading.
>
> Then I reviewed all of these points and identified the ideas, history, and examples in the readings. These I recorded underneath my list of main points: All the readings focus on the origins, definition, or uses of money.
>
> Looking over these points, I drafted a preliminary thesis. This thesis summed up for me the information I found in my sources:
>
>> Whatever form it takes, from sea shells to paper and even to pixels on a screen, money is valuable only to the extent people believe it is.
>
> I intended to use this statement to guide my first draft, but in the actual writing I gave it too little attention. Instead, I got stuck on the origins of money: barter, the direct exchange of goods like apples and oranges *without* the use of money. Money grew out of barter, and I unbalanced my draft by discussing barter more than what should have been my focus: money as an idea valuable only to the extent people think it is. I reminded myself of that focus in the last sentence:
>
>> All the money used around the world might lead one to conclude that money is the solid foundation of the global economy, but look a little closer and we find that this foundation is an unsteady idea.
>
> This statement seemed more promising, and my instructor suggested I use some version of it as my thesis for a revision. This is exactly what I did; though in revision I ended up filling out the statement and expanding it to two sentences. Still, its basic logic remained in my final thesis. I also added a phrase from one of my sources:
>
>> With millions of transactions paid for each day in cash, credit, stocks and other "instruments," one might conclude that money is the rock-solid foundation of the global economy. But look a little closer at the origins and the uses of money and we find that this foundation, far from being a definite, stable thing like rock, is only an idea—an "ever-shifting phenomenon" ("Means").

Decide How You Will Use Your Source Material

To begin, you will need to summarize your sources—or at least be *able* to summarize them. That is, the first step to any synthesis is understanding what your sources say. But because you are synthesizing *ideas* and *information* rather than sources, you will have to be more selective than if you were writing a simple summary. In your synthesis, you will not use *all* the ideas and information in every source, only the ones related to your thesis. Write brief phrases in the margin of the sources, underline key phrases or sentences, or take notes on a separate sheet of paper or in a word-processing file or electronic data-filing program. Decide how your sources can help you achieve your purpose and support your thesis. As you begin clarifying your thoughts, consider whether you need additional sources. For example, how might you use images to explain the thesis that money is an idea?

Develop an Organizational Plan

An organizational plan is your map for presenting material to the reader. What material will you present? To find out, examine your thesis. Do the content and structure of the thesis (that is, the number and order of statements) suggest an organizational plan for the paper? For example, consider Kearney's revised thesis:

> With millions of transactions paid for each day in cash, credit, stocks, and other "instruments," one might conclude that money is the rock-solid foundation of the global economy. But look a little closer at the origins and the uses of money and we find that this foundation, far from being a definite, stable thing like rock, is only an idea—an "ever-shifting phenomenon" ("Means").

Without knowing anything about the origins and uses of money, a reader of this thesis could reasonably expect an account of:

- Forms of money
- Origins of money
- Uses of money
- Money as an idea

Study your thesis, and let it help suggest an organization. Expect to devote at least one paragraph of your paper to developing each section that your thesis promises. After examining the thesis closely and identifying likely sections, think through the possibilities of arrangement. Ask yourself: What information does the reader need to understand first? How do I build on this first section—what block of information will follow? Think of each section in relation to others until you have placed them all and have worked your way through to a plan for the whole paper.

Bear in mind that any one paper can be written—successfully—according to a variety of plans. Your job before beginning your first draft is to explore possibilities. Sketch a series of rough outlines:

- Arrange and rearrange your paper's likely sections until you develop a plan that both enhances the reader's understanding and achieves your objectives as a writer.

- Think carefully about the logical order of your points: Does one idea or point lead to the next?
- If one idea does not lead to the next, can you find a more logical place for the point, or are you just not clearly articulating the connections between the ideas?

Your final paper may well deviate from your final sketch; in the act of writing you may discover the need to explore new material, omit planned material, refocus, or reorder your entire presentation. Just the same, a well-conceived organizational plan will encourage you to begin writing a draft.

Organize a Synthesis by Idea, Not by Source

A synthesis is a blending of sources organized by *ideas*. The following rough sketches suggest how to organize and how *not* to organize a synthesis. The sketches assume you have read seven sources on a topic, sources A to G.

Incorrect: Organizing by Source plus Summary

Thesis

Summary of source A in support of the thesis.

Summary of source B in support of the thesis.

Summary of source C in support of the thesis.

(etc.)

Conclusion

This is *not* a synthesis because it does not blend sources. Each source stands alone as an independent summary. No dialogue or connection among sources is possible.

Correct: Organizing by Idea

Thesis

First idea: Refer to and discuss *parts* of sources (perhaps A, C, F) in support of the thesis.

Second idea: Refer to and discuss *parts* of sources (perhaps B, D) in support of the thesis.

Third idea: Refer to and discuss *parts* of sources (perhaps A, E, G) in support of the thesis.

(etc.)

Conclusion

This *is* a synthesis because the writer blends and creates a dialogue among sources in support of an idea. Each organizing idea, which can be a paragraph or group of related paragraphs, in turn supports the thesis.

Write Your Synthesis

Here is the first draft of Kearney's explanatory synthesis. Thesis and topic sentences are highlighted.

Alongside this first draft we have included comments and suggestions for revision from Kearney's instructor. For purposes of demonstration, these comments are likely to be more comprehensive than the selective comments provided by most instructors.

Explanatory Synthesis: First Draft

Kearney 1

Sheldon Kearney

Professor Leslie Davis

Technology and Culture

October 1, 2016

The "Idea" of Money

1 Does money buy happiness? People have been debating this question for centuries, but they have been less concerned with the question of what, exactly, money is. Money takes many forms: coin, paper, plastic cards, electronic accounts, traveler's checks, stocks, and bonds being the most common. Whatever form it takes, money is valuable only to the extent people believe it is.

(1) Your title is intriguing—but your first paragraph is skimpy! Set more of a context. Your thesis may be too narrow.

Also rethink your opening sentence—a fine philosophical question but irrelevant to subject of paper. Gives misleading impression of where discussion is headed.

2 Basic to any understanding of money is the notion of exchange. In the first stages of civilization, goods were exchanged by people through a system of bartering—a form of trade in which two people exchange possessions of equal "value," where the value of the items traded away is equal to the value of the items received. Value is a purely subjective term because people who will use an item determine its worth to them. For example, while an apple and an orange may seem to be of equal value to the passive observer, Anne may prefer apples to oranges and thus be willing to trade more oranges for fewer apples. Likewise, Mark may prefer oranges to apples, and thus be willing to trade more apples for fewer oranges. If Anne's and Mark's relative preferences for fruit coincide, then they will trade, and each will be happy.

(2) You use Anne + Mark to define exchange. Okay here but don't overuse. You risk a superficial discussion.

3 In a barter system, exchanges like these were based on mutual need. A farmer who grew wheat may have valued chickens and thus traded wheat for chickens because he had none. Meanwhile, a farmer who raised chickens might not have had any wheat and therefore traded chickens for the wheat that he needed. Now each farmer was better off. Instead of having an excess of one food item, each had some of both. Equal exchange was the foundation of the barter system, and the barter system was the precursor of the currency system.

(3) This would be a useful spot for an authoritative source on "exchange." Look to classic economists.

4 Currency grew out of exchanges of goods and, particularly, the need for convenience in these exchanges. If Mark valued oranges but had no apples to offer Anne, then Mark needed to offer something else that both he and Anne valued. Currency was born. Objects that were easy to exchange, durable, and relatively common—such as cowrie shells, precious metals, and tools—became popular substitutes for goods and services that would have been traded in a barter system. In time, currency took the form of coins. Because different regions issued different coins, exchanges between regions became difficult. In the

(4) Good content—cowrie shells, etc. But too much Anne/Mark.

Could a few images help the paper—forms money has taken?

Kearney 2

thirteenth century, Kublai Kahn solved this problem and unified his empire by introducing a single paper currency (Surowiecki). Over time, currency has taken many forms and, today, has even become invisible in mobile-to-mobile phone apps like Apple Pay (Sidel and Wakabayashi). All that's required for currency to work is widespread confidence that, visible or not, it has value. When that confidence is lost, entire economies can collapse, which is what happened in Germany between the world wars (Jung).

(5) Suggest reworking the last sentence to avoid weak "There is …" opening.

5 From its creation, then, money served the process of economic exchange. People used cowrie shells (or their currency of choice) to satisfy the demands of political, religious, and personal relationships as well as economic relationships. There is a likelihood that these relationships increased the development and spread of a common currency.

(6) In stating money is an idea, you assume what you explain. Too much Anne/ Mark. Paper needs a solid example of hyperinflation. Develop here mention of Germany between world wars in para. 4?

6 That money is more an idea or an agreement than it is a thing is no less true today than it was in ancient times. Money was—and remains—a fragile social construct, holding value only because the economic community agrees that it does. If enough people come to doubt that value and say, in effect, that "money isn't worth the paper it's printed on," an entire economy could falter as people refuse to accept previously agreed-on amounts of money in exchange for goods and services. An economy will quickly become unstable if Anne refuses Mark's cowrie shells or dollars in exchange for her oranges because she has lost confidence in those currencies, or if she demands that Mark pay twice or four times the amount of cowrie shells because, in her view, they are worth less today than they were yesterday.

(7–8) Avoid free-standing quotation: "Paper money was …" Use signal phrase.

Excellent use of gold standard, introduced then removed. If gold didn't back currency, what did?

7 In March 1900, the United States government passed the Gold Standard Act, fixing the exchange rate between gold and paper currency. This act, which mirrored similar policies of the British and was instituted after decades of currency instability, established that all the paper money issued by the United States would be backed by—could be traded for—a given amount of gold. In the United States, this gold was kept in a central location at Fort Knox. "[P]aper money was a convenience, but it was acceptable only if it could be converted into precious metal by bringing it into the bank or government agency that printed it" (p. 219). Paper money in this system was a promise, or an exchangeable IOU.

Gold standard a great setup for the key word in your paper (in para. 9): faith.

8 With the Gold Standard Act, the government sought to reassure citizens and business interests that the pieces of paper in their wallets and bank accounts were actually worth something and that the foundation of the economy was solid. Confident consumers could spend dollars and merchants could accept dollars, everyone agreeing that the currency in use provided a fair exchange. By 1929, however, the basic logic of the gold standard was undermined when the amount of currency in circulation, $4.46 billion, exceeded the amount of gold held in reserve to back that currency, $2.3 billion (St. Louis

Kearney 3

Federal Reserve, 2001). The gap widened over the years until, in 1971, President Nixon ended the gold standard. For the last 45 years, the United States has held no precious metals in reserve to back its currency. What, then, is the foundation of our economy?

9 In a word, faith. The economy of the United States rests on a good-faith agreement people are willing to make that its currency has value, even if it isn't backed by gold. That's the same agreement the Russians make regarding rubles, the Japanese with yen, the British with pounds, and the Europeans with euros. All the money used around the world might lead one to conclude money is the solid foundation of the global economy, but look a little closer and we find that this foundation is an unsteady idea.

(9) (1) Do more with "invisible" digital money mentioned in para. 4. (2) Use your sources more. Thus far, weak effort at synthesis. (3) Draft wanders from your original thesis. Final sentence could be good start for revision. Also cite sources!

Revise Your Synthesis

Many writers plan for three types of revision: global, local, and surface.

Global revisions affect the entire paper: the thesis, the type and pattern of evidence employed, and the overall organization. A global revision may also emerge from a change in purpose—say, when a writer realizes that a paper works better as an argument than as an explanation. In this case, Kearney decided to revise globally based on his instructor's suggestion to use a statement from the conclusion as a thesis in the second draft. Kearney needed to:

- Support the revised thesis by explaining more clearly why money is an idea.
- Extend money as an idea into the digital age.
- Summarize, quote, or paraphrase more sources to lend the paper authority.

Local revisions affect paragraphs: topic and transitional sentences; the type of evidence presented within a paragraph; evidence added, modified, or dropped within a paragraph; and logical connections from one sentence or set of sentences within a paragraph to another. Kearney needed to:

- Find a good historical example of hyperinflation.
- Explain the concept of exchange without relying on the analogy of Anne and Mark.
- Clarify and expand his introduction.

Surface revisions deal with sentence style and construction; word choice; and errors of grammar, mechanics, spelling, and citation form.

Sheldon Kearney revised based on his instructor's comments and based on his own assessment of what he wanted to achieve in his paper. His final draft/ revision represents two revisions: the first, to put large elements in place, like moving the thesis from the last paragraph to the first and better clarifying what he meant by the "idea" of money; the second, to better support individual paragraphs with fresh examples and references to authoritative sources. Along the way, he fixed sentence-level problems.

Exercise 6.3

Revising the Explanatory Synthesis

Read Kearney's revision that follows and answer these question:

- How effective is the paper?
- What makes this paper an explanation?
- To what extent did Kearney follow his instructor's advice?
- Did you learn from this paper?

Explain each answer with a brief paragraph.

Model Explanatory Synthesis

Kearney 1

Sheldon Kearney

Professor Leslie Davis

Technology and Culture

October 20, 2016

The "Idea" of Money

1 Money takes many forms: coins, paper, plastic cards, electronic accounts, PayPal transactions, discount coupons, stocks, bonds, and poker chips being some of the most common. In U.S. currency alone, there was $1.34 trillion in circulation in September 2015 ("How much"). Add trillions more in Chinese yuan, euros, British pounds and Russian rubles needed to transact business every day throughout the world, and one might reasonably conclude that money is the rock-solid foundation of the global economy. But look a little closer at the origins and the uses of money and we find that this foundation, far from being a definite, stable thing like rock, is only an idea—an "ever-shifting phenomenon" ("Means").

2 Basic to any understanding of money is the notion of exchange. Once economies developed to the point where labor became specialized—some people brewed beer while others made shoes or grew wheat—people exchanged goods through a system

of bartering, according to Adam Smith. Where there's a division of labor, Smith explained in *The Wealth of Nations* (1776), butchers who sell meat have all the meat they need for personal consumption. So, too, brewers have all the beer they need, and more. Quite naturally, an exchange would arise between them as they traded some of their "commodities" (meat and beer) with each other so each could enjoy both. In an economy based on barter, wrote Smith, "[e]very man thus lives by exchanging, or becomes in some measure a merchant, and the society itself grows to be what is properly a commercial society" (Book 1, Chapter 4). Smith went on to observe that barter has its limits:

> [W]hen the division of labour first began to take place, this power of exchanging must frequently have been very much clogged and embarrassed in its operations. One man, we shall suppose, has more of a certain commodity than he himself has occasion for, while another has less. The former consequently would be glad to dispose of, and the latter to purchase, a part of this superfluity. But if this latter should chance to have nothing that the former stands in need of, no exchange can be made between them. The butcher has more meat in his shop than he himself can consume, and the brewer and the baker would each of them be willing to purchase a part of it. But they have nothing to offer in exchange, except the different productions of their respective trades, and the butcher is already provided with all the bread and beer which he has immediate occasion for. No exchange can, in this case, be made between them. He cannot be their merchant, nor they his customers; and they are all of them thus mutually less serviceable to one another. (Book 1, Chapter 4)

3 To deal with this problem, currency was born. Objects that were "divisible, portable, acceptable, scarce, durable, and stable" (Hill) became a substitute for goods and services that would have been traded in a barter system. In a currency-based economy, the butcher didn't need to trade his meat for beer or shoes, if he needed neither. As long as the butcher, brewer, and farmer each valued the same currency—be it stone tools, gold nuggets, or cowrie shells—a new kind of exchange could take place. Money emerged across cultures for the same reason: convenience. The *form* money took varied from one society to the next.

Cowrie Shells

Gold Nugget

Stone Tools

4 As Glyn Davies points out in *The History of Money*, factors other than economics were also involved in the creation of money: fees, called a "tribute," paid to kings or generals, dowries provided by families of a bride, "blood-money" demanded by families to keep the peace when someone was hurt or killed, and money in the form of precious metals and jewels to be formed into religious ornaments (iv). That is, money emerged for social reasons as well as economic ones.

5 From its creation, then, money served the process of economic and social exchange. People used cowrie shells (or their currency of choice) to satisfy the demands of political, religious, and personal relationships as well as economic relationships. All these relationships likely influenced the development and spread of a common currency, which was needed to bring economic order to vast empires: Rome, for instance, introduced a single currency to be used throughout its empire, extending from Great Britain to North Africa to the Middle East (Cottrell, xiii).

Roman (Gold) Coin: Aureus

6 Whether ancient like the aureus (above) or modern like a U.S. quarter, currency in the form of minted coins may look to us like legitimate money that holds "real" value as compared to cowrie shells. But when we think about what, exactly, gives gold, whether a raw nugget or a minted aureus, its value, we end up inevitably having to accept a strange and difficult concept: nothing about gold (or diamonds or silver or rubies) is valuable other than the value we are mutually willing to give it. That is, gold derives its value from the same agreement between people that gave cowrie shells value or stone tools value among ancient humans. Gold is relatively scarce—and it meets the other five generally accepted characteristics of money: it can be divided, and it's portable, widely accepted, durable, and stable (Hill). Yet none of these qualities gives gold any more inherent value than cowrie shells or the paper bills we place in our wallets, which have the same characteristics. Business journalist James Surowiecki puts it this way:

> [T]he notion that gold is somehow [a] more "real" [form of money] than paper is, well, a mirage. Gold is valuable because we've collectively decided that it's valuable and that we'll accept goods and services in exchange for it. And that's no different, ultimately, from our collective decision that colorful rectangles of paper [money] are valuable and that we'll accept goods and services in exchange for them . . . . We cling to the belief that money needs to be backed by something "solid."

Andreas Antonopoulus, author of *Mastering Bitcoin*, claims that money is a form of language "that allows us to express . . . value between people. It's a technology that's older than the wheel. It's as old as fire" (qtd. in *Bitcoin*).

7 Money's being more an idea or an agreement than it is a thing is no less true today than it was in ancient times. Money was—and remains—a fragile social construction, holding value only because the economic community agrees that it does.

People *trust* that money can "be converted at any time into concrete goods" (Trigilia 38). If enough people come to doubt a currency's ability to do that, an entire economy could collapse as people refuse to accept previously agreed-on amounts of money in exchange for goods and services. This is exactly what happens in times of hyperinflation—as in Germany in 1922-1923. After World War I, Germans placed so little value in their own currency that a theater ticket cost one billion marks and a cup of coffee that cost 5,000 marks rose to 9,000 by the time a customer ordered and drank a second cup When the man complained, "he was told he should have ordered the coffees at the same time because the price had gone up in between" (Jung).

8 In March 1900, the United States government passed the Gold Standard Act, fixing the exchange rate between gold and paper currency. This act, which mirrored similar policies of the British and was instituted after decades of currency instability, established that all the paper money issued by the United States would be backed by—could be traded for—a given amount of gold. In the United States, this gold was kept in a central location at Fort Knox. Jacob Deroy explains that "paper money was a convenience, but it was acceptable only if it could be converted into precious metal by bringing it into the bank or government agency that printed it" (219). Paper money in this system was a promise, or an exchangeable IOU. In theory, people would accept the value of the paper money because it could be converted into "real" money—that is, gold.

9 What people were not willing to acknowledge was that the gold at Fort Knox was no more valuable than paper dollars. It carried value only insofar as people agreed it carried value. Gold, indeed any form of money, is an "abstraction," an idea (Surowiecki). That's not a confidence-making statement. With the Gold Standard Act, the government sought to reassure citizens and business interests that the pieces of paper in their wallets and bank accounts were actually worth something and that the foundation of the economy was solid. Confident consumers could spend dollars and merchants could accept dollars, everyone agreeing that the currency in use provided a fair exchange. By 1929, however, the basic logic of the gold standard was undermined when the amount of currency in circulation, $4.46 billion, exceeded the amount of gold held in reserve to back that currency, $2.3 billion ("Currency"). The gap widened over the years until, in 1971, President Nixon ended the gold standard. For the last 45 years, the United States has held no precious metals in reserve to back its currency. What, then, is the foundation of our economy?

10 Faith.

11 The economy of the United States may be the most vibrant in the world, but for all its strength, it rests on the most fragile of foundations: an agreement—a shared faith—among hundreds of millions both in this country and abroad that the U.S. dollar actually holds value. Whether the butcher is buying beer from the brewer or a car from a local dealer, all concerned trust that the dollars he pays have value. And they do, as long as everyone believes they do and continues to buy and sell goods and services based on that belief. The ending of the gold standard was like a trumpet blast announcing that money is a belief system, not a physical thing.

12 For anyone needing a louder blast, the perfect expression of this belief system may be seen in two digital developments that promise to upend the way we use and think of money: The first, invented in 2009, is Bitcoin, a digital currency that has *no* physical form. The second, released in 2014 (and after), is Apple Pay and similar mobile payment systems. Though the Apple product is linked to bank accounts and, hence, dollars (a traditional currency), the connection to actual money seems remote at points of sale where *no* cash is exchanged or credit-card information recorded. Instead, the buyer launches an app on her iPhone, which transmits a digital "token" to the seller's computer, at which point the buyer can leave the shop with a fresh pizza or a new pair of jeans (Evans). Apple's Chief Executive Tim Cook predicts "that digital-payments systems like Apple Pay will become so pervasive in the future that 'your kids will not know what' cash is" (qtd. in Sidel). When that happens, we'll have come a long way from bartering and the use of cowrie shells or gold coins, trusting instead that the new digital systems will exchange dollars, invisibly, at the speed of light between the computer servers at Apple and vendors who accept their mobile payment system.

13 As remote as physical money is from such mobile app transactions, actual dollars in a bank (somewhere) back the exchange. An even more radical development can be found in Bitcoins, which exist not as digital versions of dollars or any other currency but as strings of numbers in computers linked over the Internet. Anyone conducting business electronically can choose to pay in Bitcoins as long as the person, or company, they are buying from accepts Bitcoins as legitimate payment. In this system, a person's wealth as expressed in Bitcoins exists as encrypted files in a massive computer network. If the butcher and his neighbor, Anne, agree that her used car is worth five hundred Bitcoins, then the butcher sends Anne a string of numbers—computer to computer. The ownership of that string of numbers moves across the network from the butcher's digital "wallet" to Anne's. The butcher drives Anne's car away, and Anne can use her new Bitcoins to pay for a new car or rent on her apartment or anything she pleases, as long as the person with whom she's doing business next agrees that Bitcoins have value. On what, exactly, is this value based? Again, the strange word that applies to all forms of money: faith.

> The value of a Bitcoin is . . . derived from the faith that you have in the value of what you can procure with that Bitcoin. It's just like you [derive value] for a dollar, a Euro, or a Yen. The faith that you have in that currency's value is how you value that currency." (Kahn)

14 Bitcoins bring the socially constructed, or invented, nature of money into the open, exploding the belief that the value of gold or diamonds somehow exists *in* the gold or diamonds. It does not. If enough of us agreed, we could restore the use of peppercorns as common currency: from ancient times through the Middle Ages, peppercorns were used as money (Hunt 314). All we would need is a mutual belief in their value. It's exactly the same agreement humans have made concerning stones, cowrie shells, and tools; it's the same agreement we continue to make concerning gold, silver, digital payment apps, and Bitcoins. Because the goods and services we buy with money are solid and real, it can be difficult and strange to admit that money is not and never has been a *thing*. Money is an idea, an ancient one as crucial to the development of civilization as the controlled use of fire, or the wheel.

Kearney 6

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Critical Reading for Synthesis

- ***Understand each source you will draw on in writing your synthesis.*** Examine its context; note the title and subtitle; identify the main point; identify the subpoints; break the reading into sections; distinguish between points, examples, and counterarguments; watch for transitions within and between paragraphs; and read actively and recursively.
- ***Establish the writer's primary purpose.*** Use some of the guidelines discussed in Chapters 2 and 5. Is the piece primarily informative, persuasive, or entertaining? Assess whether the piece achieves its purpose.
- ***Read to identify a key idea.*** If you begin reading your source materials with a key idea or topic already in mind, read to identify what your sources have to say about the idea.
- ***Read to discover a key idea.*** If you begin the reading process without a key idea or topic in mind, read to discover if your sources suggest one..
- ***Read for relationships.*** Regardless of whether you already have a key idea or you are attempting to discover one, note the ways in which the readings relate to each other, to a key idea, and to your purpose in writing the synthesis.

Looking Ahead

When explanation is an end in itself, you can write a synthesis like the one in this chapter on the idea of money, drawing on sources to help you do so. Frequently, explanation forms part of a larger argument: If readers don't understand an issue, the writer who wishes to argue about it will first need to educate readers, using the tools of explanation discussed in this chapter. As you have seen elsewhere in the text, college-level writing is often a blend of several types, guided by a clear purpose: You've seen that explanation draws on summary. In the next two chapters, you'll see that argument and analysis can draw on explanation.

Writing Assignment: Ethical Dilemmas in Everyday Life

Now we'll give you an opportunity to practice your skills in planning and writing an explanatory synthesis. See Chapter 11, pages 241–271, where we provide sources on fascinating dilemmas in ethics and ask you to write about them. When you are confronted with a question on how best to act in a difficult situation, when there is no clear right and wrong choice, how do you decide what to do? To what principles can you turn for guidance? Your task in the synthesis (see the assignment on pages 267–268) will be to understand the *process* of ethical decision making and to explain that process to readers less knowledgeable than you on the topic.

Chapter 7
Argument Synthesis

Learning Objectives

After completing this chapter, you will be able to:

7.1 Apply the elements of argument to the writing of an argument synthesis.

7.2 Write an argument synthesis.

7.3 Use various strategies to develop and support your arguments.

7.4 Use comparison and contrast, where appropriate, to develop your argument synthesis.

7.5 Use your purpose to guide your choice of writing an explanatory synthesis, argument synthesis, or comparison-and-contrast synthesis.

What is an Argument Synthesis?

7.1 Apply the elements of argument to the writing of an argument synthesis.

An argument is an attempt to persuade a reader or listener that a specific debatable claim is true and worthy of support. Writers argue in order to establish facts, to make statements of value, and to recommend policies. For instance, answering the question "What role does compromise play in the legislative process?" would involve you making an argument. You might support your answer by interviewing experts, referring to historical evidence, and drawing on data gleaned from social science experiments.

Would readers accept your conclusions? That depends on the quality of your supporting evidence and the care and logic with which you have argued your case.

What we are calling an *argument synthesis* draws on evidence from a variety of sources in an attempt to persuade others of the truth or validity of a debatable claim.

By contrast, the explanatory synthesis, as we have seen, is fairly modest in purpose. It emphasizes the sources themselves, not the writer's use of sources to persuade others. The writer of an explanatory synthesis aims to inform. Here, for example, is a thesis devised for an explanatory synthesis on the ubiquity of smartphones in contemporary life:

> Smartphones make it possible for us to be always within reach, though many people would prefer *not* to be always within reach.

This thesis summarizes two observations about the impact of smartphones, arguing neither for nor against the validity of either observation.

An argument thesis, however, is *persuasive* in purpose. A writer working with the same source material might conceive and support a very different thesis:

> Smartphones create an illusion of meaningful connection with others and have ruined our abilty, perhaps even our desire, to be content while alone.

The thesis of an argument synthesis, also called a *claim*, is a debatable statement about which reasonable people could disagree. It is a statement that you support with logic and evidence in order to persuade others that your view is true or desirable.

The Elements of Argument: Claim, Support, and Assumption

One way of understanding argument is to see it as an interplay of three essential elements:

- Claim
- Support
- Assumption

A *claim* is a proposition or conclusion that you are trying to prove. You prove this claim by using *support* in the form of fact, statistics, or expert opinion. Linking your supporting evidence to your claim is your *assumption* about the subject. This assumption, also called a *warrant*, is an underlying belief or principle about some aspect of the world and how it operates (see our discussion of assumptions in Chapter 5, pp. 86–89). By their nature, assumptions (which are often unstated) tend to be more general than either claims or supporting evidence.

Here are the essential elements of an argument that parents should restrict the amount of television that their teenagers watch:

Claim

> High school students should watch no more than two hours of TV per day.

Support

> An important new study and the testimony of educational specialists reveal that students who watch more than two hours of TV a night have, on average, lower grades than those who watch less TV.

Assumption

Excessive TV viewing adversely affects academic performance.

As another example, here are the essential elements of an argument about smartphone technology:

Claim

The ubiquity of smartphones threatens to undermine human intimacy, connection, and ultimately community.

Support

- People are spending increasing amounts of time on smartphones: In 2015, owners of smartphones spent, on average, 7.7 hours per day on their devices.
- College health officials report that excessive smartphone use threatens many college students' academic and psychological well-being.
- To encourage direct human-to-human interaction, some restaurants have begun offering discounts to patrons who turn off their smartphones during the meal.
- New kinds of relationships fostered on smartphones can pose challenges to preexisting relationships.

ASSUMPTIONS

- The communication skills used and the connections formed during smartphone interactions fundamentally differ from those used and formed during face-to-face contact.
- "Real" connection and a sense of community are sustained by face-to-face contact, not by digital interactions.

For the most part, construct arguments logically so that assumptions link evidence (supporting facts, statistics, and expert opinions) to claims. As we'll see, however, logic is only one component of effective arguments.

Exercise 7.1

Practicing Claim, Support, and Assumption

Devise two sets of claims, support, and assumptions. First, in response to the example above about smartphone interactions, write a one-sentence claim addressing the positive impact (or potentially positive impact) of smartphones on relationships—whether you personally agree with the claim or not. Then list the supporting statements on which such a claim might rest and the assumption that underlies them. Second, write a claim that states your own position on any debatable topic you choose. Again, devise statements of support and relevant assumptions.

The Three Appeals of Argument: *Logos, Ethos, Pathos*

Speakers and writers have never relied on logic alone in advancing and supporting their claims. More than 2000 years ago, the Athenian philosopher and rhetorician Aristotle explained how speakers attempting to persuade others to adopt their point of view could achieve their purpose by relying on one or more *appeals,* which he called *logos, ethos,* and *pathos.*

Since we frequently find these three appeals employed in political argument, we'll use political examples in the following discussion. All three appeals are also used extensively in advertising, legal cases, business documents, and many other types of argument. Bear in mind that in academic writing, the appeal to logic (*logos*) is by far the most commonly used appeal.

LOGOS *Logos* is the rational appeal, the appeal to reason. Academic presentations, including the papers you will write across the curriculum, build almost exclusively on appeals to logic and evidence. If writers and speakers expect to persuade their audiences, they must argue logically and must supply appropriate evidence to support their case. Logical arguments are commonly of two types (often combined): deductive and inductive.

Deductive Reasoning The *deductive* argument begins with a generalization, then cites a specific case related to that generalization from which follows a conclusion. An example of a deductive argument may be seen in President John F. Kennedy's address to the nation in June 1963 on the need for sweeping civil rights legislation. Kennedy begins with the generalizations that it "ought to be possible … for American students of any color to attend any public institution they select without having to be backed up by troops" and that "it ought to be possible for American citizens of any color to register and vote in a free election without interference or fear of reprisal." Kennedy then provides several specific examples (primarily recent events in Birmingham, Alabama) and statistics to show that segregation had prevented many from enrolling in public colleges and from registering to vote. He concludes:

> We face, therefore, a moral crisis as a country and a people. It cannot be met by repressive police action. It cannot be left to increased demonstrations in the streets. It cannot be quieted by token moves or talk. It is time to act in the Congress, in your state and local legislative body, and, above all, in all of our daily lives.

Underlying Kennedy's argument is this reasoning:
All Americans should enjoy certain rights. (*assumption*)
Some Americans do not enjoy these rights. (*support*)
We must take action to ensure that all Americans enjoy these rights. (*claim*)

Inductive Reasoning Another form of logical argumentation is *inductive* reasoning. A speaker or writer who argues inductively begins not with a generalization but with several pieces of specific evidence. The speaker then draws a conclusion from this evidence. For example, in a debate on gun control, former Senator Robert C. Byrd cited specific examples of rampant crime involving guns: "I read of young men being viciously murdered for a pair of sneakers, a leather jacket, or $20." He also offered statistical evidence of the increasing crime rate: "in 1951, there were 3.2 policemen for every felony committed in the United States; this year nearly 3.2 felonies will be committed per every police officer." He concluded, "Something has to change. We have to stop the crimes that are distorting and disrupting the way of life for so many innocent, law-respecting Americans. The bill that we are debating today attempts to do just that."

Maintaining a Critical Perspective Of course, the mere piling up of evidence does not in itself make the speaker's case. As Donna Cross explains in "Politics: The Art of Bamboozling,"[1] politicians are very adept at "card-stacking"—lining up evidence in favor of a conclusion without bothering to mention (or barely mentioning) contrary evidence. And statistics can be selected and manipulated to prove anything, as demonstrated in Darrell Huff's landmark book *How to Lie with Statistics* (1954). Moreover, what appears to be a logical argument may in fact be fundamentally flawed. (See Chapter 5 for a discussion of logical fallacies and faulty reasoning.)

On the other hand, the fact that evidence can be distorted, statistics can be misused, and logic can be fractured does not mean that these tools of reason should be dismissed. It means only that audiences have to listen and read critically, and question the use of statistics and other evidence.

Exercise 7.2

Using Deductive and Inductive Logic

Choose an issue currently being debated at your school or a college-related issue about which you are concerned. Write a claim about this issue. Then write two paragraphs addressing your claim—one in which you organize your points deductively (beginning with your claim and following with support) and one in which you organize them inductively (presenting supporting evidence and following with a claim). Possible issues might include college admissions policies, classroom crowding, or grade inflation. Alternatively, you could base your paragraphs on a claim generated in Exercise 7.1.

ETHOS *Ethos,* or the ethical appeal, is based not on the ethics relating to the subject under discussion but rather on the ethical status of the person making the argument. A person making an argument must have a certain degree of credibility: That person must be of good character, have sound sense, and be qualified to argue based either on expert experience with the subject matter or on carefully conducted research. Students writing in academic settings establish their appeal to *ethos* by developing presentations that are well organized, carefully reasoned, and thoroughly referenced with source citations. These are the hallmarks of writers and speakers who care deeply about their work. If you care, your audience will care and consider your argument seriously.

Appeals to *ethos* are usually most explicit in political contests. For example, Elizabeth Cervantes Barrón, running for senator as the peace and freedom

[1]Donna Cross, *Word Abuse: How the Words We Use Use Us* (New York: Coward, 1979).

candidate, establishes her credibility this way: "I was born and raised in central Los Angeles. I grew up in a multiethnic, multicultural environment where I learned to respect those who were different from me… . I am a teacher and am aware of how cutbacks in education have affected our children and our communities." On the other end of the political spectrum, the American Independent gubernatorial candidate Jerry McCready also begins with an ethical appeal: "As a self-employed businessman, I have learned firsthand what it is like to try to make ends meet in an unstable economy being manipulated by out-of-touch politicians." Both candidates are making an appeal to *ethos,* an appeal based on the strength of their personal qualities for the office they seek. Both argue, in effect, "Trust me. My experience makes me a credible, knowledgeable candidate."

As a "consumer" of political arguments—that is, as a voter—ask, "Does this appeal to personal qualifications matter?" "Do I *agree* that this candidate is of upstanding character?" "Am I persuaded that personal traits will translate to policies that I support?"

Exercise 7.3

***Using* Ethos**

Return to the claim you used for Exercise 7.2, and write a paragraph in which you use an appeal to *ethos* to make a case for that claim.

PATHOS Finally, speakers and writers appeal to their audiences by using *pathos*, an appeal to the emotions. Writers in academic settings rely heavily on the force of logic and evidence, and rarely make appeals to *pathos.* Beyond academic settings, however, appeals to the emotions are commonplace. Nothing is inherently wrong with using an emotional appeal. Indeed, because emotions often move people far more successfully than reason alone, speakers and writers would be foolish not to use emotion. And it would be a drab, humorless world if human beings were not subject to the sway of feeling as well as reason. The emotional appeal becomes problematic only when it is the *sole* or *primary* basis of the argument.

President Ronald Reagan was a master of emotional appeal. He closed his first inaugural address with a reference to the view from the Capitol to the Arlington National Cemetery, where lie thousands of markers of "heroes":

> Under one such marker lies a young man, Martin Treptow, who left his job in a small-town barbershop in 1917 to go to France with the famed Rainbow Division. There, on the western front, he was killed trying to carry a message between battalions under heavy artillery fire. We're told that on his body was found a diary. On the flyleaf under the heading, "My Pledge," he had written these words: "America must win this war. Therefore, I will work, I will save, I will sacrifice, I will endure, I will fight cheerfully and do my utmost, as if the issue of the whole struggle depended on me alone." The crisis we are facing today does not require of us the kind of sacrifice that Martin Treptow and so many thousands of others were called upon to make. It does require, however, our best effort and

> our willingness to believe in ourselves and to believe in our capacity to perform great deeds, to believe that together with God's help we can and will resolve the problems which now confront us.

Surely, Reagan implies, if Martin Treptow can act so courageously and so selflessly, we can do the same. His logic is somewhat unclear because the connection between Martin Treptow and ordinary Americans of 1981 is rather tenuous (as Reagan concedes), but the emotional power of the heroism of Martin Treptow, whom reporters were sent scurrying to research, carries the argument.

Exercise 7.4

***Using* Pathos**

Return to the claim you used for Exercises 7.2 and 7.3, and write a paragraph in which you use an appeal to *pathos* to argue for that claim.

The Limits of Argument

Our discussion of *ethos* and *pathos* indicates a potentially troubling but undeniable reality: Arguments are not won on the basis of logic and evidence alone. In the real world, arguments don't operate like academic debates. If the purpose of argument is to get people to change their minds or to agree that the writer's or speaker's position on a particular topic is the best available, then the person making the argument must be aware that factors other than evidence and good reasoning come into play when readers or listeners are considering the matter.

These factors involve deep-seated cultural, religious, ethnic, racial, and gender identities; moral preferences; and the effects of personal experiences (either pleasant or unpleasant) that are generally resistant to logic and evidence, however well framed. You could try—using the best available arguments—to convince someone who is pro-life to agree with the pro-choice position (or vice versa). Or you could try to persuade someone who opposes capital punishment to believe that state-endorsed executions are necessary for deterrence (or for any other reason). You might even marshal your evidence and logic to try to persuade someone whose family members have had run-ins with the law that police efforts are directed at protecting the law-abiding.

On such emotionally loaded topics, however, it is extremely difficult, if not impossible, to get people to change their minds because they are so personally invested in their beliefs. As Susan Jacoby, author of *The Age of American Unreason,* notes, "Whether watching television news, consulting political blogs, or (more rarely) reading books, Americans today have become a people in search of validation for opinions that they already hold."[2] Put Jacoby's claim to the test: On any given evening, watch a half-hour of Fox News and MSNBC News. The news

[2]Susan Jacoby, "Talking to Ourselves: Americans Are Increasingly Closed-Minded and Unwilling to Listen to Opposing Views," *Los Angeles Times* 20 Apr. 2008: M10.

coverage of at least a few stories will likely overlap. Can you detect a slant, or bias, in this coverage? Which program would a political conservative be inclined to watch? A liberal? Why?

FRUITFUL TOPICS FOR ARGUMENT The tenacity with which people hold onto longtime beliefs does not mean, however, that they cannot change their minds or that subjects like abortion, capital punishment, and gun control should be off limits to reasoned debate. The past twenty years has seen some contentious issues, like gay marriage, resolved both in the courts and through elections; and reasoned argument—as well as appeals to *pathos* and *ethos*—has played a significant role. Still, you should be aware of the limits of argument. The most fruitful topics for argument in a freshman composition setting tend to be those on which most people are persuadable, either because they know relatively little about the topic or because deep-rooted cultural, religious, or moral beliefs are not involved. At least initially in your career as a writer of academic papers, it's probably best to avoid hot-button topics that are the focus of broader cultural debates and to focus instead on topics in which *pathos* plays less of a part.

For example, most people are not emotionally invested in plug-in hybrid or hydrogen-powered vehicles, so an argument on behalf of the more promising technology for the coming decades will not be complicated by deep-seated beliefs. Similarly, most people don't know enough about the mechanics of sleep to have strong opinions on how to deal with sleep deprivation. Your arguments on such topics, therefore, will provide opportunities both to inform your readers or listeners and to persuade them that your arguments, if well reasoned and supported by sound evidence, are at least plausible, if not entirely convincing.

How to Write Argument Systheses

7.2 Write an argument synthesis.

Demonstration: Developing an Argument Synthesis—Responding to Bullies

To demonstrate how to plan and draft an argument synthesis, let's suppose that your composition instructor has assigned a research paper and that in pondering possible topics you find yourself considering what can be done to discourage widespread bullying in American schools. Perhaps you have a personal motivation to write on this topic: You were bullied as a child or recall watching others being bullied but did nothing to intervene. So you do some preliminary reading and discover that the problem of bullying is widespread and that all fifty states have adopted antibullying legislation. Still, however, the problem persists. What can be done to solve it?

You have a topic, and you have a guiding question for a paper.

Suppose, in preparing to write a paper in which you will argue for a workable solution to the problem of bullying, you locate (among others) the following sources:

- "Bullying Statistics" (a Web site)
- *The 2013 National School Climate Survey: The Experiences of Lesbian, Gay, Bisexual and Transgender Youth in Our Nation's Schools* (a report)
- *Olweus Bullying Prevention Program: Scope and Sequence* (a publisher's catalog description of a widely adopted antibullying program)
- "Bullying—And the Power of Peers" (a scholarly article also delivered as a paper at a White House conference on bullying)

Carefully read these sources (which follow), noting the kinds of evidence—facts, expert opinions, and statistics—you could draw on to develop an *argument synthesis*. These passages are excerpts only; in preparing your paper, you would draw on the entire articles, reports, and Web sites from which these passages were taken. And you would draw on more sources than these in your search for supporting materials (as the writer of the model synthesis has done; see pp. 141–143). But these four sources provide a good introduction to the subject. Our discussion of how these passages can form the basis of an argument synthesis resumes on page 133.

Bullying Statistics

—Pacer.org

General Statistics

- One out of every four students (22%) report being bullied during the school year (National Center for Educational Statistics, 2015).
- 19.6% of high school students in the US report being bullied at school in the past year. 14.8% reported being bullied online (Center for Disease Control, 2014).
- 64 percent of children who were bullied did not report it; only 36 percent reported the bullying (Petrosina, Guckenburg, DeVoe, and Hanson, 2010).
- More than half of bullying situations (57%) stop when a peer intervenes on behalf of the student being bullied (Hawkins, Pepler, and Craig, 2001).
- School-based bullying prevention programs decrease bullying by up to 25% (McCallion and Feder, 2013).
- The reasons for being bullied reported most often by students were looks (55%), body shape (37%), and race (16%) (Davis and Nixon, 2010).

Statistics about bullying of students with disabilities

- Only 10 U.S. studies have been conducted on the connection between bullying and developmental disabilities, but all of these studies found that children with disabilities were two to three times more likely to be bullied than their nondisabled peers (Marshall, Kendall, Banks, and Gover, 2009).
- Researchers discovered that students with disabilities were more worried about school safety and being injured or harassed by other peers compared to students without a disability (Saylor and Leach, 2009).
- The National Autistic Society reports that 40% of children with autism and 60% of children with Asperger's syndrome have experienced bullying.
- When reporting bullying, youth in special education were told not to tattle almost twice as often as youth not in special education (Davis and Nixon, 2010).

The 2013 National School Climate Survey: The Experiences of Lesbian, Gay, Bisexual, and Transgender Youth in Our Nation's Schools

—Joseph G. Kosciw, Ph.D., Emily A. Greytak, Ph.D., Neal A. Palmer, Ph.D., Madelyn J. Boesen, M.A.

