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MỤC LỤC

RESEARCH

IS A RED CARD FOR LEARNERS' USE OF THEIR L1 IN L2 LESSONS FAIR? A SOCIOCULTURAL ACCOUNT

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Abstract: One of the controversial issues in second language acquisition research is the role of learners' first language in their second language learning. Traditionally, the first language was assumed to get in the way or interfere with the learning of the L2, and therefore, the first language must be banned in the foreign language classroom. However, this view has recently been reexamined and questioned by empirical studies conducted within the sociocultural perspectives. The goal of this paper is to provide new insights into the mediating role of the first language by reviewing those studies. The paper suggests that L1, when appropriately and systematically used, can be an enabling tool that scaffolds learners in completing cognitively complex and demanding L2 learning tasks. Towards this goal, research directions are also suggested. However, it is important to note that this paper is not intended to encourage teachers and learners to use the L1 in the L2 classroom unsystematically and inappropriately; rather, its goal is to encourage teachers to research their classroom in order to find optimal and effective use of L1 for mediating the success of L2 learning.

Keywords: crosslinguistic influence, L1 use, L2 learning, sociocultural theory, mediating, multi-competence

1. Introduction

The role of the first language (L1) in the learning of a second language (L2) has been widely studied as a source of cross-linguistic influence from the native system. Influenced by the Chomskyan essentialist ontology of language, which views that language resides in the mind and is separable from communication, many second language acquisition researchers during the 20th century adopted a general-cognitive position towards language. Kellerman and Sharwood Smith (1986) suggested two different terms to refer to this influence: transfer and crosslinguistic influence. *Transfer*, according to the authors, refers to processes that lead to the incorporation of elements of one language into another (e.g., borrowing or restructuring), while the term *crosslinguistic influence*, which is more inclusive, refers to transfer as well as any other kind of effect one language may have on the other (e.g., convergence or attrition). This perspective informed research on the role of L1 in L2 learning for several decades until the early 1990s. Since this assumption has been largely taken for granted in the language teaching literature throughout the twentieth century, with only isolated voices of dissent, a monolingual approach was strongly promoted in the language-teaching literature. Teachers and learners were advised

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not to use the learners' own language (L1) for explanation, translation, testing, classroom management or general interaction between teachers and students in the (L2) classroom for fear of the negative influence of L1 on L2 learning, leading to errors in L2. According to Prodromou (2002, p. 6), the issue of L1 use is a well-kept family secret for many, a "skeleton in the cupboard…a taboo subject, a source of embarrassment". Time and time again, L1 use in L2 classrooms was accompanied by feelings of guilt. West (1962, p. 48) argued that "One cannot but suspect that this theory of rigid avoidance of the mother tongue may be in part motivated by the fact that the teacher of English does perhaps not know the learner's mother tongue".

In a provocative article, Auerbach (1993, p. 13), who called the 'English-only' policy a 'neocolonialistic' policy, rang the bell warning of the ideology underlying the monolingual approach in second and foreign language education. By providing a sociopolitical account of the situation of immigrant ESL learners studying in the United States, she noted that classroom practices were not ideologically neutral, but influenced by the relations of power both inside and outside the classroom. She then rationalized the use of the L1 in ESL classrooms that

> … starting with the L1 provides a sense of security and validates the learners' lived experiences, allowing them to express themselves. The learner is then willing to experiment and take risks with English (p. 19).

Auerbach's claim has opened a new research avenue which attempts to provide empirical evidence on the validity of the crosslinguistic influence on L2 learning. Insights from this research agenda have refuted the essentialist ontologies which hypothesized the compartmentalization of the two languages in the mind. Drawing on a psycholinguistic perspective, Cook's (1995; 2002; 2008) coined the term 'multicompetence' meaning 'the knowledge of more than one language in the same mind' (2008, p. 231). According to this view, language learners are viewed as bilingual language *users* who are unlike monolinguals in the way they use their knowledge of both languages (L1 and L2). Thus, instead of discouraging or banning the use of L1 in the L2 classroom, learners should be encouraged 'to see the first language as something that is part of themselves whatever they do and appreciate that their first language is inextricably bound up with their knowledge and use of the second' (Cook, 2002, p. 339). According to Canargarajah (2015), 'multicompetence captures the idea that people multitask or parallel process with their languages, not keeping them disconnected when they are learning or using them' (p. 423).

By the turn of the century, scholars in critical sociolinguistics (Blommaert, 2010), critical educational linguistics (Makoni & Pennycook, 2007), cognitive linguistics (Croft, 2001), usage-based linguistics traditions, which include emergentism, constructionism, complexity theory, dynamic systems theory, and conversation analysis, (Cadierno & Eskildsen, 2015; Ellis, Römer, & O'Donnell, 2016; Hopper, 1998; Kasper & Wagner, 2014; Larsen-Freeman, 2017; Verspoor, de Bot, & Lowie, 2011), who espoused post-structuralist and interdisciplinary epistemologies, have moved away from the traditional essentialist view of language as a system that resides in the mind to a non-essentialist alternative view of language as a practice or a process. For example, Swain (2006) refers to this practice or process as '*languaging*'. This ontological and epistemological shift has sparked a reconsideration of the role of learners' L1 in L2 learning. As Hall and Cook (2012, p. 299) put it,

At the start of the twenty-first century, therefore, now that 'the long silence' (G. Cook, 2010: 20–37) about bilingual teaching has been broken, and its merits are no longer routinely ridiculed and dismissed, the way is open for a major 'paradigm shift' in language teaching and learning (Maley 2011). The literature reviewed in this article is no doubt only a beginning.

In a similar vein, Macaro (2014, p. 10) argues, "the question of whether the first language (L1) should be used in the oral interaction or the written materials of second or foreign language (L2) classrooms is probably the most fundamental question facing second language acquisition (SLA) researchers, language teachers and policy makers in this second decade of the 21st century." In fact, the topic had figured prominently in numerous journals in the fields of applied linguistics, bilingualism, second language acquisition and second language education in the last few decades.

Despite the new discourses regarding the role of L1 in L2 learning, differences between native (L1) and nonnative (L2) linguistic behavior remain to be accounted for by the contested comparative fallacy (Bley-Vroman, 1983) in many Asian countries, including Vietnam. For example, Yin (2014) has pointed out that monolingual immersion ideologies are still dominant in many contexts in the world (especially in Southeast Asia) because of a whole host of ideologies, which have been strongly critiqued by recent research in multilingualism. Even at the current time, Lado's (1957) Contrastive Analysis with a focus on deterring L1 negative interference based on the assumption that individuals tended to transfer linguistic forms and meanings of their native language and culture

to the foreign language and culture remains strongly influential to doctoral research within Vietnam.

The goal of this paper is, therefore, to cast doubt on this approach by providing the empirical evidence that has been documented in the literature in the last few decades. It is important to note that this paper is not intended to encourage teachers and learners to use the L1 in the L2 classroom unsystematically and inappropriately; rather its goal is to encourage teachers to research their classroom in order to find optimal and effective use of L1 for mediating the success of L2 learning. This secondary research is guided by the research questions:

1. Is learners' L1 inhibiting or enabling L2 learning?

2. What cognitive functions does L1 serve in L2 learning?

Because sociocultural theory (Lantolf, 2000) emphasizes the role of language as a cognitive mediator that the individual uses to gain control over the cognitive processes in performing cognitively demanding tasks, it is adopted to guide this research. *What is discussed in this paper is a perspective on learners' use of their L1 to mediate their completion of complex L2 tasks. It does not mean teachers can use L1 unsystematically and habitually in teaching L2.*

2. Sociocultural perspectives on the role of L1 in L2 learning

Over the last few decades, the field of second language education has witnessed the emergence of ever-growing empirical studies informed by the sociocultural theoretical framework viewing language not only as a means by which we communicate with others, but as a means by which we communicate with ourselves, as a psychological tool.

Sociocultural theory is originated in Vygotsky's (1978) cognitive psychology, which was reinterpreted as Activity Theory by Leonti'ev (1978). When Jim Lantolf (2000) applied the theory to second language acquisition, he renamed the theory as sociocultural theory (SCT). Beginning with the doctoral dissertations by Negueruela (2003) on the use of Vygotsky's notion of conceptual knowledge as the primary unit of explicit instruction within the university Spanish course and Poehner (2005) regarding Dynamic Assessment as a strategy to diagnose and promote learner development, the body of SCT-informed research in second language instruction began to grow. Lantolf and Poehner (2014) use the concept of 'pedagogical imperative' to refer to the new orientation to SCT-informed research as a response to the call for research to be conducted in the teaching-research nexus in second language education (McKinley, 2019).

One of the central concepts in Vygotsky's theory is mediation, which is defined as "the creation and use of artificial auxiliary means of acting-physically, socially, and mentally" (Lantolf, p. 25). Mediation, "either by other or self [is] at the core of development and use" (Lantolf, 2011, p. 24). For Vygotsky (1978), language is the most important mediating tool of human cognitive development, i.e., regulating or organizing human thinking (Lantolf & Thorne; 2006; Luria, 1982). Language serves as a symbolic artifact to facilitate social activities, in which and through which language is appropriated (Wertsch, 2007, p. 185).

Adopting this view of language, Swain (2006, 2010) uses the term '*languaging*' to refer to this function of language. Unlike Lado (1979), who used "languaging" as a generic term to refer globally to various uses of language, Swain's (2006), "languaging" means the use of language to mediate cognitively complex acts of thinking. It is "the process of making meaning and shaping knowledge and experience through language" (Swain, 2006, p. 98). Swain and Lapkin (2013) elaborate this view, "What is crucial to understand here is that language is not merely a means of communicating what is in one person's head to another person. Rather, language serves to construct the very idea that one is hoping to convey. It is a means by which one comes to know what one does not know." (p. 105).

In this article, I adopt the sociocultural approach to the conceptualization of the cognitive functions that L1 serves in L2 learning because this approach is aligned with the multilingual turn in applied linguistics and second language learning research. The multilingual turn considers the L2 classroom as a bi/multilingual community of practice (Wenger, 1998) in which learners' L1 use is a legitimate practice which contributes to the classroom's 'conceptual architecture for learning' (p. 230). The approach is also aligned with the non-essentialist ontologies of language under the post-structural paradigm according to which language is viewed as a social practice rather than a system (Ortega, 2018). Finally, the sociocultural approach fits well with the findings generated from self-regulation research that self-regulated learners are flexible in using their cognitive and metacognitive strategies appropriately to accomplish their academic tasks (Wolters, 1998). When an individual L2 learner does languaging, s/he uses language to focus attention, to solve problems, to get himself or herself emotionally engaged, and so on. Inspired by these new insights into the role of L1 in L2 learning, a number of researchers (e.g. Antón & DiCamilla, 1999; Thoms, Liao & Szustak, 2005; Vilamil & Guerrero, 1996)

have reported interesting empirical evidence of how L1 is used as linguistic resources in L2 learning.

3. Method

Searches for peer-reviewed articles were conducted on Google Scholar by using key words. I used the terms relating to second language education such as *second language acquisition*, *foreign language education*, *bilingualism* combined with terms specific to the topic of this article such as *the use of L1 in L2 learning, the role of L1 in L2 learning*, and *the influence of L1 on L2 learning.* The initial searches provided 210,000 references, so I reduced the reference lists by gereral relevance (according to title). I then read the abstracts to decide whether the articles were relevant to the purpose of my research or not. In the next step, I scanned the article to see if it matched my inclusion criteria, which required that studies (a) were empirical, (b) were published in international peer-reviewed journals, (c) used sociocultural perspectives as the theoretical framework for analysing and discussing the data. To satisfy these criteria, I examined methods, participants, setting, theoretical framework, and the orientation of the previous studies cited in each study. Since this article focused on the empirical evidence of the learners' use of L1 in L2 learning, articles on the teachers' and learners' attitudes towards, and/or beliefs about, the role of L1 in L2 learning were excluded. So were articles on teachers' use of L1 in the L2 classroom teaching and code-switching. A corpus of 19 articles, which were published in international peer-reviewed journals from 1993 to 2015, met my criteria and was used in this study. After skimming the selected articles I classified them into three different themes: (i) role of L1 in collaborative tasks;

(ii) role of L1 in reading comprehension; and (iii) role of L1 in writing tasks for an analysis. The term *second language* (L2) embraces both contexts, the foreign language context where learners have little exposure to the language they are learning outside of the classroom and the second language context or the 'L2-majority' context (Dixon et al., 2012). I also use the term *L2 education* to refer specifically to instructed language courses designed to develop learners' knowledge of, and competence in, an L2.

4. Findings

4.1. L1 use in collaborative tasks in L2 classrooms

According to my corpus, the study reported by Antón and Dicamilla (1999) was probably the first empirical study on the use of L1 in the collaborative interaction of adult learners. The study was conducted with a small group of native English-speaking students studying Spanish. Drawing on the sociocultural perspective on language as a psychological tool that mediates human mental activity on the external (interpsychological) and the internal (intrapsychological) planes, the researchers showed that learners used their L1 to define various elements of their task collaboratively, that is, to establish and maintain intersubjectivity. Also, L1 was shown to be an indispensable device for students in providing each other with scaffolded help. Finally, learners were reported to use their L1 to externalise their inner speech as a means of regulating their own mental activity throughout the process of task completion. Drawing on a similar sociocultural interactionist framework as Antón and Dicamilla (1999) did, Tomlinson

(2000) stressed the importance of the inner voice in L2 learning. His findings indicated that when L2 learners made use of an L1 inner voice, they tended to fail in developing an L2 inner voice. While Tomlinson's study focused on understanding of the importance of helping L2 learners develop an L2 inner voice, he concluded his paper with the statement that the study helped to "find out how we can help learners of an L2 to make use of their L1 inner voice" (p.150). The findings of the study not only highlighted the critical functions of L1 in the second language learning process, but also showed how various communicative moves and linguistic forms were used to achieve these functions.

Furthering the inquiry into the functions of L1 use in L2 classrooms, Storch and Wigglesworth (2003) reported the results of their study which looked into the amount and the purpose of L1 use by twenty-four intermediate university English-as-a-second-language (ESL) students in completing two tasks together: a text reconstruction task and a short joint composition task using a graphic prompt. These students shared similar variables such as age, educational background, and ESL proficiency level, and they were put in twelve pairs: 6 with a shared L1 and 6 with different L1s. Data was collected through audio-recorded pair talk and face-to-face interviews from six pairs with the common L1. Three pairs were Indonesian speakers and the other three pairs, Mandarin Chinese speakers. The authors reported that the learners used their L1 as a mediating tool for task management and task clarification in the joint composition task while they used their L1s mainly to clarify issues of meaning and vocabulary in the reconstruction task. However, the frequency of learners' use of their L1 varied greatly from minimal use among Chinese speakers to as much as 50%

of the time in completing the tasks. These students also perceived that the use of their L1 was useful in meaning-focused activities. The researchers recommended that L1 use was "a normal psychological process that allows learners to initiate and sustain verbal interaction" (p. 768). Inspired by the results of these studies, Scott and de la Fluente (2008) explored the ways pairs of intermediate-level college learners of French and Spanish used the L1 and their second language (L2) to solve a grammar problem. Using conversation analysis of audiotaped interactions and stimulated recall sessions, they analysed the functions that L1 served while these students were engaged in consciousness-raising, form-focused grammar tasks. As revealed from the data, during a collaborative consciousness-raising, form-focused task, the students talked to themselves in the L1 as they translated the text, recalled grammar rules, reviewed the task, and planned what to say in the L2. The authors suggested that in case students were forbidden to use the L1, their two languages would compete, causing frustration and cognitive strain.

In a similar study, de la Colina and Mayo (2009) reported the findings of their study, which analysed the use of the L1 and its functions in the oral interaction of twelve pairs of undergraduate EFL learners with low proficiency in the target language while engaged in three collaborative tasks (jigsaw, text reconstruction and dictogloss). The findings indicated that the L1 was an important tool for these learners but the students' L1 use varied depending on the task types. In case of the dictogloss task, L1 was used more frequently to sequence and organize the information, which was provided orally in performing the dictogloss task than in doing the jigsaw and the text reconstruction task. In both tasks, learners made use of their L1 as a

cognitive tool to access L2 forms, especially when they did not have enough resources in the L2 to complete tasks demanding a greater proficiency in the L2. These findings support DiCamilla and Antón's (2012) claim that "The fact that lower achieving learners presumably have a greater need for using L1 is not at all surprising if we consider the first language as a psychological tool used in moments of cognitive difficulty" (p. 166). De la Colina and Mayo suggested that the use of the L1 in the L2 classroom must not be considered off-task behavior.

The issue of task-related variation in L1 use was further supported by Storch and Aldosara (2010), who investigated the effect of learner proficiency pairing and task type on the amount of L1 (Arabic) used by learners of English as a foreign language (EFL) in pair work and the functions that the L1 served. Fifteen pairs of students, who were grouped according to their L2 proficiency as assessed by their own teachers. All pairs were assigned to complete three tasks - jigsaw, composition and text-editing - and their talk was audio-recorded, which was then transcribed for analysis to identify the amount of L1 (L1 words and L2 turns) these students used as well as the functions the L1 served. They reported that while the amount of L1 use in pair work activity was in general modest, it was more impacted by the task type than proficiency pairing. L1 was mainly used for the purpose of task management and to facilitate deliberations over vocabulary. When used for task management, L1 tended to reflect the kind of relationship the learners formed. When used for vocabulary deliberations, L1 was used not only to provide explanations to peers but also for private speech.

Swain and Lapkin (2013) investigated how two groups of Grade 8 French immersion learners in Canada used their L1 to complete two different collaborative tasks: dictogloss and jigsaw task. Each group was assigned to work on one of these tasks. The results showed that L1 served three main functions. These were moving the task along by establishing joint understanding of the task, focusing their attention on vocabulary and grammatical items (e.g., searching for vocabulary items or providing information and explanation about grammatical rules and conventions), and enhancing their interpersonal interaction. The most frequent function was moving the task along. Swain and Lapkin argued that L1 faciliated L2 classroom activities, particularly for low proficiency learners and on complex tasks such as the dictogloss task.

The findings of these studies were further supported by Bao and Du (2015), who explored how L1 (Danish) was used in L2 learning (Chinese) by beginner-level lower-secondary school learners of Chinese to complete task-based activities in one secondary school in Denmark. The researchers reported that learners used their L1 with a high frequency while they were on-task in order to mediate their task completion. However, only a very small amount of L1 use was observed in off-task talk across tasks. Bao and Du suggested that L1 use was associated with a variety of factors such as learners' L2 proficiency, learning contexts and task types.

4.2. The role of L1 in L2 reading comprehension

'Mental translation' is the concept that draws the great attention of researchers who were interested in exploring the role of L1 in L2 reading comprehension. The concept means similarly with Vygotsky's (1986) concept of inner speech defined as an internalized language which is for oneself, as opposed to external, social speech produced for others. Probably, Kern (1994) was the pioneer research in this research avenue. He

interviewed 51 students who spoke English as the first language and were studying French as the second language. He found L2 readers most frequently used mental translation in response to specific obstacles to comprehension, such as unfamiliar words and structures. Kern's (1994) study was replicated by Hawras (1996) who studied 27 students studying Spanish as a second language and the findings were similar to what reported in Kern's study. Hawras also found that advanced learners benefited more from mental translation in their L2 reading comprehension than less advanced learners. In another study, Upton (1997) used think-aloud protocols to study native-speakers of Japanese studying English in an American university. He reported that less fluent L2 readers used their L1 more frequently for three cognitive functions: 1) wrestling with vocabulary they did not know or were not sure about; 2) seeking to gain a more global understanding of the L2 text; and 3) attempting to summarize or confirm what was understood. Upton and Lee-Thompson (2001) used think-aloud techniques and retrospective interviews with twenty native speakers of Chinese and Japanese at three levels of language proficiency studying in the U.S. to explore further the questions of when second language readers used their first language cognitive resources and how this cognitive use of the L1 helped them comprehend a second language text. As it was revealed in their study, L2 readers used their L1 to help them wrestle with word and sentence level problems, confirm comprehension, predict text structure and content, as well as monitor text characteristics and reading behavior.

4.3. The use of L1 in completing writing tasks

According to Kubota and Lehner (2004) while teaching English argument conventions, what learners bring from their L1 writing can also be used as a resource so that English conventions would become an additive rather than a subtractive force.

Kubota (1998) investigated whether individual Japanese university learners use the same discourse pattern in Japanese and English writing and how each individual's use of similar/dissimilar patterns affects the quality of ESL essays. These learners were asked to write one essay in English and another one in Japanese. Then, each of them was interviewed about their writing and views on rhetorical styles. The author reported that about half of the writers used similar patterns in Ll and L2 and that no negative transfer of culturally unique rhetorical patterns was found. In addition, the data suggested that Ll writing ability, English proficiency and composing experience in English affect the quality of ESL essays.

Wang and Wen (2002) used think-aloud protocols to investigate how a group of sixteen Chinese EFL learners used their L1 (Chinese) in composing two L2 writing tasks, narration and argumentation. They found that the learners were more likely to rely on L1 when they were managing their writing processes, generating and organizing ideas, but more likely to rely on L2 when undertaking task-examining and text-generating activities. Additionally, more L1 use was found in the narrative writing task than in the argumentative writing. Finally, the think-aloud protocols reflected that L1 use decreased with the writer's L2 development, but the extent of the decline of L1 use in individual activities varied.

van Weijen, van den Bergh, Rijlaarsdam, and Sanders (2009) also used think-aloud techniques to examine twenty-four Dutch learners' use of their first language (L1) while writing in their second language (L2). Twenty of these learners each wrote four short argumentative essays in their L1 (Dutch)

and four in their L2 (English) under think-aloud conditions. Findings revealed that all participants used their L1 while writing in their L2 to some extent, although this varied among conceptual activities. In addition, L2 proficiency was directly related to L2 text quality but was not related to the occurrence of conceptual activities either in L1 or L2. General writing proficiency, on the other hand, has a negative influence on L1 use during L2 writing and a positive effect on L2 use during L2 writing. L1 use during L2 writing is negatively related to L2 text quality, at least for Metacomments. Finally, L2 use appears to be positively related to L2 text quality for Goal setting, Generating ideas, and Structuring, but negatively related to L2 text quality for Self-instructions and Metacomments.

Yang (2014) conducted a longitudinal study that examined the meditational means that the three groups of ESL students at two Canadian business schools used in performing collaborative writing. Data was collected from multiple sources including interviews, class observations, group discussions, e-mails, field notes, and written materials. Results of data analysis showed that L1 and L2 served different functions. While L1 mediated the process of collaborative writing and "allowed the students to generate ideas and […] facilitate their writing in L2" (p. 83), L2, on the other hand, provided students with opportunities for 'verbalization' or 'languaging', i.e., working together to solve linguistic problems and co-construct new knowledge of or about language.

An interesting study conducted by Yu and Lee (2014) focused on finding out the learners' use of L1 and L2 in peer feedback of L2 writing and the factors that influenced the students' code-switching in their peer written comments. Data was collected from 22 Chinese EFL learners' peer written comments on an essay and interviews with them. The authors found that these EFL learners used their L1 to give peer feedback on content and organization more than they did in L2. Also, learners' L1 use in giving peer written feedback resulted from the interaction of multiple factors such as their L2 proficiency, beliefs, learning goals, teacher requirements, teacher feedback practices, and power relationship between reviewers and writers. The researchers concluded that given the mediating role of L1, the use of L1 can allow students to attend to global areas of writing and enhance their peer feedback practices.

5. Discussion

According to Vygotsky (1997), cognitive and linguistic development is possible only when the meaning contained in the sign system is interpreted by the individual. Regarding the role of L1 in L2 learning, Vygotsky states, "in learning a new language one does not return to the immediate world of objects and does not repeat past linguistic developments, but uses instead the native language as a mediator between the world of objects and the new language" (Vygotsky, 1986, p. 161). He adds that learners make use of their L1 as a tool that mediates their understanding of task and content, and that supports their co-construction of L2. In the context of discussing alternative means of educating students who were blind, deaf, or mute, Vygotsky (1997) consistently emphasized the importance of retaining meaning and only changing the sign system. In clarifying Vygotsky's view on the relationship between sign and meaning, Díaz-Rico and Weed (2002, p. 2) note that "language and academic development is better approached through a respect for, and incorporation of, a student's primary language." In the context of second or foreign language learning, this

view implies that learners' L1 is regarded as a cognitive tool which learners use to scaffold their L2 learning (Lantolf, 2000; Lantolf & Poehner, 2014; Levine 2011; Swain & Lapkin 2000).

All studies conducted within the sociocultural theoretical framework and reviewed in this paper show shared findings that the L1 may be a useful tool for learning the L2. Learners used their L1 for a number of cognitive functions, including enlisting and maintaining interest in the task as well as developing strategies and approaches to make a difficult task more manageable even in the form of private speech, i.e., speech for the self, speech that most often occurs covertly, but may surface when an individual needs to take control of his/her mental processes (Lantolf & Thorne, 2006). Particularly, L1 facilitated them in completing collaborative learning tasks such as establishing a joint understanding of the task, and formulating the learners' goals (Brooks & Donato (1994). In addition, L1 was used as a compensation strategy for task completion in case the learners' L2 proficiency was low (e.g. Swain & Lapkin, 2013). These empirical findings lend support to Holliday's (1994) position that students working in groups or pairs do not have to speak English all the time; they can speak in their first language about a text and if through this process they are producing hypotheses about the language, then what they are doing is communicative.

Regarding L1 use in reading comprehension, the reviewed studies suggest that L1 mediates learners' sense-making of the structure, content, and meaning of the L2 reading text. In other words, learners use their L1 as a form of inner speech in an attempt to regain self-regulation in doing L2 learning tasks. In case of writing, L1 serves the functions of managing their writing

processes, generating, organizing ideas, developing global writing skills, and even giving peer written feedback, particularly on content and discourse.

The empirical findings of all the reviewed studies suggest that L1, when used appropriately, systematically and purposefully, can have the enabling role rather than inhibiting L2 learning, and that "to restrict or prohibit the use of L1 in L2 classes is to deny learners the opportunity of using an important tool" (Storch & Aldosari, 2010, p. 372). In general, the use of L1 in L2 learning is found to be legitimatising L2 learners' multi-competent minds rather than artificially compartmentalising two languages during the process of L2 learning in the instructed context. As Swain and Lapkin (2013) recommend,

> Learners should be permitted to use their L1 during collaborative dialogue or private speech in order to mediate their understanding and generation of complex ideas (languaging) as they prepare to produce an end product (oral or written) in the target language. However, as student proficiency in the L2 increases, learners should increasingly be encouraged to language using the L2 as a mediating tool. Further, when new and complex material is introduced within and across grades, learners should again be allowed to make use initially of their L1 to language, that is, to mediate their thinking (pp. 122-123).

The current epistemology no longer views L2 learning as an incremental and linear process and the L2 learner as "deficient communicator" (Firth & Wagner, 1997, p.

285). Instead, L2 learning is now viewed as a "dynamic process of ever-expanding meaning-making" (Byrnes, 2012, p. 21), in which learners as participants invest their bi/multilingual repertoires and social identities (May, 2014, Ortega, 2018; Norton & Toohey, 2011). This epistemology acknowledges the mediating role L1 plays when L2 learners have to cope with cognitively challenging L2 learning tasks when the tasks are too complex for them to process in their insufficiently developed L2. Hammerly (1991, p. 151) speculates that the judicious use of the learners' L1 in carefully crafted techniques "can be twice as efficient (i.e. reach the same level of second language proficiency in half the time), without any loss in effectiveness, as instruction that ignores the students' native language." Therefore, teachers, teacher educators, educational administrators, and language policymakers should free themselves of the fundamental misconceptions of the role of L1 as the source of failures in L2 learning and of the monolingual approach to second and/or foreign language learning and teaching in order to respect the happy marriage between L1 and L2 in the bi/multilingual era. It is unfair to the learners if a red card is used for their L1 use in L2 learning.

6. Research directions

The sociocultural perspective has boosted an interesting research agenda on how learners use their L1 in peer interaction. Insights gained from this research movement show that L1 can play a facilitating role in collaborative L2 learning tasks, be they forms-focused tasks or skills-focused tasks. However, it is important to note that valuing the role of L1 in L2 learning does not mean adopting a binary view of L1 versus L2. Rather, viewing L1 as a cognitive mediator as advocated by

sociocultural theorists is to reconsider the use of L1 in relation to a wider classroom context and to acknowledge the cognitive functions that L1 serves in scaffolding the complex and cognitively challenging L2 learning tasks. Clearly, more research is needed. There are a number of practical issues that need to be empirically answered. For example, the role of the L1 when Vietnamese learners in different contexts are engaged in group work and pair work tasks, how they use their L2 expertise in completing different learning tasks in the classroom, and the ways that their L2 proficiency influences the amount and the way they use their L1 in cognitive processing. Findings from these investigations are bound to shed further light on the potentially role of the L1. As Vygotsky (1987) explained that one learns conceptually first by depending on one's L1 and masters the actual name of the word in an L2 only later, it is important to investigate the role of L1 in English-as-medium (EMI) or Content and Language Integrated Learning (CLIL) contexts. Li's (2017) concept of translanguaging is worth investigating. According to Li, learning a new language does not necessarily mean unlearning an existing language. He goes on to state that

> The actual purpose of learning new languages - to become bilingual and multilingual rather than to replace the learner's L1 to become another monolingual - often gets forgotten or neglected, and the bilingual, rather than monolingual, speaker is rarely used as the model for teaching and learning (p.8).

Regarding research methodology, because of the individuality, situatedness and task-related variation in the use of L1 among L2 learners, in-classroom research using qualitative methods such as think-aloud protocols, classroom observations, interviews,

narratives, conversation analysis are likely to yield interesting and useful results. Exploratory Practice (Allwright, 2003; Hanks, 2017), which has recently been established as an innovative form of practitioner research in language education, can be an appropriate way forward. Exploratory Practice is "process-oriented, integrated within everyday ways of working rather than something added to it and driven by the local concerns and needs of both teachers and learners" (Breen, 2006, p. 216). It offers opportunities for both teachers and learners to develop greater understandings of issues in the classroom (e.g. why do students use L1 in X task?) rather than finding a solution.

7. Conclusions

This secondary study is an endeavour to examine the role of L1 in L2 learning. To be more specific, it reviews the empirical studies that looked into the issue of languaging in second/foreign learning from a sociocultural theoretical lens. The goal of the study is to help Vietnamese EFL teachers, educational administrators, scholars and policymakers make better-informed decisions on the language use choices in the local foreign language classroom. One conclusion that is drawn from this study is that L1 can be a valuable resource that L2 learners use to cope with the complexity of L2 learning. A great amount of empirical evidence supports Vygotsky's (1987) view that L1 served as the knowledge foundation on which the learning of an L2 developed. According to this theory, the influence of L1 on L2 is two-way, which means that by simultaneously being exposed to two languages, one gains a deeper and broader understanding of both languages. By acknowledging learners' languaging, the traditional monolingual

approach as well as the whole paradigm in second language education have to be shifted towards an epistemological diversity that views teachers as bilinguals, and learners as emerging bilinguals, rather than deficient language teachers and language learners. As the goal of English language education has been redefined as having students who are proficient L2 users not deficient native speakers, L1, when used appropriately, can be a beneficial linguistic resource (Butzkamm, 2003). That said, I do not mean that L1 can be used randomly and unsystematically. Teachers need to allow students use their L1 in a principled and purposeful way so that students are still exposed to comprehensible input, on the one hand, and, make use of their L1 resources when coping with cognitively and linguistically L2 learning tasks, on the other. Macaro (2009) advises teachers to find out about the reality of their context in order to find an optimal amount of L1. Excessive, unsystematic, random use of L1 is likely to deprive learners of the opportunity to use the target language, thereby demotivating learners in achieving their success in L2 learning.

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CẤM SỬ DỤNG TIẾNG MẸ ĐẺ TRONG GIỜ HỌC NGOẠI NGỮ CÓ CÔNG BẰNG KHÔNG? CÂU TRẢ LỜI TỪ LÝ THUYẾT VĂN HÓA-XÃ HỘI

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Tóm tắt: Vai trò của tiếng mẹ đẻ trong quá trình học ngoại ngữ là một trong những vấn đề gây tranh cãi trong nghiên cứu về quá trình thụ đắc ngôn ngữ thứ hai. Trong một thời gian dài, tiếng mẹ đẻ được cho là yếu tố gây cản trở hoặc ảnh hưởng tiêu cực tới quá trình học ngoại ngữ, do vậy giáo viên và học sinh không được phép sử dụng tiếng mẹ đẻ trong các giờ học ngoại ngữ. Tuy nhiên, các kết quả nghiên cứu theo lý thuyết văn hóa-xã hội gần đây đã phản bác lại quan niệm này và các nhà nghiên cứu đã đặt lại vấn đề về vai trò của tiếng mẹ đẻ theo những quan điểm lý thuyết mới. Bài viết này có mục đích cung cấp những chứng cứ khoa học và những quan điểm về vai trò hỗ trợ quá trình học ngoại ngữ của tiếng mẹ đẻ đã được công bố trên các tạp chí khoa học quốc tế có uy tín. Từ kết quả phân tích những kết quả khoa học đó, bài viết đưa ra nhận xét rằng nếu được sử dụng hợp lý thì tiếng mẹ đẻ sẽ có vai trò hỗ trợ người học phát triển năng lực ngoại ngữ thông qua việc hoàn thành những hoạt động ngôn ngữ khó. Để phát huy được lợi ích của tiếng mẹ đẻ trong quá trình học ngoại ngữ, bài viết cũng đưa ra những gợi ý về các hướng nghiên cứu cũng như phương pháp thực hiện các hướng nghiên cứu đó.Tuy nhiên, cần nhấn mạnh rằng bài viết này không có mục đích khuyến khích giáo viên và học sinh sử dụng tiếng mẹ đẻ một cách tùy tiện trong học ngoại ngữ mà mục đích là khuyến khích giáo viên tìm cách sử dụng tiếng mẹ đẻ một cách hợp lý và có nguyên tắc để giúp người học học ngoại ngữ tốt hơn.

Từ khóa: ảnh hưởng giao ngữ, sử dụng ngôn ngữ thứ nhất, học ngôn ngữ thứ hai, lý thuyết văn hóa xã hội, trợ giúp trung gian, ngữ năng tổng hợp

ASSESSING THE TRANSLATION OF PERSON REFERENCE FORMS IN A LITERARY TEXT: A CASE OF HARRY POTTER'S JOURNEY FROM ENGLISH TO VIETNAMESE

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Abstract: The study aims to assess the Vietnamese translation of English person reference forms, particularly "I - you" dyads in a literary text. To fulfill the purpose, House's functional-pragmatic model (House, 2015), extended with Attitudinal resources of Appraisal theory (Martin & White, 2005), is adopted as the analytical framework for assessment. The data include 75 "I - you" dyads collected from "Harry Potter and the Philosopher's Stone" (2014) and its Vietnamese translation "Harry Potter và Hòn đá phù thuỷ" (2016). The research findings show the translator's attempt in selecting equivalents among the remarkably diverse system of person reference in Vietnamese to produce a functionally adequate translation in accordance with situational and cultural contexts of the target language. Grounded on research findings, target language-oriented strategy for English-Vietnamese translation of "I - you" dyads is proposed. Furthermore, the study has proved effective in extending House's model (2015) with Attitudinal resources of Appraisal theory in order to explore the attitudes of the source text writer embedded in the original, serving the benefits of translation assessment in practice.

Keywords: person reference forms, "I - you" dyads, translation quality assessment, literary translation

1. Rationale and research aim

A strain in translating an English literary text into Vietnamese is that Vietnamese contains remarkably diverse forms for the sole "I - you" dyad. Unarguably, it is challenging to properly render the universal "you" of English to specific forms, in which the target language (hereafter TL) not only conveys the interpersonal relations between the characters but also contributes to the portrayal of the characters' traits. Although considerable discussions have been initiated about person reference forms in English and Vietnamese, there has been a relative scarcity of studies with a view to assessing the translation quality of person reference forms. Therefore, this paper aims to assess the Vietnamese translation of person reference forms, particularly the "I - you" dyads in a literary text.

2. Theoretical background

2.1 Person reference forms

It is common to see the terms "addressing forms, forms of address, addressing terms, terms of address" in prior research. Forms of address are words and phrases used for addressing (Braun, 1988; Yule, 2006).

Nonetheless, for the purpose of examining the functions of "I - you" dyads in contexts and their translation into Vietnamese, the term "person reference forms" (Lương Văn Hy, 1990) is employed in this study as a general heading instead of addressing forms,

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forms of address, addressing terms, or terms of address. Different from most of the Indo-European languages including English which count on second-person pronominal variations or vocatives to express various degrees of solidarity and power difference (Brown & Gilman, 1960), the Vietnamese language has a multitude of terms not only for addressing people but also for self- and third-party reference. For this reason, the term "person reference forms" is employed in this study.

It is acknowledged that person reference forms cover broad categories, including occupation terms (e.g., Professor, Doctor); title terms (e.g., Mr., Ms.); honorifics (e.g., Sir, Madam); terms of intimacy (e.g., dear, love). For in-depth analysis, the present study focuses on assessing the Vietnamese translation of "I - you" dyads in the "Harry Potter and the Philosopher's Stone" (hereafter HPPS). The Harry Potter novel is composed of numerous dialogues between characters;

thus, the "I - you" dyad plays a crucial role in revealing elaborate relationships as well as attitudes among characters in the narrative.

2.2 House's functional-pragmatic model for assessing person reference forms

First, a sketch of House's model is introduced to pave the way for the reasons of choosing this model. House (2015) highlights that translation is the preservation of meaning across two different languages and cultures. The two terms "context of situation" and "context of culture" are made clear in relation to House's model (2015). Context of situation refers to the environment, time and place in which the word, phrase, sentence or discourse occurs and the relationship between the participants. Context of culture refers to culture, customs, and background in language communities in which the speakers participate. More specifically, House's model (2015) is operationalized as follows:
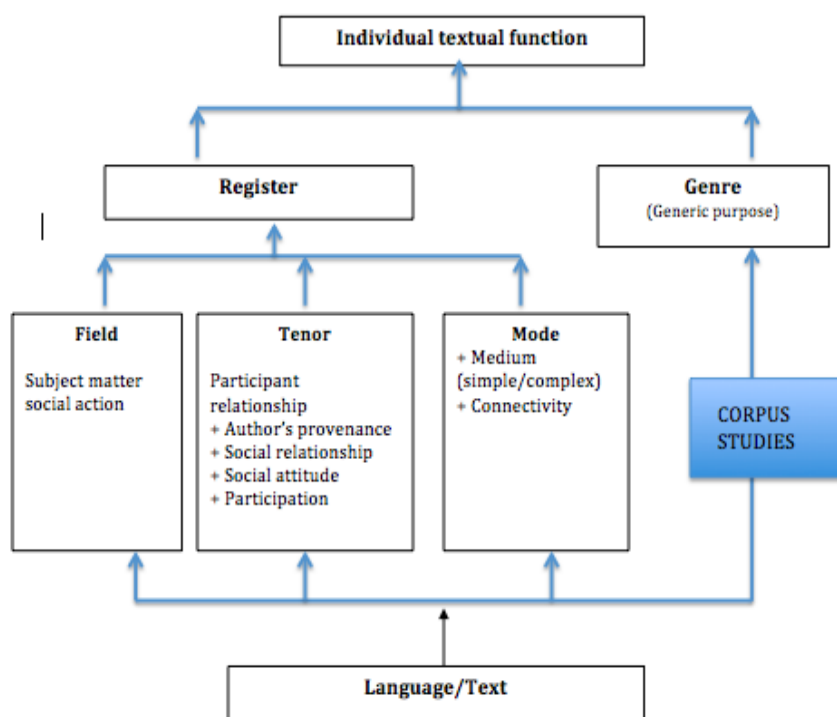
Diagram 1. House's model (2015, p.127)

It can be seen from Diagram 1 that the operation of House's model (2015) starts from the notion of "text". The analysis of text in context of situation is realized through register analysis of Field, Tenor, and Mode. Within Register, *Field* refers to the ongoing activity. *Tenor* refers to the relationship between participants in terms of social power, social distance, social attitude, including the text producer's temporal, geographical, social provenance and his/ her viewpoint. *Mode* captures Medium, the channel of communication being used (writtenness or spokenness). Besides, House (2015, p. 64) indicates that "genre enables one to refer any single textual exemplar to the class of texts with which it shares a common purpose". The genre of a text is partly determined by the culture in which the text is used since different cultures achieve their purposes through language in different ways.

In House's model (2015), she adopts Halliday's terms (1973) ideational and interpersonal functions of language as two sub-components of a text's function. Ideational function serves to represent situations, events in the world and entities, actions and processes involved. Interpersonal function (Tenor) refers to how we use language to communicate; it allows us to encode meanings of attitudes, interaction and relationships. The purpose of the model is also to achieve functional equivalent between the ST and TT.

House's model is adopted as the analytical frame in this study for three main reasons. Firstly, this model has been proved to be applicable to assess the translation quality of numerous text types including scientific texts, tourist information booklets, fictional and non-fictional texts. In House (1977, 1997), this model was put to an empirical test with a corpus of eight authentic English and German textual pairs to pilot and prove its applicability towards the aforementioned text types. Secondly, House's model is "a particularly good example of how the consideration of macro- and micro-level phenomena can be integrated, rather than separated and opposed to each other, in analysis" (Steiner, 1998, p. 17). In House's model, the source text (hereafter ST) and target text (hereafter TT) are judged on both "micro-level" (lexico-grammatical features) and macro-level (register and genre). Macro-level categories such as genre and register are not neglected but serve as an important function in the generation and the interpretation of results. Thirdly, House demonstrates that her linguistic approach to translation assessment includes not only textual, situational but also cultural aspects. Since the research purpose is to assess English-Vietnamese translation of person reference forms in a literary text; therefore, both situational and cultural contexts play a crucial role in identifying the appropriate equivalents among the Vietnamese system of person reference.

In this study, Attitudinal resources of Appraisal theory (2005) is integrated into House's model for the following reasons. As a reminder, the notion of Tenor in House's model refers to the way in which linguistic choices are affected by not only the subject of communication but also the social relationship and social attitude of participants in which the communication is taking place.

Linking with Appraisal theory (Martin & White, 2005), it should be noted that appraisal [… construes] interpersonal meaning (Martin & White, 2005, p. 34). Appraisal theory is a sub-system of systemic functional linguistic for exploring, describing, and explaining the way language is used to evaluate, adopt stance, and construct interpersonal

positioning and relationships (White & Eldon, 2012). Therefore, Attitudinal resources of Appraisal theory are relevant for exploring viewpoint, attitude, feelings and emotions of the ST author within the Tenor variable of House's model. Within Appraisal theory, **Attitude** construes feelings, emotions and values, which could be classified into three categories:

Affect refers to language resources for construing emotional reactions, including positive or negative feelings. This domain is investigated via three main variables, namely *un/happiness*, *in/security*, *dis/satisfaction*.

Judgment refers to language resources for construing assessing behavior according to normative principles. Judgment is divided into social esteem and social sanction. According to Martin (2000, p. 156), Judgments of esteem have to do with *normality* (how unusual someone is), *capacity* (how capable someone is) and *tenacity* (how resolute someone is). Judgments of sanction have to do with *veracity* (how truthful someone is) and *propriety* (how ethical someone is).

Appreciation refers to language resources for construing the values of things (evaluation of natural phenomenon). Likewise, Appreciation has a positive and negative dimension, which includes reaction, composition and valuation (Martin, 2000, p. 160). *Reaction* has to do with the emotional impact that the text/ process has on us. *Composition* has to do with our perceptions of proportionality and detail in a text/ process. *Valuation* has to do with our assessment of the social significance of the text/ process.

In short, Affect, Judgment and Appreciation are three indispensable parts to constitute Attitude subsystem as an effective means to investigate people feelings and positioning.

3. Methodology

This study serves as a descriptive and evaluative study. In this study, the literary text entitled "Harry Potter and the Philosopher's Stone" and its Vietnamese translation are selected. Both Harry Potter saga and HPPS have been translated into nearly 80 languages and gained notable literary prizes across the globe since 1997, which merits the research attention. The data include 75 dyads of "I - you" taken from the ST "HPPS" (2014) by J. K. Rowling, and its target Vietnamese text - "Harry Potter và Hòn đá phù thuỷ" (2016) published by Trẻ Publishing House, translated by Lý Lan.

4. Findings and discussion

4.1. Findings of English-Vietnamese assessment of "I - you" dyad

There are three major findings from the analysis of "I - you" dyads and their Vietnamese translation based on the analytical framework. Firstly, the Vietnamese translations of the "I-you" dyad are functionally equivalent to the ST in accordance with the situational and cultural contexts. The sole "I - you" dyad has been translated into more than 50 variants in Vietnamese in diverse situational contexts. Secondly, "I - you" dyad is not only translated into Vietnamese personal pronouns but also kinship terms. A variety of kinship nouns are used in translating "I - you" dyads from English to Vietnamese, such as "con - thầy; con - cô; ta - con; bác - các cháu; anh - em; em - anh". Thirdly, TL - oriented translation strategy is adopted in dealing with "I - you" dyads. Via such a strategy, the translator "anchors a reference firmly" in Vietnamese culture.

Excerpt 1: Context (Draco Malfoy – Ron, Harry)

ST	TT
.... He was looking at the other boys. Both of them were thickset and looked extremely mean. Standing on either side of the pale boy, they looked like bodyguards. "Oh, this is Crabbe and this is Goyle," said the pale boy carelessly, noticing where Harry was looking. "And my name's Malfoy, Draco Malfoy." Ron gave a slight cough, which might have been hiding a snigger. Draco Malfoy looked at him. "Think my name's funny, do you? No need to ask who you are. My father told me all the Weasleys have red hair, freckles, and more children than they can afford." He turned back to Harry. "You'll soon find out some wizarding families are much better than others, Potter. You don't want to go making friends with the wrong sort. I can help you there." He held out his hand to shake Harry's, but Harry didn't take it. "I think I can tell who the wrong sort are for myself, thanks," he said coolly. Draco Malfoy didn't go red, but a pink tinge appeared in his pale cheeks. "I'd be careful if I were you, Potter," he said slowly. "Unless you're a bit politer you'll go the same way as your parents. They didn't know what was good for them, either. You hang around with riffraff like the Weasleys and that Hagrid, and it'll rub off on you." ... Chapter 6 (Harry Potter and the Philosopher's Stone)	... Harry nói và nhìn hai đứa đi cùng. Cả hai trông chắc nịch và hung tợn. Tụi nó đứng hai bên thằng bé nhợt nhạt trông như là vệ sĩ. Thấy Harry nhìn hai đứa kia, thằng bé nhợt nhạt hờ hững giới thiệu: A, đây là Crabbe, còn đây là Goyle. Tao là Malfoy, Draco Malfoy. Ron ho khẽ mấy tiếng, chắc là để ém tiếng cười khẩy. Draco Malfoy ngó Ron: Bộ thấy tên tao buồn cười lắm há? Tên mày tao chưa thèm hỏi nha! Ba tao đã nói cho tao biết hết về tụi tóc đỏ Weasley nhà mày rồi, mặt đầy tàn nhang, con thì đông đến nỗi nuôi không xuể chứ gì! Nó quay lại Harry: Potter à, rồi mày sẽ thấy là có những gia đình phù thủy sang hơn. Mày đừng vội kết bạn với đám tầm thường. Chuyện đó tao giúp mày được. Nó giơ tay để bắt tay Harry, nhưng Harry không thèm nắm lấy. Harry chỉ lạnh nhạt nói: Cảm ơn. Tao nghĩ tự tao cũng biết được đứa nào tầm thường, đứa nào không rồi! Nghe đến đó, Draco Malfoy không đến nỗi đỏ mặt, nhưng hai gò má nó cũng hơi đổi màu. Nó chậm rãi nói: Nếu tao là mày, Potter, tao sẽ cẩn thận hơn một chút. Mày rồi sẽ đi vào vết xe đổ của ba má mày nếu không biết lễ phép hơn. Tại ba má mày hồi đó cũng không biết điều gì là tốt cho họ. Mày mà cứ giao du với đám giẻ rách như bọn Weasley và lão Hagrid ấy thì có ngày cũng tiêu ma. ... Chương 6 (Harry Potter và Hòn đá phù thuỷ)

ST ANALYSIS

FIELD

This excerpt is about the first meeting among three characters, Harry, Ron, and Draco Malfoy at the wizarding school. A high density of adjectives is employed to describe the traits of characters (e.g., pale, thickset, mean, better, wrong). There is a predominance of relational processes to depict the characters. (e.g., both of them were thickset and extremely mean; they looked like bodyguards; this is Crabbe; this is Goyle; my name's Malfoy; all the Weasleys have red hair; some families are much better than others). This distribution is to describe the attributes of the characters.

TENOR

Author's temporal, social and geographical provenance: unmarked English is used.

Author's stance: As justified, Attitudinal resources of Appraisal theory are adopted in order to uncover the author's attitude.

Table 1. Author's attitudes towards the relationship between characters

Appraising items	Appraiser	Attitude			Appraised
		Affect	Judgment	Appreciation	
pale	Harry			- reaction	Draco
thickset	Harry			- reaction	Draco's friend
(extremely) mean	Harry		- propriety		Draco's friend
carelessly	Harry		- tenacity		Draco
much better (than others)	Draco			+ valuation	himself
wrong (sort)	Draco			- reaction	Ron
bravely	author		+ tenacity		Harry

The use of lexical items denoting negative affect reveals disapproving attitudes among the characters. Draco adopts a negative attitude towards Ron via the use of lexical means such as "wrong sort, riff-raff". Harry and Ron also take a negative attitude towards Draco via lexical means such as "look extremely mean, carelessly, snigger, coolly".

Social role relationship

+ Relationship between the author and the readers: symmetrical

+ Relationship among characters themselves: symmetrical among Harry, Ron, and Draco. They are male students at the same age attending the magical school.

Social attitude: marked by informality. Spoken language is employed in the extract.

The contractions in spoken language are employed (e.g., Think my name's funny, do you?; You'll soon find out some wizarding families are much better than others; I'd be careful if I were you; Unless you're a bit politer, you'll go the same way as your parents). Phrasal verbs are employed (e.g., hang around, rub off on).

The use of full name "Draco Malfoy" and last name "Potter" shows the distance in terms of the relationship between Draco Malfoy and Harry Potter (e.g., My name is Malfoy, Draco Malfoy; You'll soon find out some wizarding families are much better than others, Potter; I'd be careful if I were you, Potter).

Participation: complex with both monologue and dialogue.

MODE: written to be read

GENRE: a fictional text to entertain and inform the readers

STATEMENT OF FUNCTION: the ideational function is manifested by the lexical means of adjectives to describe the traits of the characters. There is a predominance of relational processes to introduce characters. The negative attitude and distance among characters are revealed via the Attitudinal resources analysis. The ST analysis also shows the informality between these students.

COMPARISON BETWEEN ST AND TT

Table 2. ST-TT comparison of Excerpt 1

Source Text profile			Target Text profile		
Field	Subject matter	boarding school life	Field	Subject matter	boarding school life
Tenor	Author's provenance	a British novelist	Tenor	Translator's provenance	a Vietnamese novelist, a translator
	Author's Stance	disapproving attitudes, hostile relationship among characters in informal situations		Translator's Stance	disapproving attitudes, hostile relationship among characters in informal situations
	Social role relationship	symmetrical		Social role relationship	symmetrical
	Social attitude	informal		Social attitude	informal
	Participation	complex		Participation	complex
Mode	written to be read		Mode	written to be read	
Genre	a fictional text to entertain and inform the readers		Genre	a fictional text to entertain and inform the readers	

STATEMENT OF QUALITY

In this excerpt, "tao - mày" in the TT is functionally equivalent to "I - you" dyad in the ST. "Tao - mày" in Vietnamese, which denotes the Horizontal relationship Type I (Nguyễn Quang, 2018), is employed to express anger and hostility between two students of the same social status in an informal situation.

Firstly, "tao - mày" conveys the ST author's attitudes. The negative attitude is reflected in the TT via the use of equivalent appraising items with negative connotations in Vietnamese.

Table 3. Author's and translator's attitudes towards the relationship between characters

Appraising items in English	Equivalent appraising items in Vietnamese	Appraiser	Attitude in Appraisal theory			Appraised
			Affect	Judgment	Appreciation	
pale	nhợt nhạt	Harry			- reaction	Draco
thickset	chắc nịch	Harry			- reaction	Draco's friend
(extremely) mean	hung tợn	Harry		- propriety		Draco's friend
carelessly	hờ hững	Harry		- tenacity		Draco
much better (than others)	sang hơn	Draco			+ valuation	himself
wrong sort	đám tầm thường	Draco			- reaction	Ron
bravely	can đảm	author	+ tenacity			Harry

The choice of "tao - mày" recreates the negative attitudes among characters in the TT. In line with "tao - mày", the use of Vietnamese lexical items with negative nuances such as "hờ hững, đám tầm thường, đám giẻ rách" fulfills the purposes of the ST author about the disapproving attitudes among characters. The TT also recreates the negative attitude of Harry and Ron towards Draco (e.g., look extremely mean - hung tợn, carelessly - hờ hững, snigger - cười khẩy, coolly - lạnh nhạt) and Draco's negative attitude towards Ron and Harry (e.g., wrong sort: đám tầm thường, riff - raff: đám giẻ rách).

Secondly, the selection of "tao - mày" contributes to the overall informal atmosphere of the situation. Such informality is recreated in the TT via the use of colloquialisms (e.g., hang around - giao du, riff raff - đám giẻ rách, rub off on - có ngày cũng tiêu ma, go the same way - đi vào vết xe đổ). Thus, "tao - mày" gives rise to the entire informality of the situation given in the above excerpt.

Thirdly, the choice of "tao - mày" gives a hand in reflecting the distance in terms of the relationship between Draco Malfoy and Harry Potter. In Vietnamese, the 1st person singular pronoun "tao" (I) and its reciprocals "mày" (you) in the 2nd person are used primarily among close friends of the same age to express intimacy. By contrast, "tao" and "mày" also imply strong disrespect and arrogance. In this excerpt, the choice of "tao" and "mày" functions as a vehicle to show distance and hostile relationship between Draco on one side and Harry and Ron on the other side in an informal situation. Thus, "tao - mày" is functionally equivalent "I - you" dyad in the ST in accordance with the examined situational and cultural contexts.

