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Ấn phẩm của **Tạp chí Nghiên cứu Nước ngoài**, Trường Đại học Ngoại ngữ, Đại học Quốc gia Hà Nội. Bản quyền đã được bảo hộ. Nghiêm cấm mọi hình thức sao chép, lưu trữ, phổ biến thông tin nếu chưa được **Tạp chí Nghiên cứu Nước ngoài** cho phép bằng văn bản. Tuy nhiên, việc sao chép độc bản các bài báo nhằm mục đích học tập hoặc nghiên cứu có thể không cần xin phép. Việc sao chép các hình ảnh minh họa và trích đoạn bài báo phải được sự đồng ý của tác giả và phải dẫn nguồn đầy đủ. Việc sao chép số lượng lớn bất kỳ nội dung nào của tạp chí đều phải được **Tạp chí Nghiên cứu Nước ngoài** cho phép theo đúng qui định của pháp luật Việt Nam.

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RESEARCH

UNDERSTANDING VALIDITY AND RELIABILITY FROM QUALITATIVE AND QUANTITATIVE RESEARCH TRADITIONS

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Abstract: Educational constructs change over time to reflect developments in research and educational approaches. To illustrate the process, this article aims to examine validity and reliability, which are important concepts to justify research quality. Originally, validity and reliability were applied to quantitative research. However, these criteria can not be equally applied to qualitative research studies which differ in terms of their theoretical foundations and research aims. The unclear use of these concepts might lead to inappropriate research design or evaluation. This paper, therefore, first examines two different theoretical foundations underlying these two research traditions. It then analyses the subtle variations to clarify the notions of reliability and validity. Some implications are made for researchers to flexibly employ these criteria to enhance their research rigor.

Key words: validity, reliability, qualitative research, quantitative research

1. Introduction

Validity and reliability are among important concepts to justify research quality. They are considered as “the two best-known relevant” quality criteria for both quantitative and qualitative research (Dörnyei, 2007, p. 49) and given, in addition to generalization, “the status of a scientific holy trinity” (Kvale, 2002, p. 300). Validity and reliability originated from quantitative research, which follows positivism and aims to generalise observed rules. Therefore, it is still not always easy to apply these two quality criteria in qualitative research, which

follows constructivism and aims to construct an understanding of reality. This often gives rise to questions such as: Are reliability and validity important for the qualitative approach? If they are, what types of validity and reliability exist and how can researchers ensure that their qualitative research is valid and reliable? As a part of a research project about concepts in educational technology¹, we decided to explore these two concepts as they are related to two common pedagogies, project-based learning and problem-based learning in which learners have to conduct independent research projects. This could be a reference material for educators and

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students to evaluate their own research.

In an attempt to understand a scientific concept, we look at its definitions in the literature to synthesize an operational definition for the researcher's situation. However, it seems that this procedure is unlikely to work well with validity and reliability. One possible reason is that these two concepts are developed under different research approaches and epistemologies, which could be either complementary or contrary. Another reason is that researchers are not always explicit in associating validity and reliability with a research instrument, research technique, research data, or the entire research (Aguinis & Solarino, 2019; Dörnyei, 2007). To complicate matters, a research study might involve several techniques and instruments used under different research epistemologies.

This article first examines different theoretical foundations underlying these two research traditions. It then analyses their subtle variations to clarify the notions of reliability and validity, followed by some implications for researchers.

2. Research Methodology and the Pursuit of Knowledge

There is an established consensus that research methodology has been influenced by our beliefs of reality and knowledge. A set of beliefs that guide our activities is called a paradigm (Guba & Lincoln, 1989). In the 1980s, researchers were involved in a paradigm war, which continuously questioned and contrasted two main paradigms: the conventional/positivist paradigm versus constructivist one. They believe that these two paradigms are mutually exclusive (Dörnyei, 2007). Guba and Lincoln (1989), who take this purist approach, hold that these paradigms can be contrasted at three levels of abstraction: ontology, epistemology, and methodology.

At the ontological level,

conventionalists take a **realist ontology** (Guba & Lincoln, 1989) which asserts that a single and unchanging reality exists independently of human minds. In contrast, constructivists follow a **relativist ontology** which asserts the existence of multiple socially constructed realities unguided by any causal laws. At the epistemological level, conventionalists believe in a **dualist objectivist epistemology** which asserts that the observers are detached and distant from the phenomenon studied while constructivists believe in a **monistic subjectivist epistemology**, asserting the interlock between "an inquirer and the inquired-into" (Guba & Lincoln, 1989). At the methodological level, the conventionalists adopt an **interventionist methodology** to remove contaminating influences from the context so that the inquiry can converge on truth and explain nature as it really is and really works for prediction and control purposes. Meanwhile, constructivists follow a **hermeneutic methodology** that involves an iterative process (iteration, analysis, critique, reiteration, reanalysis) leading to the emergence of a joint construction of a case.

The co-existence of these two belief systems provides solid foundations for the establishment of qualitative and quantitative research. Quantitative research, influenced by the conventional/positivist paradigm, therefore, is intended to induce universal laws by observing regularities or repeated outcomes. Knowledge is discovered via verification, falsification or hypothetico-deduction processes (Kuhn, 1970). Quantitative research, dominant for hundreds of years, can be criticised because we cannot be certain that "some form of the correspondence theory of truth would hold up forever" (Kamberelis & Dimitriadis, 2005, p. 17).

In response to the "internal inconsistency" (Kamberelis & Dimitriadis, 2005, p. 17) of the positivists, qualitative

research under the constructivist paradigm has come into practice. Instead of trying to explain a phenomenon through a verification or falsification process, qualitative research aims to “understand, interpret, explain complex and highly textualized social phenomena” (Kamberelis & Dimitriadis, 2005, p. 17).

While such purist authors contrast the two paradigms, situationalist and pragmatist researchers see the shared values of both paradigms (Donyei, 2007). For example, Merriam (2009) supports the view that qualitative research is best defined from its philosophical underpinnings, and at more micro levels, they may overlap. She states:

I think it is helpful to philosophically position qualitative research among other forms of research. Such a positioning entails what one believes about the nature of reality (also called ontology) and the nature of knowledge (epistemology). (p. 8)

The author explicitly outlines what she means by “philosophical foundation”, which comprises ontology and epistemology. She also briefly defines qualitative research, sometimes interchangeably used with naturalistic, interpretive inquiry, by looking at the purpose of qualitative researchers who are “interested in *understanding the meaning people have constructed*, that is, how people make sense of their world and the experiences they have in the world” (Merriam, 2009, p. 13) (emphasis in the original).

The latter group of authors, including Dörnyei (2007) and Marriam (2009), tend to value the co-existence and contribution of both qualitative and quantitative research paradigms as legitimate ways to pursue knowledge. However, complications occur when these concepts cross the paradigm lines and are uncritically applied in some research. Merriam (2009) explains this as a

habit when some researchers who have worked in quantitative research for a long time before they are introduced to qualitative research. Dörnyei (2007), for example, admits that he is “more naturally inclined” to quantitative research (p. 47), given his past training and experience in quantitative methodology. He needs collaboration with qualitative researchers to complement his quantitative orientation.

Another source of complications is the lack of clear-cut boundaries between sound and unsound research practices in mixed-method research. On the one hand, researchers intentionally adopt some unsound scientific practices to cope with publishing criteria (Świątkowski & Dompnier, 2017). For instance, HARKing, is a practice of quantitative researchers who change their hypothesis after the results are known. They start their research with a hypothesis which can not be positively confirmed due to some unexpected findings. Hence, they change their hypothesis to make it confirmable with the collected data. On the other hand, researchers are encouraged to adopt mixed method approaches to optimise their research benefits (Riazi & Candlin, 2014). For example, exploratory studies provide inputs to construct questionnaires for the hypothesis confirmatory research to follow. Post-positivism also acknowledges the existence of multiple realities that can be captured through objective scientific procedures. Yin (2014), for example, indicates that a case study can take either theoretical foundation: “a realist perspective, which assumes the existence of a single reality that is independent of any observer” or “a relativist perspective—acknowledging multiple realities having multiple meanings, with findings that are observer dependent” (p. 91). The use of validity and reliability in mixed-method studies requires subtle understanding from researchers.

In short, quantitative and qualitative traditions are established on two different

philosophical foundations, or paradigms. Each paradigm has its own merits for knowledge construction as well as required criteria to evaluate its rigor. The uncritical use of the criteria might cause misunderstanding and complications. The following discussion will elaborate on how we use reliability and validity criteria to evaluate quantitative and qualitative research to avoid uncritical application.

3. Reliability

There are different definitions of reliability in the literature. For example, Hammersley (1992, p. 67) identifies reliability as “the degree of consistency with which instances are assigned to the same category by different observers or by the same observer on different occasions”. Silverman (2006, p. 282) examines reliability in quantitative research as “the extent to which an experiment, test, or measurement yields the same result or consistent measurement on repeated trials”. Similarly, reliability is equated with the “consistencies of data, scores, or observations obtained using elicitation instruments” (Chalhoub-Deville, 2006, p. 2). Gass (2010, p. 12) associates reliability with “score consistency across administrations of one’s instrument”.

As can be seen among these examples, consistency seems to be a common characteristic of reliability. Some authors might use replicability interchangeably with consistency (Merriam, 2009; Aguinis & Solarino, 2019), but they are still faithful to the original concept of consistency. However, there are two major debates around this approach: 1) what is consistent (reliable) in these definitions; and 2) consistency becomes problematic under subjectivist/constructivist epistemology which guides qualitative research.

Regarding the first debate, Dörnyei (2007, p. 50) comments:

It is important to remember that, contrary to much of the usage in the methodological literature, it is not the test or the measuring instrument that is reliable or unreliable. Reliability is a property of the scores on a test for a particular population of test-takers.

Dörnyei (2007) clearly associates reliability with the scores of a test or test-taking group. Similarly, Qureshi (2020) emphasizes score consistency as reliability. With Onwuegbuzie and Leech (2005), consistency refers to data. They observe that a large number of quantitative researchers have the unsound practice of “not providing reliability estimates for their own data” (p. 378).

In fact, providing reliability estimates for data is not a common practice in qualitative research. Many qualitative researchers focus on describing techniques to improve the reliability of their method instead. For example, Silverman (2006) uses the term “low-inference description” to achieve high reliability in qualitative research. Then he provides detailed description of various techniques that can be used for interviews, texts, and observation. However, this is not a misunderstanding of ‘reliability’. This is a deliberate response to the second criticism: consistency is problematic in a qualitative approach. The concept of consistency suggests that there is at least more than one set of data to be compared. The underlying assumption is that the data has the capacity to measure or represent a single objective reality. This is generally accepted in objectivist epistemology which guides quantitative research. Constructivist epistemology underlying qualitative research, on the other hand, perceives the world as “multidimensional” and “ever-changing” (Merriam, 2009, p. 213). Silverman (2006, p. 283) discards the concept of reliability in qualitative research by looking at its

epistemological stand:

Positivist notions of reliability assume an underlying universe where inquiry could, quite logically, be replicated. This assumption of unchanging social world is in direct contrast to the qualitative/interpretive assumption that the world is always changing and the concept of replication is itself problematic.

Wolcott (2005) elaborates on the characteristics of qualitative research to show that consistency is inappropriate for studying human behaviours in natural and unmanipulated conditions. With a softer tone, Merriam (2009) labels the consistency-as-reliability approach as “traditional reliability” (p. 209), which is based on the assumption or the logic that truth is established when observations are repeated with the same results. However, this logic could be problematic because observations can be repeatedly wrong: “A thermometer may repeatedly record boiling water at 85 degrees Fahrenheit” (Merriam, 2009, p. 221). In addition, qualitative research is more concerned with understanding people’s experience, so it does not rely much on the number of people experiencing the same phenomenon to make it “more reliable” (Merriam, 2009, p. 221). Indeed, this worldview difference has resulted in a so-called “replicability crisis” in social psychology (Świątkowski & Dompnier, 2017, p. 112). Accordingly, a study can be replicable when its results can confirm the hypothesis in a follow-up replication study. However, they point out that a low proportion of 25% of social psychology research results are replicated (p. 112). The authors believe that one cause of the crisis is the conflict between the exploratory nature of some research findings and the desire to confirm the hypothesis. Therefore, some researchers took the “unacceptable and condemnable practice” (p. 114) of changing

the hypothesis after the results were known to make the unexpected findings be a priori hypothesis. Świątkowski and Dompnier (2017) write:

Obviously, there is nothing wrong with conducting exploratory research per se... What is actually harmful, scientifically speaking, is disguising exploratory and other unexpected findings as confirmatory results. (p. 114)

These debates result in new ways of looking at reliability by qualitative researchers who believe that reliability should be congruent with its underlying theoretical perspectives. Some authors use different names for reliability. For instance, Lincoln and Guba (1985) use dependability instead of reliability. Their concern is not to make two data sets consistent. Rather, they make the results dependent on the data collected. Other authors use research strategies for enhanced reliability instead of numbers and statistical procedures. For example, Silverman (2006) adopts “low-inference description” strategies for observation, interview, and texts. Basically, a low-inference description tries to provide the most possible concrete data without the researcher’s “reconstruction” (p. 283). Merriam (2009) suggests the involvement of several techniques or analysts for enhanced reliability, such as triangulation, peer examination, investigator’s position, and audit trail. The following elaborations of research strategies to enhance the rigor of qualitative research are selective rather than inclusive.

1. *Triangulation* means using different sources of data for cross-checking. There are different types of triangulation such as method, data, investigator, theory, and environmental triangulation (Burns, 2010; Merriam, 2009). Method triangulation means using different methods for collecting data, e.g. a study employs a questionnaire, which is followed by interviews and class

observations. Environmental triangulation means collecting data at different places. Investigator triangulation involves different researchers collecting and analysing data. Theory triangulation requires the use of multiple theories to examine the issue under investigation.

2. *Audit trail* is a strategy for reliability assurance (Lincoln & Guba, 1985; Merriam, 2009). Its analogy comes from the process of auditing a business account. Independent readers can authenticate the findings by following the researcher's trail. Therefore, researchers are required to provide detailed accounts of how they arrived at their results. Aguinis and Solarino (2019) also recommend providing detailed descriptions of data coding, data analysis, and data disclosure.

3. *Low-interference description* requires researchers to provide detailed and concrete data presentation without researcher re-construction (Silverman, 2006) to allow readers' critical evaluation of the findings.

4. *Investigator's position, or reflexivity* is a strategy to ensure reliability which requires researchers to reflect on themselves critically as human instruments in research (Lincoln & Guba, 1985). They have to reveal their "biases, disposition, assumptions about the research being taken" (Merriam, 2009, p. 219) so that readers understand how they interpret the data and draw conclusions.

5. *Peer examination or peer review* is a process in which the research findings get commented and reviewed by other people (Merriam, 2009). The reviewer could be a "peer knowledgeable about the topic and methodology" (p. 220) or a colleague examining if the findings are plausible from the raw data.

6. *Adequate engagement* in the research until no new insights are found (Aguinis & Solarino, 2019; Merriam, 2009).

In short, quantitative research requires reliability of the research instruments, procedures, and results. Qualitative research aims to enhance dependability via multiple strategies to allow external evaluation of the research settings, researchers, data, research procedures, and findings. The following section will examine the concept of validity.

4. Validity

Validity is another debatable concept in methodology literature. With quantitative research, it is quite common to come across different types of validity including external validity, internal validity, face validity, content validity, and criterion validity. Dörnyei (2007) classifies validity concepts into two systems: the unitary system of construct validity and its components, and the internal/external validity dichotomy. The explanation is that validity is approached in quantitative research from two perspectives: measurement and research design. Originally, measurement validity looks at "the meaningfulness and appropriateness of the various test scores or other assessment procedure outcomes" (Dörnyei, 2007, p. 50). A test or an instrument is valid if it measures what it is intended to measure. Sub-types of measurement validity include construct validity, content validity, or criterion validity. The other system, external/internal dichotomy, is concerned with whether the whole research process is valid or not. Internal validity addresses the "soundedness" of the research and external validity aims at the "generalizability" (Dörnyei, 2007, p. 50) of the results beyond the observed sample. It is likely that these definitions are not useful for qualitative researchers aiming at understanding rather than generalization.

In a more general way, validity is defined as truth (Kvale, 2002; Nunan &

Bailey, 2009; Schwandt, 2001; Silverman, 2005). For example, Schwandt (2001) argues:

In social science.... validity is an epistemic criterion: to say that the findings are in fact (or must be) true and certain. Here “true” means that the findings accurately represent the phenomena to which they refer and “certain” means that the findings are backed by evidence -or warranted. (p. 267)

This definition, of course, causes outright rejection from qualitative researchers who hold different positions about truth (Schwandt, 2001). Kvale (2002) explains that the rejection occurs because the concept of validity-as-truth indicates that there is a “firm boundary between truth and non-truth” (p. 302), an obvious threat to constructivist beliefs of multiple truths.

In a response, qualitative researchers employ different concepts of validity such as trustworthiness (Lincoln & Guba, 1985), worthwhileness (Bradbury & Reason, 2001) or credibility (Maxwell, 2005; Silverman, 2006) which can be achieved by multiple specific strategies. Dörnyei (2007) believes that these offer useful frameworks to think about “the threats to validity and the possible ways that specific threats might be addressed” (p. 59). Other authors such as Kvale (2002) and Merriam (2009) still use the term validity, but they also suggest strategies for improving validity.

In the following section, I describe some strategies based on Dörnyei’s (2007) grouping: i) strategies to build up an image of researcher’s integrity; ii) validity/reliability check; and iii) research-design-based strategies.

i) strategies to build up an image of researcher’s integrity

Dörnyei (2007) asserts that the most important strategy to ensure the trustworthiness of a project is to create an

image of the researcher as a scholar with principled standards and integrity, which is called “craftsmanship” (Kvale, 2002, p. 321). Some specific strategies to ensure this include:

- *Contextualization and thick description* which requires researchers to present detailed accounts of the places and the phenomena under investigation, readers to benefit from deep understanding and allowing transferability of the research findings to other contexts (Aguinis & Solarino, 2019; Merriam, 2009);
- *Identifying potential researcher bias* which could be referred to as positioning the researcher or reflexivity mentioned by Merriam (2009) in the earlier section;
- *Examining outliers, extreme or negative cases and alternative explanations* which aims to identify and discuss aspects of the study not supportive of the conclusion to increase the result’s persuasiveness.

ii) validity/reliability check

This group includes specific steps deliberately taken during the research to improve validity:

- *Respondent feedback (or respondent validation/member checking)*: This involves inviting the participants to comment on the study conclusion via follow-up interviews;
- *Peer checking*: This technique has been described in the previous section of reliability.

iii) research-design based strategies

Under this heading, there are three strategies: method and data triangulation; prolonged engagement and persistent observation; and longitudinal research design. However, Dörnyei (2007, p. 61) indicates that these strategies could be most

effective when they are organic parts of the research rather than being “add-ons”. It could be inferred that these techniques should be well combined to contribute to the overall purposes of the research.

- *Method and data triangulation*: as discussed earlier, triangulation provides different angles of looking at the research problem (Merriam, 2009). It helps reduce “the chance of systematic bias in qualitative study” (Dörnyei, 2007, p. 61).
- *Prolonged engagement and persistent observation*: it is assumed that the longer the researchers are engaged in the project, the more convincing their results will be.
- *Longitudinal research design*: the advantage of longitudinal study is the increased opportunities for researchers to collect different data sets and thick description of the phenomenon/individual. It also allows tracing developmental change over time. Therefore, longitudinal design helps researchers to arrive at a “valid conclusion” (Duff, 2008, p. 41).

Clearly, validity can be the generalisability of quantitative results or the trustworthiness of qualitative findings from the collected data.

5. Conclusion and Implications

In summary, this paper has examined the concepts of reliability and validity to illustrate the developments of educational constructs. Although the debates on these concepts are not settled, there are certain consensus achieved in the literature. Firstly, reliability and validity, which have been analysed from two different theoretical foundations, are important quality assurance criteria for both qualitative and quantitative research. To ensure the robustness and rigor of research, researchers have to take actions to adhere to these criteria. Secondly,

reliability and validity are treated differently in qualitative and quantitative traditions. While quantitative research emphasizes the importance of the consistency of research results which can be replicated in other contexts, qualitative research aims at research transparency and transferability. Validity in quantitative research focuses on the meaningful fit of the tool with the observed object and the congruence of the results with reality. However, valid qualitative research requires evidence and trustworthiness. Because of this difference, alternative terms are used for reliability and validity in qualitative research such as credibility, dependability, trustworthiness, transparency, and transferability. Thirdly, each study can take one or many quality assurance measures to improve its robustness during the research process. Quantitative research seems to strictly require reliability and validity. Qualitative research, however, adopts a more flexible approach. Some exemplar strategies include triangulation, member check, audit trail, reflexivity, respondent validation, contextualization, and thick description. These strategies are “cumulative” (Aguinis & Solarino, 2019, p. 1296) rather than exclusive. Being aware of these subtle variations will definitely support researchers in selecting appropriate strategies that are aligned with their research purposes (Dörnyei, 2007) and beneficial to their pursuit of knowledge.