In 1999, [the Gay, Lesbian & Straight Education Network] (GLSEN) identified that little was known about the school experiences of lesbian, gay, bisexual, and transgender (LGBT) youth and that LGBT youth were nearly absent from national studies of adolescents. We responded to this national need for data by launching the first National School Climate survey, and we continue to meet this continued need for current data by conducting the study every two years. Since then, the biennial National School Climate Survey has documented the unique challenges LGBT students face and identified interventions that can improve school climate. The survey documents the prevalence of anti-LGBT language and victimization, such as experiences of harassment and assault in school. In addition, the survey examines school policies and practices that may contribute to negative experiences for LGBT students and make them feel as if they are not valued by their school communities. The survey also explores the effects that a hostile school climate may have on LGBT students' educational outcomes and well-being. Finally, the survey reports on the availability and the utility of LGBT-related school resources and supports that may offset the negative effects of a hostile school climate and promote a positive learning experience. In addition to collecting this critical data every two years, we also add and adapt survey questions to respond to the changing world for LGBT youth. For example, in the 2013 survey we added a question about hearing negative remarks about transgender people (e.g., "tranny"). The National School Climate Survey remains one of the few studies to examine the school experiences of LGBT students nationally, and its results have been vital to GLSEN's understanding of the issues that LGBT students face, thereby informing our ongoing work to ensure safe and affirming schools for all.

In our 2013 survey, we examine the experiences of LGBT students with regard to indicators of negative school climate:

- Hearing biased remarks, including homophobic remarks, in school;
- Feeling unsafe in school because of personal characteristics, such as sexual orientation, gender expression, or race/ethnicity;
- Missing classes or days of school because of safety reasons;
- Experiencing harassment and assault in school; and
- Experiencing discriminatory policies and practices at school.

We also examine:

- The possible negative effects of a hostile school climate on LGBT students' academic achievement, educational aspirations, and psychological well-being;
- Whether or not students report experiences of victimization to school officials or to family members and how these adults address the problem; and
- How the school experiences of LGBT students differ by personal and community characteristics.

In addition, we demonstrate the degree to which LGBT students have access to supportive resources in school, and we explore the possible benefits of these resources:

- Gay-Straight Alliances (GSAs) or similar clubs;
- School antibullying/harassment policies;
- Supportive school staff; and
- Curricula that are inclusive of LGBT-related topics.

Given that GLSEN has been conducting the survey for over a decade, we also examine changes over time on indicators of negative school climate and levels of access to LGBT-related resources in schools.

Olweus Bullying Prevention Program

Publisher Catalogue Description

The Olweus Bullying Prevention Program (OBPP) is the most researched and best-known bullying prevention program available today. With over thirty-five years of research and successful implementation all over the world, OBPP is a whole-school program that has been proven to prevent or reduce bullying throughout a school setting.

All Students and Adults Participate

The Olweus Bullying Prevention Program is designed for students in elementary, middle, and junior high schools (students ages five to fifteen years old). Research has shown that OBPP is also effective in high schools, with some program adaptation. All students participate in most aspects of the program, while students identified as bullying others, or as targets of bullying, receive additional individualized interventions.

Program Goals

The Olweus Bullying Prevention Program is designed to improve peer relations and make schools safer, more positive places for students to learn and develop. Goals of the program include:

- reducing existing bullying problems among students
- preventing the development of new bullying problems
- achieving better peer relations at school

Outcomes of the Program

Statistics show how successful implementation of the Olweus Bullying Prevention Program can reduce school bullying. Outcomes have included:

- Fifty percent or more reductions in student reports of being bullied and bullying others. Peer and teacher ratings of bullying problems have yielded similar results.
- Significant reductions in student reports of general antisocial behavior such as school bullying, vandalism, school violence, fighting, theft, and truancy.
- Significant improvements in the classroom social climate as reflected in students' reports of improved order and discipline, more positive social relationships, and more positive attitudes toward schoolwork and school.
- Greater support for students who are bullied, and stronger, more effective interventions for students who bully.

White House Report/Bullying—And the Power of Peers

Promoting Respectful Schools
Philip Rodkin

Using Peers to Intervene

In a review of bullying-reduction programs, Farrington and Ttofi (2009) found that interventions that involve peers, such as using students as peer mediators or engaging bystanders to disapprove of bullying and support victims of harassment, were associated with *increases* in victimization! In fact, of 20 program elements included in 44 school-based programs, work with peers was the *only* program element associated with significantly *more* bullying and victimization. (In contrast, there were significant and positive effects for parent training and school meetings in reducing bullying.) Still other reviews of bullying intervention programs have found generally weak effects (Merrell, Gueldner, Ross, and Isava, 2008).

These disheartening results speak to the fact that peer influences can be a constructive or destructive force on bullying and need to be handled with knowledge, skill, and care. Antisocial peer groups can undermine behavioral interventions. For peer mediation to be effective, students who are chosen to be peer mediators should probably be popular and prosocial (Pellegrini et al., 2010; Pepler et al., 2010; Vaillancourt et al., 2010).

Some of the most innovative, intensive, grassroots uses of peer relationships to reduce bullying, such as the You Have the Power! program in Montgomery County, Maryland, have not been scientifically evaluated. The final verdict awaits on some promising programs that take advantage of peer relationships to combat bullying, such as the Finnish program KiVa (Salmivalli et al., 2010), which has a strong emphasis on influencing onlookers to support the victim rather than encourage the bully, and the Steps to Respect program (Frey et al., 2010), which works at the elementary school level.

Teachers can ask what *kind* of bully they face when dealing with a victimization problem. Is the bully a member of a group, or is he or she a group leader? How are bullies and victims situated in the peer ecology? Educators who exclusively target peripheral, antisocial cliques as the engine of school violence problems may leave intact other groups that are more responsible for mainstream peer support of bullying. A strong step educators could take would be to periodically ask students about bullying and their social relationships. (See "What Teachers Can Do.")

* * *

5 The task ahead is to better integrate bullies and the children they harass into the social fabric of the school and better inform educators of how to recognize, understand, and help guide children's relationships. With guidance from caring, engaged adults, youth can organize themselves as a force that makes bullying less effective as a means of social connection or as an outlet for alienation.

What Teachers Can Do

- **Ask students about bullying.** Survey students regularly on whether they are being harassed or have witnessed harassment. Make it easier for students to come to an adult in the school to talk about harassment by building staff-student relationships, having suggestion boxes where students can provide input anonymously, or administering schoolwide surveys in which students can report confidentially on peers who bully and on the children whom they harass. Consider what bullying accomplishes for a bully. Does the bully want to gain status? Does the bully use aggression to control others?
- **Ask students about their relationships.** Bullying is a destructive, asymmetric relationship. Know whom students hang out with, who their friends are, and whom they dislike. Know whom students perceive to be popular and unpopular. Connect with students who have no friends. School staff members vary widely in their knowledge of students' relationships and tend to underestimate the level of aggression among peers.
- **Build democratic classroom and school climates.** Identify student leaders who can encourage peers to stand against bullying. Assess whether student social norms are *really* against bullying. Train teachers to better understand and manage student social dynamics and handle aggression with clear, consistent consequences. Master teachers not only promote academic success but also build relationships, trust, and a sense of community.
- **Be an informed consumer of antibullying curriculums.** Antibullying interventions can be successful, but there are significant caveats. Some bullies would benefit from services that go beyond bullying-reduction programs. Some programs work well in Europe but not as well in the United States. Most antibullying programs have not been rigorously evaluated, so be an informed consumer when investigating claims of success. Even with a well-developed antibullying curriculum, understanding students' relationships at your school is crucial.
- **Remember that bullying is also a problem of values.** Implement an intellectually challenging character education or socioemotional learning curriculum. Teach students how to achieve their goals by being assertive rather than aggressive. Always resolve conflicts with civility among and between staff and students. Involve families.

Exercise 7.5

Critical Reading for Synthesis

Having read the selections related to bullying on pages 129–132, write a one-sentence summary of each. On the same page, list two or three topics that you think are common to several of the selections. Beneath each topic, list the authors who have something to say on that topic and briefly note what they have to say. Finally, for each topic, jot down what *you* have to say. Now regard your effort: With each topic you have created a discussion point suitable for inclusion in a paper. (Of course, until you determine the claim of such a paper, you won't know to what end you might direct the discussion.) Write a paragraph or two in which you introduce the topic and then conduct a brief conversation among the interested parties (including yourself).

Consider Your Purpose

Your specific purpose in writing an argument synthesis is crucial. What exactly you want to do will affect your claim and how you organize the evidence. Your purpose may be clear to you before you begin research, or it may not emerge until after you have completed your research. Of course, the sooner your purpose is clear to you, the fewer wasted motions you will make. On the other hand, the more you approach research as an exploratory process, the likelier that your conclusions will emerge from the sources themselves rather than from preconceived ideas. Each new writing project will have its own rhythm in this regard. Be flexible in your approach.

Let's say that while reading these four (and additional) sources related to bullying, you share the concern of many who believe that bullies traumatize too many vulnerable children and prevent them from feeling safe at school. Perhaps you believe that bullying is fundamental to human nature, or at least to some people's human nature, and that laws will do little to change the behavior. Perhaps you believe that laws shape, or at least constrain, human behavior all the time: the laws against murder or theft, for instance, or, more mundanely, speeding. You may believe that laws *do* have a role to play in lessening if not preventing bullying and that we should be willing to sacrifice some freedom of speech to prevent bullies from menacing their victims through text messages and online postings.

Most people will bring at least some personal history to this topic, and personal history is often a good place to begin. Mine that history for insights, and use them if they can guide you in posing questions and in developing arguments. Your purpose in writing, then, emerges from these kinds of responses to the source materials you find.

Making a Claim: Formulate a Thesis

Match your claim to your purpose. If your purpose is to convince others that bullies can learn to moderate their behavior, then write a claim to that effect. Your claim (generally expressed in one-sentence form as a *thesis*) lies at the heart of your argument. You will draw support from your sources as you argue logically for your claim.

Not every piece of information in a source will be useful for supporting a claim. You must read with care and select the opinions, facts, and statistics that best advance your position. You may even find yourself drawing support from sources that make claims entirely different from your own. For example, in researching the subject of bullying prevention, you may come across an antibullying program that you know has been proven ineffective by researchers, yet that source's presentation of statistics concerning the prevalence of bullying may be sound and useful for your own argument.

You might use one source as part of a *counterargument*—an argument opposing your own—so that you can demonstrate its weaknesses and, in the process, strengthen your own claim. On the other hand, you might find a source with an opposing thesis so convincing that you end up adopting it or modifying your own thesis. The point is that *the argument is in your hands.* You must devise it yourself and use your sources in ways that will support the claim you present in your thesis.

Based on your reactions to sources, you may find yourself thinking as follows:

1. Despite being required by the states' antibullying laws, programs to combat bullying do not work because they prescribe a one-size-fits-all approach to a complex problem.
2. At the same time, the suffering bullies cause is too great to do nothing.
3. A local approach to bullying makes sense, one that builds on the wisdom and experience of parents, teachers, and community leaders.

You review your sources and begin working on a thesis. After a few tries, you develop this thesis:

> A blend of local, grassroots strategies and state-mandated programs and laws promises to be the best approach to dealing with bullying in American schools.

Decide How You Will Use Your Source Material

Your claim commits you to introducing the problem of bullying, explaining top-down antibullying legislation and its advantages and limitations, explaining grassroots strategies and their advantages and limitations, and arguing for a combined approach to changing the behavior of bullies. The sources (some provided here, some located elsewhere) offer information and ideas—evidence—that will allow you to support your claim. For instance, the catalog description of the Olweus Bullying Prevention Program (OBPP) establishes the principles of a widely adopted one-size-fits-all approach to bullying prevention. Yet the "White House Report" by Rodkin cautions that "some programs [like Olweus] work well in Europe but not as well in the United States." (These and several other sources not included in this chapter will be cited in the model argument paper.)

Develop an Organizational Plan

After establishing your overall purpose and your claim, developing a thesis (which may change as you write and revise the paper), and deciding how to draw on your source materials, how do you logically organize your paper? In many cases, a well-written thesis will suggest an organization. In the case of the antibullying project, the first part of your paper would define the problem of bullying and discuss the legislative response. The second part would argue that problems are associated with antibullying legislation. The third part would introduce a solution to these problems. After sorting through your material and categorizing it by topic and subtopic, you might compose the following outline:

I. Introduction
   A. Graphic example of bullying
   B. Background: Who is bullied
   C. Cyberbullying
      1. Definition
      2. Suicides
   D. Antibullying laws
      1. Laws criminalize bullying
      2. Laws mandate education to reduce bullying

Thesis

II. Problems with antibullying laws
   A. Laws implemented in a rush (after Columbine)
   B. Elements of some laws unconstitutional
   C. Laws don't follow standard definitions
   D. Effectiveness of antibullying programs uneven

III. An alternate solution to the problem of bullying
   A. Rationale and blueprint for alternate approach
   B. A local, grassroots solution
      1. Emily Bazelon
      2. Lee Hirsch and Cynthia Lowen
      3. Philip Rodkin
   C. Concession
      1. Local solutions possibly flawed
      2. Local solutions should be evaluated

IV. Conclusion: Blended approach needed

Draft and Revise Your Synthesis

The final draft of an argument synthesis, based on the outline above, follows. Thesis and topic sentences are highlighted. A note on documentation: While the topic leans more toward the social sciences than it does the humanities, the writer—completing a research assignment for a freshman composition class—has used Modern Language Association (MLA) documentation style as his instructor requested. MLA style is used most often in the humanities.

A cautionary note: When writing syntheses, it is all too easy to become careless in properly crediting your sources. Before drafting your paper, review the section on Avoiding Plagiarism (pp. 52–54).

Model Argument Synthesis

Simmons 1

Peter Simmons

Professor Lettelier

Composition 201

8 November 2016

Responding to Bullies

1 Opens with an anecdote that appeals to our emotions. (Pathos) An effective strategy for a paper on bullying.

1 On the school bus the nerdy kid with glasses tries to keep his head down. A group of older, bigger kids gets on. One of the older kids sits next to the nerdy kid, who asks, hopefully, "You're my buddy, right?" The other kid turns to him and says, "I'm not your buddy. I will f—g end you. I will shove a broomstick up your a—. You're going to die in so much pain." Another day, the nerdy kid is repeatedly punched by a kid across the aisle, who then jabs him in the arm with the point of a pencil. These scenes from the recent documentary film *Bully* are repeated in some form or other thousands of times every day.

2 Statistics establish bullying as a major problem. Prepares ground for argument to follow.

2 According to some estimates, more than thirteen million school-age children, one in four students, are bullied each year in the United States. Nearly two-thirds of bullying behavior goes unreported, and of those who suffer, a disproportionate number are the most vulnerable of children, those with learning disabilities or those who dare to break social norms, such as LGBT [lesbian, gay, bisexual, and transgender] youth (Pacer's; Kosciw et al.). At one time, victims could find some relief at home or in the summer—away from school buses, corridors, and playgrounds where bullies lurk. The Internet has taken even that refuge away. Bullies now follow their victims online with hateful instant messages and postings on Facebook. Tyler Clementi, a Rutgers freshman, jumped off the George Washington Bridge after his roommate remotely recorded and posted online a private, consensual, same-sex encounter. In another horrifying case, a twelve-year-old girl jumped from an abandoned silo to her death after two classmates, twelve and fourteen, urged her to "drink bleach and die." Subsequently, one of the harassers posted a message on Facebook admitting, "Yes, I bullied Rebecca and she killed herself but IDGAF [I don't give a ----]." Bullying is a harsh and routine fact of life for school-age kids all over the country. What do we, as a society, propose to do about this? Are tough antibullying laws the answer?

Simmons 2

3 Over the last fifteen years, responding to bully-related suicides and the horrors of Columbine, state governments have passed two-part antibullying laws. The first part of the law makes it a crime to commit especially vicious behaviors associated with bullying; the second, educational part requires school districts to implement antibullying programs. On its face, a two-part program that punishes bullies and teaches behaviors designed to reduce bullying seems sensible. But is it effective? The answer, unfortunately, is no—at least for the moment. Laws that punish the worst offenders with prison time or juvenile detention may make parents and legislators feel as if they're getting tough. But, in fact, bullying remains widespread, and relatively few cases rise to the level of criminal behavior. At the same time, several key initiatives introduced in local school districts seem to be showing some promise in addressing this difficult problem. In the end, a blend of local, grassroots strategies and state-mandated programs and laws promises to be the best approach to dealing with bullying in American schools.

3 Thesis stated clearly in last sentence of paragraph.

4 The first state to adopt antibullying legislation was Georgia, in 1999, in response to the Columbine tragedy earlier that year when Dylan Klebold and Eric Harris killed a teacher and twelve classmates and left twenty-one wounded. The assault triggered a national outcry and a demand to understand what happened. Eva Porter, author of *Bully Nation*, argues that the media too quickly (and incorrectly) pegged the shooters as young men who'd been bullied and retaliated with lethal force. "The nation," she writes, "fearing a repeat of the tragedy—adopted a zero-tolerance attitude toward many normal, albeit painful, aspects of childhood behavior and development, and defined them as bullying."

4-5 A critique of state laws passed in wake of Columbine—laws could be flawed.

Critique sets expectation re: how responses to bullying can be improved.

5 Understandably, legislators wanted to prevent bullied kids from becoming Klebold- and Harris-like killers. In the eleven years following the attack, a span that included several highly publicized teen suicides associated with bullying, forty-nine state legislatures adopted 120 antibullying bills ("School"). (The fiftieth sate, Montana, adopted antibullying legislation in 2015.) The post-Columbine rush to action was so hasty that experts began wondering about the extent to which these legislative measures were "informed by research, not singular high profile incidents" like Columbine (Patchin) or prompted by "the perceived urgent need to intervene" (Smith et al.).

6 No one can doubt the good intentions of legislators who want to reduce bullying. Yet the laws they enacted may be too blunt an instrument to deal with the most common forms of bullying. Civil rights activists are concerned that anti-cyberbullying laws, in particular, could curtail freedom of speech (Bazelon, "Anti"). In 2011, responding to the bully-related suicide of fourteen-year-old Jamey Rodemeyer, the Make It Better Project argued that "[c]riminalizing bullying is not the answer" (Gay-Straight Alliance). Writing about the case, Daniel Villarreal explains why: "While some … bullying could even rise to the level of criminal harassment, criminalizing bullying overall could result in over-reaching laws that punish any student who 'causes emotional harm' or 'creates a hostile environment'—two vague, subjective criteria that could well qualify any online insult or cafeteria put down as a criminal offense." Villarreal could have been predicting the future. In 2012, the Missouri Supreme Court struck down part of an antibullying law (enacted after a bullying-related suicide) that violated free speech ("Mo. High Court"). LGBT youth are easy targets for bullies. When a

6–10 Five paragraphs devoted to problems with current antibullying laws.

6 Problem 1—Antibullying laws may violate free speech.

national organization that supports LGBT youth opposes antibullying laws intended to help them, the wisdom of such laws is put into serious question.

7–8 Problem 2—Antibullying laws misunderstand definition of bullying.

7 The second problem with antibullying legislation is that states do not generally follow "research-based definitions of bullying" (Sacco 3–8), even though most researchers have adopted a definition crafted by Dan Olweus, the Norwegian psychologist credited with conducting the first large-scale, controlled study of bullying in 1978. According to Olweus, a "person is bullied when he or she is exposed, repeatedly and over time, to negative actions on the part of one or more other persons, and he or she has difficulty defending himself or herself." Olweus introduced the element of an "imbalance of power" that results from bullies using their physical strength or social position to inflict emotional or physical harm ("Bullying").

8 "[A]t least ten different definitions" are being used in state laws, according to Emily Bazelon, author of *Sticks and Stones: Defeating the Culture of Bullying*—and, for her, that's a problem. A frequent commentator on the subject, Bazelon argues that "'bullying' isn't the same as garden-variety teasing or a two-way conflict. The word is being overused," she writes, "expanding, accordionlike, to encompass both appalling violence or harassment and a few mean words" ("Defining"). Antibullying researchers at Harvard and New York University note that teens take care to distinguish "drama"—the more typical verbal and emotional jousting among teenagers—from bullying. Drama can be more easily shrugged off as "so high school" and helps teens avoid thinking of themselves as hapless victims (Boyd and Marwick). Yet when school-based programs fail to realize that what some students dismiss as "drama" is really "bullying," the effectiveness of antibullying programs is in doubt as schools may miss a lot of hurtful behaviors. "To me this is an issue about reporting, underreporting specifically," says educational psychologist Philip Rodkin. "It's also about teenagers wanting to diminish the importance of some negative interaction, which sometimes is exactly the right thing to do, sometimes not at all the right thing" (Personal). At the same time, there is also the danger that too many harmless behaviors can be labeled as bullying. As one superintendent who is implementing the tough, new antibullying law in New Jersey says: "[S]tudents, or their parents, will find it easier to label minor squabbles bullying than to find ways to work out their differences" (Dolan, qtd. in Hu).

9–10 Problem 3—School districts reaching for one-size-fits-all solutions that don't work for every situation.

Argument supported with data from studies.

9 A third problem with antibullying laws—and perhaps the most serious—is that they require school districts to adopt antibullying programs of unproven value. Educators are rushing to comply with these laws, and they are adopting premade, one-size-fits-all programs that have not been shown to work. In an analysis of forty-two studies, researchers at Texas A&M International University evaluated the effectiveness of school-based antibullying efforts. The combined studies involved 34,713 elementary, middle, and high school students and "measure[d] some element of bullying behavior or aggression toward peers" (Ferguson et al. 407). The researchers concluded that "school-based anti-bullying programs are not practically effective in reducing bullying or violent behaviors in the schools" (410). Another review of sixteen antibullying studies involving 15,386 K–12 students concluded "that school bullying interventions may produce modest positive outcomes … [but] are more likely to influence knowledge, attitudes, and self-perceptions rather than actual bullying behaviors" (Merrell et al.). These are "disheartening" results (Swearer et al. 42; Rodkin).

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10 The world's most well-known antibullying program, the Olweus Bullying Prevention Program (OBPP), is a "whole-school" approach that "is used at the school, classroom, and individual levels and includes methods to reach out to parents and the community for involvement and support" (Hazelden). Backed by thirty-five years of research, Olweus has demonstrated the effectiveness of his approach in Norwegian schools. Schools worldwide, including many in the United States, have used OBPP. But researchers have been unable to show that the Olweus program is consistently effective outside Norway. A University of Washington study found that in American schools OBPP had "no overall effect" in preventing bullying (Bauer, Lozano, and Rivera). With their larger class sizes and racial, ethnic, and economic diversity, American schools may differ too greatly from Norwegian schools for OBPP to succeed. Or the Olweus program may need to be adapted in ways that have not yet been developed.

10 Even most well-known antibullying program doesn't work consistently across cultures.

11 To sum up, definitions in antibullying laws are inconsistent, the effectiveness of antibullying programs is unproven, and cyberbullying laws may threaten free speech. Still, bullying persists and we must respond. Each day, 160,000 children skip school because they don't want to confront their tormentors (National). Even bullies are at risk: "Nearly 60 percent of boys whom researchers classified as bullies in grades six through nine were convicted of at least one crime by the age of 24. Even more dramatic, 40 percent of them had three or more convictions by age 24" (Fox et al. 2). While bullying in childhood may not be the sole or even main *cause* of later criminal behavior (another possibility: there may be abuse in the home), these statistics provide all the more reason to intervene in the bully/victim relationship. Both victims and bullies require our help.

11 Transitional paragraph summarizes three problems with existing antibullying laws.

Paragraph pivots paper to next section: potential solutions.

12 Fresh approaches to the problem of bullying are needed, and Rodkin suggests a sensible, potentially fruitful direction: "The task ahead," he writes in a report presented at a 2011 White House Conference on Bullying Prevention, "is to better integrate bullies and the children they harass into the social fabric of the school and better inform educators of how to recognize, understand, and help guide children's relationships." Rodkin's recommendations favor an on-the-ground, local approach with individual students rather than a broad, mandated program. Mary Flannery of the National Education Association agrees that, ultimately, bullies and their victims must be engaged one on one:

> Many bullying programs apply a one-size-fits-all approach to problems on campus. They train teachers and support professionals to be watchful and consistent (often at a high price). But while it's critically important for every adult on campus to recognize and stop bullying, Colby College professor Lyn Mikel Brown, co-director of the nonprofit Hardy Girls, Healthy Women, believes most of these "top-down" programs look promising, but don't go far enough.
>
> "You really have to do this work with students," Brown says. "Those programs don't allow for the messy, on-the-ground work of educating kids. That's what has to happen and it looks different in different schools and communities."

12–14 Three paragraphs turn the paper toward local solutions (versus one-size statewide solutions).

13 When legislators criminalize bullying and require schools to implement antibullying programs, they take the kind of top-down approach that Mikel Brown believes doesn't go far enough. The researchers who conducted the comprehensive

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"Overview of State Anti-Bullying Legislation" agree: "legal responses and mandates can at their best only facilitate the harder non-legal work that schools must undertake to create a kinder, braver world" (Sacco 22).

14 One-sentence paragraph (a question) points readers to last section of paper—local solutions.

14 What might this "harder non-legal" work look like?

15–19 An argument for local, grassroots solutions to bullying. A clear difference from top-down statewide solutions.

Writer relies on expert opinions.

15 In *Sticks and Stones,* Bazelon advises an approach that involves children, parents, and educators working in local school- and child-specific settings. She advises bullied kids to confide in a sympathetic adult or a trusted group. Those being harassed online should contact Web sites to remove offensive content. To those who witness bullying, she suggests that dramatic action (stepping in to break up a fight) isn't necessary—though private, low-key action, like sending a supportive note, may be. Bazelon advises educators to conduct surveys to clearly define the problem of bullying at their school (309–19) and make "an ongoing annual, monthly, weekly, even daily commitment" to reducing bullying (317).

16 In their companion book to the widely praised documentary film *Bully* (2011), Lee Hirsch and Cynthia Lowen offer an action plan for fostering an inclusive and safe school environment. Their guidelines help parents to distinguish between appropriate and inappropriate use of the Internet and urge parents to discuss bullying openly, along with strategies for reporting bullying to school authorities and promoting responsible behavior. Hirsch and Lowen provide educators with checklists to help determine whether or not effective anti-cyberbullying policies are in place. They also encourage explicit conversations among teachers about the nature and extent of the bullying problem in their school, and they suggest specific prevention and intervention strategies (159–70).

17 Like Bazelon, Rodkin recommends surveying students about bullying to gain a clear sense of the problem. He also recommends identifying students with no friends and finding ways to involve them in student life, encouraging peer groups to reject bullying, evaluating antibullying programs, and promoting character education that teaches students to be "assertive rather than aggressive" (White House).

18 All of these approaches involve "messy, on-the-ground work" that employs local experts to respond to local problems. Until researchers determine that one or another top-down approach to the problem of bullying will succeed in a wide variety of school environments, it seems best to develop a school-by-school, grassroots approach. This kind of grassroots strategy could help integrate both bullied children and bullies into the broader school culture. Of course, there's no guarantee that the grassroots approach to combating bullying will work any better than top-down, comprehensive programs like OBPP. Leaving large social problems like bullying for locals to resolve may result in uneven and unacceptable solutions. A parallel case: Challenged by President Kennedy to rid this country of racist Jim Crow laws, many advocates of local "solutions" who had no interest in changing the status quo argued that people on the ground, in the local communities, know best. "Leave the problem to us," they said. "We'll fix it." They didn't, of course, and it took courageous action by people like Martin Luther King, Jr., and President Lyndon Johnson to force a comprehensive solution.

19 Counterargument raised and a concession made: We should continue checking effectiveness of local antibullying efforts.

19 Racism may still be with us, but not to the extent it was in the 1960s, and we have (at least in part) a top-down, national approach to thank for that. It's clear that local approaches to bullying can be inept. To take one example from the movie *Bully*,

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a principal tries making a victim shake hands with his tormentor as if that, alone, would end the problem. It didn't. So researchers must evaluate the effectiveness of local solutions as rigorously as they do top-down solutions. If evaluations show that local solutions aren't effective, we should expect that community leaders, parents, and teachers will search for solutions that work. To the extent that they don't and bullying persists, state and federal authorities should step in with their own solutions, but only after their top-down, one-size-fits-all programs can be shown to work.

20 We should be pushing for antibullying programs that blend the top-down approach of state-mandated programs and the grassroots approach that tailors programs to the needs of specific communities. The state has the right to insist that every child be safe in a school environment and be free from the threat of bullying. At the same time, local teachers, parents, and administrators are often in the best position to know what approaches will show the greatest benefits in their own communities. Such a blended approach could well yield the best set of solutions to the complex and pervasive problem of bullying. And then, perhaps, the nerdy kid could ride the school bus in peace—or even in friendly conversation with his former tormentors.

20 Conclusion—leaves room for blended approach—bottom-up plus top-down.

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The Strategy of the Argument Synthesis

In his argument synthesis, Peter Simmons attempts to support a *claim*—one that favors blending local and statewide solutions to combat the problem of bullying—by offering *support* in the form of facts: statistics establishing bullying as an ongoing problem despite antibullying laws, news of a court's rejecting elements of an antibullying law, and studies concluding that antibullying programs are largely ineffective. Simmons also supports his claim with expert opinions like those of Bazelon, Rodkin, and the authors of a Harvard study who state that antibullying laws can "only facilitate the harder non-legal work" of reducing bullying. However, recall that Simmons's claim rests on an *assumption* about the value of local solutions to broad problems when systemwide solutions (that is, laws) aren't working. His ability to change our minds about bullying depends partially on the extent to which we, as readers, share his assumption. Readers who distrust local solutions may not be swayed. (See our discussion of assumptions in Chapter 5, pp. 86–89.)

Recall that an assumption, sometimes called a warrant, is a generalization or principle about how the world works or should work—a fundamental statement of belief about facts or values. Assumptions are often deeply rooted in people's psyches, sometimes derived from lifelong experiences and observations and, yes, prejudices. Assumptions are not easily changed, even by the most logical of arguments. Simmons makes explicit his assumption about the limitations of laws and the usefulness of local solutions. Though you are under no obligation to do so, stating assumptions explicitly will clarify your arguments to readers.

Another approach to an argument synthesis based on the same and additional sources could argue that antibullying laws are not yet working in the intended manner and should be changed. Such a position could draw on exactly the same support, both facts and expert opinion, that Simmons uses to demonstrate the inadequacies of current laws. But instead of making a move to local solutions, the writer could assert that a problem as widespread and significant as bullying must be addressed at the state and federal levels. Whatever your approach to a subject, in first *critically examining* the various sources and then *synthesizing* them to support a position about which you feel strongly, you are engaging in the kind of critical thinking that is essential to success in a good deal of academic and professional work.

Developing and Organizing the Support for your Arguments

7.3 Use various strategies to develop and support your arguments.

Experienced writers seem to have an intuitive sense of how to develop and present supporting evidence for their claims; this sense is developed through much hard work and practice. Less experienced writers wonder what to say first and, having decided on that, wonder what to say next. There is no single method of presentation, but the techniques of even the most experienced writers often boil down to a few tried and tested arrangements.

As we've seen in the model synthesis in this chapter, the key to devising effective arguments is to find and use those kinds of support that strengthen your claim most persuasively. Some writers categorize support into two broad types: *evidence* and *motivational appeals.* Evidence, in the form of facts, statistics, and expert testimony, helps make the appeal to reason. Motivational appeals—appeals grounded in emotion and based on the authority of the speaker—are employed to get people to change their minds, to agree with the writer or speaker, or to decide on a plan of activity.

Following are the most common strategies for using and organizing support for your claims.

Summarize, Paraphrase, and Quote Supporting Evidence

In most of the papers and reports you will write in college and in the professional world, evidence and motivational appeals derive from your summarizing, paraphrasing, and quoting of material in sources that either have been provided to you or that you have independently researched. For example, in paragraph 12 of the model argument synthesis, Simmons uses a long quotation from a writer at the National Education Association (NEA) to introduce three key terms into the synthesis: "one-size-fits-all," "top-down," and "on-the-ground." You will find a number of brief quotations woven into sentences throughout. In addition, you will find summaries and paraphrases. In each case, Simmons is careful to cite the source.See Chapter 4 for strategies to help you weave summaries, paraphrases, and quotations into your sentences.

Provide Various Types of Evidence and Motivational Appeals

Keep in mind that you can use appeals to both reason and emotion. The appeal to reason is based on evidence that consists of a combination of *facts* and *expert testimony.* For example, the sources by the Pacer organization and Kosciw (in paragraph 2) and by Fox and the National Education Association (in paragraph 11) factually establish the extent of bullying in America. Simmons draws on expert testimony by incorporating the opinions of Bazelon and others who argue that current antibullying programs are not working as intended.

Use Climactic Order

Climactic order is the arrangement of examples or evidence in order of anticipated impact on the reader, least to greatest. Organize by climactic order when you plan to offer a number of categories or elements of support for your claim. Recognize that some elements will be more important—and likely more persuasive—than others. The basic principle here is that you should *save the most important evidence for the end* because whatever you say last is what readers are likely to remember best. A secondary principle is that whatever you say first is what they are *next* most likely to remember. Therefore, when you have several reasons to offer in support of your claim, an effective argument strategy is to present the second most important, then one or more additional reasons, and finally the most important reason. Paragraphs 6–10 of the model synthesis do exactly this.

Use Logical or Conventional Order

Using a logical or conventional order involves using as a template a preestablished pattern or plan for arguing your case.

- One common pattern is describing or arguing a *problem/solution.* The model synthesis uses this pattern: You begin with an introduction in which you typically define the problem (perhaps explaining its origins), offer one or more solutions, then conclude. In the case of the model synthesis, paragraphs 1–3 introduce the problem, paragraphs 4–10 establish shortcomings of current solutions, and (after a transition) paragraphs 12–19 suggest solutions.
- Another common pattern presents *two sides of a controversy.* Using this pattern, you introduce the controversy and (in an argument synthesis) your own point of view or claim; then you explain the other side's arguments, providing reasons why your point of view should prevail.
- A third common pattern is *comparison and contrast.* This pattern—involving your close consideration of similarities and differences—is so important that we will discuss it separately in the next section.

The order in which you present elements of an argument is sometimes dictated by the conventions of the discipline in which you are writing. For example, lab reports and experiments in the sciences and social sciences often follow this pattern: *opening* or *introduction, methods and materials* (of the experiment or study), *results, discussion.* Legal arguments often follow the so-called IRAC format: *issue, rule, application, conclusion.*

Present and Respond to Counterarguments

When developing arguments on a controversial topic, you can effectively use *counterargument* to help support your claims. When you use counterargument, you present an argument *against* your claim and then show that this argument is weak or flawed. The advantage of this technique is that you demonstrate that you are aware of the other side of the argument and that you are prepared to answer it.

Here is how a counterargument is typically developed:

I. Introduction and claim
II. Main opposing argument
III. Refutation of opposing argument
IV. Main positive argument

Use Concession

Concession is a variation of counterargument. As in counterargument, you present an opposing viewpoint, but instead of dismissing that position, you *concede* that it has some validity and even some appeal, although your own position is the more reasonable one. This concession shows that you are fair-minded and not blind to the virtues of opposing arguments. In the model synthesis, Simmons acknowledges that local solutions to the problem of bullying may rely too heavily on folk wisdom that may be inept or just plain wrong. Bullies and victims, for instance, cannot just shake hands and make the problem go away. Simmons recommends evaluating local solutions rigorously; he also acknowledges that state and federal, top-down solutions may have a role to play—but only after these programs have been proven effective. In his conclusion, he moves to a compromise position that "blends" top-down and grassroots, local solutions.

Given the structure of his argument, Simmons held off making his concession until the end of his paper. Here is an outline for a more typical concession argument:

I. Introduction and claim
II. Important opposing argument
III. Concession that this argument has some validity
IV. Positive argument(s) that acknowledge the counterargument and (possibly) incorporate some elements of it

Sometimes, when you are developing a counterargument or concession argument, you may become convinced of the validity of the opposing point of view and change your own views. Don't be afraid of this happening. Writing is a tool for learning. To change your mind because of new evidence is a sign of flexibility and maturity, and your writing can only be the better for it.

Developing and Organizing Support for Your Arguments

- ***Summarize, paraphrase, and quote supporting evidence.*** Draw on the facts, ideas, and language in your sources.
- ***Provide various types of evidence and motivational appeal.***
- ***Use climactic order.*** Save the most important evidence in support of your argument for the *end*, where it will have the most impact. Use the next most important evidence *first*.
- ***Use logical or conventional order.*** Use a form of organization appropriate to the topic, such as problem/solution; sides of a controversy; comparison/contrast; or a form of organization appropriate to the academic or professional discipline, such as a report of an experiment or a business plan.
- ***Present and respond to counterarguments.*** Anticipate and evaluate arguments against your position.
- ***Use concession.*** Concede that one or more arguments against your position have some validity; reassert, nonetheless, that your argument is the stronger one.

Avoid Common Fallacies in Developing and Using Support

In Chapter 5, in the section on critical reading, we considered criteria that, as a reader, you may use for evaluating informative and persuasive writing (see pp. 76–78). We discussed how you can assess the accuracy, the significance, and the author's interpretation of the information presented. We also considered the importance in good argument of clearly defined key terms and the pitfalls of emotionally loaded language. Finally, we saw how to recognize such logical fallacies as either/or reasoning, faulty cause-and-effect reasoning, and hasty generalization. As a writer, no less than as a critical reader, you need to be aware of these common problems and how to avoid them.

Be aware, also, of your responsibility to cite source materials appropriately. When you quote a source, double- and triple-check that you have done so accurately. When you summarize or paraphrase, take care to use your own language and sentence structures (though you can, of course, also quote within these forms). When you refer to someone else's idea—even if you are not quoting, summarizing, or paraphrasing it—give the source credit. By being ethical about the use of sources, you uphold the highest standards of the academic community.

The Comparison-and-Contrast Synthesis

7.4 Use comparison and contrast, where appropriate, to develop your argument synthesis.

A particularly important type of argument synthesis is built on patterns of comparison and contrast. Techniques of comparison and contrast enable you to examine two subjects (or sources) in terms of one another. When you compare, you consider *similarities.* When you contrast, you consider *differences.* By comparing and contrasting, you perform a close, multi-part analysis that often suggests subtleties that otherwise might not have come to your (or your reader's) attention.

To organize a comparison-and-contrast argument, you must carefully read sources in order to discover *significant criteria for analysis.* A *criterion* is a specific point to which both of your authors refer and about which they may agree or disagree. For example, in a comparative report on compact cars, criteria for *comparison and contrast* might be road handling, fuel economy, and comfort of ride. The best criteria are those that allow you not only to account for obvious similarities and differences—those concerning the main aspects of your sources or subjects—but also to plumb deeper, exploring subtle yet significant comparisons and contrasts among details or subcomponents, which you can then relate to your overall thesis.

Note that comparison and contrast is frequently not an end in itself but serves some larger purpose. Thus, a comparison-and-contrast synthesis may be a component of a paper that is essentially a critique, an explanatory synthesis, an argument synthesis, or an analysis.

Organizing Comparison-and-Contrast Syntheses

Two basic approaches to organizing a comparison-and-contrast synthesis are organization by *source or subject* and organization by *criteria.*

ORGANIZING BY SOURCE OR SUBJECT You can organize a comparative synthesis by first summarizing each of your sources or subjects and then discussing the significant similarities and differences between them. Having read the summaries and become familiar with the distinguishing features of each source, your readers will most likely be able to appreciate the more obvious similarities and differences. In the discussion, your task is to consider both the obvious and the subtle comparisons and contrasts, focusing on the most significant—that is, on those that most clearly support your thesis.

Organization by source or subject works best with passages that can be briefly summarized. If the summary of your source or subject becomes too long, your readers might have forgotten the points you made in the first summary when they are reading the second. A comparison-and-contrast synthesis organized by source or subject might proceed like this:

I. Introduce the paper; lead to thesis.

II. Summarize the source or the subject A by discussing its significant features.

III. Summarize the source or the subject B by discussing its significant features.

IV. Discuss in a paragraph (or two) the significant points of comparison and contrast between sources or subjects A and B. Alternatively, begin the comparison and contrast in Section III as you introduce source or subject B.

V. Conclude with a paragraph in which you summarize your points and perhaps raise and respond to pertinent questions.

ORGANIZING BY CRITERIA Instead of summarizing entire sources one at a time with the intention of comparing them later, you could discuss two sources simultaneously, examining the views of each author point by point (criterion by criterion), comparing and contrasting these views in the process. The criterion approach is best used when you have a number of points to discuss or when passages or subjects are long and/or complex. A comparison-and-contrast synthesis organized by criteria might look like this:

I. Introduce the paper; lead to thesis.

II. Criterion 1

- **A.** Discuss what author 1 says about this point. Or present situation 1 in light of this point.
- **B.** Discuss what author 2 says about this point, comparing and contrasting author 2's treatment of the point with that of author 1. Or present situation 2 in light of this point and explain its differences from situation 1.

III. Criterion 2

- **A.** Discuss what author 1 says about this point. Or present situation 1 in light of this point.
- **B.** Discuss what author 2 says about this point, comparing and contrasting author 2's treatment of the point with that of author 1. Or present situation 2 in light of this point and explain its differences from situation 1.

And so on, proceeding criterion by criterion until you have completed your discussion. Be sure to arrange criteria with a clear method. Knowing how the discussion of one criterion leads to the next ensures smooth transitions throughout your paper. End by summarizing your key points and perhaps raising and responding to pertinent questions.

However you organize your comparison-and-contrast synthesis, keep in mind that comparing and contrasting are not ends in themselves. Your discussion should point to a conclusion, an answer to the question "So what—why bother to compare and contrast in the first place?" If your discussion is part of a larger synthesis, point to and support the larger claim. If you write a stand-alone comparison-and-contrast synthesis, though, you must, by the final paragraph, answer the "Why bother?" question. The model comparison-and-contrast synthesis below does exactly this.

Exercise 7.6

Comparing and Contrasting

Over the course of two days, go online to the Web sites of three daily news outlets and follow how each, in its news pages, treats a particular story of national or international significance. One news outlet should be a local city outlet—perhaps the Web site of your hometown newspaper. (*Note:* The reporting should originate not with a syndicated newswire, like the Associated Press, but with the outlet's own staff writer.) One news outlet should have a national readership, like the *Wall Street Journal* or the *New York Times*. The third outlet should be any news source of your choice (and it needn't exist in print).

Develop a comparison-and-contrast synthesis that leads to an argument about the news coverage. In making notes toward such a synthesis, you'll want to do the following:

- Define the news story: the who, what, when, where, and how of the issue.
- Develop at least three criteria with which to compare and contrast news coverage. Possible criteria: Do the outlets report the same facts? Do the outlets color these facts with an editorial slant? Do the outlets agree on the significance of the issue?
- As you take notes, point to specific passages.
- Review your notes. What patterns emerge? Can you draw any conclusions? Write a thesis that reflects your assessment.
- Using your notes and guided by your thesis, write a comparison-and-contrast-paper.
- Be sure that your paper answers the "So what?" question. What is the point of your synthesis?

A Case for Comparison and Contrast: World War I and World War II

Let's see how the principles of comparison and contrast can be applied to a response to a final examination question in a course on modern history. Imagine that, having attended classes involving lecture and discussion and having read excerpts from John Keegan's *The First World War* and Tony Judt's *Postwar: A History of Europe Since 1945*, you were presented with this examination question:

> Based on your reading to date, compare and contrast the two world wars in light of any three or four criteria you think significant. Once you have called careful attention to both similarities and differences, conclude with an observation. What have you learned? What can your comparative analysis teach us?

COMPARISON AND CONTRAST ORGANIZED BY CRITERIA Here is a plan for a response, essentially a comparison-and-contrast synthesis, organized by *criteria* and beginning with the thesis—and the *claim.*

> *Thesis:* In terms of the impact on cities and civilian populations, the military aspects of the two wars in Europe, and their aftermaths, the differences between World War I and World War II considerably outweigh the similarities.