Excerpt 2: Context (Professor McGonagall - students)

ST	TT
"Welcome to Hogwarts," said Professor McGonagall. "The start-of-term banquet will begin shortly, but before you take your seats in the Great Hall, you will be sorted into your houses. The Sorting is a very important ceremony because, while you are here, your house will be something like your family within Hogwarts. You will have classes with the rest of your house, sleep in your house dormitory, and spend free time in your house common room.	*Giáo sư McGonagall cắt lời: Chào mừng các con đến Hogwarts. Tiệc khai giảng sắp bắt đầu, nhưng trước khi nhận chỗ ngồi trong Đại Sảnh đường, các con sẽ được phân loại để xếp vào các ký túc xá. Phân loại là một lễ rất quan trọng, bởi vì trong thời gian các con học ở đây, ký túc xá của con cũng giống như gia đình của con trong trường Hogwarts. Các con sẽ cùng học, cùng ngủ, cùng chơi... với các bạn chung một ký túc xá.*
"The four houses are called Gryffindor, Hufflepuff, Ravenclaw, and Slytherin. Each house has its own noble history and each has produced outstanding witches and wizards. While you are at Hogwarts, your triumphs will earn your house points, while any rule breaking will lose house points. At the end of the year, the house with the most points is awarded the house cup, a great honor. I hope each of you will be a credit to whichever house becomes yours.	*Có bốn ký túc xá, ở đây gọi là "nhà", nhà Gryffindor, nhà Hufflepuff, nhà Ravenclaw và nhà Slytherin. Mỗi "nhà" đều có một lịch sử cao quý riêng và "nhà" nào cũng từng tạo nên những nam phù thủy và nữ phù thủy xuất sắc. Trong thời gian các con học ở Hogwarts thì thành tích các con đạt được sẽ được cộng vào điểm chung cho "nhà" mình ở. Cuối năm, "nhà" nào có được nhiều điểm nhất sẽ được nhận Cúp Nhà - một vinh dự cao cả. Ta hy vọng mỗi người trong các con là một thành viên xứng đáng với "nhà" mình sống, cho dù các con được chọn vào "nhà" nào đi nữa.*
"The Sorting Ceremony will take place in a few minutes in front of the rest of the school. I suggest you all smarten yourselves up as much as you can while you are waiting."	*Lễ phân loại sẽ diễn ra trong vài phút tới, trước mặt toàn thể giáo viên và học sinh trong trường. Ta đề nghị các con sửa soạn cho tề chỉnh trong khi chờ đợi làm lễ.*
Chapter 7 (Harry Potter and the Philosopher's Stone)	Chương 7 (Harry Potter và Hòn đá phù thuỷ)

ST ANALYSIS

FIELD

The excerpt is about the commencement of the Sorting Ceremony. This Ceremony serves as a special ceremony at the beginning of the school year at the wizarding school. A number of lexical items is employed to signal the ceremony opening (e.g. welcome to; sorted into; the Sorting; the Sorting Ceremony; take place).

TENOR

Author's temporal, social and geographical provenance: unmarked English is used.

Author's attitude: Attitudinal resources of Appraisal theory are adopted in order to explore the author's attitude.

Table 4. Author's attitudes (Professor McGonagall - Sorting Ceremony)

Appraising items	Appraiser	Attitude			Appraised
		Affect	Judgment	Appreciation	
Important	Professor McGonagall			+ valuation	Sorting Ceremony
Notable (history)	Professor McGonagall			+ valuation	Each house
Outstanding	Professor McGonagall		+ capacity		Witches and wizards in each house
Great (honor)	Professor McGonagall			+ valuation	Receiving house's cup

The analysis reveals Professor McGonagall's positive attitude towards the Sorting Ceremony.

Social role relationship:

+ Relationship between the author and readers: symmetrical

+ Relationship between the author and characters: The author implies respect to Professor McGonagall, the deputy head of the wizarding school.

+ Relationship among the characters: hierarchical between Professor McGonagall and first-year students.

Social attitude: formal. Passive structures (e.g., you will be sorted into your houses; the house with the most points is awarded the house cup) are used. There are structures involving subjunctive mood (e.g., I suggest you all smarten yourselves) to denote formality. There is also the use of noun phrases to express formality (e.g., the Great Hall; a very important ceremony; a notable history, a great honor; outstanding witches and wizards).

Participation: simple (monologue)

MODE: written to be read

GENRE: a fictional text to entertain and inform the readers

STATEMENT OF ST FUNCTION: The ideational function is marked by a predominance of relational processes in which the Professor stresses the essence of the Sorting Ceremony. The interpersonal function is marked by the author's attitude, social role relationship, and social attitudes. There is a hierarchical relationship between the Professor and her students. The ST analysis also reveals the formality of the Sorting Ceremony.

COMPARISON BETWEEN ST AND TT

Table 5. ST-TT comparison of Excerpt 2

Source Text profile			Target Text profile		
Field	Subject matter	boarding school life	Field	Subject matter	boarding school life
Tenor	Author's provenance	a British novelist	Tenor	Translator's provenance	a Vietnamese novelist, a translator
	Author's Stance	Professor's positive attitude towards her students		Translator's Stance	Professor's positive attitude towards her students
	Social role relationship	symmetrical		Social role relationship	symmetrical
	Social attitude	informal		Social attitude	informal
	Participation	simple (monologue)		Participation	simple (monologue)
Mode	written to be read		Mode	written to be read	
Genre	a fictional text to entertain and inform the readers		Genre	a fictional text to entertain and inform the readers	

STATEMENT OF QUALITY

In this excerpt, "ta - các con" in the TT is functionally equivalent to "I - you" in the ST. "Ta - các con" in Vietnamese, which denotes the dynamic relationship Type II (Nguyễn Quang, 2018), is employed to address a person of lower social status to show solidarity.

Firstly, the choice of "ta - các con" expresses Professor McGonagall's positive attitude towards the Sorting Ceremony. Together with the pronouns "ta - các con", formal lexical items such as "*quan trọng, lịch sử cao quý, vinh dự cao cả, những nam phù thuỷ và nữ phù thuỷ xuất sắc*" help to highlight Professor's positive attitude towards the Ceremony.

Secondly, the choice of "ta - các con" indicates the higher social status of Professor McGonagall as a deputy headmaster. In Vietnamese, "ta" is used in a variety of situations. In the plural usage, "ta" functions as first person inclusive plural "chúng ta" meaning "I/ we including you" in English, and both are regularly used in formal situations. When being used as a singular pronoun, "ta" implies the speaker's superiority over the addressee. "Ta" is also employed in literature to express intimacy in which its corresponding second person is "mình". In this examined context, "ta" is used to underline the superiority and the high social status of Professor McGonagall.

Concerning the use of kinship, in the situation given in the above excerpt, the professor's purpose is to welcome new students to the school of wizards and create a cozy atmosphere. In Vietnamese, kinship terms carry the primary meaning of denoting blood relationship. Regarding extended meaning, they are used between non-related people to express intimacy, respect, affection, and formality. Thus, the use of "ta - các con" fulfills the function of reflecting both formality and affection between the Professor and students.

In the subsequent excerpt, the translator shows a different choice in the equivalent for "I - you" dyad between a different Professor and students. Consider the following excerpt:

Excerpt 3: Context (Professor Snape - students)

ST	TT
Snape finished calling the names and looked up at the class. His eyes were black like Hagrid's, but they had none of Hagrid's warmth. They were cold and empty and made you think of dark tunnels.	*Thầy Snape điểm danh xong thì ngước nhìn cả lớp. Mắt ông cũng đen như mắt bác Hagrid, nhưng chúng không hề ấm áp như mắt bác Hagrid. Chúng lạnh lùng và trống rỗng, làm người ta liên tưởng đến những đường hầm tối om. Thầy Snape bắt đầu:*
"You are here to learn the subtle science and exact art of potionmaking," he began. He spoke in barely more than a whisper, but they caught every word - like Professor McGonagall, Snape had y caught every word - like Professor McGonagall, Snape had the gift of keeping a class silent without effort.	*Chúng bây tới đây để học một bộ môn khoa học tinh tế và một nghệ thuật chính xác là chế tạo độc dược. Giọng thầy không to, thật ra chỉ to hơn tiếng thì thầm một chút, nhưng bọn trẻ lắng nghe không sót một lời. Thầy Snape có biệt tài như giáo sư McGonagall là không cần phải mất công mà vẫn giữ được lớp học im lặng như tờ.*
"As there is little foolish wand-waving here, many of you will hardly believe this is magic. I don't expect you will really understand the beauty of the softly simmering cauldron with its shimmering fumes, the delicate power of liquids that creep through human veins, bewitching the mind, ensnaring the senses.... I can teach you how to bottle fame, brew glory, even stopper death - if you aren't as big a bunch of dunderheads as I usually have to teach."	*Vì trong lãnh vực này không cần phải vung vẩy đũa phép nhiều cho lắm, nên thường chúng bây không tin rằng đấy cũng là một loại hình pháp thuật. Ta không trông mong gì chúng bây thực sự hiểu được cái đẹp của những cái vạc sủi tăm nhè nhẹ, toả làn hương thoang thoảng; cũng chẳng mong gì chúng bây hiểu được cái sức mạnh tinh vi của những chất lỏng lan trong mạch máu người, làm mê hoặc đầu óc người ta, làm các giác quan bị mắc bẫy... Nhưng ta có thể dạy cho chúng bây cách đóng chai danh vọng, chế biến vinh quang, thậm chí cầm chân thần chết - nếu chúng bây không phải là một lũ đầu bò mà lâu nay ta vẫn phải dạy.*
Chapter 8	Chương 8
(Harry Potter and the Philosopher's Stone)	(Harry Potter và Hòn đá phù thuỷ)

ST ANALYSIS

FIELD

The extract is about a potion lesson of Professor Snape at the wizarding school. Potion functions as a major subject at this school. Lexical items related to Potion lesson are employed (e.g., subtle science, potion making, the softly simmering cauldron, shimmering fumes, liquids).

TENOR

Author's temporal, social and geographical provenance: unmarked English is used.

Author's attitude: As justified, Attitudinal resources of Appraisal theory are adopted to explore the author's attitude. The negative attitude towards Snape is revealed via the analysis below:

Table 6. Author's attitudes towards the relationship between characters

(Professor Snape - Students)

Appraising items	Appraiser	Attitude			Appraised
		Affect	Judgment	Appreciation	
black	Harry			- reaction	Snape
cold	Harry			- reaction	Snape
empty	Harry			- reaction	Snape
foolish	Snape		- capacity		students
dunderhead	Snape		- capacity		students

Social role relationship:

+ Relationship between the author and the readers: symmetrical relationship

+ Relationship among the characters: hierarchical between Professor Snape and new students at the school.

Social attitude: there is a mixture of formality and informality. The author uses noun phrases to express the formality of a class (e.g., the subtle science, exact art of potion-making, the softly simmering cauldron, shimmering fumes, the delicate powers of liquid). Besides, informal phrases are also used (e.g., a bunch of dunderheads, foolish wand).

Participation: simple (monologue)

MODE: written to be read

GENRE: a fictional text to entertain and inform the readers

STATEMENT OF ST FUNCTION: The ideational function is expressed through the subject matter about a potion class at a wizarding school. The negative attitude of Professor Snape towards students is revealed. There is a hierarchical relationship between the Professor and his students.

COMPARISON BETWEEN ST AND TT

Table 7. ST-TT comparison of Excerpt 3

Source Text profile			Target Text profile		
Field	Subject matter	boarding school life	Field	Subject matter	boarding school life
Tenor	Author's provenance	a British novelist	Tenor	Translator's provenance	a Vietnamese novelist, a translator
	Author's Stance	Professor's arrogance and his negative attitudes towards the students		Translator's Stance	Professor's arrogance and his negative attitudes towards the students
	Social role relationship	symmetrical		Social role relationship	symmetrical
	Social attitude	informal		Social attitude	informal
	Participation	simple (monologue)		Participation	simple (monologue)
Mode	written to be read		Mode	written to be read	
Genre	a fictional text to entertain and inform the readers		Genre	a fictional text to entertain and inform the readers	

STATEMENT OF QUALITY

In this excerpt, "ta - chúng bây" in the TT is functionally equivalent to "I - you" dyad in the ST. "Ta - chúng bây" in this context is used to express the arrogance of the Professor, his disrespect, and his negative attitudes towards students.

Firstly, the choice of "ta - chúng bây" depicts Professor Snape's negative attitude towards students. In the TT, equivalent appraising items provoking negative nuances such as "lũ đầu bò" are employed to express Professor Snape's negative attitude towards students.

Secondly, "ta - chúng bây" is to express the hierarchy between Professor Snape and students. "Ta" is to express the higher social status of Professor Snape as a potion master at the wizarding school. As mentioned, "ta" can be used as either singularly or plurally to mean "I" or "we" respectively in Vietnamese. When used as a singular pronoun, "ta" underscores the speaker's superiority over the addressee. In this case, "ta" is to express Professor Snape's superiority over students. Together with "chúng bây", it also displays his arrogance and disrespect to students. In brief, "ta - chúng bây" is functionally equivalent to "I - you" in the ST in accordance with its examined context.

To put it briefly, the aforementioned analyses show the attempt of the translator in selecting equivalents amongst the complex Vietnamese system of person reference to convey the meanings of the "I - you" dyads in the ST. The meanings and implications manipulated via the use of the Vietnamese person reference forms play a valuable role in acquiring a profound understanding of the original text. The characters' attitudes and social role relationships, as well as the varying degrees of formality embedded in "I - you" dyads in the ST are conveyed through the selection of person reference forms in Vietnamese undertaken by the translator. The equivalents given in the translation are considered adequate in conveying the linguistic forms, meanings, and the pragmatic implications of the original "I - you" dyads from the functional-pragmatic perspective of House's model.

Significantly, the attempt of the translator in selecting person reference forms contributes to not only denoting the relationships between characters but also depicting the traits of the characters. We can see an interesing link between the purposeful proper names of characters (Triệu Thu Hằng, 2018) and person reference forms used by the characters. For instance, Draco Malfoy who is jealous, careless, boastful, receives the name provoking negative connotation (Draco means dragon; Mal means bad; foy means faith). Linking to his name and his traits, he uses "tao - mày" to talk to their peers from the beginning to the end of the whole story. This manner of addressing discloses his personality of arrogance, disrepect towards his peers. Another example is Professor Minerva McGonagall, who receives the mythological Greek name of Goddess of wisdom. She is described as a clever professor at school of wizards. Linking to her name and her traits, she uses "ta - các con" to address students. Her manner of addressing facilitates the reader in visualizing her personality, contributing to the success of the whole literary text. Take another case as an example - Professor Severus Snape. He is cold and strict, which links to his name "Severus Snape". For a British reader, the surname "Snape" might provoke negative connotation. It derives from "the sound-symbolism of the initial _sn_-cluster, which features in words such as _sn_eer, _sn_ide, _sn_oop, _sn_eak, _sn_ap or even _sn_ake" (Davis, 2003, p. 79), which is closely associated with

the "Snake" symbol of Slytherin House where this character is the head teacher. Linking to his name and his traits, he uses "ta - chúng bây" to address students. Her manner of addressing also helps the reader visualize his trait, contributing to the entire textual effect.

4.2. Discussion of English-Vietnamese translation assessment of person reference forms

It is inferred from the research findings that the English-Vietnamese assessment of person reference forms shows the linguistic and cultural differences between English and Vietnamese. While the number of English personal pronouns is seven (Quirk, 1973), the number of English personal pronouns is twenty (Diệp Quang Ban & Hoàng Văn Thung, 1996; Nguyễn Thiện Giáp, 2004). In English, there merely exists a neutral dyad "I - you", which is used in communication as prefabricated units. It means that these units can be used in any context and with any person. However, the choice for "I - you" dyad is more diverse in Vietnamese.

A marked difference is that there is a tendency towards the use of kinship terms in Vietnamese. This finding is in line with Trần Ngọc Thêm (1999) in which a wealth of kinship nouns are used as addressing words in Vietnamese. There is a plenty of evidence in the case of Harry Potter novel to support this view. For instance, "I - you" is rendered into "bác - cháu; ta - con; ta - các con". The Vietnamese kinship terms are more complex and extensive in terms of meaning than the English ones. Regarding primary meaning, Vietnamese kinship terms denote blood relationship. As for extended meaning, they are used between non-related people. In literary use, they imply various degree of intimacy, respect, affection or formality. The use of kinship terms depends

on numerous contextual factors, including communicative purposes, interpersonal relationship between participants, and social attitude. To explain the tendency of using kinship terms, Cao Xuân Hạo (2001, p. 297) notes that Vietnamese personal pronouns "are perceived as not showing respect and cannot be used in daily life communication with people outside the family". Therefore, to show respect or politeness towards other interlocutors, the Vietnamese tend to use a number of kinship nouns as addressing words in their communication.

As a result, the use of target language-oriented translation strategy has lead to the gain of socio-cultural and pragmatic implications of Vietnamese terms of person reference. Target language-oriented translation strategy is adopted in which the translator anchors a reference firmly in the target culture. It can be seen that cultural filter is adopted by the translator. Cultural filter refers to a means of capturing socio-cultural differences in expectation norms and stylistic conventions between the source and target linguistic-cultural communities (House, 1977). In my point of view, the translator is successful in breaking through the cultural barriers between English and Vietnamese to recreate a functionally adequate translation in comparison to the original. We can see the translator's attempt in selecting appropriate equivalents among the diversity of person reference forms in Vietnamese to convey the varying degrees of connotations in accordance with situational contexts.

Underlying the linguistic surface, there exists the deep layer of culture (Nguyễn Hoà, 2018). At this point, I refer to cultural values dimensions (Hofstede, 2010) in order to justify the linguistic and cultural

differences between "I - you" dyad in English and a wealth of person reference forms in Vietnamese. The cultural value that is attached to power is labelled as Power Distance. Since Harry Potter novel is situated in both the real-life world in Great Britain and an imaginary world of wizards, I shall refer to cultural values associated with Great Britain in comparison to Vietnam. According to Hofstede (2010, p.96-97), while Great Britain is a low Power Distance country with the index of 35, Vietnam is a high Power Distance with the index of 70. *High Power Distance societies* are characterized by hierarchical levels. At family, parents teach their children to be obedient. Children must show respect for parents, grandparents, relatives, and the elders. At school, students show high respect for teachers. Teachers monitor all the activities in class. In the society system, the communication roles are determined by age, social status, and communicative situations. On the other hand, *low Power Distance societies* are characterized by the tendency towards egalitarianism. At family, parents treat their children equally. Children treat their parents, relatives, and the elders equally. At school, students treat their teachers equally, and teachers want students to be active in their own activities in class.

Since literary texts display numerous linguistic peculiarities, as well as social and cultural aspects of daily lives, we can see such cultural values reflected in the Harry Potter novel and its Vietnamese translation. In the original, the professors use "I - you" to address students, and students also use "I - you" to address their professors. This manner of addressing shows the tendency towards egalitarianism in low Power Distance societies. On the other hand, we can see

various forms of "I-you" (cô - con, con - cô, con - thầy; thầy - con; tao - mày, etc.) in the Vietnamese translation. Such usage also reflects the hierarchical levels in high Power Distance societies like Vietnam. Such justification helps to reinforce the strong bond between language, culture, and thought.

To further justify the bond between cultural values and linguistic usage, it is of significance to scrutinize history. Historically, English is a West Germanic language brought to Britain in the mid 5th to 7th centuries AD by Anglo-Saxon settlers. Notably, the regions of European using Germanic languages are divided into many tribes monitored by local authorities instead of any other rulers, which could be linked to *low Power Distance* cultural value as today (Hofstede, 2010, translated by Đinh Việt Hoà, 2015). By contrast, Vietnam is a multi-ethnic and multi-lingual country whose history dates back to 2879B.C.E. The country was first conquered by the Chinese for nearly one thousand year from 111B.C.E. to 939 C.E. During the subsequent centuries, Vietnam was conquered by the Chinese until the mid-nineteenth century. According to Nguyễn Văn Huyên (2002), intellectual activities in Vietnam reflected a blending of Confucianism. Goodman (2005, p.31) asserts, "the Vietnamese view of the world and how it worked, of family and society and the roles of its members, and of concepts of duty and virtue, all bore a heavy resemblance to Confucian interpretation of life". As a result, hierarchical principle of Confucianism is partly reflected in Vietnamese culture, which could be linked to *high Power Distance* cultural value.

Reflecting on the aforementioned findings in relation to the analytical framework, House's model (2015), extended with Appraisal theory (Martin & White, 2005) has been proved to be

useful in assessing the translation of person reference forms from English to Vietnamese. The factors affecting the way interlocutors address each other include social status, social role relationship, and the social attitudes of the interlocutors in specific communicative situations, which are fully discussed in House's model (2015). More importantly, this model embraces both context of situation and context of culture in assessing translation of person reference forms from English to Vietnamese. I assume that language can merely be fully understood when these situational and cultural contexts are fully understood by the interlocutors. As an example, depending on the "context of situation" and "context of culture" in Vietnam, a person named Nguyễn Thị A might be addressed as "bà, bác, cô, chị, em, mình, đằng ấy, ả, mụ" and so forth. The options of being called as "bà, bác, cô, chị, em, mình, đằng ấy, ả, mụ" also closely relate to the specific social role relationship such as the relationship at family or at work or with family, the social status, the social attitude, and the level of intimacy.

Throughout this study, Appraisal theory has been shown to be of practicality in describing the author's attitude embedded in the chosen literary text. Appraisal theory sheds light on how the author expresses his/ her subjective attitude via language. Attitude domain in Appraisal theory is concerned with our feelings, including emotional reactions, judgments of behavior and evaluation of things. For these reasons, House's model, extended with Attitudinal resources in Appraisal theory (Martin & White, 2005) proves its applicability in assessing the translation of person reference forms from English to Vietnamese.

5. Concluding remarks

The use of person reference forms in literary texts is particularly intriguing. In literary texts, they are employed flexibly and plentifully with literary talent to depict the characters' personalities and intricate relationships between the characters and their attitudes towards each other. They are also used to disclose the author's attitudes and feelings towards his/ her characters. The meanings conveyed by the author through his/ her use of person reference forms contribute significantly to the overall effect of the literary text.

Theoretically, the study has shown the usefulness of supplementing House's model (2015) with Attitudinal resources of Appraisal theory in order to uncover the author's attitudes embedded in the original. This supplementation is reasonable because Appraisal theory is for exploring, describing, explaining the way language is used to evaluate, adopt stance, to construct interpersonal positionings and relationships (White & Eldon, 2012). The selection of equivalents among Vietnamese system of person reference forms depends on a number of contextual factors, including social status, social role relationship, and social attitude in specific communicative situations. These parameters are fully discussed in House's model (2015) as well as Attitudinal resources of Appraisal theory (Martin & White, 2005).

Practically, the use of target language-oriented translation strategy is recommended in dealing with person reference forms from English to Vietnamese. This strategy has lead to the gain of socio-cultural and pragmatic implications of Vietnamese forms of person reference. Via this strategy, the translator

breaks through the cultural barriers between English and Vietnamese in order to recreate a functional translation in Vietnamese context.

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ĐÁNH GIÁ DỊCH ANH-VIỆT CÁC BIỂU THỨC QUY CHIẾU VỀ NGƯỜI TRONG VĂN HỌC: HÀNH TRÌNH CHUYỂN NGỮ "HARRY POTTER" TỪ ANH SANG VIỆT

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Tóm tắt: Nghiên cứu này đánh giá dịch Anh-Việt các biểu thức quy chiếu về người, đặc biệt là cặp từ "I - you" trong văn bản văn học. Thực hiện nghiên cứu, mô hình chức năng-dụng học của House (House, 2015), mở rộng với các nguồn ngôn ngữ thể hiện Thái độ theo thuyết Đánh giá ngôn ngữ của Martin & White (2005), được lựa chọn làm khung phân tích cho quá trình đánh giá. Dữ liệu bao gồm 75 cặp từ "I - you" thu thập từ bản gốc "Harry Potter and the Philosopher's Stone" (2014) và bản dịch tiếng Việt "Harry Potter và Hòn đá phù thuỷ" (2016). Kết quả nghiên cứu cho thấy nỗ lực của người dịch trong việc lựa chọn tương đương trong một hệ thống quy chiếu về người vô cùng đa dạng của tiếng Việt để đem đến một bản dịch phù hợp với ngôn cảnh tình huống cũng như ngôn cảnh văn hoá của ngôn ngữ đích. Dựa trên kết quả nghiên cứu, chúng tôi đề xuất chiến lược dịch hướng đích đối với dịch các biểu thức quy chiếu về người trong văn học. Ngoài ra, nghiên cứu khẳng định hiệu quả của việc mở rộng mô hình của House với các nguồn ngôn ngữ thể hiện Thái độ theo thuyết Đánh giá ngôn ngữ (Martin & White, 2005) để khám phá thái độ của tác giả ẩn trong văn bản nguồn, phục vụ thực tiễn đánh giá.

Từ khoá: các biểu thức quy chiếu về người, đánh giá chất lượng bản dịch, dịch văn học

REFLECTIONS ON DIRECT AND INDIRECT STRATEGIES OF POLITENESS IN G. B. SHAW'S *PYGMALION*: A SATIRE ON CONVENTIONALITIES OF POLITENESS

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Abstract: This study aims at investigating male and female strategies of directness and indirectness manifest in the speech of the characters in the play *Pygmalion* by George Bernard Shaw. In the light of politeness theory by Brown and Levinson (1978), the realizations of direct and indirect strategies of politeness are associated with two types of strategies of face threatening acts (FTAs), namely bald-on-record and off-record strategies. The off-record strategy, which is the main focus of the study, is examined in relation to various sub-strategies of indirectness which are described in terms of the Gricean conversational maxims (i.e. Quantity, Quality, Relevance and Manner). These sub-strategies include the use of metaphors, irony, rhetorical questions, understatements and overstatements. A statistical survey is conducted on the frequencies of two politeness indicators, namely the bald-on-record strategies and tentativeness devices employed by the characters from different social classes in the play. The methodology of qualitative analysis employed in this study is based on Brown & Levinson's theoretical framework of politeness with the main focus on the two components of communication: gender and social classes. In the play, the gap between the high and low classes in the late 19th century British society is manifest in such differences of language use as phonetics, lexis, grammar, and pragmatics.

Keywords: politeness, face threatening acts, direct and indirect strategies of politeness

1. Introduction

It is a matter of common knowledge that the phenomenon of politeness is of great importance in every society as it is generally seen as a measure of social order in human civilization. Due to its significance in human life, there have been various studies on politeness-related issues in sociolinguistics, pragmatics, applied linguistics, social psychology, conversation analysis and anthropology; these studies have contributed to the enrichment of modern linguistics, in general, and our understanding of politeness phenomena, in particular. As politeness phenomena are reflected in language, especially in verbal communication, the study of politeness is, therefore, based on language use and social interaction. To be "basic to the production of social order, and a precondition of human cooperation", the importance of politeness is undeniable in establishing and maintaining social order as well as interpersonal relationships (Brown & Levinson 1978: xiii).

Among various works on politeness strategies, the study by Brown and Levinson (1978) is still considered thoroughly analytical. Of their four super-strategies for performing face threatening acts (FTAs),

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i.e. positive politeness, negative politeness, bald-on-record and off-record, the last two can be seen as directness and indirectness strategies, which are commonly employed in everyday life verbal interactions for the sake of politeness.

Not only in real life verbal interactions are politeness-based directness and indirectness clearly reflected, they also find their expressions vividly presented in various literary genres, especially prose and drama. Generally seen as period-specific reflections of real life situations, literary works are, however, usually affected by personal idiosyncrasies of the writer. This is particularly true in the case of the play *Pygmalion* by the British writer George Bernard Shaw as its main male character Professor Higgins, with his straightforward language, projects the playwright's protest against the social segregation of 19th century British society. In this play, the phenomena of directness and indirectness as politeness strategies are subtly dealt with on the basis of a transformation process of Eliza Doolittle, a low-class girl, into a disguised high-class member. The linguistic transformation of this female character and radical changes in her speech behaviour, as well as Mr. Higgins's violations of politeness norms have inspired the author to conduct the present study in the light of politeness theory by Brown and Levinson (1978). Gender-based differences in direct and indirect strategies of politeness in the play *Pygmalion* are, therefore, analysed in terms of the bald-on-record and off-record strategies proposed by Brown and Levinson in the hope of finding out to what extent the characters' strategies of politeness differ from social expectations of polite speech and behaviour. In this research, the following abbreviations are used:

S: the speaker

H: the hearer

DSA: direct speech act

IDSA: indirect speech act

FTA: face threatening act

RQ: rhetorical question

RP: received pronunciation

2. Literature review

2.1. Language and gender

Every society is made up of men and women living, working and socializing with each other under respective socio-economic conditions with their shared cultural values and social norms. However, the differences between the two sexes can be noticed in various social aspects such as educational opportunities, job allocation, and power distribution. One aspect where male and female differences are vividly reflected is that of language use.

The fact that men and women speak differently is partly due to biological differences in their speech organs. However, it is not the difference in voice quality (presumably a natural fact) that accounts for gender-based differences in speech. The gender-specific use of language is determined by the culture and society in which the language under question is embedded.

It is true that any language is rule-governed in terms of phonology, lexicon, and grammar. The relation between language and gender, however, is not restricted to such linguistic components, but is affected by a number of social factors such as class, status, power, and distance. To put it another way, a language does not evolve by itself but is a product shaped by society. It is "by virtue of its members having desires and preferences that

the speech community creates and perpetuates its language" (Coulmas 2005: 7). In this sense, the social and cultural construction of gender plays an important role in gender-bound differences in language. In an egalitarian society where the inferior status of women is still a marked phenomenon, differences can be found in the use of linguistic forms and patterns of speech behaviour typical of men and women. For instance, in a study of New Yorkers' speech, women were found to use fewer non-standard forms than men. This is probably due to "the role of women as principal caregivers in child-rearing, which makes them more status-conscious" (Coulmas, 2005: 38). This finding was made by Labov (1990) and confirmed by Gordon (1997) who attributed women's standard speech forms to "their desire to teach their children the standard variety in order to enhance their future chances of social advance" (cited by Gordon in Coulmas, 2005: 38). Men's speech, on the contrary, tends to be more careless and less standard. It is partly due to the factor that in a male-dominated world, the men run no risk of having their superior status challenged by the women, a weaker sex. They, therefore, find it unnecessary to accommodate their speech to the standard forms. And quite interestingly, this assumption seems to be attested by the general public's attitude to male behaviour in speech. In almost all societies, men's use of swear or vulgar language is not an uncommon practice whereas bad language uttered by a woman is likely to produce a great shock. It is not wrong to say that the female choice of a more standard language use is determined by social expectations of their inferior and subordinate role compared with a superior and dominant role played by men in society.

A number of attempts have been made to find out the answer to a seemingly simple question "Why do men and women talk differently?" (Coulmas, 2005: 38). Two approaches proposed by linguists and researchers, namely, the Dominance approach and the Difference approach, can partly explain this.

"The Dominance approach focuses on power and equality" (Coulmas 2005: 39) and accepts a view of women as an inferior, oppressed and marginalized group. This theory interprets gender differences in language as the reflection of men's domination and women's subordination, an attitude that is manifest in family and in society. For instance, in a western family, the wife is supposed to bear her husband's surname, and her children to carry the family name of their father. These naming conventions are interpreted by Gibbon not as a neutral practice, but as the manifestation of male dominance, which is no less vividly demonstrated outside the family (1999: 61). Take the workplace for example. It is often the men who are likely to be given more job opportunities, more chances of job advancement as well as more high-powered and responsible jobs compared with their female partners.

The Dominance theory is also applied to explain gender-based differences in language use. Researchers have found that women appear less confident and assertive than men in mixed-sex conversations, and they tend to use more questions, especially tag questions and hedges to ease their subordination and facilitate the conversation presumably dominated by men (Yule, 2006: 224). The fact that women use less interruptions and seem to show agreement to create a friendly atmosphere and thus avoiding conflicts in their talks (especially with men) is believed to be another signal of their inferior status and submission to men.

The Difference approach, on the other hand, relies on the argument that boys and

girls are brought up separately within their own subcultural groups, therefore, they develop differences in terms of behaviour, attitude, and speech. As Coulmas puts it "different socialization patterns cause boys to be concerned with status and self-assertion, while girls are more geared to involvement and understanding" (2005: 38). The resulting conversational styles have been described as competitive and cooperative, respectively (Eckert, 1989; Tannen, 1991). In a sense, this approach seems to deny the dominating role of men and the submissive role of women. However, the existence of a male-dominated world together with sexist attitude reflected in language contradicts this view. In order to have a more objective understanding of how men and women talk, let us explore the coming section.

2.2. Conversation and interaction

Human life is filled with a large number of daily social encounters. At the market place, at school, at work or in any institutional settings, interpersonal exchange of utterances is a common practice.

Among different speech events, conversation is the most prevalent form of discourse, accounting for more than 90 per cent of all spoken language (Cheng, 2003: 12), and it is considered to be "the quintessence of spoken discourse" (Svartvik, 1980: 170). Seen as a pre-eminent form of language, conversation is a pre-genre in the sense that all genres, both spoken and written, are derived from it. Similarly, Fillmore (1981) states that conversational language constitutes the benchmark against which other forms of language can be compared and contrasted and that "once the syntax, semantics, and pragmatics of these basic types of discourse have been mastered, other types of discourse can be usefully described

in terms of their deviation from such a base" (Fillmore, 1981: 165).

Though the type of conversation may vary depending on criteria such as age, sex, status, and relationship(s) of participants, it is assumed in most conversational exchanges that participants are cooperating with each other. This conversational principle, which is also known as Gricean principle, can be stated as follows: "Make your conversational contribution such as is required, at the stage at which it occurs, by the accepted purpose or direction of the talk exchange in which you are engaged" (Grice 1975: 45). This principle is supported by four maxims, often called as the "Gricean maxims".

- *The Quantity Maxim*: Make your contribution as informative as is required, but not more, or less, than is required.

- *The Quality Maxim*: Do not say that which you believe to be false or for which you lack adequate evidence.

- *The Relevance Maxim*: Be relevant

- *The Manner Maxim*: Be clear, brief and orderly (Yule, 2006: 130).

In a real life conversation, however, it is not always necessary for participants to strictly follow these maxims. They can choose to flout them from time to time without any intention of opting out of the talk exchange. When this occurs, a conversational implicature is triggered, a feature commonly found in literary works. A way to look for implicatures in conversations is to examine rhetorical strategies such as metaphors, irony, rhetorical questions, understatements, and overstatements, which are interpreted as flouts of the Gricean Quality maxim, or jokes which flout the Manner maxim.

Though one's speech behaviour is supposed to be socially and culturally determined, the fact that men and women's

conversational styles tend to differ seems to hold true with any speech community. The concept of conversational style is considered by Tannen (1981) both as a social and individual phenomenon. When speakers from similar speech communities share the means of verbal communication such as lexicon, grammar, phonetics as well as certain paralinguistic features like pitch, amplitude, intonation, rate of speech, conversational style is a social phenomenon. On the contrary, style as an individual phenomenon is realized when speakers use particular features (especially body language like nodding, smiling, frowning, gestures, and postures) in particular settings. These two styles contribute to identifying the speaker as a member of a certain speech community. Though conversational styles differ from one speaker to another, it is generally agreed that women do share common linguistic features in their talk, thus distinguishing their style from that of men.

Studies have shown that "women are far less domineering in conversation and tend to favour co-operative or supportive participation" (Wray & Bloomer, 2006: 106). They tend to give more back channel support (Wareing, 2004: 88). Men, on the contrary, tend to ignore comments of the other speaker by offering no response or acknowledgement at all (Hirschman, 1973: 11), by giving a "delayed minimal response" (Zimmerman & West, 1975: 118), or by responding unenthusiastically (Wray & Bloomer, 2006: 106).

Moreover, tentativeness devices including hedges (how say, I think, I believe, I feel, I guess, I mean) and qualifiers (well, you know, sort of, like, kind of, perhaps, really, maybe) together with epistemic model forms (should, would, could, may and might) are also employed more frequently by women (Ivy & Backlund, 2004: 185). These indirect linguistic features serve as indicators of uncertainty on the part of the user, thus helping "dilute" assertions so as to avoid explicit confrontation if disagreement occurs in the conversation (Wareing, 2004: 88). And these very features are also seen as strategies of politeness in conversation. Men, on the contrary, can be seen as more competitive as they show a greater tendency to interrupt their partners, especially female ones (Zimmerman & West, 1975: 118), and challenge or dispute their partners' utterances (Hirschman, 1973: 11). In addition, men make more direct declarations of fact or opinion than women (Fishman, 1978: 402), including suggestions, opinions, and "statements of orientation" as described by Strodbeck and Mann (1956), or "statements of focus and directives" as viewed by Soskin and John (1963) (cited in Maltz & Borker, 1987: 198).

In sum, men's competitive speech style to gain "status" in their "report talk" whereas women's cooperative tendency to forge "intimacy" and "connection" in their "rapport talk" (Cameron, 1977) are major differences manifest in male and female conversational styles. Factors that affect what is communicated and how it is interpreted in an interaction are discussed next.

2.3. Interaction

Interaction is generally understood as communication that involves the exchange of information as well as the expression of feelings and thoughts among people. Yule states that interaction may apply to a large number of social encounters and settings in which "interpersonal exchange of talk" takes place and in which pre-conversation factors are mainly external factors (age and power) that typically involve the status of the participants. On the other hand, internal factors, such as the amount of imposition or

degree of friendliness, are often negotiated during an interaction. "Both types of factors, external and internal, have an influence not only on what we say, but also on how we are interpreted" (Yule, 1996: 60). In other words, there are many factors that determine what and how one can communicate successfully. It is also worth mentioning that the success of any verbal communication depends on the interactants' awareness of politeness principles which are socially and culturally determined.

2.4. Politeness

Politeness is a universal phenomenon that finds its expression both verbally and non-verbally. Due to its ubiquity in language use, politeness has become an interesting subject for various linguistic studies.

- **Politeness and face**

As politeness phenomena have become a study object of many researchers, a great number of politeness concepts have been introduced. Culturally, politeness is seen as a "socially adequate behaviour", and as "the practice of organizing linguistic action so that it is seen as inoffensive and conforming to current social expectations regarding the trouble-free management of communication" (Coulmas, 2005: 84). Linguistically, politeness is defined as "the interactional balance achieved between two needs: the need for pragmatic clarity and the need to avoid coerciveness" (Blum-Kulka, 1987: 131). As viewed by France "politeness means learning to accommodate to others within a given social group", and when interpreted in a more negative way "politeness could be seen as an oppressive force, taming the individual, imposing conformity and deference" (1992: 4-5). It is generally agreed that the principles and specific norms of politeness are determined by social and cultural values

known to the interactants, who are expected to take "face" into consideration in their polite behaviour in language use.

Brown and Levinson define face as "the public self-image that every member wants to claim for himself", and that "face is something that is emotionally invested, and that can be lost, maintained, or enhanced, and must be constantly attended to in interaction" (1978: 61). Face, as claimed by these two linguists, consists of negative face – "the need to be independent, to have freedom of action, and not to be imposed by others", and positive face – "the need to be accepted, even liked, by others, to be treated as a member of the same group, and to know that his or her wants are shared by others" (Yule 1996: 61-2). As speech acts often tend to impose on the hearer (H)'s sense of face, politeness may be recognized as a means for the speaker (S) to show his/ her awareness of H's public self-image. In communication, people may give a threat to another individual's self-image or face want, thus leading to a face threatening act (FTA). Alternatively, people may choose to act in a way that lessens a possible threat to another's face, and this is termed a face saving act (FSA). Assuming these face-related notions to be acknowledged by interactants, Brown and Levinson (1978) proposed various politeness strategies categorized into four main types, namely Positive politeness, Negative politeness, Bald-on-record, and Off-record, which are dealt with in the next section.

- **Politeness strategies**

Grundy sees politeness strategies as "a way of encoding distance between speakers and their addresses" (2000: 145). In this sense, the more distant the interactants are to each other, the higher degree of politeness should be realized. Thus, positive politeness is defined by Yule as a FSA that tends to show solidarity and

common goals of the speakers (1996: 62). As this strategy is likely to be used by members within a close-knit group, or by those who want to claim some common ground as a result of their cooperation in conversation, a choice of an informal style is preferred. Linguistically, the use of "nicknames, sometimes even abusive terms (particularly among males), and shared dialect or slang expressions" is common in the strategies of positive politeness (Yule, 1996: 65). Brown and Levinson (1978) in their comprehensive study on politeness suggested a list of sub-positive politeness strategies grouped under three main types, i.e. claim common ground, convey that the speaker and the hearer are cooperators, fulfil the hearer's want for something. This classification served as a starting point for further research on politeness.

Contrary to positive politeness, negative politeness is claimed by Yule to be a FSA oriented to the person's negative face with the aim to show deference as regards to the other's time or concerns, and "even includes an apology for the imposition and interruption" (1996: 62). Like positive politeness, negative politeness also comprises various strategies which are classified by Brown and Levinson (1978). Thus, they distinguish negative politeness strategies, which imply distance, deference, and the freedom of choice for the hearer, as more polite than positive ones.

Of the last two types of politeness strategies, bald-on-record and off-record, the former is often associated with directness while the latter with indirectness. The bald-on-record strategy can be realized when direct address forms are applied by the speaker as means of expressing his/her needs, especially via the use of imperative forms (Yule, 1996: 63). Bald-on-record is particularly important in cases of great urgency and desperation, and it is seen by Brown and Levinson as

the strategy that conforms with Grice's maxims (see section 2.2 for detail) in order to communicate most efficiently.

The off-record strategy (often referred to as hints), on the other hand, is employed by S when s/he uses indirect statements to realize his/her goal(s). Such rhetorical strategies as metaphors, irony, rhetorical questions, understatements, overstatements can function as the indicators of indirectness strategies. One disadvantage of the off-record strategy is that S does not always get what s/he wants using indirect statement(s), and if his/her goal is met, it is only because more is communicated than is said. The distinction between direct and indirect speech acts is outlined in the next section.

2.5 Directness vs. indirectness and their reaction to politeness

Yule (1996: 54) distinguishes a direct speech act (DSA) from an indirect speech act (IDSA) on the structural basis of three distinctive sentence types, namely declarative, interrogative, and imperative. As each of these types is presumably attached to a certain function, i.e. statement, question, command/ request respectively, whenever there is a direct relationship between a structure and a function, a DSA is performed. On the contrary, an IDSA is realized when the sentence type contradicts its assumed function. Consider the following examples:

(a) *It's stuffy in here.*

(b) *Could you pass the salt?*

(c) *Have a good journey!*

The declarative sentence in (a) is used by S not just to describe a fact (a stuffy room), but to make a request to H to open the window or to turn on the fan/air-conditioner. As the sentence type does not fit its function, an IDSA is performed. Similarly, the interrogative form

in (b) and the imperative pattern in (c) serve the functions of a request and a wish respectively instead of a question and a command/request as they are supposed to. They (b and c), therefore, provide other examples of IDSAs. Though people from different cultures hold different views on the use of DSAs and IDSAs with respect to politeness theory, it is generally acknowledged that IDSAs are associated with greater politeness than DSAs, an idea which is shared by Yule (1996) as far as the English language is concerned. The use of directness-indirectness in any verbal interaction is seen by Quang (1998) as being affected by various socio-cultural factors including age, sex, residence, mood, occupation, personality, topic, place, communicative environment/ setting, social distance, time pressure and position.

3. Research methodology

The data of the study is provided by utterances made by the male and female characters of the play *Pygmalion* by George Bernard Shaw published in 2008. As the work analyzes the speech of fictional characters which differs from utterances in real life situations, an interdisciplinary approach is employed. This approach comprises three methods. First, the linguistic-pragmatic analysis is used to describe gender-based differences in directness and indirectness strategies in the light of Brown and Levinson's politeness theory. These strategies include the bald-on-record and the off-record strategies, with the focus on the use of rhetorical questions, metaphors, irony, overstatements and understatements. Second, a literary analysis of the play *Pygmalion* as a social satire is integrated in the study. Finally, the quantitative analysis which is based on the statistical data on two politeness markers,

namely the bald-on-record strategies and tentativeness devices is performed. This analysis assesses proportions between the number of words which each character employs for the two types of politeness strategies and the total number of words s/he uses throughout the play, thus distinguishing the characters' use of politeness strategies in statistical terms.

This social play is remarkably noted for its satirical representation of the British high-class society. Professor Higgins, the main character, is an expert in phonetics. This man is portrayed as an antipode to the stereotype of high-class men in the 19th British society, as his behaviour and language are often in conflict with the politeness norms set by this class. In *Pygmalion*, instances of a straightforward and impolite language abound in Mr. Higgins' utterances. Professor Higgins's extravagant verbal interactions with other characters in the play seem to mock at the norms of the British polite society at that time. Similarly, the vivid presentation of the non-standard language used by the main female character, Eliza Doolittle (Liza), a low-class girl, as well as her linguistic progress after a six-month transformation into a "duchess", provide interesting data for a study of politeness strategies. Besides, the language usage of Mrs. Pearce, Mr. Higgins' housekeeper, and of Mr. Doolittle, a low-class man, provides differences in direct and indirect strategies of politeness employed by the characters from different social classes.

4. Findings and discussion

4.1. Directness and indirectness strategies in the speech of female characters

Theories of politeness tend to focus more on polite behaviour than on impolite behavior.

However, it is an impolite, rude, discourteous type of behaviour that is most often noticed by commentators and participants. This means that a person's polite behaviour can be judged by investigating either his/her positive or negative ends of the politeness scale. This tendency seems appropriate for a study that is analyzing the behaviour of low-class people as their use of a non-standard language may be interpreted as a challenge to politeness theories. In *Pygmalion,* Liza uses strategies of directness and indirectness in a way that does not conform to the norms of politeness strategies as described by Brown and Levinson's theory.

4.1.1. Directness and indirectness in Liza's speech: politeness strategies of a low-class girl

- **Directness strategies**

Language is said to display its speaker's identity, and in the case of Eliza Doolittle, her language gives her away (Coulmas, 2005: 171). The lack of a proper education is a disadvantage to Liza in her talks with people from a higher class, and it may result in a communication breakdown. A number of DSAs are employed in Liza's speech.

(1) *[....] buy a flower off a poor girl.*

(2) *Take this for tuppence.*

(3) *Oh, sir, don't let him lay a charge agen me for a word like that.*

(4) *Let him say what he likes.*

(5) *Take the whole blooming basket for sixpence.*

Except for (3), an appeal made by Liza to a gentleman who may save her from getting into trouble with a stranger, the four imperative sentences above share the same feature, as they are all cases of non-minimization of the face threat, which are common in situations associated with urgency or desperation faced by S.

The utterances 1-5 are made in a chance encountered between Liza and the two high-class gentlemen, Mr. Higgins and his friend, Colonel Pickering. As there is a great social distance between the girl and the two men, a formal conversational style is expected from Liza. This particular speech event is free from urgency and desperation, as Liza is persuading Pickering to buy flowers. However, Liza's imperatives in (1) and (2) are part of the speech acts which display the lack of concern for others' face despite the fact that they may comply to Grice's Conversational Principles, i.e., the principle of clarity. Liza's imperative *[....] buy a flower off a poor girl*, which functions as an appeal to a high-class member who she sees as a potential customer, is awkward in terms of politeness no matter how clearly her purpose is stated. Liza should have employed a more polite form of expression to achieve her goal. Similarly, considering the imposition impinged on H, it is often considered awkward for a flower girl to make bald commands to her customer as in (2) and (5), who is in many ways superior to her. These imperatives (1, 2, 5) may be considered as Liza's violations of the politeness postulates mentioned earlier. In the "let" structure in (4), which aims at granting permission, it would be more natural if the utterance were made by someone of a more powerful status, not by a low-class flower girl to a high-class member. That's why, (4) may be regarded as improper in this setting.

During Liza's visit to Mr. Higgins when she comes to ask him to teach her how to talk like a lady, the following imperatives are made:

(6) *Don't you be so saucy.*

(7) *Oh, don't be silly.*

These two imperatives, addressed to her prospective teacher and his friend, sound shocking as these utterances are seen as

impertinent requests made by Liza. Except for (3), which is the most polite form with the use of the deferential term "sir" and reasonable wording, the rest of the imperatives mentioned earlier go against the common-sense norms of politeness. To conclude, Liza's direct style in her communication with the two high-class men may be interpreted as provocative.

- **Indirectness strategies**

In Liza's verbal interactions, some off-record politeness strategies are employed as well, but the most prevailing one is the use of rhetorical questions (RQs). Usually, RQs are made not for information but mainly for the assertion of an idea already introduced. It is notable that a number of Liza's RQs function as assertive sentences. The following utterances illustrate this.

(8) *Who's trying to deceive you?*

(9) *Oh, what harm is there in my leaving Lisson Grove?*

(10) *Who'd marry me?*

These RQs can be interpreted as *I'm not deceiving you, There's no harm in my leaving Lisson Grove,* and *Nobody would marry me,* respectively. RQs are also used by Liza to convey more subtle implicatures, as in (11) and (12).

(11) *Did you tell him I come in a taxi?*

(12) *Don't I tell you I'm bringing you business?*

The RQ in (11) triggers the implicature that Liza has money, and she has come not to cause trouble but to offer some business beneficial to Professor Higgins, thus (11) conveys her claim for respect. This idea is confirmed by (12) when she indirectly states to Mr. Higgins that she may offer him some kind of employment for which he will be paid. What is remarkable in (11) and (12) is that Liza seems to show her confidence in gaining the support of her addressee, as her

bald questions prove. The money she brings with her, though very little, enables her to talk as an equal to Mr. Higgins.

Apart from the rhetorical questions, the use of metaphor (a transference of some quality from one object to another) and understatement (a statement of restrained meaning) are other features in Liza's indirectness strategies, even though they are not employed frequently. Examples of metaphor and understatement are:

(13) *Gin was mother's milk to her.*

(14) *If a man has a bit of a conscience, it always takes him when he's sober; and then it*

makes him low-spirited. A drop of booze just takes that off and makes him happy.

In (13), by associating *gin* with *mother's milk* in her talk about her aunt, Liza indirectly implies the drinking habit of the latter, thus flouting the Quality maxim. The understatement in *A drop of booze* in (14) also flouts the Quality maxim as such a tiny amount of alcohol cannot have such an effect on its drinker as claimed by Liza. Though these two indirectness strategies are supposed to show S's politeness to H, the choice of Liza's highly colloquial language (e.g. *booze, it always takes him* and *takes that off*) and an unsafe topic (her private family affairs) seem inappropriate in a formal social setting among high-class strangers. Thus, even in the case of indirect strategies, her speech behaviour appears to be impolite. In addition to this, the habit of self-appraisal and other-abasement is manifest in her speech as the following examples illustrate:

(15) *Ought to be ashamed of himself, unmanly coward!*

(16) *You ought to be stuffed with nails, you ought.*

(17) *Oh you are a brute. It's a lie: nobody ever saw the sign of liquor on me.*

The ellipsis of *he* before *ought to* in (15) violates the politeness strategy of Claiming common ground supposedly employed by in-group members, as in this case there is a great social distance between Liza and her referent (Mr. Higgins), and the interlocutors are in no way in-group members. Liza's remark in (16) sounds as if she were addressing someone of the same or of a lower status; as the addresser is not a person of this status, (16) sounds rude. Also, her bald declarative in (17) sounds discourteous, especially, as it is addressed to the high class member.

In Liza's speech, another characteristic can be recognized, namely the repetition of subject-pronouns followed by the corresponding forms of either the verb *to be* or auxiliary verbs. The following utterances exemplify this.

(18) *He's off his chump, **he is**.*

(19) *You're no gentleman, **you're not**, to talk of such things. I'm a good girl, **I am**; and I know what the like of you are, **I do**.*

(20) *You're a great bully, **you are**.*

These repetitions *he is* in (18), *you're not, I am* and *I do* in (19), and *you are* in (20) have an emphatic effect. More specifically, Liza indirectly implies her disappointment with the man in (18) while in (19) she shows how much she is hurt by H's suggestion and implicitly expresses her objection to it. Moreover, her feeling of helplessness while talking with H, who is superior to her in terms of power and background, is indicated in (20). With this assertive language use, Liza intentionally makes her utterances more face threatening.

Being a low-class unschooled girl, Liza uses various non-standard forms, such as the double negation in (21) and (22), past tense instead of past participle in (23), *ain't* in place of *isn't* in (24), *am not* in (25) and *haven't* in (26) in the utterances below.

(21) *I **don't** want to have **no** truck with him.*

(22) *I **didn't** want **no** clothes.*

(23) *You just show me what you**'ve wrote** about me.*

(24) *That **ain't** proper writing.*

(25) *I **ain't** dirty: I washed my face and hands afore I come, I did.*

(26) *I **ain't** got no parents.*

Thus, as a flower girl, Liza faces a lot of problems in her verbal interactions with the high-class members, and her limited knowledge of politeness principles makes her an awkward interactant. In contrast to Liza, Mrs. Pearce, Mr. Higgins's house-keeper, epitomizes a model of polite behaviour cultivated by the British high society of Shaw's times.

4.1.2. Directness and indirectness strategies in Mrs. Pearce's speech

- **Directness strategies**

Unlike Liza, Mrs. Pearce is well aware of the social status and power relations between her and her master, Mr. Higgins. Therefore, her highly conventional behaviour is manifest in politeness strategies which she employs in her communication with Mr. Higgins. Thus, Mrs. Pearce rarely uses a direct conversational style unless in extreme cases. Her use of direct strategies is often accompanied by politeness markers, such as qualifiers and deferential address forms in order to reduce the face threat of her directness. This can be seen in the following utterances:

(27) *Stop, Mr. Higgins.*

(28) *You must be reasonable, Mr. Higgins: really you must.*

(29) *Well, sir, […], I beg you not to let the girl hear you repeat it.*

(30) *Do be sensible, sir.*

Among these utterances, only (27) takes the form of an order in the imperative mood while

the rest declaratives. The use of qualifiers such as *really* in (28) and *well* in (29), of deferential address forms like *sir* in (29) and (30), and of titles plus family names, as *Mr. Higgins* in (28), help soften the face threatening acts made by Mrs. Pearce. Moreover, these direct utterances reveal their entreating nature, which is most noticeable in (29) by means of a highly polite form of expression *I beg you not to let the girl hear you repeat it.* As this expression is preceded by the hedge *well* and followed by the deferential form of address *sir,* it becomes a highly polite request. Since these utterances are all task-oriented, to use the terms of Brown and Levinson (1978: 97), and at the same time, showing Mrs. Pearce's concern for Mr. Higgins's interest, such bald-on-record instances should be regarded as politeness strategies.

However, Mrs. Pearce's tone of directness changes remarkably when her addressee is a low-class flower girl, Liza. The following bald-on-record statements illustrate this.

(31) *Sit down, girl. Do as you're told.*

(32) *Don't cry, you silly girl. Sit down.*

(33) *Come with me, Eliza.*

(34) *You mustn't speak to the gentleman like that.*

It is observable that Mrs. Pearce's use of marked address terms such as *girl* in (31) and *you silly girl* in (32) shows her contempt for Liza's low social status. This superior attitude to the low-class girl is also reflected in the imperatives (31-33) which function as orders. In (34), the employment of the strong modal verb *mustn't* and the deferential term *gentleman* seems to contrast Mrs. Pearce's attitude to the addressee, Liza, and the referent, her master. Also, Mrs. Pearce's subservient manner, so manifest in her address to Mr. Higgins earlier, gives way to a more dominating manner when she addresses Liza. This supports the claim

that "speakers adjust their speech behaviour to a particular social circumstance" (Coulmas, 2005: 18).

As indirectness is often associated with a higher level of politeness than directness, it is natural that a servant's strategies of directness are outnumbered by indirectness strategies in communication with a master, and this is exactly the case with Mrs. Pearce's use of direct strategies of politeness.