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HIỂU KHÁI NIỆM ĐỘ CHÍNH XÁC VÀ ĐỘ TIN CẬY TRONG CÁC NGHIÊN CỨU ĐỊNH LƯỢNG VÀ NGHIÊN CỨU ĐỊNH TÍNH

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Tóm tắt: Các khái niệm giáo dục thay đổi theo thời gian và thể hiện các mốc phát triển trong nghiên cứu hoặc đường hướng giáo dục. Để minh họa cho quá trình này, bài báo tìm hiểu ý nghĩa của hai khái niệm độ chính xác và độ tin cậy vốn là những khái niệm quan trọng dùng để đánh giá chất lượng nghiên cứu. Ban đầu, hai khái niệm này được dùng trong các nghiên cứu định lượng. Tuy nhiên, việc áp dụng hai tiêu chuẩn này cho việc đánh giá nghiên cứu định tính cần phải thay đổi vì hai loại nghiên cứu này khác nhau về nền tảng lí luận và mục tiêu nghiên cứu. Việc áp dụng không rõ ràng có thể dẫn đến việc áp dụng phương pháp nghiên cứu hoặc đánh giá nghiên cứu không phù hợp. Bài báo này sẽ làm rõ nền tảng lí luận của hai loại nghiên cứu định lượng và định tính sau đó phân tích những điểm khác biệt để hiểu rõ về khái niệm độ chính xác và độ tin cậy. Phần cuối của bài sẽ đưa ra một số đề xuất cho các nhà nghiên cứu có thể áp dụng linh hoạt hai tiêu chuẩn này để tăng giá trị và ảnh hưởng của nghiên cứu.

Từ khoá: độ chính xác, độ tin cậy, nghiên cứu định tính, nghiên cứu định lượng

WILLIAM FAULKNER AND THE SEARCH FOR AMERICAN SOUTHERN IDENTITY: AN ANTHROPOLOGICAL APPROACH

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Abstract: The American South is the cultural root and archetype for the fictional world of William Faulkner, a prominent author in modern world literature. The theme *Faulkner and the South* has been studied exhaustively and elaborately, especially from historical and cultural perspectives. However, the issue of Faulknerian Southern identity remains a gap in the current literature, so this study sets out to address that gap. This paper is an anthropological approach to Faulkner, with two research questions: how did Faulkner interpret American Southern identity? how should a set of keywords that encapsulates Southern identity in Faulkner's writing be established? Applying anthropological theory of identity and the method of generalization and identification of cultural patterns, this study focuses on the four outstanding novels in Faulkner's legacy. These novels provide a picture of the Southern identity, wrapped up in a set of keywords whose two main pillars are burden of the past and agrarianism. The other traits - pride, nostalgia, melancholy, complex, conservativeness, indomitability - intertwine and promote each other, creating the very Faulknerian South.

Keywords: American literature, William Faulkner, American South, identity, anthropology

1. Introduction

William Faulkner (1897-1962), an American novelist and short-story writer, is regarded as one of the greatest writers of the 20th century. His legacy, with such masterpieces as *The Sound and the Fury* (1929), *As I Lay Dying* (1930), *Light in August* (1932), *Absalom, Absalom!* (1936), is deeply rooted in the cultural milieu and historical tradition of the American South. In the Nobel award ceremony speech, the Swedish Academy, represented by Hellström (1950) stated that Faulkner "created out the state of Mississippi one of the landmarks of twentieth-century world literature; novels which with their ever-varying form, their ever-deeper and more

intense psychological insight, and their monumental characters – both good and evil – occupy a unique place in modern American and British fiction". The town of Oxford, Mississippi, where Faulkner grew up and stayed most of his lifetime, was the prototype for his mythic Yoknapatawpha County. Faulkner is in love with the South, the legendary Deep South, with its all glorious yet tragic history and present-day dilemmas. He is in an important sense a Southern writer, both in literary and in biographical terms.

Faulkner and the South has been a matter of interest to scholars over the decades. Through the massive history of Faulkner scholarship, the relation between

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Faulkner and the South has been interpreted from historical, geographical, biographical and cultural, anthropological perspectives; among which, historical criticism and cultural studies appear to be the most prominent approaches.

Historical criticism of Faulkner's writing emerged quite early, at the same time when the Faulkner industry started in earnest in the 1950s. An awareness of setting Faulkner inside Southern history was informed by O'Donnell (1939), who stated that Faulkner's greatest "principle is the Southern social-economic-ethical tradition which Mr. Faulkner possesses naturally, as a part of his sensibility" (as cited in Peek & Hamblin, 2004, p. 32). The historical reading of Faulkner's fictions was further argued by Cowley (1946) whose introduction to Viking's *The Portable Faulkner* played an important role in orienting Faulkner scholarship. Faulkner was acknowledged for his "first, to invent a Mississippi county that was like a mythical kingdom, but was complete and living in all its details; second, to make his story of Yoknapatawpha County stand as a parable or legend of all the Deep South" (as cited in Peek & Hamblin, 2004, p. 32). Since *The Portable Faulkner*, Faulkner has been understood as a Southern mythmaker, and the featured voice in the Southern literary renaissance.

The list of essays, books, and projects reading Faulkner historically is extensive. The most sustained investigation in early criticism into the historical context surrounding Faulkner is conducted by Doyle (2001), a historian who spent nearly 20 years researching *Faulkner's County: The Historical Roots of Yoknapatawpha*. The annual conference, namely *Faulkner and Yoknapatawpha*, hosted by University of Mississippi since 1974, offers several volumes which are particularly concerned with various aspects of historical criticism. Those typical volumes include *The South and Faulkner's Yoknapatawpha: The Actual*

and the Apocryphal (Abadie & Harrington, 1977), *Fifty Years of Yoknapatawpha* (Abadie & Fowler, 1980), *Faulkner in Cultural Context* (Abadie & Kartiganer, 1997). A similarly exhaustive and ongoing source of essays concerned with Faulkner and history can be found in *Faulkner Journal* and *Mississippi Quarterly's* annual Faulkner number, which began production in 1985 and 1984, currently under the co-editorship of Luire and Towner and the editorship of Atkinson respectively.

The above studies offer insights into both sides of the spectrum: either praising Faulkner as an accurate historian of the South or revisiting and finding limitations in his views and representations of history. Yet alongside this array of historical criticism on Faulkner, always runs a strong impulse to seek and explicate the link between historical roots and fiction, between the "actual" and the "apocryphal", and to comment on Faulkner's use of history in his whole body of writing. In fact, Faulkner studies in other disciplines afterwards for the most part lean on historical premises, and thus owe debts to historical criticism.

Another approach to the issue of Faulkner and the South is to read his fiction from a geographical perspective. While very few studies of Faulkner's works are produced by geographers, the connection between fictional Yoknapatawpha and the geographical South has been considered interdisciplinary. The outstanding analyses of Faulkner's geography are written by Miner (1959), Buckley (1961), Brown (1962). The geographer Aiken is an important researcher in this field, with the article "Faulkner's Yoknapatawpha County: Geographical Fact into Fiction" (1977) and the book *William Faulkner and the Southern Landscape* (2009). Like historical criticism, this approach tends to examine the fact in his fictions, figure out how the real South and the fictional Yoknapatawpha blend and become one.

Emerging comparatively late, cultural-studies criticism proves to be most useful when applied to an author like Faulkner. More importantly, cultural studies, with its interdisciplinary essence, come closer to anthropological terms and the search for Southern identity in Faulkner's writing. Clean Brooks's studies are among the early writings focusing on Southern culture in Faulkner's novels. His books including *William Faulkner: The Yoknapatawpha Country* (1963), *William Faulkner: Toward Yoknapatawpha and Beyond* (1978) state that one of the most central aspects of Faulkner's vision is "community", suggesting exploring cultural layers in the Southern community. Following that path, Faulknerian scholars offer insights into specific Southern cultural aspects, which contribute to shaping an overview on Southern identity. For instance, studies of Faulkner and racial issues bloomed after the explosion of new literary theories of race in the 1980s. Many major Faulkner scholars are interested in the various way that Faulkner represent race relations in the fictions: Sundquist (1983), Davis (1983), Weinstein (1992); Polk (1996), Duvall (1997) (as cited in Hagood, 2017, pp. 61-62; Peek & Hamblin, 2004, pp. 39-40). There is also a diverse array of critics concerned with gender in Faulkner's writing: Radway (1982), Butler (1990), Wilson (1991), Jones (2010) (as cited in Peek & Hamblin, pp. 171-173). The concerns with class, race, and gender continue to be a topic of interest in contemporary Faulkner studies. As Hagood (2017) forecasted, future trends in Faulkner scholarship would include the fields that intersect with Southern cultural issues such as indigenous studies, disability studies, whiteness studies, nonhuman studies, and queer studies.

The studies mentioned above have provided an exhaustive overview on Faulkner and the South. Apparently, an

anthropological approach could inherit significant achievements from these trends, especially those concerned with cultural and social terms. However, while exploring deeply Southern culture in Faulkner's writing, Faulkner scholarship has not identified and "named" the so-called "Southern identity" in Faulkner, and of Faulkner.

2. Aim and Scope

The aim of this article is to examine Southern identity in Faulkner's writing. The two raised questions are What shapes Southern identity in Faulkner's novels? and What could the way Faulkner represents and interprets his homeland's identity tell us about the writer himself – his cultural sensibility and ideology? By answering those questions, this paper also aims to propose a set of keywords which encapsulates Southern identities in Faulkner's writing.

The texts chosen for this study were the four following novels, which are considered the greatest ones in Faulkner's legacy - *The Sound and the Fury* (1929), *As I Lay Dying* (1930), *Light in August* (1932), and *Absalom, Absalom!* (1936).

3. Theoretical Background

"Identity" came into use as a popular social-science term in the 1950s (Gleason, 1983) and "entered the anthropological lexicon in the 1960s and 1970s, in work associated with the Manchester School and influenced by the American sociological traditions of symbolic interactionism and social constructivism" (Barnard & Spencer, 2010, p. 368). Yet "the search for identity" can be traced back a few decades ago, in various terms namely "self" (Mead, 1934), "ethnicity" (Kardiner & Linton, 1939), "national character" (Fromm, 1941; Mead, 1942; Benedict, 1946). At first, "identity" was used in reference to personality or

individuality; then its usage expanded to community levels: identity of a race, an ethnic, a nation, a region or a group of people.

There are two major approaches to the essence of identity. Some scholars affirm that identity is the inner, immutable element of one's own being while others see identity as a cultural construct, which is shaped and modified by interaction between the individual and his culture. As Gleason (1983) clarified, "The two approaches differ most significantly on whether identity is to be understood as something internal that persists through change or as something ascribed from without that changes according to circumstances" (p. 918). These two opposing opinions might lead to different implementations of identity, especially when it comes to the culture of a community.

The former view, at the extreme level, could contribute to the over-devotion and abuse of identity. Identity politics, for example, built on identity prejudice, fosters the identification of communities based on racial, ethnic, class and gender differences. This delusion as well as prejudice acts as catalysts for exceptionalism. Sen (2007) warned, "the uniquely partitioned world is much more divisive than the universe of plural and diverse categories that shape the world in which we live" (p. 22). Its consequences, including xenophobia, racism, gender discrimination, are constantly (either intentionally or unintentionally) hurting subalterns (the indigenous, immigrants, women, people with disabilities...).

This paper, in the search for Southern identity in Faulkner's writing, is not intended to promote differentiation, and accordingly, is not seeking the isolated and immutable cultural traits. Identity is seen as a cultural construct in which the uniqueness, persistence does not exclude the uncertainty

and transformation through time and space. The path of seeking Southern identity, thus, requires considerations of the space-time relations of the community.

4. Methods

Cultural identity in literature can be explored from the perspective of psychological anthropology – a subfield of anthropology where anthropology and psychology intersect. This field focuses on the close relationship between the individual and his culture, and also affirms the unity between psychology and culture. According to psychoanalyst Erikson (1950), identity is "a process 'located' in the core of the individual and yet also in the core of his communal culture, a process which establishes, in fact, the identity of those two identities" (as cited in Gleason, 1983, p. 914). Devereux (1967), a psychiatrist, formulated a view of culture as a projection of the psyche and the psyche as the internalized culture. Individual psyche, accordingly, is the embodiment of community culture. The pioneer of the *Culture and Personality* school, Benedict (1934), holds the firm belief that a culture can be seen as a personality, and each phase of personality's maturity is governed by particular cultural characteristics. The psychological anthropological approach, in our opinion, is consistent with Faulkner, whose literature reflects a close relationship between personal tragedy and the spirit of community.

In anthropology practice, a commonly-used method is to generalize and identify a set of patterns, stereotypes, values that encapsulates the identity of a community. The canons of psychological anthropology worldwide, R. Benedict, M. Mead, E. Sapir, following that path, contributed greatly in building "national character" models. They believe that individuals express certain types and forms

of psyche and personality, which can be collected, interpreted and generalized into “patterns” of a nation/ ethnic culture. In Vietnam, ethno-psychological studies by Nguyen (1963), Phan (1994), Tu (1997), Dao (2000), Do (2005), Tran (2011), Nguyen (2014), Tran (2016), Huyen (2017)... joined that array of practice (as cited in Pham, 2018).

The task set out in this study, first of all, is to interpret Faulkner’s representation of American South. Faulkner describes the South in the context of cultural class and decline, with traumatic dilemmas on race, kinship and gender. Analyzing the Southern cultural aspects would parallel the intention to seek and name the core values, the deep roots of the whole community. The target of this paper, therefore, is also to propose a set of keywords, which encapsulates Southern identities in Faulkner’s writing.

The keyword set of Southern identity in Faulkner’s novels is built on the theoretical framework mentioned above. First, given the view of identity as a cultural construct, this study does not expect a collection of isolated, metaphysical, solid identities. The identity keywords, instead, consist of cultural traits that are both distinctive and popular, sustainable and flexible. Second, using the anthropological method, the keyword set aims to connect and explore cultural identities as a system. In the cultural mosaic, the seemingly discrete, even estranged, opposite features constantly interlock, interdependent, promote each other, flexibly and durably, all together shaping the very Faulknerian South.

5. Results

When exploring the identity of the South, Faulkner was interested in a historical milestone: the American Civil War 1861-1865. In this event, Southern culture exposed, and even clashed with the culture of the North, which can be called a “cultural interaction”.

According to Nguyen (2008), cultural interaction is shown in many types. In this case, the most prominent one is the intra-cultural interaction across subcultures - the interaction between the North and the South, two partners in the same nation, both penetrating American culture yet belonging to different subcultures. Besides, there is also an inter-cultural interaction between different ethnic groups and races. Finally, a trans-cultural interaction does exist when the Northerners attempt to dominate the cultural and economic space of the South. These interactions lead to conflicts. These conflicts become a test of communal identity. Through reactions such as resistance, self-defense, frustration, crisis, acceptance, forgetting..., cultural traits are bold, honed, or broken, fade, destroyed, which restructures communal identity. Given that contextual features, the search for Southern identity in Faulkner’s writing would start with examination of post-bellum Southern psychological reactions. Two aspects are investigated: the *burden of the past*, embodied in *collective memory*, and *dilemmas* in post-bellum context.

5.1. *The South and the Collective Memory*

Collective memory of the South in Faulkner’s novels are woven from the ancient heritage of the land and the post-bellum trauma. Faulkner does not write about the Civil War in the present tense; the war appears as a ghost, a shadow, a remnant of the past. The following seeks the answers to the questions: Does the past play an important role in the spiritual life of the South? If so, why is the past such a burden to the Southerners while the American are usually known as the people of present and future? And if the South is so deeply attached to the past, what does the past mean to them, what are the aesthetic and human notions associated with the past? Following that assumption, we examine Faulkner’s novels and conclude that his South is a land

burdened with the past. The past, to the Southerners, means the *lost beauty*; the South, therefore, is a *proud, nostalgic and melancholy land*. The past also means the *curse*, the *sins*; the South, thus, is still the *unvanquished defeated*, the one carrying the *victim – sinner complex*.

5.1.1. The Past as the Burden

In Faulkner's novels, the South is a land burdened with the past. Faulkner seems to choose an estranged vision, compared to the common picture of American national identity. As Woodward (2008) stated,

One of the simplest but most consequential generalizations ever made about national character was Tocqueville's that America was "born free". In many ways that is the basic distinction between the history of the United States and the history of other great nations. (pp. 21-22)

Shaking off the wretched evils of feudalism, the people in the New World enjoy their experience of success and victory, with a complacency implanted in their mind. As Schlesinger (1943) said, American character "is bottomed upon the profound conviction that nothing in the world is beyond its power to accomplish" (p. 244). Living for present, living towards future, therefore, are American national habits of mind.

Southern heritage is distinctive. Unlike American, the Southern history is written by such long decades of frustration, failure, and defeat. Being on the losing side of the civil war, the South is haunted by the past. The reality of defeat in economic, social and political life all brings them to the recollection of tragic legacy. The South's preoccupation is with loss, not with victory, with the curse and sins, not the dream for future. The past is an indispensable part of Southern heritage. More accurately, it is a burden for the South.

With his interest in the cultural past in the South, Faulkner has successfully exploited the community memory embodied in individual tragedy. In Faulkner literature, history and the destiny of the community sheds a shadow on each person's life. Each individual tragedy comes from a trapped state in community memory. Quentin, in *The Sound and the Fury* and *Absalom, Absalom!*, is the epitome of those who cannot escape the haunting past. Born into a family of decrepit Southern patriarchs, the young man is reeling from his obsession with Dead South. "He would seem to listen to two separate Quentins now - the Quentin Compson preparing for Harvard in the South, the deep South dead since 1865 and peopled with garrulous outraged baffled ghosts... and the Quentin Compson who was still too young to deserve yet to be a ghost, but nevertheless having to be one for all that, since he was born and bred in the deep South..." (Faulkner, 1990, p. 5). He desperately tried to hold on to the Old South values. These old Southern values are embodied in the image of a naïve and innocent sister in the past, or the glorious past of the family tree. Fearing that time would flow, Quentin angrily smashed the clock: "I tapped the crystal on the corner of the dresser and caught the fragments of glass in my hand and put them in the ashtray and twisted the hands off and put them in the tray" (Faulkner, 2000, pp. 67-68). For fear of seeing his sister who was no longer a virgin, Quentin committed suicide, in order to preserve her innocence and innocence. Remembering breeds suffering. Faulkner's novel hauntingly portrays a particular kind of mentality - one that exists in the past tense.

The memory burden is not only manifested in the mentality in the past tense, as in the case of Quentin mentioned above, but also in the impact of community history on the identity and destiny of individuals. Every person in Faulkner's world was born

carrying the legacies of the land with him: ideology, racial prejudice, caste. Joanna in *Light in August* is haunted by a curse of race. She saw “the children coming forever and ever in the world, white, with a black shadow already falling upon them before they drew breath” (Faulkner, 1990, p. 253). Joe Christmas's fate, in the same work, is tied to the fact that his racial identity is ambiguous. With Thomas Sutpen in *Absalom, Absalom!*, the first shock of his life was when he realized how being a poor white affects his destiny, and he designed his life according to a new class and race ideology.

It is no coincidence that a striking feature in Faulkner's narrative world are the families. Because the family line, with the generational succession, is an embodiment of the enduring community memory. In the Faulkner, the Compson family in *The Sound and the Fury*, the Sutpen family from *Absalom, Absalom!*, the Sartoris and the McCaslin from *Go Down, Moses* are all glorious of the past, now shabby with inability to adapt to the rapid changes of life outside. The legacy of generations is preserved in the hearts of descendants (Quentin in *The Sound and the Fury* and *Absalom, Absalom!*, Hightower, Joanna in *Light in August*, Darl from *As I Lay Dying*) or from the experience of witnesses, like Dilsey, Rosa...

The sense of past burdens in Southern culture has made Faulkner one of the landmarks of Southern Renaissance literature, something that “literature conscious of the past in the present” (Tate, 1935, as cited in Woodward, 2008, p. 32). Faulkner's major contribution was that he did not cast a romantic or delusional view of the South, but looked directly at its past burdens, exploiting its presence in personal tragedies. Hence, Faulkner's famous phrase, “the problems of the human heart in conflict with itself”, was cited as the dominant spirit of Southern American Renaissance literature: “Disdaining the polemics of

defense and justification, they have turned instead to the somber realities of hardship and defeat and evil and “the problems of the human heart in conflict with itself”. In so doing they have brought to realization for the first time the powerful literary potentials of the South's tragic experience and heritage” (Woodward, 2008, p. 24).

Given the fact that the past is a burden in the Southern United States, Faulkner had his own conception of the meaning of the past in the spirit of the Southerners. Because the remembering of the individual is a subjective act, selective, subject to the community nature. Anthropologists have paid attention especially to the kind of selective forgetting which they called ‘structural amnesia’. Thus Laura Bohannon (1952) demonstrated how, among the Tiv, only ancestors relevant to the present situation were evoked from the past, while others were forgotten. Subsequent writers working in this tradition have stressed how all narratives of the past have to be understood in terms of the nature of the society in which they are told and how such factors as the construction of the person and the nature of the kinship system affect such stories (Dakhliya, 1990; Bloch, 1992; Kilani, 1992) (Barnard & Spencer, 2010, pp. 460-461). In the Faulkner novels, the stories of the past have their own mark: first, the past is synonymous with lost beauty; second, the past means the curse and sin.

5.1.2. The Past as the Lost Beauty

She does not smell like tree.
(*The Sound and the Fury*)

To begin with, in the Southerners' mindset, the past is equal to the lost beauty. In American history, the South is seen as one of the primitive cells of the United States.” It is an insider and a witness to the glorious past of a young, self-reliant, self-reliant nation from nature gifts, human intellect and bravery. It is a place to keep the charm of the

United States from the beginning: the promised land, the "American dream". However, the civil war occurred and left devastation and aftershocks. The beautiful, rich past of the vast cotton fields has been replaced by a poor and depleted land. Even that land is now being encroached upon by smoke, dust and bulldozer decks from northern industry. Deep South is now just Dead South, filled with pride, nostalgia, and melancholy.