I. Introduction. World Wars I and II were the most devastating conflicts in history. *Thesis*

II. Summary of main similarities: causes, countries involved, battlegrounds, global scope

III. First major difference: Physical impact of war
  A. WWI was fought mainly in rural battlegrounds.
  B. In WWII cities were destroyed.

IV. Second major difference: effect on civilians
  A. WWI fighting primarily involved soldiers.
  B. WWII involved not only military but also massive noncombatant casualties: Civilian populations were displaced, forced into slave labor, and exterminated.

V. Third major difference: combat operations
  A. WWI, in its long middle phase, was characterized by trench warfare.
  B. During the middle phase of WWII, there was no major military action in Nazi-occupied Western Europe.

VI. Fourth major difference: aftermath
  A. Harsh war terms imposed on defeated Germany contributed significantly to the rise of Hitler and WWII.
  B. Victorious allies helped rebuild West Germany after WWII but allowed Soviets to take over Eastern Europe.

VII. Conclusion. Since the end of World War II, wars have been far smaller in scope and destructiveness, and warfare has expanded to involve stateless combatants committed to acts of terror.

The following model exam response, a comparison-and-contrast synthesis organized by criteria, is written according to the preceding plan. (Thesis and topic sentences are highlighted.)

Model Exam Response

1 World War I (1914–1918) and World War II (1939–1945) were the most catastrophic and destructive conflicts in human history. For those who believed in the steady but inevitable progress of civilization, it was impossible to imagine that two wars in the first half of the twentieth century could reach levels of barbarity and horror that would outstrip those of any previous era. Historians estimate that more than 22 million people, soldiers and civilians, died in World War I; they estimate that between 40 and 50 million died in World War II. In many ways, these two conflicts were similar: They were fought on many of the same European and Russian battlegrounds, with more or less the same countries on opposing sides. Even many of the same people were involved: Winston Churchill and Adolf Hitler figured in both wars. And the main outcome in each case was the same: total defeat for Germany. However, in terms of the impact on cities and civilian populations, the military aspects of the two wars in Europe, and their aftermaths, the differences between World Wars I and II considerably outweigh the similarities.

1: Opens with comment on unprecedented level of destruction in both wars. Similarities between wars. Thesis, last sentence of the paragraph, summarizes key differences and suggests structure of paper to follow.

2 The similarities are clear enough. In fact, many historians regard World War II as a continuation—after an intermission of about twenty years—of World War I. One of the main causes of each war was Germany's dissatisfaction and frustration with what it perceived as its diminished place in the world. Hitler launched World

2: Key similarities between world wars.

War II partly out of revenge for Germany's humiliating defeat in World War I. In each conflict Germany and its allies (the Central Powers in WWI, the Axis in WWII) went to war against France, Great Britain, Russia (the Soviet Union in WWII), and, eventually, the United States. Though neither conflict included literally the entire world, the participation of countries not only in Europe but also in the Middle East, the Far East, and the Western hemisphere made both conflicts global in scope. And, as indicated earlier, the number of casualties in each war was unprecedented in history, partly because modern technology had enabled the creation of deadlier weapons—including tanks, heavy artillery, and aircraft—than had ever been used in warfare.

3: First criterion for contrast—both wars discussed. Difference.

3 Despite these similarities, the differences between the two world wars are considerably more significant. One of the most noticeable differences was the physical impact of each war in Europe and in Russia—the western and eastern fronts. The physical destruction of World War I was confined largely to the battlefield. The combat took place almost entirely in the rural areas of Europe and Russia. No major cities were destroyed in the first war; cathedrals, museums, government buildings, urban houses, and apartments were left untouched. During the second war, in contrast, almost no city or town of any size emerged unscathed. Rotterdam, Warsaw, London, Minsk, and—when the Allies began their counterattack—almost every major city in Germany and Japan, including Berlin and Tokyo, were flattened. Of course, the physical devastation of the cities created millions of refugees, a phenomenon never experienced in World War I.

4: Second criterion for contrast—both wars discussed. Differences.

4 The fact that World War II was fought in the cities as well as on the battlefields meant that the second war had a much greater impact on civilians than did the first war. With few exceptions, the civilians in Europe during WWI were not driven from their homes, forced into slave labor, starved, tortured, or systematically exterminated. But all of these crimes happened routinely during WWII. The Nazi occupation of Europe meant that the civilian populations of France, Belgium, Norway, the Netherlands, and other conquered lands, along with the industries, railroads, and farms of these countries, were put into the service of the Third Reich. Millions of people from conquered Europe—those who were not sent directly to the death camps—were forcibly transported to Germany and put to work in support of the war effort.

5: Third criterion for contrast—both wars discussed. Differences.

5 During both wars, the Germans were fighting on two fronts—the western front in Europe and the eastern front in Russia. But while both wars were characterized by intense military activity during their initial and final phases, the middle and longest phases—at least in Europe—differed considerably. The middle phase of the First World War was characterized by trench warfare, a relatively static form of military activity in which fronts seldom moved, or moved only a few hundred yards at a time, even after major battles. By contrast, in the years between the German conquest of most of Europe by early 1941 and the Allied invasion of Normandy in mid-1944, there was no major fighting in Nazi-occupied Western Europe. (The land battles then shifted to North Africa and the Soviet Union.)

6: Fourth and final criterion for contrast—both wars discussed. Difference.

6 And, of course, the two world wars differed in their aftermaths. The most significant consequence of World War I was that the humiliating and costly war reparations imposed on the defeated Germany by the terms of the 1919 Treaty of

Versailles made possible the rise of Hitler and thus led directly to World War II. In contrast, after the end of the Second World War in 1945, the Allies helped rebuild West Germany (the portion of a divided Germany that it controlled), transformed the new country into a democracy, and helped make it one of the most thriving economies of the world. But perhaps the most significant difference in the aftermath of each war involved Russia. That country, in a considerably weakened state, pulled out of World War I a year before hostilities ended so that it could consolidate its 1917 Revolution. Russia then withdrew into itself and took no significant part in European affairs until the Nazi invasion of the Soviet Union in 1941. In contrast, it was the Red Army in World War II that was most responsible for the crushing defeat of Germany. In recognition of its efforts and of its enormous sacrifices, the Allies allowed the Soviet Union to take control of the countries of Eastern Europe after the war, leading to fifty years of totalitarian rule—and the Cold War.

7 While the two world wars that devastated much of Europe were similar in that, at least according to some historians, they were the same war interrupted by two decades and similar in that combatants killed more efficiently than armies throughout history ever had, the differences between the wars were significant. In terms of the physical impact of the fighting, the impact on civilians, the action on the battlefield at mid-war, and the aftermaths, World Wars I and II differed in ways that matter to us decades later. The wars in Iraq, Afghanistan, and Bosnia have involved an alliance of nations pitted against single nations, but we have not seen, since the two world wars, grand alliances moving vast armies across continents. The destruction implied by such action is almost unthinkable today. Warfare is changing, and "stateless" combatants like Hamas and Al Qaeda wreak destruction of their own. But we may never again see, one hopes, the devastation that follows when multiple nations on opposing sides of a conflict throw millions of soldiers—and civilians—into harm's way.

7: Summary of key similarities and differences. Ends with lessons learned and applied to more recent wars.

Conclusion answers the "So what?" question.

The Strategy of the Exam Response

The general strategy of this argument is an organization by *criteria*. The writer argues that although the two world wars exhibited some similarities, the differences between the two conflicts were more significant. Note that the writer's thesis doesn't merely state these significant differences; it also presents them in a way that anticipates both the content and the structure of the paper to follow.

In argument terms, the *claim* the writer makes is the conclusion that the two global conflicts were significantly different, if superficially similar. The *assumption* is that key differences and similarities are clarified by employing specific criteria that make possible a careful study of both wars. The *support* comes in the form of historical facts regarding the levels of casualties, the scope of destruction, the theaters of conflict, and the events following the conclusions of the wars.

Summary of Synthesis Chapters

7.5 Use your purpose to guide your choice of writing an explanatory synthesis, argument synthesis, or comparison-and-contrast synthesis.

In this chapter and in Chapter 6, we've considered three main types of synthesis: the *explanatory synthesis*, the *argument synthesis*, and the *comparison-and-contrast synthesis*. Although for ease of comprehension we've placed these in separate categories, the types are not mutually exclusive. Argument syntheses often include extended sections of explanation and/or comparison and contrast. Explanations commonly include sections of comparison and contrast. Which type of synthesis you choose depends on your *purpose* and the method that you decide is best suited to achieve this purpose.

If your main purpose is to help your audience understand a particular subject, and in particular to help them understand the essential elements or significance of this subject, then you will be composing an explanatory synthesis. If your main purpose, on the other hand, is to persuade your audience to agree with your viewpoint on a subject, to change their minds, or to decide on a particular course of action, then you will be composing an argument synthesis. If your purpose is to clarify similarities or differences, you will compose a comparison-and-contrast synthesis—which may be a paper in itself (either an argument or an explanation) or part of a larger paper (again, either an argument or explanation).

In planning and drafting these syntheses, you can draw on a variety of strategies: supporting your claims by summarizing, paraphrasing, and quoting from your sources; using appeals to *logos*, *pathos*, and *ethos*; and choosing from among strategies such as climactic or conventional order, counterargument, and concession. Choose the approach that will best help you to achieve your purpose.

Looking Ahead

The strategies of synthesis you've practiced in these two chapters will be discussed again in Chapter 10, where we'll consider a category of synthesis commonly known as the research paper. The research paper involves all of the skills in preparing summary, critique, and synthesis that we've discussed thus far, the main difference being that you won't find the sources needed to write the paper in this particular text. We'll discuss approaches to locating and critically evaluating sources, selecting material from among them to provide support for your claims, and documenting your sources in standard professional formats.

We turn, now, to analysis, which is another important strategy for academic thinking and writing. Chapter 8, "Analysis," will introduce you to a strategy that, like synthesis, draws upon all the strategies you've been practicing as you move through *A Sequence for Academic Writing*.

Writing Assignment: Ethical Dilemmas in Everyday Life

Now we'll give you an opportunity to practice your skills in planning and writing an argument. See Chapter 11, pages 241–271, where we provide a variety of sources on the ways "thought experiments" in ethics—scenarios that ask you to decide on courses of right action (and to justify your decisions)—can serve as a guide for facing everyday ethical dilemmas. When there is no clear right and wrong choice, how do you decide? To what principles can you turn for guidance? Your task in the synthesis will be to wrestle with ethical dilemmas and to argue for a clear course of action based on principles you make plain to your readers.

Note that your instructor may want you to complete related assignments in Chapter 11, which ask you to write summaries, explanations, and critiques in preparation for writing a larger argument.

Chapter 8
Analysis

Learning Objectives

After completing this chapter, you will be able to:

8.1 Understand analysis as the study of something using an analytical tool.

8.2 Establish a principle or definition as the basis for an analysis.

8.3 Write an analysis.

What is an Analysis?

8.1 Understand analysis as the study of something using an analytical tool.

An *analysis* is a type of argument in which you study the parts of something—a work of art, group of people, a virus, bird migrations, a political rally, a star, *anything*—in order to deepen your understanding. An analysis can form part of a larger paper or be a paper entirely to itself. Aside from choosing a specific topic to study in an analysis, you'll choose a tool to help examine parts of that topic.

Your choice of tool depends on what you want to learn. Say you want to study the human hand. If you are an orthopedic surgeon, you might use an X-ray that enabled you see the bones of a patient. If you are a choreographer and want to study the expressive quality of a ballerina's hands, you might use a camera to capture a dancer's hands in motion. When you change the tool for analysis, you change what you see.

Ideas—principles and definitions—can serve as analytical tools equally as well as physical tools like X-ray machines. Consider two analyses of *The Wizard of Oz*, each using a different idea as an analytical tool:

> At the dawn of adolescence, the very time she should start to distance herself from Aunt Em and Uncle Henry, the surrogate parents who raised her on their Kansas farm, Dorothy Gale experiences a hurtful reawakening of her fear that these loved ones will be rudely ripped from her, especially her Aunt (Em—M for Mother!).[1]

> [*The Wizard of Oz*] was originally written as a political allegory about grass-roots protest. It may seem harder to believe than Emerald City, but the Tin Woodsman is the industrial worker, the Scarecrow [is] the struggling farmer, and the Wizard is the president, who is powerful only as long as he succeeds in deceiving the people.[2]

Is *The Wizard of Oz* the story of a girl's psychological development, or is it a story about politics? The answer is *both.* In the first example, the psychiatrist Harvey Greenberg applies the principles of his profession as his analytical tool and, not surprisingly, sees *The Wizard of Oz* in psychological terms. In the second example, a newspaper reporter uses the political theories of Karl Marx as an analytical tool and, again not surprisingly, discovers a story about politics.

Your choice of an analytical tool both creates and limits what you can see in an analysis. An X-ray machine is very good at helping you to study bones. It wouldn't help you to identify skin rashes, however. The same is true of analytical ideas, definitions, or theories. The psychological theories of Sigmund Freud would help you understand psychological relationships among characters in books and movies but would do little to help you appreciate economic relationships among these same characters. Those conducting analyses, therefore, choose tools appropriate to their topic of study, aware that however powerful any one tool may be, it will limit what can be seen.

[1]Harvey Greenberg, *The Movies on Your Mind* (New York: Dutton, 1975).
[2]Peter Dreier, "Oz Was Almost Reality." *Cleveland Plain Dealer* 3 Sept. 1989.

Whatever tool you choose, the successful analysis should illuminate—both for yourself and your readers—the object being studied. A successful analysis will yield fresh, even surprising insights. Without Greenberg's analysis, for instance, we might never have considered Dorothy's adventures in Oz as a psychological journey. This is precisely the power of an analysis: its ability to reveal objects or events in ways we would not otherwise have considered.

Let's consider a more extended example of analysis from the *Journal of Behavioral Addiction*. In this case, the authors use a psychological principle to examine cell-phone use.

from The Invisible Addiction: Cell-Phone Activities and Addiction among Male and Female College Students

—James A. Roberts, Luc Honore Petnji Yaya, and Chris Manolis

Establishes a broad definition for use as an analytical tool. Definition is referenced, giving readers confidence that the tool is a reasonable one.

Narrows analytical tool by defining "behavioral addiction."

Further narrows the analytical tool to "technological addiction."

Applies analytical tool, a definition of "technological addiction," to illuminate the process by which cell-phone use can turn addictive.

Although the concept of addiction has multiple definitions, traditionally it has been described as the repeated use of a substance despite the negative consequences suffered by the addicted individual (Alavi et al., 2012). More recently, the notion of addiction has been generalized to include behaviors like gambling, sex, exercise, eating, Internet, and cell-phone use (Griffiths, 1995; Roberts & Pirog, 2012). Any entity that can produce a pleasurable sensation has the potential of becoming addictive (Alavi et al., 2012). Similar to substance addiction, behavioral addiction is best understood as a habitual drive or compulsion to continue to repeat a behavior despite its negative impact on one's well-being (Roberts & Pirog, 2012). Any oft-repeated behaviors that trigger "specific reward effects through biochemical processes in the body do have an addictive potential" (Alavi et al., 2012, p. 292). Loss of control over the behavior is an essential element of any addiction.

Griffiths (1999, 2000) sees technological addictions as a subset of behavioral addiction and defines them as "non-chemical (behavioral) addictions that involve human-machine interaction" (Griffiths, 2000, p. 211). As alluded to above, cell-phone addiction appears to be the latest technological addiction to emerge. As the cost of cell-phone use drops and the functionality of these devices expands, cell phones have ensconced themselves into the everyday lives of consumers around the globe. . . .

In the case of cell phones, . . . an addiction may begin when an initially benign behavior with little or no harmful consequences—such as owning a cell phone for safety purposes—begins to evoke negative consequences and the user becomes increasingly dependent upon its use. Owning a cell phone for purposes of safety, for instance, eventually becomes secondary to sending and receiving text messages or visiting online social networking sites; eventually, the cell-phone user may engage in increasingly dangerous behaviors such as texting while driving. Ultimately, the cell-phone user reaches a "tipping point" where he [or] she can no longer control [his or her] cell-phone use or the negative consequences from its overuse. The process of addiction suggests a distinction between liking and wanting.

> In other words, the cell-phone user goes from liking his [or] her cell phone to wanting it. This switch from liking to wanting is referred to by Grover et al. (2011) as the "inflection point." This tipping point signals a shift from a previously benign everyday behavior that may have been pleasurable with few harmful consequences to an addictive behavior where wanting (physically and/or psychologically) has replaced liking as the motivating factor behind the behavior.

Before characterizing cell-phone use as a "technological" addiction, James Roberts and his co-authors define both "addiction" and, more specifically, "behavioral addiction." This definition is a well-suited tool for studying cell-phone use because it gives us a glimpse of the process by which a behavior can turn addictive.

Now consider a different analytical tool equally well suited to studying cell phones. In this next example, the tool is a principle, an idea stated directly in the first line. Again, notice how a change in analytical tool changes what can be seen and studied. In this case, the writer is a professor of science and technology interested in what the spread of a technology through a culture can teach us about that culture.

What's in a Phone?

Jon Agar

You can tell what a culture values by what it has in its bags and pockets. Keys, combs and money tell us that property, personal appearance or trade matter. But when the object is expensive, a more significant investment has been made. In our day the mobile or cell phone is just such an object. But what of the past? In the seventeenth century, the pocketwatch was a rarity, so much so that only the best horological collections of today can boast an example. But if, in the following century, you had entered a bustling London coffee shop or Parisian salon, then you might well have spied a pocketwatch amongst the breeches and frock-coats. The personal watch was baroque high technology, a compact complex device that only the most skillful artisans could design and build. Their proud owners bought not only the ability to tell the time, but also bought into particular values: Telling the time mattered to the entrepreneurs and factory owners who were busy. As commercial and industrial economies began to roar, busy-ness conveyed business—and its symbol was the pocketwatch.

Defines analytical tool: a principle. Implied question: "How does content of pockets reveal cultural priorities?" Analysis will answer.

Applies principle to examine an earlier technology, the pocketwatch.

At first sight it might seem as if owning a pocketwatch gave freedom from the town clock and the church bell: making the individual independent of political and religious authorities. Certainly, possession granted the owner powers over the watchless: power to say when the working day might begin and finish, for example. While it might have felt like liberation from tradition, the owner was caught anew in a more modern rationality, for, despite the fact that the pocketwatch gave the owner personal access to exact time, accuracy depended on being part of a system. If the owner was unwilling personally to make regular astronomical observations, the pocketwatch would still have to be reset every now and then from the town clock. With the establishment of time zones, the

Extended example establishes power of analytical tool.

Analysis turns from pocketwatches to newer technology, cell phones.

Turns the principle into questions: Each question will guide part of the analysis that follows.

system within which a pocketwatch displayed the "right" time spread over the entire globe. Seven o'clock in the morning in New York was exactly twelve noon in London, which was exactly eight o'clock in the evening in Shanghai. What is more, the owner of a pocketwatch could travel all day—could be mobile—and still always know what time it was. Such certainty was only possible because an immense amount of effort had put an infrastructure in place, and agreements had been hammered out about how the system should work. Only in societies where time meant money would this effort have been worth it.

Pocketwatches provide the closest historical parallel to the remarkable rise of the mobile cellular phone in our own times. Pocketwatches, for example, started as expensive status symbols, but by the twentieth century most people in the West possessed one. When cellular phones were first marketed they cost the equivalent of a small car—and you needed the car to transport them since they were so bulky. But in 2002, global subscriptions to cellular phone services passed one billion. In countries such as Iceland, Finland, Italy, and the UK, over three-quarters of the population owned a phone, with other countries in Western Europe, the Americas, and the Pacific Rim not far behind. Like the pocketwatch, the phone had made the leap from being a technology of the home or street to being a much rarer creature indeed: something carried everywhere, on the person, by anybody. So, if pocketwatches resonated to the rhythm of industrial capitalism, what values do the ringtones of the mobile phone signify? What is it about humanity in the twenty-first-century world that has created a desire to be in constant touch?

Selecting and Using an Analytical Tool

8.2 Establish a principle or definition as the basis for an analysis.

Your challenge in analysis is to convince readers that (1) the analytical tool you have chosen is legitimate and well matched to the topic at hand, and (2) you will use the analytical tool systematically to divide the topic into parts and make coherent, meaningful statements about these parts and their relation to the whole.

Planning and writing an analysis requires defining the object, behavior, or event to be studied and understanding your analytical tool. The tools examined here are ideas (as opposed to physical tools like X-ray machines). These ideas generally take the form of definitions and principles, as in these assignments calling for analysis.

Literature Apply principles of Jungian psychology to Nathaniel Hawthorne's "Young Goodman Brown." In your analysis of the story, apply Jung's theories of the *shadow, persona,* and *anima*.

Physics Use Newton's Second Law ($F = ma$) to analyze the acceleration of a fixed pulley from which two weights hang: m_1 (.45 kg) and m_2 (.90 kg).

Economics Use Schumpeter's principle of creative destruction to analyze job loss and creation in the manufacturing sector of the American economy from 1975 to 2000.

Selecting the Analytical Tool

The three assignments illustrate how instructors sometimes choose for you the analytical tool to be used in an investigation. Just as often you will be asked to choose the tool yourself. When this is the case, consider two strategies.

- Look for a statement that expresses a rule or a law, as in this statement Jon Agar uses to open his paper on the cultural value of cell phones:

  > You can tell what a culture values by what it has in its bags and pockets.

  Statements of rules or laws tend to be conclusions drawn from extensive arguments. If you find an argument sound, its author reputable, and the source respected, consider using that conclusion as your analytical tool.
- Look for definitions that take the form ***X can be defined as (or X consists of) the following: A, B, C, and so on***. For example, in the example of the psychological analysis of cell-phone use, James Roberts and his co-authors cite a source defining *behavior addiction*:

  > Similar to substance addiction, behavioral addiction is best understood as a habitual drive or compulsion to continue to repeat a behavior despite its negative impact on one's well-being.

Using this definition as his analytical tool, Roberts and his co-authors analyze cell-phone use as a potentially addictive behavior. If you read Roberts and his co-authors' paper and find their definition sound, you can use their same definition as your tool to study some other behavior—perhaps television viewing—and argue that it, too, is potentially addictive. Definitions that you find in dictionaries and encyclopedias can also be used as analytical tools.

Using the Analytical Tool

Once you have settled on a tool, identify its parts and turn them into questions. In the definition of behavioral addiction, we can isolate three parts of addictive behavior:

- Habitual drive/compulsion
- Repetition
- Negative impact

The next step in analysis is to turn each element of an analytical tool into a question and to direct these questions, one at a time, to the object, behavior, or event you are examining. Each question enables you to analyze a part of the whole. Frame your questions neutrally so that you can find both positive and negative examples. Here are analytical questions based on two elements of addictive behavior.

> In what ways can smartphone use have negative impacts on users?
> Is there any sense in which smartphone users feel compelled to use them?

Use your questions to examine the object, behavior, or event of interest and to generate notes. Pose one question, conduct your analysis, take notes—then move to the next question. Your notes become the raw material for your written analysis, in the case of smartphone dependence, evidence for or against the claim that it can become an addictive behavior. At this stage of the process, you will not yet have reached a conclusion or thesis.

Exercise 8.1

Using a principle or definition as a tool for analysis

James Roberts and co-authors introduce a definition of addiction to analyze cell-phone use from a behavioral point of view:

> Although the concept of addiction has multiple definitions, traditionally it has been described as the repeated use of a substance despite the negative consequences suffered by the addicted individual.

Jon Agar introduces a definition of value to analyze cell-phone use from an historical point of view:

> You can tell what a culture values by what it has in its bags and pockets.

Choose one of these statements as a principle by which to begin analyzing some behavior or object unrelated to cell phones. (If you are using Roberts and co-authors, do *not* analyze behaviors already considered addictive, for instance, drug or alcohol abuse.) Your goal here is to generate notes:

1. Select either of the two statements as your analytical principle.
2. Identify a behavior or object to analyze.
3. Use the selected principle to generate questions for analysis.
4. Use your questions to identify parts of the behavior or object. List these parts and make notes as you apply your questions.

Planning and Writing the Analysis Paper

8.3 Write an analysis.

You've conducted your analysis and made notes. You have in hand the materials from which you will devise a thesis, develop the paragraph-by-paragraph logic of your paper, write your paper, and review your analysis to make sure it passes key tests.

Devising a Thesis

Select from among your notes a subset about which you can make a clear generalization—your thesis—that answers one of these questions:

- What is this object, behavior, or event?
- What are its component parts?
- What happened?
- How does it work?
- What are its strengths and weaknesses?
- What does it mean?
- What is its significance?

Your one-sentence answer to one (or more) of these questions for analysis will become the thesis of your paper. It is also your conclusion. However you phrase your thesis in your final paper, clarify your thinking in an early working draft by rewriting the thesis in the following form (this exercise will establish that you are, in fact, conducting an analysis):

> By applying *analytical tool X*, we can understand *(subject)* as *(conclusion based on analysis)*.

Here is the thesis (with slight modification) that appears in the model analysis at the end of this chapter:

> Robert Knapp's "A Psychology of Rumor" can help us understand why some contemporary rumors, like the "missing kidney," have been so frightening yet so effective.

Here is the claim rewritten to emphasize parts of the analysis:

> By applying Robert Knapp's theory of rumors, we can understand "the missing kidney" as a classic bogie rumor that, with its striking details, feeds on our fears of organ transplantation.

Developing the Paragraph-by-Paragraph Logic of Your Paper

The following paragraph illustrates the typical logic of a paragraph in an analytical paper. The paragraph appears in the model analysis of the missing kidney rumor (in which a traveling businessman is drugged and wakes to discover one of his kidneys has been surgically removed):

> The kidney rumor is first and foremost the perfect example of Knapp's bogie rumor, the rumor that draws its power from our fears and anxieties. Recall the scary folk tales about children lost in the forest, soon to encounter a witch? One classic anxiety of a bogie rumor similarly involves being alone in a strange place. In the case of the missing kidney, organ removals almost always occur when the victim is away from home, out of town or even out of the country. Most of us enjoy traveling, but we may also feel somewhat uneasy in unfamiliar cities. We're not comfortably on our own turf, so we don't quite know our way around;

Introduction of analytical tool.

Application of tool to object under study: **kidney rumor.**

we don't know what to expect of the local population; we don't feel entirely safe, or at least, we feel that some of the locals may resent us and take advantage of us. Of course, our worry about being alone in an unfamiliar city is nothing compared to our anxiety about being cut open. Even under the best of circumstances (such as to save our lives), no one looks forward to surgery. The prospect of being drugged, taken to an unknown facility, and having members of a crime ring remove one of our organs without our knowledge or consent—as apparently happened to the various subjects of this rumor—would be our worst nightmare. It's little wonder that this particular "bogie" man has such a powerful grip on our hearts.

With analytical tool applied, assessment follows.

An analysis paper takes shape when you create a series of such paragraphs, link them with an overall logic and organization, and draw a general conclusion concerning what was learned through the analysis. You'll find an effective, paper-length example of analysis in the model student paper later in this chapter. Margin notes highlight key elements of the analysis.

Writing the Analysis Paper

Following are guidelines to help you prepare for and structure your analysis.

Guidelines for Writing Analyses

Before writing, conduct your analysis: Apply an analytical tool—and make notes.

- **Identify the object, behavior, or event to be studied.**
- **Identify the analytical tool:** a principle, rule, or definition that will organize your inquiry. The tool will be assigned, or you will select it.
- **Conduct the analysis.** Turn key elements of the analytical principle, rule, or definition into questions. Use those questions systematically to examine parts of the object, behavior, or event of interest.
- **Make notes.** Record your insights using the analytical tool.
- **Devise a thesis.** Review your notes and write an organizing, debatable statement based on insights gained through your analysis.

Write the analysis: Organize and present the information you have gathered.

- **Create a context for your analysis.** Introduce the object, behavior, or event to be studied. Why is this object or behavior of interest? Why should we learn more about it?
- **State your thesis.**
- **Explain, if necessary, the tool that has guided your analysis.** If readers will not likely understand the tool (or might think it inappropriate for the task), explain why the tool is useful.
- **Explain in detail, if necessary, the object, behavior, or event to be analyzed.**
- **Present key points of analysis, one point at a time.** Organize your paper around the questions of analysis that produced your most compelling insights. Each question should lead to a paragraph or section (a grouping of related paragraphs) that presents these analytical insights and, in so doing, supports your thesis.
- **Remember that you are making an argument.** You must *prove* to readers that what you have learned through your analysis is meaningful.
- **Conclude by stating the significance of your analysis.** Review what you have learned. What new or interesting insights have you discovered?

Reviewing Your Analysis: Does It Pass Key Tests?

HAVE YOU WRITTEN A SUMMARY RATHER THAN AN ANALYSIS? The most common error made in writing analyses—an error that is *fatal* to the form—is to present readers with a summary only. For analyses to succeed, you must *apply* a principle or definition and reach a conclusion about the object, event, or behavior you are examining. By definition, a summary (see Chapter 3) includes none of your own conclusions. Summary is naturally part of analysis; you will need to summarize the object or activity being examined and, depending on the audience's needs, summarize the principle or definition being applied. But an analysis should take the next step and share insights that suggest the meaning or significance of some object, event, or behavior.

IS YOUR ANALYSIS SYSTEMATIC? Analyses should give the reader the sense of a systematic, purposeful examination. Note that in the model analysis later in this chapter, Linda Shanker sets out specific elements of addictive behavior in separate paragraphs and then uses each, within its paragraph, to analyze a rumor. Shanker is systematic in her method, and we are never in doubt about her purpose.

Imagine another analysis in which a writer lays out four elements of a definition and then applies only two, without explaining the logic for omitting the others. Or imagine an analysis in which the writer offers a principle for analysis but directs it to only a half or a third of the object being discussed, without providing a reason for doing so. In both cases, the writer fails to deliver on a promise basic to analyses: Once you introduce a principle or definition, you should apply it thoroughly and systematically.

HAVE YOU ANSWERED THE "SO WHAT?" QUESTION? An analysis should make readers *want* to read it. It should give readers a sense of getting to the heart of the matter, that what is important in the object or activity under analysis is being laid bare and discussed in revealing ways. If, when rereading the first draft of your analysis, you cannot imagine readers saying, "I never thought of ___________________ this way," then something may be wrong.

HAVE YOU ATTRIBUTED SOURCES? In an analysis, you often work with just a few sources and apply insights from them to some object or phenomenon you want to understand more thoroughly. Because you are not synthesizing large quantities of data and because the strength of an analysis derives mostly from *your* application of a principle or definition, you will have less need to cite sources. However, take special care to cite those sources you do draw on throughout the analysis.

Exercise 8.2

Planning an analysis

Create an outline of an analysis based on the principle and the behavior or object you selected in Exercise 8.1. Working with the notes you generated, formulate a thesis and develop an organizational plan. In completing this exercise, you may find the Guidelines for Writing Analyses useful.

Demonstration: Analysis

Linda Shanker wrote the following paper when she was a sophomore in response to this assignment from her sociology professor:

> Read Robert H. Knapp's "A Psychology of Rumor" in your course anthology. Use some of Knapp's observations about rumor to examine a particular rumor that you have read about during the first few weeks of this course. Write for readers much like yourself: freshmen or sophomores who have taken one course in sociology. Your object in this paper is to draw upon Knapp to shed light on how the particular rumor you select spread so widely and so rapidly.

Model Analysis

Shanker 1

Linda Shanker

Social Psychology 1

UCLA

17 November 2016

The Case of the Missing Kidney: An Analysis of Rumor

> Rumor! What evil can surpass her speed?
> In movement she grows mighty, and achieves
> strength and dominion as she swifter flies . . .
> [F]oul, whispering lips, and ears, that catch at all . . .
> She can cling
> to vile invention and malignant wrong,
> or mingle with her word some tidings true.
>
> —*Virgil, **The Aeneid** (Book IV, Ch. 8)*

1 Creates a context for the analysis by introducing the phenomenon of rumor.

1 The phenomenon of rumor has been an object of fascination since ancient times. In his epic poem *The Aeneid*, Virgil noted some insidious truths about rumors: they spread quickly (all the more so in our own day, by means of phones, TV, e-mail, Facebook, and Twitter); they can grow in strength and come to dominate conversation with vicious lies; and they are often mixed with a small portion of truth, a toxic combination that provides the rumor with some degree of credibility. In more recent

years, sociologists and psychologists have studied various aspects of rumors: why they are such a common feature of any society, how they tie in to our individual and group views of the world, how and why they spread, why people believe them, and finally how they can be prevented and contained.

2 One of the most important studies is Robert H. Knapp's "A Psychology of Rumor," published in 1944. Knapp's article appeared during World War II (during which he was in charge of rumor control for the Massachusetts Committee of Public Safety). Many of his examples are drawn from rumors that sprang up during that conflict, but his analysis of why rumors form and how they work remains just as relevant today. First, Knapp defines rumor as an unverified statement offered about some topic in the hope that others will believe it (22). He proceeds to classify rumors into three basic types: the *pipe-dream or wish rumor*, based on what we would like to happen; the *bogie rumor*, based on our fears and anxieties; and the *wedge-driving or aggression rumor*, based on "dividing groups and destroying loyalties" (23–24). He notes that rumors do not spread randomly through the population but rather through certain "sub-groups and factions" who are most susceptible to believing them. Rumors spread particularly fast, he notes, when these groups do not trust officials to tell them the truth. Most important, he maintains, "rumors express the underlying hopes, fears, and hostilities of the group" (27).

2 Introduces definition/tool to be used in analyzing the kidney rumor.

Citation lets readers decide if definition is substantial enough to be used in analysis.

3 Not all rumors gain traction, of course, and Knapp goes on to outline the qualities that make for successful rumors. For example, a good rumor must be "short, simple, and salient." It must be a good story. Qualities that make for a good story include "a humorous twist . . . striking and aesthetic detail. . . simplification of plot and circumstances. . . [and] exaggeration" (29). Knapp explains how the same rumor can take various forms, each individually suited to the groups among which it is circulating: "[n]ames, numbers, and places are typically the most unstable components of any rumor." Successful rumors adapt themselves to the particular circumstances, anxieties, [and] prejudices of the group, and the details change according to the "tide of current swings in public opinion and interest" (30).

3 Introduces another part of definition to be used in analyzing the kidney rumor.

4 Knapp's insights are valuable in helping us to understand why some rumors have been so frightening and yet so effective—for instance, the missing kidney rumor. One version of the rumor, current in 1992, is recounted by Robert Dingwall, a sociologist at the University of Nottingham in England:

> A woman friend of another customer had a 17-year-old son who went to a nightclub in Nottingham, called the Black Orchid, one Friday evening. He did not come home, so she called the police, who were not very interested because they thought that he had probably picked up a girl and gone home with her. He did not come back all weekend, but rang his mother from a call box on Monday, saying he was unwell. She drove out to pick him up and found him slumped on the floor of the call box. He said that he had passed out after a drink in the club and remembered nothing of the weekend. There was a neat, fresh scar on his abdomen. She took

4 Introduction of topic to be analyzed: the missing kidney rumor. Expectation is set. Knapp's definitions will be used to help understand how rumor works.

> him to the Queen's Medical Centre, the main emergency hospital in the city, where the doctors found that he had had a kidney removed. The police were called again and showed much more interest. A senior officer spoke to the mother and said that there was a secret surveillance operation going on in this club and others in the same regional chain in other East Midlands cities because they had had several cases of the same kind and they thought that the organs were being removed for sale by an Asian surgeon. (181)

5 Topic further explained. Describes how the missing kidney rumor changed and spread.

5 It is not clear where this rumor originated, though at around this time the missing kidney story had served as the basis of a *Law and Order* episode in 1992 and a Hollywood movie, *The Harvest*, released in 1992. In any event, within a few months the rumor had spread throughout Britain, with the name of the nightclub and other details varying according to the city where it was circulating. The following year, the story was transplanted to Mexico; a year later it was set in India. In the Indian version, the operation was performed on an English woman traveling alone who went to a New Delhi hospital to have an appendectomy. Upon returning to England, she still felt ill, and after she was hospitalized, it was discovered that her appendix was still there but that her kidney had been removed. In subsequent years the rumor spread to the United States, with versions of the story set in Philadelphia, New Orleans, Houston, and Las Vegas. In 1997, the following message, addressed "Dear Friends," was posted on an Internet message board:

> I wish to warn you about a new crime ring that is targeting business travelers. This ring is well organized, well funded, has very skilled personnel, and is currently in most major cities and recently very active in New Orleans. The crime begins when a business traveler goes to a lounge for a drink at the end of the work day. A person in the bar walks up as they sit alone and offers to buy them a drink. The last thing the traveler remembers until they wake up in a hotel room bath tub, their body submerged to their neck in ice, is sipping that drink. There is a note taped to the wall instructing them not to move and to call 911. A phone is on a small table next to the bathtub for them to call. The business traveler calls 911 who have become quite familiar with this crime. The business traveler is instructed by the 911 operator to very slowly and carefully reach behind them and feel if there is a tube protruding from their lower back. The business traveler finds the tube and answers, "Yes." The 911 operator tells them to remain still, having already sent paramedics to help. The operator knows that both of the business traveler's kidneys have been harvested. This is not a scam or out of a science fiction novel, it is real. It is documented and confirmable. If you travel or someone close to you travels, please be careful. ("You've Got to Be")

Subsequent posts on this message board supposedly confirmed this story ("Sadly, this is very true"), adding different details.

6 Topic further explained. Missing kidney rumor has no factual basis.

6 Is there any truth to this rumor? None, whatsoever—not in any of its forms. Police and other authorities in various cities have posted strenuous denials of the story in the newspapers, on official Web sites, and in internal correspondence, as

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have The National Business Travel Association, the American Gem Trade Association, and the Sherwin Williams Co. ("'Stolen'"). As reported in the rumor-reporting website Snopes.com, "the National Kidney Foundation has asked any individual who claims to have had his or her kidneys illegally removed to step forward and contact them. So far no one's showed up." The persistence and power of the missing kidney rumor can be more fully understood if we apply four elements of Knapp's definition of rumor formation and circulation to this particular urban legend: his notion of the "bogie," the "striking" details that help authenticate a "good story" and that change as the rumor migrates to different populations, the ways a rumor can ride swings of public opinion, and the mingling of falsehood with truth.

Thesis. Sets out the plan of the analysis to follow: persistence and power of the kidney rumor will be explained by applying Knapp's four-part definition.

7 The kidney rumor is first and foremost the perfect example of Knapp's bogie rumor, the rumor that draws its power from our fears and anxieties. One source of anxiety is being alone in a strange place. (Recall the scary folk tales about children lost in the forest, soon to encounter a witch.) These dreaded kidney removals almost always occur when the victim is away from home, out of town or even out of the country. Most of us enjoy traveling, but we may also feel somewhat uneasy in unfamiliar cities. We're not comfortably on our own turf, so we don't quite know our way around; we don't know what to expect of the local population; we don't feel entirely safe, or at least, we feel that some of the locals may resent us and take advantage of us. We can relate to the 17-year-old in the Nottingham nightclub, to the young English woman alone in New Delhi, to the business traveler having a drink in a New Orleans lounge.

7 Analysis begins. Writer applies the first of Knapp's definitions—the "bogie rumor"—to the missing kidney rumor.

8 Of course, our worry about being alone in an unfamiliar city is nothing compared to our anxiety about being cut open. Even under the best of circumstances (such as to save our lives), no one looks forward to surgery. The prospect of being drugged, taken to an unknown facility, and having members of a crime ring remove one of our organs without our knowledge or consent—as apparently happened to the various subjects of this rumor—would be our worst nightmare. It's little wonder that this particular "bogie" man has such a powerful grip on our hearts.

8 Continues to apply Knapp's principle of the bogie rumor.

9 Our anxiety about the terrible things that may happen to us in a strange place may be heightened because of the fear that our fate is just punishment for the bad things that we have done. In the Nottingham version of the rumor, the victim "had probably picked up a girl and gone home with her" (Dingwall 181). Another version of the story features "an older man picked up by an attractive woman" (Dingwall 182). Still another version of the story is set in Las Vegas, "Sin City, the place where Bad Things Happen to the Unwary (especially the 'unwary' who were seen as deservedly having brought it upon themselves, married men intent upon getting up to some play-for-pay hanky panky)" ("You've Got to Be"). As Dingwall notes of this anxiety about a deserved fate, "[t]he moral is obvious: young people ought to be careful about nightclubs, or more generally, about any activity which takes them out of a circle of family and friends" (183).

9 Applies another aspect of the bogie rumor: fear that we deserve punishment for our poor choices or immoral actions.

10 In addition to its being a classic bogie rumor, Knapp would suggest that the missing kidney rumor persists because its "striking and aesthetic detail[s]," while false, have the ring of truth and vary from one version to another, making for a "good story" wherever the rumor spreads. Notice that the story includes the

10 Applies second part of Knapp's definition: The "facts" in rumors are constantly changing to make for a "good story."

particular names of the bar or nightclub and the medical facility; it also summarizes the instructions of the 911 operator to see if there is a tube protruding from the victim's back. (The detail about the bathtub full of ice and the advice to "call 911" was added to the story around 1995.) As Knapp observes, "[n]ames, numbers, and places are typically the most unstable components of any rumor" (30), and so the particular cities in which the kidney operations are alleged to have been performed, as well as the particular locations within those cities, changed as the rumor spread. Another changing detail concerns the chief villains of this story. Knapp notes that rumors adapt themselves to the particular anxieties and prejudices of the group. Many groups hate or distrust foreigners, and so we find different ethnic or racial "villains" named in different cities. In the Nottingham version of the story, the operation is performed by an "Asian surgeon." The English woman's kidney was removed by an Indian doctor. In another version of the story, a Kurdish victim of the kidney operation was lured to Britain "with the promise of a job by a Turkish businessman" ("You've Got to Be").

11 Applies the third part of Knapp's definition: Successful rumors are often based on topics of current public interest.

11 Third, Knapp observes that successful rumors "ride the tide of current swings in public opinion and interest" (30). From news reports as well as medical and police TV dramas, many people are aware that there is a great demand for organ transplants and that such demand, combined with a short supply, has given rise to a black market for illegally obtained organs. When we combine this awareness with stories that appear to provide convincing detail about the medical procedure involved (the "neat fresh scar," the tube, the name of the hospital), it is not surprising that many people accept this rumor as truth without question. One Internet correspondent, who affirmed that "Yes, this does happen" (her sister-in-law supposedly worked with a woman whose son's neighbor was a victim of the operation), noted that the only "good" thing about this situation was that those who performed the procedure were medically trained, used sterile equipment, made "exact and clean" incisions ("You've Got to Be"), and in general took measures to avoid complications that might lead to the death of the patient.

12 In applying the fourth part of Knapp's definition, writer returns to Virgil (see 1). Knapp and Virgil agree: Rumors may appear credible because they mix truth with fiction.

12 Finally, this rumor gains credibility because, as Virgil noted, rumor "mingle[s] with her word some tidings true." Although no documented case has turned up of a kidney being removed without the victim's knowledge and consent, there have been cases of people lured into selling their kidneys and later filing charges because they came to regret their decisions or were unhappy with the size of their payment ("You've Got to Be").

13 Conclusion establishes significance of analysis: Knapp's theory of rumors illuminates "the deeper structure of rumors."

13 Rumors can destroy reputations, foster distrust of government and other social institutions, and create fear and anxiety about perceived threats from particular groups of outsiders. Writing in the 1940s about rumors hatched during the war years, Knapp developed a powerful theory that helps us understand the persistence of rumors sixty years later. The rumor of the missing kidney, like any rumor, functions much like a mirror held up to society: It reveals anxiety and susceptibility to made-up but seemingly plausible "facts" related to contemporary social concerns. By helping us to understand the deeper structure of rumors, Knapp's theories can help free us from the "domination" and the "Foul, whispering lips" that Virgil observed so accurately 2,000 years ago.