- **Indirectness strategies**

In her talks with Mr. Higgins, Mrs. Pearce uses numerous indicators of tentativeness, namely qualifiers and hedges, some of which are presented in the following instances:

(35) *Well, sir, she says you'll be glad to see her when you know what she's come about.*

[…] I should have sent her away, only I thought perhaps you wanted her to talk into your machines. I hope I've not done wrong; but really you see such queer people sometimes-you'll excuse me, I'm sure, sir-

(36) *I think you'd better let me speak to the girl properly in private.*

(37) *Then might I ask you not to come down to breakfast in your dressing-gown, or at any rate not to use it as a napkin to the extent you do, sir.*

In the above utterances, a number of qualifiers such as *well*, *perhaps* and *really* in (35), *at any rate* in (36), together with the hedges such as *only I thought, I hope, you'll excuse me, I'm sure* in (35) and *I think* in (36) are used. These qualifiers help soften the assertions in Mrs. Pearce's speech which supports the observations described in Wareing (2004: 88). Elements of tentativeness are not only restricted to this conventional lexicon, but also take a more subtle form. This is made clear in the use of modal verb structure as in *I should have sent her away*

in (35), which suggests Mrs. Pearce's sense of duty as a servant to meet Mr. Higgins's expectations. These tentative expressions help create a rapport in the mixed-sex conversation between Mrs. Pearce and her master.

Indirect framings are also a common feature in the speech of Mrs. Pearce. This is made clear in the following utterances:

(38) *Will you please keep to the point, Mr. Higgins.*

(39) *I want to know on what terms the girl is to be here.*

(40) *I just wish to trouble you with a word, if I may, Mr. Higgins.*

(41) *[…] but there is a certain word I must ask you not to use. […] It begins with the same letter as bath.*

The question form in (38) functions as a request, the declaratives imply a question in (39) or requests in (40) and (41); all these are instances of indirectness strategies. Together with the indirect reported speech of Liza's statement *she says you'll be glad to see her when you know what she's come about* followed by the face redress plus a deferential term in *you'll excuse me, I'm sure, sir* in (35), these indirect framings are used to minimize the face threat of the respective speech acts. The explicit politeness markers such as *Will you please , if I may, Then might I ask you* also contribute to the polite tone of expression employed by Mrs. Pearce to show her polite attitude to Professor Higgins.

This indirect style is typical of politeness common among high-class people, who tend to place more emphasis on courteous speech despite lengthy expressions required for this type of strategies. It is observable that this period-specific conversational style may be in conflict with the modern style of communication used by time-conscious interactants, who value the "What" more than the "How" of the information conveyed.

4.1.3. Directness and indirectness strategies in Liza's speech: a transformed high-class girl's politeness

Attracted by the prospects of a better life, Eliza determines to break away from her low class by opting for a new linguistic identity which may make her acceptable to the people from high society. From a *deliciously low, horribly dirty* flower girl, she becomes an elegantly disguised *duchess* after her six-month intensive training period. This transformation is achieved in the process of cooperative work with Professor Higgins, the author of Higgins's Universal Alphabet, and Colonel Pickering, the author of the book on spoken Sanskrit. Not only has her pronunciation improved to meet the standards of her interlocutors, high society people, her speech behaviour has converged accordingly.

- **Directness strategies**

Unlike the low-class flower girl in her former times, totally ignorant about the norms of polite behaviour, Liza is now well aware of politeness norms expected from her new presumably high-class identity. Her observations of the polite speech and manners of Mr. Pickering and Mrs. Pearce, two models of politeness, helped her master the norms of polite language and manners to such an extent that she finds it hard to use her former language. Her new linguistic identity is attested by her new conversational style that brings her closer to high society, linguistically and emotionally. It is not surprising to find Liza's bald-on record strategies occurring in a considerably restricted number. The following direct utterances illustrate this change in Liza's conversational style.

(42) *Stop, please.*

(43) *Take your slippers; and may you never have a day's luck with them!*

(44) *Buy them yourself.*

(45) *Don't sneer at me.*

(46) *Don't you hit me.*

Compared with Liza's former speech, there is a notable difference in the use of direct style. Except for (42), where the use of the politeness marker *please* turns the utterance into an entreaty instead of an order, strategies in (43) and (44) may be regarded as instances of the face threat non-minimization. Although (43) and (44) may be considered as the FTAs, since Liza is not expected to use such a bald language when addressing Professor Higgins, the fact that Liza is strongly provoked by Mr. Higgins's contemptuous attitude to her justifies this bald-on-record strategy. Therefore, (43) and (44) should not be regarded as impolite. The imperatives in (45) and (46) share the same feature, as they both function as warnings (instead of orders) against some unreasonable action and attitude of Mr. Higgins. These illustrations comply with Brown and Levinson's politeness theory. Liza's strategies of indirect politeness definitely prove her adaptation to the conversational style characteristic of high society.

- **Indirectness strategies**

There is a strong link between Liza's new linguistic identity and the enrichment of her linguistic repertoire. This is manifest in Liza's use of rhetorical questions, which is still a prevailing feature in her speech.

(47) *What am I fit for? What have you left me fit for? Where am I to go? What am I to do? What's to become of me?*

These rhetorical questions certainly require no response from Mr. Higgins, but aim at making a complaint about Liza's presumably hopeless current situation. The chain of RQs in (47) indirectly asserts the given information, and these RQs may be interpreted as *I am fit for nothing, I cannot go anywhere, I cannot do anything,* and

I will become no one, respectively. Liza seems to blame her teacher, Mr. Higgins, for her new linguistic identity, which deprives her of the normal life of a low-class flower girl.

Another new feature in Liza's speech is her frequent employment of tag questions, as in the following examples:

(48) *I've won your bet for you, haven't I?*

(49) *Quite chilly this morning, isn't it?*

The tag questions that Lisa uses are indirect ways of either asserting the information in (48) or seeking H's agreement in (49), and they can be interpreted as *S has won a bet for H*, and *it is a really chilly morning*, respectively. It is also notable in (49) that there is a change in the tone of Liza in her address to Colonel Pickering. The intimate conversational style created by the ellipsis of *It is*, supposedly present in a more formal tag question *It is quite chilly this morning, isn't it?* seems to reveal Liza's self-confidence, thus presenting her as an equal to Colonel Pickering.

Liza's use of metaphors and irony also contributes to her linguistic transformation. Consider the following utterances:

(50) *Why didn't you leave me where you picked me out of-in the gutter?*

(51) *Oh, I'm only a squashed cabbage leaf.*

(52) *You see it was so very difficult for me with the example of Professor Higgins always before me.*

The metaphor in (50) *you picked me out of-in the gutter* ironically creates the image of a waste-product deserving no better place than a gutter. This waste-product is nobody else but Liza herself, and *the gutter* refers to her low station in life, the bottom of society. Another metaphor occurs in (51) where Liza associates herself with *a squashed cabbage leaf*. The untruthfulness of the utterance

triggers the implicature that Liza's low status makes her pitiful, valueless and even useless in the eyes of high society, thus flouting the Quality maxim.

The utterance in (51) also serves as irony as it is actually Liza's repetition of Mr. Higgins's former remark made out of his hostility to her. In (52), Liza's ironic attitude is reflected in her use of the expression *the example* with a negative connotation, which is followed by a title plus surname *Professor Higgins*. (52) implies bad examples given by her teacher, who is, at the same time, working hard to turn her into a polite person. Ironically, it is Liza, his low-class pupil, who learns politeness norms by managing to avoid copying her teacher's discourteous manners and impolite language.

In addition to these strategies, instances of overstatements are noticed in Liza's speech.

(53) *And there were a hundred little things you never noticed, because they came naturally to you.*

(54) *Oh, when I think of myself crawling under your feet and being trampled on and called names, when all the time I had only to lift up my finger to be as good as you, I could just kick myself.*

The overstatements *a hundred little things* in (53), *crawling under your feet, being trampled on* and *to lift up my finger to be as good as you* in (54) are intentionally exaggerated, thus challenging the genuineness of these expressions. They flout the Quality maxim. Interestingly, the use of the passive voice (*being trampled on*) in these indirect expressions saves Liza from her direct criticism of Mr. Higgins's unfair treatment, which complies with the norms of politeness.

4.2. Directness and indirectness strategies in the speech of male characters

4.2.1. Directness and indirectness strategies in Professor Higgins's speech

Professor Higgins is seen throughout the play as a static character. Created by Bernard Shaw as a sarcastic member of high society, Mr. Higgins's view on politeness can be perceived as a deviation from the politeness norms set by his class. According to this character, *the great secret is not having bad manners or good manners or any other particular sort of manners, but having the same manner for all human souls: in short, behaving as if you were in Heaven, where there are no third-class carriages, [...].* This extravagant and, at the same time, humanistic mode of thinking seems to govern his speech behaviour and manners, as he states to Liza in his burst of anger *the question is not whether I treat you rudely, but whether you ever heard me treat anyone else better.* This same-attitude treatment of everyone is best reflected in his language use, which is manifest in his direct and indirect strategies of politeness.

- **Directness strategies**

Mr. Higgins produces a great number of bald-on-record statements in his verbal interactions with other characters, especially with Liza. As mentioned earlier, Mr. Higgins admits his allegedly rude treatment of anyone and his impoliteness may be viewed as a typical feature of his speech. Consider the following utterances:

(55) *Woman: cease this detestable boohooing instantly* […].

(56) *Be off with you: I don't want you.*

(57) *Hold your tongue.*

All these bald-on-record statements function as orders, and they are addressed to Liza. These non-minimizing FTAs sound

highly impolite, and they are justified as Liza is a low-class flower girl, who is inferior to the addresser in her social status and power. In (55), the address form *woman* referring to a young girl in her twenties shows Mr. Higgins's sarcastic attitude to Liza. This imperative becomes even more face threatening with the ironic use of the expression *detestable boohooing*, which describes Liza's nonsensical verbal interaction. The adverb *instantly* employed in (55) seems to give more force to this speech act as it demands immediate obedience. In other words, (55) may be recognized as an order made by a high-class bully to his low-class female inferior.

This superior attitude is also felt in the next two bald-on-record statements (56-57). These bald-on-record imperatives are pronounced when Mr. Higgins feels annoyed to see Liza, who can hardly explain the reason of her unexpected visit. As Professor Higgins is expecting someone who is really useful for his phonetic experiments, the unexpected appearance of the girl disappoints and irritates him, which accounts for his offensive order in (56). In (57), Mr. Higgins's discourteous manner becomes even more manifest as the utterance accompanies Mr. Higgins's repeated denial of response to Liza's questions.

Mr. Higgins's impoliteness is also notable in his requests to Mrs. Pearce, his servant, and Mr. Doolittle, Liza's father.

(58) *Take all her clothes off and burn them.*

(59) *Take your daughter.*

Though Mr. Higgins's order to his servant in (58) may be seen as task-oriented, to use the terms of Brown and Levinson's politeness theory, the message of this command is shocking to all those who hear it. As a high-class character, Mr. Higgins is not expected to talk and act as a ruffian,

who would not care about consequences of his reckless command. The wording of Mr. Higgins's imperatives violates the norms of politeness set by his own class.

Similarly, the abrupt request in Mr. Higgins's address to Mr. Doolittle in (59) seriously threatens H's face. In this imperative, the referent is treated more like an inanimate object than a human being. Mr. Higgins's lack of concern for his interlocutor clearly shows his impoliteness.

To conclude, the above examples (only few among other direct utterances) are evidence of Mr. Higgins's intentionally impolite speech behaviour to his interlocutors, especially to the females. This can be arguably attributed to his odd bachelor's prejudice against women, who, in his opinion, are *jealous, exacting, suspicious, and a damned nuisance*. Mr. Higgins is portrayed as a confirmed bachelor, and his attitude to women is highly biased.

- **Indirectness strategies**

Mr. Higgins employs a variety of indirectness strategies, however in his own sarcastic way. Among these strategies, rhetorical questions, tag questions, and metaphors are most notable.

(60) *Who's hurting you, you silly girl? What do you take me for?*

(61) *Pickering: shall we ask this baggage to sit down or shall we throw her out of the window?*

In his first encounter with Liza in the beginning of the play, Mr. Higgins does not hesitate to show his utter contempt for her low status by means of rhetorical questions in (60). Being interpreted as *Nobody is hurting you* and *I am a decent man, not a busybody as you may think*, these two RQs show Mr. Higgins's antipathy to Liza who, in Mr. Higgins's mind, is incapable to judge about people. Moreover, the abrupt use of the address form *you silly girl*

in (60) signals Mr. Higgins's lack of courtesy to a socially underprivileged member.

Furthermore, the alternative question in (61) includes rather sarcastic metaphors: *this baggage* in reference to the girl (a highly non-conventional metaphor) and *throw her out of the window* (an extended trite metaphor) actually imply *ask her to leave.* What is tricky in (61) is that the addressee, Pickering, is expected to choose one of these equally brutal options suggested in the utterance. The use of *this baggage* presupposes the baggage-like status of the referent, thus a hard choice for Mr. Pickering. Similarly, the metaphor *throw her out of the window*, which is interpreted as *ask her to leave* is hardly acceptable in this situation, as this utterance shows Mr. Higgins's discourteous behaviour, which is totally improper in this social setting.

Apart from these indirectness strategies, ironic expressions, overstatements, and understatements abound in Mr. Higgins's speech.

(62) *She offers me two-fifths of her day's income for a lesson. Two-fifths of a millionaire's income for a day would be somewhere about 60 pounds. It's handsome. By George, it's enormous! It's the biggest offer I ever had.*

(63) *Somebody is going to touch you, with a broomstick, if you don't stop snivelling.*

(64) *By George, Eliza, the streets will be strewn with the bodies of men shooting themselves for your sake before I've done with you.*

(65) *It's almost irresistible. She's so deliciously low-so horribly dirty-*

In (62), Mr. Higgins is ironic when he sarcastically remarks about the one-shilling fee which Liza offers to pay him for his phonetic lesson. To a celebrated professor of phonetics like Mr. Higgins, whose students are among commercial millionaires, Liza's offer is far too humble for his consideration.

A fee of one-shilling cannot be *handsome* or *enormous,* and it can never be *the biggest offer* Mr. Higgins has ever gained. Mr. Higgins is obviously flouting the Quality maxim here. By making fun of the trivial fee of one shilling by relating it to the fee of sixty pounds offered for one phonetic lesson by a millionaire learner, Mr. Higgins implicitly mocks at the job opportunity which Liza claims to be of mutual benefit for both of them.

The expression in (63) functions as an understatement as the phrase *touch [...] with a broomstick* is not meant literally but figuratively. Mr. Higgins's actual statement may be interpreted as *You are going to be hit with a broomstick if you don't stop snivelling.* In contrast to this utterance, (64) provides an example of ironic overstatement in which Mr. Higgins expands the possible result of his phonetic work on Liza. A wonderful transformation of this flower girl into an irresistible high-class lady whose claims result in *streets strewn with the bodies of men shooting themselves* for Liza's sake is a highly ironic hyperbole.

The richness of Mr. Higgins's language is also manifest in (65) where he wittily combines an overstatement and an understatement. Mr. Higgins's sophisticated play with language is reflected in the contrast of the understatement of *deliciously low* to the overstatement *so horribly dirty*. This phrase refers to Liza's low background and intellect, as well as her scruffy appearance, making any transformation work on her hardly possible within a six-month period. However, by contrasting *It's almost irresistible* and *She's so deliciously low--so horribly dirty,* Mr. Higgins shows his interest in training this girl phonetically so that her speech may meet the standards of cultivated language use. This decision seems to confirm his status of *the greatest teacher alive*, as

remarked by Pickering, as far as phonetics is concerned.

Although Mr. Higgins's indirectness strategies are more elaborate and thus seemingly more polite than his directness strategies, his habitual use of swearing expressions such as *devil, damn, damnably, what on earth* is in conflict with his status as an educator and language expert.

To sum up, Mr. Higgins uses language in a way that is inappropriate for a person of his status as he violates the norms of politeness which he is expected to follow as a member of "polite society".

4.2.2. Directness and indirectness strategies in Mr. Doolittle's speech

- **Directness strategies**

Mr. Doolittle is an eccentric low-class man. Though poor, he does not mind his low status, as he baldly states that *undeserving poverty is my line*. He declares in his speech: *I was happy. I was free. I touched pretty nigh everybody for money when I wanted it*; his low position gives him happiness and freedom to lead his own life. Contrary to all expectations, in his talk to Mr. Higgins, Mr. Doolittle shows himself as a polite man, however, it is a different type of politeness. His inferior position compared to that of his interactant seems to account for this. The following bald-on-record utterances addressed to Mr. Higgins illustrate this status-affected politeness.

(66) *Don't take a man up like that, Governor.*

(67) *So help me, Governor, [...].*

(68) *No, Governor. Don't say that.*

(69) *Don't you give me none of your lip; and don't let me hear you giving this gentleman any of it neither, or you'll hear from me about it.*

It is notable that in (66-68) Mr. Doolittle intentionally uses the word *Governor,* a wrong choice of term, to address Professor Higgins.

This cunning low-class man is clever to employ this flattering term which shows his affected reverence mixed with intimidation, in the hope to manipulate H to his advantage. As to Mr. Doolittle's bald-on-record imperatives in the first three utterances (66-68), they function as entreaties; these imperatives are part of the politeness strategy characteristic of interactants of a lower social status.

In (69), the addressee is Liza, his daughter, and the imperative in (69) implies that, in Mr. Doolittle's opinion, Liza does not behave herself in the presence of Mr. Higgins and Colonel Pickering, high-class gentlemen. Thus, Mr. Doolittle uses this bald-on-record imperative as a warning for the sake of politeness.

Compared to Mr. Higgins' conversational style, Mr. Doolittle's style is affectedly polite, which may sound extravagant from a low-class man. However, after Mr. Doolittle has gained the status of a middle-class member thanks to an unexpected sum of three thousand pounds as an annual income from an American millionaire in return for Mr. Doolittle's lectures on moral reforms for the Wannafeller Moral Reform World League, there is a remarkable change in his conversational style. The once intimidated low-class Doolittle sounds more confident and assertive in his speech, which is observable in his utterances addressed to Mr. Higgins:

(70) *See here! Do you see this? You done this.*

(71) *Look at it. Look at this hat. Look at this coat.*

These face threatening acts convey his accusation of Mr. Higgins. According to Mr. Doolittle, Mr. Higgins is to blame for his new middle-class identity which deprives him of his former freedom and happiness. His former subservient attitude to Mr. Higgins is gone, and Mr. Doolittle talks as his equal or even as a person of superior rank.

To conclude, Mr. Doolittle's direct strategies of politeness tend to change with the change of his social status from a low-class man into a middle-class person. Mr. Doolittle's once affected politeness seems to be more straightforward now.

- **Indirectness strategies**

What is remarkable about Mr. Doolittle is that he, as Mr. Higgins puts it, *has a certain natural gift of rhetoric*; this gift displays itself in his utterances addressed to Professor Higgins, for example in (72).

(72) *I'll tell you, Governor, if you only let me get a word in. I'm willing to tell you. I'm wanting to tell you. I'm waiting to tell you.*

Here, parallel constructions contribute to Mr. Doolittle's rhetoric *I'm willing to tell you. I'm wanting to tell you. I'm waiting to tell you*, which is remarked as *sentimental* by Professor Higgins. Mr. Doolittle's *natural gift of rhetoric* is obvious in his indirectness strategies such as rhetorical questions, metaphors, irony, understatements, and overstatements. Thus, the utterances (73) and (74) are instances of rhetorical questions.

(73) *Have I asked you for a brass farthing? I leave it to the gentleman here: have I said a word about money?*

(74) *Well, what would a man come for? Be human, governor.*

In response to Mr. Higgins's accusation of a black-mail plot, Mr. Doolittle defends himself by the RQ in (73) which conveys his energetic protest: *I have not asked you for any money* and *I have not said a word about money*. In (74), another RQ, Mr. Doolittle does not explicitly state the reason for his coming, but the fact that he is poor and in need of money may be easily guessed. The RQ in (74) is followed by the appealing imperative

Be human, governor, which seems to confirm the purpose of his visit to Mr. Higgins, namely for money.

Mr. Doolittle's metaphoric and ironic expressions, as well as his understatements and overstatements are illustrated by the following utterances:

(75) *I've heard all the preachers and all the prime ministers-for I'm a thinking man and game for politics or religion or social reform same as all the other amusements -*

(76) *The poor man's club, Governor: why shouldn't I?*

(77) *[…] I'll lecture them blue in the face, I will, and not turn a hair.*

An overstatement is recognized in the utterance *I've heard all the preachers and all the prime ministers* in (75), which is a flout of the Quality maxim. As a low-class member, Mr. Doolittle tends to overstate in his speech, which is untypical of his class, thus making him a real eccentric. His bombastic language is also expressed in the extravagant statement in (75) *for I'm a thinking man and game for politics or religion or social reform same as all the other amusements*. The statement that politics, religion, and social reform are considered by this eccentric character as forms of entertainment sounds sarcastic. These rhetorical devices, namely overstatement and irony, help Mr. Doolittle avoid giving his frank opinion of *preachers* and *prime ministers*, whom he happened to hear. However, this opinion may be easily interpreted as derogatory.

In (76), an instance of understatement, also a witty metaphor, associates a pub with *the poor man's club*. As Mr. Doolittle's subtle use of this expression is likely to make him appear a pitiful poor man rather than a heavy drunkard, who he is, (76) flouts the Quality maxim. The metaphoric use of *blue* and *not*

turn a hair in (77) makes this impulsive utterance said in response to Mr. Higgins's sarcastic remark about Mr. Doolittle's supposed status of *the most original moralist* an amusing example of rhetoric based on the contrast between the idioms of colloquial language and ironic overstatements and metaphors. The utterance in (77) may be interpreted as *I'll lecture them straight to their face without any fear*. This statement, together with those mentioned earlier, reveals Mr. Doolittle's boastful character.

At the same time, Mr. Doolittle's speech is full of non-standard forms such as the use of double negation in (78), the lack of verb concord in (79), the use of *ain't* instead of *aren't* in (79), *am not* in (80), *isn't* in (81), *haven't* in (82), and *-ed* forms in place of irregular past participles in (83). These linguistic features occur in the following utterances:

(78) *She said she **didn't** want **no** clothes*.

(79) *You and me **is** men of the world, **ain't** we*?

(80) *I **ain't** pretending to be deserving*.

(81) *She's a credit to me, **ain't** she*?

(82) *I take my Bible oath I **ain't** seen the girl these two months past*.

(83) *[…] she's **growed** big enough to be interesting […]*.

Mr. Doolittle's use of tautology in form of tag question in (79), which flouts the Quantity maxim, is a lead-in, and prepares Professor Higgins for a serious talk. Other Quantity-flouting statements in (78, 80 and 81) as well as the flouts of the Manner maxim in (82) and (83) characterize the indirect strategies of this character. Mr. Doolittle's witticisms and clever ways of flouting the maxims of various types portray him as a "great" but low-class "talker" owing to his non-standard English. As a result, his politeness strategies result in affectation.

To conclude, like Mr. Higgins, Mr. Doolittle is eccentric in his own way. Compared with Mr. Higgins's "impolite" conversational style, Mr. Doolittle's ostentatious speech seems to characterize him as a hypocrite in terms of verbal politeness. By contrast, Mr. Higgins, a sarcastic fictional character, seems to question the assumed politeness of the high society satirized by Bernard Shaw.

4.3. A statistical survey of the bald-on-record strategies and tentativeness devices

In *Pygmalion*, the characters from different social strata use strategies of directness (bald-on-record) and indirectness such as rhetorical questions, metaphors, irony, overstatements, understatements and tentativeness devices (off-record). However, the analysis of these strategies has shown that their use is not always in agreement with the postulates of the politeness theory suggested by Brown and Levinson, and these deviations specify individual strategies of politeness. Three objective factors that account for these deviations include class, status, and power. Of the four characters analyzed in section 4.1, only Mrs. Pearce, Mr. Higgins's house-keeper, strictly follows the norms of politeness due to her inferior status and power relation to Mr. Higgins. Her standard language and her stereotyped polite speech distinguish her from the other characters.

It may come as a surprise to the reader that Mr. Doolittle, a low-class man, ranks the second in terms of politeness. Despite the non-standard features of his language, common for a person of his social status and level of schooling, his speech is marked by the attempts to employ elaborate strategies of politeness. The awareness of his low status and a prospect for some money from his high-class interlocutor, Mr. Higgins, makes this

man conform to politeness strategies which are uncommon in his social settings.

The other two characters, Mr. Higgins and Liza, are specific in terms of politeness strategies. In the case of Eliza Doolittle as a low-class flower girl, her non-standard language is not surprising, as it is the language commonly employed by her class. Due to the lack of access to proper education, Eliza is not acquainted with the norms of politeness in speech which distinguish high-class people, but she masters these norms after the transformation of her linguistic identity. As regards Mr. Higgins, he is expected to behave and talk in accordance with politeness norms set by high society, but he is a person who challenges the conventional nature of these norms, and his speech behaviour and manners are far from being polite, if judged in terms of conventional politeness.

In order to have an objective and statistically verified picture of politeness profiles, which characterize these four people, a survey is conducted with the focus on two indicators of politeness, namely the bald-on-record strategies and tentativeness devices. The data is provided by the characters' utterances and categorized into these two linguistic features. The number of words employed by each character in relation to each of these features is contrasted to the total number of words used by the respective character in the play, and percentages of this proportion are interpreted as markers of various degrees of politeness. The data on the use of the bald-on-record strategies and tentativeness devices is presented in Table 1.

Table 1. Occurrences of bald-on-record utterances and tentativeness devices

Characters	Bald-on-record utterances	Tentativeness devices
Eliza - a flower girl	6.9% (124/1800 words)	1.8% (34/1800 words)
Eliza - a disguised high-class girl	1.6% (36/2200 words)	1.8% (41/2200 words)
Mrs. Pearce	15.7% (164/1042 words)	5% (53/1042 words)
Mr. Higgins	5.2% (354/6870 words)	1.4% (98/6870 words)
Mr. Doolittle	7.2% (195/2709 words)	0.6% (16/2709 words)

Table 1 shows that the flower-girl Eliza uses 124 out of 1800 words, which is the total number of words spoken by her as a flower girl, to make bald-on-record statements, which ranks the third compared with the other three characters. However, a considerable change in Liza's use of bald-on-record strategy is observable when she gains a new linguistic identity after a six-month intensive training period. Not only is her new strategy characterized by a much lower frequency of bald-on-record utterances (1.6% versus 6.9%), but it has also undergone a considerable

change in quality. Now her bald-on-record imperatives tend to conform to the norms of politeness. For example, in Liza's imperative *Stop, please*, which she addresses to Mr. Higgins, the politeness marker *please* is used. Pragmatically, this politeness marker helps mitigate the face threat of the speech act and turns the bald-on-record statement into an entreaty.

In the case of Mrs. Pearce, whose use of the bald-on-record strategy is characterized by the highest proportion (15.7%), this amount of imperatives does not identify her as an

impolite person as her imperatives conform to politeness norms and show concern for the interests of others, as, for example, in the following instance.

(84) *Don't answer back, girl. You don't understand the gentleman.*

In (84), Mrs. Pearce advises Liza not to argue with Mr. Higgins, as the girl's poor communicative and argumentative skills may prevent her from a proper communication with her high-class interlocutor. This imperative is accompanied by the explication *You don't understand the gentleman,* thus making Mrs. Pearce's bald-on-record statement really sympathetic. According to Brown and Levinson, a sympathetic advice, as in the case of this example, may be regarded as a politeness strategy (see Appendix 2 for more examples).

Though Mr. Higgins's use of the bald-on-record strategy only accounts for 5.2% of the whole amount of his words, he employs more bald-on-record words (358/6870 words) than the two female characters combined. A number of his direct imperatives may be interpreted as violations of politeness norms, for instance:

(85) *Hold your tongue.*

(86) *Be off with you: I don't want you.*

These instances of non-minimization of the FTAs (85-6) occur in Mr. Higgins's address to Liza before her transformation into an elegant high-class member (see Appendix 3 for more illustrations). His straightforward language sounds controversial for a member of "polite society". However, the fact that his interlocutors are females and inferior to him in status and power relations, Mrs. Pearce and Liza, may partly account for the FTAs of this confirmed high-class bachelor.

As regards Mr. Doolittle, his bald-on-record strategy is characterized by the second highest proportion (7.2%), which is 2% higher than Mr. Higgins's figure. Though bald-on-record utterances are often associated with a low level of politeness, most of Mr. Doolittle's bald-on-record statements conform to politeness strategies, even though these strategies are inept in their choice of address terms.

(87) *Don't say that, Governor. Don't look at it that way*.

(88) *Take my advice, Governor.*

In (87) and (88), Mr. Doolittle's use of the deferential term *Governor* in his address to Mr. Higgins; even though it is an improper choice of the term, it softens the face threat of the imperatives and turns them into an appeal and advice, respectively. These types of politeness strategies are described by Brown and Levinson (see Appendix 4 for more examples).

Another indicator of politeness is related to the use of tentativeness devices such as hedges and qualifiers (see 2.2 for details). To judge from the data presented in Table 1, the speech of Mrs. Pearce has the highest percentage of these linguistic means (5%); she epitomizes manners and speech behaviour of the so-called polite society. However, Mrs. Pearce may also overdo in her politeness since she is a house-keeper. This may explain the contrast between the percentages of the two women 5% vs. 1.8% since Liza has been taught to talk as a lady, not as a servant.

By contrast, Mr. Doolittle's employment of these devices, such as *well, you know, you see, sort of*, rates the lowest (0.6%) among the four characters. This figure seems to contradict his ostentatious strategies of polite speech behaviour, but the fact that Mr. Doolittle is an orator on moral reform may facilitate his speaking skills and helps him in his eccentrically polite communication

with the upper-class characters. However, his rare use of tentativeness devices betrays the affected nature of politeness.

Mr. Higgins with the second lowest number of tentative words (98/6870 words) comes as no surprise to us. The percentages of 1.4% and 0.6% in Mr. Higgins's and Mr. Doolittle's use of these indirect features of politeness compared with the percentage of the female characters, 5% and 1.8%, agree with the findings by Ivy and Backlund who maintain that men tend to use far less tentativeness devices than women (2004: 185). Some of the tentative words used by Mr. Higgins include hedges such as *I think, I suppose,* and qualifiers such as *well, oh, you know*. The low occurrences of this politeness indicator in the two male characters' speech also reveal a competitive nature commonly found in men in contrast to a cooperative tendency often seen in women (Cameron, 1977).

In the case of Liza's conversational styles, contrary to expectations, there is no change in her use of tentative expressions before and after her linguistic transformation. Compared with those employed by Mrs. Pearce (5%), Liza's proportion is much smaller (1.8%). Her straightforward nature (often noticed among low-class people) and her new linguistic identity as a high-class member, which is gained as a result of the cooperative work with Professor Higgins, may account for this.

To sum up, as reflections of real life people and situations, the characters in the play *Pygmalion* share gender-specific features described in previous studies of conversational styles, which facilitates judgments about their speech behaviour. However, as fictional characters, they also project their author's ideas about politeness, linguistic identity, and social conventions.

5. Conclusion

In his play *Pygmalion*, G. B. Shaw successfully portrays the fictional personas whose language provides interesting data for the analysis of politeness-based directness and indirectness strategies. In contrast to the two female characters, Mrs. Pearce and Eliza Doolittle as a flower girl, which may be regarded as truthful reflections of real life people of the high and low classes, Mr. Higgins and Mr. Doolittle stand out as exceptional representatives of the high class and low class people in the late 19th British society. The image of a courteous British gentleman is challenged by the highly provocative speech behaviour of Mr. Higgins. This character intentionally violates the norms of politeness expected from a person of his class.

In the case of Mr. Doolittle, a low-class eccentric, his attempts to employ elaborate strategies of politeness are portrayed with humour. This ostentatious and cunning character is clever at using politeness strategies when he needs them to manipulate others for his personal gain.

It is also shown in the play that the gulf between the British high and low classes of Shaw's time is manifest in differences of language use, and these differences are phonetic, lexical, grammatical, and pragmatic. By giving Liza a new linguistic identity, Shaw seems to say to the world, especially the high society in Britain, that with the access to education, low-class people have a chance to change their status and to climb up the social ladder to compete with high-class people. As regards Professor Higgins, it is no coincidence that he is portrayed as an expert in phonetics, thus making his amazing phonetic job on Liza a real social success since the Received Pronunciation accent which he taught Liza is a linguistic label of a high-class identity. However, it is ironical that this very character is by no means a model of politeness

in his speech behaviour, as may be expected by his pupil, Liza.

As regards Eliza Doolittle, her acquisition of RP and grammar of Standard English is not enough to make her a polite person. It is reasonably remarked by Liza that *the difference between a lady and a flower girl is not how she behaves, but how she is treated*. It is not "the visible" but "the invisible" that counts in her transformation process from a low-class girl into a *duchess*, a *masterpiece* as claimed by Mr. Higgins. Toward the end of the play, the reader feels delighted to witness Liza's argumentative talk with her teacher, Mr. Higgins. It is her sensible and independent reasoning that makes Mr. Higgins, a person prejudiced against low-class people, change his attitude to her and exclaim that *Now you are a tower of strength: a consort battleship*. Moreover, she is accepted by her arrogant teacher as an in-group member of his elite circle, which is manifest in his "paradoxical declaration" to her *You and I and Pickering will be three old bachelors together instead of only two men and a silly girl*.

To sum up, due to the complex relations between real life situations and those created by playwrights, fictional characters may deviate in their behaviour as they follow a scenario which conveys ideas of their author. Sometimes, these ideas may express protest against the superficial nature of conventional politenesss, which is the case with G. B. Shaw's play. Therefore, *Pygmalion* may be interpreted as a satire on conventional norms of politeness strategies analyzed by Brown and Levinson. It is strongly suggested that further studies of literary works in terms of directness and indirectness strategies should be carried out to describe the diversity of politeness strategies used by fictional characters.

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SUY NGẪM VỀ CHIẾN LƯỢC LỊCH SỰ TRỰC TIẾP VÀ GIÁN TIẾP THỂ HIỆN QUA VỞ KỊCH *PYGMALION,* MỘT TÁC PHẨM TRÀO PHÚNG VỀ PHÉP LỊCH SỰ CỦA NHÀ VĂN G. B. SHAW

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Tóm tắt: Bài báo nghiên cứu các chiến lược lịch sự trực tiếp (CLLSTT) và gián tiếp (GT) của nam và nữ thể hiện qua phát ngôn của các nhân vật trong vở kịch của nhà văn George Bernard Shaw. Theo lý thuyết về phép lịch sự của Brown và Levinson (1978), việc hiện thực hóa các CLLSTT và GT có liên quan tới hai loại chiến lược hành vi đe dọa thể diện (FTAs): CLLSTT và GT. Trong bài báo này, CLLSGT, trọng tâm của nghiên cứu, sẽ được đánh giá theo các tiểu CLLSGT khác nhau xét về các cách ngôn giao tiếp của Grice (Chân, Túc, Trực, Minh). Các tiểu CLLS này gồm việc sử dụng phép ẩn dụ, trào phúng, câu hỏi tu từ, giản ngôn và lộng ngôn. Tác giả bài báo cũng tiến hành điều tra thống kê tần suất sử dụng CLLSTT và GT của các nhân vật thuộc các tầng lớp xã hội khác nhau trong tác phẩm. Với phương pháp nghiên cứu định tính dựa trên khung lý thuyết về lịch sự của Brown và Levinson (1978), tác giả tập trung vào hai thành tố giao tiếp: giới tính và giai cấp xã hội. Qua vở kịch *Pygmalion*, khoảng cách giữa giai cấp thượng lưu và hạ lưu trong xã hội Anh vào cuối thế kỷ 19 đã được lột tả thông qua sự khác biệt về cách sử dụng ngôn ngữ của các nhân vật như ngữ âm, từ vựng, ngữ pháp và ngữ dụng.

Từ khóa: phép lịch sự, hành vi đe dọa thể diện, chiến lược lịch sự trực tiếp và gián tiếp

Appendices

Appendix 1

The bald-on-record utterances in the speech of Liza as a flower girl

1.   […] cheer up, Captain; and buy a flower off a poor girl.

2.   […] do buy a flower off me, Captain.

3.   Take this for tuppence.

4.   […] don't let him charge me.

5.   You just show me what you've wrote about me.

6.   […] don't let him lay a charge agen me for a word like that.

7.   Let him say what he likes.

8.   Let him mind his own business […]

9.   Buy a flower, kind gentleman.

10. Take the whole blooming basket for sixpence.

11. Don't you be so saucy.

12. Don't mind if I do.

13. […] don't be silly.

14. Take it or leave it.

15. You give me that handkerchief.

16. Don't you believe the old liar.

The bald-on-record utterances in the speech of Liza as a disguised high-class character

1.   Take your slippers […]

2.   Stop, please.

3.   Don't you hit me.

4.   Don't you try to get round me. You'll HAVE to do without me.

5.   Don't sneer at me.

6.   Buy them yourself.

Appendix 2

Mrs. Pearce's bald-on-record utterances
Sit down, girl. Do as you're told.

You mustn't speak to the gentleman like that.

Don't cry, you silly girl. Sit down.

[…] don't say that, sir […].

You must be reasonable, Mr. Higgins: really you must. You can't walk over everybody like this.

You mustn't talk like that to her.

Stop, Mr. Higgins. […]. Go home to your parents, girl; and tell them to take better care of you.

Will you please keep to the point, Mr. Higgins. […]. You must look ahead a little.

Come with me, Eliza.

Don't answer back, girl. You don't understand the gentleman. Come with me.

Handle it carefully, sir, please.

But you really must not swear before the girl.

[…] I beg you not to let the girl hear you repeat it.

Mr. Higgins, please don't say anything to make the girl conceited about herself.

[…] don't rush about like that, girl.

Appendix 3

Mr. Higgins's bald-on-record utterances

1.   Oh, shut up, shut up.

2.   Live where you like; but stop that noise.

3.   Woman: cease this detestable boohooing instantly […]

4.   […] don't sit there crooning like a bilious pigeon.

5.   Come and see me tomorrow.

6.   Be off with you: I don't want you.

7.   Sit down (5).

8.   Come back to business.

9.   Figure it out.

10. Hold your tongue.

11. Don't mistake the one for the other if you wish to become a lady in a shop.

12. Take her away and clean her, Mrs. Pearce.

13. Take all her clothes off and burn them. Ring up Whiteley or somebody for new ones. Wrap her up in brown paper till they come.

14. Take her away, Mrs. Pearce.

15. Put her in the dustbin.

16. Mrs. Pearce: you needn't order the new clothes for her. Throw her out.

17. Now don't make any more fuss. Take her downstairs; and--

18. [...] pay her whatever is necessary: put it down in the housekeeping book.

19. Tell me that, Mrs. Pearce.

20. Pledge of good faith, Eliza.

21. Listen, Eliza.

22. Bundle her off to the bath-room.

23. Come in. Don't burn that, Mrs. Pearce.

24. Send the blackguard up.

25. Take her away at once.

26. Take her away.

27. You're going to take her away, double quick.

28. Give her to him.

29. Take your daughter.

30. Stop. You'll come regularly to see your daughter.

31. Oh, she'll be all right: don't you fuss.

32. Pick: lock up, will you?

33. [...] chuck them over the bannisters into the hall.

34. Put out the lights, Eliza; and tell Mrs. Pearce not to make coffee for me in the morning.

35. Get up. Anything wrong?

36. Sit down and be quiet.

37. Hand them over.

38. Don't you dare try this game on me.

39. Get up and come home; and don't be a fool.

40. Then get out of my way; for I won't stop for you.

41. Very well: be off with you to the sort of people you like.

Appendix 4

Mr. Doolittle's bald-on-record utterances

1. I want my daughter: that's what I want. See?

2. Now, now, look here, Governor.

3. Don't take a man up like that, Governor.

4. Be human, governor.

5. So help me, Governor.

6. No, Governor. Don't say that.

7. Listen here--

8. Listen here, Governor.

9. Don't say that, Governor. Don't look at it that way.

10. Therefore, I ask you, as two gentlemen, not to play that game on me.

11. Governor, so help me

12. You give me what I ask you, Governor.

13. Tell her so, Governor: tell her so.

14. Take my advice, Governor: marry Eliza while she's young and don't know no better.

15. Don't put it on me, Governor.

16. Don't you give me none of your lip; and don't let me hear you giving this gentleman any of it neither, or you'll hear from me about it. See?

17. See here! Do you see this?

18. Look at it. Look at this hat. Look at this coat.

19. Tell me this.

20. Don't you be anxious.

21. [...] have some consideration for my feelings as a middle class man.

22. Don't look at me like that, Eliza.

SELF-REGULATED LEARNING AND ITS RELATION TO VIETNAMESE EFL LEARNERS' L2 LISTENING ACHIEVEMENT

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Abstract: Self-regulated learning (SRL) has been well-documented in prior studies as a critical factor for academic success. While previous educational researchers have acknowledged the fact that SRL is both domain and context-dependent (Wolter & Pintrich, 1998), research examining learners' self-regulatory activities in EFL (English as a Foreign Language) context is rather limited. Drawing on the SRL theory of (Pintrich, 2004; Pintrich & De Groot, 1990), this research was carried out to examine the learning self-regulation of a group of Vietnamese EFL learners and its relation to their L2 listening competence. It also probes into whether gender and listening ability had an impact on the language learners' self-regulatory learning behaviors. The Motivated Strategies for Learning Questionnaire (MSLQ), adopted from Pintrich, Smith, Garcia and McKeachie (1991), was utilized as the research instrument which was then administered to 38 English-major students at a university in the central region of Vietnam. The participants' L2 listening ability was also assessed with an adopted listening test. Descriptive statistics, Pearson correlation and two-way MANOVA were performed with SPSS version 22.0 for data analysis. The results indicated that participants had a moderate level of SRL, which was found to be associated with their L2 listening achievements. In particular, three aspects of SRL that were directly related to the EFL learners' listening competence were metacognitive self-regulation, effort regulation, and critical thinking. There was, however, neither gender nor ability effect on the participants' SRL. Pedagogical implications for teaching L2 listening skill, i.e., underscoring the role of higher-order thinking skills, and suggestions for future research were discussed.

***Keywords*:** Self-regulated Learning, Vietnamese EFL learners, Motivated Strategies for Learning Questionnaire, L2 Listening, Metacognitive Skills

1. Introduction

It has been found that self-regulated learning (hereafter SRL) plays a crucial role in the learners' academic accomplishments (Cong-Lem, 2018; Pintrich & De Groot, 1990; Zimmerman, 1990). Conceptually, SRL refers to the learners' ability to self-initiate and manage their own learning, commonly involving planning, monitoring, regulating and reflecting on the learning progress (Cong-Lem, 2018; Pintrich, 2004). SRL is, however, both domain- and context-dependent (Wolters & Pintrich, 1998). In other words, the SRL strategies adopted for learning a certain subject may be dissimilar from those applied for another one. Thus, it would be more meaningful for learners and educators to be informed of insights from research that addresses SRL in their specific educational setting.

Another closely related construct to SRL is learning autonomy (Hu & Zhang, 2017). SRL and learning autonomy share common

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features, both promoting the active role of the learners in initiating and controlling their learning process, and these two terms have been commonly used interchangeably in previous studies (Hu & Zhang, 2017; Oxford, 1999). Certain existing differences in the conceptualization of the two constructs are still subject to further discussion. For example, Murray (2014) pointed to the social dimensions, encompassing emotional, spatial and pollical dimensions, as potential criteria for comparing SRL and learning autonomy. Detailed discussion regarding the discrepancies between SRL and other self-educating concepts, such as learning autonomy, is, nevertheless, beyond the scope of this study.

Although SRL has long been established as an important educational construct, SRL research in EFL (English as a Foreign Language) setting is rather inadequate. In many Asian educational contexts, such as Vietnam, the exam-centric education and power relationship between the teacher and students tend to make language teachers as the only knowledge transferrer, which could have hindered students' autonomous learning activities (Alshahrani, 2017; Le Quynh Xuan, 2013). A highly structured curriculum would also constrain students' SRL practice (Le Quynh Xuan, 2013; Zimmerman, 1989). With a paradigm shift toward constructivism and learner-centered approach (Jacobs & Farrell, 2001), EFL learners have been encouraged to adopt more SRL strategies to improve language competence. Indeed, constructivism approach places an emphasis on learner's actively constructing their own new knowledge rather than solely relying on teachers (Qi, 2012), the process in which SRL should play a critical role.

Listening skill is a much neglected skill whose research literature is particularly less prolific compared to other language skills (Vandergrift, 1997). This can be attributed to the implicit and complex nature of the skill (Zeng & Goh, 2018), making it difficult for researchers to observe or analyze. Research addressing students' SRL in L2 listening learning is particularly scarce (Zeng & Goh, 2018). The current study was conducted in order to examine whether SRL could be associated with the EFL learners' listening ability. It also attempts to find out whether gender and language proficiency have an effect on language learners' self-regulatory behaviors.

Overall, this current study was carried out to address the following research questions (RQs):

RQ1: To what extent do Vietnamese EFL learners utilize SRL strategies for their L2 listening training?

RQ2: Is there a relationship between SRL strategies and the EFL learners' L2 listening achievements?

RQ3: Is there a gender and/or ability effect on the language learners' SRL strategies?

2. Literature review

2.1. Self-regulated learning and its conceptual framework

Self-regulated learning (SRL) is a branch of educational psychology whose origin can be traced back to the social cognitive theory of Bandura (1986, 1997). In social cognitive theory, human behavior is considered to be "a product of both self-generated and external sources of influence" (Bandura, 1986, p.454). In other words, human functioning is a result of the interplay among behavioral, environmental and personal factors (Bandura, 1986; Schunk & Zimmerman, 1997). To elaborate, with

respect to an individual's learning process, SRL activities serve as mediators of personal characteristics, contextual variables and his/her actual academic accomplishments (Pintrich, 2000). The concept of SRL has long been embraced by educational researchers as an influential factor determining students' academic achievements (Boekaerts, 1997).

Previous educational researchers have defined SRL in different ways. Zimmerman (2005) conceptualized self-regulated learners as those who are "metacognitively, motivationally and behaviorally active participants in their own learning process" (p. 5). SRL can also be referred to as "an active, constructive process whereby learners set goals for their learning and then attempt to monitor, regulate, and control their cognition, motivation, and behavior, guided and constrained by their goals and the contextual features in the environment" (Pintrich, 2000, p.453). Overall, previous researchers tend to agree that SRL characterizes the learners' active and self-initiated engagement in their learning process, commonly featured with the utilization of different learning strategies to realize their academic goals or improvements.

Several conceptual models have been proposed to describe the process of SRL. Pintrich (2004) proposed a popular conceptual framework for learners' SRL, comprising four main stages. In the first stage, learners plan and set goals for the learning tasks as well as activating relevant background knowledge and context awareness. In stage 2, metacognitive awareness is exercised to monitor the learning processes, whereas during stage 3, learners demonstrate the capacity to manage and regulate different aspects of their learning activities. In the fourth stage, self-reflections and follow-up actions are performed. Likewise, Zimmerman (2000) developed a recursive model, encompassing three cyclical phases of SRL, i.e., forethought, performance, and self-reflection. The forethought phase involves an individual's motivational beliefs and task analysis (e.g., goal setting) before actual learning activities are realized in the performance phase. In the self-reflection phase, learners evaluate the effectiveness of their learning activities and compare their achievements to the initial goals. While there are also other SRL models proposed by other researchers (e.g., Boekaerts, 1999), the above-mentioned models are popularly utilized as conceptual frameworks for SRL research.

It is essential to point out that in real-life learning, these four phases of SRL do not necessarily happen in a hierarchical manner as depending on the learning context, students may engage in their learning "in more tacit or implicit or unintentional ways without self-regulating their learning in such an explicit manner as suggested in the model" (Pintrich, 2004, p.389).

2.2 Self-regulated learning and foreign language achievements

Previous studies have provided a mixed support for the association between SRL and foreign language achievements. On the one hand, there have been empirical studies that lend support for the afore-mentioned relationship. For instance, in a study by Kim and Linan-Thompson (2013), EFL learners' science vocabulary acquisition was reported to be associated with their SRL performance. Zarei and Hatami (2012) also demonstrated in their study a significant connection between learners' SRL and L2 reading comprehension. By the same token, Morshedian, Hemmati, Sotoudehnama, and Soleimani (2016) found that SRL intervention helped significantly increase Iranian EFL learners' reading comprehension competence.

On the other hand, several studies have

failed to corroborate the direct correlation between the two variables of interest, i.e., SRL and L2 competencies (e.g., Amirian, Mallahi, & Zaghi, 2015; Zarei & Hatami, 2012). For instance, Zarei and Hatami (2012) reported on a null finding for the relationship between SRL and participants' vocabulary knowledge. More recently, Soleimani, Aghayani, and Ashari (2018) administered a SRL vocabulary learning questionnaire and a vocabulary test to 116 EFL learners. The result indicated that there was no significant correlation between the language learners' SRL and their lexical performance.

As discussed above, the relationship between EFL learners' self-regulation and language competence is thus subject to further research. Also, while SRL has been examined in relation to reading skill and vocabulary knowledge (e.g., Morshedian et al., 2016; Soleimani et al., 2018), little research has been done to address SRL in L2 listening achievement. The current research was thus conducted to address the foregoing gaps.

2.3. Research on self-regulated learning in Vietnamese EFL context

Previous researchers have provided useful insights into Vietnamese EFL learners' self-regulation practice. For instance, Nguyen Thi Cam Le (2008) investigated the relationship between learning autonomy and Vietnamese English-major students' language proficiency and found a significant association between the participants' self-regulating ability and their English proficiency.

Le Quynh Xuan (2013) reported on a study examining Vietnamese tertiary language teachers and students' perception of learning autonomy, obstacles hindering their learning self-regulation practice in classrooms as well as carrying out an intervention program to enhance students' SRL. Findings indicated that

from the participants' perspectives, learning autonomy/self-regulation meant taking the initiative in one's learning, for example, in planning and engaging in self-study activities. The intervention program helped raise students' awareness of SRL practice, i.e., utilizing language learning strategies. Finally, culture- and context-bound factors, including exam-oriented education, time constraints, stringent syllabus and power distance were factors that could impede classroom SRL.

Learning self-regulation can be inspected by examining students' use/employment of language learning strategies (LLS). Nguyen Thi Boi Hoang (2013) carried out a large-scale study, probing into the LLS employment of Vietnamese undergraduate students (N = 564), including English- and non-English majors. The results revealed that students who reported a higher frequency of LLS practice tended to possess higher self-rated English proficiency. English-major students were more active in utilizing LLSs for their language learning. Likewise, a study investigating LLS practice of Vietnamese high-school students indicated that the participants used metacognitive strategies most frequently for their English learning and social strategies the least. Gender was further found to be a factor that influenced their social-strategy employment.

Do Minh Hung and Nguyen Thi Phuong Thao (2014) studied whether training in metacognitive strategies could enhance Vietnamese EFL learners' reading comprehension ability. In their experimental study, participants in the treatment group were instructed to use metacognitive strategies, i.e., planning, monitoring and evaluating strategies, whereas the control group studied with regular textbooks. Students in the experimental group were found to achieve significantly higher reading achievements and were able to adopt

more metacognitive LLSs compared to their counterparts in the control group.

More recently, in a study by Cong Lem (2019), Vietnamese high school students were found to use language learning strategies moderately, with metacognitive strategies being the most frequently exercised. Gender was also indicated as a factor influencing their strategy employment but only in the case of social strategies.

In summary, studies about SRL practice in Vietnamese EFL context remain relatively limited with frequent employment of self-developed questionnaires. Furthermore, there have been few studies that address the relationship between SRL practice and achievement of a specific language skill. This study contributes to the overall research literature with empirical findings on the relationship between SRL and L2 listening skill.

3. Methodology

3.1. Participants

Participants were 38 English-major students (82% females), aged around 20 years old, studying at a university in the central region in Vietnam. They were sophomore students and were enrolled in Listening 3 course, a required course in their undergraduate program. The participants have studied English for about 8 years though it may vary depending on which regions of Vietnam they come from. While there is no official data, i.e., international test scores, to determine the participants' level of English proficiency level, they are assumed to possess pre-intermediate level of English listening skill after having accomplished Listening 1 and Listening 2, the two courses prior to Listening 3.

3.2. Instruments

3.2.1. Listening comprehension test

A listening test was utilized for the purpose of assessing the participants' L2 listening ability. It was a listening subtest, containing 18 questions, extracted from the Skill for First Certificate Book, published in 2007 by Macmillan Publisher Limited. The first section includes 8 three-option multiple choice questions, whereas the second consists of another 8 gap-filling questions. Each correct answer is worth 1 point, and the total score for the test is 18 points. The book is from the prestigious publisher, i.e., Macmillan Publisher, and was also utilized as the main material for students' listening course at the concerned institution.

3.2.2 Motivated Strategies for Learning Questionnaire

To assess the learners' SRL, subcomponents of the Motivated Strategies for Learning Questionnaire (MSLQ) by Pintrich, Smith, Garcia, and McKeachie (1991) were adopted, probing into the learners' self-regulation strategies. The complete MSLQ further includes three motivational scales: value components, expectancy components and affective components (Pintrich et al., 1991). The motivation scales are, however, not utilized in this study for two reasons. First, prior studies have commonly found a weak correlation between these motivational scales and academic achievement. To put it another way, it is self-regulatory behaviors that are more directly and strongly associated with learners' achievements (Rotgans & Schmidt, 2012). Moreover, the main purpose of this study is to specifically examine the relationship between Vietnamese EFL learners' SRL strategies and their L2 listening achievements. It is not uncommon for researchers to adopt/adapt only a portion of the MSLQ to serve

their research purpose (e.g., Niemi, Nevgi, & Virtanen, 2003; Ray, 2003).

The SRL strategy component consists of two major categories, namely cognitive-metacognitive and resource-management strategies. The former can be further divided into 5 subcomponents: rehearsal, elaboration, organization, critical thinking and metacognitive self-regulation, whereas the latter involves 4 sub-categories: time and study environment, effort self-regulation, peer-learning and help-seeking. A total of 50 seven-point Likert scale questions for SRL strategy component from the MSLQ were adapted as the study instrument, which is similar to Ray (2003) and Wolters (2003). The internal consistency value (Cronbach's α) for all items in the questionnaire was at .94, suggesting sufficient internal reliability of the data collection instrument. MSLQ has been extensively validated in previous literature, involving confirmatory factor analysis, and proved to possess good validity and reliability (Pintrich, Smith, Garcia, & McKeachie, 1993).

3.3. Data collection procedure

The questionnaire was first made available online using Google Form. Then, it was administered to the participants in their second week of the L2 listening course. The participants were recruited on the basis of convenience sampling, i.e., undergraduate students from the researcher's assigned classes. They were allowed two weeks to complete the online questionnaire whenever they feel convenient. Next, data from the online questionnaire was downloaded for data analysis.

3.4. Data analysis

Data was first checked for outliers and a total of 8 outliers were discovered and thus excluded from further data analysis. Descriptive statistics were then performed before

Pearson correlation was utilized to examine the correlation between SRL strategies and participants' L2 listening achievement. Finally, to address the gender and proficiency effects, a two-way MANOVA (Multivariate analysis of variance) was performed, utilizing listening-ability group (applying median split) and gender as independent variables and SRL subscales as the dependent variables. MANOVA is a statistical analysis which allows researchers to "assess the statistical significance of the effect of 1 or more independent variables on a set of 2 or more dependent variables" (Weinfurt, 1995, p.245). To elaborate, MANOVA is similar to ANOVA (analysis of variance), which is a test for the mean difference between groups of independent factors. However, while ANOVA deals with one dependent variable (mean difference), MANOVA can take into account more than one. In this study, independent variables are gender group (male and female) and listening performance group (higher and lower listening ability learners), whereas dependent variables are the nine categories of SRL strategies. Score for each scale was calculated by totaling scores of its individual question.

4. Findings

4.1 Research Question 1: To what extent do Vietnamese EFL learners utilize SRL strategies for their L2 listening training?