The concept of lost beauty is reflected in the sense of the absence in Southern life. What is present in the inner life of the Southerners is the absence. The Compson Brothers' inner monologues in *The Sound and the Fury* are woven from memories of a lost girl - Caddy. In *As I Lay Dying*, the people in Addie's family, without saying it out, shared a hidden understanding of the family's past secrets. In *Absalom, Absalom!*, the two students Quentin and Shreve, throughout their conversation, expressed a common concern about Thomas Sutpen's failed plans. In *Light in August*, the journey of Lena seeking the father for her child seems to be endless.

The sense of the lost beauty makes the South in Faulkner literature a proud yet nostalgic, melancholy land. Most characters are obsessed with melancholy. These are supersensitive characters (Quentin, Darl), mad characters (Benjy, Darl) and child characters (Vardaman, Compson children). (There are also characters that are somehow "mixed" between these types of characters). Sensitivity is common among these characters. They can sense the loss sensitively. For Benjy, that was when his sister "did not smell like tree"; for Quentin, when he constantly wanted to commit suicide in water, like an unconsciousness about washing his sister; for Vardaman, is when the boy believes his mother is a fish, and the fish has become dirty, sandy and muddy.

The Southerners knew the Old South was dead, but the Old South among them was a beauty, so they couldn't stop being proud. Melancholy is always associated with pride. The South, with a tradition of attaching importance to Puritan values, has now witnessed a decline in social morality. The loss of virginity by Caddy, Addie's illegitimate child, Anse's pairing with a new woman right after his wife's mourning... are all ugly and petty manifestations of present life. Whether facing the ugliness, or creating those ugly things, Faulkner's characters tend to hold their own pride. This pride is well-expressed in a sense of sustaining, whether successful or hopeless, a dignified, noble lifestyle. Mrs. Addie hid her adultery until she died, the frail Anse always argued that she had done her best, Joe Christmas's adoptive father imposed harsh principles on him...

Such a sense of nostalgia, melancholy and pride leads to a common behavior in the Faulkner world: encapsulate and freeze beauty so that it becomes an eternal, virgin, and impenetrable domain. In *The Sound and the Fury*, there exists an absent character. Caddy only appeared in the soft but painful memories of those who loved her. Pushing Caddy into an inaccessible space, Faulkner seemed to preserve and cherish the beauty of eternal virginity. In *Light in August*, Lena was looking for a father for the baby, but not a specific Lucas Burch, as she said. Lena's journey is iconic: the journey of desire to connect with species. In the midst of artificial civilization, where people tear, let go, and destroy each other, Lena walks calmly, serene, bringing in her life, birth, a yearning for connection and harmony with species. Therefore, the concept of beauty in Faulkner novels often evokes primitive senses of an old time when humanity did not know civilization. Benjy's foolishness, Vardaman's susceptibility, Lena's unmarried pregnancy... all evoke such a pre-civilized world.

5.1.3. The Past as the Curse and Sins

Now I want you to tell me just one thing more: Do you hate the South?

(Absalom, Absalom!)

The past, in the minds of the Southerners, is both a sin and a curse. The history of the South is also the history of slavery and racism. That history is tied with crimes, prejudices, aggressions and jealousies. Those impulses were constantly making a powerful impact on the postbellum era. This makes Old South exist as a ghost or a curse.

Faulkner's novels have many characters with the same name. Faulkner inherited the writing technique from Balzac, with characters reappearing in a variety of works. For example, the character Quentin Compson appeared in six works: *The Sound and the Fury*, *Absalom, Absalom!*, *Lion*, *The Mansion*, *A Justice*, *That Evening Sun*; *General Lee* appeared in *Absalom, Absalom!*, *The Town*, *The Unvanquished*, *Intruder in the Dust*, *Go Down, Moses*, and *The Flags in the Dust*. At times, the name is repeated through generations in one lineage: in *The Sound and the Fury*, the uncle's name Quentin is given to his niece, Caddy's daughter. This makes it seem as though the world of Yoknapatawpha lives in the same fate, a common curse. Or sometimes, the character's name is reminiscent of other characters in literature or history. For example, looking at the genealogy of the character Joanna Burden, the name Calvin is reminiscent of John Calvin, with what he said about original sin and predestination: "Original sin, therefore, seems to be a hereditary depravity and corruption of our nature, diffused into all parts of the soul, which first makes us to God's wrath" (as cited in Dimock, 2012). This predestined thought finds its resonance in what his father told Joanna, about the cause of his and her brother's death:

Your grandfather and brother are

lying there, murdered not by one white man, but by the curse which God put on a whole race before your grandfather and your brother or me or you were ever thought of. A race doomed and cursed to be forever and ever a part of the white race's doom and curse for its sins. Remember that. His doom and his curse. Forever and ever. Mine. Your mother's. Yours, even though you are a child. The curse of every white child that was born and that ever will be born. None can escape it. (Faulkner, 1990, p. 252)

"His doom and his curse". The doom and curse cast a shadow on the lives of people in the South, creating personal tragedies. Joe Christmas's destiny is a prime example of resistance to the curse of fate. As a black white person, Christmas has the complexities of both the stigmatist and the stigmatist of his own skin. His crimes stem from resentment not acknowledged by both communities - black and white. He killed the arrogant and arrogant stepfather, he was outraged when the white girl had left him, he took the black girl's name as a slut and cut off the throat of the white lover who had carried him, all out of guilt. almsgiving, injury. He had a crazed desire to become true black: he tries to blacken his inside, try to blacken his inner world – his sense of sight, his sense of tough, his sense of smell:

At night he would lie in bed beside her, sleepless, beginning to breathe deep and hard. He would do it deliberately, feeling, even watching, his white chest arch deeper and deeper within his ribcage, trying to breathe into himself the dark odor, the dark and inscrutable thinking and being of negroes, with each suspiration trying to expel from himself the white blood and the white thinking and being. And all the while his nostrils at the odor which he was trying to make his own would

whiten and tauten, his whole being writhe and strain with physical outrage and spiritual denial". (Faulkner, 1990, pp. 225-226)

Though, his disdain for the color of his skin made him constantly question his lover, terrified to exaggerate all generosity and interference. And finally, those crazy self-deprecating obsessions pushed him into barbaric acts of destruction.

Faulkner's Yoknapatawpha is, thus, haunted land. They are victims. But, the curse falls on them because they were criminals in the past. Here, Faulkner expresses a clear view: man must atone for mistakes in the past. The pain is, the ones who suffer the retribution are children (too many children are killed, go mad), sensitive and loving souls (often mad, thrown in by their own families. madhouse). This payoff is often seen, predicted, concluded from the words of the bystanders - usually blacks serving in white families like Dilsey, Rosa... They are descendants, the direct heirs to the legacy of slavery. Dilsey in *The Sound and the Fury* says: "I seed de beginnin, en now I see de endin" (Faulkner, 2000, p. 257). Mr. Coldfield, in *Absalom, Absalom!* foresaw the "day when the South would realize that it was now paying the price for having erected its economic edifice not on the rock of stern morality but on the shifting sands of opportunism and moral brigandage" (Faulkner, 1990, p. 135). The South, therefore, is a complex of victims - criminals.

"Now I want you to tell me just one thing more: Why do you hate the South?". 'I don't hate it,' Quentin said, quickly, at once, immediately. 'I don't hate it,' he said. I don't hate it he thought, panting in the cold air, the iron New England dark: I don't. I don't! I don't hate it! I don't hate it!" (Faulkner, 1990, p. 195). Quentin's words somehow echo Faulkner's heart. As a son in the South, he exploited the dark side of motherland

history with love and pain.

5.2. *The South and the Post-Bellum Dilemmas*

5.2.1. Agrarian versus Industrial

The nature of the South gives this land an outstanding advantage in agricultural production, especially cotton. This created the South's perceptible characteristic relative to other parts of the United States: rich arable agriculture (especially cotton) and black agricultural labor in cotton plantations. "Agrarianism and its values were the essence of the Southern tradition and the test of Southern loyalty" (Woodward, 2008, p. 8).

Faulkner's work is set in South America after the Civil War. At this time, before the colonization of the North industrial, the economic dependence on cotton which was the habit of the South people was removed. The cotton plantation economy went bankrupt completely along with the Great Depression. The South faced the irresistible invasion of an industrial civilization from the North, an industry that was unfamiliar and hostile to the mind of the South. Urban migration, the emergence of new livelihoods has become an inevitable consequence. The clash between the agricultural style and the industrial way of life has caused the South economic, social and ethical problems.

Agricultural identity in the life of the Southerners is shown discreetly in the relationship between people and land. *As I Lay Dying* is an illuminating example of this. The work exposes the human reality of poor whites who struggle with their livelihoods. Here are Tull's thoughts as he watches the mules - animals associated with their farming:

When I looked back at my mule, it was like he was one of these spy-glasses, and I could look at him standing there and see all the broad land and my house sweated out of it like it was the more the sweat, the

broader the land. The more the sweat, the tighter the house. (...) Because it is your milk, sour or not. Because you would rather have milk that will sour than to have milk that won't, because you are a man. (Faulkner, 1990, p.139)

It is difficult to distinguish between Tull's point of view and that of the mule. In other words, Tull identifies himself with the mule, and this farmer sees himself like a mule: the more he plows, the more perspiring it is, the more stable the house becomes, and the more women love him. It is such a rustic and pragmatic way of thinking of poor laborers. Manhood in Faulkner is synonymous with hard work, worrying about making a living for the family.

The fact that the peasant is separated from the land, deprived of his livelihood is implied in the image of the mule separated from the ground. It is no coincidence that in the journey to bring Mrs. Addie's funeral, the first big obstacle is the flood season river. Mules, the creatures with feet of clay, can only be useful and survive when mounted on the ground. And here's the tragedy: "They roll up out of the water in succession, turning completely over, their legs stiffly extended, as when they had lost contact with the earth" (Faulkner, 1990, p. 149). As Dimock (2012) points out:

... when they [the poor white] left the customary setting and they are stuck trying to negotiate with a swollen river, we know that the mules will not survive in that kind of transformed setting. In many ways – a perfect analogy for the poor whites, that they can do relatively well when they're left to their own devices, when they're allowed simply to stick to their environment. But once they're taken out of their

environment, then we know that terrible things are going to happen to them.

Agricultural behavior was deeply embedded in the cultural life of the South people, becoming a community identity. Therefore, the clash with industrial civilization has brought about the fear of the loss of identity. As Woodward (2008) points out, "the threat of becoming "indistinguishable", of being submerged under a national steamroller, has haunted the mind of the South for a long time. Some have seen it as a menace to regional identity and the survival of a Southern heritage" (p. 8). In fact, also according to Woodward (2008), there has been "wavering" / displacement in the heart of the South since the 1930s.

three decades later the slight "wavering" in the Southern ranks that disturbed the agrarians in 1930 would seem to have become a pell-mell rout. (...). Whole regiments and armies deserted "to join up behind the common or American industrial ideal". In its pursuit of the American Way and the American Standard of Living the South was apparently doing all in its power to become what the agrarians had deplored as "only an undistinguished replica of the usual industrial community. (Woodward, 2008, p. 9)

The agricultural lifestyle is not only manifested in livelihoods, in the consciousness of the land, but also in a close, familiar lifestyle in a "knowable community". Raymond William said: "A country community, most typically a village, is an epitome of direct relationships: of face-to-face contacts within which we can find and value the substance of personal relationships" (as cited in Dimock, 2012). The emergence of industrial civilization in the North, new livelihoods, new ways of

doing business created a dual state in society: the parallel existence of "knowable community" and "unknowable community".

In *Light in August*, the correspondence between the knowable community and the unknowable community is very clear. Revolving around Lena, the central figure, is a community of good people. The hope that echoes in Lena's journey are the words of strangers, unknown, and kind. Behind the four weeks, the evocation of *far* is the peaceful corridor paved with unflagging and tranquil faith and peopled with kind and nameless faces and voices.

Lucas Burch. I don't know. I don't know of anybody by that name around here. This road? It goes to Pocahontas. He might be there. It's possible. Here's a wagon that's going a piece of the way. It will take you that far. (Faulkner, 1990, p. 7)

At the end of the novel, it is no coincidence that a furniture repairer and dealer appears, continuing to add to the anonymous, kind faces, accompanying Lena and Byron. Meanwhile, the community around Joe Christmas, Gail Hightower is truly an unknowable community. Here is everyone's reaction to Joanna's death, expressionless, cruel: "My pappy says he can remember how 50 years ago, folks said it ought to be burned, with a little human fat meat to start it good'. 'Maybe your pappy slipped up there and set it afire', a third said. They all laughed" (Faulkner, 1990, p. 49). The strangeness of members is secretly implied in collective prejudices. The pastor's son, Joanna's death was immediately rumored to be due to Hightower and Christmas. The events in the work, especially when it comes to crime, are often narrated from the words of a stranger. The narrated story is not from an omniscient point of view, but the narration of a stranger, someone who has never met, only knows

others through social prejudices. Clearly, in this context, the essence of agriculture as a community identity is being challenged, shifted, and hybridized.

5.2.2. Fate and the Indomitable

As mentioned above, the South of America is a land of pride. Even though they are defeated, their fate is cursed, they are always "unvanquished". No matter how cruel fate may have been, Faulkner's character refused to give in. They will persistently endure quietly until the end, like a stubborn, insidious resistance.

Thomas Sutpen in *Absalom, Absalom!* perhaps the most powerful impression on fate-defying will. Originally a poor white boy in the South, when he was a child, he was scorned, not allowed to enter a wealthy white family. That poor white boy, when growing up, decided to implement a "great design": creating a line of pure white Sutpen family is as perfect as any other contemporary aristocratic family! To insist on this great design, Sutpen had to trade it: divorce his first wife, discarded his son when he learned that his wife was black, asking Rosa to give birth to a son before marriage, rejecting Milly when she gives birth to a girl... Controlling the surrounding people like moving the pieces, willing to destroy all obstacles, sacrificing love, designing a future for an entire family intentionally, all reflect a reckless personal ambition, a daring challenge of fate. In Sutpen, on the one hand, we see the persistent, indomitable, spirit of "defying destiny", but on the other hand, to a certain extent, the perseverance, the conservative originating from the community culture. Because after all, Sutpen's great blueprint is built on racism and caste discrimination, a legacy of community. The "indomitable", indomitable to the point of being stubborn, conservative seems to have become an identity of the Southerners. In fact, history recorded the South's stubbornness on the issue of race and slavery.

Since the last World War old racial attitudes that appeared more venerable and immovable than any other have exhibited a flexibility that no one would have predicted. One by one, in astonishingly rapid succession, many landmarks of racial discrimination and segregation have disappeared, and old barriers have been breached. Many remain, of course – perhaps more than have been breached – and distinctively Southern racial attitudes will linger for a long time. Increasingly the South is aware of its isolation in these attitudes, however, and is in defense of the institutions that embody them. They have fallen rapidly into discredit and under condemnation from the rest of the country and the rest of the world” (Woodward, 2008, p. 11).

However, in another aspect, the stubbornness can be seen, on the positive side, close to the indomitable, steadfast and gritty personality. These traits are, in turn, the root of the South's longevity. While reading *As I Lay Dying*, readers must inevitably be haunted by the sense of existence. The attempt to arrange Mrs. Addie's funeral at another town may be an allegory of human struggle for survival. A poor white family, ordinary people, who also criticize, give up, resentment, and melancholy, are also full of secrets. In the midst of their livelihood, lowly attempts, for them death is no longer the only preoccupation. But the problem is, when going through tribulation, between flood water and fire, they are all steadfast, patient, and stubborn. Life must go on - it seemed like a tacit commitment among the people of the Bundren. Tribulation, resentment, and melancholy are burdens, but also an essential part of survival.

“The South. Jesus. No wonder you folks all outlive yourselves by years and years and years” (Faulkner, 1990, p. 194). That is what Shreve said to Quentin, after listening to ancient tales about the Southerners, both tragedy and timeless.

“Jesus, the South is fine, isn't it? It's better than the theater, isn't it? It's better than Ben Hur, isn't it? Now wonder you have to come away now and then, isn't it? ” (Faulkner, 1990, p. 115). Shreve's question, perhaps in part, will be interpreted from this identity in Southern culture - indomitable, courageous, no matter how much pain it tasted and carried so much sin. They endure. The mules tried to hold their feet on the ground until they were swept away by the flood. Hightower, Joanna, chased away by the community is still trying to cling to this land, building himself a small house, even on the edge of the city, even though it is a forgotten place. Lena is still determined to find a father for her child, although Lucas's name gradually fades and becomes unreal. Tough, courageous, indomitable, that is a quality of the Southern essence.

5.2.3. Autonomy and Integration

Pride and conservative personality pose a problem for the South in giving a consistent response to choices: traditional or future, autonomy or integration? The South inevitably cannot be out of the modernization trend of the US nation and the world. There are heritages of the past that must be abandoned. But the South is not easy to openly accept external interference, particularly the North. Self-determination or interference, separation or integration are still a problem in the spiritual life of the South after the civil war. This issue is interpreted discreetly and deeply by Faulkner in his novels.

It is a self-evident truth that *The Sound and the Fury* is like a nostalgia for the past. But we often forget that the concern about "tomorrow" is discreetly expressed from the very title of the work. “The sound and the fury” is adapted from the 5 episode 5 of Macbeth: “Tomorrow, tomorrow, and tomorrow, creeps in this petty pace from day to day to the last syllable of recorded time. And all our yesterdays have lighted fools the

way to dusty death. It is a tale told by an idiot, full of sound and fury, signifying nothing” (Shakespeare, 1606, as cited in Dimock, 2012). Jason is perhaps the character that represents the struggle between the present and the future of South America most clearly in the work. Unlike his two brothers, Quentin and Benjy, he has a clear sense of adaptation to the future. But that adaptation still gives him a psychological, emotional burden. The incompatibility between Jason and the modern world was manifested in the sensations. (Faulkner often transforms cognitive ideas into sensations, senses). Jason is very proud of owning a luxury car (car - a mark of modern industrial society, instead of a horse in the aristocratic society of the nineteenth century). But the smell of gasoline is always a burden to him.

And now I reckon I’ll get home just in time to take a nice long drive after a basket of tomatoes or something and then have to go back to town smelling like a camphor factory so my head won’t explode right on my shoulders. I keep telling her there’s not a damn thing in that aspirin except flour and water for imaginary invalids. I says you don’t know what a headache is. I say you think I’d fool with that dam car at all if it depended on me” (Faulkner, 2000, pp. 202-203)

Arrogant and presumptuous, the Southerners in Faulkner pour out all anger and resentment on those who intervene in their life, even when they are good performers. Joanna Burden in *Light in August* represents the victim of that anger. Influenced by her ancestors, the Northern abolitionists, Joanna, a white woman, devoted her life to fighting for equal rights of blacks. Yet this is the end of Joanna’s life:

She was lying on the floor. Her head had been cut pretty near off; a lady

with the beginning of gray hair. (...). So he run back into the house and up the stairs again and into the room and jerked a cover off the bed and rolled her onto it and caught up the corners and swung it onto his back like a sack of meal and carried it out of the house and laid it down under a tree. And he said that what he was scared of happened. Because the cover fell open and she was laying on her side facing one way, and her head was turned clean around like she was looking behind her. (Faulkner, 1990, pp. 91-92)

The head almost left the neck, turned to the back, the woman's body exuded a dark sense of humor, a mixture of humor and horror. Dimock (2012) finds an interesting association of a back-facing head in Dante's *Divine Comedy*. This is a description of punishment for those in hell:

As I inclined my head still more, I saw that each, amazingly, appeared contorted between the chin and where the chest begins. They had their faces twisted toward the haunches, and found it necessary to walk backwards because they could not see ahead of them. (Dante, 1320, as cited in Dimock, 2012)

In Dante's work, these people are subjected to this penalty of turning around because they were soothsayers while they were alive. Foreseeing the future is a sin, and must be punished. Dimock (2012) suggested that this was “a fit punishment for social reformers. Social reformers also claim to have some kind of privileged relation to the future, and they’re reforming the present quite often because they have this vision about the future”.

Faulkner built his characters on his understanding of the real state of American

society during the reconstruction period. Many Northern reformers entered the South, considered themselves social reformers, reforming and educating former slaves, and adjusting the society of the South after the civil war. Due to some of that abuse and corruption, the reformers ironed by the locals in the South were carpetbaggers. Obviously, the will to intervene and impose it is not easy to succeed in a land that carries pride, pride and conservatism. Infringement on that land, whether with good intentions or evil intentions, if not skillful enough, inevitably suffers from anger and punishment.

Therefore, we will continue to consider the reaction of the South to the appearance of northern characters in Faulkner. Take the Reverend Shegog in *The Sound and the Fury* as an example. The pastor was not from the local; he moved from one city to another to a black church. And this is the pastor's appearance from the local people's eyes:

The visitor was undersized, in a shabby alpaca coat. He had a wizened black face like a small, aged monkey... When the visitor rose to speak he sounded like a white man. His voice was level and cold. It sounded too big to have come from him and they listened at first through curiosity, as they would have to a monkey talking. They began to watch him as they would a man on a tight rope. (Faulkner, 2000, 253)

One can imagine a bit of disappointment, a bit of curiosity, a bit of sarcasm, a bit of skepticism in the way locals observe the distant visitor. "Because he sounds like a white man", even a bit of racial prejudice, separates the guest from the community. Black sheep in the church only began to accept the Shegog as a member of their community when he raised his voice,

mixing in a voice honoring the epiphany of the resurrection:

And the congregation seemed to watch him with its own eyes while the voice consumed him, until he was nothing and they were nothing and there was not even a voice but instead their hearts were speaking to one another in chanting measures beyond the need for words, so that when he came to rest against the reading desk, his monkey face lifted and his whole attitude, that of a serene, tortured crucifix that transcended its shabbiness and insignificance and made it of no moment, a long moaning expulsion of breath rose from them, and a woman's single soprano – 'Yes, Jesus!'" (Faulkner, 2000, 254)

So, to become a part of the community in the South, one must live up to the depths of the cultural identity of the community.