Shanker 6

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Looking Ahead

This chapter on analysis concludes our discussion of the main forms of writing—summary, critique, synthesis, and analysis—that you will encounter as an undergraduate. As you've seen, one form commonly draws on others: Critiques build on summaries, both explanatory and argument syntheses can incorporate critiques and summaries, and arguments can incorporate explanations. What remains for you now is to practice, which the remainder of this text will help you do. Chapter 9 is devoted to the process of writing, working you though the beginning, drafting, and revising stages that all writers, experienced and inexperienced, navigate. Chapter 10 introduces you to academic research: the locating, using, and citing of sources that will generate the materials you use in your papers. We conclude with a practice chapter (Chapter 11) on the topic of ethics. There you'll have a chance to read fascinating selections and then summarize, evaluate, synthesize, and analyze.

Writing Assignment: Analysis

Write the analysis paper you've been developing in Exercise 8.1 and 8.2, using both the model analysis (pages 166–171) as an example and the Guidelines for Writing Analyses (page 164) to help you think methodically about the paper. When you have completed a first draft and are ready to revise, consider these questions:

- Have you written an analysis, not a summary?
- Have you introduced the analytical principle with care and applied it systematically?
- Does your analysis reveal nonobvious insights into the behavior or object?
- Does your analysis interest *you*? (If it does not, it likely won't interest your readers.)

Answer these questions in relation to your first draft, and you will have solid information to guide a revision. Then share your revised draft with the classmates who used the same analytical principle but (likely) analyzed different objects or behaviors.

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Part Two
Strategies

Chapter 9
Writing as a Process

Learning Objectives

After completing this chapter, you will be able to:

9.1 Understand that writing is a form of thinking.

9.2 Use the various strategies of the writing process to plan, research, draft, and revise a writing project.

9.3 Write introductions that set a context for your readers and conclusions that move beyond mere summary.

Writing as Thinking

9.1 Understand that writing is a form of thinking.

Most of us regard writing as an activity that culminates in a finished product: a paper, an application letter, study notes, and the like. We focus on the result rather than on the process of getting there. But how *do* we produce that paper or letter? Does the thought you write down not exist until it appears on the page? Does thought precede writing? If so, is writing merely a translation of prior thought? The relationship between thinking and writing is complex and not entirely understood. But it is worth reflecting on, especially as you embark on your writing-intensive career as a college student. Every time you pick up a pen or sit down at a computer to write, you engage in a thinking process.

Stages of the Writing Process

9.2 Use the various strategies of the writing process to plan, research, draft, and revise a writing project.

By breaking the process into stages, writers turn what can be a daunting task of writing a paper into manageable chunks, each requiring different activities that, collectively, build to a final draft. Generally, the stages involve *understanding the task*, *gathering data*, *invention*, *drafting*, *revision*, and *editing*.

Broadly speaking, the six stages of the writing process occur in the order we've listed. But writing is *recursive;* the process tends to loop back on itself. You generally move forward as you write, toward a finished product. But moving forward is seldom a straight-line process.

The Writing Process

- ***Understanding the task:*** Read—or create—the assignment. Understand its purpose, scope, and audience.
- ***Gathering data:*** Locate and review information—from sources and from your own experience—and formulate an approach.
- ***Invention:*** Use various techniques (e.g., listing, outlining, freewriting) to generate promising ideas and a particular approach to the assignment. Gather more data if needed. Aim for a working thesis, a tentative (but well-reasoned and well-informed) statement of the direction you intend to pursue.
- ***Drafting:*** Sketch the paper you intend to compose and then write all sections necessary to support the working thesis. Stop if necessary to gather more data. Typically, you will both follow your plan and revise and invent a new (or slightly new) plan as you write. Expect to discover key parts of your paper as you write.
- ***Revision:*** Rewrite in order to make the draft coherent and unified.

  Revise at the *global* level, reshaping your thesis and adding to, rearranging, or deleting paragraphs in order to support the thesis. Gather more data as needed to flesh out paragraphs in support of the thesis.

  Revise at the *local* level of paragraphs, ensuring that each is well reasoned and supports the thesis.
- ***Editing:*** Revise at the *sentence* level for style and brevity. Revise for correctness: grammar, punctuation, usage, and spelling.

Stage 1: Understanding the Task

PAPERS IN THE ACADEMIC DISCIPLINES Although most of your experience with academic papers in high school may have been in English classes, you should be prepared for instructors in other academic disciplines to assign papers with significant research components. Here is a sampling of topics that have been assigned in a broad range of undergraduate courses:

> ***Mass communications:*** Discuss how the use of photography during the Civil War may have affected the perceptions of the war by Northerners living in industrial cities.
>
> ***Literature:*** Select two Southern writers of the twentieth century whose work you believe was influenced by the divisive effects of the Civil War. Discuss the ways this influence is apparent in a novel or a group of short stories written by each author. The works should not be *about* the Civil War.
>
> ***Applied technology:*** Compare and contrast the technology of warfare available in the 1860s with the technology available a century earlier.

Some writing assignments allow students a considerable range of choice (within the general subject); others are highly specific in requiring students to address a particular issue. Most call for some library or online research; a few call for a combination of online, library, and field research; others may be based entirely on field research. As with all academic writing, your first task is to make sure you understand the assignment. Remember to read critically and analyze the specific task(s) required of you in a paper assignment. One useful technique for doing this is to locate the assignment's key verb(s), which will stipulate exactly what is expected of you.

Exercise 9.1

Analyze an Assignment

Reread the instructions for a recent assignment from another course.

1. Identify the key verb(s).
2. List the type of print, interview, or graphical data you need to gather to complete the assignment.
3. Reflect on your own experience to find some anecdote that might be appropriately included in a paper (or, absent that, a related experience that would provide a personal motivation for writing the paper).

Stage 2: Gathering Data

When you begin a writing assignment, consider three questions:

1. What is the assignment?
2. What do I know about the subject?[1]
3. What do I need to know in order to begin writing?

These questions prompt you to reflect on the assignment and define what is expected. Taking stock of class notes, readings, and whatever resources are available, survey what you already know. Having identified the gaps between what you know and what you need to know in order to write, you can begin to gather data—most likely in stages. You may gather enough, at first, to formulate initial ideas. You may begin to write, see new gaps, and realize you need more data.

TYPES OF DATA *Data* is a term used most often to refer to quantitative information such as the frequencies or percentages of natural phenomena in the sciences (e.g., the rate at which glaciers melt) or of social phenomena in the social sciences (e.g., the average age of Americans when they first marry). But not all data is quantifiable. For example, interviews recorded by a social scientist are also considered to be *data.* In the humanities, *data* can refer to the qualitative observations one makes of a particular art object that one is interpreting or evaluating. Generally, quantitative data encompasses issues of "How many?" or

[1]*Note:* The terms *subject* and *topic* are often used interchangeably. In this chapter, we use *subject* to mean a broad area of interest that, once narrowed to a *topic,* becomes the focus of a paper. Within a thesis (the major organizing sentence of the paper), we speak of *topic*, not *subject.*

"How often?," whereas qualitative research accounts for issues such as "What kind?" and "Why?"

PRIMARY AND SECONDARY SOURCES Whether quantitative or qualitative, the kind of information that a researcher gathers directly by using the research methods appropriate to that particular field of study is considered *primary* data. As an undergraduate, you will more commonly collect *secondary* data: information and ideas collected or generated and reported on by others who have performed their own primary and/or secondary research. The data gathering for most undergraduate academic writing involves library research and, increasingly, research conducted online via Internet databases and other resources.

Chapter 10 provides an in-depth discussion of locating and using secondary sources. Refer also to the material in Chapters 3 and 5 on summary, critical reading, and critique to help you understand and assess the strengths and weaknesses of your sources. The material in Chapters 3 and 10 on avoiding plagiarism will help you conform to the highest ethical standards in your research and writing.

Stage 3: Invention

Your preliminary data gathering completed, you can now frame your writing project: give it scope, develop your main idea, and create conditions for productive writing. You must define what you are writing about, after all, and you do this in the *invention* stage. This stage might also be termed *brainstorming* or *predrafting*. Regardless of the name, invention is an important part of the process that typically overlaps with data gathering. The preliminary data you gather on a topic informs the choices you make in defining (that is, in "inventing" ideas for) your project. As you invent, you will often return to gather more data.

Writers sometimes skip the invention stage, preferring to save time by launching directly from gathering data into writing a draft. This is a serious mistake. Time spent narrowing your ideas to a manageable scope at the beginning of a project will pay dividends throughout the writing process. Papers head down the wrong track when writers choose topics that are too broad (resulting in the superficial treatment of subtopics) or too narrow (resulting in writers "padding" their work to meet a length requirement).

The Myth of Inspiration

Some people believe that good writing comes primarily from a kind of magical—and unpredictable—formation of ideas that occurs as one sits down in front of a blank page or computer screen. According to this myth, a writer must be inspired in order to write, as if receiving his or her ideas from some muse. While some element of inspiration may inform your writing, most of the time it is hard work—especially in the invention stage—that gets the job done. The old adage attributed to Thomas Edison applies here: "Invention is one part inspiration and ninety-nine parts perspiration."

CHOOSING AND NARROWING YOUR SUBJECT Suppose you have been assigned a ten-page paper in an introductory course on environmental science. The assignment is open ended, so not only do you need to choose a subject, you also need to narrow it sufficiently and formulate your thesis.

Where will you begin?

First, you need to select broad subject matter from the course and become knowledgeable about its general features. But what if no broad area of interest occurs to you?

- Work through the syllabus or your textbook(s). Identify topics that spark your interest.
- Review course notes and pay especially close attention to lectures that held your interest.
- Scan recent newspapers and newsmagazines that bear on your coursework.

Assume for your course in environmental science that you've settled on the broad subject of energy conservation. At this point, the goal of your research is to limit this subject to a manageable scope. A subject can be limited in at least two ways. First, you can seek out a general article (perhaps an encyclopedia entry, though it would not typically be accepted as a source in a college-level paper). A general article may do the work for you by breaking the larger topic down into smaller subtopics that you can explore and, perhaps, limit even further. Second, you can limit a subject by asking questions about it:

Who?

Which aspects?

Where?

When?

How?

Why?

These questions will occur to you as you conduct your research and notice the ways in which various authors have focused their discussions. Having read several sources on energy conservation and having decided that you'd like to use them, you might limit the subject by asking *which aspects* and deciding to focus on energy conservation as it relates to motor vehicles.

The Myth of Talent

Many inexperienced writers believe that you either have writing talent or you don't, and that if you don't, you are fated to go through life as a "bad writer." But again, hard work, rather than talent, is what leads to competent writing. Yes, some people have more natural verbal ability than others—we all have our areas of strength and weakness. But in any endeavor, talent alone can't ensure success, and with hard work, writers who don't yet have much confidence can achieve impressive results. Not everyone can be a brilliant writer, but everyone *can* be a competent writer.

Certainly, "energy-efficient vehicles" offers a more specific focus than does "energy conservation." Still, the revised focus is too broad for a ten-page paper. (One can easily imagine book-length works on the subject.) So again, try to limit your subject by posing other questions from the same list. You might ask which types of energy-efficient vehicles are possible and feasible, and how auto manufacturers can be encouraged to develop them. In response to these questions, you may jot down preliminary notes:

- Types of energy-efficient vehicles
  All-electric vehicles
  Hybrid (combination of gasoline and electric) vehicles
  Fuel-cell vehicles
- Government action to encourage development of energy-efficient vehicles
  Mandates to automakers to build minimum quantities of energy-efficient vehicles by certain deadlines
  Additional taxes imposed on high-mileage vehicles
  Subsidies to developers of energy-efficient vehicles

Focusing on any *one* of these aspects as an approach to encouraging the use of energy-efficient vehicles could provide the focus of a ten-page paper.

Exercise 9.2

Practice Narrowing Subjects

In groups of three or four classmates, choose one of the following subjects and collaborate on a paragraph or two that explores the questions we listed for narrowing subjects: Who? Which aspects? Where? When? How? Why? See if you can narrow the subject.

- Cross-species genetic experiments
- Addiction to technology
- College sports
- School violence or bullying
- America's public school system

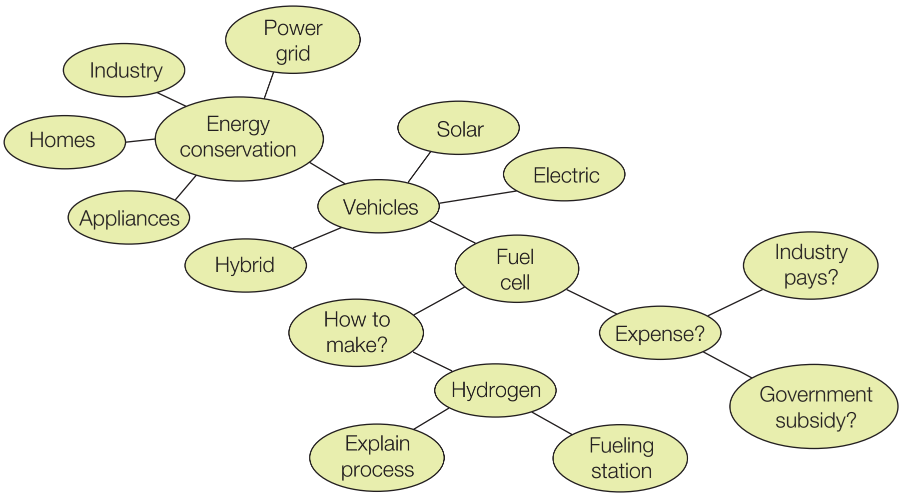
INVENTION STRATEGIES You may already be familiar with a variety of strategies for thinking through your ideas. Here are four of these strategies:

Directed Freewriting To freewrite is to let your mind go and write spontaneously, often for a set amount of time or a set number of pages. The process of "just writing" can often free up thoughts and ideas about which we aren't even fully conscious or that we haven't articulated to ourselves. In *directed freewriting,* you focus on a subject and let what you think and know about the subject flow out of you in a focused stream of ideas. As a first step in the invention stage, you might sit down with an assignment and write continuously for fifteen minutes. If even one solid idea comes through, you've succeeded in using freewriting to help "free up" your thinking. As a second step, you might take that one idea and freewrite about it, shift to a different invention strategy to explore that one idea, or even begin to draft a thesis and then a rough draft depending on how well formed your idea is at this stage.

Listing Some writers find it helpful to make *lists* of their ideas, breaking significant ideas into sublists and seeing where they lead. Approach this strategy as a form of freewriting; let your mind go, and jot down words and phrases that are related. Create lists by pulling related ideas out of your notes or your course readings. *A cautionary note:* The linear nature of lists can lead you to jump prematurely into planning your paper's structure before working out your ideas. Instead, list ideas as a way of brainstorming, and then generate another list that works out the best structure for your points in a draft.

Outlining A more structured version of a list, an *outline,* groups ideas in hierarchical order, with main points broken into subordinate points, sometimes indicating evidence in support of these points. Use outlines as a first stage in generating ideas during your invention process or as a second step in invention. After freewriting and/or listing, refine and build on your ideas by inserting them into an outline for a workable structure in which you can discuss the ideas you've brainstormed. (See the example of an outline on p. 135.)

Clustering and Branching These two methods of invention are more graphic, nonlinear versions of listing and outlining. With both clustering and branching, you start with an assignment's main topic or with an idea generated by freewriting or listing, and you brainstorm related ideas that flow from that main idea. *Clustering* involves writing an idea in the middle of a page and circling it; you then draw lines leading from that circle, or "bubble," to new bubbles containing subtopics of the central idea. Pick the subtopics that interest you most, then draw lines leading to more bubbles in which you note important aspects of the subtopics.



Branching follows the same principle, but instead of placing ideas in bubbles, write them on lines that branch off to other lines that, in turn, contain the related subtopics of your larger topic.

Clustering and branching are useful first steps in invention. Each helps isolate the topics about which you are most knowledgeable. As you branch off into the subtopics of a main paper topic, the number of ideas you generate in relation to these topics help show where you have the most knowledge and/or interest.

You can modify and combine invention techniques in a number of ways. There is no one right way to generate ideas—or to write a paper—and every writer will try different methods to find those that work best. What's important to remember is that, regardless of the method, the time spent on invention creates the conditions for writing a solid first draft.

Exercise 9.3

Practice Invention Strategies

After completing the group exercise (Exercise 9.2) in which you narrowed a subject, work individually to brainstorm ideas about the subject your group chose. Use one of the invention strategies listed above—preferably one that you haven't used before. After brainstorming on your own, meet with your group again to compare the ideas each of you generated.

Stage 4: Drafting

It's usually best to begin drafting a paper after you've settled on at least a working or preliminary thesis. While reviewing the fruits of your efforts during invention (notes, lists, outlines, and so on), you'll face a number of choices about how to proceed with drafting your paper. Let's consider some of those choices, including the crucial step of drafting the thesis.

STRATEGIES FOR WRITING THE PAPER Some people can sit down very early in the process and put their ideas into an orderly form as they write. This drafting method results in a completed *rough draft*. But even professional writers rarely produce an adequate piece of writing the first time around. Most need to plan the structure of a paper before they can sit down to write a first draft. Even if this initial structure proves to be little more than a sketch that changes markedly as the paper develops, some sort of scaffolding usually helps in taking the step from planning to writing a first draft.

Ultimately, *you* will decide how best to proceed. And don't be surprised if you begin different writing projects differently. Whether you jump in without a plan, plan rigorously, or commit yourself to the briefest preliminary sketch, ask yourself:

- What's the main point of my paper?
- What subpoints do I need to address in order to develop and support my main point?

- In what order should my points be arranged? (Do certain subpoints lead naturally to others?)

At stage 3, as you clarify the direction in which you believe your paper is heading, you ought to be able to formulate at least a *preliminary thesis* (see below). Your thesis can be quite rough, but if you don't have some sense of your main point, writing the first draft won't be possible. In this case, you would have to consider what you've written a preliminary or *discovery draft* (more of an invention strategy than an actual draft)—which is a perfectly sensible way to proceed if you're having difficulty clarifying your thoughts. Even if you begin with what you regard as a clearly stated point, don't be surprised if, by the end of the draft—just at the point where you are summing up—you discover that the paper you have in fact written differs from the paper you intended to write. However firm your ideas may be when you begin, the act of writing a draft usually clarifies matters for you.

As we've suggested, the drafting and invention stages overlap. How much planning you do after working out your ideas and before drafting your paper is a matter of personal preference. Try different methods to see which work best for you, and keep in mind that different assignments may require different methods for invention and drafting.

WRITING A THESIS A thesis, as we have seen, is a one- or two-sentence summary of a paper's content. Whether explanatory, mildly argumentative, or strongly argumentative, the thesis is an assertion about that content—for instance, what the content is, how it works, what it means, if it is valuable, if action should be taken, and so on. A paper's thesis is similar to its conclusion, but it lacks the conclusion's concern for broad implications and significance. The thesis is the product of your thinking. It represents *your* conclusion about the topic on which you're writing. So you have to have spent some time thinking about this conclusion (that is, during the invention stage) in order to arrive at the thesis that will govern your paper.

For a writer in the drafting stages, the thesis establishes a focus, a basis on which to include or exclude information. For the reader of a finished product, the thesis forecasts the author's discussion. A thesis, therefore, is an essential tool for both writers and readers of academic papers.

The Components of a Thesis Like any other sentence, a thesis includes a subject and a predicate that makes an assertion about the subject. In the sentence "Lee and Grant were different kinds of generals," "Lee and Grant" is the subject and "were different kinds of generals" is the predicate. What distinguishes a thesis from any other sentence with a subject and a predicate is that *the thesis presents the controlling idea of the paper.* The subject of a thesis, and the assertion about it, must present the right balance between the general and the specific to allow for a thorough discussion within the allotted length of the paper. The discussion might include definitions, details, comparisons, contrasts—whatever is needed to illuminate a subject and support the assertion. (If the sentence about Lee and Grant were a thesis, the reader would assume that the rest of the paper contained comparisons and contrasts between the two generals.)

Bear in mind when writing theses that the more general your subject and the more complex your assertion, the longer your discussion must be to cover the subject adequately. The broadest theses require book-length treatments, as in this case:

> Meaningful energy conservation requires a shrewd application of political, financial, and scientific will.

You couldn't write an effective ten-page paper based on this thesis. The topic alone would require pages just to define what you mean by the terms *energy conservation* and *meaningful.* Energy can be conserved in homes, vehicles, industries, appliances, and power plants, and each of these areas would need consideration. Having accomplished this first task of definition, you would then turn your attention to the claim, which entails a discussion of how politics, finance, and science—individually and collectively—influence energy conservation. Moreover, the thesis requires you to argue that "shrewd application" of politics, finance, and science is required. The thesis may very well be accurate and compelling. Yet it promises entirely too much for a ten-page paper.

To write an effective thesis and therefore a controlled, effective paper, you need to limit your subject and your claims about it. We discussed narrowing your subject during the invention stage (pp. 179–181); this narrowing process should help you arrive at a manageable topic for your paper. You will convert that topic to a thesis when you make an assertion about it—a *claim* that you will explain and support in the paper.

Making an Assertion Thesis statements make an assertion or claim *about* your paper's topic. If you have spent enough time reading, gathering information, and brainstorming ideas about the assignment, you'll be knowledgeable enough to have something to say based on a combination of your own thinking and the thinking of your sources.

If you have trouble thinking of such an assertion, devote more time to invention strategies: Try writing your subject at the top of a page and then listing everything you now know and feel about it. From such a list you can often venture an assertion that you can then use to fashion a working thesis. One good way to gauge the reasonableness of your claim is to see what other authors have asserted about the same topic. Keeping good notes on the views of others will provide you with a useful counterpoint to your own views as you write and think about your claim, and you may want to use those notes in your paper.

Next, make several assertions about your topic, in order of increasing complexity, as in the following:

1. Fuel-cell technology has emerged as a promising approach to developing energy-efficient vehicles.

2. To reduce our dependence on nonrenewable fossil fuel, the federal government should encourage the development of fuel-cell vehicles.
3. The federal government should subsidize the development of fuel-cell vehicles as well as the hydrogen infrastructure needed to support them; otherwise, the United States will be increasingly vulnerable to recession and other economic dislocations resulting from our dependence on fossil fuels.

Keep in mind that these are *working theses.* Because you haven't begun a paper based on any of them, they remain *hypotheses* to be tested. You might choose one and use it to focus your initial draft. After completing a first draft, you would revise it by comparing the contents of the paper to the thesis and making adjustments as necessary for unity. The working thesis is an excellent tool for planning broad sections of the paper, but—again—don't let it prevent you from pursuing related discussions as they occur to you.

Starting with a Working Thesis A thesis is a summary, and it is difficult to summarize a presentation yet to be written—especially if you plan to discover what you want to say during the process of writing. Even if you know your material well, the best you can do at first is to formulate a working thesis—a hypothesis of sorts, a well-informed hunch about your topic and the claim you intend to make about it. After completing a draft, you can evaluate the degree to which your working thesis accurately summarizes the content of your paper. If the match is a good one, the working thesis becomes the final thesis. But if sections of the paper drift from the focus of the working thesis, you'll need to revise the thesis and the paper itself to ensure that the presentation is unified. (You'll know that the match between content and thesis is good when every paragraph directly refers to and develops some element of the thesis.) Later in this chapter we'll discuss useful revision techniques for establishing unity in your work.

Using the Thesis to Plan a Structure A working thesis helps you sketch the structure of your paper because an effective structure flows directly from the thesis. Consider, for example, the third thesis listed above on fuel-cell technology, which is repeated here:

> The federal government should subsidize the development of fuel-cell vehicles as well as the hydrogen infrastructure needed to support them; otherwise, the United States will be increasingly vulnerable to recession and other economic dislocations resulting from our dependence on fossil fuels.

This thesis is *strongly argumentative,* or *persuasive.* The economic crises mentioned suggest urgency in the need for the solution recommended: the federal subsidy of a national hydrogen infrastructure to support fuel-cell vehicles. A well-developed paper based on this thesis would require you to commit yourself to explaining (1) why fuel-cell vehicles are a preferred alternative to gasoline-powered vehicles, (2) why fuel-cell vehicles require a hydrogen infrastructure (similar to gas stations) (3) why the government needs to subsidize industry in developing fuel-cell vehicles, and (4) how continued reliance on fossil fuel technology could make the country vulnerable to economic dislocations.

How Ambitious Should Your Thesis Be?

Writing tasks vary according to the nature of the thesis.

- The *explanatory thesis* is often developed in response to short-answer exam questions that call for information, not analysis (e.g., "How does James Barber categorize the main types of presidential personality?").
- The *mildly argumentative thesis* is appropriate for organizing reports (even lengthy ones), as well as for essay questions that call for some analysis (e.g., "Discuss the qualities of a good speech").
- The *strongly argumentative thesis* is used to organize papers and exam questions that call for information, analysis, *and* the writer's forcefully stated point of view (e.g., "Evaluate the proposed reforms of health maintenance organizations").

The strongly argumentative thesis, of course, is the riskiest of the three because you must state your position forcefully and make it appear reasonable—which requires that you offer evidence and defend against logical objections. But such intellectual risks pay dividends, and if you become involved enough in your work to make challenging assertions, you will provoke challenging responses that enliven classroom discussions as well as your own learning.

This thesis therefore helps you plan the paper, which should include a section on each of the four topics. Assuming that the argument follows the organizational plan we've proposed, the working thesis would become the final thesis. Based on this thesis, a reader could anticipate sections of the paper to come. A focused thesis therefore becomes an essential tool for guiding readers.

At this stage, however, your thesis is still provisional. It may turn out that, as you do research or begin drafting, the paper to which this thesis commits you turns out to be too long and complex. You may therefore decide to drop the second clause of the thesis (concerning the country's vulnerability to economic dislocations) and focus instead on the need for the government to subsidize the development of fuel-cell vehicles and a hydrogen infrastructure. In this case, you would save a brief (if any) mention of possible economic concerns for your conclusion. With such a change, your final thesis might read as follows:

> The federal government should subsidize the development of fuel-cell vehicles as well as the hydrogen infrastructure needed to support them.

This revised thesis commits the writer to argument, albeit an argument not as complex as the one that would follow from the original working thesis. Still, the revised thesis is more argumentative than the second proposed thesis:

> To reduce our dependence on nonrenewable fossil fuel energy sources, the federal government should encourage the development of fuel-cell vehicles.

Here we have a *mildly argumentative* thesis that enables the writer to express an opinion. We infer from the use of the words "should encourage" that the writer endorses the idea of the government's promoting fuel-cell development. But a government that "encourages" development is making a lesser commitment than one that "subsidizes," which means that it allocates funds for a specific policy. So the writer who argues for mere encouragement takes a milder position than the one who argues for subsidies. Note also the contrast between the second thesis and the first one, in which the writer is committed to no involvement in the debate and suggests no government involvement whatsoever:

> Fuel-cell technology has emerged as a promising approach to developing energy-efficient vehicles.

This thesis statement is *explanatory*, or *informative.* In developing a paper based on this thesis, the writer is committed only to explaining how fuel-cell technology works and why it is a promising approach to energy-efficient vehicles. Given this thesis, a reader would *not* expect to find the writer strongly recommending, for instance, that fuel-cell engines replace internal combustion engines in the near future. Neither does the thesis require the writer to defend a personal opinion; he or she need only justify the use of the relatively mild term *promising*.

In sum, for any topic you might explore in a paper, you can make any number of assertions—some relatively simple, some complex. On the basis of these assertions, you set yourself an agenda for your writing—and readers set for themselves expectations for reading. The more ambitious the thesis, the more complex is the paper and the greater the readers' expectations.

Exercise 9.4

Drafting Thesis Statements

After completing the group exercise in narrowing a subject (Exercise 9.2) and the individual invention exercise (Exercise 9.3), work individually or in small groups to draft three theses based on your earlier ideas: one explanatory thesis, one mildly argumentative thesis, and one strongly argumentative thesis.

Stage 5: Revision

Perhaps it's stating the obvious to say that rough drafts need revision, yet too often students skimp on this phase of the writing process. The word *revision* can be used to describe all modifications one makes to a written document. But it's useful to distinguish among three kinds of revision:

> *Global revisions* focus on the thesis, the type and pattern of evidence employed, the overall organization, the match between thesis and content, and the tone. A global revision may also emerge from a change in purpose.
>
> *Local revisions* focus on paragraphs: topic and transitional sentences; the type of evidence presented within a paragraph; evidence added, modified, or dropped within a paragraph; and logical connections from one sentence (or set of sentences) within a paragraph to another.
>
> *Surface revisions* deal with sentence style and construction as well as word choice. Sentence editing involves correcting errors of grammar, mechanics, spelling, and citation form.

Global and local revisions fall within stage 5 of the writing process; surface revisions are covered in stage 6, editing.

We advise separating large-scale (global and local) revision from later (sentence-editing) revision as a way of keeping priorities in order. If you take care of larger, global problems, you may find that, in the process, you have fixed or simply dropped awkward sentences. Get the large components in place first: *content* (your ideas), *structure* (the arrangement of your paragraphs), and *paragraph structure* (the arrangement of ideas within your paragraphs). Then tend to the smaller elements, much as you would in building a house. You wouldn't lay the carpet before setting the floor joists.

Think of revision as re-vision, or "seeing anew." To re-see, it's often useful to set your paper aside for a time and come back later to view your rough draft with a fresh eye. Doing so better allows you to determine whether or not your paper effectively deals with its subject—whether or not it comes across as unified, coherent, and fully developed.

CHARACTERISTICS OF GOOD PAPERS Apply the principles of *unity, coherence,* and *development* to the whole revision process. Let's start with unity, which we've already discussed in the context of the thesis.

Unity A paper is unified when it is focused on a main point. As we've noted, the chief tool for achieving paper unity is the thesis: It's hard to achieve unity in a paper when its central point remains unstated. But unity doesn't stop at the thesis; the body paragraphs that follow must clearly support and explain that thesis. Therefore, to determine unity:

1. Examine your introduction and make sure you have a clear, identifiable thesis.
2. Check your paper's interior paragraphs to make sure that all your points relate to that thesis.
3. Ask yourself how your conclusion provides closure to the discussion.

Coherence *Coherence* means "logical interconnectedness." When things cohere, elements come together and make a whole. Coherence is closely related to unity: Good papers cohere. They hold together logically and stay focused on a main point. All subordinate points in the body of the paper clearly relate to the main point expressed in the thesis. Moreover, all those subpoints, examples, and supporting quotations are presented in a logical order so that connections between them are clear. You could write a highly unified paper, but the reader will have a hard time following your argument or staying focused on your point if your points are discussed in haphazard order. Guide readers along with your writing. Show them not only how subpoints relate to the main point but also how they relate to one another.

Development Good papers are also well developed, meaning that their points are fully explained and supported. Readers do not live inside your head. They will not fully understand your points unless you explain them adequately. A reader may also not be persuaded that your paper's main point is valid unless you provide support for your arguments by using examples, the opinions of authorities on the subject, and your own sound logic to hold it all together.

Use the three principles of unity, coherence, and development to analyze what you have written and make necessary revisions. Does your paper stay focused on the main point? Do your paper's points relate clearly to each other? Do you need better transitions between some paragraphs to help the ideas flow more logically and smoothly? Have you fully explained and given adequate support for all your points?

These three principles for good papers also apply to the composition of good paragraphs. Paragraphs are "minipapers": they should stick to a main point (the topic sentence) and fully develop that point in an orderly fashion. Transitional words or phrases such as *however, thus, on the other hand,* and *for example* help clarify for a reader how the sentences within individual paragraphs are related.

THE REVERSE OUTLINE The *reverse outline* is a useful technique for refining a working thesis and for establishing unity between your thesis statement and the body of your paper. When you outline a paper you intend to write, you do so *prospectively*—that is, before the fact of writing. In a reverse outline, you outline the paper *retrospectively*—after the fact. The reverse outline is useful for spotting gaps in logic or development as well as problems with unity or coherence. Follow these steps to generate a reverse outline:

1. On a fresh sheet of paper (or in a new electronic document), restate your thesis, making certain that the thesis you began with is the thesis that in fact governs the logic of the paper. (Look for a competing thesis in your conclusion. In summing up, you may have clarified for yourself your *actual* governing idea as opposed to the idea you thought would organize the paper.)
2. In the margin of your draft, summarize *each* paragraph in a phrase. If you have trouble writing a summary, place an asterisk by the paragraph as a reminder to summarize it later.
3. Beneath your thesis, write your paragraph-summary phrases, one to a line, in outline format.
4. Review the outline you have just created. Is the paper divided into readily identifiable major points in support of the thesis? Have you supported each major point sufficiently? Do the sections of the outline lead logically from one to the next? Do all sections develop the thesis?
5. Be alert for uneven development. Add or delete material as needed to ensure a balanced presentation.

Stage 6: Editing

Only after revising a paper's large-scale elements—its unity, coherence, and content development; its overall structure; and its paragraph structure—are you ready to polish your paper by editing its sentences for style and correctness. At this stage you may be tired and strongly tempted to correct merely the obvious mistake here and there. Resist that impulse! Don't risk ruining a thoughtful, well-developed paper with sentence-level errors like incorrect word choice and faulty parallelism. After all your work, you don't want readers distracted by easily correctable mistakes in grammar, punctuation, and spelling.

EDITING FOR STYLE Developing an engaging writing style takes long practice. It's beyond the scope of this text to teach you the nuances of writing style, but you can consult many other fine books for help. (See, for example, William Zinsser's *On Writing Well*.) Here we'll focus on just one common stylistic problem: short, choppy sentences.

Perhaps out of fear of making common sentence errors like run-ons or comma splices, some writers avoid varying their sentence types, preferring strings of simple sentences. The result is usually unsatisfying. Compare, for instance, two versions of the same paragraph on a study of the human genome:

> Scientists have finally succeeded in decoding the human genome. This accomplishment opens up a whole new field of study. Researchers now have new ways to understand human biological functioning. We may also be able to learn new perspectives on human behavior. For centuries people have wondered about how much we are shaped by genetics. They have also wondered how much environment shapes us. The age-old questions about nature versus nurture may now be answered. Each individual's genetic heritage as well as his or her genetic future will be visible to geneticists. All of these discoveries may help us to improve and extend human life. Many diseases will be detectable. New treatments will be developed. These new discoveries open up a new area of ethical debate. Scientists and the public are going to have to decide how far to take this new genetic technology.

This paragraph illustrates the problems with choppy, repetitive sentences. First, the writer hasn't connected ideas, and sentences don't flow smoothly from one to the next. Second, the same sentence structure (the simple sentence) appears monotonously, each following the simple subject-predicate form. The result, while grammatically correct, taxes the reader's patience. Compare the preceding version to this revision (which represents just one way the paragraph could be rewritten):

> Scientists have opened a whole new field of study following their recent decoding of the human genome. Armed with new ways of understanding human biological and behavioral functioning, researchers may someday sort out the extent to which we are shaped by our genes and by our environment. When geneticists can examine an individual's genetic past and future, they may be able to make genetic alterations with the goal of improving and extending human life through early disease detection and the development of new treatments. However, such promises are not without pitfalls: genetic research must be scrutinized from an ethical standpoint, and scientists and the public will have to decide the uses and the limits of this new technology.

Not only is the revised version of this paragraph easier to read, it's also more concise, clear, and coherent. Sentences with related content have been combined.

Brief sentences have been converted to clauses or phrases and incorporated into the structure of other sentences to form more complex units of meaning.

Guard against strings of short, choppy sentences in your own writing. Learn strategies for sentence-level revision by learning how different sentence structures work. You can join sentence elements with subordinating conjunctions (*because, since, while, although,* etc.), coordinating conjunctions (*for, and, nor, but, or, yet, so*), and coordinating adverbs (*however, thus, therefore,* etc.).

EDITING FOR CORRECTNESS On matters of sentence style, there is no "correct" approach. Often, personal style and taste influence sentence construction, paragraph and sentence length, and word choice. Grammar and punctuation, on the other hand, follow more widely accepted, objective standards. Of these, we (and your instructors) can speak in terms of "correctness"—of agreed-upon conventions, or rules, that people working in academic, professional, and business environments adopt as a standard of communication. You will find the rules (for comma placement, say, or the use of *affect* versus *effect*) in up-to-date writing handbooks and grammar and usage sites online. Review the list in the Common Sentence-Level Errors box, and eliminate such errors from your papers before submitting them.

THE FINAL DRAFT When you have worked on a paper for days (or weeks), writing and revising several drafts, you may have trouble knowing when you're finished. Referring to the writing of poetry, the Pulitzer Prize–winning poet Henry Taylor once remarked that a writer is done when revisions begin to move the project sideways instead of forward. We think the same distinction applies to academic writing. After you have revised at the sentence level for grammar and punctuation, and when you get the impression that your changes *do not actively advance* the main point with new facts, arguments, illustrations, or supporting quotations, you are probably done. Stop writing and prepare a clean draft. Set it aside for a day or two (if you have that luxury), and read it one last time to catch remaining sentence-level errors.

Common Sentence-Level Errors

Errors in Grammar

Sentence fragments—word groups lacking a subject or a predicate.

Run-on sentences—two independent clauses joined without the proper conjunction (connecting word) or punctuation.

Comma splices—two independent clauses joined by a comma alone when they need stronger linkage, such as a coordinating conjunction, a conjunctive adverb, a semicolon, or a period.

Subject-verb agreement errors—the verb form doesn't match the plural or singular nature of the subject.

Pronoun usage—pronoun reference errors, lack of clarity in pronoun reference, or errors of pronoun-antecedent agreement.

Errors in Punctuation

Misplaced commas, missing commas, improper use of semicolons or colons, missing apostrophes, and the like.

Errors in Spelling

Misspelled words.

Your instructor will (likely) return the paper with comments and suggestions. Read them carefully. If you or the instructor feels that a revision is appropriate, think through the options for recasting the paper. Instructors generally respond well when you go into a conference with an action plan.

At some point, with or without instructor's comments, the paper will be done and graded. Read it through one last time, and learn from it. Once you have determined what you did well and what you could improve on for the next effort, it is time to move on.

Writing Introductions and Conclusions

9.3 Write introductions that set a context for your readers and conclusions that move beyond mere summary.

Writing introductions and conclusions is often difficult. How to start? What's the best way to approach your topic? With a serious tone, a light touch, an anecdote? And how to end? How to leave the reader feeling satisfied, intrigued, provoked?

Often, writers avoid such decisions by putting them off—and productively so. Bypassing careful planning for the introduction and conclusion, they begin writing the body of the piece. Only after they've finished the body do they go back to write the opening and closing paragraphs. There's a lot to be said for this approach: Because you've presumably spent more time thinking and writing about the topic itself than about how you're going to introduce or conclude it, you're in a better position to set out your ideas. Often it's not until you've actually seen the text on paper or on screen and read it over once or twice that a natural or effective way of introducing or concluding it occurs to you. Also, you're generally in better psychological shape to write both the introduction and the conclusion after the major task of writing is behind you and you've already set down the main body of your discussion or argument.

Introductions

An effective introduction prepares the reader to enter the world of your paper. It connects the more familiar world inhabited by the reader and the less familiar world of the writer's topic; it places a discussion in a context that the reader can understand. If you find yourself getting stuck on an introduction at the beginning of a first draft, skip it for the moment. State your working thesis directly and move on to the body of the paper.

Here are some of the most common strategies for opening a paper.

QUOTATION Consider the introductory paragraph to an article titled "Blinded by the War on Terrorism," from journalist Sarah Chayes's article in the *Los Angeles Times*:

> "This is a great time to be a white-collar criminal."
>
> An assistant U.S. attorney I know startled me with this remark in 2002. The bulk of her FBI investigators, she explained, had been pulled off to work on terrorism, which left traditional crime investigations sorely understaffed.[2]

Chayes uses a provocative remark by a U.S. attorney to grab our attention. Our assumption, perhaps naïve, is that, in a stable society governed by laws, there should *never* be a good time to be a white-collar (or any other kind of) criminal. But we learn that this is apparently not the case, as Chayes pivots on the quotation to open her report on the stretched resources at the Federal Bureau of Investigation (FBI). Quoting the words of others offers many points of departure for your paper: You can agree with the quotation. You can agree and expand. You can sharply disagree. Or you can use the quotation to set a historical context or establish a tone.

HISTORICAL REVIEW Often the reader is unprepared to follow the issue you discuss without some historical background. Consider this introduction to a comparative essay on the two world wars:

> World War I (1914–1918) and World War II (1939–1945) were the most catastrophic and destructive conflicts in human history. For those who believed in the steady but inevitable progress of civilization, it was impossible to imagine that two wars in the first half of the twentieth century could reach levels of barbarity and horror that would outstrip those of any previous era. Historians estimate that more than 22 million people, soldiers and civilians, died in World War I; they estimate that between 40 and 50 million died in World War II. In many ways, these two conflicts were similar: They were fought on many of the same European and Russian battlegrounds, with more or less the same countries on opposing sides. Even many of the same people were involved: Winston Churchill and Adolf Hitler figured in both wars. And the main outcome in each case was the same: total defeat for Germany. However, in terms of the impact on cities and civilian populations, the military aspects of the two wars in Europe, and their aftermaths, the differences between World Wars I and II considerably outweigh the similarities.

This introductory review sets a context for the writer's thesis, the final sentence of the paragraph: that the differences between the wars, as determined by comparing three criteria, were greater than the similarities. Setting a historical context requires familiarity with a topic and, for most student writers, this will involve research. Readers will appreciate this research—they didn't have to do it, after all!

[2]Sarah Chayes. "Blinded by the War on Terrorism." *Los Angeles Times* 28 Jul. 2013.

REVIEW OF A CONTROVERSY A particular type of historical review provides the background on a controversy or debate. Consider this introduction:

> Is America a melting pot or a salad bowl? How people answer this question should indicate whether they support or oppose bilingual education programs. First established in 1968, such programs mandate that students who are non-native speakers of English be taught in their own language until they become proficient in English. Proponents of bilingual education believe that the programs provide a vital period of transition for ethnic, non-English-speaking students who would otherwise fall behind in their academic work and eventually drop out of school in discouragement. Opponents argue that the sooner non-English-speaking students "immerse" themselves in English, the sooner they will master their studies and integrate themselves into the American mainstream. Which side is right? The answer is clear-cut, depending on your political point of view—which is exactly the problem. The decades-old debate over bilingual education cannot be resolved until antagonists can find at least some area of agreement on the role and significance of ethnic cultures in American life.

The writer sets out a controversy by reviewing the main arguments for and against bilingual education. Instead of taking sides in the debate, however, the writer argues (in the thesis, the final sentence of the paragraph) that a *prior* issue—the role of ethnicity in America—must be addressed before taking on bilingual education.

FROM THE GENERAL TO THE SPECIFIC Another way of providing a transition from the reader's world to the less familiar world of the paper is to work from a general subject to a specific one. The following introduction begins a paper on an argument about the ways in which the media has idealized body types in American culture:

> Most freshmen know how it feels to apply to a school and be rejected. Each year, college admissions officers mail out thousands of thin letters that begin: "Thank you for your application. The competition this year was unusually strong. . . ." We know we will not get into every college on our list or pass every test or win every starring role after every audition, but we believe we deserve the chance to try. And we can tolerate rejection if we know we compete on a level playing field. When that field seems arbitrarily to favor some candidates over others, however, we take offense. At least that's what happened when an ambitious mother took offense, bringing to court a suit that claimed her eight-year-old daughter, Frerika Keefer, was denied admission to a prestigious San Francisco Ballet School because she had the wrong "body type."