Descriptive statistics were firstly performed corresponding to the first research question relating to the extent to which SRL was practiced among participants. Specifically, the final score for each subscale was the average of all of its individual items (Pintrich et al., 1991). Table 1 presents the summary of descriptive statistics for all SRL subscales.

Table 1. A summary of descriptive statistics of SRL subscales

	Variables	Mean	SD	Min	Max
	Elaboration (1)	4.86	1.04	3.17	6.83
	Rehearsal (1)	4.83	1.22	2.75	6.50
	Critical thinking (1)	4.73	.94	2.00	6.40
	Metacognitive SR (1)	4.71	.89	3.36	6.82
Self-Regulated	Peer learning (2)	4.63	1.34	2.00	6.33
Learning	Effort SR (2)	4.61	1.13	3.00	5.88
	Help seeking (2)	4.59	.93	2.75	6.00
	Organization (1)	4.49	1.04	2.00	5.75
	Time & Environment Management (2)	4.45	.72	3.00	5.88
L2 Listening Performance		7.63	4.29	1.00	18.00

Notes. SR = Self Regulation; (1) = Cognitive and Metacognitive Strategies; (2) Resource Management Strategies.

As depicted in Table 1, elaboration and rehearsal are the two most employed regulatory learning behaviors (M = 4.86, SD = 1.04; M = 4.83, SD = 1.22, respectively). The two least utilized SRL strategies are organization and time and environment management (M = 4.49, SD = 1.04; M = 4.45, SD = .72). As for L2 listening performance, the mean score is 7.63 (SD = 4.29), which certainly suggests an overall below-average listening performance of the participants.

On the whole, it can be observed from Table 1 that the second group of SRL activities, i.e., resource-management strategies are relatively less utilized compared to the first group of cognitive-metacognitive SRL behaviors.

4.2. Research Question 2: Is there a relationship between SRL strategies and the EFL learners' L2 listening achievements?

Pearson correlation was performed to address the second research question concerning the relationship between the students' learning self-regulation and their L2 listening ability (see Table 2).

As shown in Table 2, among nine subscales of SRL, only three were found to be significantly correlated with the participants' L2 listening performance, i.e., metacognitive self-regulation, effort regulation and critical thinking (r = .50, p <.01; r = .44, *p* < .05; r = .35, *p* < .05, respectively). Help-seeking behaviors are, however, negatively associated with L2 listening competence though it does not reach a statistic significance level (r = -.23, *p* > .05). In short, the statistical findings indicate that the impact of individual SRL activities on the participants' listening ability are differential, specifically in favor of the metacognitive skills.

Table 2. A summary of correlations between SRL subscales and L2 listening performance

Correlations	(1)	(2)	(3)	(4)	(5)	(6)	(7)	(8)	(9)
L2 Listening Ability	.28	.27	.23	.35*	50**	.27	.44*	.17	-.23

Notes. (1) = Rehearsal; (2) = Elaboration; (3) = Organization; (4) = Critical thinking; (5) = Metacognitive self-regulation; (6) = Time & Environment; (7) = Effort regulation; (8) = Peer learning; (9) = Help seeking; * *p* < .05, ** *p* < .01

4.3. Research Question 3: Is there a gender and/or ability effect on the language learners' SRL strategies?

With respect to the third research question, descriptive statistics (Mean and SD) are first presented for gender and listening-proficiency groups, i.e., the higher and lower listening ability groups (see Table 3). As displayed in Table 3, regarding gender difference in SRL, male students tend to employ more rehearsal, elaboration and peer learning (M = 5.17, SD = .52; M = 5.29, SD = .49; and M = 4.97, SD = .54, respectively), whereas female students showed better performance in effort regulation (M = 4.73, SD = .23).

As for the SRL discrepancy between lower and higher listening ability learners, while the former seems to utilize more rehearsal and time/environment management SRL strategies (M = 5.20, SD = .43 and M = 4.65, SD = .28, respectively), the latter performs better in effort regulation (M = 4.70, SD = .37), i.e., the ability to stay focused and fight against distractors (Pintrich et al., 1991).

This may imply that more proficient learners are more capable in controlling learning effort and more persistent in their learning as well.

To further examine whether the above-mentioned differences are statistically meaningful, a two-way MANOVA was conducted. Participants were split into two groups of listening ability, i.e., high and low, utilizing the medium score (Medium = 7.0). The statistical results, nevertheless, indicated that the above-mentioned differences failed to reach a statistical significance, $F(9,18) = .70$, $p = .70$; Wilks' $\Lambda = .74$ and $F(9,18) = .72$, $p = .70$; Wilks' $\Lambda = .74$, respectively. In other words, higher listening-ability students do not differ significantly from their lower-listening ability peers in the frequency of SRL strategy practice.

In a nutshell, while there were certain differences in self-regulation activities between male and female as well as between higher and lower proficiency learners, these variations were not confirmed to be statistically meaningful and should be subject to further examination in future research.

Table 3. Self-regulated learning performance regarding gender and listening proficiency levels

SRL Strategies	Gender		L2 Listening Proficiency	
	Male	Female	Higher	Lower
Rehearsal	5.17 (.52)	4.81 (.23)	4.78 (.38)	5.20 (.43)
Elaboration	5.29 (.49)	4.81 (.22)	4.97 (.35)	5.13 (.40)
Organization	4.29 (.49)	4.55 (.22)	4.35 (.36)	4.49 (.41)
Critical thinking	4.93 (.44)	4.73 (.20)	4.79 (.32)	4.87 (.36)
Metacognitive self-regulation	4.65 (.42)	4.76 (.19)	4.76 (.30)	4.65 (.35)
Time & environment management	4.48 (.34)	4.47 (.15)	4.30 (.24)	4.65 (.28)
Effort regulation	4.44 (.51)	4.73 (.23)	4.70 (.37)	4.47 (.42)
Peer learning	4.97 (.54)	4.58 (.24)	4.71 (.39)	4.85 (.45)
Help seeking	4.42 (.39)	4.51 (.17)	4.43 (.28)	4.50 (.32)

Note. The numbers in the table are presented in the order of Mean and (SD).

5. Discussion

The first research question in this study is concerned with the extent to which the Vietnamese EFL participants exercised SRL

for learning L2 listening skill. As reported in Table 1, the participants demonstrated a medium level of SRL practice. The major group of cognitive-metacognitive strategies were employed more frequently in comparison to

the second group – the resource management strategies. Specifically, four most popular self-regulatory learning strategies involve elaboration, rehearsal, critical thinking and metacognitive self-regulation, whereas the two least popular are time-environment management and learning organization. This finding suggests a lesser extent of involvement in learners' effort to organize and manage their learning resources. This result may, however, raise concern of whether the participants could utilize effectively available external resources (e.g., peers, teachers, other learning materials) for their L2 listening training.

The second purpose of this research is to investigate the relationship between SRL and L2 listening performance. SRL activities were found to be significantly associated with the EFL learners' L2 listening competence, which is consistent with findings in previous studies (e.g., Daniel, Wang, & Berthelsen, 2016; Kosnin, 2007; Peng, 2012; Pintrich & De Groot, 1990). Nevertheless, this study is one of the very few that probes into the association between learning self-regulation and L2 listening skill.

Three SRL aspects that were specifically found to be associated with the EFL learners' L2 listening performance include metacognitive self-regulation, effort regulation and critical thinking ($r = .50$, $r = .44$ and $r = .35$, respectively). To elaborate, metacognitive self-regulation refers to the EFL learners' ability to plan, monitor and regulate their learning, whereas effort regulation concerns the capacity to control attention and learning effort against uninteresting learning tasks or distractors (Pintrich et al., 1991). Critical thinking regards one's capability to evaluate and solve problems, utilizing prior background knowledge (Pintrich et al., 1991). In short, self-regulatory performance was found to be directly related to the EFL learners' L2 listening competence, particularly those reflecting higher-order thinking skills.

The remained six SRL strategies (i.e., rehearsal, elaboration, organization, time-environment management, help seeking and peer learning) failed to connect with the learners' listening accomplishments. Specifically, help-seeking and peer learning, though commonly promoted as effective learning strategies, are not associated with the language learners' learning achievements. This may suggest a more important role from the part of an individual learner in improving his/her own L2 listening training rather than from an external factor such as their peers. On the whole, metacognitive strategies, reflecting a deeper learning approach, have a more direct and critical role in determining EFL learners' L2 listening accomplishments.

The third major finding from this study is that there was neither gender nor ability effect on the participants' SRL. In other words, a similar level of self-regulated learning was found for male and female as well as for higher and lower listening-ability EFL learners. These results lend further support for findings in Çelik, Arkın, and Sabriler (2012) and Morshedian et al. (2016). More importantly, the fact that more proficient learners do not differ from the lower ones in learning self-regulation may suggest that a stronger focus should be on the quality of SRL practice rather than the quantity of SRL strategies employed.

The current study is, to the author's knowledge, the first to utilize the Motivated Strategies for Learning Questionnaire (Pintrich et al., 1991) in the Vietnamese EFL context and its results help provide empirical evidence for the validity and reliability of the instrument in the concerned educational setting. Future research can employ a full-scale MSQL to further expand the examination of Vietnamese EFL learners' learning self-regulatory behaviors.

Several pedagogical implications can be obtained from the study findings. First, self-regulated learning has a direct relationship with L2 listening competence and thus should be promoted in L2 listening training. Secondly, higher-order thinking skills, i.e., metacognitive self-regulation, effort regulation and critical thinking skill should be particularly emphasized in supporting students' L2 listening practice. Metacognitive self-regulation, i.e., planning, monitoring and regulating learning behaviors, was found to be most strongly linked to the participants' L2 listening accomplishments. Also, training in critical thinking skill can enable language learners to analyze the test questions and the input they hear more effectively, thus enhancing their L2 listening proficiency.

Additionally, effort regulation, i.e., the persistence in learning despite uninteresting tasks or distractors (Pintrich et al., 1991), was found to be practiced more frequently among higher proficiency learners. It is also the factor that exerts the second strongest effect on learners' listening achievements. Thus, EFL learners should be made aware of the role of individuals' effort self-regulation in their L2 listening training. Teachers can also provide support in this aspect by varying their learning tasks or creating interesting listening games to stimulate and increase students' learning motivation in their listening classes. These activities are expected to help learners to be more concentrated as well as becoming more persistent in their L2 listening training.

One may also wonder whether the quantity or quality of SRL strategies is more important. In other words, does using more SRL strategies automatically translate into better performance? As indicated by the results in this study, only three out of nine aspects of students' self-regulation strategies were associated with their L2 listening

performance. Additionally, there was no significant difference in the frequency of SRL practice between higher and lower listening-ability students. These results may suggest a more important role of the quality over the quantity of SRL strategy practice. To put it another way, it is conceivable that being able to utilize SRL strategies effectively is more important than simply trying to employ as many strategies as possible.

Furthermore, the fact that three categories of SRL strategies directly associated with the participants' listening performance are all related to metacognitive abilities (i.e., metacognitive self-regulation, effort regulation and critical thinking) should advocate for the critical role of higher-order thinking skills in L2 listening training. Language educators are thus advised to put a stronger focus high-order skill training. Also, SRL training should involve activities that help assess students' effectiveness in exercising SRL strategies. This is because simply teaching students SRL strategies, i.e., focusing on the quantity, appears to be insufficient as found in this study.

6. Conclusion

The current study was set out to investigate the EFL learners' SRL and its relation to their language competence, i.e., their L2 listening skill. It also probes into whether gender and proficiency had an effect on students' self-regulatory behaviors. As indicated by the study findings, the EFL learners demonstrated a medium level of SRL, which is significantly linked to their L2 listening performance. There was, however, neither gender nor proficiency effect on students' self-regulated learning activities. As for pedagogical implication, teachers and educators are advised to promote SRL behaviors in language classrooms as well as supporting students' higher-order thinking

skills. The scope of SRL training should not be limited to simply making language learners aware of self-regulation strategies but should be extended to monitoring the quality of students' SRL-strategy employment.

The current study is not devoid of limitations. First, due to its limited number of participants, caution should be taken when generalizing this study results. Also, qualitative method, for example, interview, can be adopted in future studies to provide more insights into how students self-regulate their language skill learning. Next, since the participants' SRL was examined with only the MSLQ questionnaire, a self-report instrument, potential bias or inaccurate judgment from the participants might have existed. The current study adopted a part of FCE listening test with 18 questions only and thus may not have captured all aspects of the participants' listening competence. A more comprehensive listening test could be used in future research to provide a more reliable assessment of participants' L2 listening competence. More research is warranted to refine our understanding of SRL practice in EFL context as well as informing educational practice.

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KHẢ NĂNG TỰ ĐIỀU CHỈNH HỌC TẬP (SRL) VÀ MỐI LIÊN HỆ VỚI KỸ NĂNG NGHE TIẾNG ANH CỦA SINH VIÊN VIỆT NAM

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Tóm tắt: Khả năng tự điều chỉnh học tập (SRL) được ghi nhận là một nhân tố quan trọng cho thành công của người học trong các kết quả nghiên cứu trước đây. Mặc dù các nhà nghiên cứu giáo dục cho rằng SRL cần được nghiên cứu ở những ngữ cảnh khác nhau (Wolter & Pintrich, 1998) nhưng số lượng nghiên cứu về SRL trong lĩnh vực giảng dạy/học ngoại ngữ vẫn còn khá hạn chế. Dựa trên cơ sở lý thuyết về SRL (Pintrich, 2004; Pintrich & De Groot, 1990), nghiên cứu này được thực hiện để tìm hiểu mối liên hệ giữa SRL và khả năng nghe tiếng Anh của sinh viên học ngoại ngữ. Nghiên cứu này cũng xác định xem giới tính và trình độ nghe có ảnh hưởng đến hoạt động SRL của người học hay không. Công cụ thu thập dữ liệu nghiên cứu là bảng khảo sát Motivated Strategies for Learning Questionnaire (MSLQ), do Pintrich, Smith, Garcia và McKeachie (1991) xây dựng và được 38 sinh viên chuyên ngành tiếng Anh trả lời. Kỹ năng nghe của nhóm sinh viên cũng được đánh giá bằng một bài kiểm tra nghe. Các thống kê mô tả, thống kê mối liên hệ (Pearson correlation) và thống kê MANOVA được áp dụng để phân tích số liệu nghiên cứu. Kết quả cho thấy nhóm sinh viên tham gia có SRL ở mức trung bình, và SRL này có mối liên hệ với thành tích bài kiểm tra nghe của họ. Cụ thể hơn, 3 nhóm hoạt động SRL có mối liên hệ trực tiếp với thành tích nghe gồm khả năng tự quản lý, giám sát việc học, khả năng điều chỉnh nỗ lực học tập, và khả năng tư duy phản biện. Ngoài ra, nghiên cứu này còn chỉ ra rằng không có sự khác biệt về các hoạt động SRL giữa nam và nữ, giữa người học có trình độ nghe tốt hơn và người học chưa nghe tốt. Cuối cùng các kiến nghị liên quan về phương pháp dạy nghe và định hướng nghiên cứu tiếp theo cũng được thảo luận trong bài báo này.

Từ khóa: kỹ năng tự điều chỉnh học tập, sinh viên Việt Nam học tiếng Anh, bảng khảo sát chiến lược và động lực học, kỹ năng nghe tiếng Anh, kỹ năng siêu nhận thức

APPENDIX

Self-Regulated Learning Strategies Questionnaire

(adopted from Motivated Strategies for Learning Questionnaire, Pintrich et al, 1991)

Instruction: Please indicate your level of agreement with the following statements regarding your learning for this course. Remember there is no right or wrong answer for this questionnaire.

(1)   (2)   (3)   (4)   (5)   (6)   (7)

not at all true of me   very true of me

1. When I study the readings for this course, I outline the material to help me organize my thoughts.

2. During class time I often miss important points because I'm thinking of other things. (REVERSED)

3. When studying for this course, I often try to explain the material to a classmate or friend.

4. I usually study in a place where I can concentrate on my course work.

5. When reading for this course, I make up questions to help focus my reading.

6. I often feel so lazy or bored when I study for this class that I quit before I finish what I planned to do. (REVERSED)

7. I often find myself questioning things I hear or read in this course to decide if I find them convincing.

8. When I study for this class, I practice saying the material to myself over and over.

9. Even if I have trouble learning the material in this class, I try to do the work on my own, without help from anyone. (REVERSED)

10. When I become confused about something I'm reading for this class, I go back and try to figure it out.

11. When I study for this course, I go through the readings and my class notes and try to find the most important ideas.

12. I make good use of my study time for this course.

13. If course readings are difficult to understand, I change the way I read the material.

14. I try to work with other students from this class to complete the course assignments.

15. When studying for this course, I read my class notes and the course readings over and over again.

16. When a theory, interpretation, or conclusion is presented in class or in the readings, I try to decide if there is good supporting evidence.

17. I work hard to do well in this class even if I don't like what we are doing.

18. I make simple charts, diagrams, or tables to help me organize course material.

19. When studying for this course, I often set aside time to discuss course material with a group of students from the class.

20. I treat the course material as a starting point and try to develop my own ideas about it.

21. I find it hard to stick to a study schedule. (REVERSED)

22. When I study for this class, I pull together information from different sources, such as lectures, readings, and discussions.

23. Before I study new course material thoroughly, I often skim it to see how it is organized.

24. I ask myself questions to make sure I understand the material I have been studying in this class.

25. I try to change the way I study in order to fit the course requirements and the instructor's teaching style.

26. I often find that I have been reading for this class but don't know what it was all about. (REVERSED)

27. I ask the instructor to clarify concepts I don't understand well.

28. I memorize key words to remind me of important concepts in this class.

29. When course work is difficult, I either give up or only study the easy parts. (REVERSED)

30. I try to think through a topic and decide what I am supposed to learn from it rather than just reading it over when studying for this course.

31. I try to relate ideas in this subject to those in other courses whenever possible.

32. When I study for this course, I go over my class notes and make an outline of important concepts.

33. When reading for this class, I try to relate the material to what I already know.

34. I have a regular place set aside for studying.

35. I try to play around with ideas of my own related to what I am learning in this course.

36. When I study for this course, I write brief summaries of the main ideas from the readings and my class notes.

37. When I can't understand the material in this course, I ask another student in this class for help.

38. I try to understand the material in this class by making connections between the readings and the concepts from the lectures.

39. I make sure that I keep up with the weekly readings and assignments for this course.

40. Whenever I read or hear an assertion or conclusion in this class, I think about possible alternatives.

41. I make lists of important items for this course and memorize the lists.

42. I attend this class regularly.

43. Even when course materials are dull and uninteresting, I manage to keep working until I finish.

44. I try to identify students in this class whom I can ask for help if necessary.

45. When studying for this course I try to determine which concepts I don't understand well.

46. I often find that I don't spend very much time on this course because of other activities. (REVERSED)

47. When I study for this class, I set goals for myself in order to direct my activities in each study period

48. If I get confused taking notes in class, I make sure I sort it out afterwards.

49. I rarely find time to review my notes or readings before an exam. (REVERSED)

50. I try to apply ideas from course readings in other class activities such as lecture and discussion.

Questionnaire Items for Each SRL Strategy Subscales:

I. Metacognitive-Cognitive Strategies:

Rehearsal: 8, 15, 28, 41

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EPISTEMIC MODALITY IN TED TALKS ON EDUCATION

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Abstract: This paper aims to investigate the epistemic markers in TED talks. The data for the study is 100 TED talks on education. The mixed method of both the quantitative and qualitative approaches was manipulated to capture the use of the linguistic means to convey epistemic modality in terms of degrees of certainty and range of devices. The findings indicate that epistemic modality is pervasive in this genre, with approximately one-tenth of the sentences in the data being epistemically modalized by TED speakers via a range of linguistic means of different types and epistemic strength. The analysis unveils a clear tendency to select the middle level of commitment and make use of epistemic modal auxiliaries to frame their statements with personal attitudes and opinions. The examination of epistemic devices in the data also suggests speakers' preference to use epistemic adverbials to realize certainty and employ epistemic modals to denote probability and possibility. The study yields pedagogical implications for developing an efficient use of epistemic modality in oral presentation of academic discourse.

Keywords: TED talks, epistemic modality, modality

1. Introduction

In today's modern society, along with technological advances, there is a plethora of easily accessible English language learning materials for education practitioners as well as those striving to learn English. Utilizing numerous media-based resources to accompany formal instructions has become an emerging trend in English language teaching and learning. Among a proliferation of resources available for educational purposes, the TED community represents one form of online information sharing that can be used as both main and supplementary accompaniment to English courses (Abdulrahman, 2017; Banker and Gournelos, 2013; Coxhead and Walls, 2012; Nicolle, Britton, Janakiram, and Robichaud, 2014). TED Talks (TTs) is a series

released free online. This site is a repository of audio-video recordings of talks delivered at global TED events where the world's most inspiring thinkers, leaders, and teachers talk passionately about the areas of expertise. The speeches are pithy and thought-provoking, with the prime goal of distributing "ideas worth spreading".

Multiple studies have been triggered by the various TED-based pedagogically potential impacts. TED has been recognized as useful for improving learners' listening-comprehension skills. The recordings were implemented to elevate listening competences for students in undergraduate interpreting classes (Sung, 2014), and for English-learning students at college level (Abdulrahman, 2017). Authenticity is an essential characteristic of TTs that helps advance learners' listening skills. TED content is delivered by both native and non-native speakers with various accents,

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which is exactly what English learners are likely to encounter in real-life situations (Bianchi and Marenzi, 2016; Kedrowicz and Taylor, 2016). Regarding speaking competences, TED's thought-provoking speeches involve diverse voices, questions, and conflicting perspectives, which can ignite reflection, discussion, conversations, and critical thinking among learners (Nicolle et al., 2014). Abdulrahman's research (2017) discloses that most students were motivated to enter in-class activities based on TTs. The students in that study stated that the immersion in TED videos exposed them to different accents and helped them become accustomed to English sounds and the way they are used in real life, thus improving their pronunciation and intonation. Presentation skills, which are perceived as one of the most common spoken genres for learners in academic and workplace settings, as well as an integral factor leading to one's academic and professional success (Evans, 2013; Kim, 2006), also benefit from the use of TED videos (Chang and Huang, 2015; Kedrowicz and Taylor, 2016; Wang, 2012). As a professional presentation genre, TTs demonstrate great potential for shaping students' perception of public presentations, serving as powerful exemplars of how to command attention, disseminate ideas, and persuade broad audience (Kedrowicz and Taylor, 2016). Furthermore, TED presentations can enlarge learners' lexical and grammatical knowledge. By presenting new words' pronunciation and usage in appropriate context, TTs are a solid basis for high proficiency learners with academic goals to build knowledge of words in the mid-frequency bands; they help concepts that are difficult to explain verbally become easier to comprehend (Abdulrahman, 2017; Coxhead and Walls, 2012). In terms of English grammar, listeners could also be

encouraged to learn about the grammar as they analyze the grammatical structures in the talks and the way they are utilized by speakers (Abdulrahman, 2017).

This study extends these pedagogically-motivated research on TED. In this investigation, the syntactic features of TTs are captured in light of epistemic modality (henceforth EM) and we narrow the focus into one theme – education. Specifically, the questions this research is aimed to answer are:

(1) To what extent is EM utilized in TED Talks on education (TTsE)?

(2) How is EM realized in terms of the syntactic devices and degrees of certainty?

This article is organized as follows. Section 2 provides an overview of EM and its subtypes. Section 3 describes the research methodology. Section 4 is to provide the answers to the research questions. The article closes with the implications and suggestions for further studies.

2. Theoretical background

2.1 Modality and subtypes of modality

Studies on modality tend to approach this category by contrasting it with factuality. It has been widely discussed that language is not merely used for conveying factual information about the truth of the proposition of an utterance but also expressing one's attitudes, opinions, ideas and ideologies about the events (Aidinlou and Mohammadpour, 2012). Modality has been defined in terms of '*attitude*' and '*judgment*' (Lyons, 1977; Quirk, Greenbaum, Leech and Svartvik, 1985; Simpson, 1993 among others), or of '*possibility*', '*probability*', '*necessity*', '*volition*', '*obligation*' and '*permission*', along with others such as '*doubt*', '*wish*', '*regret*', '*desire*', and '*usuality*' (Downing and Locke,

1992), to name just a few. Lyons (1977, p.452) refers to modality as the speaker's *"opinion or attitude towards the proposition that the sentence expresses or the situation that the proposition describes"*. Quirk et al. (1985, p. 219) claim that *"at its most general, modality may be defined as the manner in which the meaning of a clause is qualified so as to reflect the speaker's judgment of the likelihood of the proposition it expresses being true"*. Others view modality as a major exponent of the interpersonal function of language (Simpson, 1993; Suhadi, 2011; Martin & White, 2005). They note that modality refers to a speaker/ writer's attitude toward or opinion about the truth of a proposition expressed by a sentence as well as the attitude toward the situation or event described by a sentence. From a systemic functional perspective, Halliday and Matthiessen (2004, p. 618) describe modality as *"the intermediate ground between positive and negative polarity"* that construes *"the area of meaning that lies between yes and no"*.

Scholars' different ways to delineate modality result in the fact that so far there is no consensus on its classifications, although *"the number of modalities one decides upon is to some extent a matter of different ways of slicing the same cake"* (Perkins, 1983, p. 10). Lyons (1977) makes a binary distinction between epistemic and deontic root. The former is concerned with matters of knowledge, belief, inference, or opinion; the latter relates to the necessity or possibility of acts performed by morally responsible agents, associating to such notions as moral obligation, permission and right conduct, which heavily depend upon societal and cultural norms, or on one's ethical criteria. There also exists a tripartite division between epistemic, deontic and dynamic, the third of which revolves around the capacities, potentials or needs of the (in)animate subject

of the clause, either fully inherent to it or conditioned by external factors (von Wright, 1951). Still, other sub-types are mentioned in Palmer's (2001) work such as future, negative, interrogative, imperative-jussive, presupposed, conditional, purposive and resultative, wishes (desiderative) and fears (timitive), and, less commonly, habitual-past. In his systemic-functional framework, Halliday (1994) puts forward another approach towards modality as he distinguishes between modalization and modulation. Modalization is the speaker's judgment to propositions, in which the meaning of the positive and negative pole is asserting (*"it is so"*) and denying (*"it isn't so"*). On the other hand, modulation is concerned with the meaning of proposals in the positive and negative poles in prescribing (*"do it"*) and proscribing (*"don't do it"*).

On the whole, there has been a proliferation of terminology to distinguish different kinds of modality. For the purposes of this study, we follow the perspective of the researchers who draw the basic distinction between the category of epistemic and non-epistemic modality, the latter of which comprises deontic and dynamic modality. The next sub-section will further deal with only EM, which is the focus of this paper.

2.2. *Epistemic modality and subtypes of epistemic modality*

The term *'epistemic'* derives from *'episteme'*, the Greek word for *'knowledge'*. Most authors (eg. Hoye, 1997; Lyons, 1977; Martin, 2001) hold that EM is related to *'belief'* and *'knowledge'*. Others involve *'truth'* in their definitions. Coates (1983) sees EM as being concerned with the speaker's assumptions or assessment of possibilities, and in most cases, indicating his reservations about asserting the truth of the proposition. Similarly, Huddleston (1984) argues that

"epistemic modality is concerned with the truth status of the proposition in the light of what the speaker knows. Epistemic modality is orientated towards the speaker – it is subjective". El-Hassan (1990) shares the same perception in the subjectivity of the notion, explaining that *"epistemic modals do not express objective, known reality, but the inferential judgment of the speaker as informed by circumstantial evidence and/or experience"*. For Palmer (1986), *'epistemic'* should apply to any modal system that indicates the speaker's (lack of) commitment to the truth of the proposition expressed as well as the degree of commitment by the speaker to what he says. Bybee, Perkins and Pagliuca (1994) describe epistemic as a

domain whose markers indicate something less than a total commitment by the speaker to the truth of the proposition, whereas the unmarked case is total commitment to the truth of the proposition.

Various distinctions have been made in the literature with regard to the subtypes of EM, such as subjective and objective (Lyons, 1977); subjective, intersubjective, and neutral (Nuyts, 2000). EM is also divided into subcategories based on *degrees of certainty*. It has long been acknowledged that the strength of the speaker's commitment to his assertion and the degrees of certainty are gradable corresponding to the high or low degree of likelihood/probability or the speaker's certainty.

Table 1: EM Lexical items according to degrees of commitment and word class

Certainty	Probability	Possibility
Verbs/ Verbal expressions		
bet, can only think, can't think, come to a/the conclusion, couldn't believe, not doubt, have no doubt, have no reason to believe, know, emphatically say, see no reason to doubt, take it	appear, assume, believe, estimate, expect, feel, find, gather, guess, hope, imagine, look, occur to me, recall, regard, seem, sound, suggest, suppose, take the view, think, understand if I remember	doubt, wonder, I cannot rule out the prospects
Adverbs/ Prepositional phrases		
certainly, clearly, definitely, evidently, for all I know, for all I've been told, in all probability, in truth, indeed, (in) no doubt, obviously, of course, plainly, surely, without question	apparently, as far as I can see, as far as I know, as far as I remember, as I understand it, from what I (can) understand, in my mind, in my view, quite likely, most likely, (not) likely, presumably, probably, seemingly, so far as appeared, supposedly, to judge from, to my mind, probably	maybe, perhaps, possibly, conceivably
Adjectives		

certain, clear, confident, convinced, evident, highly unlikely, incredible, obvious, positive, sure, true	alleged, apparent, likely, suggested	uncertain, unsure
Nouns/Nominal expressions		
all I know, it's common ground, (that) conclusion, (the) claim, there is a considerable possibility, there is no doubt/ suggestion/ question	estimate, guess, guesswork, thought	possibility

In this regard, EM is concerned with users' degree of certainty or commitment to the truth of their statements. Leech and Svartvik (1975) speak of *"scale of likelihood"*, stating that a proposition cannot be considered in black-and-white terms, but in terms of a scale of likelihood, the extremes of which are impossibility and certainty (or logical necessity). While there is an on-going discussion on whether EM markers should be arranged on a continuum or in discrete categories, there seems to be an agreement that there exist at least three articulated points in the gradual epistemic continuum - high, median and low (Carretero, 2002; Halliday, 1994); and speculative, deductive, and assumptive (Palmer, 2001). Among a host of different terms, the most commonly expressed epistemic grades are possibility, probability, and (inferred) certainty (Bybee et al., 1994; Kärkkäinen, 2003; Holmes, 1982; Hyland and Milton, 1997; Suhadi, 2011 among others). Epistemic possibility conveys the lowest degree of confidence based on the speaker's knowledge on the proposition; Epistemic probability conveys the median degree of confidence based on the speaker's knowledge of the proposition; and Epistemic certainty conveys the highest degree of confidence based on the speaker's knowledge of the proposition. The taxonomy adopted in this study is the widely-used epistemic trichotomy

of certainty, probability, and possibility.

Regarding the linguistic clues*,* or technically *'epistemic markers'*, the pervasiveness of modal auxiliaries has always been emphasized (Aidinlou and Mohammadpour, 2012; Gustová, 2011; Kranich, 2009, among others). Lyons (1977) was among the first to include different epistemic modality markers (EMMs) that were not based on modal verbs alone, claiming that various devices such as lexical verbs, nouns, adjectives, adverbs, and multi-word units are available to refer to how certain the speaker feels about the content of his/her utterance. An in-depth overview of epistemic modals is offered by Gustová (2011), who mingles the perspective of Leech and Svartvik (1975) and Quirk et al. (1985) and lists *'can'*, *'could'*, *'may'*, *'might'*, *'must'*, *'should'*, *'ought to'*, *'will'*, *'would'*, and *'shall'* as modals expressing EM. Unlike modal auxiliaries, other types of epistemic realizations have received a disproportionate amount of attention from linguists. Dirven (1989) notes that there exists a long tradition to solely or predominantly concentrate on the modal auxiliaries and exclude other expressions. However, having studied modality in large amounts of discourse, Hermerén (1978) and Holmes (1983) show a wide range of lexical items carrying modal meanings. The analyses

show that, put together, other word classes express modality more frequently than modal verbs, and that verbs and adverbs appear considerably more frequently than nouns and adjectives. On the whole, it is likely that different researchers have their own mindsets when determining the level of commitment that each epistemic marker denotes. Drawing heavily on the results of the previous studies on this domain (Biber et al., 1999; Caliendo and Compagnone, 2014; Carretero, 2002; Chafe, 1986; Gustová, 2011; Hoye, 1997; Hyland, 1998; Kärkkäinen, 2003; Leech and Svartvik, 1975; and Quirk et al., 1985), we categorize the lexical items denoting EM in terms of levels of commitment and of word class, presented in Table 1.

3. Research methodology

3.1. Data description

TTs revolve around a host of high-interest professional and academic topics, including technology, business, science, education, politics, pollution, healthcare, etc. At the moment, available on the site are over 2600 high-quality videos, most of which are accompanied by time-stamped transcripts. The data for this preliminary study is 100 TTs randomly downloaded from over 250 talks on education accessible from the moment of data collection. Three criteria were observed. First, the speeches selected are of less than 16 minutes, which are in the vast majority in the series. Second, the talks must be delivered first hand in English rather than translated from another language. Third, the talks are presented by one speaker.

3.2. Data analysis

To address the research questions put forward, the mixed method of both the quantitative and qualitative approaches was

manipulated. To analyze the EMMs, first of all notes of laughs and applause, special characters and time codes were removed from the scripts. Then, each talk was divided, counted, and analyzed in terms of sentences. In this study, by *'sentence'*, we mean the traditional structure beginning with a capitalized letter and ending with a full stop, a question mark or an exclamation mark. After a manual analysis was carried out to identify and categorize the EMMs, the statistical analysis was conducted to arrive at the percentage of the epistemically modalized sentences as well as the frequencies of the EMMs in terms the syntactic devices and degrees of certainty.

It should also be noted that although we closely followed the classification summarized in Table 1, in some cases, the devices were categorically supported or rejected by the context of use. For instance, the devices in (1) and (2) are supposed to be marked as probability, but due to '*great'*, and '*strongly'*, they were counted as EM of certainty. In the same manner, the markers in (3) and (4), which are usually considered as realizations of certainty, were listed in the group of probability because of the collocation with '*pretty*'.

(1) But I have *great hope* that we're on our way to curing this disease. (B. Nowinski)

(2) I *strongly believe* that when we do all of these things, we find that the rising Africa narrative is not a fluke. (N. Okonjo-Iweala)

(3) Men don't belong here, that's *pretty obvious*. (A. Carr-Chellman)

(4) Well, we parents, we parents are *pretty sure* it's all worth it. (J. Lythcott-Haims)

4. Findings and discussion

4.1 Findings

The analysis of the 100 TTsE revealed that nearly 10 percent (9.62%) of the sentences

are epistemically modalized by markers of various types and epistemic strength. It is noticeable that EM is consistently employed in every single presentation of the data. The speakers may employ only one marker or up to four markers in each sentence. For instance,

(5) Now, this is a moment where you *probably* feel very guilty about what you just did. (S. DeWitt)

(6) I *think* you all *must* be aware of it, but I'll still list it for the few who don't. (A. Gupta)

(7) So they *might* bring in money, they *might* bring in people, they *might* bring in technology. (S. Bansal)

(8) I *think* there are a lot of reasons, but I first want to address the one that you're *probably most likely* to have heard of, because actually it's more dangerous than you *might* think. (J. McWhorter).

The data concerning the levels of commitment is summarized in Figure 1. The analysis unfolded a clear preference for selecting the shade of probability, making up over half (51%) of all the cases counted. For example,

(9) There is the quickest way advances are *likely* to occur, as measured in discoveries per investigator per year. (E.O. Wilson)

(10) This is *probably* the biggest problem facing our society. (S. Reshef)

Contrary to the predominance of probability, possibility and certainty appear far less frequent. However, even though the speakers committed to both stronger and weaker claims, it is apparent that they tend to choose more devices of possibility than those of certainty, with the former approximately doubling the latter (33.12% vs. 15.27%). We have examples of possibility such as (11) and (12), and of certainty such as (13) and (14).

(11) *Perhaps* as a gun owner, you should also ask whether you have been taking care of your mental health? (D. Wolk-Rogers)

(12) It *can* also be motivating, and it provides us with information to identify what to focus on next when we go back to the learning zone. (E. Briceño)

(13) And as jobs continue to leave my community, and energy continues to come in, be exported in, it's no *wonder* that really some people refer to the South Bronx as a desert. (S. Ritz)

(14) So if it can find a word which is a planet and which is co-occurring with these keywords, that *must* be the answer. (N. Arai)

Figure 1: Occurrence frequency of three levels of commitment
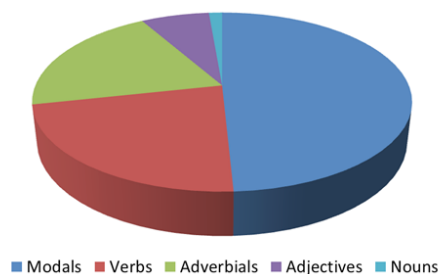
Figure 2: Occurrence frequency of five categories of markers

Figure 2 presents the proportions of the different types of EMMs used in the data. The most noticeable feature is that modals significantly outnumber the other types of devices, accounting for nearly a half (49.20%). This finding is in line with the others reported by Aidinlou and Mohammadpour (2012), Gustová (2011), Kranich (2009) and Šolienė (2013) that modals are the most frequent makers of EM.

The overall results show that to tone down their statements, the presenters also made great use of lexical verbs and adverbs and prepositional phrases, 22.41% and 20.09% respectively. It is apparent that epistemic adjectives and nouns are the least frequent types of markers in the data, accounting for only 6.96% and 1.34% apiece. That EM in spoken English is seldom expressed by adjectives and nouns is in consonance with the findings of Letica (2009) and Recsky (2006). Examples of each category are as follows.

(15)It *might* surprise you to learn that we've actually thought about this before. (D. Wolk-Rogers)

(16)I *presume* he has a worldview. (J. McWhorter)

(17)And, *of course*, the brain of the robot is working in the remote server. (N. Arai)

(18)I am *convinced* that Africa's further transformation, Africa's advancement, rests simply in the acknowledgment, validation and mainstreaming of Africa's own traditional, authentic, original, indigenous knowledge in education, in research, in policy making and across sectors. (C. Ezeanya-Esiobu)

(19)There was no *question* that his children would receive an education, including his daughters, despite the Taliban, despite the risks. (S. Basij-Rasikh)

Specifically, as regards the modals, there is a significant superiority of modals denoting probability, which are *'will'* and *'would'* as well as their negative forms. *'Will'*, being the most frequent epistemic modals in the data, makes up 23.05% of the total, whereas *'would'* accounts for a marginally lower percentage of 21.42%. The next four positions in the list are taken up by *'might'*, '*can'*, '*could'* and *'may'*, which constitute 17.79%, 12.52%, 11.25% and 9.25% respectively. Accounting for less than 5%, *'should'*, *'must'*, and *'ought to'* are the least favorite modals in the investigated TTsE. Then, of the epistemic lexical verbs, '*think'* is the most frequent, at up to 39.44%; the others are *'seem', 'believe', 'know', 'sound', 'feel', 'hope', 'guess', 'say', 'argue', 'seem like', 'sound like', 'feel like', 'bet', 'fear', 'find', 'look', 'predict', 'estimate', 'figure', 'look like', 'presume', 'wonder'*. As far as epistemic adverbials are concerned, '*maybe'* is of the highest use (25.33%). Ranking in the second place is *'of course'* (24%). '*Probably'* and '*perhaps'* come next (18.67% and 10.67% respectively), '*certainly'* accounting for 4%. All the others are found to take up less than 18%. The results obtained are partially in line with claims made by Biber et al. (1999) and Kärkkäinen (2003), who listed *'maybe', 'probably', 'of course', 'perhaps', 'certainly',* and *'definitely'* as six most prevailing epistemic adverbs. Ranked in the fourth place are the epistemic adjectives. Of this word class, it is note-worthy that speakers made extensive use of *'likely'* to express their hesitation to commit to the utterances, which makes up precisely 50% in total. Meanwhile, *'possible/ impossible'* and *'sure'*, the next two most frequent adjectives, account for only 17.95% and 14.10%. Five other adjectives (*obvious, convinced, clear, doubtful, true)* take up less than 10% each. Nouns are the least favorite word form to be used as epistemic devices as only 15 cases were found throughout 100 talks under investigation. Mention should be made

of the fact that *'chance'*, *'odds'* and *'wonder'* were equally used in three cases, taking up exactly 20% each. *'Hope'* ranks second with 13.32%, while *'conclusion'*, *'probability'*, *'question'* and *'potential'* appeared only once each in the whole data.

The findings also highlight insightful findings on the relationship between types of EMMs and degrees of certainty they denote. The results unfold that certainty is realized chiefly by epistemic adverbials. This co-occurrence accounts for as high as 44%, while the combination between certainty and epistemic adjectives ranks second with slightly over 19%. By contrast, epistemic modals are found to be the main realization of probability and possibility, constituting around 44% and 73% in frequency respectively.

4.2. Discussion

A notable feature that contributes to TED's success is its highly polished and succinct onstage presentation. Coxhead and Walls (2012) state that TED presentations are often carefully scripted and closer to written texts than spoken texts when compared to conference papers and movie scripts. From the results of this study of TTs with a focus on EM, we argue that the skillful use of this means of expression must play a role in attributing high effectiveness to this high-profile genre.

Regarding the distribution of EM, it is most noteworthy that EM is present in every speech and nearly 10% of the sentences of the whole data are modalised with EM. This tendency evidences that this semantic domain constitutes a frequent phenomenon in this genre of academic orality. The pervasiveness of EM realizations in TED evidences statements of Martín (2001), who claims that EM constitutes a crucial rhetorical device in academic discourse since it allows authors

to mitigate the degree of commitment to the truth of a proposition, thus reducing the risk of opposition and minimizing the face-threatening acts to the general audience.

Nevertheless, close analysis reveals an unequal distribution of EM among the talks: some presenters used up to nearly 40 epistemic devices in their talks; others employed only one marker during the whole presentations. This disproportionate frequency can be mainly attributed to the varied time spans, speakers' styles, and talks' contents. As for the length of time, the duration of talks constituting the data, which ranges from 2 minutes to 16 minutes, might vastly influence the number of EMMs used. Within a short amount of time, speakers are liable to be more straightforward when presenting the findings while in longer speeches, there may be some more room for scholars to set the premise of their arguments or to open up further discussions, resulting in the employment of more EMMs. Then, as regards the presenters' style, the fact that this study focuses on verbal means of EM only can affect the number of EMMs in each talk because this dimension of meaning is not solely realized by verbal but also non-verbal devices. Since TED platform offers a direct contact between the speakers and their audience, which the scripts are deprived of, several scholars may opt for gestures, stress or intonation as ways to interact with their interlocutors, thus reducing the number of epistemically modalized sentences found in certain talks. Finally, with a focus on education, the TTs under analysis serve two particular purposes - to present knowledge claims and to inspire listeners. In the speeches aimed primarily to publicly state new findings, EM seems to be more common as it enables researchers to justify the contribution and further implications of their works and to indicate possible gaps and limitations as well. The inspiring talks, by contrast, often convey

the messages through the narration of speakers' past events and experiences, which leave not much space for the realizations of EM.

As far as the levels of commitment are concerned, the findings suggest a marked preference for the devices denoting probability over the degree of possibility and certainty. It is understandable that these TED presenters refrain from markers realizing certainty since they wish to avoid imposing newly established knowledge on the general audience. Besides, desisting from making assertive statements allows academics to create a research space in the field and to diminish the risk of facing potential criticism from the international community as well. That the degree of possibility is less dominant could be probably due to the fact that it entails a certain level of ambiguity, which is somewhat inappropriate in public presentations and may also negatively influence the speakers' image as an expert or professional on stage. Given that scholars cannot overuse certainty and possibility, it is no wonder that those who expect to gain worldwide recognition for their works would prefer probability to mitigate claims in their talks. In the formal context of public talks, probability, which expresses the intermediate point in the epistemic continuum, enables specialists to inform the audience of their research while still expressing their concern for an appropriate level of factuality in their statements.

Regarding the distribution of EM linguistic exponents, epistemic modals significantly outnumber the other types of devices. The strong preference for epistemic modals can be attributed to its mobility and simplicity. As for the mobility feature, epistemic modals can be inserted in any assertive proposition to alleviate its truth-value. They could be combined with personal pronouns, noun phrases, nominal clauses, and the impersonal

"*it*" or the existential "*there*" to form a sentence. The frequent use of adverbs and prepositional phrases is also in accordance with the previous research which affirms that these syntactic structures, due to their great mobility which allows the speaker to insert them whenever during the proposition, are the most frequent markers of epistemic stance in spoken English (Biber et al., 1999; Kärkkäinen, 2003). Meanwhile, epistemic adjectives and nouns are found to be the least frequent types. However, it is the use of these devices, which tend to occur in fixed constructions, that lends grammatical range and accordingly attraction and persuasion to the talks. A list of these fixed constructions is provided in Appendix B. The appearance of a wide range of EMMs in this relatively formal context allows specialists to *"diminish their discoursal argumentative degree of disagreement with the ideas sustained by other authors"* (Martín, 2001, p.203) and orient lay interlocutors regarding how to interpret the factuality of their personal findings (Ciapuscio, 2007).

5. Conclusions, implications, and suggestions for further studies

5.1. Conclusions

The study is an in-depth enquiry into EM in TTsE. The statistic figures prove that it is an extremely frequent phenomenon in TTsE, consolidating its position as one of the central rhetorical devices contributing to the success of this genre. EM is often utilized in the context of academic discourse where authors, who have awareness of the imposition their new knowledge may present, search for *"a linguistic measure of precaution"* so as to soften the contrast between their research findings and prior existent knowledge (Graefen, 2007). Regarding the degree of commitment preferred the most by TED

presenters, a keen interest in the category of devices denoting probability was noticed. The high frequency of probability seems to be reasonable as assertive statements may pose a risk of facing potential criticism from the international community for academics, while the ambiguity of possibility can also damage speakers' image as an expert or professional on stage. Besides, the examination of the data unveils an imbalance in the use of different types of EMMs. The statistically significant preference for epistemic modal auxiliaries, which can be attributed to its mobility and simplicity, considerably outnumbers that of epistemic lexical verbs, adverbs and prepositional phrases. Epistemic adjectives and nouns prove to be the least frequent types of markers in the data.

5.2. Pedagogical implications

It has long been established that EM is of central importance to the formation of argument in both spoken and written discourse and that the ability to express doubt and certainty in academic discourse is vital to successful academic communication. Nevertheless, most research has pointed out that second/foreign language learners have a high likelihood of encountering problems when it comes to expressing more subtle differences in various levels of assertion. Non-native writers differ significantly from native writers in relying on a more restricted range of epistemic expressions than native speakers, offering stronger commitments, and exhibiting greater problems in conveying a precise degree of certainty (Coates, 1987; Kärkkäinen, 1992; Letica, 2009; Hyland and Milton, 1997; Martín, 2001). English learners' difficulties in interpreting and employing EM are attributed not only to the various realizations and cross-linguistic and cross-cultural interference, but also to the lack of instruction and practice

in traditional classrooms as well as limited explanation of the correct use of this domain in the academic materials (Flowerdew, 2001; Hyland and Milton, 1997).

Therefore, it is hoped the overall picture of the efficient use of EM in TTsE in terms of different levels of commitment and range of linguistic devices drawn from this study would be insightful to the teachers and learners of EFL. The investigation contributes to increasing our greater awareness of why, what, and how to make the best use of EM in developing public speaking skill in general and oral presentations of academic discourse in particular. The expressions denoting the degrees of certainty listed in Table 1 and Appendix B might serve as a source of reference for learners of various proficiency levels to learn how to precisely express their judgments and personal attitudes toward the factuality of the propositions in everyday communication and public presentations. Comprehending the use of EM as well as the levels of commitment it denotes also helps students properly interpret the exact meaning each proposition conveys.

5.3. Suggestions for further research

The findings obtained from this study provide a foundation for some further inquiries. Although the research has reached its aims, there remain some unavoidable limitations which need to be acknowledged and addressed in future research. Firstly, no differentiation was made in the data collection and data analysis between the talks delivered by the English native speakers and non-native speakers. This decision prevented us from reaching any conclusions about the use of EM across the two groups. As a result, it is advisable for this examination to be included in later studies on this domain. Secondly, since this research concentrated on talks on

only education, it would be instructive to explore the use of EM in those that cover other disciplines. Then, it is widely acknowledged that in spoken language EM can be realized by not only the lexical devices; non-lexical devices such as prosodic or paralinguistic components are also profusely made use of (Coates, 1987; Gabrielatos and McEnery, 2005; Letica, 2009). Therefore, in-depth analyses in the future could be conducted to examine other epistemic means. Finally, this study was confined to the data in English and heavily withdrawn from literature on modality in English. An additional study of the Vietnamese translations of these talks based on the taxonomies proposed by the Vietnamese authors (Đỗ Hữu Châu, 1998; Lê Đong and Nguyễn Văn Hiep, 2001; Cao Xuân Hạo, 1991; Nguyễn Văn Hiệp, 2008) would certainly yield an insightful picture of EMMs in TTsE from a cross-linguistic perspective.

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TÌNH THÁI NHẬN THỨC TRONG CÁC BÀI TED VỀ GIÁO DỤC

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Tóm tắt: Bài viết này nghiên cứu các phương tiện biểu đạt ý nghĩa tình thái nhận thức trong các bài TED. Công trình dựa trên dữ liệu bao gồm 100 bài TED về lĩnh vực giáo dục. Chúng tôi kết hợp cả hai phương pháp phân tích định tính và định lượng để xác định, miêu tả, và lý giải hệ thống các phương tiện biểu đạt ý nghĩa tình thái nhận thức được sử dụng. Chúng tôi tập trung vào hai khía cạnh mức độ cam kết của người nói và các phương tiện ngôn ngữ. Kết quả khảo sát cho thấy nét nghĩa này xuất hiện phổ biến trong thể loại này. Về mức độ cam kết, các diễn giả có xu hướng lựa chọn mức độ trung bình vượt trội so với mức độ ít chắc chắn hơn và chắc chắn hơn. Về các phương tiện ngôn ngữ, kết quả nghiên cứu cho thấy một bức tranh phong phú về phương tiện được sử dụng, với động từ tình thái có tần số sử dụng lớn nhất, tiếp theo sau là động từ và trạng từ; tính từ và danh từ xuất hiện trong các cấu trúc cố định cũng được sử dụng. Những kết quả của công trình nghiên cứu này đóng góp vào thực tiễn dạy học tiếng Anh về các phương tiện ngôn ngữ biểu đạt ý nghĩa tình thái nhận thức nhằm phát triển kỹ năng hùng biện bằng tiếng Anh như một ngoại ngữ nói chung và trình bày các nội dung học thuật nói riêng.

Từ khóa: Bài TED, tình thái nhận thức, tình thái

Appendix A. Data sources: List of 100 TTsE

Talk	Title	Speaker
	3 fears about screen time for kids – and why they're not true	S. DeWitt
	3 rules to spark learning	R. Musallam
	4 pillars of college success in science	F. Hrabowski
	4 reasons to learn a new language	J. McWhorter
	A 12-year-old app developer	T. Suarez
	A delightful way to teach kids about computers	L. Liukas
	A girl who demanded school	K. Ntaiya
	A Parkland teacher's homework for us all	D. Wolk-Rogers
	A passionate, personal case for education	M. Obama
	A police chief with a difference	K. Bedi
	A prosecutor's vision for a better justice system	A. Foss
	A short intro to the Studio School	G. Mulgan
	A summer school kids actually want to attend	K. Abouelnaga
	A taboo-free way to talk about periods	A. Gupta
	A teacher growing green in the South Bronx	S. Ritz
	A university for the coming singularity	R. Kurzweil
	Academic research is publicly funded – why isn't it publicly available?	E. Stone
	Advice to a young scientist	E.O. Wilson
	An ultra-low-cost college degree	S. Reshef
	Building blocks that blink, beep and teach	A. Bdeir
	Can a robot pass a university entrance exam?	N. Arai
	Can I have your brain? The quest for truth on concussions and CTE	B. Nowinski
	CERN's supercollider	B. Cox
	Dare to educate Afghan girls	S. Basij-Rasikh
	Easy DIY projects for kid engineers	F. Qiu
	Electrical experiments with plants that count and communicate	G. Gage
	Every kid needs a champion	R. Pierson
	For these women, reading is a daring act	L. Boushnak
	Free or cheap Wii Remote hacks	J. Lee
	Gaming to re-engage boys in learning	A. Carr-Chellman
	Grit: The power of passion and perseverance	A. Duckworth
	Hands-on science with squishy circuits	A. Thomas
	Help for kids the education system ignores	V. Rios
	"High School Training Ground"	M. London
	How Africa can keep rising	N Okonjo-Iweala
	How Africa can use its traditional knowledge to make progress	C. Ezeanya-Esiobu
	How America's public schools keep kids in poverty	K. Sumner
	How Arduino is open-sourcing imagination	M. Banzi
	How Argentina's blind soccer team became champions	G. Vilariño
	How college loans exploit students for profit	S. Samuel
	How I teach kids to love science	C. Harada
	How state budgets are breaking US schools	B. Gates
	How students of color confront impostor syndrome	D. Simmons
	How to design a library that makes kids want to read	M. Bierut
	How to fix a broken education system ... without any more money	S. Bansal
	How to get better at the things you care about	E. Briceño

How to inspire every child to be a lifelong reader	A. Irby
How to learn? From mistakes	D. Laufenberg
How to raise successful kids – without over-parenting	J. Lythcott-Haims
How we can help hungry kids, one text at a time	S. Kahumbu
How we can stop Africa's scientific brain drain	K. Njabo
How we'll find life on other planets	A. Shields
Kids, take charge	K. Sethi
Learn to read Chinese ... with ease!	ShaoLan
Lessons from the longest study on human development	H. Pearson
Let's teach for mastery – not test scores	Sal Khan
Life lessons through tinkering	G. Tulley
Looking for a job? Highlight your ability, not your experience	J. Shen
Math class needs a makeover	D. Meyer
My green school dream	J. Hardy
My story, from gangland daughter to star teacher	P. Arredondo
Smart failure for a fast-changing world	E. Obeng
Sputnik mania	D. Hoffman
Teach girls bravery, not perfection	R. Saujani
Teach statistics before calculus!	A. Benjamin
Teach teachers how to create magic	C. Emdin
Teachers need real feedback	B. Gates
The 100,000-student classroom	P. Norvig
The best kindergarten you've ever seen	T. Tezuka
The boost students need to overcome obstacles	A. Kundu
The Chinese zodiac, explained	ShaoLan
The economic case for preschool	T. Bartik
The global learning crisis – and what to do about it	A. Karboul
The joy of lexicography	E. McKean
The next generation of African architects and designers	C. Benimana
The power of believing that you can improve	C. Dweck
The role of faith and belief in modern Africa	N. Nwuneli
The search for "aha!" moments	M. Goldman
Things I've learned in my life so far	S. Sagmeister
This company pays kids to do their math homework	M. Jebara
This computer will grow your food in the future	C. Harper
This virtual lab will revolutionize science class	M. Bodekaer
To learn is to be free	S. Akhtar
To raise brave girls, encourage adventure	C. Paul
To solve old problems, study new species	A. Alvarado
Toy tiles that talk to each other	D. Merrill
Turning trash into toys for learning	A. Gupta
Want kids to learn well? Feed them well	S. Kass
What a bike ride can teach you	S. Schocken
What adults can learn from kids	A. Svitak
What soccer can teach us about freedom	M. Joseph
What we think we know	J. Drori
Why lunch ladies are heroes	J. Krosoczka
Why massive open online courses (still) matter	A. Agarwal
Why must artists be poor?	H. Eldebek

Why open a school? To close a prison	N. Lopez
Why school should start later for teens	W. Troxel
Why some of us don't have one true calling	E. Wapnick
Why the live arts matter	B. Cameron
Why you should love statistics	A. Smith

Appendix B. Fixed expressions denoting different levels of commitment

Fixed expressions denoting certainty

I bet (that)…

I come to the conclusion that…

I have great hope that…

I know (that)…

I strongly believe (that)…

I'm (strongly/ firmly) convinced (that)…

I'm sure (that)…

It makes no odds.