6. Conclusion

"Tell [me] about the South. What's it like there? What do they do there. Why do they live there. Why do they live at all" (Faulkner, 1990, p. 93). One winter night in Harvard, Shreve, a roommate, asked Quentin such questions, as they were both engulfed in deep old tales about the history of the South. "Why do they live there. Why do they live at all". The stories Quentin told in particular, those written in Faulkner's novels in general, are like the South's responses to himself. Faulkner's novel, seen from that point of view, is a journey of self-awareness, a journey of finding one's own cultural identity.

This article, through the exploration of 4 novels *The Sound and the Fury*, *As I Lay Dying*, *Light in August* and *Absalom*,

Absalom! from the perspective of psychological anthropology, has made an attempt to envision the Southern identity in Faulkner literature. These identity characteristics are encapsulated in the keyword set with two main pillars, *burden of the past* and *agrarianism*. In the community memory, the past is synonymous with *lost beauty*, and also associated with *sins and curses*. The South, carrying the burden of the past, is a land full of *pride, nostalgic, melancholy, a victim-sinner complex*. That past burden, in turn, constantly hinders, collides, causes *dilemmas* when the South confronts reality. Therefore, the reality of the South is full of dualism, ambivalence. The pride and nostalgia of the past make this land *conservative, stubborn (conservative), sometimes pathetic*. But in another respect, the very way that long-standing aristocracy and pride give them inner strength, to *persevere, to indomitable*, they are *unvanquished*.

After all, what Faulkner wants to aim for, perhaps in human immortality, is indomitable. He does not avoid the past and the sin or the sorrow. Soberly exploring deeply into the history and culture layers of the community, he expected the people to take responsibility. But, after all, these layers of cultural sediments bring Faulkner, and our readers, the belief in the longevity of the South in particular, of the human in general. As Faulkner once said in his Nobel discourse: "I refuse to accept this. I believe that man will not merely endure: he will prevail. He is immortal, not because he alone among creatures has an inexhaustible voice, but because he has a soul, a spirit capable of compassion and sacrifice and endurance. The poet's, the writer's, duty is to write about these things. It is his privilege to help man endure by lifting his heart, by reminding him of the courage and honor and hope and pride and compassion and pity and sacrifice which have been the glory of his past. The poet's voice need not merely be the record of man,

it can be one of the props, the pillars to help him endure and prevail"(Faulkner, 1950).

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WILLIAM FAULKNER VÀ CUỘC THĂM DÒ CĂN TÍNH MIỀN NAM NƯỚC MỸ: MỘT HƯỚNG TIẾP CẬN NHÂN HỌC

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Tóm tắt: Miền Nam nước Mỹ là cội rễ văn hoá và là nguyên mẫu cho thế giới hư cấu của William Faulkner, một tên tuổi lớn của văn chương hiện đại. Chủ đề *Faulkner và miền Nam* đã được nghiên cứu một cách dày dặn và công phu, đặc biệt là dưới góc nhìn lịch sử và văn hoá. Tuy vậy, chủ đề căn tính miền Nam trong văn chương của ông vẫn còn những khoảng trống để ngó; nghiên cứu này là cuộc thăm dò vào mảnh đất ấy. Bài viết này là một tiếp cận nhân học về Faulkner, xoay quanh câu hỏi: Faulkner đã diễn giải căn tính miền Nam như thế nào? Liệu có thể xác lập một bộ từ khoá gói ghém căn tính miền Nam mang phong cách Faulkner hay không? Áp dụng lí thuyết nhân học về căn tính và phương pháp khái quát hoá, định danh các hình mẫu văn hoá, chúng tôi tập trung khảo sát bốn tiểu thuyết đỉnh cao trong di sản Faulkner. Những tiểu thuyết này mang lại hình dung về những nét nổi bật trong căn tính miền Nam nước Mỹ, gói trọn trong bộ từ khoá mà hai trụ cột chính là ám ảnh quá khứ và cốt cách nông nghiệp. Những nét cá tính khác - kiêu hãnh, u sầu, hoài nhớ, mặc cảm, bảo thủ, bất khuất, kiên cường... - cùng đan bện, thúc đẩy lẫn nhau, làm nên tấm căn cước miền Nam mang tên Faulkner.

Từ khoá: văn học Mỹ, William Faulkner, miền Nam nước Mỹ, căn tính, nhân học

THE US ANTI-DUMPING MEASURES IN LAW, IN PRACTICE AND THEIR PROBLEMS

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Abstract: The US anti-dumping law is important in the US trade protection legislation in particular as well as the US trade law in general. The primary objective of US anti-dumping measures is to deal with dumping actions by foreign exporters in the US market to protect domestic producers. The objective of the paper is to analyze the current issues of the US anti-dumping measures in order to assess their feasibility. The research has shown that among the three US anti-dumping measures, price undertaking (suspension agreement) is a viable option for the parties to terminate anti-dumping investigation at its preliminary stage, but in fact, it is less applicable in practice; instead, anti-dumping duty is mostly used. This makes anti-dumping measures turn into a more likely tariff measure than a non-tariff measure.

Keyword: anti-dumping measures, the United States, price undertaking, suspension, anti-dumping tax

1. Introduction

The US anti-dumping measures are trade protection tools against the risk of dumping imported goods, which include differential calculations for non-market economies. Being considered a non-market economy, Vietnam's export to the US market still faces many challenges posed by the US anti-dumping measures. Therefore, analysis and clarification of legal framework as well as problems in practices of the US anti-dumping measures are really necessary for Vietnamese export companies to proactively avoid and respond to the US anti-dumping lawsuits.

Like many other countries, to

prevent dumping, the governments of importing countries such as the United States take measures to handle and even retaliate to maintain a healthy competitive environment in international trade, as well as compensate for losses caused by dumping and protect domestic industries. In international trade, anti-dumping, countervailing and safeguard measures are considered the three pillars of the system of trade remedies and are applied to protection of the domestic market against unfair competition of imported goods.

This research, besides clarifying the legal framework of anti-dumping measures of the US, also focuses on clarifying the status of application of such measures.

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2. Methodology

The starting point for this research is analyzing anti-dumping measures in the US law to find out the key points that often become controversial topics in anti-dumping investigations initiated by the US. To clarify the practices of the US anti-dumping measures, Vietnam Catfish and Shrimp Cases are used. By analyzing these, problems of applying anti-dumping measures from law to practices are found out, such as the use of “Non-market economy” status and “Surrogate country” method by the United States Authorities for determining the fair value of products, and for calculating the input costs of the defendant’s exported product. They will be important factors directly affecting the final anti-dumping duties decision of the U.S. Department of Commerce (DOC).

3. Results and Discussion

3.1. *The US Anti-Dumping Measures in Law*

The US anti-dumping measures have to adhere to the principle of mandatory content requirements and procedures stipulated in the relevant General Agreement on Tariffs and Trade (GATT, 1994), and the Anti-Dumping Agreement (ADA), based on the following four principles.

Firstly, the US anti-dumping law is only applied when the Authorities prove the presence of the conditions and elements of the dumping: dumping actually happens; injury is determined; and there is a causal relationship between the dumped imports and the injury to the domestic industry.

Secondly, an anti-dumping investigation must be conducted according to a set of procedures defined in terms of competence, time duration, rights and obligations of the related parties, etc.

Thirdly, anti-dumping measures are only aimed at remedies, not punishment; they are applied on the principle of non-

discrimination; and they are temporary.

Under Article 1673 (1) (2) Title 19 of the United States Code (19 U.S. Code), if the administering authority determines that a class or kind of foreign merchandise is being, or is likely to be, sold in the United States at less than its fair value, and the United States International Trade Commission (ITC) determines that an industry in the United States is materially injured, or is threatened with material injury, or the establishment of an industry in the United States is materially retarded, by reason of imports of that merchandise or by reason of sales (or the likelihood of sales) of that merchandise for importation, then there shall be imposed upon such merchandise an antidumping duty, in addition to any other duty imposed, in an amount equal to the amount by which the normal value exceeds the export price (or the constructed export price) for the merchandise.

3.2. *The US Anti-Dumping Measures in Practice*

In accordance with the ADA's regulations and the laws of member countries, anti-dumping measures include:

3.2.1. **Provisional Measures**

In principle, provisional measures are always applied after the Authorities have made preliminary decisions that dumping and damage have occurred.

In the US anti-dumping law, provisional measures are only applied if both the Department of Commerce (DOC) and the International Trade Commission (ITC) have positive decisions about the dumping and the damage that have occurred. In fact, if the ITC has a preliminary decision that there is damage, it also means almost certainly that provisional measures will be applied then, because DOC in most cases gives the determination of dumping. The United States is also the country that allows provisional measures to be applied

retroactively if the plaintiff can prove that there exists so-called "critical circumstances" in anti-dumping cases. A critical circumstances finding is an important tool for DOC and ITC to offset possible import surges during the early period of an AD/CVD investigation¹. If DOC determines that critical circumstances exist, it has the statutory authority to order the retroactive suspension of liquidation and posting of a cash deposit for entries made before a Preliminary and/or Final AD/CVD determination is issued (U.S. Customs and Border Protection, 2019).

If a petitioner alleges critical circumstances in its original petition, or by amendment at any time more than 20 days before the date of a final determination by the administering authority, then the administering authority shall promptly (at any time after the initiation of the investigation under this part) determine, on the basis of the information available to it at that time, whether there is a reasonable basis to believe or suspect that (i) there is a history of dumping and material injury by reason of dumped imports in the United States or elsewhere of the subject merchandise, or (ii) the person by whom, or for whose account the merchandise was imported, knew or should have known that the exporter was selling the subject merchandise at less than its fair value and that there was likely to be material injury by reason of such sales, and there have been massive imports of the subject merchandise over a relatively short period (Article 1673b. (E), 19 U.S. Code). The US Authorities have imposed provisional duties on a number of anti-dumping lawsuits against Vietnam's imported goods. For example, in the 2003 "Shrimp" case, the provisional duty that the United States imposed on Vietnamese enterprises are from 12.11% - 93.13%,

116.31%, in the "Uncovered Innerspring" case in 2008, and from 52.3% - 76, 11% in the case of "Plastic bags" in 2009.

3.2.2. Price Undertaking

Price undertaking means a commitment made by any foreign exporter under anti-dumping investigation to an import country represented by the competent authority to adjust the price of the export product and to eliminate injury to the domestic industry. Unlike the other two anti-dumping measures, price undertaking is an anti-dumping measure that is formed on a voluntary basis and self-regulated by the defendant exporters.

In Article 351.208 of the 19 CFR Act, price undertaking is defined in the form of a suspension agreement (SA). Suspension agreement is an agreement between each foreign producer or exporter (or representative of a foreign government in the case where the exporting country is considered a "non-market" economy) and the competent authority of the country import in which the importer voluntarily undertakes to increase the selling price or/and stop restricting the volume of exports to the importing country. Procedural legislation prescribing the procedure for the termination of an investigation under the suspension agreement is provided for in Article 351.208 of the 19 CFR Act on Suspension of Investigation: DOC will enter an agreement with the producer-exporter. Foreign importers voluntarily commit to increase prices or stop/limit the volume of exports to the importing country (sign price commitment). Suspension agreement can be made after a preliminary determination confirms that the dumping has caused injury (15 days after the date of the preliminary determination). The regulator may suspend the investigation if the foreign company whose product is under investigation agrees

¹ AD stands for Anti-dumping; CVD stands for Countervailing duty

to stop exporting goods to the United States within 6 months after the date of the suspension of the investigation, or to modify the price to offset completely any amount of money for which the ordinary value of the good exceeds the export price (or construction export price) of the good. The competent authority of the importing country has the right to accept or reject the foreign manufacturer-exporter's request for price commitment. If the price undertaking is approved, the investigation will be terminated (unless they request further investigation).

There are three types of suspension agreements as defined in Article 1673c: agreements to cease exports of investigated product to the US market; agreement to eliminate dumping; and arrangements to eliminate substantial injury caused by dumping by modifying prices. In fact, the first deal usually does not happen because no manufacturer wants to stop exporting goods to the United States. Therefore, in practice there are usually only the following two agreements.

For anti-dumping suspension arrangements: to be able to reach such an agreement, US anti-dumping legislation requires signatures of at least 85% of the volume of exporters under investigation in the United States. This is actually a problem to industries that only include a few exporters. Therefore, this kind of agreement cannot be used by all industries to quickly end an anti-dumping investigation in the United States, because it is difficult to meet that 85%.

Furthermore, it is not easy for an exporter to commit to completely eliminating dumping because dumping depends on the factors of product characteristics, shipping process, costs of storage, sales, input costs of raw materials, and exchange rates. Therefore, in many cases, even though manufacturers have tried

not to dump, they still fall into the case of dumping. In fact, most of these factors are easy to apply to countries considered non-market economies by DOC, such as Vietnam and China. Reaching agreements with non-market economies is usually easier, because the basis for calculating normal prices for these countries is the value of certain factors of production that DOC chooses based on a market economy in similar conditions.

As for the agreement to eliminate significant injury caused by dumping, this is considered to be an agreement with much more flexibility than the agreement to eliminate dumping. However, reaching this agreement in practice is not easy either. Under Article 1673c, in order for an agreement to eliminate substantial injury caused by dumping, such agreement must satisfy the following three conditions: first, the manufacturer must completely eliminate significant injuries caused by the dumped import goods; second, ensure that each product is sold at a price that does not produce a dumping margin more than 15% of the usual dumping margin throughout the investigation; and third, make sure the goods is sold at a price not lower than domestic prices.

Although an agreement to eliminate substantial injury caused by dumping is flexible, because it may help parties to terminate the lawsuit at an early stage, it is not considered a generally applied competitive guarantee measure. Because, for this measure to be applied, DOC must firstly prove that the following special circumstances occur: (1) suspension of the investigation is beneficial to the domestic industry; (2) the lawsuit is too complicated. Furthermore, DOC will only make a decision if they see the US interests gain bigger if the agreement is signed. However, this is very rare, and can also carry elements of political compromise.

3.2.3. Anti-Dumping Tax

An anti-dumping tax is an additional tax, in addition to the usual import tax, imposed by the competent authority of the importing country, on the dumped imported products on its market. An anti-dumping tax is intended to compensate or limit the physical damage caused by dumping, so this tax has a protective meaning. Therefore, the applicable tax rate cannot be higher than the dumping margin of the imported goods that are dumped.

An anti-dumping tax, also known as a formal anti-dumping tax, is a tax imposed on dumped goods after the competent authorities have clearly identified the dumped goods to a significant extent (over 2%) which causes damage to many domestic industries. In a normal dumping case, after a provisional measure has been taken in the second stage of investigation and during this period the competent authorities will conduct an investigation and collect evidence to verify and confirm the dumping and the damage caused by the dumping. On the basis of the conclusion of this period, the competent authority will determine the anti-dumping tax rate. An anti-dumping tax will normally take effect immediately when it applies, which means that anti-dumping duties begin to be charged for goods being sued. This is the difference between an anti-dumping tax and a temporary measure. The temporary measure only determines the provisional tax rate. The amount that the business pays at this stage is not the tax payment, but just a guarantee for the goods to be cleared and circulated in the market as

usual. If the product is subject to anti-dumping tax in the future, the tax due may be deducted from the security deposit.

In order to calculate the dumping margin to make the decision to apply the appropriate anti-dumping tax rate, the US anti-dumping law has used quite commonly the normal value calculation method for the case. For a non-market economy, anti-dumping tax is based on the determination of the economic status of the defendant country.

3.2.4. Problems

- *The “Non-market economy” Status*

The US anti-dumping (AD) law considers dumping to occur when a foreign manufacturer charges a price for its product "less than its fair market value"². For dumping from non-market economies, DOC uses a standard method to determine the fair value of products. First, DOC determines whether a foreign manufacturer's goods have been sold in the United States by comparing the price of US products with normal values similar merchandise in the firm's domestic market (Tatelman, 2007). If the product is not sold or offered for sale in the domestic market of the foreign company, DOC will determine the price at which the product is sold or offered for sale in other countries outside the United States. If DOC finds that dumping has occurred, it will set the dumping margin by calculating the average amount that the market value of the product exceeds the product price sold in the United States under section 1673b(b)(1)(A) at 19 U.S Code.

² Selling at less than fair value, or dumping, is defined in section 771(34) of the Act (19 U.S.C. §1677(34)) as “the sale or likely sale of goods at less than fair value.” Dumping is defined as selling a product in the United States at a price which is lower than the price for which it is sold in the home market (the “normal value”), after adjustments for differences in the merchandise, quantities purchased,

and circumstances of sale. In the absence of sufficient home market sales, the price for which the product is sold in a surrogate “third country” may be used. Finally, in the absence of sufficient home market and third country sales, “constructed value,” which uses a cost-plus-profit approach to arrive at normal value, may be used.

The standard method applied to non-market economies (NMEs) described above has problems because non-market economies do not allocate resources according to the traditional market concept of supply and demand, thereby making decisions about fair value almost impossible (Tatelman, 2007). In the 1960s, the US Department of Finance, which was the then body responsible for domestic trade defense laws, developed and began to use the so-called "surrogate country" approach to apply AD law to NME countries (Smith, 2013). According to this approach, it was possible to compare prices and costs from third countries with similar conditions instead of using prices and costs from NME countries to determine fair market value. This approach was adopted by the Congress in the Trade Act 1974. In principle, the selected third country must be an economy with similar economic conditions to the exporting country, i.e. having the same level of economic development as the non-market economy of the exporting country. However, this "surrogate country" method sometimes was difficult to apply because it is not always possible to find a suitable country to replace. Therefore, it was necessary to come up with another solution that could be more effective.

The Department of Commerce had found out a way to solve concerns about the surrogate nation's approach by adopting a new methodology in 1975. This methodology was known as the "factors of production" approach. Accordingly, in case of the absence of an available surrogate country, DOC would base on the "surrogate country" taken from a non-market economy that was considered to be at the period of having equivalent economic development to the country whose products were under investigation for dumping (Lantz, 1995).

The U.S. AD provisions continued to amend in 1988 to deal with non-market economies issues. In the Omnibus Competition and Trade Act of 1988

(OTCA), the Congress enacted many reforms to anti-dumping laws by giving a definition of a non-market economy as well as a set of standards that DOC was based on to determine whether a country has a non-market economy or not. Under the OTCA, a non-market economy is a country that "does not operate on market principles of cost or pricing structures, so sales of merchandise in such a country do not reflect the fair value of the merchandise."

Under section 1677 (18)(B) at 19 U.S. Code, DOC must consider when making decisions regarding the state of a non-market economy basing on the following factors:

(i) the extent to which the currency of the foreign country is convertible into the currency of other countries;

(ii) the extent to which wage rates in the foreign country are determined by free bargaining between labor and management;

(iii) the extent to which joint ventures or other investments by firms of other foreign countries are permitted in the foreign country;

(iv) the extent of government ownership or control of the means of production;

(v) the extent of government control over the allocation of resources and over the price and output decisions of enterprises;

(vi) such other factors as the administering authority considers appropriate.

For the first criterion, in terms of the convertibility of the local currency, the factors to be assessed include the ability to convert current and capital accounts, exchange rates, and foreign exchange policy trends.

For the second criterion, wages must be determined based on a market price, where workers and employers are free to agree on terms and conditions of

employment contract. When investigating this criterion, the US Department of Commerce will take into account factors of the right of workers to join a union, the independence of union, the ability to develop a self-payment regime of the union, etc.

Regarding the third criterion and the degree of freedom of foreign investment activities, several factors can be considered such as the openness of the investment environment, non-discrimination between domestic and foreign investors, and regulations on profit remittance.

The fourth criterion, the degree of ownership or control by the Government of the means of production, is a very important criterion for the United States to determine a market economy. Factors related to this criterion include the level of equitization of enterprises, the proportion of economic sectors in the economy, and the role and extent of the State's intervention in economic activities. The fourth criterion is also related to the government's participation in the economy, which is the level of government's control over the allocation of resources and the determination of prices and output of enterprises. This criterion is associated with the following factors: price liberalization, reform of the banking sector, and freedom of individuals and businesses to participate in business activities.

Besides, the US Department of Commerce may also investigate a number of other issues such as compliance with the provisions of the Antitrust Law, Anti-Dumping Law, etc.

Moreover, according to 19 U.S.C. § 1677(18)(C) (2000), DOC has the authority to determine when a foreign country is a non-market economy. According to the Act, the determination of a non-market economy status may be made with respect to any foreign country at any time, and remains effective until expressly revoked by DOC.

In addition, the Trade Agreements

Act of 1979 also transferred administrative authority from Treasury to DOC to determine which approach would be used when determining fair market value. Under 19 C.F.R. § 353.8 (a)-(c) (1979), DOC stated at that time that market value should be determined according to the value of the elements in the following order of priority: (1) the home market prices of such or similar merchandise in a surrogate country; (2) the export price of such or similar merchandise shipped from a surrogate; (3) when actual or accurate prices are not available, the constructed value of such or similar merchandise in a surrogate country; and (4) the value in a surrogate country of the factors of production used in the non-market economy for such or similar merchandise.