ANECDOTE AND ILLUSTRATION: FROM THE SPECIFIC TO THE GENERAL The following three paragraphs offer an anecdote that moves the reader from a specific case to a more general subject:

> On April 13 of this year, a Wednesday, my wife got up later than usual and didn't check her e-mail until around 8:30 a.m. The previous night, she had put her computer to "sleep" rather than shutting it down. When she opened it that morning

> to the Gmail account that had been her main communications center for more than six years, it seemed to be responding very slowly and jerkily. She hadn't fully restarted the computer in several days, and thought that was the problem. So she closed all programs, rebooted the machine, and went off to make coffee and have some breakfast.
>
> When she came back to her desk, half an hour later, she couldn't log into Gmail at all. By that time, I was up and looking at e-mail, and we both quickly saw what the real problem was. In my inbox I found a message purporting to be from her, followed by a quickly proliferating stream of concerned responses from friends and acquaintances, all about the fact that she had been "mugged in Madrid." The account had seemed sluggish earlier that morning because my wife had tried to use it at just the moment a hacker was taking it over and changing its settings—including the password, so that she couldn't log in again. . . .
>
> It was at about this time that I started thinking about the ramifications of this problem beyond our own situation. . . .[3]

The previous introduction moved from the general (the statement that most of us are familiar with rejection) to the specific (that a particular child was rejected from a particular school). The next introduction moves from the specific (a particular instance of computer hacking) to the general (the ramifications of trusting critical electronic information to storage in the cloud). The anecdote is one of the most effective means at your disposal for capturing and holding your reader's attention. It's also one of the most commonly used types of introduction in popular articles. For decades, speakers have begun their remarks with a funny, touching, or otherwise appropriate story. (In fact, plenty of books are nothing but collections of such stories, arranged by subject.)

QUESTION Frequently you can provoke the reader's attention by posing a question or a series of questions:

> Why is the sky blue? Countless children have asked, and countless adults have fumbled the answer. The sky is blue because Earth's atmosphere scatters sunlight into its component colors (red, orange, yellow, green, blue), with blue light scattering most "because it travels as shorter, smaller waves" (NASA). What's a light wave? What's scattering? What's visible light as opposed to non-visible light energy? If you want to be humbled quickly, try explaining any of the above to a curious five-year-old! In fact, our best teachers do precisely this all the time: present complex information to kids in age-appropriate ways. While instinct surely forms one part of great teaching—the sixth sense of knowing what students need from one instructional moment to the next—teaching is also a science built on skills that can be studied, understood, and taught. On a per-student basis, other nations invest far more in this science than America does. If we intend to keep pace with rising educational standards in the rest of the world, it is long past time we match that commitment.

Opening your paper with a question invites readers to formulate a response and then to test that response against the one you will develop in your paper.

[3]James Fallows, "Hacked!" *The Atlantic* Nov. 2011.

How *do* we answer the question "Why is the sky blue?" With difficulty! It is our acknowledgment of this difficulty that the writer uses to introduce her thesis: America should invest more heavily in teacher training.

STATEMENT OF THESIS Perhaps the most direct method of introduction is to begin immediately with the thesis:

> Nuclear power was beginning to look like a panacea—a way to lessen our dependence on oil, make our energy supply more self-sufficient, and significantly mitigate global warming, all at the same time. Now it looks more like a bargain with the devil.
>
> I wish this were not so. . . .[4]

This selection begins with a two-sentence general assertion—that reliance on nuclear fission is inherently dangerous (as any "bargain with the devil" is bound to be). This is Eugene Robinson's thesis for an article titled "Japan's Nuclear Crisis Might Not Be the Last," in which he addresses what he thinks is a naïve enthusiasm for nuclear power as a route to energy independence. Beginning with a thesis statement (as opposed to a quotation, question, or anecdote) works well when, as in this case, a debate is well understood (there's no need to provide context for readers) and you want to settle immediately into making your argument. Opening with your thesis also works well when you want to develop an unexpected, or controversial, argument. If, for example, you open with the provocative assertion that "Reading is dead" in a paper examining the problem of declining literacy in the digital age, the reader is bound to sit up and take notice, perhaps even protest: "No, it's not—I read all the time!" This strategy hooks a reader, who is likely to want to find out how you will support such an emphatic thesis.

One final note about our model introductions: They may be longer than introductions you have been accustomed to writing. Many writers (and readers) prefer shorter, snappier introductions. The ideal length of an introduction depends on the length of the paper it introduces, and it may also be a matter of personal or corporate style. There is no rule concerning the correct length of an introduction. If you feel that a short introduction is appropriate, use one. Conversely, you may wish to break up what seems like a long introduction into two paragraphs.

Exercise 9.5

Drafting Introductions

Imagine that you are writing a paper using the topic, ideas, and thesis you developed in the exercises in this chapter. Conduct some preliminary research on the topic, using an Internet search engine such as Google or Bing or an article database available at your college. Choose one of the seven types of introductions

[4]Eugene Robinson. "Japan's Nuclear Crisis Might Not Be the Last." *Washington Post* 14 Mar. 2011.

we've discussed—preferably one you have never used before—and draft an introduction that would work to open a paper on your topic. Use our examples as models to help you draft your introduction.

Conclusions

You might view your conclusion as an introduction in reverse: a bridge from the world of your paper back to the world of your reader. The simplest conclusion is a summary of the paper, but at this point you should go beyond mere summary. You might begin with a summary, for example, and then extend it with a discussion of the paper's significance or its implications for future study, for choices that individuals might make, for policy, and so on. You could urge readers to change an attitude or modify behavior. Certainly, you're under no obligation to discuss the broader significance of your work (and a summary, alone, will satisfy the formal requirement that your paper have an ending), but the conclusions of effective papers often reveal that their authors are "thinking large" by placing their limited subject into a larger social, cultural, or historical context.

Two words of advice: First, no matter how clever or beautifully executed, a conclusion cannot salvage a poorly written paper. Second, by virtue of its placement, the conclusion carries rhetorical weight: It is the last statement a reader encounters before turning from your work. Realizing this, writers who expand on the basic summary conclusion often wish to give their final words a dramatic flourish, a heightened level of diction. Soaring rhetoric and drama in a conclusion are fine as long as they do not unbalance the paper and call attention to themselves. Having labored long hours over your paper, you may be inclined at this point to wax eloquent. But keep a sense of proportion and timing. Make your points quickly and end crisply.

SUMMARY (PLUS) Concluding with a paragraph of summary alone is useful if your paper is long or you simply want to reemphasize your main point. In his article "Wind Power Puffery," H. Sterling Burnett argues that the benefits of wind power have been considerably exaggerated and the drawbacks considerably downplayed. He explains why wind is an unreliable source of steady power and how conventional power plants must, at considerable expense, supplement the electrical energy derived from wind farms. Wind power also creates its own environmental problems, Barnett argues, and wind towers pose deadly hazards to birds and other flying creatures. He concludes with a summary of his main points—and an opinion that follows from these points:

> Wind power is expensive, doesn't deliver the environmental benefits it promises, and has substantial environmental costs. In short, wind power is no bargain. Accordingly, it doesn't merit continued government promotion or funding.[5]

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[5]H. Sterling Barnett, "Wind Power Puffery." *Washington Times* 4 Feb. 2004.

The final sentence goes beyond summary to articulate the main conclusion Barnett draws from the arguments he has made.

STATEMENT OF THE SUBJECT'S SIGNIFICANCE One of the more effective ways to conclude a paper is to discuss the larger significance of your subject. Here you move from the specific concern of your paper to the broader concerns of the reader's world. A paper on the Wright brothers might end with a discussion of air travel as it affects economies, politics, or families; a paper on contraception might end with a discussion of its effect on sexual mores, population, or the church. But don't overwhelm your reader with the importance of your remarks. Keep your discussion focused.

In this paragraph, folklorist Maria Tatar concludes the introduction to her book *The Annotated Classic Fairy Tales* (2002):

> Disseminated across a wide variety of media, ranging from opera and drama to cinema and advertising, fairy tales have become a vital part of our cultural capital. What keeps them alive and pulsing with vitality and variety is exactly what keeps life pulsing: anxieties, fears, desires, romance, passion, and love. Like our ancestors, who listened to these stories at the fireside, in taverns, and in spinning rooms, we remained transfixed by stories about wicked stepmothers, bloodthirsty ogres, sibling rivals, and fairy godmothers. For us, too, the stories are irresistible, for they offer endless opportunities to talk, to negotiate, to deliberate, to charter, and to prattle on endlessly as did the old wives from whom the stories are thought to derive. And from the tangle of that talk and chitchat, we begin to define our own values, desires, appetites, and aspirations, creating identities that will allow us to produce happily-ever-after endings for ourselves and our children.[6]

After a lengthy discussion of what fairy tales are about and how they work, Tatar concludes with a theory about why these ancient stories are still important: They are "a vital part of our cultural capital." They deal with "what keeps life pulsing," and in the way that they encourage opportunities to talk about these classic motifs, they serve to connect our ancestors' "values, desires, appetites, and aspirations" with our own and our children's. Ending the paper with a statement of the subject's significance is another way of saying, "The conclusions of this paper matter." If you have taken the trouble to write a good paper, the conclusion *does* matter. Don't be bashful: State the larger significance of the point(s) you have made. (But avoid claiming too great a significance for your work lest, by overreaching, you pop the balloon and your reader thinks, "No, the subject's not *that* important.")

CALL FOR FURTHER RESEARCH Scientists and social scientists often end their papers with a review of what has been presented (as, for instance, in an experiment) and the ways in which the subject under consideration needs to be further explored. *A cautionary note:* If you raise questions that you call on others

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[6]Maria Tatar, "An Introduction to Fairy Tales." *The Annotated Classic Fairy Tales* (2002), ed. and trans. by Maria Tatar. W. W. Norton & Company, Inc.

to answer, make sure you know that the research you are calling for hasn't already been conducted.

The following conclusion ends an article titled "Toward an AIDS Vaccine" by Bruce D. Walker and Dennis R. Burton:

> With few exceptions, even the most critical and skeptical of scientists, who have stressed the difficulties of developing an HIV vaccine, feel that this is no time to give up. However, far more selectivity than hereto in advancing immunogens to large-scale clinical trials is required. The mantra of "the only way we will know if it is likely to be effective is to try it in humans" is not appropriate given the current state of knowledge. Trust in science, making full use of the tool kit that is provided by modern molecular biology, immunology, virology, structural biology, chemistry, and genomics is crucial. There is a critical need to understand how other vaccines work with a level of detail that has never been necessary for pathogens less adapted to immune evasion. The way forward is without question very difficult and the possibility of failure high, but the global need is absolutely desperate, and this is an endeavor that must be pursued, now with greater passion than ever.[7]

Notice how this call for further research emphasizes both the difficulty of the task ahead and the critical nature of pursuing that task. The authors point to some of the pitfalls ahead and, in their plea to "[t]rust in science," point to a way forward.

SOLUTION/RECOMMENDATION The purpose of your paper might be to review a problem or controversy and to discuss contributing factors. In such a case, after summarizing your discussion, you could offer a solution based on the knowledge you've gained while conducting research, as in the following conclusion. Of course, if your solution is to be taken seriously, your knowledge must be amply demonstrated in the body of the paper. Here's the concluding paragraph from a student paper on the shooting at Virginia Tech in 2007.

> What happened at Virginia Tech was a tragedy. Few of us can appreciate the grief of the parents of the shooting victims at Virginia Tech, parents who trusted that their children would be safe and who were devastated when that faith was betrayed. We cannot permit lone, deranged gunmen to exorcise their demons on campus. We should support changes that involve a more proactive approach to student mental health and improvements in communication between departments that can identify students at risk of becoming violent. But we must also guard against allowing a few isolated incidents, however tragic, to restrict the rights of millions of other, law-abiding students. Schools must not use Virginia Tech as a pretext to bring back the bad old days of resident assistants snooping into the personal lives of students and infringing on their privacy—all in the name of spotting the next campus killer. Both the federal courts and Congress have rejected that approach and for good reason have established the importance of privacy rights on campus. These rights must be preserved.

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[7]Bruce D. Walker and Dennis R. Burton. "Toward an AIDS Vaccine." *Science* 9 May 2008, p. 764. doi: 10.1126/science.1152622.

In this conclusion, the author recommends dealing with violence on campus in ways that preserve student rights.

ANECDOTE As we've seen in our discussion of introductions, an anecdote is a briefly told story or joke, the point of which is to shed light on your subject. The anecdote is more direct than an allusion. With an allusion, you merely refer to a story ("We would all love to go floating down the river like Huck . . ."); with the anecdote, you retell the story. The anecdote allows readers to discover for themselves the significance of a reference to another source—an effort most readers enjoy because they get to exercise their creativity.

The following anecdote concludes an article by Newton Minow, former chairman of the Federal Communications Commission who, more than fifty years ago, gained instant celebrity by declaring that television was a "vast wasteland." In his article, "A Vaster Wasteland," Minow discusses "critical choices about the values we want to build into our 21st-century communications system—and the public policies to support them." He explains how we should commit to six major goals and concludes:

> As we think about the next 50 years, I remember a story President Kennedy told a week before he was killed. The story was about French Marshal Louis-Hubert-Gonzalve Lyautey, who walked one morning through his garden with his gardener. He stopped at a certain point and asked the gardener to plant a tree the next morning. The gardener said, "But the tree will not bloom for 100 years." The marshal replied, "In that case, you had better plant it this afternoon."[8]

Minow doesn't bother to explain the significance of the anecdote, which he assumes should be clear: The task ahead will not see fruit for a long time, but unless we get to work immediately, it will take even longer.

QUOTATION A favorite concluding device is the quotation—the words of a famous person, an authority in the field on which you are writing, or simply someone in a position to know a great deal about the subject. By quoting another, you link your work to that person's, thereby gaining authority and credibility. The first criterion for selecting a quotation is its suitability to your thesis. But consider carefully what your choice of sources says about you. Suppose you are writing a paper on the American work ethic. If you could use a line either by the comedian Jon Stewart or by the current secretary of labor to make the final point of your conclusion, which would you choose and why? One source may not be inherently more effective than the other, but the choice would affect the tone of your paper.

The following paragraph concludes an article called "Tiger Mom vs. Tiger Mailroom." The author, Patrick Goldstein, who writes about the film industry for the *Los Angeles Times*, joined the "Tiger Mom" debate, sparked by Amy Chua. In an earlier article titled "Chinese Mothers Are Superior," Chua explained why she forbade her children to engage in normal childhood recreational and after-school activities (except for learning the piano or violin),

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[8]Newton S. Minow, "A Vaster Wasteland." *The Atlantic* Apr. 2011, p. 52.

insisting that they work as hard as possible to earn grades no lower than A. Goldstein argues that, in most professions, drive and initiative are more important than grade point averages: "charm, hustle, and guile are the aces in the deck." He concludes:

> In Hollywood, whether you were a C student or a *summa cum laude*, it's a level playing field. "When you're working on a movie set, you've got 50 film professors to learn from, from the sound man to the cinematographer," says producer David Permut, who dropped out of UCLA to work for [independent filmmaker] Roger Corman. "I've never needed a resume in my whole career. All you need is a 110-page script that someone is dying to make and you're in business."[9]

Goldstein's quotation from Permut drives home his point that, in the real world, it's not grades but talent, connections, and old-fashioned "hustle" that are the crucial elements in professional success.

QUESTION Just as questions are useful for opening papers, they are useful for closing them. Opening and closing questions function in different ways, however. The introductory question promises to be addressed in the paper that follows, but the concluding question leaves issues unresolved, calling on readers to assume an active role by offering their own answers. Consider the following paragraph, written to conclude a critique of an argument by columnist Charles Krauthammer on the importance of refunding the National Aeronautics and Space Administration (NASA) and returning to the moon:

> In "The Moon We Left Behind," Charles Krauthammer stirs the emotions with his call for the United States to return to the moon; and, in terms of practical spinoffs, such a return could benefit this country in many ways. Krauthammer's argument is compelling, even if he too easily discounts the financial and political problems that will pose real obstacles to a renewed lunar program. Ultimately, what one thinks of Krauthammer's call to renew moon exploration depends on how one defines the human enterprise and the purpose of collective agreement and collective effort—what we call "government." To what extent should this purpose be to solve problems in the here and now? To what extent should it be to inquire and to push against boundaries for the sake of discovery and exploration, to learn more about who we are and about the nature of our universe? There have always been competing demands on national budgets and more than enough problems to justify spending every tax dollar on problems of poverty, social justice, crime, and the like. Krauthammer argues that if we are to remain true to our spirit of inquiry, however, we cannot ignore the investigation of space because scientific and technological progress is also a human responsibility. He argues that we can—indeed, we must—do both: look to our needs here at home and also dream, look to the sky, and ask: What is out there?

The writer poses three questions. The first two form a pair and appear mid-paragraph to establish the poles in a philosophical debate: Before we can respond to suggestions to spend billions on space exploration, we must answer *prior*

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[9]Patrick Goldstein, "Tiger Mom vs. Tiger Mailroom." *Los Angeles Times* 6 Feb. 2011.

questions on the proper role of government. These questions challenge readers to consider that purpose themselves. The paragraph concludes on another question that directs the reader's gaze outward, to space. The strategy here is to inspire wonder as we turn away from the critique.

SPECULATION When you speculate, you consider what might happen as well as what has happened. Speculation involves a spinning out of possibilities. It stimulates readers by immersing them in your discussion of the unknown, implicitly challenging them to agree or disagree. The following paragraphs conclude a student paper on the effects of rising sea levels:

> The fate of low-lying coastal cities like Tacloban in the Philippines or Pacific island nations like Tuvalu can now be plotted, and the news is not good either for them or for coastal dwellers in more developed areas of the world. We have seen numerous examples of how rising sea levels have resulted in storm surges responsible for destroying dwellings and farms and for killing thousands. According to a recent United Nations report, sixty million people now live in low-lying coastal areas "within one meter of sea level," and by the end of the century that number is likely to double (United Nations Radio). We know enough to understand the risks of concentrating populations by the oceans. Yet even after devastating storms, governments continue to rebuild communities, indeed whole villages and towns, in the same vulnerable areas.
>
> Over time, Nature generally doesn't lose contests like these, and sooner or later we will find ourselves contemplating the unthinkable: abandoning great coastal cities like New York, Calcutta, and Tokyo for higher ground. If the potential human destruction isn't enough to force policy makers to relocate whole populations away from the coasts, in time the loss of money will. Insurance companies, the ones who pay out on billion-dollar losses from major storms, may simply stop insuring cities and businesses that insist on living and working by the sea. When people can no longer insure themselves against heavy losses from climate-related events, the inevitable course of action will be clear: to build on higher ground, further from danger. In two hundred years, the coastal maps of the world will look very different than they do today.

The prospect of nations abandoning great coastal cities like New York and Tokyo might seem extreme, but that is exactly the author's intent: to suggest a scenario that challenges readers to agree or not. If you have provided the necessary information prior to your concluding speculation, you will send readers back into their lives (and away from your paper) with an implicit challenge: Do they regard the future as you do? Whether they do or not, you have set an agenda. You have started them thinking.

Exercise 9.6

Drafting Conclusions

Imagine that you have written a paper using the topic, ideas, and thesis you developed in the earlier exercises in this chapter. Conduct some preliminary research on the topic, using an Internet search engine such as Google or Bing or an article database available at your college library. Choose one of the eight types of conclusions we've discussed—preferably one you have never used before—and draft a conclusion that would work to end your paper. Use our examples as models to help you draft your conclusion.

Writing Assignment: Process

Choose either of the following writing assignments:

1. Write a paper following the process outlined in this chapter. As a guide, you may want to complete Exercise 9.1–9.6, which will serve as prompts. As you write, keep a log in which you record brief observations about each stage of the writing process. Share the log with your classmates and discuss the writing process with them.
2. In this chapter, you have learned to approach writing as a task divided into stages that blend together and loop back on one another: understanding the task, gathering data, invention, drafting, revision, and editing. Write a one- or two-page statement in which you compare your writing process *prior* to taking a composition course to the process you've learned from this text and from your instructor. What are the main differences? What are the similarities? At the end of your statement, speculate on the ways you might alter this process to better suit you.

Chapter 10

Locating, Mining, and Citing Sources

Learning Objectives

After completing this chapter, you will be able to:

10.1 Understand the importance of using sources and how to integrate research into the writing process.

10.2 Brainstorm to identify fruitful topics and shape them into a useful research question.

10.3 Use the resources that can help you in the research process.

10.4 Find and use general sources for preliminary research on a topic.

10.5 Conduct focused research on a topic and evaluate your sources.

10.6 Compile a working bibliography and arrange your notes in an outline.

10.7 Employ strategies to avoid the pressures that can lead to plagiarism.

10.8 Cite sources using APA format and MLA format.

Source-Based Papers

10.1 Understand the importance of using sources and how to integrate research into the writing process.

Research extends the boundaries of your knowledge and enables you to share your findings with others. The process of locating and working with multiple sources draws on many of the skills we have discussed in this text:

1. Taking notes.
2. Organizing your findings.

3. Summarizing, paraphrasing, and quoting sources accurately and ethically.
4. Critically evaluating sources for their value and relevance to your topic.
5. Synthesizing information and ideas from several sources that best support your own critical viewpoint.
6. Analyzing topics for meaning and significance.

The model explanatory synthesis in Chapter 6, "The 'Idea' of Money" (pp. 114–119), and the model argument synthesis in Chapter 7, "Responding to Bullies" (pp. 136–143), are examples of research papers that fulfill these requirements. The quality of your research and the success of any paper on which it is based are directly related to your success in locating relevant, significant, reliable, and current sources. This chapter will help you in that process.

Where Do We Find Written Research?

Here are just a few of the types of writing that involve research:

Academic Writing

- **Research papers** investigate an issue and incorporate results in a written or oral presentation.
- **Literature reviews** research and review relevant studies and approaches to a particular science, social science, or humanities topic.
- **Experimental reports** describe primary research and often draw on previous studies.
- **Case studies** draw on primary and sometimes secondary research to report on or analyze an individual, a group, or a set of events.
- **Position papers** research approaches to an issue or solutions to a problem in order to formulate and advocate a new approach.

Workplace Writing

- **Reports** in business, science, engineering, social services, medicine
- **Market analyses**
- **Business plans**
- **Environmental impact reports**
- **Legal research:** memoranda of points and authorities

Writing the Research Paper

Here is an overview of the main steps involved in writing research papers. Keep in mind that you will likely return to many of these steps, such as refining your question and your thesis and finding new sources, throughout the process.

Brainstorming a Topic

- **Investigate topics that interest you.**
- **Narrow your topic.** Creating a concept map is one great way to help you narrow your topic down to something manageable.

Developing the Research Question

- **Develop a research question.** Formulate an important open-ended question that you propose to answer through your research.

Locating Sources

- **Conduct preliminary research.** Consult knowledgeable faculty members and friends, academic librarians, reputable Web sites, academic search engines called databases and discovery services at your library, and overviews in recent books and articles. Begin your search with well-chosen keywords and pay attention to other words and phrases that appear often in the titles, abstracts, and records of your results. Some of these words and phrases may give you new leads in expanding or refining your search.
- **Refine your research question.** Based on your preliminary research, brainstorm about your topic and ways to answer your research question. Sharpen your focus, refine your question, and plan the sources you'll need to consult.
- **Conduct focused research.** Consult books and general and discipline-specific databases for articles in periodicals and other material. Conduct interviews and surveys, as necessary.

Mining Sources

- **Develop a working thesis.** Based on your initial research, formulate a working thesis that responds to your research question. This thesis may change over time as you learn more about your topic.
- **Develop a working bibliography.** Keep track of your sources, either on paper or digitally. Include bibliographic information as well as key points about each source, and make it easy to sort and rearrange. Investigate bibliographic management tools like Mendeley, Zotero, and EndNote.
- **Evaluate sources.** Determine the reliability of your sources by comparing the source to similar works on the subject, finding out information about the author, looking up reviews, and using your own critical reading skills. Reviews are especially helpful and can be found in library databases and Amazon.com, among other places. Find out about the author by searching for her or his name or reading the "About the author" statements that often accompany scholarly articles.
- **Take notes from sources.** Paraphrase and summarize important information and ideas from your sources. Copy down important quotations. Note page numbers from sources of this quoted and summarized material. PDF annotation tools can be extremely useful for sources in this format.
- **Develop a working outline and arrange your notes according to your outline.**

Drafting; Citing Sources

- **Write your draft.** Write the preliminary draft of your paper, working from your notes and outline.
- **Avoid plagiarism.** Take care to cite all quoted, paraphrased, and summarized source material. Make sure that your own wording and sentence structure differ from those of your sources.
- **Cite sources.** Use in-text citations and a Works Cited or References list, according to the style you've been assigned to use (e.g., MLA, APA, CSE).

Revising (Global and Local Changes)

- **Revise your draft.** Consider global, local, and surface revisions. Check that your thesis still reflects your paper's focus and that you clearly answer your research question. Review topic sentences and paragraph development and logic. Use transitional words and phrases to ensure coherence. Make sure that the paper reads smoothly and clearly from beginning to end.

Editing (Surface Changes)

- **Edit your draft.** Check for style, combining short, choppy sentences and ensuring variety in your sentence structures. Check for grammatical correctness, punctuation, and spelling.

Developing a Topic into a Research Question

10.2 Brainstorm to identify fruitful topics and shape them into a useful research question.

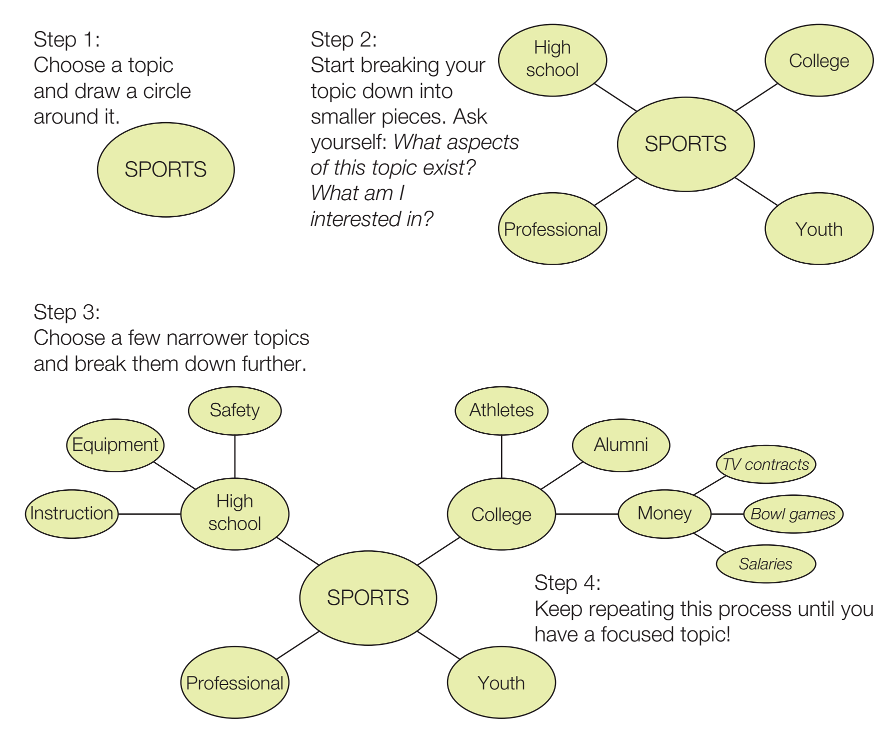
Brainstorming a Topic

Coming up with a workable topic is one of the most challenging parts of research. The possibilities can seem endless and overwhelming, or it may be frustratingly difficult to think of a single one that interests you.

To get started with brainstorming, try creating a ***concept map*** of your ideas (see Figure 10.1). The concept map is a helpful way to organize your thinking, and allows you to explore all the different aspects of a topic. Your map doesn't have to look like the example in the figure; it can be a list or arranged in some other fashion that makes sense to you as long as it helps you break down and investigate your topic.

Figure 10.1
Concept Map

Creating a concept map



Narrowing Your Topic

If you need help narrowing a broad subject, try one or all of the following strategies:

- Brainstorm different aspects of your topic. Ask yourself, "What pieces of this topic exist?" "How can I break it down into smaller chunks?" "What am I really interested in about this topic?" Using a visual tool like a concept map or a mind map can be very helpful here.
- Do a quick keyword search for your topic in a library search engine or a general search engine like Google. Read a few articles about your topic and see how the authors approach it. You can get a lot of good ideas from other people's work.
- Consult with a reference librarian, your professor, and other members of your class. They may have ideas you haven't considered.

The Research Question

Once you have chosen a focused topic, create a *research question*. A research question is just that: a question that you can answer by doing research. A well-crafted research question helps you focus both your searching process and your paper writing because every source you find and every sentence you write should help you answer your question. In time, the answer you develop to your research question will become the thesis of your paper.

Some research questions are more effective and useful than others. A good research question is **unbiased**, **open-ended**, and **focused**.

Here are three suggestions for devising successful questions.

Focused: Pose neutral, unbiased questions that don't already assume a specific answer. Be open to whatever answer the research leads you to.

EFFECTIVE How does the use of computers to compose and produce music influence the creative process?

LESS EFFECTIVE Are musicians who rely on computers to compose and produce music cheating the creative process? [The use of "cheating" suggests that the researcher has already answered the question.]

Open-Ended: Emphasize how, why, and what questions that invite discussion and discovery. Avoid yes-or-no questions or questions that can be answered by a simple phrase or list. A good research question has many possible answers.

EFFECTIVE How do software engineers create algorithms that map patterns in music?

LESS EFFECTIVE Can music be analyzed with mathematics? [The yes-or-no question yields less information and leads to less understanding than the *how* question.]

Focused: Craft specific questions; a broad question can lead to frustration. Starting out somewhat broad and narrowing to something more specific as you learn more is a great strategy.

EFFECTIVE How has the use of computers affected the marketing of popular music in the United States?

LESS EFFECTIVE How has the use of computers affected American popular culture? [Assuming a brief paper, the topic is too broad.]

Exercise 10.1

Constructing Research Questions

Moving from a broad topic or idea to the formulation of **unbiased**, **open-ended**, and **focused** research questions can be challenging. Practice this skill by working with a small group of your classmates to construct research questions about the following topics (or come up with topics of your own). Use the methods above and the concept map in Figure 10.1 to narrow your topics. Write at least one research question that narrows each topic listed; then discuss these topics and questions with the other groups in class.

Racial or gender stereotypes in television shows

Drug addiction in the U.S. adult population

Global environmental policies

Employment trends in high-technology industries

U.S. energy policy

Getting Started with Research

10.3 Use the resources that can help you in the research process.

Once you have a research question, find out what resources are available to help you answer it. Almost all of your research will be done online. To do an effective search online, it's important to know how search engines work.

Search engines can search all kinds of things. Google searches pages on the web, for example, while library search engines search databases full of articles, books, and other records. There are many other kinds of search engines, but they all do basically the same thing (see Figure 10.2). For you as a researcher, this means that you must be careful in developing keywords. Always ask what words and phrases you think someone writing on your topic might use.

Consult Knowledgeable People

When you think of research, you may immediately think of search engines and libraries. But don't neglect a key reference: other people. Your *instructor* can probably suggest fruitful areas of research and some useful sources. Try to see your instructor during office hours, however, rather than immediately before or after class, so that you'll have enough time for a productive discussion.

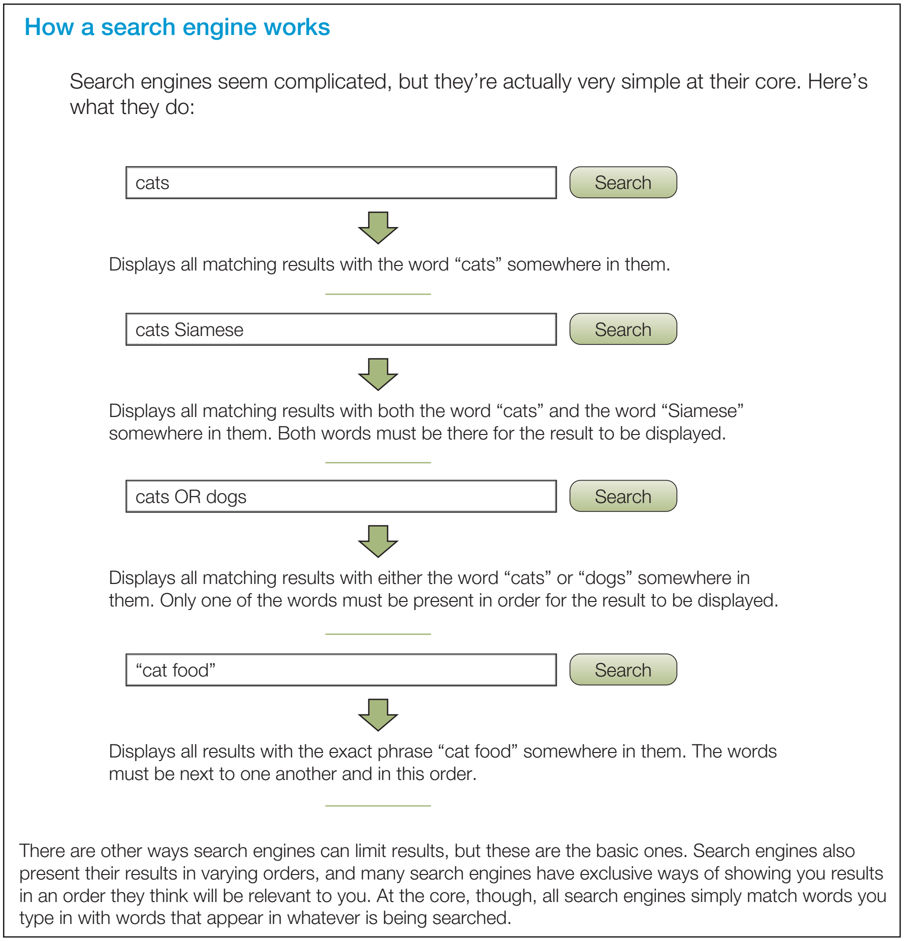


Figure 10.2
How a Search Engine Works

In addition to your instructor, *academic librarians* are among the most helpful people you can find in guiding you through the research process. Your librarian can suggest the following:

- Which reference sources (e.g., databases, specialized encyclopedias, dictionaries, and Web sites) might be fruitful for your particular area of research.
- Search strategies.
- Effective keywords to describe the various facets of your topic.
- Effective Boolean operators, truncation, and string (or phrase) searching (see the section Advanced Searching with Boolean Logic and Truncation in this chapter, pp. 222–223).
- Database results and bibliographies to find ways to extend your search.
- Searches using the library's databases.

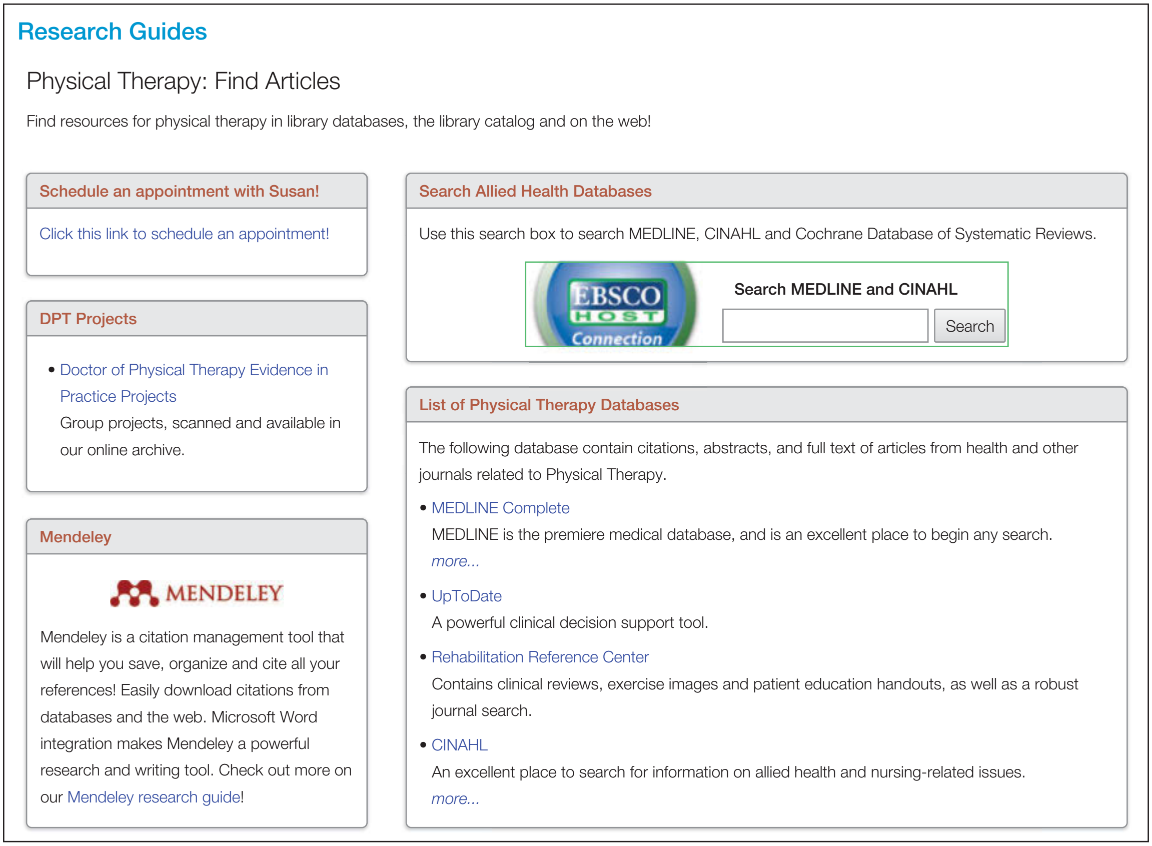


Figure 10.3 A Sample Research Guide Page

Familiarize Yourself with Your Library's Resources

Knowing how to use the resources of your library is an important part of your research. Among the most helpful guides to these resources are research guides, also known as subject guides or sometimes as libguides. These lists of your library's resources are focused around specific topics. Figure 10.3 shows an example of a library subject guide to physical therapy.

Look for subject guides or research guides on your own academic library's homepage.

Locating Preliminary Sources

10.4 Find and use general sources for preliminary research on a topic.

General sources, also known as reference sources, are a good way to get background information quickly. It's a good idea to use these sources to gather basic information on your topic so that you will be better prepared to do more focused research.

- Ask your instructor or librarian to recommend sources on the subject.
- Use an online database or search engine to explore your topic. (See Figure 10.2, How a Search Engine Works.) Type in different keyword or search term combinations and browse the sites you find for ideas and references to sources you can look up later.
- Scan the Suggestions for Further Reading sections of your textbooks. Ask your librarian for useful reference tools in your subject area.
- Read an encyclopedia or other general article on the subject and use the bibliography following the article to identify other sources.
- Read the introduction to a recent book on the subject and review that book's bibliography to identify more sources.

Encyclopedias

Reading an encyclopedia entry about your subject will give you a basic understanding of the most significant facts and issues. Encyclopedia articles—written by specialists in the respective fields—offer a broad overview that may serve as a launching point to more specialized research in a particular area. An encyclopedia article frequently concludes with a brief *bibliography* describing important books and articles on the subject, which can be another important resource. Encyclopedias have limitations, however:

1. Most professors don't accept encyclopedia articles—and particularly Wikipedia articles (see below)—as legitimate sources for academic papers. Use encyclopedias to familiarize yourself with the subject area and as a springboard for further research.
2. Not all encyclopedias, even ones that appear online, are kept up to date. Check to see if any article you're reading is still current.

Look for encyclopedias in your library's online holdings. They are part of collections like Credo Reference and Gale Virtual Reference Library, or they exist by themselves.

Wikipedia: Let the Buyer Beware

Perhaps the Web's most widely used site for general information is Wikipedia (http://www.wikipedia.org). According to Wikipedia itself, the site contains 30 million articles in 287 languages, 4.3 million of them in the English edition. Wikipedia bills itself as "the free encyclopedia that anyone can edit." This site is thoroughly democratic: Not only can anyone write articles for Wikipedia, anyone can edit most articles others have written.

At the same time and for the same reasons, these articles can be of doubtful accuracy and reliability. Authors of Wikipedia articles need no qualifications to write on their chosen subject, and their entries are subject to no peer review or fact checking. (On numerous occasions, vandals have written or rewritten defamatory articles.)

The bottom line on Wikipedia is that it can be a source of useful information not readily available elsewhere, but *caveat emptor*, or "let the buyer beware." Even if researchers can't always be sure of the reliability of Wikipedia entries, many articles conclude with a section of footnote references and external links that can be very useful for further research.

You will likely find it helpful to consult both *general* and *specialized* encyclopedias, such as the *Grove* encyclopedias of art and architecture, the *McGraw-Hill Encyclopedia of Science and Technology, Digital World Biology*, and Corsini's *Encyclopedia of Psychology*. Specialized encyclopedias restrict themselves to a particular disciplinary area, such as chemistry, law, or film, and are considerably more detailed in their treatment of a subject than are general encyclopedias.

Some library tools, such as Credo Reference and Gale Virtual Reference Library, are collections of online general and specialized encyclopedias.

Exercise 10.2

Exploring Encyclopedias

Locate several specialized encyclopedias within your major or area of interest either in print or online. If your library has an online list of reference sources, look through it. Otherwise, search your library's catalog using a word that describes the broader discipline encompassing the topic (e.g., "film," "chemistry," or "law") along with the word *encyclopedia*.

Search through the encyclopedias and read entries on topics that interest you. Jot down notes describing the kinds of information you find. You might look for important concepts, terms, or the names of important people related to your topic or for events, dates, or definitions. These can make up the sets of words (keywords) that you subsequently take to library search engines.

In addition, if you are in the library building instead of online, browse around the area where you found a particularly useful encyclopedia or book. Because of the way that books are arranged in the library, you'll be able to find books on similar topics near each other. For example, the books on drug abuse should be clustered near each other. Browsing a physical location can be a powerful tool for finding unexpectedly useful material.

Biographical Sources

Your preliminary research may prompt you to look up information on particular people. In these cases, consult biographical sources, which can be classified in several ways: by person (living or dead), geography, subject area, gender, race, or historical period.

Here are examples of biographical sources, almost all of which are available online for free or through your library's collections:

American National Biography Online

Biography and Genealogy Master Index

Biography in Context (a general biographical reference that incorporates numerous, previously separate specialized biographical guides)

Biology Reference Bank

Black Americans in Congress, 1870–2007 (freely available online at history.house.gov)

Contemporary Authors

Current Biography

Dictionary of Literary Biography

Notable American Women: A Biographical Dictionary

Oxford Dictionary of National Biography

Who's Who in America

Who's Who in the Arab World

Statistical Sources

You may want to consult sources with statistics and demographics. One useful source is USA.gov. This site is the federal government's homepage, but it has a search engine that searches government information at the federal, state, and local level in the United States. By searching for your topic and the word *statistics*, you will often be able to find some of the figures the government keeps. Here are a few other statistical sources:

CQ Almanac (formerly Congressional Quarterly Almanac) is available both in print and online versions.

State of the World's Children (published by UNICEF).

The U.S. Census Web site (http://factfinder.census.gov) has detailed information about the people who live in locations all around the country (see Figure 10.4).

In Figure 10.4, note the two columns comparing the city of Hartford to the rest of the state, as well as the link to more detailed information.

Overviews and Bibliographies

If your professor or a bibliographic source directs you to an important recent book on your topic, skim the introductory (and possibly concluding) material, along with the table of contents, for an overview of key issues.

Figure 10.4 A Sample Page from the U.S. Census Web Site.