It's clear/ obvious/ true (that)…

It's impossible for us (not) to…

It's most/ much more likely to…

It's no wonder (that)…

It's very likely that…

Needless to say, …

No wonder (that)…

Of course/ Of course not.

That must be…

That's for sure.

There's a high probability (that)…

There's no question (that)…

Fixed expressions denoting certainty

I bet (that)…

I come to the conclusion that…

I have great hope that…

I know (that)…

I strongly believe (that)…

I'm (strongly/ firmly) convinced (that)…

I'm sure (that)…

It makes no odds.

It's clear/ obvious/ true (that)…

It's impossible for us (not) to…

It's most/ much more likely to…

It's no wonder (that)…

It's very likely that…

Needless to say, …

No wonder (that)…

Of course/ Of course not.

That must be…

That's for sure.

There's a high probability (that)…

There's no question (that)…

Fixed expressions denoting possibility

I wonder…

It can possibly be…

It is doubtful that…

It is less likely to…

It is possible to/ that…

It might be…

AN ANALYSIS OF THE SINGAPOREAN PREPARATION FOR THE FUTURE WORKFORCE AND RECOMMENDATIONS FOR VIETNAM

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Abstract: This paper aims at firstly reviewing initiatives on workforce transformation in the Industrial Revolution 4.0 funded by the Government of Singapore, and then making recommendations to policy makers regarding the workforce preparation in Vietnam. In the era of continuous change, workforce is a key factor in a thriving economy, thus Singapore's strategy is to engender a future-ready generation for a better Singapore by strengthening the talent pools through lifelong learning and enabling all Singaporeans to excel and discover opportunities to fulfill their potentials. How has Singapore been doing to prepare a tomorrow's workforce? How does Vietnam learn from Singapore's experience in preparing for a future-ready workforce? This analysis will answer those two questions. The findings indicate that (i) the Government of Singapore has adopted an inclusive approach and has succeeded in developing a sustainable skills ecosystem and lifelong learning programs, and (ii) it is necessary for Vietnam to think about our own strategy that will focus on changing public awareness of lifelong learning and skills upgrading, identifying necessary skills for the future workforce, and creating effective action programs to encourage individuals to learn for life, pursue skills mastery and develop fulfilling careers.

Keywords: future workforce, lifelong learning, skills mastery, industry 4.0, Singapore, Vietnam

1. Introduction

It is pretty obvious that Industry 4.0 or Industrial Revolution 4.0 (IR 4.0) is present everywhere. It is not just a forecast; it is existing and has great impact on human labour and jobs market. In essence, IR 4.0 is a higher level of automation and interconnectivity, which means that sensors, machines, workpieces, and information technology (IT) systems are connected along the value chain. Smart machines collaborate with workers on the assembly line; smart transport systems transfer goods from one place to another; and smart devices gather and analyze real-time data. As a result, IR 4.0, on the one hand, will enable faster, more flexible and more efficient processes to produce higher-quality goods at reduced costs. On the other hand, it will modify the profile of work, digitalize the workplace and cause employees to face a challenge in keeping up with the industry (The World Economic Forum, 2018). It is evident that workers will need to acquire different and all new sets of skills relevant to the future, such as flexibility, adaptability, innovation, ICT and digital skills, etc. However, persuading workers that they need to upgrade skills when they are busy working is an uphill task. Pushing companies to allow their workers to participate in training classes

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when they are facing challenges themselves is equally hard.

Singapore has addressed these challenges by developing a culture of continuous training and learning (Lim, 2019). Singapore wants to develop a new social culture in which every Singaporean gets satisfaction in life from learning at every stage, from mastering skills, and from being part of a community of learners because the Government of Singapore believes that the contribution of every individual will drive Singapore's next phase of development towards an advanced and highly competitive economy (Committee on the Future Economy, 2017). Deputy Prime Minister Tharman Shanmugaratnam stated that Singapore's future must be about mastery of skills, in every job, and enabling every Singaporean to develop themselves to the fullest (Tay, 2014, as cited in Tharman, 2014). Although the concept of lifelong learning is not new, Singapore's approach is sustainable, pragmatic and rational (Kumar, 2006). This approach involves a broader array of policy instruments and targets a wider range of beneficiaries in a longer term period (Teng, 2016). In Singapore, two statutory boards, SkillsFuture Singapore (SSG) and Workforce Singapore (WSG), were established to identify necessary skills for future jobs, equip Singaporeans with deep skills, and simultaneously build stronger, sustained links between education and employment (Tham, 2018a). With the introduction of a national movement to nurture lifelong learners, SkillsFuture, more and more Singaporeans have changed their mindset and have voluntarily picked up new skills. For example, the first year of the SkillsFuture Credit scheme, which belongs to SkillsFuture initiatives, witnessed 126,000 Singaporeans benefitting from it. They learnt a diverse range of skills - from baking bread to developing

mobile applications; IT was the most popular course category across ages (Yang, 2017). SkillsFuture also creates a significant synergy with Singapore's existing higher education and vocational training system (Woo, 2017). Singapore's universities, polytechnics and the Institute of Technical Education have adapted to new scheme of lifelong learning by delivering short modules on emerging areas of growth for busy working adults (Sin, 2017) or courses free of charge as part of the university's efforts to encourage Singaporeans to upskill (Leow, 2017); tertiary curriculum focuses on graduates' long term careers rather than being pigeonholed by degree subjects (Koh, 2018). More importantly, this scheme increases the number of employers engaging in workforce training (Tham, 2018a) by providing grants to cover training expenses (Teng, 2019). Enterprises got more financial support for training employees; the grant worthed up to S$10,000 for each firm can be used to cover 70 per cent of out-of-pocket training expenses (Teng, 2019). A total of 12,000 enterprises took up various SkillsFuture training subsidies in 2018 (Seow, 2019). Obviously, IR 4.0 is affecting every economy around the world and the nature of work is changing with unpredictable growth. Every economy has the same problems regarding future workforce. But Singapore has solved their challenges much more systematically than most countries, in a very deliberate fashion. There is no other country with as deliberate a strategy as SkillsFuture (Tharman, 2018b).

Meanwhile in Vietnam, the workforce remains weak in design, creativity, and productivity. Vietnam is seen as one of the countries with lowest labour productivity in the region (ILO, 2019). Low wage costs are being one of the factors making Vietnam an attractive destination to foreign investors. However, in the era of IR 4.0, robots will

replace unproductive workers (Shewan, 2017), so low wage costs will be no longer an advantage. This competitive edge, conversely, will threaten the Vietnamese economy prospect. Improving flexibly a skilled workforce is becoming the first and foremost policy to be researched and implemented right now so that Vietnamese economy will be able to stay relevant and keep developing in the IR4.0 (ILO, 2018). Unfortunately, the Vietnam 2035 report did not mention any policy or prospects for tomorrow's workforce. It means that the Government of Vietnam is not really ready for this preparation. Similarly, Vietnamese people are unwilling to acknowledge and adapt to new future jobs. A report of PricewaterhouseCoopers (PwC) on Industry 4.0 Vietnam found that most Vietnamese respondents had limited knowledge or were unclear of the exact impacts of IR 4.0 (27% of respondents fully understood Industry 4.0 concept and its impacts versus 73% having limited or no knowledge, or were unclear of the impacts of IR4.0) (PWC, 2018, p.3). The report also illustrated that Vietnam was facing a lack of clarity in the workforce of the specifically required skills to succeed (only 14% of respondents believed that they and their employees had a clear view of the skills required for digital transformation; 16% indicated that they had no idea at all on the skills and capabilities required; and the large majority of 70% fell in between the extremes in their understanding of required skills) (PWC, 2018, p.6). Therefore, an analysis of Singapore's strategies and action programs for future workforce development will benefit Vietnam.

The purpose of this paper is to review and analyse Singapore's approaches towards workforce preparation for IR 4.0 and to make recommendations for policy makers of Vietnam. Accordingly, the paper attempts to answer two main questions as follows:

1. How has Singapore been doing to prepare a tomorrow's workforce?

2. How does Vietnam learn from Singapore's experience in preparing for a future-ready workforce?

It should be noted here that studying tomorrow's workforce preparation for IR 4.0 is new, even in developed economies. The Government of Vietnam has not published any strategy or framework involving this topic. Hence, the findings from this paper will insipre further research and discussions related to improving human resources in IR 4.0.

2. Methodology

The method utilized to conduct this study is document analysis combining with consulting experts in digital learning and workforce preparation in Singapore. The experts are teachers of the training course on Industry Revolution 4.0, which was held by Vietnam Singapore Cooperation Center under the Singapore Cooperation Program in Vietnam in April 2019. Qualitative data were compiled and analysed through the training course materials and other written documents containing information about Singapore's policy, strategy and programs for future workforce development.

The title of the training course is Industry Revolution 4.0 and its impact on policy formulation which aims to providing basic knowlwdege of IR 4.0 and experience of Singapore in preparation for the industrial revolution. In the training course, Vietnamese government officials were introduced manpower programs of Singapore like SkillsFuture or Workforce Singapore- WSG, what they are and how they work. The learners also had opportunities to experience digital learning and design their own lessons on the online e-learing portal.

The course was instructed by two experts. One person collaborated on a community-led learning initiative funded by the Lifelong learning Council and supported by Skills Future Singapore while the other conducted a study on Singapore's future mobility system. To understand more clearly lifelong learning programs, two catagories of questions were asked and answered by two experts. The first category was about the process such as how Singapore planned for future workforce development, what skills were identified to be important for the future, what matters prevented Singaporeans from pursuing lifelong learning and skills mastery, etc.The second category focused on SkillsFuture such as what outstanding features of lifelong learning in Singapore were, why lifelong learning and SkillsFuture were necessary for developing future workforce in Singapore, how the Government of Singapore designed initiatives for SkillsFuture, what the outcomes of the SkillsFuture were, etc.

Research materials are collected from secondary data including reports, researches and articles on experience of Singapore to prepare for future workforce and existing problems of Vietnamese employment. The research materials are selected over the period from 2016 to 2018 to get updated information.

3. **Preparation for the future workforce in Singapore**

This section will answer the first question "How has Singapore been doing to prepare a tomorrow's workforce?". Being aware of the rapidly transforming employment, the Government of Singapore has created a radical strategy with a clearly economic objective of building a future based on skills. The strategy started from identifying fundamental skills needed for IR 4.0, building

industry transformation maps for prioritized domains that Singapore had competitive advantages or important national needs. Then, an initiative called SkillsFuture was launched. Now SkillsFuture, with core values of lifelong learning and skills mastery, is considered a successful model in Singapore. The initiatives of SkillsFuture are clear, holistic, effective, and easy to apply. Meanwhile, ostacles of socializing lifelong learning in Singapore are similar ones that are taking place in Vietnam now. So, SkillsFuture initiatives which have tackled these obscles successfully in Singapore will probably feasible in the case of Vietnam.

3.1. Identifying fundamental skills needed in IR 4.0

The Government identifies fundamental skills needed for the new era. It consists of three types of fundamental skills, namely life and career skills, learning and innovation skills, and ICT and digital media skills.

Firstly, life and career skills are soft skills that focus on qualities of flexibility, adaptability, taking initiatives, self-regulating, and social interaction. Traditional job scope is defined by project requirements and deadlines. Workers just focus on their own roles, complete their tasks on hand, and then report to their supervisors daily/ weekly or monthly. They also interact solely with their teammates; and they work within their own cubicles without obligation to socialize with the rest of their organizations. By contrast, IR 4.0 will change the future work environment. Everything will change faster and be unpredictable; customers will request to feedback as soon as possible; 3D printing will enforce designers to have highly-complex skills; big data will lead to skills of detecting patterns, trends and relationships in data sets, and then mining information to predict customer behaviours,

business risks and opportunities. Future workers, consequently, must be able to work across job functions, wear multiple hats, meet deadlines daily, tackle the improvement on top of their existing roles, and attract others who can work together to get involved. Social interaction and relationships will be considered principal keys to get things done faster and better.

Secondly, learning and innovation skills require critical thinking, problem solving, proactive approach, and creative thinking. Traditionally, job is to do based on extremely well-defined scopes so that workers are not required to be creative and solve problems by themselves. They can ask for favours from their colleagues and their supervisors. However, working in the digital workplace, workers will share their work with robots and be the final decision makers. They will have to figure out problems on their own whether they fall within their domain or not. They must learn to rationalize, analyze, evaluate, and interpret information to make informed judgments as well. Having good attitudes to proactive approach and creative thinking will give future workers a huge advantage.

Finally, ICT and digital media skills are hard skills. Smart factories and smart offices will require future workers to have ICT and digital literacy which includes basic use of technology, IT security and safety, analytics fundamentals, etc.

3.2. Singapore's approaches towards training workers for the future

In the era of IR 4.0, it is easy to see unexpected changes in the global order, which may portend significant geopolitical and economic discontinuities. A new world of work is being created and jobs are being redesigned. It will create a number of new jobs, but will make more jobs redundant so quickly. The

Government of Singapore are aware that they need to form major policies and strategies for training and retraining workers with a strong statement that whichever way the world goes, a small, open economy like Singapore will need to adapt (Singapore's Committee on the Future Economy, 2017, p.2).

Singapore's Government has adopted approaches to jobs and training to prepare Singaporeans and Singapore for the future economy as follows:

(i) Changing mindset

It is difficult to form encouraging policies for retraining workers because workers and employers may not be aware of the changes which are coming or may not know how these changes would affect them.

The National Trades Union Congress's (NTUC) conducted a survey in Singapore and found that the common responses from workers and employers when they were asked to upgrade skills and retrain are (1) "Why should I change?", (2) "It is up to someone else (worker/ company/Government) to take care of training needs.", (3) "I am already in my 40-50s, there is no need to change.", (4) "I don't know how to go about future-skilling.", (5) "The company already has training programmes in place but the workers are not going for training.", (6) "Where is the budget?", (7) "Where is the time?", (8) "There is no one to cover my work duties for me to go for training.", (9) "I need to take care of my family after work, I have no time.", (10) "Will my employer recognise my efforts to upskill myself?", (11) "It is easier to hire new workers than train existing worker" (The National Trades Union Congress, 2017, pp. 5-10).

NTUC, hence, proposed a framework for collaborative action to change mindsets towards upgrading skills (see Figure 1). It is working effectively and encouraging

more and more stakeholders to participate in lifelong learning and skills mastery. It is tight collaboration between stakeholders, including union leaders, working people, employers, managers, human resources practitioners, institutes of higher learning, training providers, consultancies, government bodies, and sector agencies. Stakeholders worked together to identify key challenges which they faced in future-proofing workforce in the midst of changing jobs and skills. The framework includes six steps, namely addressing information asymmetry, raising level of awareness, inspiring action, providing holistic support, creating a positive feedback loop, and developing change-agent mentality. All steps direct towards solving the underlying factors belying the mindset challenge related to future-skilling.
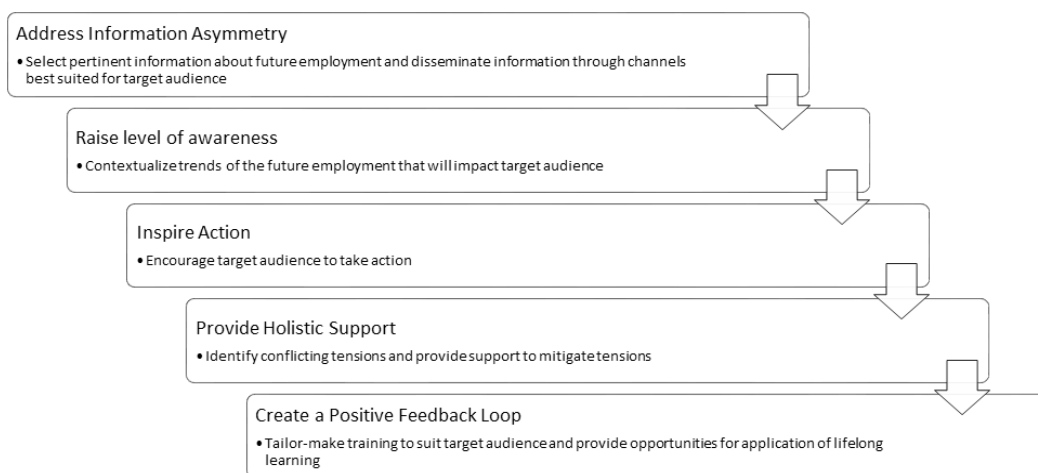
Figure 1. The proposed framework to change mindsets towards upgrading skills(National Trades Union Congress, 2017, p.11)

(ii) Building a tight connection between school and work

The relationship between education and employment used to be more straightforward, study hard in one's early life to get a good job later. However, with a rapid change of technology, knowledge and skills are sometimes made obsolete soon after they are acquired, and lifelong learning and training now become increasingly important. It means that workers need to update their skills over and over again throughout their career while companies need to invest more in training.

SSG and WSG aim to sustain link between education and employment and build it stronger. SSG helps to maximise Singaporean potentials and develop their skills with initiatives of learning as a way of life and mastery of skills. WSG enables individuals to adapt to new jobs and employers to transform into new industries. Both these statutory boards share the portal https://www.ssg-wsg. gov.sg/ so that employees can easily access necessary skills and supports for their current and future jobs.

(iii) Helping workers to upskill and reskill

In working environments where disruption affects the various sectors unevenly, measures to help workers need to be more "targeted and surgical" (Tham, 2018b). In Singapore, the Government is moving towards more targeted programmes that allow for some customisation to address the needs of workers and companies in different

sectors. It means that the Government is implementing action programs to help workers to upskill and reskill.

Upskill is to teach someone additional skills to enhance his/her abilities within the same job profile and therefore significantly amplifies his/her value within the company. Meanwhile, reskill is to improve the collective skill set of workers. The re-skilling process involves learning new technology or re-training in the skills needed by a particular company and be able to utilise these skills into an entirely different role within that company.

The missions of reskilling and upskilling are developed by SSG-WSG with various training programs right for every Singaporean at every stage of working life. For example, WSG has launched Professional Conversion Programmes that help professionals prepare for new jobs in the new economy, even within the same company.

(iv) Shifting culture

SkillsFuture is creating a strong culture of lifelong learning and skills mastery (Tan, 2016). The Government encourages learning as a way of life, regardless of age or education while all Singaporeans actively participate in developing their fullest potentials throughout life, regardless of their starting points. That is a shift in societal culture. Through this movement, the skills, passion and contributions of every individual will drive Singapore's next phase of development towards an advanced economy and inclusive society.

3.3. Industry Transformation Maps

Singapore is positioned as a key node for technology, innovation and enterprise in Asia and around the world, so the Government first launched as part of a S$4.5 billion industry transformation program (Industry Transformation Maps - ITMs) at Budget 2016 (Min, 2018). The program integrated cross-cutting solutions and an industry-focused approach to address issues and deepen partnerships between the Government, firms, industries, trade associations and chambers (Ministry of Trade and Industry, 2017). Under ITMs, 23 industries are grouped into 6 clusters including manufacturing, built environment, trade and connectivity, essential domestic services, modern services, and lifestyle. Those industries together cover about 80% of Singapore's GDP (Min, 2018). Each ITM integrates productivity movement, skills development, innovation and internationalization. Jobs and skills of each ITM will support SSG-WSG to design skills programs which are suitable for the development strategy of each industry.

For example, the ITM for precision engineering predicts 3,000 new jobs for professionals, executive, managers and technicians (PMETs) in the precision engineering sector to come online by 2020 (Hui, 2016). IR 4.0 will shift the industry into new growth areas such as additive manufacturing, robotics, advanced materials, sensors and lasers and optics so that demands for precision engineers will increase. Under the roadmap for the precision engineering industry, it is crucial to equip workers to take on these new roles for precision engineering industry. Training programs for SkillsFuture will be designed to meet the future demands.

3.4. Skills development programs

Singapore's strategy for workforce improvement is to benefit everyone no matter where he/she is in life – schooling years, early career, mid-career or silver years. Based on the identification of fundamental skills needed in IR 4.0 and ITMs, the Government of Singapore introduced SkillsFuture to help Singaporeans get ready for new career opportunities instead of feeling scared of manpower challenges of the innovative businesses. SkillsFuture scheme comprises

a broader array of programs that meet requirements and develop all Singaporeans and attract participation of varieties of stakeholders. The programs are categorized into 5 levels of subjects, namely programs for students, for early-career employees, for mid-career employees, employers, and training providers (see Figure 2).

For students, programs, like enhanced internship, work-learn bootcamp, etc., intend to provide a full system of guidance to help them make well-informed choices in education, training, and careers. They also get benefits from internship or on-the-job training.

For new employees in the early phases of career, the programs provide updated knowledge and skills related to occupations and industries to make them stay relevant to the new economy of digitalization, internationalization, and innovation. They will also receive credits to pay for their wanted training courses.

For mid-career employees, the initiatives mainly encourage them to upskill or even

reskill by awards, fellowships or subsidies. There are a number of very short courses for their choice like a two-day program in the SkillsFuture for Digital Workplace.

For employers, the programs aim to promoting employer recognition and support them to organize training courses based on skills and mastery. Employers will get benefits as they participate in the SkillsFuture initiatives. For instance, they will be honored for their significant efforts in investing in workforce training in the SkillsFuture Employer Awards.

For training providers, the key importance is to boost the collaboration between them and other stakeholders like learners, companies, and the Government. SkillsFuture designed programs like SkillsFuture Series, SkillsFuture Credit, Skills Framework, SkillsFuture Mid-Career Enhanced Subsidy Training and Adult Education Sector Transformation Plan to benefit training providers but stimulate them to interact closer with other stakeholders.
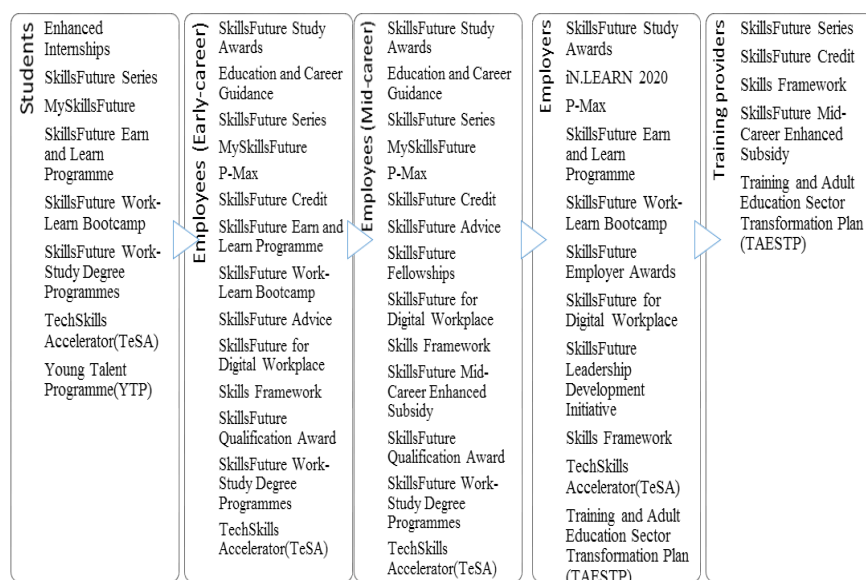

Figure 2.Categories of SkillsFuture programs (divided according to beneficiaries)(compiling from SkillsFuture's website)

This paper will list the ongoing skills development programs in details.

(i) Enhanced Internships: The programs are for second- or third-year students enrolled at the polytechnics and the Institute of Technical Education (ITE) with the aim of helping them make better career choices through real-world exposure to the industries and enabling them to make a better transition into the workplace. The Enhanced Internships are a component of full-time diploma courses with a greater level of company involvement in developing and mentoring interns.

(ii) SkillsFuture Series: They are industry-relevant training programmes that focus on emerging skills for every Singaporean with 3 proficiency levels of Basic, Intermediate and Advanced. At the starting stage, 8 emerging areas are selected, namely data analytics, finance, tech-enabled services, digital media, cyber security, entrepreneurship, advanced manufacturing, and urban solutions. Participants get 70% subsidy on course fees.

(iii) MySkillsFuture: This is a one-stop online portal that allows Singaporeans of all ages to access to industry information and tools to search for training programmes to broaden and deepen skills. Singaporeans get benefits from online assessment tools to understand themselves better, latest industry information and upskilling tips, and create their own learning journey based on their career and learning needs.

(iv) SkillsFuture Earn and Learn Program: This is a work-learn programme for fresh graduates who are within three years of either graduation from the Institute of Technical Education (ITE) and polytechnics or the Operationally Ready Date for National Servicemen. It is also for companies, societies and non-profit organisations that are registered or incorporated in Singapore. In essence,

SkillsFuture Earn and Learn Programmes are designed to push collaboration with industry and to ensure relevance to employers and the growth of the sector. Since 2015, the program has been introduced in 25 sectors, including Aerospace, Biomedical Sciences, Food Services, Games Development, Healthcare, Hotel, Infocomm Technology and Retail.

For fresh graduates, it provides them with more opportunities to build on the skills and knowledge with industry-recognised qualifications/certification, and better supports their transition into the workforce. They will get a sign-on incentive of S$5,000 and receive a competitive starting salary and full-time employment with participating companies.

For employers, they can recruit local fresh talents who have relevant skills and aptitude to meet the needs of the company. Participating employers will also receive a grant of up to S$15,000 per individual placed in the SkillsFuture Earn and Learn Programme to defray the costs of developing and providing structured on-job-training and to encourage them to set out career progression pathways.

(v) SkillsFuture Work-Learn Bootcamp (WLB): This is a work-learn programme that gives fresh graduates and mid-career individuals the relevant job-role specific behavioural, mind-set and technical skills in sectors with acute demand. Employers that are registered or incorporated in Singapore can participate in WLB.

For individuals, they undergo 8 to 12 weeks of intensive institutional training before seeking employment. They will have an opportunity to receive a competitive starting salary and full-time employment with participating companies, along with mentorship. Singapore citizens even receive a maximum training allowance of S$500 per month upon completion of training.

For companies, they can work more closely with the Polytechnics and ITE in designing a training programme that cater to specific job roles required in the company, recruit more effectively job-ready individuals, and receive a mentorship grant of S$5,000 per individual placed in WLB to provide mentorship for the individual.

(vi) SkillsFuture Work-Study Degree Programmes: the programs equip students with deep technical and essential generic skills and facilitate their transition from universities to workplace after graduation. The programmes are also open to in-employment upgraders. Basically, the curricula integrate institution-based learning with structured on-the-job training and the partnering companies support the development and delivery of the programmes, and assessing students' performance at the workplace. The SkillsFuture Work-Study Degree Programmes will generally be delivered in either of two modes: Term-in/Term-out (students alternate between spending one to two terms (or trimesters) in university and at the workplace) or Work-day/Study-day (students alternate between working three or four days in the partner company, and studying in university for the remaining one or two days each week).

(vii) TechSkills Accelerator (TeSA): This initiative is for information and communications technology (ICT) working professionals (Fresh ICT graduates, existing ICT professionals, and aspiring ICT professionals from both ICT and non-ICT backgrounds) in order to enhance training and placement opportunities for ICT jobs across the economy. TeSA is driven by Infocomm Media Development Authority (IMDA) in partnership with strategic partners such as Workforce Singapore (WSG) and SkillsFuture Singapore (SSG), and in collaboration with industry partners and hiring employers.

For ICT employees: with TeSA, they are facilitated with reskilling or upskilling to meet industry needs.

For employers: They will receive funding support from IMDA, WSG or SSG to implement the respective training programme, employ future-ready ICT professionals, and be able to upskill and deepen the skills of existing employees who are mid-level ICT professionals.

For the Government: TeSA helps them move closer towards achieving Singapore's vision of building a digital economy.

(viii) Young Talent Programme (YTP): This is for Singaporean Students or Singapore Permanent Residents who love to gain overseas work experience. YTP allows them to sign up for overseas internships and work and study programmes in order to prepare their future global careers. They will also receive a subsistence allowance for the duration of the programme.

(ix) SkillsFuture Study Awards: The awards are for early to mid-career Singaporeans who are committed to developing and deepening their skills in key sectors and have relevant working experience in such sectors. They aim to encourage Singaporeans to upgrade specialist skills needed for future economic growth sectors or in areas of demand. The recipients will receive a monetary award of S$5,000 to defray out-of-pocket expenses associated with the course fees. It can also be used on top of existing Government course fee subsidies. Over 500 study awards are given from October 2015 and up to 2,000 study awards annually at a later stage.

(x) Education and Career Guidance (ECG): ECG is a holistic and experiential effort for Singaporeans from different stages of life e.g. students, adults, individuals at different phases of their careers with the

aim of helping them make informed career decisions. ECG includes a number of activities from career talks, counselling, to one-to-one career coaching.

For primary, secondary, junior college and centralised institute students: ECG with dedicated counsellors helps them discover their strengths and interests and provides information on industries, occupations, courses and education institutions in Singapore. So they can make informed decisions on what to study, or learn which career might suit their interests, abilities and passions best.

For ITE and Polytechnic students: ECG sets up a minimum of 40–60 hours across two years for ITE students and three years for Polytechnic students. Students engage in ECG-related activities and lessons conducted in the classroom, and participate in out-of-classroom activities such as industry immersion programmes, learning journeys and career talks. So they can be well prepared for a smooth transition into the workplace.

For adults: they may access career advisory services through WSG-Careers Connect. New workforce entrants, mid-career switchers or individuals in career transition can benefit from the suite of career matching services that include career advisory, job search workshops and interactive career resources available at Careers Connect. These people may also get one-to-one career coaching, from professionally-certified Career Coaches.

(xi) SkillsFuture Credit: This aims to encourage all Singaporeans aged 25 and above to engage in lifelong learning. The participants will receive an opening credit of S$500 from January 2016. The credit will not expire and the Government will provide periodic top-ups so that the participants can accumulate their credit. SkillsFuture Credit can also be used on top of existing Government course subsidies to pay for a wide range of approved skills-related courses.

(xii) SkillsFuture Advice: This initiative aims to help Singaporeans understand the importance of lifelong learning and how they can tap on to available resources for their career planning and skills upgrading needs. It includes physical workshops and mobile and web learning. The workshops cover advice related to (i) how to be ready for new opportunities amidst a fast changing economy, (ii) how to plan for careers and understand career interests, (iii) what resources to support skills upgrading and career plan. SkillsFuture Singapore partners with Community Development Councils (CDCs), People's Association (PA), Workforce Singapore (WSG) and Employment and Employability Institute (e2i) to provide information through SkillsFuture Advice workshops.

(xiii) SkillsFuture for Digital Workplace: This is a national initiative that aims to prepare all Singaporean adults to become digital ready. This is a two-day programme (up to 18 hours) that will enhance ability to work in a technology-rich environment, to understand and apply cyber security in daily / work applications, and to know how to analyze data.

(xiv) Skills Framework: The Skills Framework is developed for individuals, employers, and training providers to provide up-to-date information on sector, career pathways, occupations/job roles description, skills description, and training programmes for skills upgrading and mastery.

Individuals in their early and/or mid-career can use the Skills Framework to make informed decisions on education and training, career development and skills upgrading based on information provided.

Employers can use the Skills Framework to design progressive human resource management and talent development plans based on the detailed skills information in the framework.

Training Providers can use the Skills Framework to gain insights into sector trends and skills in demand, which allow them to innovate and contextualise their curricula design and training programmes to suit the needs of the sector.

(xiv) SkillsFuture Qualification Award: This award is for all Singaporean workers to recognize their efforts to attain Workforce Skills Qualifications (WSQ). Singapore Citizens who attain a WSQ full qualification will be eligible for a cash award of S$200 or S$1,000. WSQ is a national credential system that trains, develops, assesses and certifies skills and competencies for the workforce. WSQ has different levels of qualifications including Certificate, Higher Certificate, Advanced Certificate, Diploma, and Specialist Diploma.

(xvi) SkillsFuture Mid-Career Enhanced Subsidy: It supports and encourages lifelong learning and helps mid-career individuals aged 40 and above stay responsive to a changing workplace. Eligible individuals receive higher subsidies of up to 90% of course fees for over 8,000 SSG-supported courses from 1 October 2015, and at least 90% of programme cost for Ministry of Education (MOE)-subsidised full-time and part-time courses.

(xvii) SkillsFuture Fellowships: It is patronized by the President of the Republic of Singapore to honour individuals as masters of skills and mentors of future talent, with a monetary award of S$10,000. The SkillsFuture Fellowships are open to all Singapore Citizens with at least 10 years of working experience in the same (or related) industry or job function.

(xviii) iN.LEARN 2020: Innovative Learning 2020 (iN.LEARN 2020) is a learning innovation initiative for all Continuing Education and Training (CET) partners and practitioners (training providers, adult educators, enterprises, consultants and technology vendors) who are interested in using innovation for learning design, development and delivery of blended learning. This initiative aims to push closer collaboration among CET partners and practitioners to enhance the quality, accessibility, and effectiveness of blended learning.

Within working of iN.LEARN, Institute for Adult Learning (IAL) sets up a learning innovation hub called iN.LAB where the CET community can come together to explore, collaborate and contribute to learning innovations. iN.LAB is designed and equipped with facilities, equipment and tools to support experimentation and collaboration on learning innovation. To seed the sharing and exploration of learning innovation, iN.LAB conducts four key events:

• InnovJam – Brainstorming of different learning innovations to improve training delivery and learning experience;

• InnovPlus – Competition of ideas to address learning issues in organisations. Prize money of up to S$200,000 will be awarded to winning ideas for prototype development;

• InnovLogue – Conversation with experts to learn from their experiences;

• Innovbites – Lunch-time quick bites for invited CET partners and practitioners to share tips-and-tricks and insider know-hows on learning innovations.

(xix) P-Max: P-Max is an Place-and-Train (PnT) programs that assist small and medium enterprises (SMEs) to better recruit, train, manage and retain their newly-hired PMETs, encourage the adoption of progressive human

resource practices within SMEs, and help to place job-seeking PMETs into suitable SME jobs. P-Max is working under four steps of job matching, workshop training, post-training follow-up, and assistance grant.

• Job Matching: Job-seeking PMETs will be screened and matched with suitable positions in hiring SMEs by Programme

Managers (PMs). SMEs with newly-hired PMETs are also eligible to participate.

• Workshop Training: SME supervisors and their newly-hired PMETs will attend respective SME and PME workshops. Both workshops enjoy up to 90% SSG course fee funding for Singaporeans, Singapore Permanent Residents, and SMEs.

P- Max				
	Association of Small and Medium Enterprises Place-and-Train programme (ASME PnT Programme)		Singapore National Employers Federation Place-and-Train programme (SNEF PnT Programme)	
	One-day SME Workshop	Three-day PMET Workshop	One-day SME Workshop	Two-day PMET Workshop
Course Fee Funding by WSG	Up to 90% course fee funding			

Figure 3. A description of P-Max(P-MAX brochure, 2017)

• Post-Training Follow-up: Upon completion of both workshops, P-Max programme managers will follow up with the newly-trained PMETs and their SME representatives for a period of six months.

• Assistance Grant: SMEs that successfully complete the six-month follow-up and retain their newly-hired PMET employee(s) will then be eligible for a one-off grant of S$5,000.

(xx) SkillsFuture Employer Awards: It is patronized by the President of the Republic of Singapore to honor employers for their significant efforts in investing in their employees' skills development and their advocacy for SkillsFuture. The Award is open to all Singapore registered entities, including small and medium enterprises (SMEs), corporations, and voluntary welfare organisations with two categories: SkillsFuture Employer Awards for Small and Medium Enterprises (SMEs) and SkillsFuture Employer Awards for Non-SMEs.

(xxi) SkillsFuture Leadership Development Initiative (LDI): This initiative aims to develop Singaporean business leaders for the next generation through in-house leadership development programmes. It is eligible for all Singaporeans who are keen to enhance their corporate leadership competencies and for employers who are dedicated to developing the leadership potentials of their Singaporean employees.

3.5. Outcomes of skills development programs

Programs involving lifelong learning and skills mastery are increasingly attracting more and more participants. This indicates that the Government of Singapore ispreparing well for future workforce. The detailed description of outcomes are seen in Table 1.

Table 1. A summary of the outcomes of skills development programs

(Source: summarized from statistics of SkillsFuture Year-in-view in 2016, 2017, 2018)

Programs	2016	2017	2018
Enhanced Internships	about 290 polytechnic and ITE courses offered	by 90% Polytechnic & ITE Courses offered	N/A
SkillsFuture Series	N/A	Over 2,100 Singaporeans in 8 emerging skills areas	Over 30,000 Singaporeans
MySkills Future	N/A	Over 1.9 million users visit and over 268,000 log-ins since launch	7.6 million users visit to MySkillsFuture.
SkillsFuture Earn and Learn Programme	Total of 40 programs	76 programs for graduates from polytechnics and ITE	Over 100 programs in 35 sectors
SkillsFuture Work-Learn programmes	N/A	N/A	Over 3,500 participants
SkillsFuture Work-Study Degree	N/A	10 skillsfuture work-study programmes have been launched	About 150 participants
Young Talent Program	Over 500 polytechnic and ITE students received funding support to participate in overseas immersion programs	Over 1,400 Polytechnic & ITE students received funding support to participate in overseas immersion programs	N/A
Skillsfuture Study Awards	Over 700 Singaporeans awarded from 20 sector agencies and 27 areas of specification	Over 2,400 award recipients from 21 sector agencies and 31 specialised areas	About 3,800 award recipients
Skillsfuture Credit	Utilized by over 126,000 Singaporeans and over S$18,000 used for credit	Benefitted over 285,000 Singaporeans	Utilized by about 431,000 Singaporeans
SkillsFuture Advice	N/A	Over 4,600 Singaporeans attended the workshops since launch	Over 52,000 individuals attended workshops

SkillsFuture for Digital Workplace	N/A	Over 4,600 Singaporeans participated since launch	Over 25,000 Singaporeans
Skills Frameworks	3 frameworks launched; 7 frameworks in the pipeline	14 frameworks rolled out	25 frameworks rolled out
Skillsfuture Mid-career Enhanced Subsidy	About 9,000 courses are subsidized for over 69,000 Singaporeans	About 120,000 Singaporeans subsidized	About 170,000 Singaporeans subsidized
SkillsFuture Fellowships	N/A	27 recipients	56 Recipients
SkillsFuture Employer Awards	N/A	14 awards	41 awards

4. Recommendations for Vietnam

The world of work now is changing quickly and unpredictably with the presence of IR 4.0. It puts challenges on all economies to transform and adapt. The key solution to overcome these challenges is the workforce which will help economies thrive in the future. So, how does Vietnam learn from Singapore's experience in preparing for a future-ready workforce?

The labor productivity of Vietnam is evaluated to be very low in comparative relation with some East Asian and ASEAN countries. A report assessing the competitiveness of countries' human resources showed that Vietnam ranked 92 out of 125 countries (The Adecco Group & Tata Communications, 2019, p. 212). According to the World Economic Forum (WEF)'s Readiness for the Future of Production Report, Vietnam was ranked 90th in technology and innovation and 70th in human capital, among 100 countries (The World Economic Forum & A.T. Kearney, 2018, p. 251). It leads to the fact that Vietnam is to be positioned among those that are currently not ready for IR 4.0. So, how can Vietnam catch up with IR 4.0 and

take advantages of the industrial revolution? The answer is definitely to shape a future in which people are at the heart of economic growth and social progress. The entire education system must recognize the diversity of strengths and talents of each Vietnamese; and one of the most important goals of education is to nurture talents and encourage lifelong learning needs of learners (Phung, 2018). In other words, it is critical to improve human resources by encouraging Vietnamese people to keep deepening and mastering their skills, knowledge and experience at every stage of life.

The idea of lifelong learning was formally institutionalized in Vietnam in the law on education in 1998 (Education Law, 1998). After that, this concept was stated in the Prime Minister's Decision No. 112/2005/QĐ-TTg to approve the scheme on building a learning society in the period 2005-2010 and in his Decision No. 711/QĐ-TTg approving the 2011-2020 education development strategy. It showed that Vietnam has a supportive legal framework for development of lifelong learning. Vietnam even has launched some lifelong learning centres under the support of UNESCO. However, lifelong learning

opportunities in Vietnam are limited and develop very slowly due to obstacles like conceptual, institutional, structural, financial, and individual obstacles For example, lifelong learning is conceptually considered as responsibility of only the education sector; many people feel that lifelong learning is not necessary for their careers; university-industry collaboration is still weak; mid-career professionals are too busy to pursue lifelong learning (Pham, 2014). These were used to be problems of Singapore when they planned to shift onto culture of lifelong learning and skills mastery. So, experience from Singapore should be considered. Singapore's approach focuses on both the mindset and the sources to support continuous learning, reskilling and job replacement in the rapidly changing context.

Firstly, it is essential to raise awareness of lifelong learning and skills upgrading. In 2011, a week of lifelong learning was launched in Hanoi for the first time (UNESCO, 2011) with multiple activities like seminars providing information or mass media promotion to enhance communication. Even though it is a positive activity, it does not tackle the root of the problem. Looking deeper into the problem, Vietnamese learners suffer from a degree-illness (they learn for degrees rather than for skills) while employers are not yet aware the significance of training to reduce cost and increase efficiency (Pham, 2014). Administrators also think that lifelong learning is a matter of training providers. Lifelong learning in Vietnam is based on five pillars, namely formal education, vocational education, distance education, comtinuing education centers, and community learning centers (ASEM LLL Hub & UNESCO Hanoi, 2010). Singapore's approach is quite different. They claim that the main stakeholders of lifelong learning and mastery skills, in the context of fast-changing employment, are employees (or learners), employers, and training providers. Learners learn what they are interested in and what is suitable for real-world of work. Meanwhile, employers, along with training providers, create the best learning opportunities for their workers. Therefore, the paper recommends for Vietnam regarding awareness as follows:

To begin with, education policy makers should re-emphasize that the subjects of lifelong learning are employees (including both current and future employees), employers, and training providers. Policies should involve or directly deal with the matters of these three groups.

Next, policy makers need to recognize and understand challenges that prevent these groups from investing in learning throughout their life. Specifically, the Government of Vietnam, together with Trade Union conducts a survey to identify key challenges in future-proofing the workforce in the midst of changing jobs and skills. The survey should cover all stakeholders of the economy, including Trade Unions, working people, students, employers, management, human resources practitioners, institutes of higher education, training providers, consultancies, and Government agencies, amongst others.

Besides, the Government should disseminate pertinent information about the changing nature of jobs and skills, negative and positive impacts on employees and employers, commitments of the Government to support lifelong learning, successful stories of lifelong learning, etc. through effective communication channels such as mass media, seminars, conferences, public discussions, etc. For example, Vietnam can apply an initiative of MyskillsFuture, which is a one-stop online portal allowing learners to chart their own

career and lifelong learning pathways through access to industry information and tools to search for training programs to broaden and deepen skills.

Furthermore, It is necessary for the Government to tidentify necessary skills that will guide Vietnamese workforce to match up with employments of the future. As technological breakthroughs rapidly shift the frontier between the work tasks performed by humans and those performed by machines, global labour markets are undergoing major transformations. Many existing jobs will disappear just in a few coming years. What is being taught at schools will soon become obsolete. These transformations, without good management, will pose the risk of widening skills gaps and will consequently make a number of future employees jobless. The Government of Vietnams should set out industry transformation maps like Singapore in order to examine deeply the industry landscape, the future trends, and what skills need to upgrade. Accordingly, the Government will design accurate roadmaps for mastery skills and lifelong learning for Vietnamese workforce.

Finally, It is necessary for the Government to construct specified action programs that will be a holistic support for all Vietnamese people, companies and training institutions to participate in lifelong learning and skills development. Vietnam can learn from Singapore in dividing target groups into students, early-career workers, mid-career workers, employers, and training providers and then designing appropriate programs for each group. This paper will propose some appropriate programs in the case of Vietnam, for example,

(i) For students, they need to develop their autonomous and independent learning, learn

for skills instead of for degree, and learn what interests them. The initiative of Education and Career Guidance (ECG) will probably be helpful for Vietnamese students because it aims at equipping students with the necessary knowledge, skills and values to make informed education and career decisions. The ECG will provide relevant and timely support to individuals at different life stages though ECG Counsellors in small groups or through individual appointments. They will participate in out-of-classroom activities such as industry immersion programmes, learning journeys and career talks to make informed decisions on what to study, or learn which career might suit they best. The SkillsFuture Work-Learn Bootcamp (WLB) is also a good choice. WLB's participation will undergo 8 to 12 weeks of intensive institutional training before seeking employment so that students can understand the relevant job-role specific behavioural, mind-set and technical skills.

(ii) For early-career employees, they need to gain relevant work experience and skills valued by the industry, acquire emerging skills to prepare for future development and simultanously receive salary to afford themselves. The SkillsFuture Earn and Learn Program is presumably suitable for Vietnamese context. This is a work-learn program that gives fresh graduates a head-start in careers related to their discipline of study and allows them to get a sign-on incentive of S$5,000. In addition, SkillsFuture series which are industry-relevant training programmes on emerging skills like data analytics, digital media, cyber security, entrepreneurship, etc. will benefit Vietnamese young workers to get ready for the digitalized world of work.

(iii) For mid-career employees, they need to upskill to get promotion or reskill to transform their career. They are affected by a variety of challenges like family duties,

ages, times, and fear of change, of trying something new and of failing, etc. Some initiatives may be useful to encourage these people to take part in upskilling and reskilling such as SkillsFuture Credit that provides an opening credit of S$500 and periodic top-ups for participants to pay for or offset skills related course fees, SkillsFuture Mid-Career Enhanced Subsidy for people aged 40 and above who will receive up to 90% course fee subsidy for SSG-funded courses, SkillsFuture Qualification Award that encourages workers to pursue career progression and explore new job opportunities, and SkillsFuture for Digital Workplace that aims to prepare the workforce with the digital skills and mindset to take advantage of the opportunities in the future economy.

(iv) For employers, the programs should focus on raising awareness of the importance of staff training, support them to organize on-the-job trainings, and stimulate the cooperation between companies, training institutions and the Government. SkillsFuture Earn and Learn Program, which allows employers to receive up to S$15,000 to offset the cost of developing and providing the structured training, will be a great paradigm for Vietnam. SkillsFuture Employer Awards is another incentive for employers to recognize their efforts in investing in their employees' skills development and their advocacy for building a lifelong learning culture in their workplaces.

(v) For training institutions, their primary role is to work together with other partners to equip the workforce with a wide spectrum of relevant skills to meet the demands of the economy driven by innovation and productivity. Skills Framework is an effective tool to raise cooperation among employers, industry associations, education institutions, unions and Government. Other programs like

SkillsFuture Series and SkillsFuture Credit also contribute to boosting the involvement of training institutions in the development of skills upgrading and mastery.

These above-mentioned programs are feasible to apply to Vietnam because they will solve the challenges of disseminating lifelong learning in Vietnam. They are also compatible with the policy on workforce development in Vietnam and simultaneously complement other programs conducting in Vietnam like supporting university-business collaboration, developing high-quality vocational education and training institutions, Start-up Ecosystem,etc. in term of improving high-skilled workforce.

5. Conclusion

The study answered two research questions about Singaporean experience in preparing its workforce for IR 4.0 and how Vietnam can learn from such experience. Singapore is successful in making roadmaps for future-ready workforce. Singapore, now, is becoming a nation of lifelong learners and a society that values skills mastery. They reimaged learning pathways for Singaporeans towards an integrated system with no dead ends. People, regardless of age or education, enjoy learning for life, love to pursue skills mastery, actively participate in skillsfuture initiatives, and contribute to moving Singapore towards an digitally advanced economy and society. This is really an impressive culture shift. Vietnam and Singapore, which are member states of ASEAN, have similar characteristics in culture, demographics and even economy, hence Vietnam should contextualize Singapore's experience to develop our workforce for the future. Within the scope of this paper, a specified approach to tomorrow's workforce preparation is suggested for

Vietnam. They are (i) a rise in mindset, (ii) industry transformation maps to identify necessary skills for future workforce, and (iii) action programs that enable individuals to learn for life, pursue skills mastery and develop fulfilling careers.

Because many initiatives on lifelong learning and skills mastery are implementing in Singapore, the paper cannot analyze the feasibility of each of them in the context of Vietnam. It is a limit of the paper. The paper also accepts that the suggested approach is not enough to put Vietnamese existing and future workers in readiness for IR 4.0 and that experience of Singapore is just a case study, not a perfect copy for Vietnam. It is hoped that the analysis will spark off further intensive research on preparing capacities for the future workforce.

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PHÂN TÍCH KINH NGHIỆM CHUẨN BỊ NGUỒN NHÂN LỰC TƯƠNG LAI CỦA SINGAPORE VÀ ĐỀ XUẤT CHO VIỆT NAM

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Tóm tắt: Bài báo trước hết phân tích các sáng kiến của Singapore chuẩn bị nguồn nhân lực cho Cuộc cách mạng Công nghiệp lần thứ tư, sau đó kiến nghị với các nhà hoạch định chính sách Việt Nam định hướng phát triển nguồn nhân lực cho tương lai. Trong kỷ nguyên số với tốc độ thay đổi nhanh chóng, nguồn nhân lực là nhân tố then chốt để duy trì và phát triển kinh tế, do đó chiến lược phát triển của Singapore tập trung vào việc tạo ra thế hệ sẵn sàng đáp ứng yêu cầu của tương lai, góp phần tạo nên một Singapore phồn thịnh hơn. Singapore ngay từ bây giờ đã tập trung vào đào tạo nguồn nhân lực chất lượng thông qua sáng kiến học tập suốt đời và thành thạo các kỹ năng để nắm bắt cơ hội tương lai. Singapore đã làm gì để chuẩn bị cho nguồn nhân lực tương lai? Việt Nam có thể học hỏi được gì từ kinh nghiệm của Singapore? Bài báo này sẽ trả lời hai câu hỏi trên. Kết quả phân tích đã chỉ ra rằng (i) Chính phủ Singapore đã thực hiện cách thức tiếp cận vấn đề toàn diện và thành công trong xây dựng hệ sinh thái các kỹ năng cần thiết cho phát triển bền vững nguồn nhân lực và văn hóa học tập suốt đời, và (ii) Việt Nam cần suy nghĩ về chiến lược phát triển nhân lực tương lai của đất nước thông qua việc thay đổi nhận thức về học tập suốt đời, nâng cao kỹ năng, xác định rõ các kỹ năng cần thiết cho công việc tương lai, và xây dựng các chương trình hành động khuyến khích mỗi người dân học tập suốt đời, thành thạo kỹ năng và làm chủ sự nghiệp tương lai.

Từ khóa: nguồn nhân lực tương lai, học tập suốt đời, thành thạo kỹ năng, cách mạng công nghiệp lần thứ tư

THE USE OF PHRASAL VERBS IN ENGLISH LANGUAGE RESEARCH PROPOSALS BY VIETNAMESE M.A. STUDENTS

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Abstract: Phrasal verbs are highly common in and typical of the English language. However, ESL/EFL students in different contexts seem to avoid using them in their academic writing, especially in English applied linguistics. This study aims at investigating the use of phrasal verbs in the research proposals among Vietnamese M.A. students who were studying at one university in Vietnam. Nineteen research proposals chosen in this study cover 5 major themes, including TESOL Methodology, Discourse Analysis, Linguistics, Literature, and Translation. The data were analyzed by the software AntConc version 3.7.8. The findings of the study indicated that the participants had a tendency to avoid using phrasal verbs in their M.A. research proposals. Furthermore, they did not utilize many among top 100 common phrasal verbs in BNC by Gardner and Davies (2007). With respect to the functions of phrasal verbs, Vietnamese M.A. students used different subcategories in syntax and semantics. Nevertheless, they paid more attention to the use of transitive and inseparable phrasal verbs as well as phrasal verbs with semi-idiomatic and fully-idiomatic meanings.

Keywords: phrasal verbs, M.A. research proposals, syntax, semantics

1. Introduction

Along with the widespread use of lexicon, phrasal verbs serve as an integral domain of linguistic phenomena. Celce-Murcia and Larsen-Freeman (1999); Gardner and Davies (2007); Siyanova and Schmitt (2007) agree that phrasal verbs are considered one of the most challenging phenomena in the English language. Some researchers express different viewpoints on phrasal verbs in linguistics from various angles. Gardner and Davis (2007) state that phrasal verbs, which are composed of two major elements: one open-class item (the verb) and one closed-class item (the particle), are referred to as the multi-word middle ground of lexis and grammar. Davies (2009) indicates that phrasal verbs are on the interface betweeen the syntax and semantics aspects. Ellis (1985) emphasizes the significance of phrasal verbs in syntax and phonology. It is, notwithstanding, noticed that in the English language, phrasal verbs are considered one of the most distinctive and creative features. However, the use of phrasal

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verbs in academic writing may not receive much attention from students in general.

Although phrasal verbs are largely found in spoken and informal English language, several researchers such as Fletcher (2005) and McCarthy and O'Dell (2004) assume that phrasal verbs universally appear in written and formal English. Additionally, Fletcher (2005) claims that phrasal verbs can also appear in all types of written text and play as an effective tool to convey the writer's messages. While native speakers seem to use phrasal verbs frequently because of their "characteristics of flexibility, practicability, adaptability and efficiency" (Chen, 2007, p. 350), non-native speakers find it difficult to acquire them owing to the permeability (e.g., Celce-Murcia & Larsen Freeman, 1999; Darwin & Gray, 1999; Moon, 1998).

Phrasal verbs are also challenging to Vietnamese students because of the following reasons. One reason is that English phrasal verbs are characterized by their extreme uniqueness when compared with Vietnamese. As Celce-Murcia and Larsen-Freeman (1999) assure, phrasal verbs rarely occur in non-Germanic language. While there appear many phrasal verbs in English, we cannot find phrasal verbs in Vietnamese. Another reason is that phrasal verbs in English have a wide range of variability in syntax and semantics. The fact that phrasal verbs have various variabilities in syntax and sematics makes students who learn English as second language face challenges (Sinclair, 1989). When using phrasal verbs, students have to concentrate on different factors, including meaning, form, and use. As Hasbun (2005) indicates, "learners need to keep in mind that these multi-word units are necessary if natural communication is to happen. For example, in order to acquire phrasal verbs, students need to understand their form, their meaning and their use" (p. 2). Moreover, the prejudice of their use for colloquial and informal context is one reason that students do not use phrasal verbs so often (Dagut & Laufer, 1985; Laufer & Eliasson, 1993). Furthermore, the diversity in the form and the meaning is another reason why phrasal verbs are challenging to students (Gardner & Davies, 2007). For example, some phrasal verbs have fixed structures while others are more flexible with the movement of particles in structures. In conclusion, these afore-mentioned reasons might prevent Vietnamese students from using phrasal verbs in formal contexts.