Actually, US anti-dumping laws treat MEs and NMEs very differently (Sandkamp et al., 2020). In specific anti-dumping cases applicable to an exporter from an ME, DOC will decide dumping by trying to consider whether the foreign exporter sells products to the United States at a lower price. DOC compares the import price with the price of similar goods in the market of the export country. If this comparison is not possible because of having no trade in the same goods in the domestic market of the exporter, DOC compares the price of imported goods with the value of construction or price of similar goods sold in third countries. If the price of goods imported into the US is lower than the comparable price, dumping will occur, and if evidence finds a risk of damaging the US domestic industry, anti-dumping measures will be applied to offset differences and protect US manufacturers. However, if a country is considered an NME, the US law considers that the prices and production costs of such goods are unreliable. Depending on the adequacy of the available information, DOC may determine the normal value of the product to be investigated based on the price of similar goods in the imported country, or DOC may

determine the value of products. DOC can replace the price of an ME with the same level of development for NME. This is often called the "alternative methodology".

The use of different methods for MEs and NMEs is widely criticized for a number of reasons. Firstly, in fact, it is not fair to distinguish between market and non-market economies for the purposes of anti-dumping regulations; the differences among the calculating dumping margins methods possibly prevent NME exporters from exporting goods to the US market because of high anti-dumping tariffs. Secondly, the regulations regarding NMEs are ambiguous and cause arbitrariness in the implementation by the anti-dumping authorities. The determination of MEs or NMEs largely depends on DOC's interpretation. Thirdly, the determination of an alternative country is complex and almost never accurate because MEs and NMEs concepts are fundamentally different. Although the concept of an alternative country seems reasonable, in fact, the alternative countries and the export countries often do not compare each other thoroughly. Therefore, it is impossible to determine an accurate replacement price for anti-dumping investigations. Fourthly, the "alternative nation" approach is completely unforeseeable. For a producer, the calculating price method is unpredictable: there is no level for NME producers to calculate export prices to avoid dumping. Moreover, producers of similar goods in the alternative country often compete with producers and exporters in the export country. Therefore, producers and exporters in the alternative country are often willing to provide relevant data for antidumping investigations, or they may provide unfavorable information for NME exporters.

- ***Surrogate country method***

The alternative use of surrogate country data applies when the defendant is

found to be a non-market economy. In both Vietnam's pangasius and shrimp cases, the United States uses alternative surrogate country data analysis as the basis for calculating the input costs of the defendant's exported product. The country chosen for substitution will need to ensure that the relevant criteria are outlined in the brochure issued by DOC on March 1, 2004, according to which order of factors is considered by DOC to decide for a substitute country. The position includes:

First, the country's economic comparability to a country with a non-market economy. For selecting the best surrogate country, DOC relies on per capita Gross National Income (GNI) among 5 or 6 countries, as reported in the latest annual issue of the World Bank's World Development Report. The country selected for calculating dumping measures to be a significant producer of comparable merchandise to a NME standards.

Second, an ME country's ability to compare commodity production with a country with a non-market economy. Accordingly, DOC will determine that the above economically comparable country can produce goods similar to the goods under anti-dumping investigation.

Third, based on the comparability of the market share of commodity production to determine whether any of the countries which produce comparable merchandise are "significant" producers of that comparable merchandise.

Fourth, the comparability of the availability of data used to determine factors of production. The availability and amount of information is one of the most important considerations of DOC when choosing an alternative country because these are the bases that DOC and ITC will consider in the process of making the results argument for anti-dumping investigation.

The selection of an alternative

country has a significant effect on the results of investigation and may expose the defendant to an unreasonable anti-dumping tax rate. In both pangasius and shrimp cases, the US side chose Bangladesh as the third country to replace Vietnam in the process of calculating input costs and considering related data and information (Walton, 2004). Data taken from the 2003 Bangladesh Fisheries Comprehensive Assessment, funded by several aid organizations including the US AID, DFID, SIDA and World Bank, shows how fish are farmed. Bangladesh's pangasius products are different from those in Vietnam, and their production costs are significantly lower. Besides, the market price for this seafood item in Bangladesh at that time largely reflected production costs in an aging and inefficient system (Hambrey & Blandford, 2010). Meanwhile, Vietnam has low farming costs, high intensive farming culture, and lower market prices. Most of Vietnam's farming and export of pangasius products apply a closed production process from nursery to nurturing and export, leading to very low fillet costs (Luu, 2019).

Another practical example shows that sometimes DOC's implementation is inconsistent with the regulations that the agency itself has issued above. In the final decision of DOC's 8th administrative review (POR8) on the Vietnamese pangasius export case, instead of continuing to choose Bangladesh as previous reviews, unexpectedly in this review, DOC decided to choose Indonesia as the third alternative country to calculate the price of Vietnamese pangasius when in fact the data on the Indonesian catfish farming and exploitation compared to Vietnam is very different. The production of farmed pangasius in Indonesia is only a very small industry, while Vietnamese pangasius is a staple industry of the country, farming on a large scale (Sao Mai, 2020).

Besides, the technical process of farming between Vietnam and Indonesia pangasius is also different. Indonesian

pangasius is farmed by natural methods, while Vietnamese pangasius is industrial farming, so production costs are completely different. Another difference is that Vietnam is a pangasius exporter, while Indonesia only supplies domestically. In fact, Indonesia's pangasius is also exported to the US, but the product is mainly in frozen fillet form and the export volume is very small, only reaching 69,591 kg in 2007 (VCCI, 2013). The above difference clearly shows that Indonesia cannot be used as a substitute country, i.e. a basis for comparing input costs in order to apply anti-dumping tax on Vietnamese pangasius.

3. Conclusion

Although anti-dumping measures are classified as non-tariff measures, they are in fact often enacted as part of tariff measures, i.e. a remedy is used as a tariff. Its main purpose is to impose anti-dumping duties on import goods under investigation, and customs authorities will be responsible for monitoring the enforcement of anti-dumping duties. And even if no tariffs are ultimately imposed, the administrative procedures involved are sufficient by themselves to have detrimental effects on imports.

Being considered an NME, many Vietnamese exporters have been disadvantaged in the US anti-dumping investigations, because all data on prices and production costs in Vietnam are subject to investigation by the US Authorities. The United States still refuses to recognize Vietnam as a market economy. As a result, Vietnamese exporters have to receive unfavorable anti-dumping duties decisions from the US Authorities. Dealing with these problems is not only the responsibility of Vietnamese manufacturers and exporters, but also of the US Authorities so as to find out the most plausible resolutions to avoid and minimize injuries from the US anti-dumping lawsuits.

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CÁC BIỆN PHÁP CHỐNG BÁN PHÁ GIÁ CỦA HOA KỲ: CƠ SỞ PHÁP LÝ, THỰC TIỄN ÁP DỤNG VÀ MỘT SỐ VẤN ĐỀ ĐẶT RA

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Tóm tắt: Luật chống bán phá giá của Hoa Kỳ có ý nghĩa quan trọng trong hệ thống pháp luật bảo hộ thương mại của Hoa Kỳ nói riêng cũng như luật thương mại Hoa Kỳ nói chung. Mục tiêu chính của các biện pháp chống bán phá giá của Hoa Kỳ là nhằm đối phó với các hành động bán phá giá hàng hóa của các nhà xuất khẩu nước ngoài trên thị trường Hoa Kỳ và bảo vệ ngành sản xuất trong nước. Mục tiêu của bài báo là phân tích các vấn đề hiện tại của các biện pháp chống bán phá giá của Hoa Kỳ để đánh giá tính khả thi của chúng. Nghiên cứu đã chỉ ra rằng trong ba biện pháp chống bán phá giá của Hoa Kỳ, cam kết về giá (thỏa thuận đình chỉ) là một phương án khả thi để các bên chấm dứt điều tra chống bán phá giá ở giai đoạn điều tra sơ bộ; tuy nhiên trên thực tế nó ít được áp dụng hơn so với các biện pháp khác; thay vào đó, thuế chống bán phá giá là biện pháp chủ yếu được sử dụng. Điều này khiến cho các biện pháp chống bán phá giá có nhiều khả năng trở thành một biện pháp thuế quan hơn là một biện pháp phi thuế quan.

Từ khóa: biện pháp chống bán phá giá, Hoa Kỳ, cam kết về giá, thỏa thuận đình chỉ, thuế chống bán phá giá

EVALUATIVE LANGUAGE IN CONCLUSION SECTIONS OF VIETNAMESE LINGUISTIC RESEARCH ARTICLES

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Abstract: Evaluative language has recently been of great concern as, according to Hunston, “evaluation is one of the most basic and important functions of language worth studying deeply” (2011, p. 11). However, the term seems to be rather new in Vietnamese linguistic community. In order to shed further light on the use of evaluative language in Vietnamese, this article is to examine how evaluative language is exploited by Vietnamese linguists in the conclusion section of their research articles. This study combines both quantitative and qualitative approaches to analyse the ways explicit evaluative language is used in the corpus of 30 Vietnamese empirical research articles in three reputable journals of linguistics in Vietnam. More specifically, the study investigates various evaluative acts classified in the three systems of the Appraisal Framework (by Martin & White, 2005) including Attitude, Engagement and Graduation. Findings are expected to show outstanding patterns of evaluative language used in this section of linguistic research articles such as the salient occurrence of certain evaluative domains or sub-systems, etc. Results of the study are hoped to be of reference for article writers as well as to enrich literature materials for the fields of evaluative language and academic writing pedagogy in Vietnam.

Key words: evaluative language, conclusion, attitude, engagement, graduation

1. Introduction

Evaluative language has recently been of great concern as, according to Hunston (2011), “evaluation is one of the most basic and important functions of language worth studying deeply” (p. 11). Thus, evaluative language can be found in various fields and genres for different communicative purposes even in the highly objective language style of academic writing, especially research articles. Research articles are linguistic products with unique features of the academic style. Academic discourses are intentionally

interactions between the writer and the reader where the writer tries to present his writing clearly to establish a discursal relationship by creating a dialogue space and expressing his viewpoints (Dontcheva-Navratilova, 2009). So far, there have been a lot of studies on discursal interactions on the corpus of academic writing in general, and research articles in particular. However, these studies are mainly based on meta-discourse and genre analysis theories. Academic textual analysis from evaluative language perspective has rarely been considered. In Vietnam, the term “evaluative language” seems to be rather new in the

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linguistic community. Studies in evaluative language, especially evaluative language of research articles, is an open space needing further concerns.

The above reasons encouraged us to carry a research entitled “Evaluative Language in Conclusion Sections of Vietnamese Linguistic Research Articles”. The study is aimed at exploring how evaluative language is used in the Conclusion section of Vietnamese empirical articles based on the Appraisal Framework outlined by Martin and White (2005). To achieve the aim, the study attempts to answer two research questions:

1. How is evaluative language used in the Conclusion sections of Vietnamese empirical research articles?
2. What are salient patterns of the evaluative resource found in the corpus and their implications in Vietnamese context?

2. Literature Review

2.1. Previous Studies

In the past decades, there have been a number of studies on how language can be used to express people’s feelings and evaluation. These studies were mainly approached from the perspectives of Metadiscourse theory (Hyland & Tse, 2004), language of evaluation (Hunston, 1994, 2011; Hunston & Sinclair, 2000), and especially the Appraisal theory of Martin and White (2005) developed from SFL background with emphasis on evaluative meaning from the interpersonal aspect.

The Appraisal Framework of Martin and White (2005) is adopted as the theoretical background to analyse evaluative language in many studies on various materials and for different purposes: (1) on a variety of fields and genres such as political discourses (Jalilifar & Savaedi, 2012; Mazlum & Afshin, 2016), language of advertisements (Kochetova &

Volodchenkova, 2015); textbooks, historical materials (Coffin, 2006; Myskow, 2017, 2018); (2) to prove pedagogical implications and practicality of applying the framework in English teaching and learning (Hu & Choo, 2015; Liu, 2010); (3) to give evidence that the framework can be applied in other languages beside English such as Korean (Bang & Shin, 2012, 2013), Spanish (Taboada & Carretero, 2010), Chinese (Kong, 2006), Vietnamese (Ngo, 2013), etc.

Especially, evaluative language of academic discourses is examined on various corpora from students’ persuasive or argumentative essays (Chen, 2010; Giles & Busseniers, 2012; McEnery & Kifle, 2002) to the Introduction or Discussion sections of master’s and doctoral theses (Gabrielatos & McEnery, 2005; Geng & Wharton, 2016), etc.

Notably, Wu (2005) combined both Hunston’s model of evaluative language (1989) and the Appraisal theory (White, 2002) in her contrastive analysis of undergraduate students’ argumentative essays within two disciplines – English Language and Geography. The multi-dimensional contrastive analysis brings about quite comprehensive findings with relatively sufficient interpretations and explanations to prove the supportive relations of the two frameworks. Results of the study indicate that in both disciplines – English and Geography, stronger and weaker students have different uses of Engagement resources. Stronger students in English language use Appreciation more frequently and Graduation resources more effectively. Stronger students in Geography, on the other hand, deal with Engagement resources more effectively, especially in identifying the issues and giving evidence, than weaker students.

Geng and Wharton (2016) attempts to find out similarities and differences between the evaluative language of L1 Chinese and L1 English writers in discussion

sections of doctoral theses in terms of the Engagement domain of the Framework. Results show that there is not a big difference between two groups of writers – Chinese and English. The researchers argue that when experience and language competency increase, both Chinese and English writers (at least in their study) can convey interpersonal meanings very effectively. They conclude that at the highest level (doctor), the native language (Chinese) of writers may not have as much influence on their academic writing as often argued when writers are at lower levels. However, with a relatively small corpus (12 discussions), this conclusion might not ensure the validity and universality.

There are not many studies on ways to express stance, evaluation and opinions in different sections of a research article. Most of them focus on grammatical structures such as attitudinal verbs in Arts and History articles (Tucker, 2003), modality of certainty in Biological and Physical articles (Marcinkowski, 2009). Khamkhen (2014) examines evaluative functions and stance in *Discussion* section of research articles. Overall, the analysis reveals some sets of co-occurrences of linguistic features including epistemic modality, communication verb with *that* clause, extraposed *it's... that* complement clauses controlled by predicative adjectives, *to* complement clauses controlled by adjectives, and personal pronouns contributing to different writers' evaluative stance in academic discourse. Linguistic features found in the study led to the same conclusion with Marcinkowski (2009) that the writers can express their evaluative stance in academic writing by using some linguistic features to work together as communicative functions in discourse even though it is usually seen as objective and impersonal. As found in the study, epistemic modality can be used to present the assumption, the assessment of possibilities, and confidence of the writers

whereas communication verbs can indicate precise presentation of the results. Personal pronouns are used to refer to both speakers and audience to involve what the article is about, and to reflect the importance of the subjects of the study.

The Appraisal Framework is adopted as the theoretical background in the corpus of 20 literature reviews in Thai and English languages carried out by Supattra et al. (2017). Results show that there is a minor difference between the two sub-corpora in the use of engagement resources. The supposed reason is that Thai people are aware and capable of writing their paper according to the international format. However, international articles use more countering and confrontational factors than Thai ones to persuade the readers to agree with their opinions and stance. This makes statements in Thai articles more arbitrary.

With regards to the corpus of Vietnamese research articles, Đỗ and Nguyễn (2013) studies the length and structures commonly used in the titles of linguistic articles while Nguyễn (2018) investigates hedges and boosters in Social research articles. Nguyễn (2018) might be the most related study to ours. However, in this study, the Appraisal framework just plays a minor role in examining the effectiveness of interpersonal relations expressed through hedges and boosters in English and Vietnamese social texts. Only some categories of the framework are explored. The conclusions clarify that in both types of texts, writers appreciate and concentrate on evaluative elements, especially evaluations of interpersonal meanings within the text itself and with the readers. Both Focus and Force resources in Vietnamese corpus are higher than those in English corpus.

The overall picture of evaluative language studies in the world and in Vietnam shows that evaluative language of

Vietnamese scientific articles, especially in linguistic discipline, has not been exploited. However, previous studies on academic writing and research article genre are a precious reference for the implementation of this study.

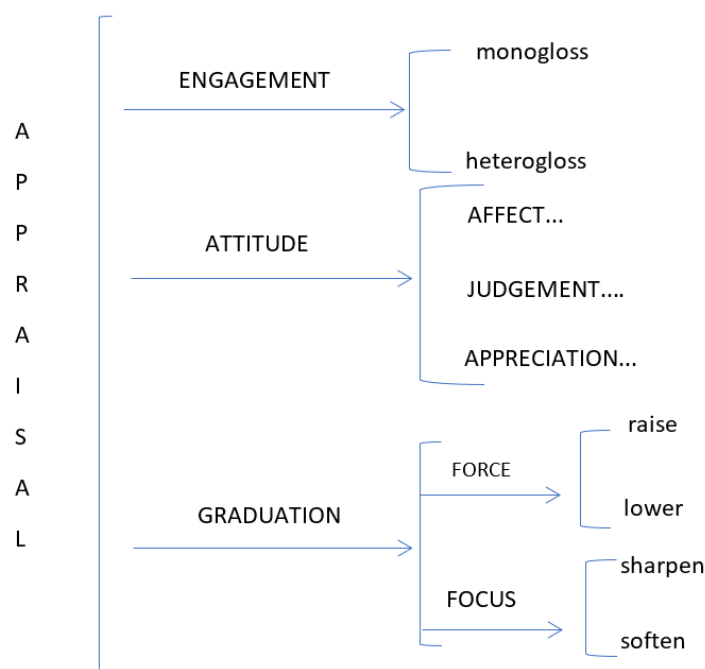
2.2. The Appraisal Theory

The Appraisal theory by Martin and White originates from the Systematic Functional Language approach led by

Halliday (1994). According to SFL, language performs three functions: ideational function, interpersonal function and textual function. Martin and White (2005) locates their framework as an interpersonal system at the level of discourse semantics. The framework is divided into three main domains: Attitude, Engagement and Graduation. Systems and subsystems of the Appraisal framework are outlined in Figure 1.

Figure 1

An Overview of the Appraisal Framework (Martin, 2005)



2.2.1. Attitude

Attitude reflects human feelings and emotions, including emotional interactions, behavioural judgment and evaluation of things and entities. The corresponding subsystems are named: Affect, Judgment and Appreciation.

- Affect refers to sources of emotional reactions. Feelings can be positive (+) or negative (-), can express Dis/inclination, Un/happiness, In/security or Dis/satisfaction.
 - Dis/Inclination is the expression

of desire or fear, such as *miss/long for/ yearn for* (inclination +) or *wary/ fearful* (inclination -).

- Un/Happiness covers emotions concerned with “affairs of heart” (Martin & White, 2005, p. 49) – *sadness/ hate* (happiness -) or *happiness/ love* (happiness +).
- In/Security refers to our feelings of peace and anxiety in relation to our environs such as *worry/ surprise* (security -), *confidence* (security +), etc.
- Dis/satisfaction “deals with our

- feelings of achievement and frustration in relation to the activities in which we are engaged” (Martin & White, 2005, p. 50): *ennui/dissatisfied* (satisfaction -), *interest/pleasure* (satisfaction +), etc.
- Judgment is the assessment of human behaviors based on normative principles. Accordingly, assessments can be categorized into Social Esteem (Normality, Capacity and Tenacity) and Social Sanction (Veracity and Propriety).
 - Social esteem is the judgement of someone in terms of how unusual he/she is (normality), how capable he/she is (capacity) and how resolute he/she is (tenacity). For example: *She is always fashionable* (normality +); *he is a skilled worker* (capacity +); *he is absolutely impatient* (tenacity -).
 - Social sanction is the judgement of people in terms of how truthful they are (veracity) and how ethical they are (propriety). For example: *Judy is a frank girl* (veracity +); *he is always cruel to his own son* (propriety -).
 - Appreciation deals with sources to evaluate things, including semiosis and natural phenomena (product or process). Appreciation can be divided into Reactions to things, Composition and Valuation.
 - Reaction is related to the impact of things on evaluators, thus answers two questions “*Did it grab me?*” and “*Did I like it?*” For example: *This book is really interesting* (reaction +).
 - Composition reflects the evaluation on the balance (*Did it hang together?*) and complexity (*Was it hard to follow?*) of

things or entities. For example: *This is an illogical essay* (composition -).

- Valuation answers the question related to the value of things (*Was it worthwhile?*). For example: *The council gave a relevant answer* (value +).

2.2.2. Engagement

Martin and White (2005) confirmed that “all utterances are... in some way stanced or attitudinal” (p. 92). This means that whatever the speaker states, he/she reflects his/her attitude or point of view towards it. The speaker’s attitude can be a bare assertion (which does not overtly reference other voices or recognise alternative positions to the text) or be expressed as one view among a range of possible views. In other words, utterances are classified as “monogloss” when they make no reference to other voices and viewpoints and as “heterogloss” when they do invoke or allow for dialogistic alternatives. For example: “*The government has been successful*” is monoglossic because here the proposition that the government has been successful is no longer at issue, not up for discussion or taken for granted. Therefore, there suppose no other viewpoints on this. Meanwhile, the proposition “*I think the government has been successful*” construes a heteroglossic environment populated by different views on whether the government has been successful or not.

The engagement system mainly focuses on overtly dialogistic locutions and the different heteroglossic diversity which they indicate. Accordingly, the system is divided into two broad subsystems based on the writer’s intention of whether or not to close down or open up the space for other voices into the text: Contract and Expand.