Connecticut counties- selection map
Select a county ▾ Go

Connecticut cities- place search
Select a city ▾ Go

▶ More Connecticut data sets

Hartford (city), Connecticut

Want more? Browse data sets for Hartford (city)

People QuickFacts	Hartford	Connecticut
Population, 2014 estimate	124,705	3,596,677
Population, 2010 (April 1) estimates base	124,775	3,574,096
Population, percent change - April 1, 2010 to July 1, 2014	–0.1%	0.6%
Population, 2010	124,775	3,574,097
Persons under 5 years, percent, 2010	7.6%	5.7%
Persons under 18 years, percent, 2010	25.8%	22.9%
Persons 65 years and over, percent, 2010	8.9%	14.2%

Check also for a bibliography, also known as Works Cited or a References list. These lists are extremely valuable resources for locating material for research. For example, Robert Dallek's 2003 book *An Unfinished Life: John Fitzgerald Kennedy, 1917–1963*, includes a seven-page bibliography of sources on President Kennedy's life and times.

Conducting Focused Research

10.5 Conduct focused research on a topic and evaluate your sources.

Once you have completed preliminary research, your objective becomes learning as much as you can about your topic so that you can provide the best possible answer to your research question.

Types of Sources

Sources for focused research often fall into two broad categories: *primary* and *secondary*.

Primary Sources

- Original materials such as experiments, observations, surveys, interviews, diaries, first-person accounts, and so on.

Secondary Sources

- Sources that analyze, synthesize, and/or collect other primary or secondary sources. Much of the work you'll create in college is secondary.

All primary and secondary work appears in one of several different kinds of format. These formats are becoming less and less defined as information migrates online, but we can still identify some basic types of sources that you might encounter. The chart in Figure 10.5 will help you determine which types you might want to use.

Figure 10.5 Types of Sources Used for Focused Research

Type	Books	Academic/Scholarly material (journals)	News/Magazine sources	General web sources
Length	Long, covers material in-depth	medium-length	Short	Varied, mostly short
Editing	Usually goes through a thorough editing process	Reviewed by other scholars and experts for methodology and accuracy	Usually given a quick edit and fact-checked	Varied, but often not edited or reviewed at all
Authors	Usually an expert, but this can vary depending on the book.	An expert with detailed specialized knowledge, often either a university professor or someone working at a high level in the field.	Journalists	Anyone
Currency	Books can take many years to write, edit, develop and publish.	Takes around a year and a half between when a study is performed and when article is published	Articles can appear within an hour of an event happening	Varied, often immediate
Subject	Often broad	Usually very specific, often having to do with an experiment or study	Can be either broad or somewhat specific	Varied
Audience	Depends on the book	Other experts, people who work in the field, and students	General public	General public
Bias	Varied	Should be objective	Often objective, with the exception of opinion pieces	Varied, often biased

BOOKS Books, both popular and academic, are useful for providing both breadth and depth of coverage of a subject. Because they are generally published at least a year or two after the events treated, they also tend to provide the critical distance that is sometimes missing from articles. Conversely, this delay in coverage means that the information in books won't be as current as the information you find in periodicals. Any piece of writing, books included, may be inaccurate, outdated, or biased.

Book Reviews One way to determine the reliability and credibility of a book you may want to use is to look up the reviews published in resources such as *Publishers Weekly*, *Library Journal*, or the *New York Times Book Review*. You can also look at book reviews either in the online Book Review Digest or on Amazon.com.

If a book receives bad reviews, you don't necessarily have to avoid it. The book may still have something useful to offer, and the review itself may be unreliable. But you should take negative reactions into account when using that book as a source.

NEWSPAPERS, MAGAZINES, AND JOURNALS Because many more news and magazine articles than books are published every year, you are likely, depending on the subject, to find more information in periodicals than in books. By their nature, recent news and magazine articles are more current than books. For example, the best way to find out about a political party's position on Social Security reform is to look for current articles in magazines and newspapers. But these articles may have less critical distance than books and, like books, they may become dated, to be superseded by more recent articles.

Newspapers News stories, feature stories, and editorials (even letters to the editor) may be important sources of information. Your college library may have online access to the *New York Times* and other important newspapers such as the *Washington Post,* the *Los Angeles Times,* the *Chicago Tribune,* the *Wall Street Journal,* and the *Christian Science Monitor,* as well as collections of newspapers like those in Lexis-Nexis and EBSCO Newspaper Source.

Magazines General magazines such as *The Atlantic,* the *New Republic,* and the *Nation* are intended for nonspecialists. Their articles, which tend to be highly readable, may be written by staff writers, freelancers, or specialists. But they usually don't provide citations or other indications of sources, so they're of limited usefulness for scholarly research. Some magazines are very specialized and have specific themes, like politics, cars, sports, and more.

academic journal articles
Specialized, highly specific scholarly articles written by experts in a certain field.

Journals (Scholarly Material) Some professors expect at least some of your research to be based on articles in specialized sources called scholarly or academic journals. So instead of (or in addition to) relying on an article from *Psychology Today* (considered a magazine even though its subject is somewhat specialized) for an account of the effects of crack cocaine on mental functioning, you might also rely on an article from the *Journal of Abnormal Psychology.* If you are writing a paper on the satirist Jonathan Swift, in addition to a recent reference to him that may have appeared in *The New Yorker,* you may need to locate a relevant article in *Eighteenth-Century Studies.*

Articles in such journals are normally written by specialists and professionals in the field rather than by staff writers or freelancers, and the authors will assume that their readers already understand the basic facts and issues concerning the subject. Other characteristics of scholarly journals:

- They tend to be heavily researched, as indicated by their numerous notes and references.
- They are generally published by university presses or large academic publishers.
- Most of the authors are university professors or experts working in the field.
- The articles, which have a serious, formal, and scholarly tone (and so are less reader-friendly than those in general magazines), are generally peer-reviewed by other scholars in the field.

Most library databases such as Academic Search Premier or JSTOR have some academic journal articles in them. To be sure that you are finding these articles, look for a checkbox or option that says "peer-reviewed" or "academic journals." *A cautionary note:* Students too often think that they can simply browse their way to enough sources to write their papers. But this would be a hit-or-miss approach. To be a successful (more purposeful and systematic) browser, try instead to use the article databases in your discipline to identify one or two or twelve potentially interesting sources; then search within those issues of journals to see if anything else seems interesting.

Figure 10.6 Reading Journal Articles

Reading and Understanding an Academic Journal Article	
Journal articles often are broken down into specific pieces. Understanding what these pieces do will help you understand the article.	
Abstract	A basic summary of the article that appears right at the beginning. Explains the major points.
Introduction	Provides context for what the authors want to do, and often includes a review of other work that has been done on this topic in the past.
Methods	Describes what the authors plan to do to investigate their topic. This could be an experiment, thorough research into' work, interviews, or something else.
Rusults	A report on what happened when the authors investigated their topic.
Discussion	This section describes what the authors think their results mean. This is usually the most important section of the article.
References	A list of all the other works the authors used to help them write this article.

Exercise 10.3

Exploring Academic Journals

Search online for academic journal articles. Go to your library's online resources and access a database in your area of study. Enter a simple keyword and then limit your search to academic journal articles by checking "peer reviewed" or "academic journals." If you aren't sure how to do this, ask a librarian or someone you may know who has done this sort of research before.

Look at an academic article and try to figure out what the main idea is. (See Figure 10.6.) What is the researcher studying? Why? Did she or he do an experiment? What was it? What did the researcher find out? Answering these questions will help you begin to understand how advanced academic research is done.

For Best Results, Plan Your Searches

You'll find more—and more relevant—sources on Internet search engines and library databases if you plan your search strategies carefully. Here are some suggestions:

1. **Identify multiple keywords:** Write down your topic and/or your research question, and then brainstorm synonyms and related terms for the words in that topic or research question.

   Sample topic: Political activism on college campuses

   Sample research question: What kinds of political activism are college students involved in today?

   Keywords: Political activism, college students

   Synonyms and related terms: politics, voting, political organizations, protests, political issues, universities, colleges, campus politics
2. **Conduct searches using different combinations of synonyms and related terms.**
3. **Find new terms in the sources you locate and search with them.**
4. **Use quotation marks around words you want to search as a phrase: "political activism"**
5. **Conduct advanced searches using Boolean operators and truncation.**

Finding Material for Focused Research

Much of the material you will need for focused research is hidden from general search engines like Google. You will need to use library search engines, databases, and other specialized tools in order to find the most useful sources.

database

An organized, searchable collection of information, often containing academic articles and records.

DATABASES One of the major ways to do focused research online is through a database. Databases are massive, searchable collections of all kinds of material in all kinds of formats. A database may contain academic articles, magazine and newspaper articles, streaming videos, music files, online books, and more. Databases also contain detailed records that describe the material they contain.

Some databases are available online for free. One example is Google Scholar, which is a huge repository of citations of academic, scholarly articles and books. Google Scholar also sometimes contains links to the full text of articles and sometimes can be set up to work with your library's holdings.

However, most databases are available only through your college or university library. They usually contain information and material that are not available to the general public—you usually must be a student at a college to gain access to its resources online.

There are quite a few types of databases to search through. Your library may offer access to dozens or even hundreds of general and subject-specific databases. A few examples are described below.

General Databases Some databases have a wide variety of material on all different subjects. These are often good places to begin your research.

Academic Search Complete (also Academic Search Elite or Academic Search Premier)

Academic OneFile

JSTOR (digital library of academic journals, books, and primary sources)

Opposing Viewpoints In Context (current events)

Periodicals Index Online

Project Muse (humanities and social science articles from nonprofit publishers)

ProQuest Research Library

Reader's Guide Retrospective (covers 1890–1982)

Subject-Specific Databases Many other databases are focused on specific subject areas. In addition to this list, you can ask your librarians which databases might be the best to search, or explore research guides and subject guides.

Anthropology: Anthropology Plus

Art: Art Full Text

Art Index Retrospective

Athletics: SportDiscus

Biography: Biography in Context

Biology: Biosis
Biological Science Database

Business: ABI/Inform
Business Source Complete
EconLit

Classics: Le Année Philologique

Education: ERIC

English and Other Literatures: MLA International Bibliography

History: America: History and Life
Historical Abstracts

Law: LexisNexis
WestLaw

Medicine: MEDLINE
PubMed

Music: Music Index Online
RILM Abstracts of Music Literature

News: LexisNexis
Access World News
New York Times

Political Science: PAIS International
Worldwide Political Science Abstracts (political science, international relations, law, public administration/policy)
ProQuest Congressional (public policy, law, social, economic issues)

Psychology: PsycINFO and PsycARTICLES (psychology, behavioral sciences, and mental health)

Religion: ATLA

Sciences (General): ScienceDirect

Sociology: Sociological Abstracts

DISCOVERY SERVICES More and more libraries are now using discovery services. These tools may have a brand name like Primo or Encore, a catchy name like the University of Iowa's Smart Search, or simply be a search box inviting you to search "everything." Discovery services operate by searching several databases at the same time. The search usually also includes the library's online catalog, online journals, and any e-books that the library may have.

discovery service
A library search engine that searches many databases and the library catalog at once.

Figure 10.7 Discovery Services

Pros and Cons of Discovery Services	
Pros	**Cons**
Searches many different resources at the same time	Search can be slow sometimes
Includes books, journal articles, ebooks, films, and more!	The amount and variety of infomation can sometimes be confusing and overwhelming
Simple, unified interface that makes searching and finding easy	Individual databases often have specific search options like “age” and “type of study” that the discovery service lacks
Great for beginning research	Not so great for more advanced, in-depth research

A discover service can be a powerful tool because it can locate a vast number of resources quickly and highlight the variety of tools at your fingertips. In addition, it offers a friendly interface that you are probably used to seeing in other contexts.

As with all tools, however, using a discovery service has its pros and cons. (See Figure 10.7.) In some cases, you may find exactly what you are looking for via a discovery service. In other instances, the discovery tool may serve as a gateway, giving you ideas for terms to use for effective searching and steering you toward databases where you can do more targeted searches.

THE OPEN WEB While a great deal of content is available only through library sources, enormous amounts of content can still be found on the open, freely available Web. The open Web offers print, graphic, and video content that can be enormously helpful to your research. Keep in mind, however, that search engines like Google and Bing are only tools and that your own judgment in devising a precise search query determines how useful these tools will be to your inquiries.

Two free online tools can help you conduct focused research: Google Scholar and USA.gov.

Google Scholar

Google Scholar Google Scholar is a massive collection of citations, or basic descriptive information, to academic articles and books.

Google Scholar is easy to search and to understand, and contains large amounts of information. Using Google Scholar can make academic research feel a lot less intimidating and much more familiar.

A cautionary note: The links on Google Scholar often go to publisher’s sites, where you will be asked to pay for the article you want. However, your college library may have this material available in its collection—try doing a search for it there. If the library doesn’t have it, a librarian will likely be able to order it through a service called interlibrary loan. Ask librarians at your institution how this works.

Many libraries also now put tools in place to associate Google Scholar with library holdings. To find out if your library offers this service, go to the settings and then click on Library Links. (See Figure 10.8.) Search for your institution, and add it if it’s there. Full text links to articles that your library holds will now appear.

Figure 10.8
Adding Library Links to Google Scholar

USA.gov The federal government's homepage features a powerful search engine. Search this site for information from government agencies at the federal, state, and local level.

You will find statistics, in-depth government reports, useful background information, and much more by searching this site.

Focused Research: Constructing Effective Search Queries

Search strategies for focused research database systems in use today are still pretty dumb—that is, they are literal. They will return only the specific information requested and nothing more, however closely related. If we search for sources on AIDS, we will get lots on AIDS, but we will miss those items in the database that specify, instead, HIV or "acquired immune deficiency syndrome" or other ways of saying, basically, AIDS.

So you need to start the research process by thinking of the variety of ways an experienced researcher writing on your topic might refer to the different facets of your topic. You may be looking for articles on *college* students, but a scholar might write about *university* students. We may be looking for articles on *children*, but a scholar might write about *boys* OR *girls* OR *adolescents*.

A well-constructed query will return a list of useful results. Refer again to Figure 10.2 (How a Search Engine Works) to start thinking about how to craft good keywords, then try the following tips.

1. **Focus on a noun: a person, place, or item.** The most important terms in your query should be *objects*—that is, tangible items. The item (or person or place) you want to learn more about is the center of your search, your subject.
2. **Narrow the search with another noun or a modifier.** When you qualify your search terms by combining them in meaningful ways, searches become more pointed and useful because the search engine will be trying to match all the words you type in. You could create a more productive search by narrowing the keyword "computers" to "computers music" or "computers music culture." See the section about searching with Boolean logic (pp. 222–223) for more information on this topic.
3. **Try substituting words if the search is not working.** When a search does not yield useful information, change your search terms. Think of synonyms for keywords in your query. For non-academic topics, you might use a thesaurus to locate synonyms. For example, you might substitute "cardiac" for "heart" and "aircraft" for "plane."
4. ***Re*-search.** Librarians sometimes describe the process of library research as one of *re*-search. When reading material on your topic, note any unique vocabulary and particular events, people, or results associated with your topic. Try your search again using these topics.
5. **Use "advanced" features to refine your search.** Search engines typically provide a "refine" function—sometimes called an "advanced" or "power" search tool—that allows you to narrow a search by date, type of publication, and type of Web site. You might instruct the engine to search only a specific site, for instance. You can also search in fields such as title, author, industry code, reviews, and so on.

Advanced Searching with Boolean Logic and Truncation

If you really want to make the most of your search, it's useful to understand Boolean logic and truncation. All search engines work according to Boolean logic, which tells the search engine what to do with the terms you enter.

The words AND, OR, and NOT are used in Boolean logic to combine search terms and get more precise results than using keywords alone.

AND: Connecting keywords with AND narrows a search by retrieving only those sources that contain *both* keywords:

activism AND students

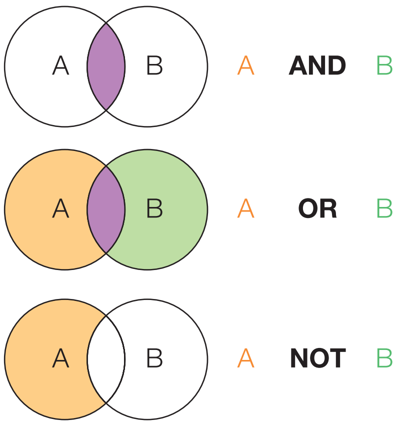
Note: Almost all search engines automatically add an invisible AND between terms.

OR: Connecting keywords with OR broadens a search by retrieving all sources that contain at least one of the search terms. This operator is useful when you have a topic or a keyword which has a number of synonyms. Linking synonyms with OR will lead you to the widest array of sources:

activism OR protests OR voting OR campus politics OR college OR university OR campus OR students

Figure 10.9
Boolean Operators

Boolean Operators help define the relationship between search terms. When searching in a database, Boolean operators help you narrow or broaden your set of search results. The three Boolean operators are **AND**, **OR** and **NOT**.



A database search for CATS **AND** DOGS finds items that talk about both cats and dogs.

A search for CATS **OR** DOGS finds items that talk about either cats or dogs or both.

A search for CATS **NOT** DOGS finds items that talk about cats, but do not talk about dogs.

AND and **OR:** You can use these terms in combination, by putting the OR phrase in parentheses:

(political activism OR protests) AND (college OR university)

NOT: Connecting keywords with NOT (or, in some cases, AND NOT) narrows a search by excluding certain terms. If you want to focus on a very specific topic, NOT can be used to limit what the search engine retrieves; however, this operator should be used carefully because it can cause you to miss sources that may actually be relevant:

college students NOT high school
political activism NOT voting

Figure 10.9 illustrates this logic.

In addition to Boolean operators, researchers use truncation—often an asterisk (*), sometimes a question mark (?)—immediately following the search term (no space) as a so-called wild card. A search for the word *children* will identify items in which the title or abstract or subject tags include the word *children*, but you will not see items that instead refer to *childhood* or to the *child*. A truncated search for "child*" will yield results in which any variation of *child*- appears: *child*, *childhood*, *childish*, *childlike*, *children*, and so on.

Exercise 10.4

Exploring Online Sources

Go online and access one of the search engines or academic or professional databases discussed in this chapter. Select a topic or research question that interests you. Review the section Advanced Searching with Boolean Logic and Truncation, and try different combinations of keywords and Boolean operators to see what sources you can find for your topic. Jot down notes describing the kinds of sources you find and which terms seem to yield the best results.

Interviews and Surveys

Depending on the subject of your paper, you may want to *interview* your professors, your fellow students, or other individuals knowledgeable about your subject. In addition, or as an alternative, you may wish to conduct *surveys* via *questionnaires*. When well prepared and insightfully interpreted, such tools can produce valuable information about the ideas or preferences of a group of people.

Guidelines for Conducting Interviews

- Become knowledgeable about the subject before the interview so that you can ask intelligent questions. Prepare most of your questions beforehand.
- Ask open-ended questions designed to elicit meaningful responses rather than forced-choice questions that can be answered with a word or two. Avoid leading questions that presume a particular answer. For example, instead of asking, "Do you think that male managers should be more sensitive to women's concerns for equal pay in the workplace?" ask, "To what extent do you see evidence that male managers are insufficiently sensitive to women's concerns for equal pay in the workplace?"
- Ask follow-up questions to elicit additional insights or details.
- If you record the interview, get your subject's permission, preferably in writing.

Guidelines for Conducting Surveys and Designing Questionnaires

- Determine your *purpose* in conducting the survey: what kind of *information* you seek and *whom* (i.e., what subgroup of the population) you intend to survey.
- Decide whether you want to collect information on the spot or have people send their responses back to you. (You will get fewer responses if they are sent back to you, but those you do get will likely be more complete than surveys conducted on the spot.)
- Devise and word questions carefully so that they (1) are understandable and (2) don't reflect your own biases. For example, for a survey on attitudes toward capital punishment, if you ask, "Do you believe that the state should endorse legalized murder?" you've loaded the question to influence people to answer in the negative.
- Devise short-answer or multiple-choice questions; open-ended questions encourage responses that are difficult to quantify. (You may want to leave space, however, for additional comments.) Conversely, yes-or-no responses or rankings on a five-point scale are easy to quantify.
- It may be useful to break out the responses by as many meaningful categories as possible—for example, gender, age, ethnicity, religion, education, geographic locality, profession, and income.

Evaluating Sources

Few sources are perfect. Many have significant flaws that make them unusable for your research. Some might be biased or have incorrect information, while others may be outdated or incomplete. To write the best possible paper, you'll need to use reliable sources—so always make sure to evaluate every source you find.

Guidelines for Evaluating Sources

- **Skim the source.** With a book, look over the table of contents, the introduction and conclusion, and the index; zero in on passages that your initial survey suggests are important. With an article, skim the introduction, headings, and conclusion.
- **Be alert for references** in your sources to other important sources, particularly to sources that several authors treat as important.
- **Find recent sources.** Other things being equal, the *more recent* the source, the better. Recent work usually incorporates or refers to important earlier work.
- **Look for reviews.** If you're considering making multiple references to a book, look up the reviews in the *Book Review Digest* or via articles found using online databases. Also, check the author's credentials in a source such as *Contemporary Authors* or *Current Biography Illustrated*. If an author is not listed in either of these sources, you may choose to do a Web search for the author and look for online résumés, online portfolios, or references to the author's work.

EVALUATING WEB SOURCES The Web makes it possible for people at home, work, or school to gain access to corporate, government, and personal Web sites. Academic researchers are obligated to read Web-based material just as critically as they read print-based material. Chapter 5, "Critical Reading and Critique," offers criteria for evaluating the quality and reliability of information and ideas in *any* source (pp. 74–97). Web sources are no exception, particularly self-published pages that are not subject to editorial review. See Figure 10.10.

Credibility of Sources

WHILE YOU READ …

THINK LIKE **A-CRAB**

Authority	Ask yourself, who wrote this? Do the author's credentials, education, past writings and experience impress you? Does the author cite credible, authoritative sources?
Currency	When was it written? Is the source current and up-to-date for your topic?
Relevance	Is the information useful to you? Is the source extensive or marginal in its coverage of your topic?
Audience	Who is the intended reader? Is this source written for a popular audience? Or a scholarly audience?
Bias	Does the author have a specific bias? Is the author trying to persuade the reader to accept a particular point of view?

Figure 10.10
Credibility of Sources

Reference librarians Jan Alexander and Marsha Tate have offered useful guidelines for helping researchers assess Web sources. First, they point out, it's important to determine what *type* of Web page you are dealing with. Web pages generally fall into one of five types, each with a different purpose:

1. Business/marketing
2. Reference/information
3. News
4. Advocacy of a particular point of view or program
5. Personal page

The purpose of a Web site—to sell, persuade, entertain—has a direct bearing on the objectivity and reliability of the information presented. When evaluating a site and determining its reliability for use in a research project, apply the same general criteria that you apply to print sources: (1) accuracy, (2) authority, (3) objectivity, (4) currency, (5) coverage. You might pose the following questions in an effort to assess reliability:

- What is the likelihood that the information has been checked by anyone other than the author?
- What are the author's qualifications to write on the subject?
- What is the reputation of the publisher?
- Who is the author?
- What are the biases—stated or unstated—of the site?
- How current is the site?
- Which topics are included (and not included) in the site? To what extent are the topics covered in depth?

Pose these questions and determine, as you would for any non-Web source, the Web site's reliability and suitability for your research project.

Exercise 10.5

Practice Evaluating Web Sources

To practice applying the evaluation criteria discussed in the section on Web sources, go to an open Web search engine like Google and look for sources addressing a topic of interest to you (perhaps after completing Exercise 10.1). Regarding that topic, try to locate one source representing each of the five types of Web pages (business/marketing, reference/information, news, advocacy, and personal). Print the homepage of each source and bring the copies to class. In small groups, look over the sites each student found and make notes on each example's (1) accuracy, (2) authority, (3) objectivity, (4) currency, and (5) coverage.

Mining Sources

10.6 Compile a working bibliography and arrange your notes in an outline.

Having located your sources (or at least having begun the process), proceed to mining them—that is, extracting from them information and ideas that you can use in your paper. Mining sources involves three important tasks:

- Taking notes on your sources and evaluating them for reliability and relevance.
- Compiling a working bibliography to keep track of what information you have and how it relates to your research question.
- Developing some kind of outline—formal or informal—that allows you to see how you might subdivide and organize your discussion and at which points you might draw on relevant sources.

Critical Reading for Research

- **Use all the critical reading tips we've suggested** in Chapters 2, 3, and 5.
- **Read for relationships to your research question.** How does the source help you formulate, clarify, and answer your research question?
- **Read for relationships among sources.** How does each source illustrate, support, expand upon, contradict, or offer an alternative perspective to those of your other sources?
- **Consider the relationship between your source's form and content.** How does the form of the source—specialized encyclopedia, book, article in a popular magazine, article in a professional journal—affect its content, the manner in which that content is presented, and its relationship to other sources?
- **Pay special attention to the legitimacy of Internet sources.** Consider how the content and validity of the information on the Web page may be affected by the purpose of the site. Assess Web-based information for its (1) accuracy, (2) authority, (3) objectivity, (4) currency, and (5) coverage.

The Working Bibliography

As you conduct your research, keep a working bibliography, a record of bibliographic information on all the sources you're likely to use in preparing the paper. If you are careful to record *full* bibliographic information—author(s), title, publisher, and so on—you'll spare yourself the frustration of hunting for it during the composition of your paper.

In addition to a working bibliography, it's a good idea to keep *a* research log. As you search, note which database you are searching and which words you use in each search. Note significant sources that you find (your working bibliography), but also note new words or phrases or concepts that you might use on subsequent searches. By keeping a running research log, you can go back to previously searched databases with new search strategies—without risking running the same search over and over again.

Online catalogs and databases make it easy to copy and paste your sources' (or potential sources') bibliographic information into a document or to e-mail citations to yourself for cutting and pasting later. Note, also, that certain software programs allow you to create sortable, searchable digital records. A more traditional but still very efficient way to compile bibliographic information is on 3" × 5" cards. Using any of these methods, you can easily add, delete, and rearrange individual bibliographic records as your research progresses. No matter how you keep your information, be sure to record the following:

- Author or editor (last name first) and, if relevant, the translator
- Title (and subtitle) of the book or article
- Publisher and place of publication (if a book) or the title of the periodical
- Date and/or year of publication; if a periodical, volume and issue number
- Date you accessed the source (if you are working with a Web site)
- Edition number of a book beyond its first edition
- Inclusive page numbers (if an article)
- Specific page number of a quotation or other special material you might paraphrase

You'll also find it helpful to include this additional information:

- Brief description of the source to help you recall it later in the research process
- Library call number or the URL so that you can readily return to the source
- Code number, which you can use as a shorthand reference to the source in your notes (see the sample note records below)

Here's an example of a working bibliography record:

Gorham, Eric B. *National Service, Political Socialization, and Political Education*. SUNY P, 1992.

Argues that the language government uses to promote national service programs betrays an effort to "reproduce a postindustrial, capitalist economy in the name of good citizenship." Chap. 1 provides a historical survey of national service.

Here's an example of a working bibliography record for an article:

Gergen, David. "A Time to Heed the Call." *U.S. News & World Report*, 24 Dec. 2001, pp. 60–61.

Argues that, in the wake of the surge of patriotism that followed the September 11 terrorist attacks, the government should encourage citizens to participate in community and national service. Supports the McCain-Bayh bill.

Here's an example of a working bibliography record for an online source:

Bureau of Labor Statistics. "Table 1: Volunteers by Selected Characteristics, September 2009." 27 Jan. 2010, www.bls.gov/news.release/volun.t01.htm.

Provides statistical data on volunteerism in the United States.

Some instructors may ask you to prepare—either in addition to or instead of a research paper—an annotated bibliography, which is a list of relevant works on a subject, with the contents of each work briefly described or assessed. The sample bibliography records above could become the basis for three entries in an annotated bibliography on national service. Annotations differ from abstracts because annotations aren't comprehensive summaries; rather, they indicate how the items may be useful to the researcher.

Note Taking

People have their favorite ways of note taking. Some use legal pads, note cards, or spiral notebooks; others type notes into a laptop or tablet computer, perhaps using a notes app, bibliographic management software, or an article annotation tool. Whatever your preferred approach, consider including the following information along with the note:

- Topic or subtopic label corresponding to your outline (see below)
- Code number corresponding to the number assigned the source in the working bibliography
- Page reference at the end of the note

Here's a sample note record for the table "Volunteers by Selected Characteristics, September 2009" from the Bureau of Labor Statistics (see the bibliographic record above):

> <u>Pervasiveness of Volunteerism</u> (I)   7
>
> Shows that 26.8 percent of Americans age 16 and older, 63.3 million in all, devote time to community service.

Here's a note record for the periodical article by Gergen (see the bibliography note above):

> <u>Beneficial Paid Volunteer Programs</u> (II)   12
>
> Says that both the community and the individual benefit from voluntary service programs. Cites Teach for America, Alumni of City Year, Peace Corps as programs in which participants receive small stipends and important benefits (60). "Voluntary service when young often changes people for life. They learn to give their fair share." (60)

Both note records are headed by a topic label followed by the tentative location (indicated by a Roman numeral) in the paper outline where the information may be used. The number at the upper right corresponds to the number you assigned to the source in your bibliography note. The note in the first record uses *summary.* The note in the second record uses *summary* (sentence 1), *paraphrase* (sentence 2), and *quotation* (sentence 3). Notice the inclusion of page references, which the writer will reference in the paper itself if the note is used. For hints on when to choose summary, paraphrase, and quotation, see Chapter 3, pages 22–25, and Chapter 4, pages 56–59.

Remember: Use quotation marks to distinguish between your language and the source author's language. Cite page references when you note an author's exact language *or* ideas. If you're careful to keep the distinctions between your language and that of authors clear, you'll avoid plagiarizing your sources. See the discussion of plagiarism on pages 52–54 and later in this chapter for more details.

BIBLIOGRAPHIC MANAGEMENT TOOLS One great way to keep a working bibliography is by using bibliographic management software. Your college or university may subscribe to products like RefWorks or EndNote, or you may decide to use free tools like Mendeley or Zotero. These tools can help you save basic information about material you're working with, save and annotate (i.e., take notes on) PDFs of articles, and even insert citations into your work.

Check with your library or academic support services to see what tools are available for you. Or you can start by going to Mendeley's or Zotero's Web sites and downloading these free programs.

GETTING THE MOST FROM YOUR READING Figure 10.11 presents some tips to help you determine how useful particular books will be in answering your research question.

Arranging your Notes: The Outline

You won't use all the notes you take during the research process. Instead, you'll need to do some selecting, which requires you to distinguish more important

Figure 10.11
How to Read a Book

HOW TO READ A BOOK (OR ANY OTHER SOURCE)

First, don't read it word for word. Not yet.

Flip through the book to see how it is organized. Look for a TABLE OF CONTENTS and an INDEX. Do these seem to indicate that your topic is covered in enough depth to be useful?

Skim through the book's PREFACE or INTRODUCTION. For a journal article, read the ABSTRACT if there is one. What does the author say that she accomplishes in this work? Do her claims appear to be grounded is fact? Or is this opinion or propaganda? Skim the first and last paragraphs of each chapter; these will reveal major points the author makes along the way. For an article, skim the introductory and concluding paragraphs. Note HEADINGS and SUBHEADINGS within chapters that can guide your progress in reading. Look for tables, charts, graphs, diagrams, maps, photographs, and any other VISUAL RESOURCES that can help you understand the author's train of thought.

Sample the author's writing as you skim the work. Does the level of information she presents appear to be appropriate for your needs? Is the author either too general or too technical in covering your topic? Do the author's claims appear to be backed by sound reasoning? Is there enough evidence presented to back up the author's point of view? Check the author's FOOTNOTES and CITATIONS to see if they appear relevant to your topic. Does the author cite solid, scholarly sources to support her points of view?

If, after this quick review, it appears to be a useful source **. . . Read the Book!**

from less important (and unimportant) material. Use your original working thesis (see Chapter 9, pp. 182–186 on writing thesis statements) or use a new thesis that you have developed during the course of data gathering and invention. Working with your thesis, begin constructing a preliminary outline of your paper. This outline will indicate which elements of the topic you intend to discuss and in what order. You can then arrange relevant notes accordingly and remove or flag notes that will not likely find their way into the paper.

Some people prefer not to develop an outline until they have more or less completed their research. At that point they look over their notes, consider the relationships among the various pieces of evidence, possibly arrange notes or cards into separate piles, and then develop an outline based on their perceptions and insights about the material. Subsequently, they rearrange and code the notes to conform to their outline—an informal outline indicating just the main sections of the paper and possibly one level below that.

The model paper on responding to bullies (see Chapter 7, pp. 136–143) could be informally outlined as follows

Introduction: Examples of bullying (physical and cyber), who is bullied, antibullying laws

Thesis: A blend of local, ground-up strategies and state-mandated programs and laws promises to be the best approach to dealing with bullying in American schools.

Problems with antibullying laws: Rushed, some elements unconstitutional, some laws ignore standard definitions, often ineffective

Alternate solution needed: Think local

Limits of local solutions: Flaws, difficulty evaluating

Conclusion

Such an outline will help you organize your research and should not be an unduly restrictive guide for your writing.

The formal outline is a multilevel plan with Roman and Arabic numerals and uppercase and lowercase lettered subheadings that can provide a useful blueprint for composition as well as a guide to revision. See page 135 in Chapter 7 for a formal outline of the paper on bullying. Here is one section of that outline. Compare its level of detail with the level of detail in the informal outline immediately above:

III. An alternate solution to the problem of bullying
- **A.** Rationale and blueprint for alternate approach
- **B.** A local from-the-ground-up solution
  - **1.** Emily Bazelon
  - **2.** Lee Hirsch and Cynthia Lowen
  - **3.** Philip Rodkin

Outlining your draft after you have written it may help you discern structural problems: illogical sequences of material, confusing relationships between ideas, poor unity or coherence, or unevenly developed content. (See the discussion of reverse outlines on pp. 188–189.)

Instructors may require that a formal outline accompany the finished research paper. Formal outlines are generally of two types: topic outlines and sentence outlines. In the topic outline, headings and subheadings are words or phrases. In the sentence outline, each heading and subheading is a complete sentence. Both topic and sentence outlines are typically preceded by the thesis.

Research and Plagiarism

10.7 Employ strategies to avoid the pressures that can lead to plagiarism.

All too easily, research can lead to plagiarism. See pages 52–54 for a definition and examples of plagiarism. The discussion here will suggest ways of avoiding plagiarism.

None of the situations that lead to plagiarism discussed below assumes that the plagiarist is a bad person. All kinds of pressures can cause someone to plagiarize. By understanding those pressures, you may come to recognize them and take corrective action before plagiarism seems like a reasonable option.

Time Management and Plagiarism

The problem: You do not allocate time well and face crushing deadlines. Work, sports, and family responsibilities are the kinds of commitments that can squeeze the time needed to conduct research and write.

A solution: Improve your time management skills. Consider taking four steps:

1. Begin the paper on the day it is assigned. Work on the paper for a set amount of time each day.
2. Visit the on-campus learning skills center and enroll in a time management class. Most schools offer this on a noncredit basis. If your school has no such class, you can readily find one online.
3. Use technology like reminder apps for your phone, online calendars, and alarms that remind you to work on your paper for a set amount of time.
4. When (despite your best efforts) you discover that you will not make a deadline, explain the situation to your instructor and seek an extension *before* the paper is due. State that you are seeking help and do not expect the problem to recur. Do not ask for a second extension.

Note Taking and Plagiarism

The problem: Inaccurate note taking results in inadvertent plagiarism: You neglect to place quotation marks around quoted language and later copy the note into the paper without using quotation marks.

A solution: Develop careful note-taking skills. Here are some useful approaches and techniques:

1. Enroll in a study skills class on working with sources, in which you will learn techniques for improving the accuracy and efficiency of note taking.
2. Make certain to gather bibliographic information for every source and to link every note with a source. Then you can go back and double-check quotes you aren't sure about.
3. Save sources onto your own device when possible, and make sure to include publication information. When you use a source in a paper, check your language against the original language. Make corrections and add quotation marks as needed.
4. Learn the difference between quotation, summary, and paraphrase (see Chapters 3 and 4).

Digital Life and Plagiarism

The problem: Plagiarism has never been easier, given the volume of information on the Internet and the ease of digital copying and pasting.

A solution: Recall some of the reasons you are in college:

1. To improve your ability to think critically
2. To learn how to think independently
3. To discover your own voice as a thinker and writer

Borrowing the work of others without giving due credit robs you of an opportunity to pursue these goals. Don't allow the ease of plagiarism in the digital age to compromise your ethics. Plagiarism is cheating.

Determining Common Knowledge

Note one exception to the rule that you must credit sources: when ideas and information are considered common knowledge. This can be a tricky thing to determine. You can best understand common knowledge through examples:

General Eisenhower commanded American forces during World War II.

Mars is the fourth planet from the sun.

Ernest Hemingway wrote *The Sun Also Rises.*

These statements represent shared, collective information. When an idea or item of information is thus shared, or commonly known, you do not need to cite it even though you may have learned of that information in a source. What is considered common knowledge changes from subject area to subject area. When in doubt, ask your instructor.

The key issue underlying the question of common knowledge is the likelihood of readers' mistakenly thinking that a certain idea or item of information

Figure 10.12
Determining Common Knowledge

Summary

Common Knowledge

Quotation

Very soon, half of America will communicate via e-mail, according to analysts (Singh 283). We can only assume that figure will grow–rapidly–as children who have matured in the Internet era move to college and into careers. With e-mail becoming an increasingly common form of communication, people are discovering and conversing with one another in a variety of ways that bring a new twist to old, familiar patterns. Using e-mail, people meet "to exchange pleasantries and argue, engage in intellectual discourse, conduct commerce, exchange knowledge, share emotional support, make plans, brainstorm, gossip, feud, [and] fall in love" (Chenault). That is, through e-mail, people do what they have always done: communicate. But the medium of that communication has changed, which excites some people and concerns others.

originated with you when, in fact, it did not. If there is *any* chance of such a mistake occurring, *cite the source.*

A GUIDELINE FOR DETERMINING COMMON KNOWLEDGE If the idea or information you intend to use can be found unattributed (that is, *not* credited to a specific author) in three or more sources, then you can consider that material common knowledge. *Remember:* If you quote a source, even if the material could be considered common knowledge, you must use quotation marks and give credit.

Figure 10.12 shows an example of a paragraph in which the writer summarizes one source, quotes another, and draws on common knowledge. Only the summary and the quotation need to be cited. Where the writer draws on common knowledge, sources that could have been cited were not because evidence for the statement appeared in at least three sources.

Plagiarism, the Internet, and Fair Use

The Internet is a medium just like paper, television, or radio. Intellectual property (stories, articles, pictures) is transmitted through the medium. This means that *the same rules that apply to not plagiarizing print sources also apply to not plagiarizing Internet sources.* Any content posted on the Internet that is not your original work is the intellectual property of others. Doing either of the following constitutes plagiarism:

- Copying and pasting digital content from the Internet into your document without citing the source.
- Buying a prewritten or custom-written paper from the Internet.[1]

INTERNET PAPER MILLS Online paper mills merit special attention because they make available prewritten papers on almost any topic. Remember that instructors know how to use search engines to find the same papers and identify cases of plagiarism.

[1]Buying or using any part(s) of a paper written by another person is considered plagiarism—regardless of its source.

FAIR USE AND DIGITAL MEDIA U.S. copyright law permits "fair use" of copyrighted materials—including print (paper- and digital-based), images, video, and sound—for academic purposes. As long as you fully credit your sources, you may quote "excerpts in a review or criticism for purposes of illustration or comment; [and] … short passages in a scholarly or technical work."[2] The key to fair use of any material relies on the extent to which you have "transformed" the original work for your purposes. Thus:

- It is *illegal* for a student to copy a song from a CD and place it on a peer-to-peer file-sharing network.
- It is *legal* to "transform" that same song by including it as the background track to a digital movie or podcast that includes other media elements created by the student as long as it is created for educational purposes and cited on a bibliography page.

Citing Sources

10.8 Cite sources using APA format and MLA format.

When you refer to or quote the work of another, you are obligated to credit or cite your source properly. Citations both give credit where credit is due and allow others to find the work you cited. There are two types of citations—*in-text citations* in the body of a paper and *full citations* (Works Cited or References) at the end of the paper—and they work in tandem.

Many academic libraries (and writing centers) maintain brief guides to APA, MLA, and other format styles. Students can find these easily with an online search using the terms "MLA AND guide site:.edu." The Purdue Online Writing Lab (OWL) maintains an excellent online guide to APA, Chicago, and MLA.

Types of Citations

- In-text citations indicate the source of quotations, paraphrases, and summarized information and ideas. These citations, generally limited to the author's last name, relevant page number, and the publication date of the source, appear *in the text*, within parentheses.
- Full citations appear in an alphabetical list of "Works Cited" (MLA) or "References" (APA) at the end of the paper, always starting on a new page. These citations provide full bibliographical information on the source.

If you are writing a paper in the humanities, you will probably be expected to use the Modern Language Association (MLA) format for citation. This format is fully described in the *MLA Handbook for Writers of Research Papers*, 8th ed.

[2]"Fair Use." U.S. Copyright Office. May 2009. Web. 23 Mar. 2010.

(Modern Language Association of America, 2016), or go to https://style.mla.org/. A paper in the social sciences will probably use the American Psychological Association (APA) format. This format is fully described in the *Publication Manual of the American Psychological Association*, 6th ed. (American Psychological Association, 2010). These are two of the most common citation styles. Always ask your professor which style he or she expects of you if you're not sure.

In the following section, we provide a brief guide to the major MLA and APA citation types you will use when researching and writing a paper. Look online for format guidance when citing sources not listed here. And bear in mind that instructors often have their own preferences. Check with your instructor for the preferred documentation format if this is not specified in the assignment.[3]

APA Documentation Basics

APA IN-TEXT CITATIONS IN BRIEF When quoting or paraphrasing, place a parenthetical citation in your sentence that includes the author, publication year, and page or paragraph number.

Direct quotation, author and publication year not mentioned in sentence

> Research suggests that punishing a child "promotes only momentary compliance" (Berk & Ellis, 2002, p. 383).

Paraphrase, author and year mentioned in the sentence

> Berk and Ellis (2002) suggest that punishment may be ineffective (p. 383).

Direct quotation from Internet source

> Others have noted a rise in "problems that mimic dysfunctional behaviors" (Spivek, Jones, & Connelly, 2006, Introduction section, para. 3).

APA REFERENCES LIST IN BRIEF On a separate, concluding page titled "References," alphabetize sources by author, providing full bibliographic information for each.

Article from a Journal Conclude your entry with the digital object identifier (DOI)—the article's unique reference number. Note that the letters *doi* are roman and lowercase in the References list. When a DOI is not available and you have located the article on the Web, conclude with *Retrieved from* and the URL of the

[3]Some instructors require the documentation style specified in the *Chicago Manual of Style*, 16th ed. (Chicago: University of Chicago Press, 2010). This style is similar to the American Psychological Association style except that publication dates are not placed within parentheses. Instructors in the sciences often follow the Council of Science Editors (CSE) formats, one of which is a number format: Each source listed on the bibliography page is assigned a number, and all text references to the source are followed by the appropriate number within parentheses. Some instructors prefer the old MLA style, which called for footnotes and endnotes.

homepage. For articles located through a database such as LexisNexis, do not list the database in your entry.

Article (with volume and issue numbers) located via print or database

Ivanenko, A., & Massie, C. (2006). Assessment and management of sleep disorders in children. *Psychiatric Times, 23*(11), 90–95.

Article (with DOI and volume number) located via print or database

Jones, K. L. (1986). Fetal alcohol syndrome. *Pediatrics in Review*, *8*, 122–126. doi:10.1542/10.1542/pir.8-4-122

Article located via Web

Ivanenko, A., & Massie, C. (2006). Assessment and management of sleep disorders in children. *Psychiatric Times, 23*(11), 90–95. Retrieved from http://www.psychiatrictimes.com

Article from a Magazine

Article (with volume and issue numbers) located via print or database

Landi, A. (2010, January). Is beauty in the brain of the beholder? *ARTnews, 109*(1), 19–21.