In terms of research on phrasal verbs in Vietnam, some studies have been implemented so far. For instance, Nguyen and Phan (2009) and Huynh andVo (2015) identify the beneficial impacts of conceptual metaphors on teaching phrasal verbs to Vietnamese students. However, little research discussing the use of phrasal verbs in academic writing, especially in M.A. research proposals, has been operated.

The present study focuses more on academic writing, especially in research proposals because it is obvious that academic writing plays integral roles in higher education. In academic writing, Gocsik (2005) clarifies that in order to understand academic writing, it is imperative to base on three main concepts: (1) academic writing is "writing done by scholars for other scholars" (p. 1); (2) academic writing mainly focuses on the topics or questions in the favour of the academic community; (3) academic writing aims at meeting the academic readers' expectations. In terms of research proposals, Saunders, Lewis and Thornhill (2016) state that it is of essence to follow academic writing styles. In order to attain profound insights of the usage of phrasal verbs among students when they write their research proposals, this study aims at examining this issue among M.A. students at one university in Vietnam. Two research questions to be addressed in this study are as follows:

1. What phrasal verbs are used in English Applied Linguistics research proposals written by Vietnamese M.A. students at one Vietnam-based university?

2. What are the functions of phrasal verbs used in English Applied Linguistics research proposals written by Vietnamese M.A. students at one Vietnam-based university?

2. Literature review

2.1. Definitions of phrasal verbs

According to Collins Cobuild of Dictionary of Phrasal verbs, phrasal verbs are defined as "combination of verbs with adverbial and prepositional particles". In some cases, phrasal verbs are given different names such as "compound verb", "verb-adverb combination" or "verb-particle construction". Some of common verbs used in phrasal verbs are "come", "go", "look", "make", "put", "take"… and some popular particles that form phrasal verbs are "at", "away", "down", "off", "on", "out", "up" … When the verbs combine with the particles, the meanings of the combination, in most cases, cannot be inferred from the meanings of the two separate parts. Take "put out" as an example. Oxford Advanced Learner Dictionary defines "put" as "to move something into a particular place or position" and "out" means "away from the inside of a place or thing". However, one of the meanings of "put out" is "to leave a port". It is concluded that not only are phrasal verbs the basic structures of utterances, but they also exist as complete meaningful units. Stephen (2002) defines a phrasal verb as a combination of a verb and one or two particles, all of which function as a single word. An adverb, a preposition or even both adverb and preposition can act as particles. Quirk et al. (1985) and Biber et al. (1999) indicate that phrasal verbs have both the semantic and syntactic elements. In short, phrasal verbs are the combination of verbs with particles.

2.2. Semantic functions of phrasal verbs

In terms of semantic elements, according to Downing and Locke (2006), the meanings of phrasal verbs are split into three major subcategories, including non-idiomatic, semi-idiomatic, and fully idiomatic. With respect to non-idiomatic meaning, learners can understand the meanings of the phrasal verbs easily by using the combination of the individual lexical meaning of the verb and the particle. For example,

(1) I **ran across** the street. (Oxford Living Dictionaries)

In semi-idiomatic phrasal verbs, the verb keeps its literal meaning while the particle serves the intensifying function. For instance,

(2) I need to change and **clean up**. (Oxford Advanced Learners Dictionary)

It is commonly difficult to identify the meanings of fully idiomatic phrasal verbs because they have new meanings, which cannot be deduced from the meanings of each part in the combination. Some examples of "take+particle" (Oxford Advanced Learners Dictionary) are in the following sentences:

(3) Your daughter doesn't **take after** you at all. (to look or behave like an older member of your family, especially your mother or father)

(4) We were simply **taken apart** by the other team. (to defeat somebody easily in a game or competition)

(5) He was homeless, so we **took** him **in**. (to allow somebody to stay in your home)

(6) Workmen arrived to **take down** the scaffolding. (to remove a structure, especially by separating it into pieces)

(7) It has been suggested that mammals **took over** from dinosaurs 65 million years ago. (to become bigger or more important than something else; to replace something)

As can be seen in the examples above, when the particles change, the meanings of the verb "take" in the phrasal verbs change as well. It is because "they differ from mainstream adverbs in having very little semantic content" (Börjars & Burridge, 2010, p. 99).

2.3. Syntactic functions of phrasal verbs

In syntax, phrasal verbs can be characterized by transitive, intransitive, seperability and inseperability (Lessard-Clouston, 1993). This can be shown by the following examples from Collin Cobuild Dictionary:

Transitivity: (8) She asked me to **fill in** the form.

Intransitivity: (9) The young secretary always **turns up** early. (arrives)

Separability:

(10) I **write** the lesson **down**.

(11) I **write down** the lesson.

Inseparability: (12) I'm **counting on** you to send me the information by the end of the day.

2.4. The use of phrasal verbs

Phrasal verbs appear in all aspects of language use, especially in written form of communication. In the research on the 100-million-word BNC, Garner and Davies (2007) identify that two phrasal verbs occur in every 192 words per page of written text on average, which demonstrate the frequency of phrasal verbs in language use. However, owing to the complexity in terms of syntax and semantics, they are notoriously difficult to students who learn English as a second language (Sinclair, 1989). The previous empirical studies (Dagut & Laufer, 1985; Hulstijn & Marchena 1989; Laufer & Eliasson 1993) show that learners have a tendency to use one-word verbs instead of phrasal verbs. One of the reasons for this is that they do not have a profound understanding of the syntactic and semantic elements of phrasal verbs.

2.5. Previous studies on phrasal verbs

Many researchers have recently focused on phrasal verbs. Regarding the use of phrasal verbs, a study conducted by Faharol, Norlizawati and Hifzurrahman (2011) in a secondary school in Kedah, Malaysia attempted to explore the word choice between phrasal verbs and one-word verbs among students. In the study, the participants are 40 students aged 16 years old. With the use of questionnaires and interview, the finding of the study revealed that students preferred to use both phrasal verbs and one-word verbs. The students, however, tended to avoid unfamiliar phrasal verbs. Liao and Fukuya (2002) conducted a study on figuring out the avoidance of using English phrasal verbs among Chinese learners concerning their advanced and intermediate levels, phrasal verbs types and test types. The findings of the study revealed that both advanced and intermediate learners tended to avoid using phrasal verbs and prefer using one-word verbs and to produce less figurative than literal phrasal verbs. Furthermore, Chinese learners paid more attention to the semantic nature of phrasal verbs in translation tests.

In order to identify the most frequent phrasal verbs, Trebits (2009) implemented a study to investigate the use of phrasal verbs in English language European Union documents. Approximately 200,000 words were tested in the corpus of EU English to find out the most frequent phrasal verbs. The results showed that there were 25 top phrasal verbs of all phrasal verbs occurred in the corpus. The frequency of phrasal verbs in documents in European Union was similar to that in written academic English.

In the context of Vietnam, Tran and Duong (2013) conducted a study on the use of hedges in academic writings in both sections of research article in Applied Linguistics

and Chemical Engineering. The findings of this study showed that the use of hedges in Applied Linguistics was more frequent than that in Chemical Engineering. Huynh et al. (2015) investigated the methods to teach and learn phrasal verbs using conceptual metaphor at Tra Vinh University. The participants, first year undergraduate students majoring English, were taught with traditional methods and conceptual metaphors. Afterwards, their understandings about phrasal verbs were tested by pre-tests and post-tests. The findings affirmed that the conceptual metaphors brought more benefits on comprehension than the traditional instructions. However, there has been little research on the use of phrasal verbs in English Applied Linguistics research proposals by Vietnamese M.A. students.

3. Methodology

3.1 Research design and data

This study employed qualitative and quantitative methods to investigate the use of phrasal verbs in research proposals produced by students of Master of Arts (M.A.) in English Applied Linguistics. The former is for analyzing the frequency of phrasal verbs, while the latter is for scrutinizing the functions of the examined phrasal verbs.

The data used in this study was the 19 research proposals of M.A. in English Applied Linguistics. The reason for selecting M.A. students was to ensure that all the participants had a moderately high level of English proficiency based on results of their MA entrance exams (English language profiency tests). Furthermore, the corpus consisting of research proposals of M.A. in English Applied Linguistics showed the relatively equal level of the use of English among M.A. students. Furthermore, the choice of research proposals of Master of Arts was to ensure that the writing styles was of academic writing as Hillard and Harris (2003) indicate that "Academic writing names the kind of intellectual prose students are expected to produce as undergraduates: writing that takes a sustained interest in an issue under consideration and gathers much of its evidence from a careful reading of sources" (p.17). As can be seen in Table 1, those who wrote research proposals were 19 M.A. students, including 5 males and 14 females, aged from 20 to over 40 and had experience in teaching from under 5 years to over 10 years in primary schools, lower secondary schools, upper secondary school and universities, accounting for 5.3%, 57.9%, 31,6% and 5.3%, respectively. As described in Table 1, the copus was composed of over 99 thousand words representing the common and frequent patterns of written English on different major themes such as Linguistics, Literature, Translation, Discourse Analysis, and TESOL methodology.

Table 1. The corpus of transcripts

Type	Type of research	Total of words	%
TESOL Methodology	10	52946	53.3
Discourse analysis	4	23473	23.6
Linguistics	3	16891	17
Translation	1	2360	2.4
Literature	1	3677	3.7
Total	19	99347	100

The purpose of this study is to examine the use of phrasal verbs in the M.A. students research proposals, so the choosen samples must meet the following criteria:

- The students must complete all of the compulsory subjects in the M.A. courses before writing the research proposals.

- The proposals must be written by M.A. students in English Applied linguistics.

- Each proposal must contain at least 2,000 words.

3.2 Procedures for data collection and analysis

This corpus-based research mainly concentrates on investigating the use of phrasal verbs in 19 MA research proposals. Moreover, the study is an attempt to find out the functions of the phrasal verbs used in 19 MA research proposals in terms of syntax and semantics. With respect to the syntax functions, the functions of phrasal verbs are explored in terms of the transitivity, intransitivity, separability and inseparability. Concerning semantics, non-idiomatic, semi-idiomatic and fully idiomatic meanings of phrasal verbs are focused.

To achieve this objective, quantitative analysis was first conducted to investigate the frequency of phrasal verbs to identify the use of phrasal verbs in the research proposals by M.A. students. In the study, the lists of the most commonly used phrasal verbs and the least used phrasal verbs were also explored and then compared with the top 100 Phrasal Verb Lemmas in BNC by Gardner and Davies (2007). AntConc 3.7.8w (2018) was used to capture the use of the most frequent adverbial particles and the most frequent lexical verbs as listed above in 19 MA students' research proposals. Counts were made of total in order to investigate the use of phrasal verbs in MA students' research proposals. The quantitative analysis includes

keywords, collocates and concordance line analysis. So as to create keyword lists, AntConc first took all the corpus and made a list of every word that appeared in it and the times it appeared. Afterwards, collocate analysis was implemented by picking specific lexical verbs as well as their lexical verb lemmas to analyze thoroughly about the use of phrasal verbs. When a lexical verb was statistically more relevant to the adverbial particles of the corpus, it was added to that corpus keyword list. If a lexical verb was not statistically relevant to either corpus, it was left off the lists. Concordance lines, or key words in context, were rather similar to collocates to help the researcher observe the word as it appeared in the text files. They were, however, longer than collocates and showed a snippet of each sentence in which the target word appeared. Double-check was employed in order to increase the reliability of data analysis. Two double checkers and researchers had to reach to an agreement level of reliability (over 95%).

The qualitative data analysis was then used to provide examples taken from the 19 research proposals.

4. Results and discussion

4.1 Results

4.1.1 The use of phrasal verbs in English Applied Linguistics research proposals

The M.A. students' research proposals are classified into 5 main categories, including TESOL Methodology, Discourse Analysis, Linguistics, Translation, and Literature. As can be seen in Table 2, Methodology accounted for the highest number of phrasal verbs with 113 (0.358%), followed by Discourse Analysis with 59 occurrences of phrasal verbs (0.128%) and Linguistics with 46 occurrences of phrasal verbs (0.102%). The number of phrasal verbs in Translation and Literature were the two

lowest with 7 (0.017%) and 10 (0.051%), respectively. Similarly, when it comes to the comparison of the frequency of phrasal verbs in the 5 categories, Methodology ranked first with 356 phrasal verbs, followed by Discourse Analysis (127) and Linguistics (101). The two lowest frequencies of phrasal verbs were Translation (17) and Literature (15). In

conclusion, the frequencies of phrasal verbs were distinctive in the 5 categories. Moreover, participants of this study tended to use more phrasal verbs in TESOL Methodology, whose frequency is approximately two-third phrasal verbs of Discourse Analysis, ranking second in Table 2 and 23 times higher than Translation and Literature.

Table 2. The number of phrasal verbs

Type	Number of Phrasal verbs	Frequency of Phrasal verbs	% in the whole types
TESOL Methodology	113	356	0.358
Discourse analysis	59	127	0.128
Linguistics	46	101	0.102
Translation	7	17	0.017
Literature	10	15	0.051
Total	235	618	100%

List of the 10 most common phrasal verbs used

Ten most commonly used phrasal verbs were listed as follows. As can be seen in Table 3, FIND OUT ranked first with 69 times of occurrences, accounting for 17.9 % of phrasal verbs used in 19 research proposals by Vietnamese M.A. students. BASE ON, REFER TO and RELATE TO accounted for 59, 51 and 45 of occurrences, making up to 15.3 %, 13.2 % and 11.6 % respectively. The next phrasal verbs of the 10 most common phrasal verbs list in the M.A. research proposals triggered by DEAL WITH and CARRY OUT with the same number (34) and percentage (8.8%). CONSIST OF, which accounts for 30 occurrences, signals up to 7.8 %. Making up of 5.7 % and 5.4 % respectively, DEPENDING ON and POINT OUT ranked eighth and ninth respectively in

the list. The least used phrasal verb in the top ten list is CONTRIBUTE TO with 20 occurrences, accounting for only 5.2 %. The number of top ten used phrasal verbs was more than half of all phrasal verbs used in M.A. research proposals, making up of 62.5%.

In comparison with the most frequent adverbial particles and lexical verbs in phrasal verbs through gathering the data from BNC which were conducted using 100-million-word British National Corpus (BNC) by Gardner and Davies (2007), the results from this study showed that only 2 phrasal verbs (CARRY OUT and POINT OUT) appeared in the frequency and coverage of top 100 Phrasal Verb Lemmas in BNC by Gardner and Davies (2007).

Table 3. List of the 10 most common phrasal verbs used

Phrasal verbs	Number	%
Find out	69	17.9
Base on	59	15.3
Refer to	51	13.2
Relate to	45	11.6
Deal with	34	8.8

Phrasal verbs	Number	%
Carry out	34	8.8
Consist of	30	7.8
Depend on	22	5.7
Point out	21	5.4
Contribute to	20	5.2
Total	385	62.5

List of the least common phrasal verbs used

In terms of the least common phrasal verbs used in M.A. research proposals, there were 30 phrasal verbs used only once in 19 research proposals such as ADD TO, BRING INTO, CLOSE DOWN, COPE WITH, COUNT FOR, COME FROM, COME OUT, DECIDE ON, DEMAND ON, DRESS UP, GET BACK, GO UP, HEAD OFF, INTERFERE WITH, LOOK INTO, LOOK UP, PICK OUT, SEEK OUT, SET APART, SET OUT, SET UP, SHAPE UP, SORT OUT, SPEAK OUT, STAND FOR, STIR UP, RUN THROUGH, TAKE ON, THINK ABOUT, WORK ON. Among 30 phrasal verbs mentioned above, only 6 phrasal verbs, including SET UP (3), COME OUT (13), SET OUT (18), GET BACK (20), LOOK UP (26) and PICK OUT (75) were on the list of top 100 Phrasal Verb Lemmas in BNC by Gardner and Davies (2007).

List of the phrasal verbs for Person Test of English (PTE) academic used

Based on the phrasal verbs for PTE academic, only 12 phrasal verbs used in 19 research proposals are listed as in Table 4, including FIND OUT, CARRY OUT, DEAL WITH, POINT OUT, RELY ON, FIGURE OUT, LOOK FOR, GET UP, SET UP, MAKE UP, MIX UP and WORK OUT. Among these phrasal verbs, FIND OUT, CARRY OUT, DEAL WITH and POINT OUT were utilized more often than the others. However, the percentage in total was rather low with only 8.74% when compared with that of the phrasal verbs used in 19 research proposals.

Table 4. List of the phrasal verbs for PTE academic used

Phrasal verbs	Number	%
Find out	15	2.42
Carry out	11	1.78
Deal with	8	1.29
Point out	7	1.13
Rely on	4	0.64
Figure out	2	0.32
Look for	2	0.32
Get up	1	0.16
Set up	1	0.16
Make up	1	0.16
Mix up	1	0.16
Work out	1	0.16
Total	54	8.74

4.1.2 The distribution of phrasal verbs in five major categories

When it comes to the comparison of the distribution of phrasal verbs in five major categories, including Methodology, Discourse Analysis, Linguistics, Literature and Translation, it can be noticed from table 5 that the highest distribution of phrasal verbs was in Methodology with 229 frequency of ten most common phrasal verbs. Additionally, the frequency of phrasal verbs distributions in Discourse Analysis and Linguistics followed with 72 and 54 respectively. The two lowest frequency of phrasal verbs distributions were in Translation and Literature with 15 and 7

respectively. Furthermore, while some phrasal verbs were in the top list in one category, they seldom appear in the others. For example, FIND OUT was the most popular phrasal verb in Methodology; however, in Literature M.A. students did not use it in their research proposals. DEPEND ON only occurred in Methodology and Discourse Analysis. Only CONTRIBUTE TO, which was on the tenth place in the 10 most common phrasal verb list, was distributed in all 5 categories. In conclusion, while M.A. students of this study seemed to utilize phrasal verbs more often in Methodology, they had a tendency to avoid using them in Literature and Translation.

Table 5. Distribution of phrasal verbs in five major categories

Phrasal verbs	TESOL Methodology	Discourse Analysis	Linguistics	Literature	Translation
Find out	42	8	17	0	2
Base on	39	11	3	2	4
Refer to	36	3	2	0	4
Relate to	19	17	9	0	0
Deal with	30	2	0	2	0
Carry out	17	9	7	0	0
Consist of	18	1	7	0	4
Depend on	10	12	0	0	0
Point out	12	3	3	3	0
Contribute to	6	6	6	1	1
Total	229	72	54	8	15

4.1.3 Functions of the phrasal verbs in English Applied Linguistics research proposals

Functions of the phrasal verbs in terms of syntax

As can be seen in Table 6, it is noticeable that in terms of syntax, the phrasal verbs function differently in four terms: transitivity, intransitivity, separability and inseparability (Lessard-Clouston, 1993). In terms of transitivity and intransitivity, phrasal verbs seemed to dominate when functioning as transitivity with over 98.4%. Participants avoided using phrasal verbs in intransitivity with only 1.6%. For instance,

in Methodology and Discourse Analysis, the occurrences of transitive phrasal verbs were more than 354 and 126 respectively while those of intransitive ones were only 4 and 1. Specifically, in Translation and Literature they even did not utilize any intransitive phrasal verbs in their research proposals. With respect to the separability and inseparability in phrasal verbs, they expressed strong preference for inseparability with more than 94.9% while separable phrasal verbs were only 5.1%, with 18 and 11 phrasal verbs in Methodology and Discourse Analysis. It is evident that the use of inseparable phrasal verbs was 19 times higher than that of separable ones.

Table 6. Functions of the phrasal verbs in terms of syntax

Categories	Syntax			
	Transitivity	Intransitivity	Separability	Inseparability
TESOL Methodology	354	4	18	340
Discourse analysis	126	1	11	116
Linguistics	96	5	1	100
Translation	17	0	1	16
Literature	15	0	0	15
Total	608	10	31	587
Percent	98.4%	1.6%	5.1%	94.9%

In order to have a closer observation into the functions of phrasal verbs used in M.A. research proposals, the qualitative data are taken into account. Here are some examples taken from the M.A. research proposals.

It is noticeable that the M.A. students used most of phrasal verbs in transitive form as in the following examples:

Therefore, researcher will do the exact investigation at specific areas and analyze the surveys' result so that researcher can **find out** better and more suitable solutions to train and foster secondary English teachers. (RP1)

There are many definitions of errors **coming from** a variety of authors with different points of view. (RP2)

Based on this theoretical foundation, I will choose a research methodology to examine the semantic, syntactic and cultural features of idioms containing human internal body parts in English and Vietnamese. (RP7)

This chapter **consists of** the background to the study and the aims of the study. (RP11)

In 19 M.A. research proposals, there were only 10 intransitive phrasal verbs, none of which was used in Translation and Literature.

Researchers might wish to obtain a more complete picture, for example, of what **goes on** in a particular classroom or school. (RP16)

Besides, the significance and scope of the study will be **coming up** at the end of the introduction. (RP15)

However, in some cases, the phrasal verb CARRY OUT was sometimes used in both transitive and intransitive forms as follows:

The research is **carried out** to find out the way to translate names of popular Vietnamese dishes into English. (RP1)

In order to prepare the base for the research, I proceeded to **carry out** the tasks as follows. (RP3)

In this study, participants had a tendency to keep most phrasal verbs in 19 research proposals inseparable. Here are some examples:

Writers do not openly publicize their ideas, but **build up** the imagery that is evocative for the reader to draw the hidden meaning. (RP19)

In order to prepare the base for the research, I proceeded to **carry out** the tasks as follows. (RP2)

Only some phrasal verbs such as APPLY TO, BRING INTO, BRING DOWN, CONCENTRATE ON, DISTRIBUTE TO, DRAW INTO, DEAL WITH, PUT IN, PUT INTO, PUT OUT, STIR INTO, TAKE INTO were utilized in separable forms as mentioned in the examples below:

Long and detailed explanations of the intricacies of grammatical rules and forms are supplied for students to memorize and **apply the syntactic rules to** other examples. (RP3)

Then the researcher will **distribute the test papers to** all the students. (RP11)

After that, they **put them in** the reading and thus can understand their meanings. (RP 16).

Notwithstanding, some of the phrasal verbs were used in both separable and inseparable forms such as BASE ON, TURN INTO, CONTRIBUTE TO, PUT IN, DEPEND ON, CLASSIFY INTO, REFER TO, TAKE INTO, DISCUSS WITH. Some of the following examples were clarified as follows:

Accordingly, English intonation **based on** the expression of different pitches and the phenomenon of prosody in speech. (RP6)

The recorded patterns marked in the previous step will be compared directly or divided into groups **based it on** the Random function in the Excel program. (RP6)

In the integrated period, the school also shows special concern for training English majors who have expert translation skill as well as other skills of English so that they are able to **contribute their own real linguist abilities to** the society's development. (RP11)

Finally, the thesis is making deduction from the data about the linguistic expression **contributing to** Bob Dylan's success in conquering the world. (RP8)

Functions of the phrasal verbs in terms of semantics

With respect to semantic meanings, phrasal verbs are divided into three subcategories: non-idiomatic, semi-idiomatic and fully idiomatic meanings. It is evident from Table 7 that M.A. students tended to use phrasal verbs with semi-idiomatic and fully idiomatic meanings with 51.2% and 43.4% rather than non-idiomatic ones with merely 4.5%. Interestingly, the fully idiomatic meanings in Methodology were the highest while the highest semantic meanings of the other 4 categories were semi-idiomatic meanings. Moreover, there were no non-idiomatic meanings in Translation and Literature.

Table 7. Functions of the phrasal verbs in terms of semantics

Categories	Semantics		
	non-idiomatic	semi-idiomatic	fully idiomatic
TESOL Methodology	17	168	173
Discourse analysis	9	65	53
Linguistics	2	66	33
Translation	0	12	5
Literature	0	11	4
Total	28	322	268
Percent	4.5%	52.1%	43.4%

Only some phrasal verbs were used with non-idiomatic meanings as follows:

"When the ship **comes in**" is another impressive song released in 1963 with twenty other works. (RP19)

Internal factors are those that the individual language learner **brings with** him or her to the particular learning situation. (RP17)

In terms of semi-idiomatic meanings,

M.A. students tended to use more phrasal verbs of this categories than the other two. Below are some examples of the use of phrasal verbs.

The objectives of this study are to **find out** the kinds of cohesive devices used in short stories of O'Henry. (RP19)

It can be said that error is **related to** the competence factor. (RP1)

MA students also had preference to utilize phrasal verbs with fully idiomatic meanings in all 5 categories of the research proposals. Here are some examples:

The researcher expects to **point out** the traits of isolated expression in Hemingway's characters and compare them with the expression in the others' works. (RP19)

It will take about eight months to **carry out** the research. (RP3)

4.2. Discussions

The results of the study have shown that participants of this study seem to avoid using phrasal verbs in the M.A. research proposals. They prefer to use one-word verbs in their research proposals. Such finding is in line with the findings of some previous studies conducted by Dagut and Laufer (1985); Hulstijn and Marchena (1989); Laufer and Eliasson (1993), all of whose research showed that students seemed to avoid using phrasal verbs, instead they preferred to use one-word equivalents. Furthermore, in the top ten commonly used phrasal verbs in M.A. students' research proposals, only two of which appeared in the top 100 Common Phrasal Verbs in BNC by Gardner and Davies (2007). In the top least common phrasal verbs used in M.A. research proposals, there appeared only 6 phrasal verbs listed in the top 100 Phrasal Verb Lemmas in BNC by Gardner and Davies (2007). Moreover, the findings of the study were different from that of Faharol, Norlizawati and Hifzurrahman (2011). While the students in Malaysia preferred both using phrasal verbs and one-word counterparts and avoided unfamiliar phrasal verbs, MA students in Vietnam appeared to concentrate more on using one-word verbs and used some unfamiliar phrasal verbs in writing their research proposals. In comparison with Liao and Fukuya's research (2002), both

Vietnamese and Chinese advanced learners expressed not much preference in using phrasal verbs. Moreover, whereas Chinese learners drew their attention of semantic functions of phrasal verbs into translation, Vietnamese students' attention was different as they used various type of semantic nature of phrasal verbs in TESOL Methodology.

In terms of the functions of the phrasal verbs, the syntax and semantics of phrasal verb were analyzed. With respect to the syntactic functions of phrasal verbs, participants prefered to use transitive phrasal verbs rather than transform it into intransitive phrasal verbs. In the same line of thinking, they preferred using inseparable forms to separable forms of phrasal verbs. Both intransitive and inseparable forms of phrasal verbs were utilized in much higher frequencies than transitive and inseparable forms. Among the three meanings mentioned in the semantic functions of phrasal verbs, participants expressed no preferences in using phrasal verbs with non-idiomatic meanings. Instead they paid much interest in using semi-idiomatic and fully-idiomatic meanings of phrasal verbs. The results of this study were, in some ways, equivalent to those in Rong's study (2015), which showed that the semantic features had a great impact on the use of phrasal verbs among the Chinese learners. It can be concluded that due to the complexity of the use of phrasal verbs in semantic and syntactic structures, students had a tendency to choose single verbs instead of phrasal verbs in their writing (Dagut & Laufer 1985; Laufer & Eliasson 1993). Similarly, Lessard-Clouston (1993) reveals some reasons why non-native students find it difficult to utilize phrasal verbs. First of all, students are confused of the meaning of the phrasal verbs as they usually identify the meaning separately from each component: verb and

particle(s). Only in some cases do students find the meaning of the phrasal verbs by the combination of the two or more components in the phrasal verbs. The meanings of phrasal verbs vary when they are combined together; therefore, it is rather difficult for students to get the close meanings of the phrasal verbs even when they look them up in the reliable dictionary. Furthermore, "perhaps one of the most difficult aspects of phrasal verb form, meaning and use is that there are often distinctions between similar two- and three-word verbs" (Lessard-Clouston, 1993, p. 6-7). With respect to syntactic function, she adds that phrasal verbs may be used differently in various positions such as transitivity, intransitivity or seperability or inseperability.

Participants in this study who are all M.A. students of English Applied Linguistics seem to avoid using phrasal verbs in their research proposals. The results of the study showed that the total number of phrasal verbs used in research proposals was rather low. Instead, the students used more one-word verbs, which means they have a tendency to avoid using phrasal verbs in their M.A. research proposals. Moreover, the academic phrasal verbs used in 19 research proposals were rather low. One of the possible explanations is due to the difficulties that they encountered in using phrasal verbs. As Folse (2004) indicates that there are two difficulties that non-native students face when using phrasal verbs. First, it is not equivalent to know the separating parts of phrasal verbs to comprehend their whole meanings. Thus, students are not very keen on exploring the meanings of the phrasal verbs. Secondly, non-native students are required to understand the meaning of the more frequent phrasal verbs owing to their high level of occurrence. Therefore, in the same line with Becker (2014) participants with high level of English proficiency also have a tendency to

avoid using phrasal verbs.

As discussed that phrasal verbs play important roles in English teaching and learning acquisition, it is not easy for EFL learners to use and understand English without understanding phrasal verbs. In this study, it is found that there is a limited number of academic phrasal verbs used in 19 research proposals. It can be concluded that due to the complexity in the semantic and syntactic functions of phrasal verbs, students have a tendency to avoid using phrasal verbs in their research proposals.

5. Conclusion

The results of the study have shown that participants in this study seem to avoid using phrasal verbs in their M.A. research proposals. It is noticeable that they do not use common phrasal verbs in the top 100 common phrasal verbs list. Moreover, the distributions of the top ten common phrasal verbs used in five categories including TESOL Methodology, Discourse Analysis, Linguistics, Literature and Translation are not equal. M.A. students seem to utilize more phrasal verbs in Methodology and less phrasal verbs in Literature and Translation. In terms of syntax, Vietnamese M.A. students have a tendency to use more transitive and inseparable phrasal verbs in their research proposals. With respect to semantics, they tend to use semi-idiomatic and fully-idiomatic meanings rather than non-idiomatic ones.

Although many researchers such as Gardner and Davis (2007) and Ellis (1985) agree that phrasal verbs play an important role in linguistics, students seem to avoid using them regularly. It is hoped that the findings of this study may partly contribute to enhancing Vietnamese students' using more phrasal verbs in their writing.

An obvious limitation of the study is the size of the data since a larger data would allow more precise observations to be made and the materials for each category were not distributed evenly.

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VIỆC SỬ DỤNG CỤM ĐỘNG TỪ ĐẶC NGỮ TIẾNG ANH TRONG ĐỀ CƯƠNG NGHIÊN CỨU CỦA HỌC VIÊN CAO HỌC VIỆT NAM

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Tóm tắt: Cụm động từ đặc ngữ được sử dụng khá phổ biến và là một đặc trưng của tiếng Anh. Tuy nhiên, người học tiếng Anh như ngôn ngữ thứ hai hay ngoại ngữ (ESL/EFL) dường như hay tránh dùng chúng trong các bài viết học thuật, đặc biệt là viết về ngôn ngữ học ứng dụng tiếng Anh. Nghiên cứu này tìm hiểu việc sử dụng cụm động từ đặc ngữ trong đề cương nghiên cứu của học viên cao học Việt Nam đang học tập tại một trường đại học ở Việt Nam. 19 đề cương nghiên cứu của học viên được lựa chọn làm ngữ liệu cho nghiên cứu này bao quát 5 chủ đề lớn là Phương pháp giảng dạy tiếng Anh cho người phi bản ngữ (TESOL), Phân tích diễn ngôn, Ngôn ngữ học, Văn học và Dịch thuật. Dữ liệu được phân tích bằng phần mềm AntConc version 3.7.8. Kết quả nghiên cứu cho thấy học viên có xu hướng tránh dùng cụm động từ đặc ngữ trong đề cương nghiên cứu của mình. Hơn nữa, họ cũng không dùng nhiều cụm động từ đặc ngữ trong số 100 cụm động từ đặc ngữ phổ biến nhất trong BNC của Gardner và Davies (2007). Về chức năng của cụm động từ đặc ngữ, học viên cao học Việt Nam sử dụng nhiều tiểu loại khác nhau trong cú pháp cũng như ngữ nghĩa. Tuy nhiên, họ chú ý hơn đến việc sử dụng cụm động từ đặc ngữ chuyển tác và cụm động từ đặc ngữ mà giới từ/trạng từ không thể tách rời khỏi động từ cũng như cụm động từ đặc ngữ có tính thành ngữ hoặc bán thành ngữ.

Từ khóa: cụm động từ đặc ngữ, đề cương nghiên cứu, học viên cao học, cú pháp, ngữ nghĩa

LEARNER AUTONOMY: PRACTICES USED AND CHALLENGES ENCOUNTERED BY EFL TEACHERS IN FOSTERING LEARNER AUTONOMY AT TERTIARY LEVEL

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Abstract: It is undoubted that teacher autonomy (TA) and learner autonomy (LA) are among the factors that affect the effectiveness of English teaching and learning in non-native English speaking contexts like Vietnam. Investigating how teachers and students perceive TA and LA may be considered a valuable addition to the literature. This study, therefore, aimed to explore students' perceptions of teachers' practices used to foster LA and teachers' perceptions of challenges they may encounter in fostering LA in EFL classes at Ho Chi Minh City University of Technology (HUTECH)-Vietnam. Two instruments were employed to collect both qualitative and quantitative data, namely the questionnaire and interview with the participation of 12 EFL teachers and 160 first-year English majored students. The findings of the study revealed that most of the EFL teachers who taught the first-year students used practices through responsibility-informing and in-class activities to foster LA. However, the findings also indicated that the teachers encountered several challenges related to students, teachers and the context. It is expected that the findings of the study would partly contribute to the enhancement of TA and LA in English language education at HUTECH in particular and at the Vietnamese tertiary level in general.

Keywords: teacher autonomy, learner autonomy, practices, challenges, Vietnamese tertiary level

1. Introduction

Over the past thirty years the idea of autonomy in language learning has developed. This idea is represented as a learner-centered idea (Benson, 2008). It has increasingly impacted the field of language education, especially foreign language education in contexts like Vietnam where traditional methods and teacher-centered paradigm had been the focus for long, and where it is assumed that now TA and LA play an important role in the process of teaching and learning. The shift from teacher-centered paradigm to student-centered one has put much pressure on both teachers and

students. In addition, changing concepts about teachers' and students' role is a must. No longer do teachers only play the role of a knowledge conveyer. Instead, they should employ different strategies and play different roles to facilitate students' process of learning. They should train their students how to learn. They have to shift their roles to facilitators, gap-fillers or co-learners. Especially, teachers should act as promoters of autonomous learning among students. Doing so will certainly make great contributions to the development of LA. Similarly, students no longer act as passive knowledge receivers. Language knowledge and skills will be more easily acquired for those students who do not rely too much on their teachers and for those who have intrinsic motivation (Brown, 2002).

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So far many studies have been conducted to investigate issues related to TA and LA such as the dependence of LA on TA (Little, 1995); the relationship between TA and workplace (Pearson & Moomaw, 2005); fostering TA in the use of materials (Ling, 2007); teacher education and TA (Benson, 2010); teaching for LA (Feryok, 2013); teachers' role in developing LA (Xu, 2015); teacher development for autonomy (Vázquez, 2016), and many others. In the Vietnamese context, several studies have been conducted in relation to LA on curriculum for EFL students (Trinh, Q. L., 2005); self-initiation and self-regulation in Writing (Nguyen T. C. L., 2009); students' perceptions and performances of LA (Dang T.T., 2012); students' belief about and performance of LA (Le X. Q., 2013); EFL teachers' beliefs about LA (Nguyen T. N., 2014); factors affecting LA in learning writing (Tran T.T. & Duong M. T., 2018) and EFL students' voices on LA (Le T. N. A., 2018). Nonetheless, little literature related to English teachers' practices and challenges in fostering LA at tertiary level in Vietnam has been found. To contribute partly to the existing knowledge of TA and LA in teaching and learning foreign languages in the context, this study, therefore, aims to explore (1) practices used by EFL teachers in fostering first-year English majored students' autonomy at Ho Chi Minh City University of Technology (HUTECH) and (2) challenges that EFL teachers encounter in doing the above task. The two aspects explored in this paper are considered to be of primary concern and in need of in-depth focus. The study attempted to address the two following research questions:

1. How do first-year English majored students perceive EFL teachers' practices in fostering learner autonomy?

2. What are the challenges that EFL teachers encounter in fostering learner autonomy?

2. Literature Review

2.1. Learner Autonomy

New insights into learning a foreign language have considerably increased the demand for LA, and recently theory and practice of LA has developed remarkably (Teng, 2019). The term LA was first defined by Holec (1981) as "the ability to take charge of one's own learning". Later, various terms concerning LA have been used by researchers such as self-instruction which means students can teach themselves, self-regulation which means students can control their behaviors in the pursuit of learning goals, independent learning, self-access learning, or self-directed learning (Teng, 2019). Based on Holec's definition of autonomy, it can be interpreted that autonomous students are expected to be responsible for their learning. They have to actively participate in learning, take charge of self-planning, self-management, self-reflection and self-evaluation (Teng, 2019), and make use of their ability both in skills and knowledge in learning and in the language. Autonomous learning also requires students to have desire to learn a language or carry out learning tasks with particular purposes and to control their learning in a certain learning context (Benson, 2011). Autonomous students determine the objectives, define the contents, select appropriate learning methods and techniques, monitor the procedure of acquisition, and evaluate what has been learned. When attempting to perform the above tasks, they need to be metacognitively aware of this process. Being aware of the learning process, it is required that they have knowledge, goals and strategies utilized to achieve specified goals. They should have belief in themselves as learners (Little, 1995; Benson, 2011; Teng, 2019). Autonomous learning also manifests students' degree

of motivation, including instrumental motivation which refers to the need to fulfill the practical objectives of learning a language and integrative motivation which refers to the need to identify with the target language (Bension, 2011; Teng, 2019).

Obviously, the terms LA encompasses different interpretations. Nonetheless, it cannot be interpreted that students are independent of their teachers, or their learning is completely isolated from teachers' roles and practices, and from the learning environment and the institution.

2.2. The role of EFL teachers in fostering learner autonomy

The role of EFL teachers in fostering LA in this paper is seen from the perspective of Macaro's (2008) model of autonomy. Accordingly, autonomy in language learning manifests three dimensions: autonomy of language competence (ALC), autonomy of choice (AC), and autonomy of language learning competence (ALLC) (Macaro, 2008). The three dimensions seem to be closely related to each other. Regarding ALC, Macaro (2008) emphasizes that L2 students should have the ability to communicate appropriately in a particular L2 situation and generate their own sentences or utterances. Obviously, every time students want to say or write something they must rely on what they have learned, which is the language input from their teachers. In respect of AC, researchers have indicated that learning something new requires students to be directed by goals or purposes. According to Locke (1996), for goals to be achieved effectively, they should be set through the free choice and commitment of the individual student. Goals must be specific, explicit and attainable. Goal commitment is considered to be particularly important (Macaro, 2008). Commitment to a goal influences performance

by (a) directing attention and effort towards goal relevant tasks; (b) adjusting the effort to the level of difficulty required by the task; (c) encouraging persistence until the task is achieved; (d) supporting the development of appropriate action plans and strategies. Goals also provide the standards for the evaluation of students' performance, and attainable goals have an important function in the development of self-efficacy. In a formal educational setting, all the above aspects which are related to goal setting and commitment need support from the teacher. Another element which is essential for the development of LA is the choice of materials. Students have to decide which materials they need to refer to, for example, outside the class. Selecting learner-centered materials to foster LA cannot be done by students themselves. It is necessary that teachers know how to evaluate, analyze, and even produce materials (Reinders & Lewis, 2008) to meet the student's goals.

In terms of ALLC, Macaro (2008) indicates that it is the ability to use a range and combination of cognitive and metacognitive strategies. This task can be achieved with the support of the teacher's approaches, and later independently of the teacher's approaches and techniques. Another aspect relating to ALLC is the learning environment to develop the experience, the confidence and the systematic application of metacognitive awareness. Whether or not the learning environment for students to experience learning strategies is created depends on the teacher. LA, when seen from this perspective, is far from being a withdrawal by the teacher (Macaro, 2008). On the contrary, there is a close relationship between the teacher and students in finding a pathway to develop ALC, AC and ALLC. Based on the three above mentioned dimensions of LA, it can be confirmed that students need support to develop language competence themselves;

they should be provided with opportunities to develop autonomy in choosing what materials and learning strategies are best for their learning. In addition, autonomous students should have the awareness, the knowledge and the experience of strategy use, and the metacognition to evaluate the effectiveness of those strategies. This leads to the fact that when seen from this perspective teachers cannot be the outsider in the development of LA.

Other researchers and educators have also raised their points of view about this aspect. Little (1995) contends that LA and TA are 'interdependent'; and almost all students need to be prepared and supported on the path towards greater autonomy by teachers (Sheerin, 1997); and LA does not mean learning in isolation; instead, it needs teachers' and others' support (Esch, 1997). In addition, to help students become autonomous, teachers have to be autonomous and have beliefs about what autonomy is (Thavenius, 1999). Especially, according to Jing (2007), TA is now recognized as a major factor that affects the development of LA in second language learning; and that is why there is always a close link between TA and LA (Lamb, 2008). LA can also be cultivated and explored in the classroom with the help of TA (Yan, 2010). TA and LA are interrelated and interactive. Developing autonomy in formal situations cannot take place without teachers' engagement (Klimas, 2017). LA is an achievement which can be attained interrelationally between students and teachers. It depends upon how teachers and students relate to each other on their capacities to develop their relationship in ways conducive to LA (Ganza, 2008).

Based on the three dimensions of LA stated by Macaro (2008), it can be interpreted that to enhance LA, we must have autonomous teachers in both professional development and action. EFL teachers should be responsible to foster students' ALC, AC, and ALLC. Nonetheless, the current study only focused on practices which EFL teachers used to foster ALLC among first-year English majored students. An autonomous teacher with autonomous students will make an autonomous language class.

2.3. *Practices and challenges in fostering learner autonomy*

The process of language acquisition requires students to be active, autonomous and later independent in their learning. They need teachers' collaboration and support to gain some levels of autonomy (Ramos, 2006). Teachers' use of practices to promote their teaching practices in class may have a close relationship with the development of LA (Dikilitaş & Griffiths, 2017). Dam (2003) and Little (1999) emphasize that teachers are required to be involved in a variety of activities. They are responsible for communicating expectations, such as learning objectives or task requirements. They should provide students with appropriate activities and allow students to have choice in organizing work so that students will be able to reach previously assigned goals as well as their personal goals. Teachers should raise students' awareness of all the elements of the learning process by initiating and encouraging discussions among learners as well as between the teacher and students. To put it specifically, such tasks that were suggested by researchers (Little, 1999; Dam, 2003; Little, 2004; Agustín-Llach & Alonso, 2017; Klimas, 2017) are creating conditions for students to involve in the development of autonomy, for example, encouraging them to plan, or set up long-term and short-term learning objectives, providing them with skills and strategies so that they can learn by themselves; providing them with

tools or techniques for reflecting what they have learned or giving them advice on how to solve difficulties through conversations. In class, appropriate target language use must be the focus. Teachers help students to enhance autonomy through appropriate learning activities, classroom arrangement and positive attitudes towards students' different learning styles and preferences. In addition, using the target language not only takes place in class. It is the teacher's responsibility to encourage students to use the target language outside class through the introduction of materials and tools that can be used to improve their target language.

Nonetheless, teachers may encounter challenges when fulfilling the above tasks. Borg and Al-Busaidi (2012) indicate that teachers may encounter many challenges in their efforts of promoting their students to become autonomous in language learning. Those challenges may be the teachers themselves. Teachers may lack autonomy; they themselves were not autonomous when they were students so now they lack experience in training LA. Or even teachers' limited expectations of what learners can achieve. Other challenges that teachers may face may be related to students. One of the most challenges may be students' limited proficiency in English of lack of incentive, ability and skills to exploit resources or learning strategies. Teaching and learning in formal education must take place in an institution. Therefore, the institution or the learning environment may also cause teachers challenges in the process of enhancing LA. For instance, so much pressure may be placed on teachers. They are always overwhelmed and overloaded with work; and how can they be autonomous in their professional development and practice? It may be also because of prescribed curricula and materials

or lack of relevant resources for both teachers and students such as webs, the Internet, videos, and many other things (Alibakhshi, 2015). It can be concluded that challenges that teachers may encounter in fostering LA may related to three major factors: teachers, students, and the context.

The above-mentioned tasks reflect the three interdependent pedagogical principles that guide fostering LA (Dam, 2003; Little, 2004), namely (a) *learner involvement*-teachers should create appropriate conditions for students and encourage them to become personally and collectively responsible and more involved in learning; (b) *learner reflection*-teachers should stimulate students to apply critical thinking to planning, monitoring and evaluating their learning; and (c) *appropriate target language use*- teachers should direct interaction among students in such a way so as to exploit their language potential. With the aim of investigating practices used and challenges encountered by EFL teachers in fostering LA, the above three principles of fostering LA and the three major challenges relating to teachers, students and the context indicated by Borg and Al-Busaidi (2012) are chosen as the theoretical framework for the current study.

3. Research Methodology

3.1. Participants

This study was conducted at Ho Chi Minh City University of Technology (HUTECH) in Ho Chi Minh City, Vietnam. The participants of the current study consisted of (a) 12 EFL teachers who taught first-year English classes. 11 of them had M.A degrees and 1 had Ph.D. 9 of them are female (75%), and 3 are male (25%); and all of them had more than three years of teaching experience. Their ages

ranged from 26-29 (4 teachers), 30-35 (6 teachers) to 41-over (12 teachers); and (b) 160 students who were studying English as a major in the first academic year at HUTECH. 123 of them are female (77%); and 37 of them are male (23%). Their ages range from 19 to 20.

3.2. Instruments

Two instruments were employed in this study, namely the closed-ended questionnaire and the semi-structured interview. The student questionnaire consisting of 17 items was used to explore students' perceptions of their teachers' practices used to foster LA in terms of practices through responsibility-informing activities and practices through classroom activities (Urun, Demir & Akar, 2014). The questionnaire used five-point Likert scale ranging from Never, Rarely, Sometimes, Often and Always. Based on calculated interval coefficient for four intervals in five points (5-1=4), intervals with the range of 0.80 (4/5) were arranged. The following criteria in the Likert type scale were used to interpret the data: never (1.00 - 1.80); rarely (1.81 - 2.60); sometimes (2.61 - 3.40); often (3.41 - 4.20); always (4.21 - 5.00).

Regarding the questionnaire for the teachers, it consisted of 19 items; the first 4 items were used to explore demographic information of the teachers; the 15 remaining items were used to explore teachers' challenges in fostering LA in terms of teacher-, student- and context-related challenges. To avoid neutral option, the questionnaire used four-point Likert scale ranging from Strongly Disagrees, Disagree, Agree to Strongly Agree. Based on calculated interval coefficient for three intervals in four points (4-1=3), the intervals with the range of 0.75 (3/4) were arranged. The following criteria in the Likert type scale were used to interpret the data:

strongly disagree (1.00 - 1.75); disagree (1.76 - 2.50); agree (2.51 - 3.25); strongly agree (3.26 - 4.00). The reliability of both questionnaire was tested through Cronbach's Alpha with the coefficient of .693 (teacher questionnaire) and .848 (student questionnaire) which proved that the questionnaires were acceptably reliable.

The semi-structured interview was used to obtain more insight from the students' perspectives about the teachers' practices in fostering LA in English language classes, and from teachers' perspectives about challenges they encountered in fostering LA. For convenience reasons, both the questionnaire items and interview questions for the students designed in Vietnamese and later translated into English.

3.3 Data collection and analysis

Regarding data collection procedure, firstly, to collect data from the teacher participants, questionnaire copies were administered to 14 teachers. A week later, however, 12 of them returned the questionnaire copies, accounting for 86%. Later, 3 teachers (among 12) were randomly selected to participate in the interview.

Secondly, to collect data from student participants, it was on 9th March, 2019 when the English Language Faculty organized a meeting for first-year English majored students, one of the researchers came to the meeting to introduce the purpose and significance of the study. Then, the questionnaire was administered to 170 students; and the instruction how to complete the questionnaire was clarified and explained carefully to them. The students were asked to complete the questionnaire and return them in the following week. After a week, 160 students returned the questionnaire, accounting for 94%. Later, 10 among 160 students were invited to participate in the interview sessions.

Those 10 students were class monitors. The researcher took notes of the responses. Each interview lasted almost 15 minutes.

Regarding data analysis, to analyze the data obtained from the questionnaire, SPSS 20.0 was employed so that descriptive statistics including Percentage, Mean (M), Standard Deviation (St. D) were processed, whereas content analysis was employed to deal with qualitative data; and the students were coded as S1….to S10 and the teachers were coded as T1, T2 and T3.

4. Results and Discussion

4.1. Teachers' Practices in Fostering LA

The results of Research question 1 presented and interpreted below are based on two categories, namely practices through responsibility-informing activities and practices through classroom activities.

4.1.1 Practices through responsibility-informing activities

The data displayed in Table 1 revealed that the teachers often employed practices to inform their students of their responsibility in the development of LA. More specifically, regarding objective-setting practices, the teachers helped the students set up their own long-term and short-term learning objectives (item 1) with M = 3.54, encouraged them to make plans for learning (item 2) with M = 3.59. In terms of strategy-identifying practices, the students perceived that the teachers often provided them with the skills and strategies they needed to learn on their own (item 3) with M = 3.80. In addition, having beliefs of the importance of materials that students should use outside the classroom, the teachers not only often encouraged them to read English books, magazines, and newspapers, but they also suggested websites, and videos that could

be used to practice the target language (item 4 & 5) with M = 3.77 and 3.77 respectively. More interestingly, the students were usually encouraged to do assignments or prepare projects before coming to class (item 6) with M = 4.02. However, regarding reflection-supporting practices, the students perceived that the teachers only sometimes suggested tools and techniques for self-assessment or showed them how to evaluate their own learning progress (items 7 & 8) with M = 3.21 and 3.35 respectively.

Similarly, all the ten interviewed students (100%) reported that they received encouragement from the teachers in making learning plans, and setting goals and objectives. For example:

S8 reported, "My teachers usually show me techniques to study by myself. They help me to make learning objectives and organized activities for us to work in pairs or in groups."

In addition, 90% of the interviewed students revealed that during the lessons the teachers used different strategies in teaching the four language skills and language knowledge. Through the classroom activities, the teachers showed them how to self-study at home. For example:

S6 expressed, "In this semester we learn writing 1 and reading 2. The teachers ask us to do different activities and show us how to do the activities so I learn a lot, both language and the ways how to learn."

Regarding the materials used outside the classroom, all the participants reported that their teachers introduced grammar, writing and reading books to them so that they could learn by themselves. However, according to the students, they would like the teachers to provide them with the materials, not only introduce because they could not afford or find them. More interestingly, all of the ten

students (100%) said that after each class, the teachers gave them assignments to do at home. They were encouraged to prepare presentations for the next lesson. They were asked to do exercises of vocabulary and grammar in the textbook. For example:

S3 expressed, "We not only take part in class activities, but we have to do assignments at home. My writing teacher encourages us to practice writing at home because in class we do not have enough time; or my speaking teacher asks us to prepare ideas about the topic she gives us for next classes."

However, regarding tools and techniques for self-assessment and evaluating learning process, only 40% of the interviewed students reported that they were shown how to assess their learning. They were asked to keep portfolios or have an exercise notebook. The other students revealed that they did not know how to evaluate their learning. The teachers rarely provided feedback, so they did not know whether they did their assignments correctly or not. For example:

"Self-learning does not mean that we can do everything. We need the teacher to show us how to learn and how to assess ourselves. Sometimes after writing some sentences, we don't know they are right or wrong. We need some help from the teacher (S7)."

This finding is consistent with that from the questionnaire that the teachers sometimes showed the students the way how to do self-assessment.

Table 1: Practices through responsibility-informing activities

No.	Items	N= 160	
		M	St.D
1	Your teachers help you to set up your own long-term and short-term learning objectives.	3.54	.815
2	Your teachers encourage you to make plans for studying.	3.59	.900
3	Your teachers tell you the skills and strategies you need to learn on your own.	3.80	.853
4	Your teachers encourage you to read English books, magazines, and newspapers outside class.	3.77	.933
5	Your teachers suggest materials, websites, videos and other tools that you can use to practice English outside class.	3.77	.899
6	Your teachers encourage you to do assignments or projects outside class.	4.02	1.067
7	Your teachers introduce tools and techniques for your self-assessment.	3.21	1.036
8	Your teachers show you how to evaluate your own learning progress.	3.35	1.089

The findings of the study revealed that most of the first-year English majored students were satisfied with their teachers' responsibility-informing activities. Although the teachers only sometimes suggested tools or techniques for self-assessment or supported the students in evaluating their learning process, it can be said that teachers were responsible for informing the students of strategies they needed to develop LA. The findings proved that the English teachers were aware of the importance of fostering students in planning, monitoring and evaluating their learning. They knew that guidance and support are integral elements of learning, and that without interaction of some kind autonomy is unlikely to develop (Palfreyman, 2018). Moreover, knowing how

to select relevant learning resources is highly related to knowing one's needs (Chik, 2018). However, realizing that it is not easy for the first-year students to have competence to do this task, the teachers lent the students a regular helping hand to stay afloat (Sheerin, 1997). Autonomy results from targeted strategy training (Sinclair, 2008). It can be seen that the English teachers provided the students with the strategies and techniques for learning English outside class without the presence of the teacher. The teachers were willing to take responsibility for their instruction and their students' learning.

The findings of the study also implied that, to develop LA, the first-year students needed the teachers to make them aware of the learning goals, content and strategies underlying the materials they were using. They needed to identify strategy implications of pedagogical tasks and their own preferred learning styles and strategies (Nunan,1997; Sheerin, 1997). In addition, they wanted the teachers to encourage them to work in groups or pairs to develop their own ideas. They wanted to be challenged to think for themselves (Smith, Kuchah & Lamb, 2018).

It is undeniable that the English teachers have changed their roles in the classroom. They have not been seen as the ultimate authority and the maker of all the decisions related to learning. Instead, they had beliefs about the importance of responsibilities in teaching and learning held by both students and teachers as Lamb (2008) stated. The findings of the study were consistent with those of the study conducted by Urun, Demir and Akar (2014) that revealed that English teachers used responsibility-informing activities to develop LA.

4.1.2 Practices through in-class activities

The data displayed in Table 2 shows that the English teachers used practices through in-class activities to foster LA. Although the frequency was not very high, it is confirmed that the teachers quite often organized various types of learning activities or tasks during their instruction (item 9) with M = 3.31. More importantly, whenever the teachers organized or assigned a task to the students, they often explained the purposes and significance of the task or project (item 10) with M = 3.80. By doing so, the teachers could motivate the students to do the task. In addition, one of the teachers' roles is facilitating the process of learning. The finding revealed that the teachers often provided clear instructions of the tasks assigned to them (item 11) with M = 3.89, which might help them easily to complete the assigned task. In addition, the teachers often arranged the class and asked the students to work with their classmates (item 12) with M = 3.91. By doing so, the teachers could create an autonomous learning environment in which the students could manifest their independence and capacity. To promote learning, giving feedback to the students in a positive and supportive way is one of the motivational strategies. The finding revealed that most of the teachers often did this task (item 13) with M = 3.63. More interestingly, "teachers create opportunities for the students to bring into play their capacity in class." obtained the highest frequency (item 14) with M = 4.24. Obviously, the teachers wanted their students to be more involved in self-study and encouraged them to make decisions themselves so that they would depend less on the teachers' control. The two items which obtained the lowest frequency are in terms of teachers' making conversations

with the students to find solutions to learning difficulties and   identifying problems that hinder the students' progress (items 15 & 16) with M = 3.29 & 3.21 respectively. The findings revealed that the teachers sometimes did these tasks.