- Contract consists of meanings which, though creating a dialogistic

backdrop for external voices, at the same time, constrain or exclude these dialogistic alternatives into the text. This subsystem is classified into two categories: Disclaim and Proclaim.

- Disclaim deals with the way authorial or textual voice is presented as to reject other contrary voices. This can be reflected through Deny or Counter expectation.
 - Deny is the writer's negation of something.
 - Counter or counter expectation represents the current proposition as replacing or supplanting a proposition which would have been expected in its place.

For example: *Although* (counter) *they have tried hard, they could not* (deny) *win the race.*

- Proclaim presents the authorial support or warranty of a proposition in ways that it eliminates or rules out other positions. Proclaim is expressed through categories of Concur, Pronounce and Endorse.
 - Concur “involves formulations which overtly announce the addresser as agreeing with, or having the same knowledge as, some projected dialogic partner” (Martin & White, 2005, p. 122). For example: *It is **the fact that** most children prefer outdoor activities to indoor ones.*
 - Endorse “refers to formulations by which propositions sourced to external sources are construed by the authorial voice as correct, valid, undeniable or otherwise maximally

warrantable” (Martin & White, 2005, p. 126). For example: *Results show that it is feasible to integrate extensive reading activities into traditional classes.*

- Pronounce “covers formulations which involve authorial emphases or explicit authorial interventions or interpolations” (Martin & White, 2005, p. 127). For example: *we can conclude that..., I contend...*
- Expand refers to meanings which are open for alternative positions and voices beside the authorial voice in the text. Two broad categories of this system are Entertain and Attribute.
 - Entertain is meant that the authorial voice is just one of possible positions and therefore, creates a dialogistic space for other possibilities and voices. Entertain can be expressed via modal auxiliaries (*may, might, could, etc.*), modal adjuncts (*perhaps, probably, etc.*), modal attributes (*it's likely that, etc.*), and via expressions like *in my view, I think, etc.* For example: *I think he might have broken the vase.*
 - Attribute is concerned with the presentation of external voices in the text. Reported speech is the most popular formula to convey this meaning: *X argue that, X believe that, X claim that, etc.* Attribute is divided into Acknowledge and Distance.
 - Acknowledge consists of “locutions where there is no overt indication... as to where the authorial voice stands with respect to the proposition” (Martin &

White, 2005, p. 112). For example: *Peter **argues** (acknowledge) that understanding global warming and climate change is essential.*

- Distance is an explicit distancing of the authorial voice from the attributed material, most typically realized by the verb “to claim”. For example: *“Tickner has **claimed** (distance) that regardless of the result, the royal commission was a waste of money...”* (Martin & White, 2005, p. 114).

2.2.3. Graduation

Graduation deals with gradability of evaluative resources. Through the system of graduation, both feelings (Attitude) and authorial voices (Engagement) can be modified or adjusted to describe more clearly how strong or weak they are. Graduation is classified into two subsystems based on the scalability: Force and Focus.

- Force is the evaluation of things which are scalable. It covers assessments as to degrees of intensity and as to amount.
 - Intensification is the assessment of the degree of intensity including qualities and processes. It can be realized via intensification, comparatives and superlative morphology, repetition and various graphological and phonological features, etc. For example:

*This difference was **highly robust** (quality).*

*He runs **very quickly** (process).*

- Quantification is the imprecise measuring of number (many, a few) and the presence/ mass of

entities (large, small). For example:

*The **vast majority** (number) of participants were university students.*

*There is a **big** (mass) difference between the two versions of mobile phones.*

- Focus is the adjustment of boundaries between categories of ungradable resources. By Focus, the specification of things can be up-scaled/ sharpened or down-scaled/ softened, indicating a prototypicality (*real, true*) or a marginal membership of a category (*kind of, sort of*). For example:

*This is a **true** (focus +) romantic love.*

*I want some fabric **of sorts** (focus -).*

3. Methodology

3.1. The Corpus of the Study

To answer the research questions, we compiled a corpus consisting of 30 conclusions from three reputable journals of linguistics in Vietnam during a five-year period from 2015 to 2019 (see appendix for the list of selected articles). The focus of this study is on empirical research articles reporting investigations that employ a quantitative, qualitative or mixed approach to collect and analyse primary data (Benson et al., 2009; Gao et al., 2001). For the standardization and the equivalence of the materials employed, all articles selected follow the typical IMRD model of an empirical research paper as suggested by Swales (1990) which has at least four parts: Introduction – Methods – Results – Discussion/ Conclusions. Moreover, as many articles combine Discussion and Conclusions sections of the article into one, this study attempts to separate them and only selects those articles which have a conclusion section. Within the scope of this small-scaled study, investigations on other parts of the article are left for further research.

3.2. *Methods of the Study*

The study does not seek to draw broad generalisations about how evaluative language is used in different disciplines or different sections of an article or of various types of articles. Instead, this research prioritizes in-depth analysis over all systems and categories of the Appraisal framework (Martin & White, 2005) used in the final section to conclude the article. For exploring the types of evaluative acts, all three systems of the Framework – Attitude, Engagement and Graduation were analysed. Each system was then detailed to smaller subsystems and categories such as: Attitude (Affect, Judgment, Valuation); Engagement (Contract, Expand); Graduation (Quantification, Intensification, Focus).

For the purpose stated, a combination of both quantitative and qualitative approaches is appropriate for this study. The qualitative approach was used when the author herself analyses the corpus carefully to explore how writers of the articles exploit semantic resources to express their evaluation. All evaluative words, phrases, expressions are then classified into different categories, subsystems and systems of the framework. The quantitative approach was then employed to systematically synthesize the frequency of each category,

subsystem and the whole framework and make comparison between them.

4. Results and Discussion

4.1. *General Findings*

Table 1 shows the number and ratio of three evaluative resources, Attitude, Engagement and Graduation. As can be seen from the table, generally, the frequencies of three systems of the appraisal framework are quite diverse. It is clear that Graduation appears most frequently (nearly half of the total evaluation resources used in the whole corpus) whereas Engagement seems to be used the least (just 27.82%). Another noteworthy finding is about the polarity of evaluations. Attitudinal expressions are mainly towards positive polar, which is more than twice negative feelings. Similarly, in the Graduation system, writers prefer emphasizing or upscaling their evaluations to downscaling them. This indicates that in the final section of the article, Vietnamese researchers focus more on showing their positive attitudes and upgrading them. Engaging other voices into the text or consideration of opening or closing the dialogue is of the least frequent use. The next part will examine each system and subsystem in more detail.

Table 1

Total Numbers of Evaluative Resources Across Three Main Systems of the Appraisal Framework

	Positive/ upgrade	Negative/ downgrade	Frequency	Percentage (%)
ATTITUDE	125	53	178	30.38
ENGAGEMENT			163	27.82
GRADUATION	173	72	245	41.81
TOTAL			586	100

4.2. The Appraisal Systems: Attitude, Engagement and Graduation

4.2.1. Attitude

Table 2 displays the amount of

Table 2
The Frequency of Categories of the Attitude System

	+	-	Total	Percentage (%)
AFFECT	15	4	19	10.7
Inclination	13	2	15	78.9
Happiness	1	1	2	10.5
Security	0	0	0	0.0
Satisfaction	1	1	2	10.5
JUDGEMENT	4	8	12	6.7
Normality	2	1	3	25.0
Capacity	0	7	7	58.3
Tenacity	2	0	2	16.7
Veracity	0	0	0	0.0
Propriety	0	0	0	0.0
APPRECIATION	106	41	147	82.6
Reaction	11	0	11	7.5
Composition	61	38	99	67.3
Valuation	34	3	37	25.2
	125	53	178	100

Firstly, the distribution of the attitudinal system varies greatly with the domination of Appreciation over the other two subsystems – Affect and Judgement. While evaluations of things and entities account for up to 82.6% of the total attitudinal resources, Affect and Judgment appear much less (10.7% and 6.7% respectively). This shows that in presenting their studies, Vietnamese linguistic researchers focus more on evaluations of things/ entities, they rarely express their feelings explicitly and extremely eliminate judgement on human behaviours. This might be easily explained as the focus of writing a

positive and negative attitudinal resources across three subsystems - Affect, Judgement and Appreciation, from which outstanding findings can be easily identified.

research paper is on presenting and arguing findings against others in the same community, therefore, judging human behaviours is not of the main concern. As a result, evaluating things and events appears the most whereas only few attitudes are reflected towards human beings. In addition, the style of academic writing is traditionally seen as an objective, faceless and impersonal form of discourse (Khamkhien, 2014), which clearly accounts for the modest number of explicit expressions of authorial emotions (just about 10%) in the corpus.

Secondly, as an outstanding feature throughout the whole corpus, a much higher

frequency of positive attitude reflections is found than negative ones (more than twice) except for Judgement. Judgment is the only category where the number of negative assessments is higher than negative ones. Nevertheless, it does not affect the overall trend of preferring revealing positive attitude towards things to negative ones of research presenters. A more detailed examination into subsystems and categories will help us identify the typical word choice or preference of Vietnamese authors.

- As for Affect, most evaluative resources express authors' inclination or desire for their research and outcomes, by using such words as *mong*, *mong muốn*, *cầu mong*, *hy vọng* (want, desire, wish, hope) or determination for future plan *sẽ* (will). For example:

(1) *Nghiên cứu chỉ **cầu mong** (inclination +) cho tiếng Việt mai đây còn được nói trong các gia đình Việt Nam càng lâu càng tốt.* (Vres 8)

*(The study just **wishes** that in the future Vietnamese would still be spoken in Vietnamese families for as long as possible.)*

(2) *Chúng tôi **sẽ** (inclination +) tiếp tục khảo sát sâu hơn, ... nhằm có những đánh giá toàn diện và đề xuất giải pháp hiệu quả hơn...* (Vres 9)

*(We **will** continue to do further research... to have more comprehensive evaluations and suggest more effective solutions...)*

- Concerning Judgement, its low occurrence may be of no surprise for the course of the above explanation. If there are any, they are mostly negative judgments of human Capacity while there are just two evaluations of Tenacity and Normality. For example:

(3) *Tuy nhiên, **khả năng** khái quát hóa sự vật, hiện tượng (của trẻ 2-3 tuổi) còn*

***thấp** (capacity -). (Vres 10)*

*(However, the ability of generalising things and events of two-to-three-year-old children is **low**.)*

(4) *... họ luôn **tích cực** (tenacity +) hoàn thành các bản báo cáo đọc sách, đọc đều đặn hàng tuần 30 phút đầu giờ học.* (Vres 2)

*(They always **actively** fulfil book reading reports, weekly spend 30 minutes reading before class.)*

- The high fluency of Appreciation is unsurprising but still noteworthy. To evaluate things, authors tend to focus on their Composition which accounts for up to 67% of total resources used. They rarely express their own Reactions and use much more positive evaluations than negative ones. Realizations of appreciation are mostly adjectives, such as: *mới mẻ* (new), *phổ biến* (popular), *cơ bản* (basic), *quan trọng* (important), *hữu ích* (useful), *hiệu quả* (effective), etc. For example:

(5) *Kết quả nghiên cứu là những chỉ báo **đáng chú ý** (reaction +) đối với việc định hướng giáo dục văn hóa học đường nói riêng, văn hóa giao tiếp cho giới trẻ nói chung.* (Vres 25)

*(The findings are **remarkable** signs for the orientation of schooling culture in particular and communicative culture among youngsters in general.)*

(6) *Kết hợp dạy từ mới trong nhiều hoạt động ngôn ngữ là điều **quan trọng** (valuation +), đem lại **hiệu quả cao** (valuation +).* (Vres 10)

*(Combining teaching new words with other language activities is **important**, and **highly effective**.)*

4.2.2. Engagement

Table 3 shows details of categories of the Engagement systems which reflect

how Vietnamese writers contract or expand possibilities of external, alternative voices in their writing. As stated above, in comparison with Attitude and Graduation resources, Engagement has the lowest frequency. However, some categories of this system have higher frequency than those of other

systems, notably Counter (of Disclaim) and Entertain. In general, there are some remarkable findings concerning “meanings which in various ways construe for the text a heteroglossic backdrop of prior utterances, alternative viewpoints and anticipated responses” (Martin & White, 2005, p. 97).

Table 3

The Frequency of Categories of the Engagement System

			Subtotal	%
Contract	Disclaim	Deny	25	15.3
		Counter	60	36.8
Contract	Proclaim	Concur	3	1.8
		Pronounce	9	5.5
		Endorse	24	14.7
Subtotal			121	
Expand	Entertain	Attribute	38	23.3
		Acknowledge	4	2.5
		Distance	0	0.0
Subtotal			42	
Total			163	

Firstly, authors tend to contract their voices – close down the space for dialogic alternatives rather than expand them – open up the dialogic space for alternative positions, with frequency of contractions nearly three times the other (121 and 42 respectively).

Secondly, of various strategies to eliminate alternative voices in the dialogue, Disclaim resources are more preferred and Counter of disclaim has the highest frequency of all (60). It can be inferred that writers tend to position their textual voices as at odds with or rejecting some contrary positions. To deny or reject alternative positions, Vietnamese writers use such expressions as *không còn là* (no longer), *không có* (there is/ are not), *không phải* (not + N/ adj), *sự thiếu vắng* (absence), *mất hẳn*

(no longer exist), *không thể* (can't), *không + động từ* (do not/ does not + V). For example:

(7) *Chỉ mới đến thế hệ thứ hai, tiếng Việt đã **không còn** linh hồn thì đến thế hệ thứ ba, thứ tư, nó mất đi cũng là chuyện tất yếu.* (Vres 8)

(Just to the second generation, Vietnamese **no longer** has its soul, it's disappearance in the third and fourth generation is a matter of fact.)

(8) *... nhiều sinh viên **không có** kế hoạch học tập cụ thể, hệ quả là họ không làm chủ được phân kiến thức cần phải nắm được.* (Vres 20)

(Many students **do not have** study plans, as a result, they **cannot** master the necessary knowledge.)

To express Counter expectation – a

proposition which would have been expected in its place, such words are used: *mặc dù* (although), *nhưng* (but), *trong khi* (while), *tuy nhiên* (however), etc. For example:

(9) **Mặc dù** mức độ thường xuyên chưa cao **nhưng** đây cũng là một thay đổi tích cực. (Vres 3)

(*Although the regularity is not high, this is still a positive change.*)

Though not as frequently used as Disclaim resources in total, authorial voices to endorse propositions from external resources of the Proclaim subsystem are also of high frequency (24), ranking the 4th of the whole Engagement system. In other words, Endorsement has the highest frequency of Proclaim resources (in comparison with strategies like Concurring and Pronouncing). Writers use verbs like *các nghiên cứu chứng minh* (studies prove that), *khảo sát cho thấy* (the survey shows/ reveals), *điều này thể hiện* (this shows), etc.

(10) **Kết quả nghiên cứu cho thấy** việc kết hợp hoạt động đọc rộng vào chương trình học của lớp học truyền thống là hoàn toàn khả thi... (Vres 25)

(*Results of the study show that integrating extensive reading into the curriculum of traditional classes is totally feasible...*)

Thirdly, though apparently writers seem not as willing to open up space for other voices in the dialogue as to close them down, the Entertaining category is actually the second most preferred strategy of all. That is very interesting while Contract in general is much higher than Expand but Entertain of Expand is also very favoured. Many authors conclude their articles proposing that their argument is just one of the possibilities and leaving the space for other ideas. For example: *dường như* (seem), *có lẽ* (maybe), *có thể* (may/ might/ can), *chắc chắn* (must), *ắt hẳn* (certainly, surely), *tác giả bài viết cảm thấy rằng* (the author thinks that), etc.

(11) *Sinh viên... dường như cảm thấy quan tâm nhiều hơn vào bài học và tham gia chủ động hơn trong lớp.* (Vres 2)

(*Students... seem to be more concerned about the lesson and participate more actively in the classroom.*)

To sum up, concerning ways to open or close spaces for other voices in the dialogue, results of the study indicate that authors most prefer Counter expressions, then come Entertaining, indicating that authorial voice is but one of a number of possible positions and to greater and lesser degrees makes dialogic space for those possibilities. Deny and Endorsement have almost equal frequency, ranking the 3rd and the 4th of preference. No Distance is used while Concur and Acknowledge are rarely employed. These findings are partly similar to Geng and Wharton (2016) on the corpus of Discussions of linguistic doctoral theses, Lancaster (2011) on economic articles and Fryer (2013) on medical articles, which all share the same conclusion that English writers are aware of engaging other voices in the text, leading to the widely use of Expand in their writing.

4.2.3. Graduation

As “central to the appraisal system” (Martin & White, 2005, p. 136), Graduation undoubtedly and unsurprisingly outnumbers the other two systems of the framework. By graduation, writers upgrade and downgrade the neutral meanings of the resources to express more exactly their attitudes and voices in the text. Results of the study prove this with a much higher frequency of Graduation (245) than Attitude (178) and Engagement (163). Table 4 shows details of all categories of the Graduation system, from which some noteworthy findings can be pointed out: firstly, almost all assessments are to gradable entities (account for up to 99% of total number of graduation resources). Just 3 out of 245 assessments are to ungradable entities. In other words, a

majority of assessments is Force (242) while Focus extremely rarely appears (just 3 times). Secondly, up-grade evaluations are exploited far more frequently than down-grade ones with frequencies of 173 and 72

respectively. Thirdly, the Quality Intensification sub-system has the highest frequency (74) while the lowest frequency is of Focus (3).

Table 4

The Frequency of Categories of the Graduation System

		Up	Down					
Force	Number	Up	36	56	84	242		
		Down	20					
	Mass	Up	13	20				
		Down	7					
	Extent	Proximity	Time	3			3	
			Space	0				
	Distribution	Time	4	5				
		Space	1					
							173	72
	Intensification	Frequency	Up	21			24	
			Down	3				
		Quality	Up	59			74	158
Down			15					
Process	Up	41	60					
	Down	19						
Focus	Up	0	3	3	3			
	Down	3						
				245				

A closer look at the table reveals more interesting things as to how differently subsystems and categories are employed, showing writers' preferences in evaluation to conclude their articles.

- In the Force subsystem, generally, evaluation of number, amount (quantification) is less frequently used than intensification of quality and process. To quantify and measure things, most evaluations refer to numbers (56), the presence of entities (size, weight, distribution or

proximity) appears less frequently (20). This is understandable and easy to explain as what researchers do with their articles is to show findings, mostly displayed in numbers. Whatever evaluations made are, they are, therefore, mainly to do with numbers. Expressions and examples of measuring numbers and presence/mass of entities are as follows:

- Numbers: hầu hết (almost), nhiều (many), khá nhiều (quite a lot), đáng kể (considerable), đã

số (majority), một số (some), một vài (several), chỉ có (only), không nhiều (not many),...

(12) *Số lượng đáng kể các cú không có Chu cảnh để tập trung vào trình bày nội dung cốt lõi của mệnh đề.* (Vres 25)

(A **considerable** number of sentences do not have circumstances to focus on the core of the clause.)

- o Presence/ mass: lớn (big), rộng lớn (large), khá lớn (quite big), cao (high), rất cao (very high), nhỏ (small), tương đối nhỏ (relatively small), hẹp (narrow/ limited),...

(13) *Với một nền tảng dữ liệu rộng lớn như vậy, chúng ta có thể đạt được mô hình dự đoán mang tính chính xác cao hơn...* (Vres 23)

(With such a **large** database, we can get a more accurate model...)

With regards to the Intensification sub-system, frequency of assessments to quality of entities is a little higher than to processes. However, both quality and process intensifications share two features. Upscaling intensifiers are more frequently used than downscaling ones. Furthermore, according to Martin and White (2005), intensifications can be realised via isolated lexemes (either grammatical or lexical), semantic infusion or via repetition. In this corpus, intensifications are only realised via grammatical, lexical isolation and infusion. Repetition does not appear. Grammatical isolations have higher frequency than the other two. Table 5 illustrates the realisations of quality and process intensifications.