Article located via Web

Landi, A. (2010, January). Is beauty in the brain of the beholder? *ARTnews, 109*(1). Retrieved from http://www.artnews.com

Article from a Newspaper

Article located via print or database

Wakabayashi, D. (2010, January 7). Sony pins future on a 3-D revival. *The Wall Street Journal*, pp. A1, A14.

Article located via Web

Wakabayashi, D. (2010, January 7). Sony pins future on a 3-D revival. *The Wall Street Journal*. Retrieved from http://www.wsj.com

Book

Book located via print

Mansfield, R. S., & Busse, T. V. (1981). *The psychology of creativity and discovery: Scientists and their work. Chicago*, IL: Nelson-Hall.

Book located via Web

Freud, S. (1920). *Dream psychology: Psychoanalysis for beginners* (M. D. Elder, Trans.). Retrieved from http://www.gutenberg.org

Selection from an edited book

Halberstam, D. (2002). Who we are. In S. J. Gould (Ed.), *The best American essays 2002* (pp. 124–136). New York, NY: Houghton Mifflin.

Later edition

Samuelson, P., & Nordhaus, W. D. (2005). *Economics* (18th ed.). Boston, MA: McGraw-Hill Irwin.

MLA Documentation Basics

When writers document sources clearly and consistently, readers can access those sources and draw their own conclusions about them. Different discipline areas—the sciences, social sciences, and humanities—use different guidelines for capturing key information about sources. In the humanities, Modern Language Association (MLA) citation guidelines are used most often. Designed for simplicity, they consist of two steps: brief in-text citations, and a complete list of works cited.[4]

MLA CITATIONS IN BRIEF When referring to a source in the text of your papers, use parentheses to enclose a page number reference. Include the author's name if you do not mention it in your sentence.

> From the beginning, the AIDS test has been "mired in controversy" (Bayer 101).

Or if you name the author in the sentence:

> Bayer claims the AIDS test has been "mired in controversy" (101).

For sources with no pagination (Web sites, for instance), cite the author's name only:

> From the beginning, the AIDS test has been "mired in controversy" (Bayer).

MLA WORKS CITED LIST IN BRIEF In MLA documentation style, every brief citation in your paper points to a detailed citation at the end of the paper, in a Works Cited list. Every detailed entry in that list consists of what MLA terms "core elements," arranged in a set order and separated by either a comma or a period:

- Author.
- Title of source.
- Title of container,
- Other contributors,
- Version,
- Number,
- Publisher,
- Publication date,
- Location.

To clarify two terms in this list: A *container,* according to MLA, is the italicized name of the newspaper, magazine, journal, book, Web site, database, or any larger entity that "holds" a source. *Location* identifies where a source can be found. For printed sources such as anthologies or periodicals (articles in newspapers or

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[4]This overview addresses the basics of Modern Language Association citation format. For complete coverage, see *MLA Handbook*, 8th Edition (2016), or go to https://style.mla.org/.

magazines), *location* is expressed as a page number (p.) or page range (pp.); for a Web site, as a URL or digital object identifier (DOI)—a unique identification number; for an online database such as *JSTOR*, as a page range (if the source is a periodical), and also a digital address—either a DOI or some other digital identifier marking the source's location in the database.

Note especially the punctuation after each core element. Information that follows a period should begin with an uppercase letter. Information that follows a comma (after the title of a container, for instance) should begin with a lowercase letter. Thus, below, you'll find that the capitalization of "edited by" is treated differently in the example entries listed under "Selection from an Anthology, Print" and "Book, Print."

Review these examples of common Works Cited entries. For additional examples, see (in this text) the Works Cited pages for the model papers in Chapter 5, page 94; Chapter 6, page 119; Chapter 7, pages 141–143; and Chapter 8, page 171. For complete coverage, refer to *MLA Handbook*, 8th Edition, or go to https://style.mla.org/.

Magazine or newspaper article, print

Collins, Gail. "Behind Hillary's Mask." *The New York Times Sunday Review*, 24 July 2016, pp. 1+.

Packer, George. "The Choice." *The New Yorker,* 28 Jan. 2008, pp. 28–35.

Magazine or newspaper article, web

Bower, Bruce. "Birth of the Beat: Music's Roots May Lie in Melodic Exchanges Between Mothers and Babies." *Science News*, 14 Aug. 2010, www.sciencenews.org/sites/default/files/birth_of_beat.pdf.

Collins, Gail. "Behind Hillary's Mask." *The New York Times Sunday Review*, 24 July 2016, www.nytimes.com/2016/07/24/opinion/campaign-stops/behind-hillarys-mask.html.

Packer, George. "The Choice." *The New Yorker*, 28 Jan. 2008, www.newyorker.com/magazine/2008/01/28/the-choice-6.

Magazine or newspaper article, database

Petrou, Michael. "A Plan to Save the World." *Maclean's*, 29 Dec. 2014, p. 46. *Gale General OneFile*, www.go.galegroup.com/ps/retrieve.do?sor/CA394515226.

Selection from an anthology, print

Cott, Nancy F. "Early Twentieth-Century Feminism in Political Context: A Comparative Look at Germany and the United States." *Suffrage and Beyond: International Feminist Perspectives*, edited by Caroline Daly et al., New York UP, 1994, pp. 234-51.

Scholarly article, print [two authors]

Ivanenko, Anna, and Clifford Massie. "Assessment and Management of Sleep Disorders in Children." *Psychiatric Times,* vol. 23, no. 11, 1 Oct. 2006, pp. 90–95.

Scholarly article, web [three or more authors]

Ivanenko, Anna, et al. "Sleep in Children with Psychiatric Disorders." *Pediatric Clinics of North America,* vol. 51, no. 1, Feb. 2004, www.pediatric.theclinics.com/article/S0031-3955(03)00181-0/abstract.

Ivanenko, Anna, et al. "Sleep in Children with Psychiatric Disorders." *Pediatric Clinics of North America,* vol. 51, no. 1, Feb. 2004, doi:10.1016/S0031-3955(03)00181-0.

Scholarly article, database

Bodenheimer, Rosemarie. "Looking at the Landscape in Jane Austen." *Studies in English Literature*, vol. 21, no. 4, Autumn 1981, pp. 603–623. *JSTOR*, www.jstor.org/stable/450229.

Book, print

De Beauvoir, Simone. *The Second Sex.* Translated by H. M. Parshly, Penguin Press, 1972.

Gleick, James. *Chaos*: *Making a New Science*. Penguin Press, 1987.

Twain, Mark. *Adventures of Huckleberry Finn*. Edited by Stephen Railton, Broadview Press, 2011.

Book [two or more editors], database

Daly, Caroline, et al., editors. *Suffrage and Beyond: International Feminist Perspectives*. New York UP, 1994. *ACLS Humanities E-book*, http://quod.lib.umich.edu/cgi/t/text/text-idx?c=acls;idno=heb02496.

UP is an abbreviation for *University Press*. Compare this entry with the example citation listed under "Selection from an Anthology, Print," which emphasizes a work *in* an anthology. When citing the anthology itself, begin with the name(s) of the editor(s) and treat as shown. Note also the difference between this entry and the example citation listed under "Book, Print," which emphasizes the author of a work, *not* the editor.

Article/post, web site

Spring, Jake. "Now Legal in China: Uber." *HuffingtonPost*, 28 July 2016, www.huffingtonpost.com/entry/uber-china-legal-ride-hailing_us_579a38fae4b02d5d5ed4be34.

Writing Assignment: Source-Based Paper

Using the methods we have outlined in this chapter, and incorporating the skills covered in this textbook as a whole, conduct your own research on a topic and research question that fall within your major or your area of interest. Your research process should culminate in a 1,500- to 1,700-word paper that draws on your sources to present an answer to your research question.

Chapter 11
Practicing Academic Writing

Learning Objectives

After completing this chapter, you will be able to:

11.1 Work in groups to prepare for writing papers.

11.2 Develop an evaluative framework for analyzing and researching a topic.

11.3 Critically read, annotate, and develop a preliminary topic list from a selection of sources.

11.4 Use source materials to investigate a topic and write papers on that topic.

Ethical Dilemmas in Everyday Life

11.1 Work in groups to prepare for writing papers.

In the spring of 2013, Edward Snowden, a former employee of the CIA and former technical contractor for the National Security Agency (NSA), leaked to the press thousands of documents detailing top-secret U.S. mass-surveillance programs. Snowden's actions rocked the national security establishment and divided the country. Some saw him as a hero performing a great public service in tearing the veil of secrecy from such programs and making them known to the American public. Others viewed him as a traitor who had violated his oath and endangered the security of his country. Snowden saw himself as following in the footsteps of others who believed that they were acting honorably in what they regarded as the public interest, such as Private Bradley Manning, who in 2010 passed classified national defense information to the Web site Wikileaks, and Daniel Ellsberg, who in 1971 released to the *New York Times* the "Pentagon Papers," a secret Department of Defense history of the Vietnam War, which was raging at the time.

Honorable actors or traitors? To answer such a question, we rely on ethical frameworks, belief systems forged by our culture, religion, parents, teachers, and life experience. Sometimes we respond to weighty questions like "Is abortion acceptable under any circumstances?" Generally, though, the ethical dilemmas we face are more mundane: What do we do about a friend we see shoplifting? A family member who makes a racist, sexist, or simply inconsiderate remark? A co-worker who habitually arrives late and leaves early and ignores your protests on the subject? How are we to act—and what do our actions say about us?

Large or small, the ethical dilemmas we face can be vexing. In this practice chapter, you'll get to work through a series of (mostly hypothetical) dilemmas, guided by distinct ethical principles that will help you to clarify what, in your view, is a proper course of action. You'll learn about classic theories of ethics: the utilitarian approach, the rights approach, the fairness approach, and the virtues approach. You'll also learn how stages of moral development affect the way we judge behavior, our own and that of others. You'll draw on all these approaches, alone and in combination, to help resolve the ethical dilemmas inherent in the example cases.

Your main assignment in this chapter is to write an argument that synthesizes your own insights on one or more ethical dilemmas along with what various authors have written. In preparation, you will complete several briefer exercises that require you to draw on your sources. During this progression of assignments, you will write a combination of summaries, paraphrases, critiques, and explanations that will prepare you for—and that will produce sections of—your more ambitious argument synthesis. In this respect, the assignments here are typical of other writing you will do in college: While at times you will be called on to write a stand-alone critique or a purely explanatory paper, you will also write papers that blend the basic forms of college writing that you have studied in this text. Both your critiques and your explanations will rely in part on summaries—or partial summaries—of specific articles. Your arguments may rely on summaries, critiques, and explanations. The assignments in this chapter will therefore help prepare you for future academic research tasks while broadening your understanding of the world of ethical analysis.

Read and Prepare to Write

As you read the selections included later in this chapter, prepare for the assignments by marking up the texts: Write notes to yourself in the margins, and comment on what the authors have said.

To prepare for the more ambitious of the assignments that follow—the explanatory and argument syntheses—consider drawing up a topic list of your sources as you read. For each topic about which two or more authors have something to say, jot down notes and page (or paragraph) references. Here's an example entry concerning one type of ethical dilemma you will read about in this chapter:

> To speak up—or not—when you see something wrong
>
> - The director of safety in the "Collapsed Mine"—DeGeorge, par.1, p. 246
> - He sees a safety problem, reports it to his boss, boss ignores it, safety director is told to say nothing more—and mine collapses.
> - The insurance agent case, p. 261
> - An insurance agent lies in order to justify overpaying an insurance claim and helping a customer in need. Should the junior agent speak up?
> - Should a doctor violate doctor/patient confidentiality? par. 1, p. 262
> - A doctor promises he will keep a patient's confession in confidence. This confession reveals that an innocent man has gone to jail. Should the doctor violate his promise and speak up to save the falsely imprisoned man?

Such a topic list, keyed to your sources, will spare you the frustration of reading these sources and flipping through them later, saying, "Now where did I read that?" At this early point, you don't need to know how you might write a paper based on this or any other topic. But a robust list with multiple topics and accurate notes for each lays the groundwork for your own discussion later and puts you in a good position to write a synthesis.

The sample entry above should be useful for responding to one of the explanatory synthesis assignments that follows the readings: to explain what an ethical dilemma is. In your reading of the various theories of ethics and the casebook of dilemmas that follow, you may decide to explain ethical dilemmas in part by explaining *types* of dilemmas—one of which would be "speaking up or not." There would be others, for instance, killing (or letting another die) for the greater good, and choosing to protect life over enforcing a law. Creating a topic list with multiple entries like the example above will add to your reading time, but it will save time as you prepare to write.

Following an introduction to the study of ethical dilemmas as "thought experiments," you'll read a number of cases that challenge you to decide upon a fair and reasonable course of action. What counts as fair and reasonable, of course, depends on your standard of fairness and the logic you use to apply that standard. Change the standard and you may well change your decision. So we also provide in this chapter a review of formal ethical theories, or standards, that you can draw on to guide your decision making about each case.

Look as well for search engine keywords that will point you to YouTube presentations of ethical dilemmas. Whether written, acted out in an episode of *Grey's Anatomy*, or reduced to a provocative animation, the ethical dilemmas you encounter in the pages to follow will call on you to decide, if only in your mind's eye, and to defend your decision.

Group Assignment 1: Make a Topic List

Working in groups of three or four, create a topic list for the selections in this chapter, jotting down notes and page (or paragraph) references. Try several of the following topics to get you started. Find and take notes on other topics common to two or more sources. When you are done, share your topic lists with fellow group members.

- Definition of ethics.
- Examples of consequence-based (teleological) ethical dilemmas/decisions.
- Examples of morality-based (deontological) ethical dilemmas/decisions.
- Examples of Kohlberg's stages of moral development.
- Using intuition versus formal ethics to make decisions.
- When both sides are right (or wrong).
- Difference between what is legal and what is ethical.
- When must rules be overridden?
- Acting to preserve individual conscience versus social order.

Group Assignment 2: Consider Multiple Courses of Action

Group members should read the selection by Ronald F. White, then assign three subgroups to reread and summarize a particular ethical theory in the selection: rule-based ethics (deontology), consequence-based ethics (teleology), and virtue-based ethics. Next, meeting as a large group, choose an ethical dilemma featured in this chapter (see pages 259–265) and discuss it from the three formal ethical perspectives. Each subgroup can present its understanding of the dilemma from one of the three ethical perspectives. Then open the discussion: To what extent do these perspectives, applied to the dilemma, suggest different courses of action?

Group Assignment 3: Decide for Yourself

Two cases in this chapter come with clear arguments about ethical action(s) to be taken: "No Edit" and "Should I Protect a Patient?" Read these cases and discuss each as a group. Do you agree with the positions taken by the authors? Develop a logic for your responses. Provide reasons for suggesting a particular course of action.

The Readings and Videos

11.2 Develop an evaluative framework for analyzing and researching a topic.

The Trolley Problem: Three Variants

The Trolley

"The Trolley" is an example of a "thought experiment," a mental game or puzzle designed to challenge and extend our thinking. You may know of a famous thought experiment: What would happen, wondered Albert Einstein, if we could chase a light beam and catch up to it? How would our perceptions change? The thinking behind this question led him eventually to develop his theory of special relativity.

Philosophers also ponder thought experiments. One of the better-known ones is "The Trolley." Here are the two most common variations:

1. A trolley hurtling down the tracks is about to hit and kill four workers. You see a lever that controls a switch that would direct this trolley down a second track, where the trolley would hit and kill one person. Would you pull the lever?
2. A trolley hurtling down the tracks is about to hit and kill four workers. You are standing behind an enormously fat person on a bridge over these tracks. If you act quickly, you could push that person off the bridge, onto the tracks, and stop the trolley. The four workers would be saved but the fat person would die. Would you push that person off the bridge?

The goal of a thought experiment is to prompt answers that require an explanation. Your reasoning is what's key. Explain, for instance, why you might pull the lever (variation 1) to save four workers but not push the fat person off the bridge (variation 2). After all, the outcomes are identical: one person dies, not four. Compare your answers and reasoning with those of classmates.

VIDEO LINK: THE TROLLEY AND THE SELF-DRIVING CAR

Here's an online presentation of The Trolley, both variations.

Go to: YouTube
Search terms: *"presentation part 1 trolley problem"*

Now consider a fascinating development that moves "The Trolley" from the hypothetical to the soon-to-be actual. You've heard of driverless cars, no doubt, and you know that companies are building and testing prototypes. For instance, Google's driverless cars have already logged more than 1 million test miles. What will happen in the seconds before these cars get into accidents, as they surely will?[1] The computers that control them will make split-second decisions concerning steering and braking, decisions that could well have fatal outcomes. Turn right into a motorcyclist? Turn left into a convertible packed with kids? Do nothing and doom the passenger in the driverless car?

The computer "decides" nothing, of course. It turns the steering wheel, accelerates, or applies the brakes according to rules that human programmers write. What rules will the programmers write? Whose lives should be privileged if multiple lives are at risk? Questions like these are similar to those raised in "The Trolley." Watch the following video.

THE SELF-DRIVING CAR

Go to: YouTube
Search terms: *"Ted talk self driving car Lin"*

[1]See *Wired*, "Google's Self-Driving Car Caused Its First Crash," by Alex Davies, 29 Feb. 2016.

The Case of the Collapsed Mine[2]

—Richard T. De George

Business ethics is an important subcomponent of the broader study of ethics, with many business schools requiring students to take at least one course on the subject. Studying business ethics can make one sensitive to issues and questions that might otherwise have escaped notice. A business situation fraught with dilemmas for one person might for another be simply business as usual. And this is the problem: One person sees a conflict of values; another sees none. So here is a selection that demonstrates how someone who is sensitive to ethical dilemmas would approach a particular incident. In "The Case of the Collapsed Mine," Richard T. De George presents a case study and then raises a series of questions that, in effect, provides an overview of business ethics. For instance, De George takes up questions on the value of human life as measured against the cost of designing very safe, or relatively safe, products and on the need to restructure systems that reward loyalty at the expense of morality. You may be surprised by the number of questions De George can draw from this case. As you begin to think like an ethicist you, too, will recognize and pose such questions.

Richard T. De George is University Distinguished Professor of Philosophy and Courtesy Professor of Management at the University of Kansas. He is the author or editor of more than fifteen books and more than one hundred scholarly articles on business ethics.

The following case illustrates the sorts of questions that might arise in business ethics and various ways to approach them. Consider the case of the collapsed mine shaft. In a coal mining town of West Virginia, some miners were digging coal in a tunnel thousands of feet below the surface. Some gas buildup had been detected during the two preceding days. This had been reported by the director of safety to the mine manager. The buildup was sufficiently serious to have closed down operations until it was cleared. The owner of the mine decided that the buildup was only marginally dangerous, that he had coal orders to fill, that he could not afford to close down the mine, and that he would take the chance that the gas would dissipate before it exploded. He told the director of safety not to say anything about the danger. On May 2nd, the gas exploded. One section of the tunnel collapsed, killing three miners and trapping eight others in a pocket. The rest managed to escape.

The explosion was one of great force and the extent of the tunnel's collapse was considerable. The cost of reaching the men in time to save their lives would amount to several million dollars. The problem facing the manager was whether the expenditure of such a large sum of money was worth it. What, after all, was a human life worth? Whose decision was it and how should it be made? Did the manager owe more to the stockholders of the corporation or to the trapped workers? Should he use the slower, safer, and cheaper way of reaching them and save a large sum of money or the faster, more dangerous, and more expensive way and possibly save their lives?

He decided on the latter and asked for volunteers. Two dozen men volunteered. After three days, the operation proved to be more difficult than anyone had anticipated. There had been two more explosions and three of those involved in the rescue operation had already been killed. In the meantime, telephone contact had been made with the trapped men who had been fortunate enough to find a telephone line that was still functioning. They were starving. Having previously read about a similar case, they decided that the only way for any of them to survive long enough was to draw lots, and then kill and eat the one who drew the shortest straw. They felt that it was their duty that at least some of them should be found alive;

[2]De George, Richard T., *Business Ethics*, 6th Ed., © 2006. Reprinted and electronically reproduced by permission of Pearson Education, Inc., Upper Saddle River, New Jersey.

otherwise, the three volunteers who had died rescuing them would have died in vain.

After twenty days the seven men were finally rescued alive; they had cannibalized their fellow miner. The director of safety who had detected the gas before the explosion informed the newspapers of his report. The manager was charged with criminal negligence; but before giving up his position, he fired the director of safety. The mine eventually resumed operation.

5 There are a large number of issues in the above account. . . .

The director of safety is in some sense the hero of the story. But did he fulfill his moral obligation before the accident in obeying the manager and in not making known either to the miners, the manager's superior, or to the public the fact that the mine was unsafe? Did he have a moral obligation after the explosion and rescue to make known the fact that the manager knew the mine was unsafe? Should he have gone to the board of directors of the company with the story or to someone else within the company rather than to the newspapers? All these questions are part of the phenomenon of worker responsibility. To whom is a worker responsible and for what? Does his moral obligation end when he does what he is told? Going public with inside information such as the director of safety had is commonly known as "blowing the whistle" on the company. Frequently those who blow the whistle are fired, just as the director of safety was. The whole phenomenon of whistle blowing raises serious questions about the structure of companies in which employees find it necessary to take such drastic action and possibly suffer the loss of their jobs. Was the manager justified in firing the director of safety?

The manager is, of course, the villain of the story. He sent the miners into a situation which he knew was dangerous. But, he might argue, he did it for the good of the company. He had contracts to fulfill and obligations to the owners of the company to show a profit. He had made a bad decision. Every manager has to take risks. It just turned out that he was unlucky. Does such a defense sound plausible? Does a manager have an obligation to his workers as well as to the owners of a company? Who should take precedence and under what conditions does one group or the other become more important? Who is to decide and how?

The manager decided to try to save the trapped miners even though it would cost the company more than taking the slower route. Did he have the right to spend more of the company's money in this way? How does one evaluate human life in comparison with expenditure of money? It sounds moral to say that human life is beyond all monetary value. In a sense it is. However, there are limits which society and people in it can place on the amount they will, can, and should spend to save lives. The way to decide, however, does not seem to be to equate the value of a person's life with the amount of income he would produce in his remaining years, if he lives to a statistically average age, minus the resources he would use up in that period. How does one decide? How do and should people weigh human lives against monetary expenditure? In designing automobiles, in building roads, in making many products, there is a trade-off between the maximum safety that one can build into the product and the cost of the product. Extremely safe cars cost more to build than relatively safe cars. We can express the difference in terms of the number of people likely to die driving the relatively safe ones as opposed to the extremely safe ones. Should such decisions be made by manufacturers, consumers, government, or in some other way?

The manager asked for volunteers for the rescue work. Three of these volunteers died. Was the manager responsible for their deaths in the same way that he was responsible for the deaths of the three miners who had died in the first mine explosion? Was the company responsible for the deaths in either case? Do companies have obligations to their employees and the employees' families in circumstances such as these, or are the obligations only those of the managers? If the manager had warned the miners that the level of gas was dangerous, and they had decided that they wanted their pay for that day and would work anyway, would the manager have been responsible for their deaths? Is it moral for people to take dangerous jobs simply to earn money? Is a system that impels people to take such jobs for money a moral system? To what extent is a company morally obliged to protect its workers and to prevent them from taking chances?

10 The manager was charged with criminal negligence under the law. Was the company responsible for anything? Should the company have been sued by the famil[ies] of the dead workers? If the

company were sued and paid damages to the families, the money would come from company profits and hence from the profits of the shareholders. Is it fair that the shareholders be penalized for an incident they had nothing to do with? How is responsibility shared and/or distributed in a company, and can companies be morally responsible for what is done in their name? Are only human beings moral agents and is it a mistake to use moral language with respect to companies, corporations, and businesses?

The decision of the trapped miners to cast lots to determine who would be killed and eaten also raises a number of moral issues. Our moral intuitions can provide in this case no ready answer as to whether their decision was morally justifiable, since the case is not an ordinary one. How to think about such an issue raises the question of how moral problems are to be resolved and underscores the need for some moral theory as guidelines by which we can decide unusual cases. A number of principles seem to conflict—the obligation not to kill, the consideration that it is better for one person to die rather than eight, the fact noted by the miners that three persons had already died trying to rescue them, and so on. The issue here is not one peculiar to business ethics, but it is rather a moral dilemma that requires some technique of moral argument to solve.

The case does not tell us what happened to either the manager or the director of safety. Frequently the sequel to such cases is surprising. The managers come off free and ultimately rewarded for their concern for the company's interest, while the whistle blower is black-balled throughout the industry. The morality of such an outcome seems obvious—justice does not always triumph. What can be done to see that it triumphs more often is a question that involves restructuring the system.

Business ethics is sometimes seen as conservative and is also used as a defense of the status quo. Sometimes it is seen as an attack on the status quo and hence viewed as radical. Ideally it should be neither. It should strive for objectivity. When there are immoral practices, structures, and actions occurring, business ethics should be able to show that these actions are immoral and why. But it should also be able to supply the techniques with which the practices and structures that are moral can be defended as such. The aim of business ethics is neither defense of the status quo nor its radical change. Rather it should serve to remedy those aspects or structures that need change and protect those that are moral. It is not a panacea. It can secure change only if those in power take the appropriate action. But unless some attention is paid to business ethics, the moral debate about practices and principles central to our society will be more poorly and probably more immorally handled than otherwise.

A Framework for Thinking Ethically

—Manual Velasquez, Dennis Moberg, Michael J. Meyer, et al.

Some people confronted with an ethical dilemma might find no dilemma at all: They seem to know instinctively which is the right choice (for them) and to act on it. Others find themselves in the archetypal predicament of having a devil perched on one shoulder and an angel on the other, with devil and angel offering conflicting advice. In some situations, there may be a devil on *each* side, with the choice being between two terrible alternatives—the worst of these being known as a Sophie's choice dilemma, a reference to the main character of William Styron's novel, who was forced to choose which of her two children would be executed at a Nazi concentration camp.

Although ethics can offer little useful guidance in such worst-case scenarios, it can, in most everyday situations, offer a framework that will help people to make choices they can feel good about. One such framework is offered in the following selection, produced by the Markkula Center for Applied Ethics. After explaining what ethics is *not*, the authors provide an overview of

the main approaches to ethical decision making: the utilitarian approach, the rights approach, the fairness or justice approach, and so on. The authors conclude with a series of questions that, when answered, help people make ethical choices based on which approach they find most useful.

The Markkula Center for Applied Ethics, based at Santa Clara University, a Jesuit institution south of San Francisco, "seeks to encourage dialogue on the ethical dimensions of current issues." This piece appears on the center's Web site. Throughout the chapter, we will refer to this selection as the Markkula framework.

This document is designed as an introduction to thinking ethically. We all have an image of our better selves—of how we are when we act ethically or are "at our best." We probably also have an image of what an ethical community, an ethical business, an ethical government, or an ethical society should be. Ethics really has to do with all these levels—acting ethically as individuals, creating ethical organizations and governments, and making our society as a whole ethical in the way it treats everyone.

What Is Ethics?

Simply stated, ethics refers to standards of behavior that tell us how human beings ought to act in the many situations in which they find themselves—as friends, parents, children, citizens, businesspeople, teachers, professionals, and so on.

It is helpful to identify what ethics is *not*:

- Ethics is not the same as feelings. Feelings provide important information for our ethical choices. Some people have highly developed habits that make them feel bad when they do something wrong, but many people feel good even though they are doing something wrong. And often our feelings will tell us it is uncomfortable to do the right thing if it is hard.
- Ethics is not religion. Many people are not religious, but ethics applies to everyone. Most religions do advocate high ethical standards but sometimes do not address all the types of problems we face.
- Ethics is not following the law. A good system of law does incorporate many ethical standards, but law can deviate from what is ethical. Law can become ethically corrupt, as some totalitarian regimes have made it. Law can be a function of power alone and designed to serve the interests of narrow groups. Law may have a difficult time designing or enforcing standards in some important areas, and may be slow to address new problems.
- Ethics is not following culturally accepted norms. Some cultures are quite ethical, but others become corrupt or blind to certain ethical concerns (as the United States was to slavery before the Civil War). "When in Rome, do as the Romans do" is not a satisfactory ethical standard.
- Ethics is not science. Social and natural science can provide important data to help us make better ethical choices. But science alone does not tell us what we ought to do. Science may provide an explanation for what humans are like. But ethics provides reasons for how humans ought to act. And just because something is scientifically or technologically possible, it may not be ethical to do it.

Why Identifying Ethical Standards Is Hard

There are two fundamental problems in identifying the ethical standards we are to follow:

1. On what do we base our ethical standards?
2. How do those standards get applied to specific situations we face?

5 If our ethics are not based on feelings, religion, law, accepted social practice, or science, what are they based on? Many philosophers and ethicists have helped us answer this critical question. They have suggested at least five different sources of ethical standards we should use.

Five Sources of Ethical Standards

The Utilitarian Approach

Some ethicists emphasize that the ethical action is the one that provides the most good or does the least harm, or, to put it another way, produces the greatest balance of good over harm. The ethical corporate action, then, is the one that produces the greatest good and does the least harm for all who are affected—-customers, employees, shareholders, the community, and the environment. Ethical warfare balances the good achieved in ending terrorism with the harm done to all parties through death, injuries, and destruction. The utilitarian approach deals with consequences; it tries both to increase the good done and to reduce the harm done.

The Rights Approach

Other philosophers and ethicists suggest that the ethical action is the one that best protects and respects the moral rights of those affected. This approach starts from the belief that humans have a dignity based on their human nature per se or on their ability to choose freely what they do with their lives. On the basis of such dignity, they have a right to be treated as ends and not merely as means to other ends. The list of moral rights—including the rights to make one's own choices about what kind of life to lead, to be told the truth, not to be injured, to a degree of privacy, and so on—is widely debated; some now argue that nonhumans have rights, too. Also, it is often said that rights imply duties—in particular, the duty to respect others' rights.

The Fairness or Justice Approach

Aristotle and other Greek philosophers have contributed the idea that all equals should be treated equally. Today we use this idea to say that ethical actions treat all human beings equally—or if unequally, then fairly based on some standard that is defensible. We pay people more based on their harder work or the greater amount that they contribute to an organization, and say that is fair. But there is a debate over CEO salaries that are hundreds of times larger than the pay of others; many ask whether the huge disparity is based on a defensible standard or whether it is the result of an imbalance of power and hence is unfair.

The Common Good Approach

The Greek philosophers have also contributed the notion that life in community is a good in itself and our actions should contribute to that life. This approach suggests that the interlocking relationships of society are the basis of ethical reasoning and that respect and compassion for all others—especially the vulnerable—are requirements of such reasoning. This approach also calls attention to the common conditions that are important to the welfare of everyone. This may be a system of laws, effective police and fire departments, health care, a public educational system, or even public recreational areas.

The Virtue Approach

10 A very ancient approach to ethics is that ethical actions ought to be consistent with certain ideal virtues that provide for the full development of our humanity. These virtues are dispositions and habits that enable us to act according to the highest potential of our character and on behalf of values like truth and beauty. Honesty, courage, compassion, generosity, tolerance, love, fidelity, integrity, fairness, self-control, and prudence are all examples of virtues. Virtue ethics asks of any action, "What kind of person will I become if I do this?" or "Is this action consistent with my acting at my best?"

Putting the Approaches Together

Each of the approaches helps us determine what standards of behavior can be considered ethical. There are still problems to be solved, however.

The first problem is that we may not agree on the content of some of these specific approaches.

We may not all agree to the same set of human and civil rights.

We may not agree on what constitutes the common good. We may not even agree on what is a good and what is a harm.

15 The second problem is that the different approaches may not all answer the question "What is ethical?" in the same way. Nonetheless, each approach gives us important information with which to determine what is ethical in a particular circumstance. And much more often than not, the different approaches do lead to similar answers.

Making Decisions

Making good ethical decisions requires a trained sensitivity to ethical issues and a practiced method for exploring the ethical aspects of a decision and weighing the considerations that should impact our choice of a course of action. Having a method for ethical decision making is absolutely essential. When practiced regularly, the method becomes so familiar that we work through it automatically without consulting the specific steps.

The more novel and difficult the ethical choice we face, the more we need to rely on discussion and dialogue with others about the dilemma. Only by careful exploration of the problem, aided by the insights and different perspectives of others, can we make good ethical choices in such situations.

We have found the following framework for ethical decision making a useful method for exploring ethical dilemmas and identifying ethical courses of action.

A Framework for Ethical Decision Making

Recognize an Ethical Issue

1. Could this decision or situation be damaging to someone or to some group? Does this decision involve a choice between a good and bad alternative, or perhaps between two "goods" or between two "bads"?
2. Is this issue about more than what is legal or what is most efficient? If so, how?

Get the Facts

3. What are the relevant facts of the case? What facts are not known? Can I learn more about the situation? Do I know enough to make a decision?
4. What individuals and groups have an important stake in the outcome? Are some concerns more important? Why?
5. What are the options for acting? Have all the relevant persons and groups been consulted? Have I identified creative options?

Evaluate Alternative Actions

6. Evaluate the options by asking the following questions:
   - Which option will produce the most good and do the least harm? (The Utilitarian Approach)
   - Which option best respects the rights of all who have a stake? (The Rights Approach)
   - Which option treats people equally or proportionately? (The Justice Approach)
   - Which option best serves the community as a whole, not just some members? (The Common Good Approach)
   - Which option leads me to act as the sort of person I want to be? (The Virtue Approach)

Make a Decision and Test It

7. Considering all these approaches, which option best addresses the situation?
8. If I told someone I respect—or told a television audience—which option I have chosen, what would they say?

Act and Reflect on the Outcome

9. How can my decision be implemented with the greatest care and attention to the concerns of all stakeholders?
10. How did my decision turn out and what have I learned from this specific situation?

This framework for thinking ethically is the product of dialogue and debate at the Markkula Center for Applied Ethics at Santa Clara University. Primary contributors include Manuel Velasquez, Dennis Moberg, Michael J. Meyer, Thomas Shanks, Margaret R. McLean, David DeCosse, Claire André, and Kirk O. Hanson. It was last revised in May 2009.

Moral Inquiry

—Ronald F. White

In the following selection, Ronald F. White provides a closer examination of some of the major approaches to ethical decision making that are discussed in the Markkula framework. Don't be intimidated by White's terminology: What he calls "teleological approaches" is essentially the same as what the authors of "A Framework for Thinking Ethically" call "the utilitarian approach." And when White contrasts teleological theories with "deonotological theories," he's actually making the same distinction as Lauren Davis, who writes, "The trolley dilemmas vividly distilled the distinction between two different concepts of morality: that we should choose the action with the best overall consequences (in philosophy-speak, utilitarianism . . .), like only one person dying instead of five, and the idea that we should always adhere to strict duties, like 'never kill a human being.'" White fleshes out these distinct approaches with his discussions of particular examples.

White is a professor of philosophy at the College of St. Joseph in Cincinnati. With specialties in health care ethics, business ethics, and societal and political philosophy, he has written numerous essays and book reviews for professional journals. This selection is an excerpt from his unpublished book *Moral Inquiry* (available online).

Whatever Truth is, we do know that our beliefs about it have a tendency to change over time. I used to believe in Santa Claus, the Easter Bunny, and governmental efficiency. Scientists used to believe that the earth is the center of the universe, and that bloodletting cures insanity. Based on the flow of history, it is safe to assume that most of what we believe to be true today will eventually be regarded as either imprecise or false. We also know that human beliefs concerning Truth vary between individuals, groups of individuals, and between cultures. Generally speaking, we deal with this cognitive dissonance by summarily dismissing beliefs that conflict with our own. Our beliefs are true, theirs are false.

Human beings also believe that some human behavior is good and praiseworthy, and that other behavior is bad and blameworthy. It is true that human beings murder each other, steal from each other, drive too fast, and fart in elevators. Under most circumstances, none of these behaviors are considered to be good or praiseworthy, although there may be particular circumstances when they might be. Farting is a perfectly natural phenomenon open to descriptive inquiry. It can be explained in terms of the laws of human physiology (the production of nitrogenous waste) and the laws of physics: our knowledge of both sets of laws change over time. Killing and stealing can also be explained in biological terms. But many philosophers argue that there is a difference between inquiring into whether something is true and/or whether it is good.

• • •

All moral theories address the questions of what is Good, why it's Good, and where the Good is located. If there is anything "easy" about moral inquiry it's the fact that there are only three basic kinds of prescriptive moral theories: *teleological theories*, *deontological theories, and virtue-based theories.* Unfortunately, they often (but not always) provide different and mostly conflicting answers to these basic questions.

Teleological Ethical Theories

Teleological moral theories locate moral goodness in the consequences of our behavior and not the behavior itself. According to teleological (or *consequentialist*) moral theory, all rational human actions are teleological in the sense that we reason about the *means* of achieving certain *ends.* Moral behavior, therefore, is goal-directed. I have ice in my gutters right now. I am deliberating about when and how to get that ice out in order to prevent water damage inside the house. There are many strategies (means) that I might employ to remove that ice (end). Should I send my oldest son, Eli, up on the icy roof today? After careful deliberation I finally decided not send him on the roof because it is slippery and he might fall. How did I decide? Well, I took into account the possible consequences. There is nothing inherently wrong with climbing on the roof. What made roof climbing the morally wrong thing to do at this particular time and place were the possible consequences. The issue has moral significance insofar as it affects persons. So from the teleological point of view, human behavior is neither right nor wrong in and of itself. What matters is what might happen as a consequence of those actions in any given context. Thus, it is the contextualized consequences that make our behavior, good or bad, right or wrong. In the case of roof climbing in the winter, I decided to climb up on the roof myself, because it's dangerous. Eli might fall off and get hurt. If that happened, my wife would blame me and so would the community. But if I fell off the roof, I would be judged to be imprudent, but not necessarily immoral.

5 From a teleological standpoint, stealing, for example, could not be judged to be inherently right or wrong independent of the context and the foreseeable consequences. Suppose I am contemplating stealing a loaf of bread from the neighborhood grocery store. Many moral theorists would argue that morality requires an analysis of my motives (or intent) that brought about that behavior. However, from a teleological perspective, motives really have nothing to do with the rightness or wrongness of the act. What really matters lies in the potential pains and pleasures associated with the short-term and long-term consequences. If my children were starving, and if stealing a loaf of bread would immediately

prevent them from starving, then I might seriously consider stealing. But I'd have to know if the consequences would significantly harm the grocery store. What would be the odds of getting caught? If I got caught, what would happen to me? Would I go to jail? Get fined? If I went to jail, who would take care of my children? Therefore, even if my motive (preventing my children from starving) was praiseworthy, the act of stealing might still be wrong because other actions might be more cost-effective in bringing about the desired consequences. Perhaps I'd be better off signing up for food stamps or asking the storeowner to give me day-old bread. On the other hand, suppose that there were no other options and that I invented a foolproof system for stealing bread. Would I be wrong for doing it? If you think about the consequences of your actions when you make moral decisions, you are applying teleological moral theory.

• • •

Deontological Theories

There are many philosophers who reject the entire teleological agenda by arguing that moral goodness has nothing to do with . . . consequences. *Deontological theories* are by definition *duty-based.* That is to say, . . . morality, according to deontologists, consists in the fulfillment of moral *obligations*, or *duties.* Duties, in the deontological tradition, are most often associated with obeying *absolute moral rules.* Hence, human beings are morally required to do (or not to do) certain acts in order to uphold a rule or law. The rightness or wrongness of a moral rule is determined independent of its consequences or how happiness or pleasure is distributed as a result of abiding by that rule, or not abiding by it.

It's not difficult to see why philosophers would be drawn to this position. . . . In early nineteenth-century America, many members of the anti-slavery movement argued that slavery was wrong, even though slaveholders and southern society in general economically benefited from it. Suppose, also that the slaveholders were also able to condition the slaves to the point where they actually enjoyed living under slavery. From a teleological perspective, slavery might appear to be an ideal economic institution. Everybody is happy!

A deontologist, however, would argue that even if the American government conducted a detailed cost/benefit analysis of slavery and decided that it created more pleasure in society than pain, it would still be wrong. Therefore, deontologists believe that right and wrong have nothing to do with pleasure, pain, or consequences. Morality is based on whether acts conflict with moral rules or not, and the motivation behind those acts. An act is therefore good if and only if it was performed out of a desire to do one's duty and obey a rule. In other words, act out of a good will. Hence, slavery is wrong, not because of its negative consequences, but because it violates an absolute moral rule. The problem here is: "How does one distinguish absolute moral rules from mere convention, prudence, or legality . . .?"

• • •

Virtue-Based Moral Theories

In the Western world (and the Eastern world) there is a venerable system of moral reasoning based on the idea of virtue. Let's call those various systems *virtue-based moral systems*. In the history of Western moral theory, there are two different types of virtue-based systems. The nonsecular line of inquiry relies on divine command theory in order to discern moral virtues from vices, as illustrated by the Judeo-Christian moral tradition. The secular line of inquiry relies primarily on reason and experience, and not divine command theory. It goes back to the ancient Greeks, via the writings of Homer, Hesiod, Plato, and Aristotle. . . .

10 All virtue-based moral systems focus on big questions such as: "What is the 'Good Life?'" And "How do I go about living the 'Good Life?'" Therefore, they tend to focus on how to live one's life over the long run, rather than how to address particular issues that pop up at any given time. In short, virtue-based systems focus on character development within harmonious communities. These systems also tend to rely on moral exemplars, or role models. Once a person has internalized the virtue of kindness, then that person will exemplify that virtue in [his or her] actions.

All virtue-based moral systems differentiate between virtues (good behavior) and vices (bad behavior). Ultimately, nonsecular virtue-based theories differentiate between virtues and vices based on religious authorities, usually traced back to the authority of the Bible and/or its official interpreters. The Christian authorities have identified *faith, hope*, and *charity* as its primary virtues. If you pursue these ideals over the course of your lifetime, you'll lead a "good life."

Aristotle believed moral virtue consists in choosing the mean between the extremes of excess and deficiency within any given sphere of action. The vice of excess consists in choosing too much of a good thing and the vice of deficiency consists of not enough. Excellence is found midway between the two. For example, the virtue of bravery can be found midway between the vices of cowardice and foolhardiness.

VIDEO LINK: GREY'S ANATOMY (A MEDICAL DILEMMA)

Go to: YouTube

Search terms: *"ethics grey anatomy.wmv" (length: 00:05:58)*

Heinz's Dilemma: Kohlberg's Six Stages of Moral Development[3]

—William Crain

A distinctly different take on ethical decision making is provided by William Crain in the following selection, which discusses the theory of Lawrence Kohlberg (1927–1987). Kohlberg was a psychologist at the Department of Psychology at the University of Chicago and the Graduate School of Education at Harvard University. Kohlberg was much influenced by the work of Swiss psychologist Jean Piaget (1896–1980), who studied the cognitive and moral development of children. Kohlberg studied both children and adolescents in developing his own approach to moral development. In his 1958 doctoral dissertation, which is based on his interviews with boys and girls from the United States and around the world, he first expounded his six stages of moral development, each showing a different and progressively more complex approach to moral reasoning and decision making.

In the following selection, Crain discusses Kohlberg's six stages of moral development, focusing on how they apply to his famous example of the Heinz dilemma ("Heinz steals the drug"). You should be able to draw on Crain's discussion of Kohlberg's stages and Heinz's dilemma when you later attempt to analyze the choices represented in other cases in this chapter.

This selection is drawn from Crain's *Theories of Development: Concepts and Applications*.