Finally, learning assessment also received attention from the teachers in their classes. Most of the students agreed that their teachers often used different techniques for assessing their learning (item 17) with M = 3.97. It is evident that the teachers believed that the students could do self-assessment and were responsible for their learning.

The data collected from interviews also revealed similar findings. 80% of the interviewed students reported that the teachers employed different games and learning activities in class. They were asked to work in pairs or sometimes in groups in learning English skills. Particularly, the finding revealed that whenever they had an assignment or a project, the teachers gave clear instructions and deadlines to them, which helped them know how to do the assignment and when to complete or return it. For example:

Several students said, "My speaking teacher usually organizes games in class, but some are just for fun. I enjoy a lot. Of course, we also work in pairs or groups in learning writing. We crosscheck our writing (S2); or "My teachers usually give clear instructions and explain the purpose of the assignment to us. I think the teachers want us to do the assignment well and motivate us in learning (S7)."

However, one issue emerged during the time when the students worked in pairs or in groups. According to 20% of the interviewed students, some students in their classes used Vietnamese when they discussed a topic in groups. For example:

S10 reported, "The teachers sometimes organized games or a small number of activities. Games are just for fun. When we work in groups some students use Vietnamese to discuss."

Concerning creating opportunities for the students to manifest their capacity, all the students reported that they had chances to use English in class; they made presentations in groups; did some assignments together, tested writing exercises, talked in front of the class, did assignments at home and together with the teachers corrected their assignments. For example:

S6 expressed, "In my class, the students have many chances to use English. The teacher always encourages us to learn English. We do oral and written activities. We prepare presentations at home and in class we take turn to talk in front of the class. My teachers are helpful."

The findings of the interviews also revealed that the teachers sometimes talked to their students both inside and outside the class. They got support from their teachers when they faced difficulties. The teachers sometimes shared learning experience with them; advised them to enhance English level; pointed out their weaknesses and strengths; helped them to solve difficulties; and discussed what difficulties they might face in learning. For example:

S9 reported, "My teachers sometimes spend time talking to students. When I do not understand something, I can ask them for explanation, or when I have difficulty in searching materials, they give me some suggestions and advice. My speaking teacher sometimes shows me how to practice pronunciation at home, or what CDs I should buy."

Table 2: Practices through in-class activities

No.	Items	N= 160	
		M	**St. D**
9	Your teachers organize various kinds of in-class tasks or activities for students.	3.31	1.161
10	Your teachers explain the purposes and the significance of the tasks or projects assigned to you.	3.80	.937
11	Your teachers provide clear instructions of the tasks or projects assigned to you.	3.89	.911
12	Your teachers ask you to work with your classmates in class.	3.91	.970
13	Your teachers give feedback in a positive and supportive way.	3.63	.958
14	Your teachers create opportunities for you to bring into play your capacity in class.	4.24	.942
15	Your teachers make conversations with you to find solutions to your learning difficulties.	3.29	1.013
16	Your teachers identify and show problems that hinder your progress.	3.21	1.107
17	Your teachers assess your learning through the use of different techniques, e.g. peer-assessment.	3.97	.871

The findings of the study showed that most of the teachers were autonomous. They had a strong sense of their responsibility for their teaching. Benson (2008) stated that autonomy is a capacity that can be developed in the classroom. Therefore, it can be confirmed that what the English teachers did in their classes, for example, using different strategies to get students involved in the learning process, or organizing the class in a way that motivated students to learn, may contribute to LA development. The findings also implied that the English teachers really wanted to train their students to develop their own learning strategies so that they would not depend on them. They acted as a facilitator to motivate the students, helped them to overcome difficulties and were able to raise the students' awareness of their responsibility. It is evident that the English teachers helped the students to acquire skills and knowledge which they needed to complete the assignments such as

organizing the class, identifying objectives or evaluating themselves. In the Vietnamese context, it is not often for a student to initiate a conversation with the teacher about their learning problems. It might be because of oriental culture. Therefore, it is the teacher's responsibility to initiate a dialogue with any student in class (Cotterall & Crabbe, 2008). The findings of the study revealed that both the teachers and students had conversations. The students themselves could raise their voice in the learning process. They might express their difficulty in learning and want advice on what to do about it.

It can be concluded that the EFL teachers at HUTECH actually used practices through responsibility-informing activities and in-class activities to foster LA in English language learning. The findings of the study implied that the teachers were autonomous and responsible for their teaching. Most of them, more or less, implemented different

strategies to train the first-year English students to become autonomous. These students needed their teachers' support so that they may successfully continue their study in the coming years.

4.2. Challenges Encountered by Teachers in Fostering LA

4.2.1 Student-related challenges

Regarding challenges related to the students, the data displayed in Table 5 shows that nearly all the English teachers who taught the first-year English majored students had similar perceptions. Put it specifically, eleven out of twelve teachers (92%) agreed that first-year students lacked the knowledge and skills for becoming autonomous learners (item 1) with M = 3.25 and nine teachers (75%) agreed that they were not very motivated in learning English (item 2) with M = 2.83. Similarly, eleven teachers (92%) also thought that the students always relied on the teachers' instructions and decisions (item 3) with M = 3.25. It can be said that the first-year students certainly needed the teacher to show them what to learn in class and teach them how to learn. The students could have access to English through many sources such as foreigners, mass media, and social network. One more issue is that 92% of the teachers agreed that the students only wanted to pass the exam with high grades (item 5) with M = 3.08. Possibly, this element of external motivation was rather high among the students. Especially, all the teachers (100%) agreed that the students' proficiency in English was not very high (item 6) with M = 3.50. However, in the area of modern technology, not many teachers (42%) thought that the students did not have many opportunities to use English outside the classroom (item 4) with M = 2.42. That is to say, most of them thought that the students

may access different sources to enhance their English learning.

Responses of the teachers in the interviews revealed that the teachers might encounter challenges caused by the students themselves. All of the three teachers expressed that the first-year English majored students' low level of proficiency prevented them from implementing strategies in their teaching. In addition, motivation was also a concern. According to them, many students were not motivated. They came to class regularly, possibly because they wanted to pass the exam only. Even, about 10% of the students in their classes rarely came to class. They only came when the teacher gave mini tests. For example:

T1 said, "About half of the students in my class are responsible for their learning. They come to class regularly and take part in learning activities. They come to class with completed assignments, but the remaining students study not very well. Several of them rarely come to class or do their homework. It seems that they are demotivated. I think they may have part-time jobs without spending time studying."

Responses of the students in the interviews mostly reflected what the teachers expressed about the students' low proficiency level and lack of knowledge and skills of autonomy. Among ten interviewed students, seven of them reported that they were not confident in communication with foreigners or classmates because of their limited vocabulary and shy characteristic. For example:

S5 reported, "My motivation for learning English is studying abroad or finding a good job. However, I rarely speak English in class or to foreigners. Usually, I feel shy and embarrassed. Whenever I want to say something, it is difficult to find vocabulary or ideas."

Table 5. Student-related challenges encountered by teachers in fostering LA

No	Items	N=12	
		M	**St.D**
1	Your students lack the knowledge and skills for becoming autonomous learners.	3.25	.622
2	Your students are not very motivated in learning English.	2.83	.577
3	Your students always rely on the teachers' instructions and decisions.	3.25	.622
4	Your students do not have many opportunities to use English outside class.	2.42	.793
5	Your students only want to pass the exam with high grades.	3.08	.515
6	Your students' proficiency in English is not very high.	3.50	.522

Based on the above-presented data, it can be concluded that the findings of the questionnaire are consistent with those of the interviews that revealed that the teachers encountered student-related challenges. The findings showed that the first-year students lacked knowledge and skills for autonomous learning, and that students' low level of motivation and English proficiency may cause challenges to the teachers. It is an undeniable fact because according to Ramos (2006), in language learning, students' motivation and level of language proficiency are linked to the presence and degree of achievable autonomy. That is why the students might always depend on the teachers' instruction. The students' dependence might be closely related to lack of interest in developing LA. That is because they simply might not think it was important, or they might lack the necessary independent learning skills (Reinders & Lazaro, 2011). However, autonomy is seen as a product of instruction rather than as something which students are currently ready to exercise directly, and autonomy is not a synonym for self-instruction and limited to learning without a teacher (Benson, 2008). Therefore, for the first-year students, they certainly need teachers' support in learning both within and outside class. Learning strategies should be trained; and awareness and responsibilities need to be educated through classroom practices.

4.2.2 Teacher-related challenges

Regarding teacher-related challenges, the data displayed in Table 6 shows that very few of the teachers who taught the first-year students encountered the challenges related to themselves. More specifically, only five out of twelve teachers (42%) agreed that they lacked the necessary strategies to foster LA (item 7) with M = 2.33. Especially, only one out of twelve teachers (8%) thought that the teachers were not autonomous in teaching (item 8) with M = 1.75 and were not good at pedagogical knowledge about learning strategies training (item 9) with M = 1.83.

Among the three individual interviews, two teachers expressed that the English teachers were autonomous. They were responsible for their students' learning. In class, they used different strategies to promote the students' awareness of learning both inside and outside class. Nonetheless, one teacher had contrary perceptions. He reported,

"When I was at university more than 20 years ago, I learned how and what to teach. No teachers mentioned how to train students. Now I try to encourage my students but it does not work. Many students never learn. They never do grammar or vocabulary exercises at home. I think they are not autonomous. It is the fault of the teacher (T3)."

Obviously, this teacher thought that he might lack pedagogical knowledge about learning strategies training or he might not know how to create a highly effective learning environment.

Table 6. Teacher-related challenges encountered by teachers in fostering LA

No	Items	N=12	
		M	**St.D**
7	Teachers lack the necessary strategies to foster learner autonomy.	2.33	.651
8	Teachers themselves are not autonomous in teaching.	1.75	.754
9	Teachers are not very good at pedagogical knowledge about learning strategies training.	1.83	.577

The findings of the study revealed that most of the teachers who taught the first-year students thought they were autonomous teachers. They understood pedagogical knowledge of learning strategies training and promoted autonomous learning in their classes. Teachers' awareness and knowledge of learning strategies may help foster LA. Those are metacognitive strategies which help students think about their learning such as planning, monitoring and evaluating; cognitive strategies which provide students with the ability to use materials; and socio-affective strategies which help students develop skills for cooperating with others and for creating a positive learning environment (Murray & Christison, 2011). The first-year students may lack those strategies, so they need support from their teachers. Any teacher who is unaware of those strategies may encounter challenges in fostering LA.

4.2.3 Context-related challenges

Regarding context-related challenges, the data displayed in Table 7 shows that among six factors that may hinder teachers from fostering LA, three of them obtained agreement from the teachers. More specifically, 67% teachers agreed that in-service professional development workshops on autonomy had never been provided (item 12) with M = 2.83; similarly, 67% of the teachers thought that there was a shortage of resources or extra materials for both teachers and students (item 14) with M = 2.67; and 75% teachers agreed that the weekly allotted time for English modules was limited (item 15) with M = 2.83. Regarding technology, 42% of the teachers thought that it was not sufficiently provided for EFL learning in the context (item 10) with M = 2.08; in terms of rules and regulations of the faculty, 25% of the teachers thought that they hindered teachers' freedom in making choices and decisions on their teaching (item 11) with M = 2.00; and finally, 50% of the teachers thought that prescribed syllabus and materials hindered teachers' creation (item 13) with M = 2.33.

The data collected from the three individual interviews also revealed that teachers were not satisfied with several factors that prevented them from fostering LA in their classes. One of the factors that they blamed most was that workshops on how to enhance LA had never been organized in their context. They also blamed that relevant resources for both teachers and students were limited. The content of learning was limited to the prescribed syllabus or some units in one textbook. For example:

T2 expressed, "I think many factors may affect my teaching. It is not easy to foster the students' autonomy because of the facilities for teaching and learning. Students do not have many reference books for doing more

exercises at home. It seems that they cannot afford reference books. Most of the time in class is spent on completing what is prescribed

in the syllabus for the exam; we usually test what the students learn in the textbook."

Table 7. Context-related challenges encountered by teachers in fostering LA

No	Items	N=12	
		M	St.D
10	Technology is not sufficiently provided for EFL learning in the context.	2.08	.900
11	Rules and regulations of the faculty limit teachers' freedom in making choices and decisions on their instruction.	2.00	1.044
12	In-service professional development workshops on autonomy have never been provided.	2.83	.937
13	Prescribed syllabus and materials hinder teachers' creativity.	2.33	.778
14	There is a shortage of extra materials or resources for both teachers and students.	2.67	1.073
15	The weekly allotted time for English modules is limited.	2.83	.577

The findings of the study showed that the teachers in the context encountered several challenges related to the context, namely limited allotted time in class, resources or extra materials and in-service professional development. Benson (2010) argues that teachers may exercise their capacity to control teaching within multiple constraints such as school rules, textbooks and curricula. However, autonomous teaching requires language teachers to examine the contextual conditions that can facilitate or constrain their professional practices and professional development actions (Benson, 2010). It is implied that the teachers could reflect what their contextual conditions were like. It is tantamount to the fact that most of them were aware of what prevented them from fostering students' autonomy in English learning. It can also be concluded that they were responsible for their teaching as Sehrawat (2014) stated that an autonomous teacher feels personal responsibilities, wants to attend workshops and comes up with new classroom ideas to foster LA. They really wanted to be really autonomous rather than "pseudo-autonomy"

as Candy (1991) stated. It is undeniable that teacher autonomy is necessary in order to be able to meet students' needs, interests and motivation (Sehrawat, 2014) even though teachers may confront low-resource challenges, limited learning time, or other context-related challenges.

In conclusion, the findings of the study revealed that the teachers who taught first-year English majored students in the context encountered several challenges in fostering students' autonomy in English learning. The findings of the current study are in line with those discovered by Borg and Al-Busaidi (2012); Urun, Demir, and Akar (2014), and Alibakhshi (2015) in their studies that reported that English teachers might encounter student-related, teacher-related and context-related challenges in fostering LA.

5. Conclusions and recommendations

The current study aims to explore students' perceptions of their teachers' practices used in fostering LA and teachers' perceptions of the challenges they may encounter in fostering LA

for the first-year English majored students at HUTECH. The findings allow the researcher conclude that the English teachers, more or less, have used both practices through responsibility-informing activities and in-class activities to foster LA. It is evident that from students' perspectives, most of the English teachers are autonomous and promote LA in their classes. They are responsible for their teaching and students' learning. Nonetheless, according to them, several challenges may hinder their desire to foster LA. The most serious challenges are related to the students because many of them are not motivated, they still want to rely on teachers and they have low level of English proficiency. It is undeniable that many students lack autonomy. They are not much aware of their learning process. The findings of the study imply that first-year English students may be in their shifting process from a teacher-centered English classroom which might exist in high school to a student-centered English classroom which is being implemented at university. Some of them are still not ready in becoming autonomous students. They are motivated to learn English; however, they are first-year students so they may lack knowledge and skills for assuming autonomy. That is why they need teachers' support in training learning strategies and developing LA.

Based on the findings of the study, it is therefore recommended that, firstly course designers should provide extra materials or reference books relating to the module for both teachers and students. They should give more detailed descriptions of the requirements for the teachers in their instruction. Some teachers may need knowledge and skills of fostering LA; it is suggested that in-service professional development workshops on LA and TA be organized for the teachers. Secondly, English teachers should work together with students to reduce obstacles which prevent

them from fostering LA in their classes. The first-year students may lack knowledge and skills of LA and student-centered paradigm may be still strange to them; it is the teachers' responsibility to train them how to learn both inside and outside class. Teachers should be aware of different roles such as facilitators, gap-fillers, advisors and promoters that they may act during their instruction, not arbitrators anymore. Teachers should know what strategies can be used to foster students' in-class learning and out-of-class learning and help students to integrate both of these domains. Finally, for the first-year English majored students, having motivations for learning English may still be insufficient to assure that they are autonomous students. They should be aware of the learning process and learning strategies, gradually develop the ability to function independently and reduce their dependence on teachers.

As the current study was conducted in only one specific site with the focus on first-year English majored students, its findings may not be generalizable to other sites and more advanced students.

Other studies are recommended to replicate the same study with similar variables concerning first-year non-English majored students or in other universities with more advanced students.

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TÍNH TỰ CHỦ CỦA SINH VIÊN:
NHỮNG BIỆN PHÁP GIÁO VIÊN TIẾNG ANH SỬ DỤNG VÀ NHỮNG THÁCH THỨC HỌ GẶP TRONG VIỆC THÚC ĐẨY TÍNH TỰ CHỦ CỦA SINH VIÊN ĐẠI HỌC

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Tóm tắt: Tính tự chủ của giáo viên và sinh viên chắc chắn được cho là một trong các yếu tố có ảnh hưởng tới hiệu quả của việc dạy và học tiếng Anh trong môi trường tiếng Anh không phải là tiếng mẹ đẻ như ở Việt Nam. Tìm hiểu nhận thức của giáo viên và sinh viên đối với yếu tố này được xem như là một đóng góp có giá trị cho lĩnh vực dạy và học ngoại ngữ. Vì thế mục đích của đề tài là tìm hiểu nhận thức của sinh viên về những phương thức mà giáo viên áp dụng và nhận thức của giáo viên về những thách thức mà họ gặp trong quá trình hỗ trợ sinh viên trường Đại học Công nghệ Thành phố Hồ Chí Minh (HUTECH) nâng cao tính tự chủ trong học tập. Công cụ sử dụng để thu thập dữ liệu cho nghiên cứu là bảng câu hỏi khảo sát và phỏng vấn. Đối tượng nghiên cứu là 12 giáo viên tiếng Anh và 160 sinh viên năm thứ nhất ngành Ngôn ngữ Anh. Kết quả của nghiên cứu cho thấy hầu hết giáo viên đã có những biện pháp khơi dậy trách nhiệm của sinh viên đối với tinh thần tự chủ trong học tập thông qua các hoạt động hỗ trợ trong giờ học. Kết quả cũng chỉ ra một số thách thức mà giáo viên thường gặp trong quá trình hỗ trợ sinh viên có liên quan tới sinh viên, giáo viên và môi trường học tập. Nghiên cứu này hy vọng sẽ đóng góp vào việc nâng cao hiệu quả dạy và học tiếng Anh tại HUTECH nói riêng và ở bậc đại học Việt Nam nói chung.

Từ khóa: tính tự chủ của giáo viên, tính tự chủ của sinh viên, biện pháp, thách thức, bậc đại học

APPENDIXES

APPENDIX A: TEACHER QUESTIONNAIRE

Challenges encountered by teachers in fostering learner autonomy

Dear colleagues,

I am Le Van Tuyen from the Faculty of English Language-HUTECH. I would like you to help complete this questionnaire. The aim of this questionnaire is to explore the **challenges** that you may encounter in the process of fostering your EFL students' autonomy at HUTECH. The data that you provide will not be used for any purpose except for research.

For part 2, could you please CIRCLE 1, 2. 3 or 4 for your answers according to the four scales as follows:

1. Strongly Disagree (SD)   2. Disagree (D)   3. Agree (A) 4. Strongly Agree (SA)

Part 1: Demographic information

Gender:	Male	Female		
Age:	24-29	30-35	36-40	41-over
Years of teaching experience:	2-4	5-7	8-10	11-over
Qualifications:	BA	MA	Ph. D	

Part 2: Challenges encountered by teachers

No	Items	SD	D	A	SA
	Student-related challenges				
1	Your students lack the knowledge and skills for becoming autonomous learners.	1	2	3	4
2	Your students are not very motivated in learning English.	1	2	3	4
3	Your students always rely on the teachers' instruction and decisions.	1	2	3	4
4	Your students do not have many opportunities to use English outside the classroom.	1	2	3	4
5	Your students only want to pass the exam with high grades.	1	2	3	4
6	Your students' English proficiency is not very high.	1	2	3	4
	Teacher-related challenges				
7	Teachers lack the necessary strategies to foster learner autonomy.	1	2	3	4
8	Teachers themselves are not autonomous in teaching.	1	2	3	4
9	Teachers are not very good at pedagogical knowledge about learning strategies training.	1	2	3	4
	Context-related challenges				

No	Items	SD	D	A	SA
10	Technology is not sufficiently provided for EFL learning in the context.	1	2	3	4
11	Rules and regulations of the faculty limit teachers' freedom in making choices and decisions on their instruction.	1	2	3	4
12	In-service professional development workshops on autonomy have never been provided.	1	2	3	4
13	Prescribed syllabus and materials hinder teachers' creation.	1	2	3	4
14	There is a shortage of extra materials or resources for both teachers and students.	1	2	3	4
15	The weekly allotted time for English modules is limited.	1	2	3	4

APPENDIX B: STUDENT QUESTIONNAIRE

Dear students,

This questionnaire is used to explore your perceptions of teachers' practices used to foster your autonomy in learning English. The information you provide will be used for research only. Please CIRCLE 1, 2, 3, 4, or 5 according to the scales as follows:

1. Never (N)   2. Rarely (R)   3. Sometimes (S)   4. Often (O)   5. Always (A)

No	Items	N	R	S	O	A
1	Your teachers help you to set up your own long-term and short-term learning objectives.	1	2	3	4	5
2	Your teachers encourage you to make plans for studying.	1	2	3	4	5
3	Your teachers tell you the skills and strategies you need to learn on your own.	1	2	3	4	5
4	Your teachers encourage you to read English books, magazines, and newspapers outside class.	1	2	3	4	5
5	Your teachers suggest materials, websites, videos and other tools that you can use to practice English outside class.	1	2	3	4	5
6	Your teachers encourage you to do assignments or projects outside class.	1	2	3	4	5
7	Your teachers introduce tools and techniques for your self-assessment.	1	2	3	4	5
8	Your teachers show you how to evaluate your own learning progress.	1	2	3	4	5
9	Your teachers organize various kinds of in-class tasks or activities for students.	1	2	3	4	5
10	Your teachers explain the purposes and the significance of the tasks or projects assigned to you.	1	2	3	4	5

No	Items	N	R	S	O	A
11	Your teachers provide clear instructions of the tasks or projects assigned to you.	1	2	3	4	5
12	Your teachers ask you to work with your classmates in class.	1	2	3	4	5
13	Your teachers give feedback in a positive and supportive way.	1	2	3	4	5
14	Your teachers create opportunities for you to bring into play your capacity in class.	1	2	3	4	5
15	Your teachers discuss with you to find solutions to your learning difficulties.	1	2	3	4	5
16	Your teachers identify and show problems that hinder your progress.	1	2	3	4	5
17	Your teachers assess your learning through the use of different techniques, e.g. peer-assessment.	1	2	3	4	5

APPENDIX C: STUDENT INTERVIEW QUESTIONS

1. What are your motivations for learning English?

2. At what English proficiency level do you think you are?

3. What do you do to improve your English inside and outside class?

4. What do your English teachers usually do to develop students' autonomy? (For example help you set up plan and objectives for learning, create opportunities for all the students to use English, a dynamic and interesting learning environment in class, use different strategies, organize pair work or group work, and organize games or activities for the students to practice English, show you how to evaluate your learning).

5. Do your teachers encourage you to study outside class? For example, do they introduce books, websites; or ask you to prepare lessons or presentations…..?

6. Do your teachers sometimes spend time talking to you about your learning, or sharing ideas about learning with you, or telling you what problems may hinder your learning?

APPENDIX D: TEACHER INTERVIEW QUESTIONS

1. What do you think about the first-year English majored students' level of autonomy in learning E?

2. What do you usually do to foster learner autonomy in your class?

3. What challenges have you encountered do you think you may encounter in fostering learner autonomy?

WORDLISTS AND FLASHCARDS AS EFL VOCABULARY INSTRUCTIONAL TECHNIQUES

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Abstract: This study looks at the impacts of flash cards and word lists as vocabulary instructional techniques on EFL learners' vocabulary retention. During the treatment, six groups of EFL learners at three different English levels (beginners, elementary, and pre-intermediate) were taught with flash cards, and another six groups were taught with word lists. Unlike previous studies, which investigated learners' retention of meaning only, this research examines learners' retention of both meaning and spelling. The results of this study indicate that flash cards have advantages over word lists for beginner EFL learners at primary school, and that word lists provide more benefits to older learners at the elementary and pre-intermediate levels.

***Keywords*:** teaching vocabulary, flashcards, wordlists, vocabulary techniques, vocabulary retention

1. Introduction

For decades, linguists and language teaching practitioners believed that vocabulary instruction was secondary to grammar instruction. They assume that once knowledge of grammar rules have been acquired, vocabulary will be learnt according to learners' needs. Advocators of audiolingualism supposed that learners will learn vocabulary themselves and that the teaching instruction should focus on grammatical and phonological structures (Schmidt, 2001). However, researchers have recently started to reconsider the position of vocabulary instruction in language teaching. Lexical competence has been said to play an essential role in communication (Thornbury, 2002). *"Without grammar, very little can be conveyed, without vocabulary, nothing can be conveyed"* (Wilkins, 1976, p. 111). In other words, if a learner's vocabulary is limited, it would be very difficult for the learner to express his/her intended meaning (Zhihong, 2000). Vocabulary instruction, therefore, has been considered an intrinsic part of language teaching (Qian, 1999; Zareva, Schwanenflugel & Read, 2000; Richards & Renandya, 2002; Nikolova, 2005).

There is a large volume of published studies describing the techniques and activities for teaching vocabulary. Linguists have developed a so-called word-centred approach to language teaching (Thornbury, 2004), advocates of which usually support the use of language corpus in vocabulary instruction (Tribble & Jones, 1997). A few authors have attempted to classify vocabulary instruction activities into planned and unplanned activities and divide vocabulary learning activities into decontextualised, partially contextualised, and fully contextualised activities (Oxford and Scarcella, 1994). Other scholars have also proposed various types of exercises and tasks for practising vocabulary

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such as matching, word-building, classifying, filling in crosswords, grids or diagrams, memory games, and using given lexical items to perform a specific task (DeCarrico, 2001; Nation, 2001).

Among the techniques and activities for vocabulary instruction are flashcards and wordlists, the usefulness of which has been confirmed by numerous authors (Meara, 1995; Schmitt & Schmitt, 1995; Shillaw, 1995; Tan & Nicholson, 1997; Hulstijn, 2001; Nation, 2001; Thornbury, 2002; Yongqi, 2003). However, much uncertainty still exists about the efficacy of these two techniques as compared to each other. While some researchers are in favour of flashcards (Schmitt & Schmitt, 1995; Mohammadnejad, Nikdel & Oroujlou, 2012), several others have stated that learning through lists is more efficient and that more of the acquired vocabulary remains in the long-term memory (Hulstijn, 2001; Nation, 2001). Some others have also reported that the efficacies of these two techniques are not significantly different (Baleghizadeh & Ashoori, 2011; Sinaei & Asadi, 2014).

The lack of consensus has put language teachers in a dilemma. Given that flashcards consume more time and effort to make than wordlists, should language teachers utilise flashcards if they do not bring about significantly better results than wordlists? Furthermore, almost all previous research in this field used a post-test that only tested the ability to recognise the meaning of the learned vocabulary. Far too little attention has been paid to the learners' ability to write the words (spelling). It is, therefore, necessary to have more empirical investigations into the effects of flashcards and wordlists on EFL learners' ability to retain both word meaning and spelling.

This study set out to investigate and compare the effectiveness of flashcards and wordlists in vocabulary instruction with the hope of providing language teachers a basis for their choice between flashcards and wordlists, and making an important contribution to the understanding of the efficacies of the two techniques in vocabulary teaching. It was conducted in the form of an experiment, which involved 12 groups of EFL students at three levels of education (primary school, secondary school and high school).

2. Literature review

2.1. Wordlists

The term "wordlist" was originally used in reference to wordlists made by researchers for the purposes of designing syllabuses, developing language tests, analyzing texts, and teaching vocabulary in a specific field. Those wordlists include the "Academic Word List" (Coxhead, 2000), "Business Word List" (Konstantakis, 2007). "Science Word List" (Coxhead & Hirsh, 2007), "Medical Academic Word List" (Wang, Liang & Ge, 2008), "First 100 Spoken Collocations" (Shin & Nation, 2008), "AgroCorpus List" (Martínez, Beck, & Panza, 2009), "Basic Engineering List" (Ward, 2009), and "Phrasal Expressions List" (Martinez & Schmitt, 2012).

In the past several decades, the term "wordlist" has also been used to refer to the wordlists created by language teachers for teaching specific vocabulary in their language classrooms. These kinds of wordlists are defined as a sheet of paper that contains a list of target vocabulary. However, this teaching material can appear in various forms. For instance, some wordlists are comprised of a list of target vocabulary along with their L1 equivalences, while some others contain the

target vocabulary along with their phonemic transcripts or L1 translation.

A number of researchers have emphasised the usefulness of wordlists in teaching vocabulary. For instance, Thornbury (2002) called for a reconsideration of the value of list learning, which had been given inadequate attention. He also proposed a few strategies for using computerized wordlists in language teaching, such as matching sounds with the written forms on the list, ticking the English equivalences on a bilingual list, and making stories from a list of words. Along similar lines, other researchers hold that wordlists are one of the most effective ways of learning L2 vocabulary and that list learning is even more efficient than context learning (Nation, 2001; Meara, 1995). Their research found that a large number of words could be learned from wordlists within a short time period (Yongi, 2003). Similarly, Laufer and Shmueli (1997), Hulstijn (2001), Bahrick and Phelps (1987) and Shillaw (1995) found that wordlists help learners retain the learned vocabulary in their long-term memory.

However, several researchers have questioned the value of wordlists in language teaching. They argue that contexts are fundamental for learners to acquire the meaning of a word (Blachowicz & Fisher, 2000; Baumann & Kumeeuni, 1991). In other words, teachers need to provide their students with opportunities for meaningful practice rather than just rote memorization.

2.2. Flashcards

Flashcards have popularly been used in language classrooms as a technique for teaching not only vocabulary but also other aspects of language. The uses of flashcards include teaching sounds of the alphabet and helping poor readers improve word recognition (Culyer, 1988), teaching students to practice

their vocabulary development (Ervin, 1988), teaching prepositions, articles, sentence structures, tenses, and phrasal verbs (Palka, 1988), and improving reading comprehension and reading speed (Tan & Nicholson, 1997). There are various types of flashcards but each of them usually contains a word, a phrase, a sentence or a simple picture on one side and L1 translation on the other side.

A few authors have examined the effectiveness of flashcards in vocabulary instruction. Mondria and Mondria-de Veris (1994), for instance, point out that flashcards assist learners to establish meaningful contexts, which in turn facilitates vocabulary acquisition. Other researchers such as Palka (1998), Schmitt and Schmitt (1995), and Tan and Nicholson (1997) also suggest that flashcards can help students to remember and use the taught vocabulary effectively. In the same vein, Rokni and Karimi (2013) demonstrated that flashcards, along with other visual aids, have a positive result on learners' vocabulary studies. Other authors have also noted that flashcards offer a variety of uses in different activities and games (Hill, 1990), thus can be useful for both the teacher and the learner. Students can even use them when they study on their own (Mohammadnejad, Nikdel, Oroujlou, 2012).

2.3. Wordlists vs. Flashcards

Previous research has compared the efficacy of flashcards and wordlists as techniques in teaching vocabulary. An example of this is the study carried out by Baleghizadeh and Ashoori (2011). They investigated the participants' responses to vocabulary instruction using flashcards and wordlists. In order to do this, they used 20 flashcards with a picture on one side and L1 translation on the other side. The wordlists contained 20 words in one column and their

translations were on one side of the words. The experiment lasted for two days, during which one of the groups was taught with flashcards and the other group was taught with wordlists. After that, a post-test was administered to both groups to see which group had remembered more words. The results indicated that although the flashcard group did better than the wordlist group, the difference between them was not significant.

Similarly, Sinaei and Asadi (2014) found that flashcards produced higher results than wordlists but the flashcard group's performance was not significantly better than the wordlist group's performance. In this study, the two researchers explored the efficacy of flashcards and wordlists in teaching vocabulary to engineering professionals at both the elementary and intermediate levels of English. Before the treatment, an Academic Test of Vocabulary was administered to all groups. The same test was used as a post-test at the end of the course and as a delayed post-test 15 days after the course. The treatment consisted of seven sessions overall. The data showed that the flashcard group had a higher score on the post-tests but the difference was not significant.

Conversely, Mohammadnejad, Nikdel, Oroujlou (2012) reported significant differences in efficacy between flashcards and wordlists. Their research was carried out at a school in Iran with 36 participants whose ages ranged from 11 to 14. The participants were supposed to learn 60 words in their textbook. The flashcards they used contained pictures on one side and L1 translation on the other side. The wordlists had the words in one column and their respective L1 translations in another column. Each of the sessions in the treatment included a pre-test of the target vocabulary for that session and an immediate post-test to determine the participants' short-term

retention of the words. A pre-test and post-test were also administered before and after every two sessions and the last post-test was done after the treatment finished. The findings suggest that flashcards are more effective than wordlists in vocabulary instruction.

Several issues can be raised from the mentioned studies. First, much uncertainty still exists about the advantages of flashcards over wordlists, thus there needs to be more research into this issue. Second, only one of those studies explored the impact of the two techniques on learners at different English levels. Other researchers did not consider the participant groups' English ability. It is therefore necessary to conduct more research to see if one technique is better for a particular level but is less effective for other levels. Third, the previous researchers focused on learners' retention of word meaning but not word spelling. In all of the tests they used, the participants were asked to write down the L1 translations but were not asked to write the target words. This indicates a need to investigate and compare the effectiveness of the two techniques on learners' retention of word spelling before we can definitively claim the advantages of one technique over the other.

3. Research questions

This study was carried out to determine whether flashcards have significant advantages over wordlists in helping EFL learners at three different English levels (beginners, elementary and pre-intermediate) to retain word meaning and spelling. The following research questions were posed:

a) Which technique better facilitates learners' retention of word meaning?

b) Which technique better facilitates learners' retention of word spelling?

4. Methodology

The participants in this study were chosen from a population of students at primary, secondary and high schools in Vietnam. There were four groups of primary school students, four groups of secondary school students and four groups of high school students. Altogether, the 12 groups originally included 526 students. However, after the screening for their English level, we found that 23 students were not at the same English level as the rest of their group members. Therefore, the analysis did not include the results of these 23 students. The four primary school groups, hereafter named P1, P2, P3, and P4, respectively consisted of 43, 40, 40, and 42 students at the beginner level. The four secondary school groups, hereafter named S1, S2, S3 and S4, respectively consisted of 39, 41, 40, and 41 students at the elementary level. The four high school groups, hereafter named H1, H2, H3, and H4 respectively consisted of 45, 43, 45, 44 students at the pre-intermediate level. At the beginning of the experiment, the 165 primary school participants included 82 females and 83 males, aged from 8 to 9; the 161 secondary school participants included 78 females and 83 males, aged from 12 to 13; and the 177 high school participants included 86 females and 91 males, aged from 16 to 17. During the treatment, all of the students were following the usual English programs at their schools, where English is a required subject.

For the main English program, the primary school groups used the book named *English 3*; the secondary school groups used the book named *English 7*; and the high school group used the book named *English 10*. These books were designed and published by the Vietnamese Ministry of Education and Training.

Before the treatment, three English proficiency tests were used to ascertain the homogeneity of the participants in terms of language proficiency. For the primary groups, the Cambridge Young Learners Starters Test was used. For the secondary school, the Cambridge Key English Test was used. For the high school groups, the Cambridge Preliminary English Test was used. These tests cover the four language skills: speaking, reading, listening, and writing with the speaking part conducted on a different day from the other parts.

In order to eliminate the possibility that some students might have known the target words before the treatment, three vocabulary tests were administered. These tests were comprised of words selected from the textbooks the students were using at school. Each test had two parts. Part 1 displayed the selected English words along with four choices of meaning or Vietnamese equivalences for each. The test takers were to choose the best option. Part 2 displayed the Vietnamese equivalence or translation of the selected English words along with the initial letter of the corresponding English word. The test takers were to write down the missing letters. The test for the primary school groups contained 30 words, the test for the secondary school groups contained 40, and the test for the high school groups contained 50 words. These tests were modified by reducing the number of words (only the words that none of the students knew either by meaning or spelling were kept) and used again as the post-test at the end of the experiment.

Based on the results of the vocabulary test, a set of target words were chosen for each of the levels. Respectively, 20 target words, 30 target words and 40 target words were chosen to be taught to the primary school groups, the secondary school groups and the high school groups. A set of flashcards and a set of wordlists were designed for each type of group (primary, secondary, high school). Each of the flashcards had a picture on one

side and the Vietnamese equivalence on the other side. Each of the wordlists consisted of the target words in English along with their Vietnamese translations.

After the twelve groups were chosen, the English proficiency tests were administered. Each group took their test on two separate days: the reading, listening and writing parts on the first day, and the speaking part on the second. The results of the proficiency tests indicated that nine primary school students were above the beginner level, six of the secondary school students were lower than the elementary level, and eight of the high school students were below the pre-intermediate level. For this reason, although these 23 students still had the same treatment as their group members, their results were not included in the data analysis. The remaining 503 students were then asked to complete the vocabulary tests. Their scores were calculated, and the results showed that some students had already known some words in the test, either by meaning or spelling. Therefore, only 20 words were chosen to teach to the primary school groups, 30 words were chosen to teach to the secondary school groups, and 40 words were chosen to teach to the high school groups.

The twelve groups then received the treatment. Half of the students (P1, P2, S1, S2, H1, H2), were taught the target vocabulary using flashcards, while the other half of the students (P3, P4, S3, S4, H3, H4) were taught using the wordlists. The treatment lasted for five weeks with one session of 20 minutes per week.

After the treatment, all groups sat the post-test.

5. Results

The participants' retention of word meaning was measured by counting the number of correct L1 translations/correspondences that they had on the post-test (part 1 of the test) and their retention of word spelling was measured by counting the number of the correct target words they could write (part 2 of the test). For each of the three levels, comparisons between the groups (flashcard vs. wordlist) and between the word aspects (meaning and spelling) were made.

5.1. The Primary school groups

Regarding the participants' performance on meaning, the data indicated that both flashcard groups did better on meaning retention than the wordlist groups (see Table 1). On average, the participants who were taught using flashcards could retain the meanings of 15 out of 20 words (P1) and 16 out of 20 words (P2) while the participants who were taught using wordlists could retain the meanings of only 12 words (P3) and 11 words (P4). It should be noted that the best participants in the flashcard groups scored 19 while those in the wordlist groups scored only 15. The one-way ANOVA results showed that the groups' mean scores were significantly different, $F(3, 163) = 132.42$, $p = 0.000$. Post hoc comparisons using the Tukey HSD test indicated that the mean scores for group P1 ($M = 15.81$, $SD = 1.56$) and group P2 ($M = 16.63$, $SD = 1.51$) were significantly higher than the mean scores for group P3 ($M = 12.08$, $SD = 1.40$) and group P4 ($M = 11.71$, $SD = 1.17$). It can therefore be hypothesized that flashcards have a bigger impact on young learners' retention of word meaning.

In regard to the participants' retention of spelling, it was found that the flashcard groups did better than the wordlist groups, but the differences were minimal (less than 0.5). A one-way ANOVA revealed that the mean scores for group P1 ($M = 12.95$, $SD = 1.60$) and group P2 ($M = 13.00$, $SD = 1.43$) were not

significantly higher than the mean scores for group P3 (M = 12.65, SD = 1.23) and group P4 (M = 12.83, SD = 1.64).

A comparison between the participants' retention of meaning and their retention of spelling showed that the flashcard groups performed better on meaning than spelling while the wordlist groups performed slightly better on spelling than meaning. However, there was no significant difference for the wordlist groups' mean scores whereas a significant difference was found between the flashcard groups' mean scores on meaning and their mean scores on spelling.

Table 1. Descriptive Statistics of Meaning Retention for the Primary Groups

		N	Range	Min	Max	Sum	Mean	Variance	SD	Skewness
FL	P1	43	7	12	19	680	15.81	2.44	1.56	-0.25
	P2	40	7	12	19	665	16.63	2.49	1.51	-0.73
WL	P3	40	5	10	15	483	12.08	1.97	1.40	0.15
	P4	44	5	9	14	492	11.71	1.38	1.17	-0.07

Table 2. Descriptive Statistics of Spelling Retention for the Elementary Groups

		N	Range	Min	Max	Sum	Mean	Variance	SD	Skewness
FL	P1	43	6	10	16	557	12.95	2.57	1.60	-0.25
	P2	40	5	11	16	520	13.00	2.05	1.43	-0.27
WL	P3	40	5	11	16	506	12.65	1.52	1.23	0.78
	P4	44	8	10	18	539	12.83	2.68	1.64	0.78

Altogether, these results suggest that while flashcards and wordlists elicit similar results in terms of helping young learners to retain word spelling, flashcards are a better choice for those teachers who want to focus on the meaning of the word.

5.2. The secondary school groups

In regard to meaning retention, the four groups had similar mean scores, which ranged from 21.93 to 23.12 (see Table 3). A one-way ANOVA indicated that the mean scores for group S1 (M = 22.95, SD = 2.36) and group S2 (M = 22.78, SD = 2.22) were not significantly different from the mean scores for group S3 (M = 21.93, SD = 1.93) and group S4 (M = 23.12, SD = 2.18). This suggests that flashcards do not have advantage over wordlists in helping learners at secondary schools to retain word meaning.

Table 3. Descriptive Statistics of Meaning Retention for the Secondary School Groups

		N	Range	Min	Max	Sum	Mean	Variance	SD	Skewness
FL	S1	39	10	18	28	895	22.95	5.58	2.36	-0.04
	S2	41	10	16	26	934	22.78	4.93	2.22	-0.87
WL	S3	40	7	18	25	877	21.93	3.71	1.93	-0.15
	S4	41	10	17	27	948	23.12	4.76	2.18	-0.95

In regard to spelling, it is apparent from the data in Table 4 that the wordlist groups attained better results than the flashcard groups. Both of the flashcard groups achieved an average score of 18.67 (group S1) and 18.54 (group S2) whereas the wordlist groups achieved an average score of 21.70 (group S3) and 22.07 (group S4). The one-way ANOVA results showed that the groups' mean scores were significantly different, $F(3, 157) = 25.09$, $p = 0.000$. Post hoc comparisons using the Tukey HSD test indicated that the mean scores for group S1 (M = 18.67, SD = 2.53) and group S2 (M = 18.54, SD = 2.28) were significantly lower than the mean scores for group S3 (M = 21.70, SD = 2.42) and group S4 (M = 22.07, SD = 2.41).

Table 4. Descriptive Statistics of Spelling Retention for the Secondary School Groups

		N	Range	Min	Max	Sum	Mean	Variance	SD	Skewness
FL	S1	39	11	13	24	728	18.67	6.39	2.53	-0.16
	S2	41	9	14	23	760	18.54	5.20	2.28	-0.41
WL	S3	40	10	16	26	868	21.70	5.86	2.42	-0.71
	S4	41	12	17	29	905	22.07	5.82	2.41	0.39

5.3. The high school groups

As shown in Table 5, groups H1, H2, H3 and H4 respectively achieved an average score of 30.16, 31.86, 31.87, and 31.77 on the meaning retention task. The differences were not significant. Similarly, their scores on the spelling retention task were only very slightly different. Both types of groups had around 30 and 31 correct answers (see Table 6).

Comparing the groups' results of the meaning retention task and their results of the spelling retention task, it was found that all four groups performed equally well on the two tasks. Altogether, these results indicate that the flashcard groups and wordlist groups did similarly well on the test. It is therefore likely that neither technique has advantage over the other in vocabulary instruction.

Table 5. Descriptive Statistics of Meaning Retention for the High School Groups

		N	Range	Min	Max	Sum	Mean	Variance	SD	Skewness
FL	S1	45	11	24	35	1357	30.16	8.27	2.88	-0.49
	S2	43	13	25	38	1370	31.86	8.36	2.89	-0.09
WL	S3	45	13	24	37	1434	31.87	6.53	2.55	-0.22
	S4	44	13	23	36	1398	31.77	6.83	2.61	-0.60

Table 6. Descriptive Statistics of Spelling Retention for the High School Groups

		N	Range	Min	Max	Sum	Mean	Variance	SD	Skewness
FL	S1	45	9	25	34	1358	30.18	3.47	1.86	-0.48
	S2	43	7	28	35	1355	31.51	2.40	1.55	-0.16
WL	S3	45	10	27	37	1383	30.73	2.97	1.72	1.33
	S4	44	12	25	37	1367	31.07	4.11	2.03	-0.06

6. Discussion

Previous studies comparing the impact of flashcards and wordlists as techniques in vocabulary instruction observed inconsistent results on whether either of them has advantage over the other (Mohammadnejad, Nikdel & Oroujlou, 2012; Baleghizadeh, Ashoori, 2011; Sinaei & Asadi, 2014). As mentioned in the literature review, some researchers found that flashcards and wordlists have equal effects on EFL learners' word acquisition while others reported significant differences. The current study set out to determine whether

flashcards are significantly better than wordlists in vocabulary instruction to learners at three different levels of English: beginner, elementary, and pre-intermediate.

One of the major findings of this research is that flashcards substantially facilitate the ability of young learners at the beginner level in retaining word meaning. This finding further supports those reached by Mohammadnejad, Nikdel, Oroujlou (2012) and confirms the hypothesis that flashcards lead to improved vocabulary learning (Mondria & Mondria-de Vries, 1994). This result can be explained by the fact that learners can categorize flashcards

based on the difficulty level, topic, frequency, time order, use and so forth. This might have allowed the flashcard students to practice vocabulary extensively, and review frequently and selectively according to their needs and ability.

As for the wordlist groups, it is possible that they suffered a list effect caused by list learning, as proposed by Nakata (2008). Those participants might have been able to recall an item within the list but failed to do so when it was separated from the others. These learners, therefore, did worse on the test than the other participants who were taught with flashcards.

However, this study found that flashcards do not have advantage over wordlists for learners at higher levels of English (elementary and pre-intermediate). The data revealed that the participants at the secondary and high schools performed equally well whether taught with flashcards or wordlists. A possible explanation for these results might be that these older learners are perhaps not as attracted to pictures as younger learners are, thus will not benefit as much from flashcards as younger learners do.

With respect to the efficacy of the two techniques in facilitating learners' spelling retention, the present study found that at the pre-intermediate level, flashcards and wordlists yield similar results. At the beginner level, flashcards are more beneficial than wordlists but the difference is minimal. Surprisingly, at the elementary level, wordlists are far more effective than flashcards. The results indicated that the wordlist groups at the secondary schools gained significantly higher scores than the flashcard groups. The reason for this is not clear but it may have something to do with the learners' learning styles and learning preferences.

One interesting finding that emerged from this study was that the participants tended to perform better on meaning retention than spelling retention. The results showed that for

the flashcard groups at primary school and secondary school, the mean scores for meaning were significantly higher than the mean scores for spelling, while for the flashcard groups at high school, the mean scores for meaning were similar to the mean scores for spelling. In regard to the wordlist groups, the participants at both secondary school and high school performed better on meaning than spelling; the participants at primary school performed just slightly worse on meaning, but the difference was marginal. It can therefore be assumed that acquiring the written form is probably more challenging to Vietnamese EFL learners.

7. Conclusion

This study has identified the efficacy of flashcards and wordlists as techniques for vocabulary instruction. The most obvious finding to emerge from this study is that flashcards do not have advantage over wordlists for high school learners. Those who were taught with flashcards and those who were taught with wordlists did equally well on meaning and spelling retention. This finding suggests that English language teachers can freely choose between flashcards and wordlists for high school learners inasmuch as they yield similar results.

This research has also shown that for secondary school learners, wordlists bring greater benefits when it comes to spelling retention. Given that wordlists are cheaper and easier to make, and that flashcards produce similar effects on meaning retention, it is advisable that language teachers working with this age group use wordlists for vocabulary instruction.

Another major finding to emerge from this research was that for primary school learners, flashcards work more effectively than wordlists in terms of facilitating their ability to memorize both word meaning and spelling. One

implication of this result is that English language teachers who are teaching young learners should consider using flashcards when possible since it would lead to better vocabulary learning.

Finally, since the results of this study indicated that learners in all three age groups tended to retain spelling less effectively than meaning, English language teachers may want to design more activities that focus their learners on the written form of the word so that they can have a thorough grasp of the vocabulary they learn.

To conclude, this research confirms previous findings and extends our knowledge of the efficacy of flashcards and wordlists in vocabulary teaching. The findings indicate that flashcards are a better choice for primary school EFL learners but wordlists are more beneficial for older learners.

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KỸ THUẬT DẠY TỪ VỰNG CHO NGƯỜI HỌC TIẾNG ANH NHƯ MỘT NGOẠI NGỮ: SO SÁNH GIỮA BẢNG TỪ VÀ THẺ HÌNH

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Tóm tắt: Bài báo này báo cáo kết quả nghiên cứu tác động của kỹ thuật Bảng từ và Thẻ hình trong việc dạy từ vựng cho người học tiếng Anh như một ngoại ngữ. Nghiên cứu được thực hiện dưới dạng thực nghiệm trên đối tượng người học mới bắt đầu học tiếng Anh và người học ở trình độ sơ cấp và tiền trung cấp. Trong suốt quá trình thực nghiệm, sáu nhóm người học được dạy từ vựng với kỹ thuật Bảng từ và sáu nhóm khác được dạy từ vựng với kỹ thuật Thẻ hình. Không giống với các nghiên cứu trước đây chỉ tập trung vào giá trị của hai kỹ thuật này đối với việc ghi nhớ nghĩa của từ, nghiên cứu này còn xem xét ảnh hưởng của hai kỹ thuật đối với việc ghi nhớ cách viết. Kết quả cho thấy thẻ hình có lợi thế hơn đối với người mới bắt đầu học tiếng Anh nhưng bảng từ lại giúp cho người học ở trình độ sơ cấp và tiền trung cấp nhớ từ tốt hơn.

Từ khóa: dạy từ vựng, bảng từ, thẻ hình, kỹ thuật dạy từ vựng, ghi nhớ từ vựng

DISCUSSION

APPLICATION OF ETYMOLOGY-VISUALIZATION TECHNIQUES TO TEACHING FINANCIAL ENGLISH VOCABULARY: A KOREAN EXPERIENCE

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Abstract: It is a common belief that English for Specific Purposes students (herein ESP students) in general, and Financial English students (herein FE students) find it harder than Basic/General English (GE) for a number of reasons, one of which is differences between FE and GE. The paper first identifies the most important factors in teaching FE by clarifying such differences between FE and GE and pointing out peculiarities of FE vocabulary. Then, we share our experience in seeking effective FE vocabulary teaching techniques to overcome our Korean students' difficulties in the ESP course compared with their GE course. In our efforts, we piloted different techniques which combine etymology and visualization for teaching FE vocabulary, including derivative reasoning technique, monolingual reasoning technique, multilingual reasoning technique, semantic contrast technique, word decomposition technique, and definition grouping technique. We also checked our students' retention of some FE vocabulary items taught through both traditional and piloted techniques, and initial results manifest that these etymology-visualization techniques promise to be effective. Above all, the paper presents a glimpse of ESP teaching/learning in our country in the hope that what works in our case in Korea can also be effectively applied elsewhere.

Keywords: etymology, visualization, ESP vocabulary, Financial English

1. Introduction

After the Basic English course, all the students in our University (Kim Il Sung University, Democratic People's Republic of Korea (DPRK)) take an ESP course according to their majors. Students of Finance College go through the Financial English course. The students feel FE course harder than Basic English course although they are both English. FE terms are hard for them to acquire because they are specific to financial situations, not general situations. They tend to acquire FE terms mechanically using word-for-word translation technique, i.e. L1 word for L2 word, or vice versa, as shown in bilingual English-Korean dictionaries. They feel embarrassed when they come across new terms not shown in bilingual dictionaries. In some cases, they merely transfer the words they knew from the Basic English course to the new context, which may not be suitable. For example, 'debtors' in balance sheets means 'the amounts of money that are owed to a company, which are recorded as assets on its balance sheet' in Oxford Business English Dictionary for Learners of English 2005 (OBEDLE, 2005), not the plural form of 'a person who owes money'. They do not consult specific dictionaries of financial terms because they think such words are not new, and they already know their meanings. They are unaware of other meanings, especially contextual meanings, of those words, and

continue to use them mechanically. These challenges require a study on efficient ways of acquiring ESP – FE vocabulary.

Since most of the students believe the Basic English course is easier than the ESP course (Financial English course), it is highly necessary to find effective ways to make the ESP course as natural and easy as the Basic English course, one of which is the use of different etymology-visualization techniques. Our pilot application of these techniques demonstrates that they are useful in FE vocabulary acquisition and retention. In other words, students' FE vocabulary learning is facilitated when teachers employ a wide variation of etymology-visualization techniques. Our efforts are based on the following theoretical consideration.

2. Literature Review

2.1. Relationship between ESP and GE

As for the meaning of the term "2nd language for specific purposes" (Bloor & Bloor, 1986; Flowerdew & Peacock, 2001a) which Alan and Catherine summarized in their book (2004), there exist two views: one believes that a specific-purpose language is a restricted repertoire of a general language system and the second language learner first needs to learn the basic core of the second language before he/she can learn additional elements, such as items that feature strongly in the target situations of interest while the other (Bloor & Bloor, 1986) posits that languages for specific purposes are varieties of language and that there is no such thing as a general-purpose language, and the learner can acquire the common elements from studying any variety of a language while at the same time learning the specific forms and conventions appropriate to that variety.

There are issues that need discussing in the views above. There exist no tools for no purpose. Language, a tool for communication, was born with its own purpose. The question is to define the scope of the purpose, which should be considered with the development of language. Language is used between people in a society. So language development accompanies social development. The more the society develops, the more labor is divided and diversified and the more knowledge is specialized, which inevitably leads to the specialization of language – "the garment of thought", as Ferdinand de Saussure (1959) puts it. This should define the extent of language purposes in accordance with that of language development accompanied by social development: general purposes and specific purposes.

Language for general purposes can be taken as the root from which language for specific purposes is branched. The former has a word bank of high frequency in general situations while the latter has a word bank of higher frequency in specific situations rather than others.

Language for general purposes and language for specific purposes are defined according to situations. As yesterday's knowledge becomes today's common sense with the growing level of people's culture and education, today's language for specific purposes can be tomorrow's language for general purposes. And specialized branches of science are combined to produce another new specialized branch, which shows that yesterday's language for general purposes can be today's language for specific purposes with a derivative meaning. It may be of limited duration.

It would be regarded as desirable to educate the root language prior to branches. The root language education (General English herein) and branch language education (Financial

English herein) are intimately related as the latter is rooted from the former. With ESP and GE being so interrelated, ESP can be defined in the following formula: 'ESP = Major Knowledge + English Knowledge'. English knowledge is framed through a Basic English course. Major knowledge consists of specific concepts or definitions and their combination which are regarded as vocabulary and/or specific systems of terminology.

Vocabularies are like raw materials for producing or building a language. Learners can produce a new product, i.e. ESP, by inputting new raw materials (vocabulary) and making a slight change to the basic production process (grammar) already established through the Basic English course. It is reasonable to make useful techniquees for learning or teaching vocabulary frequently used in specific domains, provided that the difference between GE naturally acquired in the infant stage and ESP intentionally acquired in the professional stage mainly lies in vocabulary. To get knowledge is to get terms for the knowledge. From this point of view, we believe that the most important point that distinguishes Financial English (FE) from GE exists inside vocabulary rather than grammar, context or stylistics.