Table 5

Realisations of Quality and Process Intensifications

Quality intensifications	Process intensifications
Grammatical isolation	
<p>khá (quite), rất (very), hoàn toàn (absolutely), chỉ mới (just), mới chỉ (just, only), hầu như không (hardly), gần (nearly). For example:</p> <p>(14) <i>Về cơ bản, nghi thức cảm ơn trong tiếng Việt và tiếng Anh Úc khá giống nhau...</i> (Vres 25)</p> <p><i>Basically, thanking strategies in Vietnamese and Australian English are quite similar to each other...</i></p>	<p>khá (quite), ít nhiều (a little bit), không đáng kể (not much), nhẹ (slightly), rất nhiều (very much), quá (too), đáng kể (considerably). For example:</p> <p>(17) <i>Mức độ tham gia của sinh viên vào giờ học nói cũng tăng lên đáng kể.</i> (Vres 11)</p> <p><i>The participation of students in speaking classes increases considerably.</i></p>
Lexical isolation	
<p>rõ ràng (clearly), đặc biệt là (especially), nhất là, về cơ bản (essentially). For example:</p> <p>(15) <i>Trên cơ sở lí thuyết của ngôn ngữ học tri nhận, đặc biệt là ẩn dụ ý niệm, quá trình tri nhận tình yêu thông qua các hiện tượng mùa trong thi ca được hiểu và giải thích khá rõ ràng trong nghiên cứu này.</i> (Vres 1)</p> <p><i>On the background of cognitive linguistics, especially conceptual metaphors, cognitive processes of love through seasonal expressions in poetry are understood and interpreted quite clearly in this study.</i></p>	<p>khá rõ ràng (quite clearly), thay đổi tích cực (positively), một cách khoa học (scientifically), một cách hiệu quả (effectively), rất độc đáo (very uniquely), dễ nhận thấy (easily), khá mờ nhạt (quite faintly)</p> <p>(18) <i>Thái độ của sinh viên thay đổi tích cực.</i> (Vres 2)</p> <p><i>Students' attitudes change positively.</i></p>

Semantic infusions

ngày càng (more and more), nhất (most), quan trọng hơn (more important), cao nhất (highest), tuyệt đối, tiêu biểu nhất (the most typical), lớn hơn (bigger), thiên về (inclinable), sống động hơn (livelier), thấp nhất (shortest), ngắn hơn (shorter),... For example:

(16) ... loại có từ 1 đến 3 thành tố là **phổ biến nhất** và có số thuật ngữ chiếm tỷ lệ **cao nhất**... (Vres 15)

*The group of one-to-three element words is the **most** popular and has the **highest** ratio of terminology.*

lấn át (overwhelm), thiên về (incline), ăn sâu (sink into)

(19) Điều đáng quan ngại là, những cách dùng này đang **lấn át** những cách dùng truyền thống... (Vres 25)

*A worrying problem is these uses are **overwhelming** traditional ones.*

- Beside intensifiers of quality and processes, expressions of Usuality are also quite frequently found. Expressions of frequency are mainly to upgrade rather than downgrade with such words and phrases as *luôn, luôn luôn (always), hay (often), đều đặn (regularly), ít khi (rarely), đôi khi (sometimes)*. For example:

(20) Người Việt **hay** dùng cách nói này còn người Anh **rất ít khi** thậm chí **không** sử dụng. (Vres 4)

*(Vietnamese people **often** use this speaking strategy while English **rarely** or even **never** use it.)*

- Focus: there are just three cases where focus is used to describe and soften values of unscalable entities and things. Words used are *chưa thực đúng (not truly), có hơi hướng (sort of), đơn thuần (merely)*. For example:

(21) ... số thuật ngữ mang tính chất miêu tả, diễn giải, **chưa thực đúng** là một đơn vị định danh thuật ngữ chuẩn mực, có số lượng không phải là ít... (Vres 15)

*(The number of descriptive and interpreting terms which are **not truly** standardized identifiers is not small...)*

In summary, the graduation system is the most frequently used with various upscaling and downscaling evaluations, of which Force is more popular than Focus, upscaling greatly exceeds downscaling. These outstanding findings are totally similar with Nguyễn's (2018) investigation into Vietnamese social research articles. However, there is a key difference: while Nguyen's study shows that intensifications are only realised via lexical and grammatical isolations, in this paper, there is also occurrence of infusion. Disciplinary features may account for this difference, which inspires further and deeper research.

5. Conclusion

This paper has reported findings from an in-depth study on evaluative resources across three systems of the Appraisal framework in the corpus of 30 conclusions of Vietnamese linguistic empirical research articles. The analysis has revealed some salient features reflecting how writers' personality is expressed to conclude their articles. First, Graduation dominates the whole evaluative language resources employed in the corpus. In the Graduation system, almost all assessments are on scalable things (Force), especially on intensification of qualities and processes. Realisations of Intensifications are

grammatical and lexical isolations and Infusion. Second, Engagement has the lowest frequency of all. One noteworthy point in this system is that writers prefer closing down the dialogistic space to opening it up. The two mostly used categories are Counter and Entertain. This means that writers usually present contrary positions at once to emphasize their position and avoid assertions by suggesting that their position is just one of the possibilities. Third, the Attitude system is not as preferred as Graduation but more frequently used than Engagement. Writers' feelings are mainly towards things and entities. Whatever evaluation is made, it is generally focused on Composition and Valuation of things. Finally, it seems that all writers are inclined to look at the bright side of their studies, which means that positive attitudes are more frequently expressed than negative ones, and thus, it may be the reason why up-scaling graduation is also more preferred.

Findings of the study indicate that in presenting an empirical research, evaluative language is frequently exploited as a tool for researchers to enhance the persuasiveness and effectiveness of their presentation. To do so, the neutral voice is coloured or intensified by graduation resources. The focus is on figures and outcomes of different studies; therefore, there are a lot of assessments on composition and valuation of things. Moreover, to conclude the research paper, writers do not forget to suggest that their findings is just one of the possibilities to open the dialogistic space and invite other opinions from outside the text. They at the same time make their paper more convincing by introducing and/or rejecting contrary positions as a protection for theirs. These may be considered as the outstanding linguistic features of the conclusion section of an empirical research article.

These findings are, to certain extent, meaningful to both research writers and further study. As for researchers of

linguistics, they should recognize that evaluative language actually plays a role in their study presentation. However successful or meaningful a study is, the importance is how to make it publicly recognised and accepted. It is where evaluative plays its role. Therefore, when writing a research article, researchers, especially novice researchers, should pay attention to and make use of evaluative language to make their paper more persuasive. Then, the salient patterns of evaluative language found in this study (for instance, which system and subsystem are more frequently used; which one should be eliminated, whether or not to totally expand or contract the space for alternative voices, etc.) can be a useful reference for researchers when presenting their work. However, the fact that this study is limited to a minor corpus may leave space for further study. For further study, more research is needed on a number of issues raised in this paper. For example, while this article shows that Entertain resources are widely used, it is not clear whether or not this category is also popular in other sections of the article (Introduction, Methods, Results) or in articles of other disciplines (Biology, Physics,...) or in other types of articles (reviews, theoretical articles,...). Thus, this study might be just a beginning and inspiration for further studies in the future.

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Appendix

List of Selected Articles

No.	CODE	JOURNAL	YEAR	TITLE
1.	Vres 1	<i>Language and Life</i> , (274), 3-8	2018	Tri nhận tình yêu qua hiện tượng mùa trong thi ca
2.	Vres 2	<i>Language and Life</i> , (274), 69-74	2018	Sinh viên không chuyên đối với hoạt động đọc rộng tại lớp ở Đại học Quốc gia Hà Nội
3.	Vres 3	<i>Language and Life</i> , (271), 69-73	2018	Khảo sát việc học mở rộng trong học tiếng Anh ở một trường đại học
4.	Vres 4	<i>Language and Life</i> , (232), 40-47	2015	Biểu đạt lịch sự trong hành động ngôn từ phê phán tiếng Việt và tiếng Anh
5.	Vres 5	<i>Language and Life</i> , (239), 13-19	2015	Nghi thức lời cảm ơn nhìn từ văn hóa Việt và Úc
6.	Vres 6	<i>Language and Life</i> , (239), 7-12	2015	Ý nghĩa bản phận trong "Luân lí giáo khoa thư"

7.	Vres 7	<i>Language and Life</i> , (246), 65-72	2016	Những lỗi sai cơ bản về cách sử dụng quán từ trong văn bản học thuật tiếng Anh của người Việt
8.	Vres 8	<i>Language and Life</i> , (246), 15-21	2016	Tiếng Việt của giới trẻ ở Australia
9.	Vres 9	<i>Language and Life</i> , (261), 3-14	2017	Đánh giá ngôn ngữ trong văn bản khoa học tiếng Việt: Kết quả bước đầu
10.	Vres 10	<i>Language and Life</i> , (271), 12-20	2018	Đặc điểm từ vựng của ngôn ngữ trẻ em từ 2-3 tuổi
11.	Vres 11	<i>Language and Life</i> , (274), 75-81	2018	Dùng hoạt động khoảng trống thông tin nhằm thúc đẩy động lực và tham gia của sinh viên trong giờ nói
12.	Vres 12	<i>Language and Life</i> , (288), 44-51	2019	Sử dụng động từ tình thái như phương tiện rào đón trong các phản hồi văn bản học thuật tiếng Anh
13.	Vres 13	<i>Lexicography & Encyclopaedia</i> , (34), 47-57	2015	Đặc điểm ngữ nghĩa của thành ngữ có yếu tố chỉ con vật trong tiếng Việt
14.	Vres 14	<i>Lexicography & Encyclopaedia</i> , (36), 107-113	2015	Đặc điểm thơ lục bát của Nguyễn Bính (trên cứ liệu trước 1945)
15.	Vres 15	<i>Lexicography & Encyclopaedia</i> , (41), 39-46	2016	So sánh mô hình cấu tạo thuật ngữ kinh tế-thương mại tiếng Anh và tiếng Việt
16.	Vres 16	<i>Lexicography & Encyclopaedia</i> , (45), 80-85	2017	Sự chuyển di tiêu cực trong cách biểu đạt thời và thể từ tiếng Việt sang tiếng Anh
17.	Vres 17	<i>Lexicography & Encyclopaedia</i> , (45), 91-97	2017	Chuyển di ngôn ngữ đối với phẩm chất nguyên âm trong phát âm tiếng Anh của sinh viên Việt
18.	Vres 18	<i>Lexicography & Encyclopaedia</i> , (54), 85-91	2018	Các tổ hợp từ trong báo cáo trường hợp y học tiếng Anh và tiếng Việt
19.	Vres 19	<i>Lexicography & Encyclopaedia</i> , (61), 96-102	2019	Tiến Quân Ca dưới góc nhìn phân tích diễn ngôn phản biện
20.	Vres 20	<i>Lexicography & Encyclopaedia</i> , (59), 67-72	2019	Tạo lập thói quen tự chủ học tập từ vựng cho sinh viên không chuyên ngữ
21.	Vres 21	<i>Lexicography & Encyclopaedia</i> , (60), 115-120	2019	Lỗi thường gặp trong dịch văn bản kỹ thuật Việt - Anh của sinh viên năm thứ tư tại Đại học Công nghiệp Hà Nội
22.	Vres 22	<i>Language</i> , (3), 69-80	2015	Bước đầu tìm hiểu về tiếp đuôi từ “~ sa” có chức năng danh hóa tính từ trong tiếng Nhật
23.	Vres 23	<i>Language</i> , (6), 11-31	2016	Tiếng Việt khoa học trong sách giáo khoa phổ thông: khảo sát đặc điểm ngữ pháp-từ vựng của 7 bài học trong Sinh học 8 từ bình diện chuyển tác
24.	Vres 24	<i>Language</i> , (6), 32-57	2016	Sự vi phạm phương châm chất trong hội

				thoại nhân vật qua hình nói nói quá (trên ngữ liệu truyện ngắn Việt Nam và Mỹ đầu thế kỷ XX)
25.	Vres 25	<i>Language</i> , (1), 50-63	2016	Chức năng dụng học của các biểu thức xung hô trong giao tiếp bạn bè của học sinh Hà Nội (Nghiên cứu trường hợp của học sinh trường THPT Đống Đa)
26.	Vres 26	<i>Language</i> , (11), 12-16	2018	Phong cách ngôn ngữ xã luận báo chí tiếng Việt hiện đại xét từ phương diện từ vựng
27.	Vres 27	<i>Language</i> , (8), 68-80	2018	Đặc điểm ngữ điệu nghi vấn tiếng Việt (trường hợp phát ngôn nghi vấn có phương tiện đánh dấu cuối câu)
28.	Vres 28	<i>Language</i> , (10), 63-72	2019	Chiến lược học tiếng Anh của sinh viên năm thứ nhất khoa du lịch trường Đại học Công nghiệp Hà Nội
29.	Vres 29	<i>Language</i> , (5), 24-35	2017	Thử nghiệm sử dụng mô hình của NIDA & TABER để đánh giá bản dịch thỏa thuận đối tác thương mại xuyên Thái Bình Dương (TPP)
30.	Vres 30	<i>Language</i> , (10), 16-23	2017	Thái độ ngôn ngữ của cộng đồng người Hoa ở thành phố Hồ Chí Minh

NGÔN NGỮ ĐÁNH GIÁ TRONG PHẦN KẾT LUẬN CỦA BÀI TẠP CHÍ NGÔN NGỮ TIẾNG VIỆT

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Tóm tắt: Ngôn ngữ đánh giá hiện đang thu hút được nhiều sự quan tâm bởi, theo Hunston, “đánh giá là một trong những chức năng cơ bản và quan trọng nhất đáng được nghiên cứu chuyên sâu” (2011, tr. 11). Tuy nhiên, thuật ngữ này dường như còn khá mới mẻ ở Việt Nam. Để tìm hiểu về cách sử dụng ngôn ngữ đánh giá trong tiếng Việt, bài viết này hướng tới việc khám phá cách các nhà Việt ngữ học sử dụng ngôn ngữ đánh giá trong phần kết luận của bài báo nghiên cứu chuyên ngành ngôn ngữ. Nghiên cứu kết hợp cả hai phương pháp định tính và định lượng trong việc phân tích các nguồn lực đánh giá được sử dụng một cách hiệu quả trong khối liệu gồm 30 phần kết luận của các bài báo đăng trên 03 tạp chí chuyên ngành ngôn ngữ uy tín ở Việt Nam. Cụ thể, nghiên cứu khám phá các nguồn lực đánh giá dựa trên bộ khung lý thuyết về đánh giá của Martin và White (2005), gồm 3 hệ thống chính: thái độ, thỏa hiệp và thang độ. Kết quả nghiên cứu hy vọng chỉ ra những nét đặc trưng về ngôn ngữ đánh giá của bài báo nghiên cứu ngôn ngữ học, từ đó góp phần làm phong phú thêm nguồn ngữ liệu về ngôn ngữ đánh giá và là một nguồn tham khảo hữu ích cho các tác giả khi viết báo cáo nghiên cứu ở Việt Nam.

Từ khóa: ngôn ngữ đánh giá, kết luận, thái độ, thỏa hiệp, thang độ

CHALLENGES IN TRANSLATION OF ENGLISH PHRASEOLOGICAL UNITS WITH ONOMASTIC CONSTITUENTS INTO VIETNAMESE EQUIVALENTS

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Abstract: Translation of phraseological units with proper names (PUPs) is topical for the contemporary translation studies nowadays. It is noted that PUPs reflect the culture and national mentality of a definite nation. Quite a few studies have prospectively examined English PUPs and their translation into other languages, but it is hard to find such an in-depth study in the case the target language is Vietnamese. By employing the qualitative approach, this paper sets out the findings of the study where 241 English PUPs in our compiled database were classified into four groups according to their translations into Vietnamese. The group of non-idiomatic and descriptive translation equivalents accounts for a majority of more than 57% of all the PUPs, proving that PUPs in both languages are highly culture-specific. Although the other three groups share a minority of approximately 43% of all the PUPs, they hold interesting implications and multiple levels of similar or different metaphors. Based on the findings, the paper discusses the challenges translators encounter during the translation process of English PUPs into their Vietnamese equivalents. It is evident that among various translation obstacles, the proper name factor is clearly one of the most challenging issues. The paper then proposes some translation solutions to cope with these special expressions. In addition to recommending to flexibly apply translation strategies, the author's conclusion emphasizes that only when translators manage to decode and grasp how PUPs work cross-linguistically in both languages and cultures can they achieve an appropriate translation of English PUPs.

Key words: phraseological unit, proper name, onomastics, idiom, fixed expression

1. Introduction

A phraseological unit is a word group with a fixed lexical composition and grammatical structure; its meaning, generally figurative and cannot be derived from the meanings of the phraseological unit's constituents (Kunin, 1970; Gläser, 1988). As an important part of each language, phraseological units (PUs henceforth) contain the sociolinguistic and

sociocultural characteristics of a community, a people and even a nation. A proper name is a phrase that names a specific object or entity. As the study object of onomastics, proper names also attract a lot of interest of researchers from other sciences such as philosophy, logics, and history, but only onomasticians, with a different focus and approaches, could bring about fresh and effective research results (Belecky, 1972; Algeo, 1973; Nuessel, 1992; Hough, 2000;

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Coates, 2006; Van Langendonck, 2007; Anderson, 2007).

It is observed that researchers seem to be giving more focus on the theoretical issues of proper names and onomastics, while their specific problems in each language when compared to those in another language have not been put under much care. For example, how will English PUs with proper names such as a *Jack of all trades, the real McCoy* or *send someone to Coventry* be translated into Vietnamese so that they are considered “well-translated” or their message is well communicated to the Vietnamese audience when each PU of this type possesses a unique characteristic of British culture?

Translation is a challenging process that is not just about transferring words and terms. Rather, it is a matter of the relationship between language and culture. The larger the gap between the source language culture and the target language culture, the harder it is to translate, and the difference between English and Vietnamese culture is not an exception. Proper names and their derivatives which are constituent elements of PUs are determined as onomastic constituents. PUs with onomastic constituents or proper names (*PUPs* henceforth) are considered part of culture, requiring language translators to have a cultural background proportionally similar to that of native speakers to bridge the cultural gap in the process of translation. Therefore, it is elicited that translation of PUPs or PUs with proper names should also be approached from the cultural standpoint.

By “translators” we mean persons who translate from one language into another, especially as a profession, thus ones with good command of the language. To avoid unnecessary confusion, the term “translators” or “the translator” is agreed to use throughout the paper to refer to both student or trainee translators and translation professionals.

For translators, having a firm grasp of the lexical and cultural meaning of a PUP is a prerequisite before finding its equivalent in the target. During this process, cultural differences between the two languages must be taken into account. Researchers in linguistics and translatology such as Nida (1964), Bassnett-McGuire (1980), Newmark (1988), Baker (1992), Davies (2004), Langlotz (2006) etc., highlight the great importance of linguistic and cultural knowledge in grasping PUPs. Language is approached in relation to culture in order to define how culture and language overlap. Only in comparison to another language can a PUP be considered as culture-specific and can ethnolinguistic problems be defined; thus, when contrasting two languages, this feature comes to the fore. As Dobrovolskij, Piirainen and Dobrovolskij (2005, p. 245) stress, speakers perceive PUs with a proper name typical of a given national culture as “being culturally connoted”. Also, we share the viewpoints on difficulties and strategies in the translation of idioms and fixed expressions proposed by Baker (1992), Leppihalme (1997), Newmark (1988) and Davies (2004).

With that approach, the paper first aims to explore English PUs with onomastic constituents (or with proper names in a more specific term, PUPs), regardless of anthroponyms, toponyms and ethnonyms, or their derivatives and propose directions for translating them into Vietnamese. We will then analyze challenges that translators would encounter when translating English PUPs into Vietnamese, put them into groups according to their Vietnamese equivalents, and propose solutions to cope with them in the translation process.

2. Theoretical Background

2.1. Proper Names

In terms of proper name, it is a must to distinguish it from the proper noun.

A proper noun is a noun identifying a single entity and is used to refer to that entity as opposed to a common noun, which refers to “a class of entities” (Anderson, 2007, pp. 3-5). In other words, proper nouns are nouns denoting unique entities such as Ha Noi, London, Jack, Jane, Tuan, or Thu Hang. In principle, in English, Vietnamese and many other languages, proper nouns are capitalized. Grammatically, as Huddleston (1988, p. 96) observes, a proper noun is noun subclass, whilst a proper name is “the institutionalized name of some specific person, place, organization, etc., institutionalized by some formal act of naming and/or registration”. As a characteristic of a given culture, proper names should be observed from different points of view, ranging from historical and geographical to cultural, linguistic, cross-linguistic and social.

Van Langendonck (2007, p. 116) proposes that a proper name should be considered a noun or noun phrase that denotes a unique entity “at the level of established linguistic convention”. Coates (2006) accentuates that the properhood of a name, whether given to a person or place, distinguishes an individual or a named object from all unnamed individuals or things. Lyons (1977) points out that proper names constitute a system organized in accordance with criteria varying across cultures and act as a reflection of the society of which they are the expression. They are linguistic items fulfilling a referential function, i.e., they refer to single entities existing in the real world.

As regards their translation from the source language into the target language, proper names are often peculiar because they are mostly not translated between languages, although they can be transliterated, morphologically adapted to the target

language, culturally adapted or substituted (Hermans, 1988). Therefore, as Weiss (2019) comments, proper names are so closely connected to a language that they cannot be effectively translated; instead, it is necessary to recreate the conditions of the possibility of acts of onomastic denomination.

All languages have particular proper names, some of which are deeply rooted in the culture of the speakers of the specific language; consequently, they can pose unique difficulties in the comprehension of culture-specific texts. It is interesting to note that some proper names have specific connotations, and omitting this implicit information results in unacceptable translation. For instance, in the Vietnamese culture, *Manh Thuong Quan* - the name of a very generous man in Chinese stories - is a symbol of generosity; accordingly, if a translator, unaware of this fact, encounters this sentence “*Sếp của tôi là Mạnh Thường Quân*” (»My boss is *Manh Thuong Quan*) in a conversation of two friends talking about the traits of their boss, the translator may erroneously assume that the speaker is presenting the name of his employer, not his personality.

When a certain name has entered the common memory of the nation and becomes the common property of the linguistic community, its cultural connotation and specificity will gradually fade away. To perceive and translate idiomatic combinations with such names is indeed a huge challenge.

2.2. *Phraseological Units*

A regular question may be asked: *What is a PU?* Different terms are used by various scholars in the field of phraseology to refer to a series of two or more words operating as a whole, and a single term may be used in reference to different phenomena.¹ The lack of standardized

¹ Other terms include phraseme, multi-word lexical unit, fixed expression, fixed phrase, phrasal lexeme,

phrasicon, phraseological unit (Lyons, 1977; Cowie, 1998; Moon, 1998; Fiedler, 2007).

terminology is attributed by Granger and Meunier (2009, p. xix) to the fact that phraseology has only recently been known as a “discipline in its own right”. They specify that it deals with the study of word combinations rather than single words and that, based on the following parameters, these multi-word units are categorized into different subtypes: degree of semantic non-compositionality, syntactic fixedness, lexical restrictions and institutionalization.