Kohlberg's Method

Kohlberg's (1958a) core sample was comprised of 72 boys, from both middle- and lower-class families in Chicago. They were ages 10, 13, and 16. He later added to his sample younger children, delinquents, and boys and girls from other American cities and from other countries (1963, 1970).

The basic interview consists of a series of dilemmas such as the following:

Heinz Steals the Drug

In Europe, a woman was near death from a special kind of cancer. There was one drug that the doctors thought might save her. It was a form of radium that a druggist in the same town had recently discovered. The drug was expensive to make, but

[3]Crain, William, *Theories of Development: Concepts and Applications*, 6th ed., © 2011, pp. 159–165. Reprinted and electronically reproduced by permission of Pearson Education, Inc., Upper Saddle River, New Jersey.

the druggist was charging ten times what the drug cost him to make. He paid $200 for the radium and charged $2,000 for a small dose of the drug. The sick woman's husband, Heinz, went to everyone he knew to borrow the money, but he could only get together about $1,000 which is half of what it cost. He told the druggist that his wife was dying and asked him to sell it cheaper or let him pay later. But the druggist said: "No, I discovered the drug and I'm going to make money from it." So Heinz got desperate and broke into the man's store to steal the drug for his wife. Should the husband have done that? (Kohlberg, 1963, p. 19)

Kohlberg is not really interested in whether the subject says "yes" or "no" to this dilemma but in the reasoning behind the answer. The interviewer wants to know why the subject thinks Heinz should or should not have stolen the drug. The interview schedule then asks new questions which help one understand the child's reasoning. For example, children are asked if Heinz had a right to steal the drug, if he was violating the druggist's rights, and what sentence the judge should give him once he was caught. Once again, the main concern is with the reasoning behind the answers. The interview then goes on to give more dilemmas in order to get a good sampling of a subject's moral thinking. [See the Video Link following this reading (p. 259) for two videos dealing with the Heinz dilemma.]

Once Kohlberg had classified the various responses into stages, he wanted to know whether his classification was *reliable.* In particular, he wanted to know if others would score the protocols in the same way. Other judges independently scored a sample of responses, and he calculated the degree to which all raters agreed. This procedure is called *interrater reliability.* Kohlberg found these agreements to be high, as he has in his subsequent work, but whenever investigators use Kohlberg's interview, they also should check for interrater reliability before scoring the entire sample.

Kohlberg's Six Stages

Level 1. Preconventional Morality

Stage 1. Obedience and Punishment Orientation. Kohlberg's stage 1 is similar to Piaget's first stage of moral thought. The child assumes that powerful authorities hand down a fixed set of rules which he or she must unquestioningly obey. To the Heinz dilemma, the child typically says that Heinz was wrong to steal the drug because "It's against the law," or "It's bad to steal," as if this were all there were to it. When asked to elaborate, the child usually responds in terms of the consequences involved, explaining that stealing is bad "because you'll get punished" (Kohlberg, 1958b).

Although the vast majority of children at stage 1 oppose Heinz's theft, it is still possible for a child to support the action and still employ stage 1 reasoning. For example, a child might say, "Heinz can steal it because he asked first and it's not like he stole something big; he won't get punished" (see Rest, 1973). Even though the child agrees with Heinz's action, the reasoning is still stage 1; the concern is with what authorities permit and punish.

Kohlberg calls stage 1 thinking "preconventional" because children do not yet speak as members of society. Instead, they see morality as something external to themselves, as that which the big people say they must do.

Stage 2. Individualism and Exchange. At this stage children recognize that there is not just one right view that is handed down by the authorities. Different individuals have different viewpoints. "Heinz," they might point out, "might think it's right to take the drug, the druggist would not." Since everything is *relative,* each person is free to pursue his or her *individual* interests. One boy said that Heinz might steal the drug if he wanted his wife to live, but that he doesn't have to if he wants to marry someone younger and better-looking (Kohlberg, 1963, p. 24). Another boy said Heinz might steal it because maybe they had children and he might need someone at home to look after them. But maybe he shouldn't steal it because they might put him in prison for more years than he could stand. (Colby and Kauffman. 1983, p. 300)

What is right for Heinz, then, is what meets his own self-interests.

10 You might have noticed that children at both stages 1 and 2 talk about punishment. However, they perceive it differently. At stage 1 punishment is tied up in the child's mind with wrongness; punishment "proves" that disobedience is wrong. At stage 2, in contrast, punishment is simply a risk that one naturally wants to avoid.

Although stage 2 respondents sometimes sound amoral, they do have some sense of right action. This is a notion of *fair exchange* or fair deals. The philosophy is one of returning favors—"If you scratch my back, I'll scratch yours." To the Heinz story, subjects often say that Heinz was right to steal the drug because the druggist was unwilling to make a fair deal; he was "trying to rip Heinz off." Or they might say that he should steal for his wife "because she might return the favor some day" (Gibbs et al., 1983, p. 19).

Respondents at stage 2 are still said to reason at the preconventional level because they speak as isolated individuals rather than as members of society. They see individuals exchanging favors, but there is still no identification with the values of the family or community.

Level II. Conventional Morality

Stage 3. Good Interpersonal Relationships. At this stage children—who are by now usually entering their teens—see morality as more than simple deals. They believe that people should live up to the expectations of the family and community and behave in "good" ways. Good behavior means having good motives and interpersonal feelings such as love, empathy, trust, and concern for others. Heinz, they typically argue, was right to steal the drug because "He was a good man for wanting to save her," and "His intentions were good, that of saving the life of someone he loves." Even if Heinz doesn't love his wife, these subjects often say, he should steal the drug because "I don't think any husband should sit back and watch his wife die" (Gibbs et al., 1983, pp. 36–42; Kohlberg, 1958b).

If Heinz's motives were good, the druggist's were bad. The druggist, stage 3 subjects emphasize, was "selfish," "greedy," and "only interested in himself, not another life." Sometimes the respondents become so angry with the druggist that they say that he ought to be put in jail (Gibbs et al., 1983, pp. 26–29, 40–42). A typical stage 3 response is that of Don, age 13:

> It was really the druggist's fault, he was unfair, trying to overcharge and letting someone die. Heinz loved his wife and wanted to save her. I think anyone would. I don't think they would put him in jail. The judge would look at all sides, and see that the druggist was charging too much. (Kohlberg, 1963, p. 25)

15 We see that Don defines the issue in terms of the actors' character traits and motives. He talks about the loving husband, the unfair druggist, and the understanding judge. His answer deserves the label "conventional morality" because it assumes that the attitude expressed would be shared by the entire community—"anyone" would be right to do what Heinz did (Kohlberg, 1963, p. 25).

As mentioned earlier, there are similarities between Kohlberg's first three stages and Piaget's two stages. In both sequences there is a shift from unquestioning obedience to a relativistic outlook and to a concern for good motives. For Kohlberg, however, these shifts occur in three stages rather than two.

Stage 4. Maintaining the Social Order. Stage 3 reasoning works best in two-person relationships with family members or close friends, where one can make a real effort to get to know the other's feelings and needs and try to help. At stage 4, in contrast, the respondent becomes more broadly concerned with *society as a whole.* Now the emphasis is on obeying laws, respecting authority, and performing one's duties so that the social order is maintained. In response to the Heinz story, many subjects say they understand that Heinz's motives were good, but they cannot condone the theft. What would happen if we all started breaking the laws whenever we felt we had a good reason? The result would be chaos; society couldn't function. As one subject explained,

> I don't want to sound like Spiro Agnew,[4] law and order and wave the flag, but if everybody did as he wanted to do, set up his own beliefs as

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[4]Spiro Agnew, vice president of the United States (1969–1973) under President Richard M. Nixon, was famous (or notorious) for his blistering attacks on antigovernment protestors and counterculture types. He characterized one group of opponents as "an effete corps of impudent snobs who characterize themselves as intellectuals" and was given to alliterative insults like "pusillanimous pussyfooters" and "nattering nabobs of negativism." Agnew resigned the vice presidency in 1973 just before pleading no contest to criminal charges of tax evasion for accepting bribes while serving as governor of Maryland.

> to right and wrong, then I think you would have chaos. The only thing I think we have in civilization nowadays is some sort of legal structure which people are sort of bound to follow. [Society needs] a centralizing framework. (Gibbs et al., 1983, pp. 140–41)

Because stage 4 subjects make moral decisions from the perspective of society as a whole, they think from a full-fledged member-of-society perspective (Colby and Kohlberg, 1983, p. 27).

You will recall that stage 1 children also generally oppose stealing because it breaks the law. Superficially, stage 1 and stage 4 subjects are giving the same response, so we see here why Kohlberg insists that we must probe into the reasoning behind the overt response. Stage 1 children say, "It's wrong to steal" and "It's against the law," but they cannot elaborate any further, except to say that stealing can get a person jailed. Stage 4 respondents, in contrast, have a conception of the function of laws for society as a whole—a conception which far exceeds the grasp of the younger child.

Level III. Postconventional Morality

20 **Stage 5. Social Contract and Individual Rights.** At stage 4, people want to keep society functioning. However, a smoothly functioning society is not necessarily a good one. A totalitarian society might be well-organized, but it is hardly the moral ideal. At stage 5, people begin to ask, "What makes for a good society?" They begin to think about society in a very theoretical way, stepping back from their own society and considering the rights and values that a society ought to uphold. They then evaluate existing societies in terms of these prior considerations. They are said to take a "prior-to-society" perspective (Colby and Kohlberg, 1983, p. 22).

Stage 5 respondents basically believe that a good society is best conceived as a social contract into which people freely enter to work toward the benefit of all. They recognize that different social groups within a society will have different values, but they believe that all rational people would agree on two points. First they would all want certain basic *rights,* such as liberty and life, to be protected. Second, they would want some *democratic* procedures for changing unfair law and for improving society.

In response to the Heinz dilemma, stage 5 respondents make it clear that they do not generally favor breaking laws; laws are social contracts that we agree to uphold until we can change them by democratic means. Nevertheless, the wife's right to live is a moral right that must be protected. Thus, stage 5 respondents sometimes defend Heinz's theft in strong language:

> It is the husband's duty to save his wife. The fact that her life is in danger transcends every other standard you might use to judge his action. Life is more important than property.

This young man went on to say that "from a moral standpoint" Heinz should save the life of even a stranger, since to be consistent, the value of a life means any life. When asked if the judge should punish Heinz, he replied:

> Usually the moral and legal standpoints coincide. Here they conflict. The judge should weigh the moral standpoint more heavily but preserve the legal law in punishing Heinz lightly. (Kohlberg, 1976, p. 38)

Stage 5 subjects, then, talk about "morality" and "rights" that take some priority over particular laws. Kohlberg insists, however, that we do not judge people to be at stage 5 merely from their verbal labels. We need to look at their social perspective and mode of reasoning. At stage 4, too, subjects frequently talk about the "right to life," but for them this right is legitimized by the authority of their social or religious group (e.g., by the Bible). Presumably, if their group valued property over life, they would too. At stage 5, in contrast, people are making more of an independent effort to think out what any society ought to value. They often reason, for example, that property has little meaning without life. They are trying to determine logically what a society ought to be like (Kohlberg, 1981, pp. 21–22; Gibbs et al., 1983, p. 83).

25 **Stage 6: Universal Principles.** Stage 5 respondents are working toward a conception of the good society. They suggest that we need to (a) protect certain individual rights and (b) settle disputes through democratic processes. However, democratic processes alone do not always result in outcomes that we intuitively sense are just. A majority, for example, may

vote for a law that hinders a minority. Thus, Kohlberg believes that there must be a higher stage—stage 6—which defines the principles by which we achieve justice.

Kohlberg's conception of justice follows that of the philosophers Kant and Rawls, as well as great moral leaders such as Gandhi and Martin Luther King. According to these people, the principles of justice require us to treat the claims of all parties in an impartial manner, respecting the basic dignity of all people as individuals. The principles of justice are therefore universal; they apply to all. Thus, for example, we would not vote for a law that aids some people but hurts others. The principles of justice guide us toward decisions based on an equal respect for all.

In actual practice, Kohlberg says, we can reach just decisions by looking at a situation through one another's eyes. In the Heinz dilemma, this would mean that all parties—the druggist, Heinz, and his wife—take the roles of the others. To do this in an impartial manner, people can assume a "veil of ignorance" (Rawls, 1971), acting as if they do not know which role they will eventually occupy. If the druggist did this, even he would recognize that life must take priority over property; for he wouldn't want to risk finding himself in the wife's shoes with property valued over life. Thus, they would all agree that the wife must be saved—this would be the fair solution. Such a solution, we must note, requires not only impartiality, but the principle that everyone is given full and equal respect. If the wife were considered of less value than the others, a just solution could not be reached.

Until recently, Kohlberg had been scoring some of his subjects at stage 6, but he has temporarily stopped doing so, For one thing, he and other researchers had not been finding subjects who consistently reasoned at this stage. Also, Kohlberg has concluded that his interview dilemmas are not useful for distinguishing between stage 5 and stage 6 thinking. He believes that stage 6 has a clearer and broader conception of universal principles (which include justice as well as individual rights), but feels that his interview fails to draw out this broader understanding. Consequently, he has temporarily dropped stage 6 from his scoring manual, calling it a "theoretical stage" and scoring all postconventional responses as stage 5 (Colby and Kohlberg, 1983, p. 28).

Theoretically, one issue that distinguishes stage 5 from stage 6 is civil disobedience. Stage 5 would be more hesitant to endorse civil disobedience because of its commitment to the social contract and to changing laws through democratic agreements. Only when an individual right is clearly at stake does violating the law seem justified. At stage 6, in contrast, a commitment to justice makes the rationale for civil disobedience stronger and broader. Martin Luther King, for example, argued that laws are only valid insofar as they are grounded in justice, and that a commitment to justice carries with it an obligation to disobey unjust laws. King also recognized, of course, the general need for laws and democratic processes (stages 4 and 5), and he was therefore willing to accept the penalties for his actions. Nevertheless, he believed that the higher principle of justice required civil disobedience (Kohlberg, 1981, p. 43).

Summary

30 At stage 1 children think of what is right as that which authority says is right. Doing the right thing is obeying authority and avoiding punishment. At stage 2, children are no longer so impressed by any single authority; they see that there are different sides to any issue. Since everything is relative, one is free to pursue one's own interests, although it is often useful to make deals and exchange favors with others.

At stages 3 and 4, young people think as members of the conventional society with its values, norms, and expectations. At stage 3, they emphasize being a good person, which basically means having helpful motives toward people close to one. At stage 4, the concern shifts toward obeying laws to maintain society as a whole.

At stages 5 and 6 people are less concerned with maintaining society for its own sake, and more concerned with the principles and values that make for a good society. At stage 5 they emphasize basic rights and the democratic processes that give everyone a say, and at stage 6 they define the principles by which agreement will be most just.

VIDEO LINK: THE HEINZ DILEMMA

There are many treatments on the Heinz dilemma on YouTube. You can find some of the best by searching on YouTube.

Go to: YouTube

Search terms: *"heinz dilemma kohlbergs theory moral development" (select video with length 00:03:00) "kohlbergs moral development theory" (select video with length 00:04:17)*

A Casebook of Ethical Dilemmas

11.3 Critically read, annotate, and develop a preliminary topic list from a selection of sources.

This section presents an array of cases, both real and hypothetical, that invite you to decide on an ethical course of action. In making your decision, you should be guided not only by your innate sense of what is the right thing to do but also by the kind of ethical frameworks discussed in Velasquez et al., White, and Crain's treatment of Kohlberg's stages of moral development. Consider, for example, the "lifeboat" case, in which ten people want to climb into a lifeboat that can hold only six. In choosing, for example, whether to allow either a lifeguard or an elementary school teacher into the lifeboat, should utilitarian considerations prevail? Considerations of justice or of rights? And in the Klosterman scenario, is it better for a doctor to respect the right of a patient to have his doctor maintain confidentiality or the right of an innocent man not to have to go in jail?

The Lifeboat

—Rosetta Lee

This case, a version of the familiar lifeboat scenario, was developed by Rosetta Lee as an assignment for The Seattle Girls' School. Note that, while this scenario is quite specific, it has applications in a variety of other contexts. For example, which of several candidates should be first in line for an organ transplant? How do we decide who gets the vaccine when only limited supplies are available?

Note: **You can see an intriguing dramatization of the issues posed in "The Lifeboat" (and at least one of the other scenarios in this chapter, such as "The Trolley Problem: Three Variants") in the 2014 film *After the Dark*, which poses the following question: "Which ten of twenty-one individuals should be allowed to enter a survival bunker after a nuclear apocalypse has destroyed most human life on earth?"**

The ship is sinking and the seas are rough. All but one lifeboat has been destroyed. The lifeboat holds a maximum of six people. There are ten people (listed below) that want to board the lifeboat. The four individuals who do not board the boat will certainly die.

Woman who thinks she is six months pregnant
Lifeguard
Two young adults who recently married
Senior citizen who has fifteen grandchildren
Elementary school teacher
Thirteen-year-old twins
Veteran nurse
Captain of the ship

The Tragedy of the Commons

—Garrett Hardin

The following selection is excerpted from the first part of Garrett Hardin's essay of the same name, which first appeared in *Science* in December 1968. Hardin (1915–2003) was an often controversial ecologist who taught at the University of California, Santa Barbara, from 1963 to 1978. "The Tragedy of the Commons" (1963), his most well-known paper, drew attention to "the damage that innocent actions by individuals can inflict on the environment." In particular, he warned against the dangers of human overpopulation in a world of limited resources. Hardin is the author of numerous articles and several books, including *The Limits of Altruism: An Ecologist's View of Survival* (1977), *Filters against Folly: How to Survive Despite Economists, Ecologists, and the Merely Eloquent* (1985), and *The Ostrich Factor: Our Population Myopia* (1999).

***Note:* This passage is not a case, per se, but an argument on moral courses of action in a world of finite resources.**

Abstract

The population problem has no technical solution; it requires a fundamental extension in morality. [A technical solution may be defined as one that requires a change only in the techniques of the natural sciences, demanding little or nothing in the way of change in human values or ideas of morality.]

• • •

The tragedy of the commons develops in this way. Picture a pasture open to all. It is to be expected that each herdsman will try to keep as many cattle as possible on the commons. Such an arrangement may work reasonably satisfactorily for centuries because tribal wars, poaching, and disease keep the numbers of both man and beast well below the carrying capacity of the land. Finally, however, comes the day of reckoning, that is, the day when the long-desired goal of social stability becomes a reality. At this point, the inherent logic of the commons remorselessly generates tragedy.

As a rational being, each herdsman seeks to maximize his gain. Explicitly or implicitly, more or less consciously, he asks, "What is the utility *to me* of adding one more animal to my herd?" This utility has one negative and one positive component.

1. The positive component is a function of the increment of one animal. Since the herdsman receives all the proceeds from the sale of the additional animal, the positive utility is nearly +1.
2. The negative component is a function of the additional overgrazing created by one more animal. Since, however, the effects of overgrazing are shared by all the herdsmen, the negative utility for any particular decision-making herdsman is only a fraction of −1.

Adding together the component partial utilities, the rational herdsman concludes that the only sensible course for him to pursue is to add another animal to his herd. And another; and another . . . But this is the conclusion reached by each and every rational herdsman sharing a commons. Therein is the tragedy. Each man is locked into a system that compels him to increase his herd without limit—in a world that is limited. Ruin is the destination toward which all men rush, each pursuing his own best interest in a society that believes in the freedom of the commons. Freedom in a commons brings ruin to all.

• • •

Even at this late date, cattlemen leasing national land on the western ranges demonstrate no more than an ambivalent understanding, in constantly pressuring federal authorities to increase the head count to the point where overgrazing produces erosion and weed-dominance. Likewise, the oceans of the world continue to suffer from the survival of the philosophy of the commons. Maritime nations still respond automatically to the shibboleth of the "freedom of the seas." Professing to believe in the "inexhaustible resources of the oceans," they bring species after species of fish and whales closer to extinction.

The National Parks present another instance of the working out of the tragedy of the commons. At present, they are open to all, without limit. The parks themselves are limited in extent—there is only one Yosemite Valley—whereas population seems to grow without limit. The values that visitors seek in the parks are steadily eroded. Plainly, we must soon cease to treat the parks as commons or they will be of no value to anyone.

• • •

In a reverse way, the tragedy of the commons reappears in problems of pollution. Here it is not a question of taking something out of the commons, but of putting something in—sewage, or chemical, radioactive, and heat wastes into water; noxious and dangerous fumes into the air; and distracting and unpleasant advertising signs into the line of sight. The calculations of utility are much the same as before. The rational man finds that his share of the cost of the wastes he discharges into the commons is less than the cost of purifying his wastes before releasing them. Since this is true for everyone, we are locked into a system of "fouling our own nest," so long as we behave only as independent, rational, free-enterprisers.

The Insurance Agent

You've taken a summer job at an insurance company owned by a family friend–a connection you (and the friend) hide so as not to receive preferential treatment. You're assigned to work with an experienced adjuster. The job entails inspecting damage to people's property (from fires or storms, for instance) and determining how much money the insurance company will pay to make repairs or buy replacements.

One morning, you inspect a car that's been crushed by a wind-blown tree. The owner of the car begins to weep and says, "Totaled! This is the worst possible timing! I'll never be able to buy a dependable car with the check you people write. I *need* solid transportation so I can work and pay for my son's operation. Without it. . . ." You learn the child lives in another country, has no health insurance, and is failing.

Back at the office, you compare notes with your supervisor. You say: "I've followed the company's rules for calculating damages. To fix that car would cost more than it's worth. It's a total loss, and we should pay the man $2,500, maybe $3,000." Your supervisor arrives at a different number: $8,000. When you ask her to explain the discrepancy, she says, "Your calculations are accurate. Excellent work. But didn't you see the new television and stereo system in the back seat–still in their boxes–ruined? They cost at least $5,000."

There was no TV or stereo system.

Noting your reaction, the supervisor says, "Look, the man's got an operation to pay for. The company can afford it."

What do you do?

VIDEO LINK: ETHICS IN PUBLIC RELATIONS

Go to: YouTube
Search terms: *"ethical and legal issues pr Gaudet"*

Should I Protect a Patient at the Expense of an Innocent Stranger?[5]

—Chuck Klosterman

The following selection originally appeared in "The Ethicist" column of the *New York Times Magazine* on May 10, 2013. In addition to regularly writing this column for the *Times*, Klosterman has also been a columnist for *Esquire*. He has also published several essay collections (including *Sex Drugs and Cocoa Puffs: A Low Culture Manifesto* [2004]), two novels, and eight books on American popular culture, including *I Wear the Black Hat: Grappling with Villains (Real and Imagined)* (2013).

> I am a physician. Years ago, I saw a young patient with headaches, who disclosed—reluctantly—that he had committed a serious crime and that somebody else took the fall for it. I believe he was telling me the truth (his headaches soon resolved after the confession). Before his admission, I assured him that whatever he told me would not leave the room. Later, without giving specifics, I consulted our hospital lawyer, who told me that we were under no obligation to report the incident, because the patient wasn't in danger of hurting himself or others. But the future of an innocent man hinges on two people's consciences, my patient's and my own. I feel like a coward, hiding behind the Hippocratic Oath, doing nothing. —NAME WITHHELD

I'm (obviously) not a doctor, and I assume some doctors will vehemently disagree with what I'm about to write. But I feel that the first thing we need to recognize is that the Hippocratic Oath represents the ideals of a person who died in the historical vicinity of 370 B.C. Now, this doesn't make it valueless or inherently flawed. It's a good oath. But we're dealing with a modern problem, so I would separate the conditions of that concept from this discussion. And even if you refuse to do that—even if you feel your commitment to this symbolic oath supersedes all other things, keep in mind that one of its cornerstones is to "do no harm." Are you latently doing harm by allowing someone to be penalized for a crime he did not commit? This is not exactly a medical issue, but your relationship to the problem is still an extension of your position as a physician.

Here is the root of the problem: You promised a man that you would keep his secret in confidence, only to have him tell you something you now view as too important to remain unspoken. The stakes are pretty high; the possibility of someone's being convicted of a crime that he did not commit is awful. But you've painted yourself into a comer. You should not tell someone, "Whatever you tell me will never leave this room" if that promise only applies to anecdotes you deem as tolerable. It doesn't matter if you're a physician or anyone else. The deeper question, of course, is whether breaking this commitment is ethically worse than allowing someone to go to jail for no valid reason. On balance, I have to say it is not.

I would advise the following: Call the patient back into your office. Urge him to confess what happened to the authorities and tell him you will assist him in any way possible (helping him find a lawyer before going to the police, etc.). If he balks, you will have to go a step further; you will have to tell him that you were wrong to promise him confidentiality and that your desire for social justice is greater than your personal integrity as a professional confidant. There is, certainly, danger in doing this. I don't know what the real impact will be (considering the circumstances, it seems as if it would be easy for him to claim his confession came under mental distress and that you coerced or misinterpreted his admission but the information still might help the innocent man's case).

This is a situation in which I'm personally uncomfortable with my own advice. If I told someone, "Whatever you tell me will never leave this room," it would be almost impossible for me to contradict that guarantee, regardless of whatever insane thing the person proceeded to tell me. That is my own human weakness. But given the advantage of detached objectivity, it's very difficult to argue that the significance of your promise to a guilty stranger is greater than an innocent stranger's freedom from wrongful prosecution. You should not have made the original promise, and you should not allow that bad promise to stand. But keep in mind I'm only looking at this from a civilian perspective. The conditions of doctor-patient privilege might make this untenable. I'm merely weighing the two evils and deeming one to be greater, at least in this specific case.

No Edit

—Randy Cohen

A writer and humorist, Randy Cohen preceded Chuck Klosterman as the writer of the *New York Times'* "Ethicist" column. He has written articles for *the Village Voice* and the online magazine *Slate*. He has also written for several TV shows, including *TV Nation, The Rosie O'Donnell Show*, and (for 950 episodes) *The David Letterman Show*. Among his books are *Diary of a Flying Man* (1989), a collection of humor pieces; *The Good, The Bad, & The Difference: How to Tell Right from Wrong in Everyday Situations* (2002); and *Be Good: How to Navigate the Ethics of Everything* (2012). He currently hosts the public radio show *Person Place Thing*.

> As a high-school English teacher, I am frequently asked to proofread and make rewriting suggestions for students' college-application essays. I decline on the grounds that admissions officers assume that these essays accurately represent the students' work. Other teachers argue that our students lose the editing advantage many students receive. Is it ethical for me to read student essays? —NAME WITHHELD

The all-the-kids-are-doing-it defense? Unpersuasive. A teacher may read student essays but not write them. You should eschew anything as hands-on as editing or proofreading and instead find ways to guide students toward producing first-rate work that is their own.

This is a more conservative stance than that of at least one person who will judge the finished product. Jeffrey Brenzel, dean of undergraduate admissions at Yale, says, "I would think it foolish of a student not to have an essay proofed for spelling, grammar and syntax by someone competent to do so."

As to your concern—and mine—that such direct involvement by the teacher can mislead a college about a student's language skills and undermine the student's integrity and sense of accomplishment, Brenzel replies: "We are not looking to take the measure of writing ability, genius or cleverness. We simply want to know something about personal outlook and perspective—how a student sees things or what a student has learned from his or her experiences."

Admissions offices are wise to use these essays as a way to learn more about applicants but disingenuous to suggest that they are uninfluenced by the quality of the writing. How could they not be?

5 Your challenge is to help your students without distorting their voices or misrepresenting their abilities. One technique recommended by College Summit, a nonprofit organization that helps public-school systems increase college enrollment, is to ask students probing questions about their essays—why did you spend your summer vacation in that shark tank? Is there a word in standard English that is clearer than "aieeee"?—but not proffer answers. That is, help a student identify a problem, but let the student solve it.

The Tortured Child

—Kelley L. Ross

"The Tortured Child" and "A Callous Passerby" (see below) were developed by Kelley L. Ross for his Web site *Some Moral Dilemmas*. Ross is retired from the Department of Philosophy at Los Angeles Valley College in Van Nuys, California. The moral dilemmas he discusses are adapted from those provided in Victor Grassian's *Moral Reasoning: Ethical Theory and Some Contemporary Moral Problems* (1981).

Dostoyevsky . . . imagines a classic right versus good dilemma:

> "Tell me yourself—I challenge you: let's assume that you were called upon to build the edifice of human destiny so that men would finally be happy and would find peace and tranquility. If you knew that, in order to attain this, you would have to torture just one single creature, let's say the little girl who beat her chest so desperately in the outhouse, and that on her unavenged tears you could build that edifice, would you agree to do it? Tell me and don't lie!"
>
> "No I would not," Alyosha said softly. [Fyodor Dostoevsky, *The Brothers Karamazov*, 1880, translated by Andrew H. MacAndrew, Bantam Books, 1970, p. 296]

This could stand as a *reductio ad absurdum* of Utilitarianism; but Dostoyevsky himself cites one innocent person who is indeed sacrificed to build an "edifice" of "peace and tranquility," namely, Jesus Christ. Jesus went to his fate willingly, unlike the little girl of the example here; but those who sent him there had something else in mind. Dostoyevsky's thought experiment was developed into a science fiction short story, "The Ones Who Walk Away from Omelas" [1973], by Ursula K. Le Guin. Le Guin, however, originally credited the device to William James, having read it in James and forgotten that it was in Dostoyevsky.

The Ones Who Walk Away from Omelas

Ursula Le Guin

In "The Tortured Child" (previous selection), Kelley L. Ross indicates that Ursula Le Guin's 1973 short story "The Ones Who Walk Away from Omelas" was derived from Dostoyevsky's "classic right versus good dilemma" from *The Brothers Karamazov*. Le Guin's beautifully written and yet disturbing story is available online. It evokes, in the most vivid manner possible, the ethical dilemma that is briefly suggested by Dostoyevsky. After you read it, you may find yourself turning to the ethical approaches discussed by authors like White, Velasquez et al., and Crain to make moral sense of the choices made by both those who remain in Omelas and those who walk away.

Ursula Le Guin (1929–) is a prolific author of children's books, novels, and short stories focusing on science fiction and fantasy. Among her books are *Planet of Exile* (1966), *A Wizard of Earthsea* (1968), *The Dispossessed: An Ambiguous Utopia* (1974), *The Compass Rose* (1982), *Always Coming Home* (1985), *The Other Wind* (2001), and *Lavinia* (2008).

Online you'll discover many analyses of Le Guin's story. You may or may not want to read them—but either way, the fun and the benefit of this "case" derive from thinking through the ethical dilemmas yourself and discussing them with your classmates.

Go to: Google or Bing
Search terms: *"pdf the ones who walk away from omelas"*

VIDEO LINK: *THE DROWNING CHILD* BY PETER SINGER

Australian philosopher and ethicist Peter Singer (1946–), author of *Animal Liberation* (1975) and now a professor of bioethics at Princeton University and Laureate Professor of Philosophy at the University of Melbourne, poses an ethical question that appears to point to an obvious choice—until he adds a twist.

Go to: YouTube

Search terms: *"drowning child singer" (00:01:58 or 00:03:18 version; shorter version includes visuals)*

A Callous Passerby

—Kelley L. Ross

Roger Smith, a quite competent swimmer, is out for a leisurely stroll. During the course of his walk he passes by a deserted pier from which a teenage boy who apparently cannot swim has fallen into the water. The boy is screaming for help. Smith recognizes that there is absolutely no danger to himself if he jumps in to save the boy; he could easily succeed if he tried. Nevertheless, he chooses to ignore the boy's cries. The water is cold and he is afraid of catching a cold—he doesn't want to get his good clothes wet, either. "Why should I inconvenience myself for this kid?" Smith says to himself and passes on. Does Smith have a moral obligation to save the boy? If so, should he have a legal obligation ["Good Samaritan" laws] as well?

The Assignments

11.4 Use source materials to investigate a topic and write papers on that topic.

Summary

Summarize Garrett Hardin's argument in "The Tragedy of the Commons" on pages 260–261. In preparing your summary, consult the Guidelines for Writing Summaries on page 26 in Chapter 3.

Alternate Summary Assignment

In preparation for writing an argument about Ursula Le Guin's "The Ones Who Walk Away from Omelas," summarize Le Guin's short story.

A work of fiction is based on narrative logic, not the expository logic of facts and opinions you find in most writing. For this reason, summarizing a work of fiction differs from summarizing a selection that explains and argues.So for this assignment, you won't be relying on the Guidelines for Writing Summaries from Chapter 3.

Instead, briefly relate the main events of the story, providing an account of both the characters and the action. Make notes as you read and prepare to summarize "The Ones Who Walk Away from Omelas." A useful strategy is to respond to a journalist's questions: who (is the story about)?, what (happens)?, where (does it happen)?, when (does it happen)?, and why (does it happen)?

Try using this typical common opening in summarizing a narrative: "'X' tells the story of a ____ who _____." Consult your notes (who, what, etc.) and follow with your account of the broad action of the story and the motivations of its main actors. Write the summary of a narrative using present-tense verbs, as in these examples:

> The happiness of Omelas is conditional on the imprisonment and torture of a single person.
>
> Periodically, some citizens decide to leave Omelas.

When used in summarizing works of fiction, the present tense is referred to as the historical present tense. This tense suggests that the action of a story is always present to readers each time they return to the story. However often we read *The Great Gatsby*, we find Jay Gatsby staring across the water at a green light at the end of a dock. The actors in that and any other fiction are continually present to us, no matter how often we visit with them—as if they are frozen in an eternal *now*.

If you choose to develop the first alternate assignment for argument synthesis you'll put this summary to use in the larger paper. Note that, on occasion, you may need to vary your use of the present tense to clarify sequences of events.

Critique

> Write a critique of Garrett Hardin's "The Tragedy of the Commons."

In your critique, define "the tragedy of the commons" and summarize Hardin's argument. (If you completed the summary assignment, use that summary here.) Evaluate Hardin's claim that individuals pursuing their own interests inevitably destroy shared resources.

You may want to draw on one or both of the following in preparing your critique. The authors question Hardin's lack of evidence and introduce the principle of cooperation among people, as opposed to relentless self-interest, in the face of limited resources. Be sure to cite these sources should you refer to them in your critique.

- Ian Angus, "The Myth of the Tragedy of the Commons," *MRZine*, 25 Aug. 2008. Search engine query: "Angus myth tragedy commons mrzine."
- Jay Walljasper, "The Victory of the Commons," *Yes*! Magazine, 27 Oct. 2009. Search engine query: "Walljasper victory commons yes magazine"

In writing this critique, develop both an introduction and a conclusion as well as the main body of the critique. See Chapters 2 and 5 for advice on critical reading. See particularly the Guidelines for Writing Critiques box on page 90 in Chapter 5, along with the hints on incorporating quoted material into your own writing on pages 69–72. In general, follow the advice above for developing a critique. Organize and develop the body of your evaluation around specific points:

- State the point of evaluation as a clear topic sentence.
- Cite specific examples in the selection that illustrate this observation.
- Discuss these examples in two or three follow-on sentences in one paragraph or at greater length in two or more paragraphs.

In preparing to write, consider the following questions. Your responses may help you to formulate elements of your critique:

- Classify Hardin's thinking as primarily teleological (consequence-based ethics) or deontological (morality-based ethics). To help you make this classification, see the selection by Ronald F. White.
- What assumptions does Hardin make about the ability of progress in technology to give the commons greater capacity so that it could accommodate more intensive use?
- What assumptions does Hardin make about the possibilities of human cooperation when faced with limited resources?
- In what ways can a metaphor (such as Hardin's commons) both open and limit a conversation?
- What evidence do you see of self-interest or cooperation among people as well as nations in their approach to using finite resources?

Explanatory Synthesis

> Explain—in no more than two pages—an ethical dilemma that you've faced in your life and the choice you eventually made.

This assignment requires you to answer a key question: *What* is an ethical dilemma? Start by defining both parts of the term *ethical dilmma*. Several sources in the chapter define ethics. Consider developing explanations for *types* of ethical dilemmas. For a definition of *dilemma*, review the many examples in the chapter and infer a definition; review also what the Velasquez et al. (of the Markkula Center) and White write on the matter.

In relating your experience, be sure to identify all participants in the dilemma and their stakes in the outcome, the issues or values in conflict, the course of action you chose, and the ramifications of that choice. This explanation will form the first part of a later analysis (should you choose the alternate assignment for analysis). Try to bring real richness to your explanation. Help your readers *feel* the tension of a difficult decision.

In developing your explanation, consult to the Guidelines for Writing Syntheses on page 103 in Chapter 6. More specifically, consider the following.

SUGGESTIONS FOR DEVELOPING THE ASSIGNMENT Develop your explanation systematically, remembering throughout that you're a storyteller. Be true to your experience, but at the same time think of your readers. Dilemmas involve conflict; conflict creates tension. How do you plan to create tension for readers so that they'll want to keep reading and learn what you did (or did not do)? How vividly can you describe the participants?

- Provide the who, when, and where of the situation.
- What was the dilemma? Why was it a dilemma? To answer this question, provide a definition of *dilemma*.
- How did this dilemma involve ethics? To answer this question, start with a clear definition of *ethics*—and you can draw on sources in the chapter, including the chapter introduction, to do so.
- What choices did you have?
- Devote a paragraph or two to discussing the choice you made when faced with the dilemma. There's no need to analyze that decision—assessing whether or not you did the right thing. (You may choose to do that later as a part of an analysis assignment.) Instead, focus on your choice. Because this is a dilemma, which means there were (at least) two courses of action open to you, discuss the tension involved in making that choice. What forces were in play—for instance, religious or parental training/rules, the advice of friends or teachers, the expectations of coaches?

Keep in mind that this brief paper is an explanation—not, at this point, an analysis of your decision or a consideration of whether or not you did the right thing. The success of this paper is based on how carefully you can present your experience in a way that enables readers to appreciate an ethical dilemma. In defining this dilemma, draw on the sources in this chapter. Be sure to set up your references to those sources (which can be summaries, paraphrases, or quotations) using an appropriate citation format, most likely MLA (see pp. 238–240).

Analysis

> Choose an ethical dilemma from this chapter (from either A Casebook of Ethical Dilemmas or from The Trolley Problem: Three Variants). Analyze this dilemma using two (or more) ethical principles as discussed in White's "Moral Inquiry" or the Markkula framework (Velasquez et al.).

This is a *comparative* analysis. That is, you will be applying at least two principles to a particular case in order to reveal insights that will suggest (possibly) different courses of action. As a conclusion, recommend one course of action over another and justify your recommendation. In organizing your thoughts and then writing the analysis, follow either the Guidelines for Writing Analyses on page 164 in Chapter 8 or the Markkula framework (Velasquez et al.) on pages 248–251.

SUGGESTIONS FOR DEVELOPING THE ASSIGNMENT This assignment requires two analyses of a single case. Before beginning, you may find it useful to review the discussion of comparison and contrast on pages 147–153. We recommend the following structure for organizing your paper:

- Paragraph 1: Summarize the case and provide a context, indicating its significance.
- Paragraph 2: Define the first analytic tool or principle—for instance, teleological (consequence-based) ethics or deontological (morality-based) ethics. Recall that there are other analytic tools, or principles, discussed in the readings.
- Paragraphs 3–4: Apply the first principle to the case, concluding with a course of action consistent with that principle.
- Paragraph 5: Define the second analytic tool or principle.
- Paragraphs 6–7: Apply the second principle to the case, concluding with a course of action consistent with that principle.
- Paragraphs 8–10: Compare and contrast your applications of the ethical principles. Use the criteria approach for comparison and contrast. (See page 149.) Choose three criteria, or key points, for comparison and contrast, and discuss the two ethical principles and their applications to the case.
- Paragraph 11 (or more): Argue that one ethical principle and the decision following from it makes for the better outcome.

Alternate Analysis Assignment

Explain an ethical dilemma that you've faced in your life and the choice you made. (See the assignment for explanatory synthesis.) Analyze that choice based on at least two ethical principles discussed in this chapter and use the Markkula framework (Velasquez et al.) to conduct the analysis. Conclude by assessing whether or not you did the right thing. Would you change your decision today if you had to decide all over again?

Argument

Suppose a friend in another class looked over the cases you've been studying in this chapter and asserted that many of the dilemmas they presented—the runaway trolley, for example—were so far-fetched and unrealistic that they were useless as a guide to ethical decision making. Your classmate also raised questions about the ethical frameworks themselves, contending that they were too complicated for most people to apply in everyday situations. Develop an argument responding to these assertions—one expressing agreement, disagreement, or something in between.

SUGGESTIONS FOR DEVELOPING THE ASSIGNMENT

- Write a paragraph or two imagining in somewhat greater detail the scenario involving a friend who doubts the usefulness of studying ethics, as the subject is presented in this chapter (with "thought experiments" and ethical frameworks).

- Write a paragraph or two briefly describing some of (1) the cases presented in this chapter and (2) the ethical frameworks. Cite examples that appear, at least on the surface, to support your friend's assertions.
- **Thesis:** Write a paragraph detailing your own response to your friend's assertions. Conclude this paragraph with a clearly worded statement, your thesis, explaining the extent to which you agree and disagree.
- Write several paragraphs in which you systematically respond to your friend's assertions. Discuss some of the representative cases presented in the chapter in light of the argument that they are (or are not) useful as guides to ethical decision making. Explain why the particularly "far-fetched" examples may (or may not) be useful for this purpose. You might refer to the way "The Trolley" illuminates the driverless car problem. Do you find this explanation plausible? Discuss also some of the ethical frameworks presented in the chapter in light of how easy (or how difficult) they might be in helping to resolve ethical dilemmas in everyday life.
- Write a paragraph of counterargument in which you concede that others might justifiably find fault with your central argument. Explain your concession.
- Write a "nevertheless" section, in which you respond to the counterargument(s) and reaffirm your own position.
- Write a paragraph or two of conclusion. See Chapter 9 (pp. 196–201) for advice on concluding your argument.

It's up to you to decide where you place the individual elements of this argument synthesis. It's also up to you to decide which sources to use and what logic to present in defense of your claim. See Chapter 7 for help in thinking for help in thinking about structuring and supporting your argument.

Alternate Argument Assignment 1

Read Ursula Le Guin's "The Ones Who Walk Away from Omelas" and decide whether or not you would be one of the people who walked away. Draw on other selections in this chapter to argue for your choice. Use your summary of Le Guin from the earlier alternate summary assignment if you chose that assignment. As you put that summary to use in your argument, you'll have to change its form a bit, presenting the summary in parts:

- A main section, early in the paper, which relates the overall arc of the story, its actors, and its main themes.
- Brief summaries of individual parts of the story, which call your reader's attention to particular scenes that you will discuss, each in its turn.

Alternate Argument Assignment 2

Three cases in this chapter turn on the rightness of a person's decision to speak up or remain silent when confronted with what he or she thinks is an ethical lapse: the insurance agent (p. 261), the director of safety in the "Collapsed Mine" (p. 246), and the doctor (p. 262).

Building on the ethical principles you've learned about in this chapter, develop guidelines to help you decide when to speak or remain silent when confronted with dilemmas. That is, choose among ethical principles or combine them as you see fit; then shape them into a personal approach. Argue in support of this approach, showing its strengths and acknowledging its weaknesses, as you apply it to one or more of the cases just mentioned. If you're feeling ambitious, apply your approach to the case of Edward Snowden, alluded to briefly at the beginning of this chapter (p. 241). You'll find detailed accounts of Snowden's leaks in online news sources.

A NOTE ON INCORPORATING QUOTATIONS AND PARAPHRASES Identify those sources that you intend to use in your synthesis. Working with a phrase, sentence, or brief passage from each, use a variety of the techniques discussed in Chapter 4, "Quoting Sources, Using Signal Phrases, and Making Standard 'Moves'" to advance your argument. Some of these sentences should demonstrate the use of ellipses and brackets. (See pp. 59–61 in Chapter 4.) Paraphrase passages as needed, incorporating the paraphrases into your paragraphs.

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Credits

Text Credits

Chapter 1

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