Financial English = Financial Knowledge + English Knowledge

Reviewing the trends in the area of vocabulary teaching through various techniques used by ESL/EFL teachers (Monarch, 2015; Wilkins, 1972; Carter & McCarthy, 1988; Nation, 1990; Arnaud & Bejoint, 1992; Coady & Huckin, 1997; Schmitt, 1997, 2000; Mofareh, 2015; Shigao, 2012; Nina, 2014), we find that ESP teachers need to notice the points peculiar to their ESP vocabulary and find suitable teaching techniques to their own learners. Below are several peculiarities of FE in our view.

2.2. Characteristics of Financial English vocabulary

Like other sets of terminology, a large amount of Financial English (FE) vocabulary is derived from General English (GE) vocabulary. For instance, in Longman Dictionary of Contemporary English (2009), 'portfolio' has four meanings: (1) a large flat case used especially for carrying pictures, documents, etc.; (2) a set of pictures or other pieces of work that an artist, photographer, etc. has made; (3) a group of stocks owned by a particular person or company (4) (*British English*) the work that a particular government official is responsible for. 'Portfolio' has its Italian word origin *portfolio*, from *portare* 'to carry' + *foglio* 'leaf, sheet'. The first meaning is derived from its Italian origin while the second, the third, and the fourth are derived from the first general meaning of 'portfolio'. The fact that the FE vocabulary 'portfolio' has its financial meaning in the third place out of the four meanings can lead us to assume that many, if not all, other FE vocabulary items, could also come from GE vocabulary. This assumption will be clarified later in the paper.

However, FE vocabulary is unique (Kisin, 2014). It is necessary to point out features peculiar to FE vocabulary which might be challenges for teaching or learning it. First, a number of financial phenomena or concepts can be expressed in different English vocabulary in British or American English. For instance, in OBEDLE (2005), 'debtors' is described as 'the amounts of money that are owed to a company, which are recorded as assets on its balance sheet' while 'accounts receivable' as 'the amounts of money that are owed to a business by its customers, shown as an asset on its balance sheet.' This shows that the two words 'debtors' and 'accounts receivable' are identical in their meaning although they are

disparate in their appearance. Not only do British and American English (BE and AE) differ, but even in one of those varieties, there exists different vocabulary entries for identical financial phenomena or concepts. The same financial phenomena/concepts can be referred to in different ways, just like synonyms in GE. This causes another difficulty for acquiring FE vocabulary, so there must be some consistent way to unite all these synonyms, and maybe only one of them is chosen to be the term for the phenomenon/concept while others have to sacrifice. In other words, we have to try to ensure one-to-one correspondence: one concept is expressed only by one term.

As discussed above, FE vocabulary is rooted in GE vocabulary, so it is necessary to contrast original words and derivatives. Nevertheless, FE vocabulary may not always find their Korean equivalents, which indicates that learners need to acquire the ways to understand and guess the meaning of FE vocabulary, and tracing word origins is one of such ways. Etymology hence comes in handy to facilitate FE vocabulary acquisition. Below is relevant literature on etymological visualization.

2.3. Helping students acquire FE vocabulary by visualizing its etymology

Memorization can be enhanced when associated, relevant information is provided, or known knowledge is activated. "Discovering the common roots of words, language learners soon understand the meaning of many unknown words they have never seen before, derived from the same root. Etymology is useful, effective and interesting in language learning. Etymology which is one of the most systematic, enjoyable and effective ways of enhancing word power will increase the learners' ability to figure out unknown and difficult words with ease and

without continual reference to unabridged sources." (Masoud and Masoud, 2011).

Etymological or historical tracing is effective in such a case that the present meaning is not directly related to its inherent meaning. Both literal meanings and metaphorical meanings are products of culture and history (Shigao, 2012). From learning the etymology (or historical development) of a word, learners can improve their metaphorical cognitive abilities and learning the etymology of a word will certainly promote their comprehension of new words.

Let us consider some examples. 'Pound' (today's British monetary unit) is derived from weight unit 'pound' since the ancient British used rice as general equivalent. 'Blue chip' (today's big and secure company stocks) is derived from gambling whose blue chip is of highest points. 'Payroll' means 'a list of people employed by a company showing the amount of money to be paid to each of them'. Here the word 'roll' of 'payroll' does not match with 'list'. Tracing the history of bookbinding, a paper was kept in the form of a roll. Then learners can find it easy to match 'roll' with 'list'. As can be seen, etymology proves useful here in learning FE vocabulary.

Another help to FE vocabulary learning is visualization. In fact, visualization has been applied to science education, especially natural science such as chemistry, physics, biology, etc. Karen et al. (2011) analyzed 65 research articles on the application of visualization in a number of science subjects, most of which were in chemistry and general science. They concluded, "There is general agreement in the educational community that visualization is an effective teaching tool. Current applications of visualization are found in many teaching contexts, including mathematics, reading, science and technology." (Karen et al. 2011).

Gilbert (2005) also states that processes of visualization are widely used throughout science and science education. In language learning and teaching in particular, Wilkins (1972) claims that, according to the psychology of language, people learn and better retain words which have been presented to them with a range of visual and other associations. Seeing is believing.

What about visualization of FE vocabulary? Is is taken for granted that the tangible or concrete is acquired more naturally than the intangible or the abstract. For FE – the issue in question, FE vocabulary is quite abstract or intangible while GE is concrete or tangible. The more abstract the vocabulary is, the more difficult it is to be visualized, while the more concrete the vocabulary is, the easier it is to be visualized. In addition, the more abstract the FE vocabulary is, the more necessary it is to be visualized for learners to easily acquire it. Finance, one among social sciences, is distinct from natural sciences, so it is hard to visualize abstract FE vocabulary

except for such a few concrete words as 'money' or 'coin'.

Speakers' lexicon develops from the simple to the complex and from the concrete to the abstract, reflecting the past, present and future materials and phenomena in the world. When the abstract meaning of FE vocabulary comes from the meaning of the concrete origin, it is possible to visualize that vocabulary through etymological restoration. Mayer and Anderson (1991) found that the combination of visualization (animation in this case) and verbal or textual information enhanced understanding of scientific explanations and concepts. Etymology together with visualization can magnify learners' comprehension, acquisition, retention and recall for the target vocabulary. In a word, etymology-based visualization techniques could convert abstraction into concretion to facilitate vocabulary acquisition. Visualization thus can help learners guess, understand and memorize FE vocabulary in a much easier way.

abstraction ⟶ etymology + visualization ⟶ concretion

Figure 1. Abstraction-concretion process

With these in mind as a foundation, we set out to conduct our experiment.

3. The Experiment

3.1. Financial English vocabulary analysis

In order to find out the relationship between GE and FE vocabulary, we analyzed the vocabulary in a bilingual dictionary 'Samhung English-Korean Dictionary'. The dictionary has about 300,000 entries, 3009 out of which are about finance and economics. 2062 of 3009 are lexical items with only one meaning. A few items (38) of 2062 consist

of a single word such as 'consol', 'arbitrage' and 'higgle', etc. which are impossible to be divided into smaller units, while the rest of 2062 are phrases like 'acceptance bank', 'account payable', 'prompt note', 'accountant', 'unrepaid', etc. Analyzing their meanings, we identify the following

Table 1. Proportion of FE vocabulary derived from GE

Total meanings of an entry (A)	Total entries (B)	Total entries with financial meaning being the primary sense (C)	Total entries with financial meaning not being the primary sense (D)	Proportion of entries whose financial meaning can be matched with GE (D/B)
2	406	274	132	32.5
3	163	62	101	62.0
4	114	44	70	61.4
5	76	10	66	86.8
6	47	5	42	89.4
7	39	5	34	87.2
8	26	7	19	73.1
9	13	3	10	76.9
10	12	3	9	75.0
11	9	0	9	100.0
12	8	1	7	87.5
13	1	0	1	100.0
14	6	0	6	100.0
15	8	0	8	100.0
16	2	0	2	100.0
17	4	0	4	100.0
18	1	0	1	100.0
19	1	0	1	100.0
22	1	0	1	100.0
23	2	0	2	100.0
24	2	0	2	100.0
25	1	0	1	100.0
27	2	0	2	100.0
28	1	0	1	100.0
31	1	0	1	100.0
36	1	0	1	100.0
2-36	947	414	533	56.3
3-36	541	140	401	74.1

As the result shows, the proportion of financial vocabulary whose meaning could be acquired by matching with GE is 533 out of 947 (with total meanings of two to thirty six), accounting for 56.3%. and from three to thirty-six is 401 out of 541, accounting for 74.1%. This analysis suggests that it is economical for FE learners to establish the relation between FE terms and GE vocabulary.

3.2 A wide variation of etymology-visualization techniques

Based on the analysis above, we identified and applied helpful teaching techniquees to FE vocabulary. Teachers can combine more than one techniques (Pinter, 2006). A word can be defined in various ways, but three significant aspects teachers need to be aware of and focus

on are *form*, *meaning*, and *use* (Ibrahim, 2015). Linking etymology-visualization techniques together with the meaning of vocabulary, we produce 'derivative reasoning technique' and 'monolingual reasoning technique' while together with the form of vocabulary we produce 'multilingual reasoning technique', 'word decomposition technique' and 'definition grouping technique'. Following are descriptions of how these techniques are applied in our case, together with explanations or justifications for their use.

3.2.1. Derivative reasoning technique

Concerning teaching the underlying meaning of a word, Schmitt (2008) says, 'Many words are polysemous in English; that is, they have more than one meaning. By defining the underlying meaning, we maximize the effect of the teaching because we enable students to understand the word in a much wider variety of contexts.' Paul (1994) also states that 'Teaching vocabulary effectively begins with building on what students already know. By opening a concept in the students' minds and having them call up familiar words related to the concept, you are preparing them to add new words to their lexical networks. It is important to ensure that learners master the high-frequency words of the L2 before moving on to the less frequent words. Therefore, the level of the vocabulary, as well as the methods of teaching it, should suit the learners.' 'Semantic motivation is a kind of psychological association, and it can explain the word's original meaning and other meaning-related items. As to many words in a language, their metaphorical referents have a certain similarity with their original meaning referents in their shape, function, characteristic, etc.' (Shigao, 2012).

Familiar English vocabulary is of high frequency in everyday life. FE vocabulary and familiar English vocabulary are similar in nature. To expand the extent of the familiar English vocabulary into the new FE vocabulary is helpful. To reason FE vocabulary is to relate to its original meaning which learners are already familiar with.

Teaching the target FE vocabulary is accompanied by directly or indirectly relating to its original meaning and visualizing it. Longman dictionary states that 'portfolio' has its Italian origin, *portfolio*, from *portare* 'to carry' + *foglio* 'leaf, sheet'. So the original meaning of 'portfolio' is a large flat case with many sheets for carrying pictures, documents, etc. Teachers show a visual aid of a large flat case with many sheets (original portfolio) to the learners and let them directly relate each 'sheet' with each 'stock' or 'bond' or other financial instruments. Then learners can accept the financial meaning of 'portfolio' as 'diversification of investment'.

A financial vocabulary 'spread' is 'the difference between the interest rate that a bank pays for borrowing money and the rate at which it is prepared to lend it'. The original meaning of 'spread' is 'open' or 'extend'. Longman dictionary says that 'if something spreads or is spread, it becomes larger or moves so that it affects more people or a larger area.' How to relate 'becoming larger' with 'difference'? Teachers show a video of a pigeon spreading its wings and let students try to find something helpful for them to extract the meaning of the financial vocabulary 'spread'. One student says, 'a pigeon spreads its wings, 'spread' in this video is the same as 'spread' in financial terminology in their appearance.' Then teachers let students try to find where 'spread' means 'difference' showing another visual aid like the following.

Figure 2. A pigeon spreading its wings (1)

Then another student says, 'Folded wings and spread wings are different in the area.' Teachers metaphorize the borrowing interest rate into folded wings and lending interest rate into spread wings. And the difference is understood as 'spread'.

(lending rate)   (borrowing rate)

Figure 3. A pigeon spreading its wings (2)

Furthermore, they can generalize that 'spread' is 'the difference between the prices at which something is bought and sold or the interest rates for lending and borrowing money.'

Here, if they were not shown a visual aid of spreading feathers, it would be hard to motivate their brain to link a bird's *spread* to the financial meaning of *spread*.

Lakoff and Johnson (1980) state, 'The recent developments in cognitive linguistics have revealed how abstract meaning in language is shaped by bodily experience. Concepts, concrete or abstract, cannot be arbitrary, but instead, are constructed in a metaphorical way. They are based on human bodily experiences. Concepts are formed through body and mind's embodiment of the world and are understood through body and mind.'

It is also known that bodily experience can be memorized well. Combining bodily experience with the new FE vocabulary through visualization would enhance learners' understanding.

As for a financial vocabulary 'net profit', the original meaning of 'net' is 'something used for catching fish, insects or animals which is made of threads or wires woven across each other with regular spaces between them'. By using a net, fish remain in it without water. Teachers ask students to imagine netting their fish (profit) from the river (revenue).

A profit and loss account is one of the financial statements and has three elements: revenue, expense and net profit. It has a formula: 'Revenue – Expense = Net profit'

Teachers metaphorize this formula as 'netting fish in the river'.

As for another vocabulary 'to write off', OBEDLE (2005) says as follows: (1) (in *Accounting*) to reduce the value of an asset in a company's accounts over a period of time: (2) (in *Accounting*) to remove a debt from a company's accounts because the money cannot be collected; to remove an asset that has no value.

Teachers show a video aid of writing '1000' and erasing it one by one zero '0' to be 'blank'. Students watch the process of reducing from 1000 to 100, from 100 to 10, from 10 to 1, from 1 to 0 by using an eraser and can understand what 'to write off' means.

3.2.2. Monolingual reasoning technique

People can name an object in a variety of ways for different reasons or due to various perspectives. Similarly, the same financial issue, concept or phenomenon can be referred to with different vocabulary items. For those items, teachers may try to explain to students such different reasons or perspectives, which can be helpful. Take 'standing order' and 'direct debit' as an example.
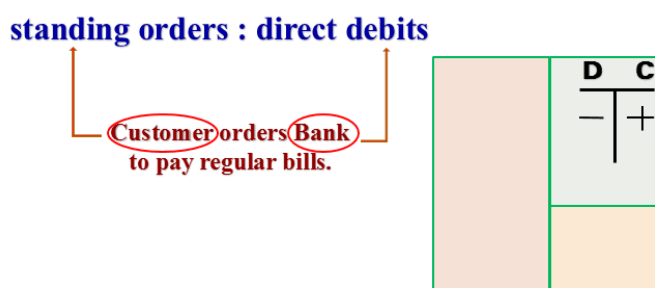

Figure 4. 'Standing order' & 'direct debit'.

Teachers analyze the definition of 'standing order' and 'direct debit' in OBEDLE (2005).

'Standing order': an instruction that you give to a bank to pay somebody a fixed amount of money from your account on the same day each week, month, etc.

'Direct debit': an instruction to your bank to allow somebody else to take an amount of money from your account on a particular date, especially to pay bills.

The definitions say that a _customer_ orders a _bank_ to pay regular bills. When you focus on 'customer', then it is named 'standing order' (here 'standing' stands for 'continuing' or 'regular').

When you focus on 'bank', then it is named 'direct debit' (the bank receives an order from a customer and _directly debit_ his or her account.)

Take 'debtors' and 'accounts receivable' as another example. Teachers change the definition of 'debtors' or 'accounts receivable' into another statement which is more convenient for teaching.

Dictionaries may define the word as 'the amount of money that is owed to a company, which are recorded as assets on its balance sheet'.

Teacher may say: 'The amount of money that _debtors_ owe to a company.' (1)

'The amount of money that a company can receive from debtors.' (2)

'Debtors' or 'accounts receivable' is composed of two elements: a debtor who should pay debt and the amount of money a creditor should receive. When you focus on the 'who', then it is named 'debtors' (British English). When you focus on the 'what', then it is named 'accounts receivable' (American English).

3.2.3. Multilingual reasoning technique

'There is no doubt that the first language (L1) exerts considerable influences on learning and using L2 vocabulary in a number of ways. Although using the L1 in second language learning is unfashionable in many quarters,

given the ubiquitous nature of L1 influence, it seems perfectly sensible to exploit it when it is to our advantage.' (Schmitt, 2008). Comparing rather than matching up the meanings of L1 and L2 vocabulary would enhance vocabulary learning also after the beginning stages of learning vocabulary.

Drawing a graph can help learners relate different ways of expressing depreciation methods shown below.
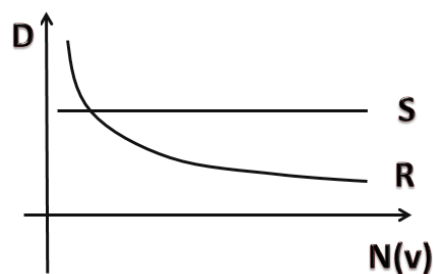

Figure 5. Depreciating methods.

(D: depreciated amount, S: straight line method, R: declining or reducing balance method, N: years)

Table 2. English – Korean reasoning for some depreciation methods

Language	Financial Vocabulary	Decomposed Elements	Composed Meaning
English	straight-line method	straight-line method	method that draws a straight line
	declining balance method	declining balance method	method that draws a declining line
Korean	정액법	fixed (정) amount (액) method (법)	method that depreciates a fixed amount every year
	정률법	fixed (정) rate (률) method (법)	method that depreciates a fixed rate every year

3.2.4. Semantic contrast technique

Teachers technique to teach the target financial vocabulary by relating it to another technical vocabulary which learners might be already familiar with. For instance, teachers may introduce the technical term used in Microsoft Office to explain a new financial vocabulary "merge company". When we edit tables in Microsoft office, we click the right button of the mouse, then the following screen prompts out and we click "merge cells" and then individual cells are combined into a big cell. Teachers metaphorize 'each cell combined' as 'a company' and 'the combined bigger one' as 'a merged big company' through visualizing table making.
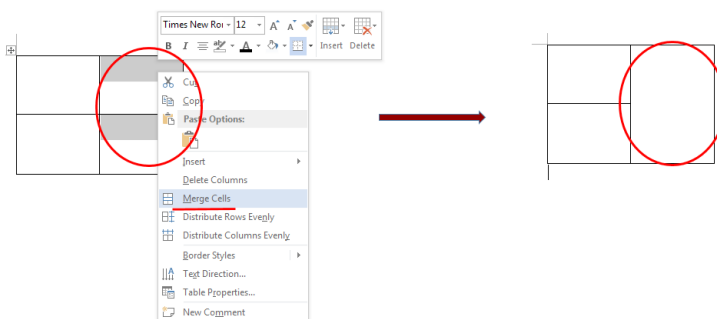

Figure 6. 'Merge Cells' = 'Merge Companies'.

In teaching 'commercial bank', let learners understand what 'commerce' means and then what 'commercial bank' means. Commerce means trade or exchange A for B. To lend money is to exchange money (A) for interest (B) and to receive money is to exchange interest (B) for money (A), which are the main businesses (loan and deposit) in commercial banks.

3.2.5. Word decomposition technique

We solve a tough math problem using known formulas. A new complex, long, strange vocabulary can be divided into pieces much simpler and more familiar to learners so that it can be more easily acquired. Nina Kisin (2014) reports that 'In Yugoslavia they use some effective ways to teach new FE lexemes, one of which is to play hangman and see if students could guess the missing letters, then to provide them with the definition in English dictionary (e.g. 'cash cow' as 'a very profitable business or part of a business') – quite a successful technique, as well as the translation of it into their mother tongue (Serbian). Students readily offer their translations of cash cow into Serbian, although they improvise some extent: *kravamuzara, zlatnakoka*… The teacher provides them with example sentences (input) to know how to use 'cash cow' in a sentence.'

As for the same lexeme 'cash cow', we use a different technique. Make a new word from an old one. That is to convert strange vocabulary ('cash cow') into familiar one ('cash' and 'cow'). After the Basic English course, students have already learnt that cow is a large female animal producing milk. Teachers let students replace 'milk' with 'cash'. Then 'milk-producing-cow' is converted into 'cash-producing-cow'. Students can automatically guess the meaning of cow as business or part of business with high yield.

Figure 7. 'Milk-producing-cow' and 'cash-producing-company'.

'Solvency' can be decomposed into 'ability to solve' i.e. to make solid into liquid while 'liquidity' into 'ability to be liquid'. Teachers show students the visual aid of conversion of solid (ice) into liquid (water) then let them try to find where the difference between 'solvency' and 'liquidity' lies. They answer that 'solvency' shows the stage of solving i.e. melting ice into water (process) while 'liquidity shows being melted into water (result). Metaphorizing 'fixed asset' as 'solid' and 'current asset (like cash)' as 'liquid', learners can regard 'solvency' as 'ability to convert fixed asset into cash in such a case of liquidation' i.e. ability to pay long – term creditors. And also they can regard 'liquidity' as 'ability of being liquid' i.e. ability to having cash for short – term payment.
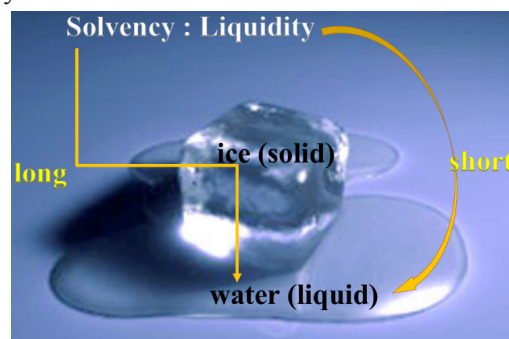

Figure 8. Solvency – liquidity.

Similarly, 'irrecoverable' can be decomposed into pieces, i.e. *ir (not) +re (again) +cover (pay) +able (can)*. So it can be understood as '*cannot pay back again*'. Another vocabulary 'income' can be artificially decomposed into '*in*' and '*come*' and then means '*everything come into my pocket*'. The other word 'underwrite' can be into 'under' and 'write'. 'To write under part of the paper is to sign in a contract'. Then learners can understand its usage in different cases. For example, as for an insurance company, to underwrite is to sign an insurance policy, i.e. to be responsible for an ensured risk. And as for an investment bank, to underwrite is to issue stocks for companies.

3.2.6. Definition grouping technique

This technique is to match up FE vocabulary in the word box with the corresponding explanation in groups by finding correlations (common or different points) between them. Shigao (2012) states that 'Some psychologists hold that things in good order and meaningful groups have got greater chances to be memorized.' Teachers put a set of correlated vocabularies in groups along with corresponding explanations. Learners try to find out any relations in word box with explanation groups by combining known and unknown vocabularies. In the past, teachers put a task to match a vocabulary in a box with an individual explanation. Given no relations in this word box, learners could match only after consulting a bilingual dictionary. To group explanations corresponding to grouped vocabularies is to make it easy for learners to guess the new meaning of unknown words from known words. They may less depend on dictionaries and understand better through contexts. 'When meeting a new word, they can think about what they have already known about it, i.e. their previous knowledge and image schema, and link the new word with what they have already known to guess its meaning in the context.' (Shigao, 2012)

Appendix 2 illustrates the example of matching up words with explanations. In the traditional way, the task given is to match the words in the box with the definitions at random. In the new technique, teachers set the task with definitions grouped together. Then learners are asked to group words which look similar. The words are collected into groups according to their affixes such as 'econo -' words, 'quo -'words, '- ism' words. Learners then can complete matching tasks more easily.

3.3. Efficiency analysis of etymology-visualization technique

A sequence of associated learning through such an etymology-visualization technique can help students store the words in their long-term memory for later use; in that way, their lexicon gradually builds up. These are related to the three stages of cognition, namely acquisition, retention and retrieval. So in our experiment, we also examined how long and accurately learners can remember and use the target vocabulary provided through the use of the afore-described techniques.

We divided 114 participants at the average age of 21 into two groups: group A being the control group with 57 participants, and group B being the experimental group, also with 57 participants. The English proficiency levels between the two groups were found to be similar at the beginning of the study based on their latest exam results.

Table 3. Composition of participants based on their English proficiency

Latest Exam Result (marks)	Number of students in group A	Number of students in group B
A (4.5~5)	3	3
B (4.0~4.4)	47	47
C (3.5~3.9)	7	7

Group A was taught the mentioned financial vocabularies in a traditional way, i.e. by explaining to them in English as in dictionaries and merely matching them with Korean equivalents, while group B was taught in the new way, i.e. through etymology-visualization techniques. Then after 3 months, all the participants were examined to evaluate their ability of putting the vocabularies into practice by presenting the context involving some of the mentioned words and having them translated into Korean. 7 vocabulary items were checked and students of each group were asked to respond to each item in Korean within 2 seconds to assess their retention. Individual sentences including the 7 vocabulary items were presented to the students a year after the course and students were asked to translate the target 7 items into Korean within a total of 53 seconds. They were not to translate the whole sentence into Korean as the experiment aimed at the evaluation of vocabulary cognition in practice. If they could not produce the Korean equivalents within the time allocated, they failed. Table 4 below presents the rate of success among the students concerning the retention of the 7 FE vocabulary items after a quarter and after a year.

Table 4. How many participants succeeded in retaining new vocabulary items?

Target vocabulary	after a quarter*		after a year**	
	A (57)	B(57)	A(57)	B(57)
cash cow	46	49	23	42
net profit	37	43	21	38
portfolio	22	35	9	31
spread	19	37	11	39
blue chip	35	57	23	52
straight line method	37	56	29	56
solvency	42	47	39	41
AVERAGE	34 (59.6%)	46 (81.2%)	22(38.8%)	43(74.9%)

*　within 14 seconds (2×7 items =14s)

** within 53 seconds (Appendix 3)

Table 4 shows that the result of the experimental group (group B) (81.2% &74.9%) is superior to that of the control group (group A) (59.6 &38.8%). We also measure the time needed for them to finish the task.

Table 5. How quickly do learners finish their task?

Time taken (minutes)	Group A (57)		Group B (57)	
	Participants	(%)	Participants	(%)
5 - 10	2	3.5	3	5.3
11 – 15	11	19.3	15	26.3
16 – 20	12	21.1	17	29.8
24 – 25	16	28.1	13	22.8
26 – 30	13	22.8	7	12.3
31 – 35	2	3.5	1	1.8
36 – 40	1	1.8	1	1.8
Total average time	23.3		21.1	

Table 5 shows that the experimental group did faster (21.1 minutes) than the control group (23.3 minutes).

Finally, we also examined how much these etymology-visualization techniques

encourage the students by analyzing their attitude, i.e. how much it can turn the students' feeling of 'must do' into that of 'like to do'.

Table 6. How do students feel?

	Terrible		Bored		Interested		Very interested	
	how many	(%)	how many	(%)	how many	(%)	how many	(%)
A (57)	14	24.6	29	50.9	11	19.3	3	5.3
B (57)	5	8.8	7	12.3	30	52.6	15	26.3

As for group A, 24.6% of the students feel terrible learning FE vocabulary in a traditional way, 50.9% feel bored, 19.3% feel interested and 5.3% feel very interested. Meanwhile in group B, 5% of the students feel terrible learning FE vocabulary in the new way, 12.3% feel bored, 52.6% feel interested, and 26.3% feel very interested. The figures demonstrate that the majority (85.5%) of students in group A who were taught in a traditional way were not happy with their FE vocabulary learning while the majority (78.9%) of group B students who were taught in the new way found much interest in it. This means these new techniquees encourage students to learn more as they not only need to do it but also they like to do it. Learning FE has been turned from a difficult and terrible task to an easy and interesting one.

4. Conclusion

ESP is intimately related to GE. We believe that ESP knowledge consists of the Major knowledge and English knowledge (ESP = Major knowledge + English knowledge). Financial English, one branch of ESP, consists of financial knowledge and English knowledge (Financial English = Special knowledge + English knowledge). We also posit that is most important in teaching ESP (Financial English in this case) lies in vocabulary. FE learners

should get a knowledge of vocabulary specific to their target major. It is necessary for them to notice the charactersistics peculiar to FE vocabulary. In FE teaching and learning, etymology and visualization combined can enhance acquisition, comprehension, and retrieval of FE vocabulary. As revealed in our experience, a variety of etymology-visualization techniquees can be used: derivative reasoning technique, monolingual reasoning technique, multilingual reasoning technique, semantic contrast technique, word decomposition technique, and definition grouping technique. All of these are effective to different extents, which allows us to claim that etymology-visualization techniques are useful in ESP teaching/learning, especially FE vocabulary teaching/learning in our case.

To teach students how to learn is better than teaching them what is known. Through sharing this Korean experience, we believe that etymology-visualization techniques can provide learners with a leverage to fish more vocabulary needed to build up their ESP knowledge. Further research of this kind may find new techniquees for teaching/learning FE vocabulary in particular, and ESP vocabulary in general, by using graphics, relevant proverbs or idioms, to name just a few, which can offer more effective ways to help ESP learners elsewhere.

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Appendix 1

Some British and American terms for identical financial phenomena

British English	American English
debtors	accounts receivable
creditors	accounts payable
share	stock
stock	inventory
profit and loss account	income statement
share premium	paid – in surplus
quote	list
merchant bank	investment bank
investment trust	mutual fund

Appendix 2

An example of definition grouping assignment:

monetarism, protectionism, economic, economy, economize, economical, consumer, customer, balance of payments, balance of trade, quota, quorum, account receivable, account payable, agent, merchant, middleman, broker

Group A:

- The theory and policy that considers the best way to manage an economy and keep inflation low is by controlling the amount of money and credit that is available.

- The principle or practice of protecting a country's own industry by taxing foreign goods.

Group B:

- (Adjective) not wasting time or money.

- (Adjective) connected with the word economy and the subject of economics.

- (Noun) the relationship between production, trade and the supply of money in a particular country or region.

- (Verb) to use less money, time, etc. than you normally use.

Group C:

- The difference in value between imports and exports of goods over a particular period.

- The difference between the amounts of money one country pays to other countries and the amount it receives.

Group D:

- The smallest number of people who must be at a meeting before it can begin or decisions can be made.

- The limited amount of things that is officially allowed.

Group E:

- The amounts of money that are owed to a business by its customers (debtors), shown as an asset on its balance sheet.

- The amounts of money that a business owes to its suppliers or to people who have made loans (its creditors), shown as a liability on its balance sheet.

Group F:

- Money that employees receive for doing their job, especially professional employees or people working in an office, that is usually paid every month.

- Money that you earn, usually every week, for work or services.

Group G:

- A person or a company in a particular market, such as securities, commodities, insurance, etc.

- A general term for agents, brokers, dealers, merchants, traders, wholesalers, retailers, and other marketing intermediaries.

- A person who negotiates purchases and sales in return for commission or a fee.

- A person who stocks and resells components or goods to manufacturers or retailers.

Group H:

- The end-user of goods or services, whose needs are satisfied by producers.

- A person (or company) who buys a product or service from a producer or a shop.

Appendix 3

Test: Translate the underlined words in the following sentences into Korean within the time allocated.

No	Sentences	Time allocated (seconds)
1.	<u>Cash cow</u> usually has well-established brand and generates a continuing flow of cash.	7
2.	In other words, a sale at a price higher than marginal unit cost will increase the <u>net profit</u> of the manufacturer even though the sales price does not cover average total unit cost.	12
3.	It is our responsibility to carry out efficient <u>portfolio</u> management from a risk and return perspective.	7
4.	The <u>spread</u> between high- and low-grade bonds reflects investor confidence about the economy.	7
5.	Blue chips have <u>dependable dividends</u>.	5
6.	If a new machine purchased for $1200 was estimated to have a useful life of ten years and a salvage value of $200, annual depreciation under the <u>straight-line method</u> would be $100, charged at $100 a year.	9
7.	The positive figures of cash flow statement show a high level of <u>solvency</u>.	6
Total		**53**

ỨNG DỤNG CÁC KỸ THUẬT TỪ NGUYÊN HỌC-TRỰC QUAN HÓA TRONG GIẢNG DẠY TỪ VỰNG TIẾNG ANH TÀI CHÍNH QUA KINH NGHIỆM TRIỀU TIÊN

Chung-Sim Ri, Chol-Su Kang

Đại học Kim Nhật Thành, Cộng hòa dân chủ nhân dân Triều Tiên

Tóm tắt: Người ta thường cho rằng sinh viên học tiếng Anh chuyên ngành (ESP) nói chung, và sinh viên học tiếng Anh Tài chính nói riêng nhận thấy tiếng Anh chuyên ngành khó hơn tiếng Anh phổ thông vì nhiều lí do, trong đó có sự khác biệt giữa tiếng Anh phổ thông và tiếng Anh chuyên ngành. Bài viết của chúng tôi trước hết xác định những yếu tố quan trọng nhất trong giảng dạy tiếng Anh Tài chính thông qua việc làm rõ những khác biệt đó giữa tiếng Anh phổ thông và tiếng Anh Tài chính, đồng thời chỉ rõ đặc thù của tiếng Anh Tài chính. Tiếp đó, chúng tôi chia sẻ kinh nghiệm tìm kiếm những kỹ thuật dạy từ vựng tiếng Anh Tài chính hiệu quả để giúp sinh viên Triều Tiên khắc phục những khó khăn gặp phải khi học môn Tiếng Anh Tài chính so với môn Tiếng Anh phổ thông. Chúng tôi đã thử nghiệm nhiều kỹ thuật khác nhau, kết hợp giữa từ nguyên học với các biện pháp trực quan hóa để dạy từ vựng tiếng Anh Tài chính như biện giải quá trình phái sinh từ vựng đơn ngữ và đa ngữ, biện pháp đối sánh ngữ nghĩa, phân tích thành tố cấu tạo từ, và phân loại các định nghĩa, khái niệm thể hiện qua thuật ngữ tiếng Anh Tài chính. Chúng tôi cũng đã thử kiểm tra mức độ lưu giữ từ vựng tiếng Anh Tài chính của 114 sinh viên chia đều thành hai nhóm: nhóm thử nghiệm (giáo viên thử áp dụng những biện pháp từ nguyên học kết hợp với trực quan hóa trong giảng dạy từ vựng) và nhóm đối chứng (giáo viên dạy theo cách thức truyền thống) tại hai thời điểm 3 tháng và 1 năm sau khi được học những từ đó, và kết quả ban đầu cho thấy những kỹ thuật từ nguyên học-trực quan hóa này đạt hiệu quả nhất định. Mục đích sâu xa nhất của bài viết này là phác họa tình hình dạy/học tiếng Anh chuyên ngành ở đất nước chúng tôi với hy vọng là những gì hiệu quả ở Triều Tiên cũng có thể được phát huy ở các nơi tương tự trên thế giới.

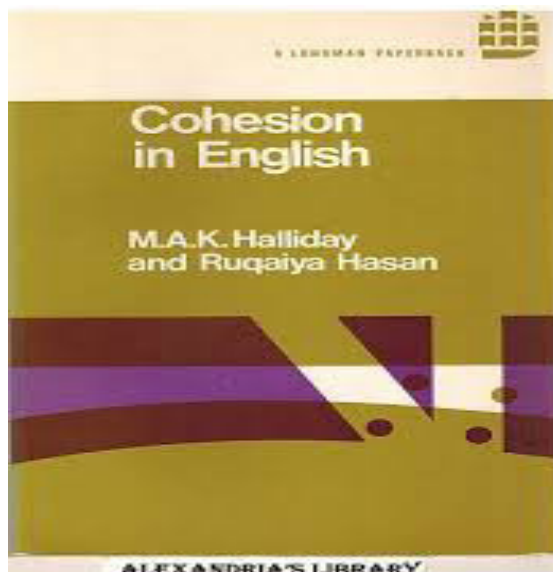*Từ khóa:* từ nguyên học, trực quan hóa, từ vựng tiếng Anh chuyên ngành, tiếng Anh Tài chính

COHESION IN ENGLISH

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1. Introduction

The book under review is about cohesion in English which had been outlined by M.A.K.Halliday in his writings on stylistics, and the concept was developed by Ruqaiya Hasan in her University of Edinburgh doctoral thesis. The book was first named as *Grammatical Cohesion in Spoken and Written English, Part I* with earlier chapters by Ruqaiya Hasan, Communication Research Center (University College London) and Longmans, Green & Co, Programme in

Linguistics and English Teaching: Papers, No.7, 1968 which consisted of Chapters 1,2, and 3 in their original form. Then the later chapters were jointly written by both Ruqaiya Hasan and M.A.K.Halliday, and were prepared for publication in the follow-up series (School Council Programme in Linguistics and English Teaching: Papers Series II). Nevertheless, they came to a decision that the earlier chapters would be revised and the two halves be published as a book. The revision was undertaken by M.A.K. Halliday, who also added the last two chapters.

Cohesion in English is 340 pages long in eight chapters. The first chapter introduces the concept of cohesion. Chapters 2, 3, 4, 5 and 6

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describe five major sorts of cohesion, including reference, substitution, ellipsis, conjunction and lexical cohesion. The final chapters – chapters 7 & 8 – refer to the meaning of cohesion and the method for the analysis of cohesion in a text. An overview of the eight chapters in this book is provided hereafter.

2. A journey of the book

Chapter 1, ***Introduction,*** discusses in details the properties of cohesion which include the terms relating to cohesion, e.g. the definition of text, texture, ties and cohesion, the relationship between cohesion and linguistic structure and context. The chapter highlights the definition of the text which is a unit of language in use, not defined as a grammatical unit and by it size. In addition, a text is envisaged to be some kind of super-sentence, a grammatical unit that is larger than a sentence. Therefore, cohesive relations are not concerned with structure. They may be found just as well within a sentence. The reason why they attract less attention within a sentence is because of the cohesive strength of grammatical structure. The idea is illustrated in the following example: *If you happen to meet the admiral, don't tell him his ship's gone down.* In this example, *him* and *his* in the second half have to be decoded by reference to the admiral just as they would have had to be if there had been a sentence boundary in between. It can be concluded that relations of meaning exist within the text and the two elements, the presupposing and presupposed, are at least potentially integrated into a text to produce cohesion relations.

Chapter 2, ***Reference,*** is interesting to read when the authors underline the differences between endophoric and exophoric reference. For the former, the referent is not in the immediate context but is assumed by the speaker/writer to be part of a shared world with knowledge or experience. In the meantime, exophoric reference refers to the occurrence of pronouns when a word or phrase refers to something outside the discourse, and the use of exophoric reference requires some shared knowledge between two speakers or between writer and reader(s). Moreover, the chapter refers situational reference to exophora or exophoric reference and textual reference to endophora or endophoric reference respectively. Therefore, context plays a key role in making sense of the text. What we call context-bound (context-dependence) depends on exophoric reference and less context-bound (free of the context). The chapter also introduces some categories of reference consisting of personal, demonstrative, and comparative. All these types of reference are illustrated in details in (pp. 38, 39). Notably, the chapter lists some particular kinds of personal reference which does not refer to a single thing or subject but a fact (p. 52), an instance of text reference and a process, an instance of extended reference. The reference is defined to be exophoric which is interpreted by the context of situation or may be cataphoric, linking up with what follows. Regarding demonstrative references, their expressions occur as adjuncts, typically at the beginning of a clause, which are known as discourse adjunctions. With regard to comparative reference, what intrigues me is a clear classification consisting of general (deictic) comparison and particular (non-deictic) comparison. Basing on these distinctions, language users would be able to make use of appropriate comparative references to express identity, similarity, difference, numerative or epithet. The authors suggest that the classifications of reference and reference items in the language are based on the criterion of reference potential without regard to the endophoric /exophoric distinction and their place in the linguistic system has to be dependent on the generalized concept of reference not on the particular concrete form

that it takes incorporated into the text.

The beginning of chapter 3, **Substitution** makes a clear distinction between substitution that is a relation on semantic level and reference, a relation on lexico-grammatical level. Another difference between substitution and reference is the former has the same structural function whereas the latter has the grammatical function that may be slightly different from that of its referent. The last part of the chapter describes several particular types of substitution such as nominal, verbal and clausal. In terms of nominal substitution, pronouns such as *one* or *ones* are used as substitute which presupposes some noun that is to function as Head in the nominal group and is always accompanied by some modifying element which functions as defining in the particular context. In this chapter, the authors make it easy to figure out the forms of *one* or *ones* in which *one* is attached as Head, used with definite and indefinite articles. Looking at these classifications, readers would be able to master the rules of using *one* or *ones*. Besides, the chapter adds one more use of *one,* which is used as a cardinal number, indefinite article and pronoun rather than substitution. In addition to *one/ones being, do the same* and *be the same* are used to substitute either a noun or an adjective. Apart from nominal substitution, *do* is used as verbal substitution. To clarify, the authors show several similarities between nominal substitute and verbal substitute in which they are parallel in the structure. That is to say the thing in nominal group is a person, creature, object, institution or abstraction of some kind whereas in the verbal group it is typically an action, event or relation. Another interesting point I have found out from reading the chapter is the unambiguous definition of elliptical and substitute forms with substitution by *zero* and with the use of *do* respectively. In addition, the authors point out the conditions of use of the verbal substitute where it is used more in speech than in writing and in British than

American English. To illustrate, examples are given in the following sentences *(1) I've been very remiss about this - I think we all have been, at times. (2) Paula looks very happy. She always used to do, I remember*. Similarly, the word *do* has other uses rather than substitute, naming lexical verb *do*, general verb *do* and verbal operator *do*. The set of related words *do* can be shown in such examples as *What's John doing these days?* This question could be answered as follows (1) *John*'s doing a full-time job. (2) That'll do him a good (3) I'm glad he's doing something (4) Does he like it there? (5) He likes it more than I would ever do. These instances contain the lexical verb *do*, the general verb, the pro-verb, the operator, and the substitute. It can be concluded that verbal substitute *do* is almost always anaphoric: it may presuppose an element within the same sentence as itself, so there is already a structural relation linking the presupposed to the presupposing clauses; but it frequently substitutes for an element in a preceding sentence, and therefore it is, like the nominal substitute, a primary source of cohesion within a text.

The last section of this chapter is about the clausal substitution. The chapter claims that the substitution "do" is not only a verbal substitute but also may extend over other elements in the clause. The verb *do* comes close to functioning as a substitute for an entire clause, which can be shown in the example *The children work very hard in the garden. They must do*. Besides, the word *so* presupposes the whole of the clause. This idea can be found in the example *Is there going to be an earthquake? - It says so*. Also, the authors list the three environments where clausal substitution occurs such as report, condition and modality, each of which takes either of the two forms, positive or negative; the positive is expressed by *so*, the negative by *not*. It can be said that the reported clause that is substituted by *so* or *not* is always declarative whatever the

mood of the presupposed clause. In the case of substitution of reported clauses, reports and facts are distinguished clearly in which the former are lexico-grammatical structures and the latter are semantic structures. The final part of the chapter describes the similarities among the types of clausal substitution where a modalized clause and a reported clause are similar in meaning while a conditional clause is semantically related both to a reported one and to modalized one. Another similarity among these three types is the property of being at one remove from (statements of) reality; they are hypothetical. To conclude, this chapter presents the three types of substitution: nominal, verbal and clausal, each of which provides book users a wide view of properties for using substitutes appropriately. In brief, substitution forms discuss a textual relation; the primary meaning is anaphoric. Besides, the use of substitution forms helps speakers or writers avoid repetition in both spoken and written texts, which creates smooth flow of utterances and texts.

In chapter 4, the author states that llipsis and substitution are theoretically similar to each other. As presented in chapter 3, ellipsis is simply "substitution by zero" or "something left unsaid" but "understood nevertheless" (p. 142) but it is helpful to treat the two separately for practical purposes. Illustration of the point can be seen in the sentences *Hardly anyone left the country before the war* or *Joan brought some carnations, and Catherine some sweet peas*. In the chapter, the authors show the condition with the use of presupposition in which ellipsis occurs. Especially, the chapter also deals with various genres of ellipses such as nominal ellipsis, verbal ellipsis and clausal ellipsis. The first two types mentioned are ellipses related to words and phrases while the last type is related to ellipsis at clausal level. In this chapter ellipsis is considered an anaphoric relation because omission takes place within a text, which means

that when the item is omitted from the structure of the text, it can still be understood.

If chapters 2, 3, and 4 see reference, substitution and ellipsis as a means of cohesion, chapter 5, **Conjunction** reminds the readers of a very popular type of cohesion used in academic writing which is called conjunction. The authors have a thorough discussion about structural equivalents on conjunctive relations that include time sequence and adversative sequence. Examples could be viewed in *After the battle, there was a snowstorm* (p.228) and *Although he was very uncomfortable, he fell asleep* (p. 229). Notably, the chapter lists different types of conjunction according to the four categories: additive, adversative, casual, and temporal whose examples can be found in pp. 238, 239. Besides, the end of the chapter brings me a new insight into conjunction which uses some redundant language such as *now, of course, well, surely* and *after all*, and also uses intonation ranging from tone 1 (the falling) to tone 4 (falling-rising) as a function of cohesive device. It is believed that conjunctions help speakers/ writers to maintain a strong flow of communication in both ways of verbal and written communication, which plays an important role in academic and scientific contexts. In the previous four chapters, the authors have described the four main types of grammatical cohesion, namely reference, substitution, ellipsis, and conjunction. Also, chapter 6, **Lexical cohesion** provides another picture of cohesive relations which is lexical cohesion, the cohesive effect achieved by the selection of vocabulary with the use of the class of general nouns that are generalized into human noun, place noun and fact noun. Furthermore, general words have been viewed as REITERATION that involves the repetition of a lexical item with different kinds like synonym, near-synonym or superordinate. At the same time, the chapter deals with the most problematical part of lexical cohesion that is

achieved through occurrence of a different lexical item systematically related to the first one such as a symnonym or superordinate.

The last two chapters, chapters 7 & 8, **_The meaning of cohesion & The analysis of cohesion_** explain the meaning of cohesion and the general principles of analysis for cohesion. Chapter 7 states that the general meaning of cohesion is embodied in the concept of text, which helps to create text that reflects three different kinds of relation in language, other than the relation of structure, that link one part of a text with another, naming relatedness of form, relatedness of reference semantic connection. Chapter 8 ends the book by discussing the general principles for analyzing cohesion. According to this chapter, the rule for the analysis of cohesion is to analyze the ties which diverge from the simple to idealized type. Examples are (1) _The last word ended in a long bleat, so like a sheep that Alice quite started. (2) She looked at the Queen, who seemed to have suddenly wrapped herself up in wool_ (p.330). In sentence (2), _she_ refers to Alice in sentence (1). This is the simplest form of presupposition, relating the sentence to that which immediately precedes it; we shall refer to this as an IMMEDIATE tie.

From my point of view, M.A.K Halliday & Ruqaiya Hasan's book provides readers with deep insights into the different concepts of cohesion with various catogories like reference, substitution, ellipsis, conjunction and lexical cohesion. The book also brings the readers the whole range of cohesion analysis that is considered a criterion to evaluate whether a text is cohesive or not. M.A.K. Halliday& Ruqaiya Hasan's book can also be a highly recommended reading for those who are interested in the study of both Vietnamese and English cohesion from systematic functional perspective. This is because it offers an overview of cohesion in English which can be used to compare with the later study of cohesion in Vietnamese.

3. Contribution of the book

Cohesion in English by M.A.K Halliday & Ruqaiya Hasan is an invaluable scholarly reference for teachers, students and researchers of linguistics, especially those who are concerned about using cohesion in both spoken and written English. Although the book was published a long time ago, the book provides the readers with a better understanding of different detailed types of cohesion in English. It is a must-read for those who want to analyze and compare the uses of cohesion in English with that in Vietnamese. In terms of visualization, the book represents key concepts which reflect various types of non-structural relations that link one part of a text with another.

Cohesion in English deals with an essential part of the linguistic system devices for text construction, the group of meanings that are speciffically associated with relating what is being spoken or written to its semantic context. This book studies the cohesion that arises from semantic relations between sentences. Reference from one to the other, repetition of word meanings, the conjunctive force of _but_, _so_, _then_ and the like are considered. Furthermore, it describes a method for examining and coding sentences, which is applied to specimen texts.

The book has also been said to show how grammatical system of reference works within and between sentences and changed linguistics. Halliday and Hasan have moved on to bigger and better descriptions of English. Cohesion allows a description of language that extends up as far as the structure of each society but is all based on the same fundamental notion of meaning being created through choice." Another example to the influence of Halliday and Hasan's _Cohesion in English_ is that it incorporates distinct views in approaching discourse and may vary the classifications of text analysis.

3.2. Critique

Cohesion in English by M.A.K. Halliday & Ruqaiya Hasan has been considered a great and a must-read book for teachers, students and researchers studying both spoken and written English. By text, Halliday and Hasan mean any sample of discourse whose meaning and function are apparently independent of other discourse which forms a "unified whole". The concept of a text is intuitively powerful as the concept of a sentence-we know when a string of sentences makes a text.

4. Application of the book

This book is, as mentioned above, highly recommended to those who work in the field of language education and academic writing. The book has successfully covered every aspect of cohesion in English by exploring the concepts and conditions in which cohesion could be used. Every chapter of the book is useful for cohesion studies in discourse, especially Chapters 2, 3, 5 and 6. They can be invaluable scholarly references for linguistic users, researchers and classroom teachers as well.

The bulk of the book is devoted to a quite detailed description of the linguistic resources in English that can establish cohesive ties between sentences. These are relations of dependence between elements in different sentences such that the dependent term cannot be effectively interpreted except by resource to the other term. The book brings to the readers the range of corpus analysis, assisting them as they make their way into the theory of cohesion.

About the authors

M.A.K. Halliday (1925-2018) was a renowned British-born Australian linguist, teacher, and proponent of neo-Firthian theory who viewed language basically as a social phenomenon. He was professor of linguistics and then emeritus professor in linguistics at the University of Sydney, Australia. He is well-known as the chief architect of the world-widely recognised system functional theory. He worked in various regions of language study, both theoretical and applied, and was concerned with applying the understanding of the basic principles of language to the theory and practices of education. For more detail, visit http://www. ello.uos.de/field.php/ TheoryModelMethod/MAK Halliday.

Born in 1931 in Pratapgarh, India, Hasan took her undergraduate degree at the University of Allahabad in English literature, education and history in 1953. Her elder brother Zawwar Hasan who was working as a journalist in Pakistan brought her and the rest of the family to Lahore in 1954. From 1954 to 1956, she was a lecturer at the Training College for Teachers of the Deaf, in Lahore, Pakistan. In 1958, she completed an MA in English literature at Government College Lahore, the University of the Punjab. From 1959 to 1960 she was a lecturer in English language and literature at Lahore's Queen Mary College. With a British Council scholarship, Hasan went to Edinburgh where she completed a postgraduate diploma at the University of Edinburgh in applied linguistics. In 1964 she completed her PhD in linguistics, also at the University of Edinburgh. The title of her thesis was "A Linguistic Study of Contrasting Features in the Style of Two Contemporary English Prose Writers". The authors were Angus Wilson and William Golding. She drew on Halliday's early work, in particular, his "Categories of the Theory of Grammar" paper, which had been published in 1961.

THỂ LỆ GỬI BÀI

1. **Tạp chí Nghiên cứu Nước ngoài** là ấn phẩm khoa học chính thức của Trường Đại học Ngoại ngữ, Đại học Quốc gia Hà Nội, kế thừa và phát triển *Chuyên san Nghiên cứu Nước ngoài* của Tạp chí Khoa học, Đại học Quốc gia Hà Nội. Tạp chí xuất bản định kỳ 06 số/năm (02 số tiếng Việt/năm và 04 số tiếng Anh/năm từ năm 2019 trở đi), công bố các công trình nghiên cứu có nội dung khoa học mới, chưa đăng và chưa được gửi đăng ở bất kỳ tạp chí nào, thuộc các lĩnh vực: *ngôn ngữ học, giáo dục ngoại ngữ/ngôn ngữ, quốc tế học hoặc các ngành khoa học xã hội và nhân văn có liên quan.*

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+ Đối với các tài liệu là sách:

Nguyễn Thiện Giáp (2008). *Giáo trình Ngôn ngữ học*. Hà Nội: Nxb Đại học Quốc gia Hà Nội.

Saussure, Ferdinand de (1959). *Course in General Linguistics.* Edited by Charles Bally and Albert Sechehaye in collaboration with Albert Reidlinger, translated by Wade Baskin. New York: Philosophical Library.

+ Đối với các tài liệu là bài báo, báo cáo hội nghị hội thảo:

Trần Thị Cúc, Đỗ Thị Thanh Hà (2015). Patterns of Code-Mixing of English in Hoa Hoc Tro Magazine in Vietnam. *VNU Journal of Science: Foreign Studies, 31*(4), 11-24.

Lâm Quang Đông (2015). Quá trình tư duy ở người lớn học ngoại ngữ: một trường hợp điển cứu. Kỷ yếu Hội thảo quốc tế *Đổi mới việc dạy-học & nghiên cứu Hàn Quốc học tại Việt Nam.* Hà Nội, ngày 10 tháng 4 năm 2015, tr. 172-191.

+ Đối với các tài liệu truy cập trên mạng:

Baker, Mark C. (1989). Object Sharing and Projection in Serial Verb Constructions, *Linguistic Inquiry*, *20* (4) (Autumn, 1989), pp. 513-553, Cambridge: The MIT Press. Available through <http://www.jstor.org/stable/ 4178644>, Accessed 14/03/2012 06:49

An Ngọc (2013). *Nghề biên-phiên dịch thiếu chuẩn mực nghề nghiệp*, Truy cập lúc 10:30 ngày 29/11/2015 tại http://www.vietnamplus.vn/nghe-bienphien-dich-thieu-chuan-muc-nghe-nghiep/234990.vnp.

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6. References should be clarified in the main text. References are provided in their original (published) language, with each language arranged in a separate section in alphabetical order, with Vietnamese given first and foremost, e.g. Vietnamese, Arabic, Chinese, English, French, German, Japanese, Korean, Russian and Thai. References conform to APA standards, namely:

+ Books:

Nguyễn Thiện Giáp (2008). *Giáo trình Ngôn ngữ học*. Hà Nội: Nxb Đại học Quốc gia Hà Nội.

Saussure, Ferdinand de (1959). *Course in General Linguistics*. Edited by Charles Bally and Albert Sechehaye in collaboration with Albert Reidlinger, translated by Wade Baskin. New York: Philosophical Library.

+ Journal articles or conference papers:

Trần Thị Cúc, Đỗ Thị Thanh Hà (2015). Patterns of Code-Mixing of English in Hoa Hoc Tro Magazine in Vietnam. *VNU Journal of Science: Foreign Studies, 31*(4), 11-24.

Lâm Quang Đông (2015). Quá trình tư duy ở người lớn học ngoại ngữ: một trường hợp điển cứu. Kỷ yếu Hội thảo quốc tế *Đổi mới việc dạy-học & nghiên cứu Hàn Quốc học tại Việt Nam*. Hà Nội, ngày 10 tháng 4 năm 2015, tr. 172-191.

+ Online materials:

Baker, Mark C. (1989) 'Object Sharing and Projection in Serial Verb Constructions', *Linguistic Inquiry*, *20* (4) (Autumn, 1989), pp. 513-553, Cambridge: The MIT Press. Available through <http://www.jstor.org/ stable/ 4178644>, Accessed 14/03/2012 06:49

An Ngọc (2013). *Nghề biên-phiên dịch thiếu chuẩn mực nghề nghiệp*, Truy cập lúc 10:30 ngày 29/11/2015 tại http://www.vietnamplus.vn/nghe-bienphien-dich-thieu-chuan-muc-nghe-nghiep/234990.vnp.

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