‘Idiom’ is definitely a commonly used term that most monolingual English dictionaries use to incorporate a section listing multi-word lexical objects, whether or not semantically opaque, in addition to the term ‘phrases’. Idioms are fixed groups of words having stable forms and fully figurative meanings, e.g., *as drunk as a fish*; *to get one’s blood up* or *nhát như cáy*; *sư tử Hà Đông* (Long & Summers 1996; Hoang, 2008, as cited in Dang, 2011). According to Moon (1998, pp. 3-5), ‘idiom’ is an ambiguous term that is used “only occasionally to apply loosely to metaphorical expressions” that are semi-transparent and opaque, e.g., *kick the bucket* or *spill the beans*. The term ‘fixed expressions and idioms’, which covers different kinds of phrasal lexemes, phraseological units, or multi-word lexical items, including idioms is Moon's preference.

As Kunin (1970, p. 210) outlines, ‘Phraseological unit’ is a term that is increasingly used to denote “a stable combination of words with a fully or partially figurative meaning”. Gläser (1998, p. 125, as cited in Vrbinc, 2019, p. 11) describes a ‘Phraseological unit’ as a “lexicalized, reproducible billexemic or polylexemic word group” in common use, which has relative syntactic and semantic stability, may be idiomatized, may carry connotations, and may have an emphatic or intensifying function in a text, e.g., *to kick the bucket*; *go Dutch*, *Greek gift* or *mẹ tròn*

con vuông; *bạ đầu gối đấy*. Pierini (2008) defines that a phraseological unit or expression is a “sequence constituted by at least two independent lexical items, stored as a unit in lexis” whose basic features are: a) fixedness (multiword unit, fixed in syntax as well as lexis – *Adam’s apple* not *David’s apple*); b) institutionalisation (conventionalized unit – *White House*; *đặt cục gạch*); and c) non-compositionality (global meaning not predictable from the meaning of constituent words – *the man on the Clapham omnibus*; *cửa Không, sân Trìn*).

In this paper, we agree with Vrbinc (2019) that the term phraseological unit is used to name a two or multi-word lexical item with fixed syntax and lexis, which is conventionalized and semantically stable. In other words, the PU is used to refer to idiomatic and fixed expressions, representing the pragmatic aspect of words and word strings in context, and their meaning is not a regular sum of the meanings of each component in the lexical combination.

3. Translation of English Phraseological Units With Onomastic Constituents

PUs cross-linguistically share views of life, philosophies, rules, cultural norms and ethics, amongst others. Therefore, it should be mentioned that PUs with proper names reflect the culture and national mentality of a definite country and nationality. English PUPs fall into the following categories: 1) idioms; 2) irreversible binomial; 3) stereotyped simile; 4) formula (see also Gläser, 1998; Moon, 1998; Pierini, 2008).

The first type is a word group having the structure of: a noun phrase (*the Midas touch*); a verb phrase (*rob Peter to pay Paul*); a prepositional phrase (*according to Hoyle*), or an adverb phrase (*before you can say Jack Robinson*). The second type is a

pair of two words belonging to the same part of speech joined by ‘and’ and occurring in a fixed order (*Jekyll and Hyde*; *David and Goliath*). The third type is about similes using words *like* and *as* (*happy as Larry*; *fight like Kilkenny cats*). The fourth type is the ‘formula’, a situation-based expression serving a specific discursive function, typically occurring in spoken discourse (*it's Murphy's law*; *and Bob's your uncle*).

The relationship between translation and culture is highlighted by Saleh and Weda (2018). According to these researchers, culture has inextricably been linked to translation since its inception. Intercultural competence and awareness are required in translating across cultures with focus on the interaction between translation and culture and the way culture impacts translation.

The types of the translation of PUs offered by Kunin (1970) may be well applied for translating interculturally decoded subjects such as PUPs. The only and foremost challenge is the proper name factor. Translating a PU into a natural target language PU, which has the same meaning and impact as the original source language one, is the ideal translation strategy for PUs. However, this always matters. As learnt from the translation strategies suggested by Newmark (1988) and Larson (1984), idioms should never be literally translated. However, in many cases “literal translation of L2 idioms may also be useful as a pathway to comprehension and memorization” as long as the distinction between word-for-word and global meanings of idioms and standard collocations has to be made clear (Newmark, 1991, p. 61).

Nida and Taber (1982, p. 106) refer to the translation of idioms “in terms of semantic adjustments” which may be of three different kinds: from idioms to idioms, from idioms to non-idioms and from non-

idioms to idioms. A similar stance is taken by Newmark (1988) who lists three main strategies of translating idioms: finding another metaphor, reducing to sense and literal, word-for-word translation. Baker (1992, pp. 68-78) suggests five main strategies of translating idioms and fixed expressions as follows:

- 1) Using an idiom of similar meaning and form
- 2) Using an idiom of similar meaning but dissimilar form
- 3) Translation by paraphrase
- 4) Translation by omission
- 5) Translation by compensation

Translating PUPs is one of the most challenging tasks for a translator. It should be noted that PUPs may have their roots in language history (Gläser, 1988) and can have deep roots, date back many centuries, and be traceable across many languages. Research on PUPs in different languages raises two issues: the universality of some human situations and the cultural specificity. If PUPs include components bearing connotations of local character, they may be more difficult to decode, or they may only be properly decoded provided that adequate context is provided (Szerszunowicz, 2008). Awwad (1990, pp. 57-67) considers two areas of difficulty when translating idioms that can be those of PUs: a) misinterpreting the intention of the writer or speaker and b) recognizing the cultural differences among languages.

The problem is not only to replace the vocabulary and grammar, but also to replace the basic linguistic elements of the source language. It is learnt from Bassnett-McGuire (1980) that PUPs should be translated on the basis of the function of the expression: the source language PU should be replaced by a target language PU that has the same meaning. Baker (1992, pp. 68-78) contends that idioms and fixed expressions

are culture-specific and thus not necessarily untranslatable. Difficulties to translate these units do not come from themselves but the meaning they convey and their associations with culture-specific contexts. Davies (2004) also enlists some difficulties regarding the translation of idioms and fixed expressions, which show close similarity to the ones described by Baker (1992): recognition; no equivalent in the target language; a similar counterpart in the target language with a different context of use; an idiom used in the source text both in its literal and idiomatic sense at the same time; difference between the convention, context, and frequency of use in the source and target languages.

It is believed that in the translators' struggle to attain *naturalness* all of the above problems and difficulties may arise. As observed by Newmark, the level of naturalness achieved in a translation may depend on whether it makes sense, reads naturally, and "is written in ordinary language, the common grammar, idioms and words that meet that kind of situation" (1988, p. 24).

It can be seen that a large number of English PUPs carry within them the identity of British culture due to the role of English as the "glue" that binds groups of English-speaking people together. When converted to Vietnamese, some English PUPs have direct similarities in meaning and basic ideas, but the details may differ. However, there are also PUPs only available in English, and thus the translation must describe, reflect, or explain their nature and meaning, although the metaphor, metonymy or parable is not similar. Consequently, despite being translated, a full equivalence is still out of reach. Therefore, it is important to consider how PUPs operate interlinguistically in other languages and cultures.

Many PUPs are motivated by

extralinguistic phenomena belonging to the "collective memory of a given nation" (Szerszunowicz, 2008, pp. 118-119). In this case, as indicated by Pierini (2008, p. 7), denotational and connotational meaning is established by "extracting important pieces of information from world knowledge associated with each of them". If this is not the case, the decoding process of such a PU may pose problems or even lead to incorrect interpretation or translation (see also Szerszunowicz, 2008; Dobrovolskij, Piirainen & Dobrovolskij, 2005).

Last but not least, it is necessary to mention omission, compensation, false friend and partial equivalence in translation of PUPs.

In terms of *omission*, as Baker (1992) insists, it is established that omission is applied when a PUP has no close match Vietnamese, its meaning cannot be easily paraphrased, or for stylistic reasons. It is clear that if the omission is to avoid the lengthy explanation and the inexistence of the PUP does not affect the whole meaning of the text, then the use of omission can be regarded as justifiable. It is necessary to note that when a PUP is omitted, nearly always there is a "loss" in the meaning. To "compensate" the resulting loss, one is obliged to mention some supplementary words in some parts of the sentence or paragraph where an omission has been done (Shojaei, 2012). Let us study this example of a PUP translated by omission: *If I ever have to do a Lord Lucan and flee the country, this is where I'll head.* » *Nếu phải biến mất khỏi đất nước mình, đây là nơi tôi sẽ tới* (see also Section 6.3.4).

On *compensation*, it may be implied that at the point where a PU appears in the source text, one may either omit or play down a function such as idiomaticity and add it elsewhere in the target discourse. It is learnt from Nida and Taber (1982), Larson (1984); Baker (1992) that compensation is

most definitely worth considering to make up for the loss caused by translating. Therefore, in order to preserve the idiomaticity of the original text and to avoid the mentioned loss, it is recommended that the translator resorts to compensation in translating PUPs as their final but workable strategy. That is when a PUP is not possible to be translated into Vietnamese, the translator's last effort is to compensate the PUP by omitting the PUP and putting it in another place, thus maintaining the stylistic effect of phraseological usage in English. However, compensation should be “the last resort to be used” to ensure that translation is possible (Newmark, 1991, pp. 143-144).

False friend and *partial equivalence* pose other issues. ‘False friend’, a term used by Koessler and Derocquigny (1928), as cited in Aronoff and Rees-Miller (2003, p. 698), refers to the state when a word suddenly gets different meanings in two languages, although they have the same origin and appear alike. It results from the fact that language is a living organism and under constant change. Over the years, a word can change its meaning for different reasons. However, a ‘false friend’ can also arise even if the words do not have the same origin or are loaned from the same language. In partial equivalence (or semi-equivalence), the contents or domains of the concepts differ from each other due to the absence of one or more equivalence aspects (Catford, 1988). The PUP *a good Samaritan* and its Vietnamese equivalent *Mạnh Thường Quân* is a good reference to the idea of false friend and partial equivalence in translation.

In terms of information and efficiency, it is our intention to consider the following three translation methods: verbatim translation (literal translation - lexical meaning), verbatim translation with annotation, explanation, and use of equivalent PUs in the target language. We will analyse the challenges and difficulties translators might encounter when translating

PUPs from English to Vietnamese in the next section of the paper.

4. Methodology

As aforementioned in Section 2.1, the views of name scholars differ as regards a straightforward, clear and satisfactory definition of proper names. To avoid unnecessary confusion, we included only those proper names that can be considered the purest and least controversial representatives of the class and that are typically classified as proper names in English. That is to say the compiled database includes PUs with anthroponyms and toponyms and excludes all extreme cases.

Based on our private collection of English idioms containing 8561 entries saved in CSV file format, we used string-searching algorithms (RegEx) provided by the two powerful, all-purpose text and code editors, Notepad⁺⁺ and BBEdit, to process and parse the data in the CSV file in order to filter out the idioms and fixed expressions with proper names. By this way, an initial list of PUs with proper names was made and saved in the MS Excel format. The list is supplemented by adding PUs with onomastic elements from the following three English monolingual idiom dictionaries: (1) *All English Idioms & Phrases*. MS Apps. Google Play Store; (2) *Oxford Dictionary of English Idioms* (2009). Oxford University Press; (3) *The Farlex Dictionary of Idioms* at <https://idioms.thefreedictionary.com>. The meaning and usage of each PUP were then double-checked using the electronic and online platforms provided by (1) and (3). As a result, we were able to compile a database of 241 English PUs with onomastic constituents.

The collected PUPs were searched for in the following corpora: British National Corpus and Corpus of Contemporary American English (<https://www.english-corpora.org>) to find their frequency and

distribution across registers. These corpora are made up of various types of written texts (literary, academic, journalistic, and miscellaneous texts) and spoken texts (conversations, speeches, lectures, business meetings, TV/radio broadcasting) with hundreds of examples for each PUP.

All the English PUPs are then translated into Vietnamese. That the English PUPs have been translated into Vietnamese enables us to perform a comparative examination of the occurrence of the onomastic constituents. This process is known as decoding proper names. We carefully researched how the English PUPs in our database are translated into Vietnamese because PUs are often difficult to be grasped and translated into another language, especially when word-for-word translation of PUs with proper names is restricted.

According to Szerszunowicz (2008, pp. 118-121), as culture-bound components of PUs, proper names “carry cultural specificity” in themselves. Therefore, cultural allusions carried by a proper name must be properly interpreted in order to enable the whole PUP to be decoded. In the decoding process of English PUPs, we based on four translation strategies of idioms proposed by Baker (1990) along with composite classifications of English PUPs suggested by Pierini (2008) and Vrbinc (2016).

Most of the translations of the PUPs were double checked in the following four dictionaries: (1) *English - Vietnamese Dictionary of Idioms*, Nguyen Minh Tien,

Da Nang Publisher, 2004; (2) *Kadict English - Vietnamese Dictionary of Idioms*. MS Apps. Google Play Store; (3) *Collection of Common Vietnamese - English Idioms, Proverbs and Folks*, Nguyen Dinh Hung, Ho Chi Minh City Publisher, 2007; (4) *English - Vietnamese Dictionary of Idioms*, Trinh Thu Huong, Trung Dung, Vietnam’s Women Publishing House, 2017. Besides, based on the examples and contexts provided by the corpora, we did our own translation of a small number of PUPs, which are unpopular or not found in any Vietnamese dictionaries. A simple Google search was then performed for “PUP + specific/generic suggested meaning” (e.g., “*Gordon Bennett + ngạc nhiên*”) for any available translation of the PUPs. We then compared and valued these versions of translations including ours, and proposed a final translation of such PUPs.

It is noted that in our database a polysemous PUP with different senses was counted only once if it has one onomastic constituent.

5. Results

With regard to the translation of a PUP, it is the meaning of the PUP that should be analyzed first in order to be able to translate the phraseological meaning or to find a suitable equivalent in the target language. This process is known for decoding proper names. In this paper, it is not possible to include all 241 collected PUPs. Below are just a few examples of the groups found.

Table 1

Group 1 - Non-Idiomatic and Descriptive Translation Equivalents

PUP	Vietnamese translation equivalent
(and) Bob’s your uncle	<i>vậy nhé, thế là bạn có nó, thế là xong</i>
(go) tell it/that to Sweeney!	<i>đi mà nói với trẻ con; chỉ có trẻ con mới tin</i>

be sent to Coventry	<i>bị tẩy chay, bị cô lập</i>
double Dutch	<i>ngôn ngữ khó hiểu, điều khó hiểu</i>
Colonel Blimp	<i>người thủ cựu, lạc hậu</i>
Freudian slip	<i>lỡ lời, buột miệng, nói hớ</i>
in the land of Nod	<i>say giấc nồng, ngủ say</i>
Jekyll and Hyde	<i>người hai mặt, đa nhân cách, lúc tốt, lúc xấu</i>
keep up with the Joneses	<i>cố vươn cho được bằng bạn bè/hàng xóm/mọi người</i>
raise Cain	<i>gây rắc rối, gây rối loạn</i>

Table 2*Group 2 - Idiomatic Translation Equivalents Without a Proper Name*

PUP	Vietnamese translation equivalent
as rich as Croesus	<i>giàu nứt đố đổ vách</i>
build castles in Spain	<i>mơ mộng hão huyền, xây lâu đài trên cát</i>
carry/take coals to Newcastle	<i>chở củi về rừng</i>
Gordon Bennett	<i>Trời ơi; Ôi, trời</i>
it's (all) Greek to me	<i>như vịt nghe sấm; nghe như tiếng Tây.</i>
rob Peter to pay Paul	<i>giật gấu vá vai</i>
when in Rome (do as the Romans do)	<i>nhập gia tùy tục</i>

Table 3*Group 3 - Idiomatic Translation Equivalents With the Same Proper Name*

PUP	Vietnamese translation equivalent
Achilles heel	<i>gót chân Asin</i>
American Dream	<i>giấc mơ Mỹ</i>
Murphy's Law	<i>định luật Murphy</i>
Trojan horse	<i>con ngựa thành Tơ-roa (Troy)</i>
Uncle Sam	<i>chú Sam</i>

Table 4*Group 4 - Idiomatic Translation Equivalents With a Different Proper Name*

PUP	Vietnamese translation equivalent
(as) old as Adam	<i>xưa như Trái Đất</i>
As happy as Larry	<i>vui như Tết</i>
Don Juan	<i>Sở Khanh</i>
doubting Thomas	<i>đa nghi như Tào Tháo</i>
Utopian dream	<i>giấc mơ Nam Kha</i>

Table 5*Translation Group Statistics*

Group	Number of PUPs	Percentage of PUPs
Group 1	138	57.26
Group 2	54	22.4
Group 3	30	12.46
Group 4	19	7.88
Total	241	100

As is evident from our database, non-idiomatic descriptive translation equivalents far exceed idiomatic translations of any kind, since non-idiomatic translation can be found in more than 60% of phraseological units with onomastic constituents as opposed to the less than 40% that account for the last three groups. However, the interesting code often hides itself in the group of idiomatic translation equivalents, especially ones with the same proper names, or other proper names with similar connotations. It is clear that decoding PUPs can be substantially influenced by extralinguistic factors.

6. Discussion

The groups identified in Section 5 clearly point out the complexity of translating PUPs as we must meditate on providing an idiomatic translation equivalent where possible. It should be noted that the connotations carried by the onomastic constituent can be of international, national or local characteristics.

Translating PUPs is a challenging but inspiring domain of translation studies. In order to translate PUPs from English into Vietnamese, the translator has to choose the most appropriate strategy or use various strategies, taking into account their peculiarities, function, culture specificity, semantic and structural unpredictability (Kovács, 2016). The challenges the

translator may encounter when translating English PUs with proper names can be divided into two main categories.

- a) *Non-equivalence in Vietnamese*
- b) *Equivalence in Vietnamese*

Within each category, we try to identify and decode PUs with onomastic constituents. The causes of the translation difficulties as well as the pros and cons of the strategies employed are then analyzed.

6.1. Identifying and Decoding English PUs With Onomastic Constituents

Identifying a PU with an onomastic constituent is a prerequisite for proceeding with the next steps, which is entirely up to the translator. The truth is that the ability to recognize and understand a PUP correctly determines the successful translation of that PUP.

It is clear that the translator is not always able to grasp a certain PUP, especially when it holds various culture-specific meanings. If this is the case, it is difficult to successfully translate the PUP into Vietnamese. However, there exist PUPs that are quite universal in both English and Vietnamese, and not that difficult to be perceived in Vietnamese. It can be easier to deduce their metaphorical meanings. These are often PUPs with biblical, Greek mythical and classical names. Some examples are *Achilles' heel*, *Trojan Horse*, *Adam's apple*, etc.

However, the translator is not always so lucky, especially with the PUPs whose meaning is relatively opaque or the ones bearing cultural characteristics. It is not due to the PU with a proper name but the meaning it conveys and its associated domain to culturally specific contexts that makes it difficult to be identified and understood. Take *send someone to Coventry* as an example. The cultural characteristic of this PUP refers to Coventry, a placename. It is no problem to literally understand this phrase, but what it idiomatically means is

not at all easy to be decoded. As explained by Cambridge University Press (n.d.), if a group of people *send someone to Coventry*, they refuse to speak to that person, usually as a punishment for having done something to upset the group. But why Coventry? There have been a few theories. One suggests it originates from the era of the English Civil War, when Parliamentarian supporters would take Royalist prisoners of war to Coventry. Once there, they would be shunned by city residents and inhabitants. However, if the translator had no idea what is behind the name Coventry, and the whole PU, and literally translate the PU into Vietnamese as “*gửi ai tới Coventry*”, it would be a disaster.

Dutch courage is another example. The literal translation of this PUP will cause the reader to raise an eyebrow. In fact, the PUP is used to refer to courage or confidence gained from intoxication with alcohol (Cambridge University Press, n.d.). The etymology of the term involves some popular stories about English and Dutch soldiers in the Anglo-Dutch Wars during the 17th century who drank jenever (Dutch gin) for calming or bravery-inducing effects before battle.

Due to differences in history, geographical location, customs and beliefs, social norms, etc., there are obviously a number of obstacles in the translation that make it difficult for people to accurately understand each other. Therefore, identifying and correctly understanding PUPs play an important role in the accurate translation of the language content, helping speakers of Vietnamese and English successfully communicate with each other.

6.2. Non-Idiomatic Equivalence in Vietnamese

Undoubtedly, as Kashgary (2011) affirms, non-equivalence is a fact that is happening in all languages and it has caused some untranslatable cases. Thus, when dealing with non-equivalence, it is

recommended to focus on levels of linguistic uses in both languages.

Decoding PUs into the target language is never easy. As aforementioned, it is optimal to provide an equivalent PU in the target language. But in many cases, it is not possible to find any idiomatic equivalent, then the only translation way left is to explain, describe or paraphrase the English PUP. Translating English PUPs into Vietnamese in this case will present non-idiomatic equivalents that are descriptive. This approach drives the translator to use word-for-word translation, explain, annotate, or paraphrase the PUP, or translate figurative/idiomatic meaning only. Subsequently, certain translation loss is consequently unavoidable.

A certain meaning can be expressed with a fixed expression, an idiom, or just a single word in English, but it is not always the case in Vietnamese. Due to the lexical or stylistic differences between the two languages, certain correspondence will not always be found. Hence, the strategies recommended to be employed should be omission and paraphrase. English PUPs should be elaborated so that their meaning is better transferred to Vietnamese. It is noted here that the given meaning would not be an exact equivalent or semantic equivalent of the English PUs. A few examples are *the man on the Clapham omnibus* » *người bình thường, thường dân*; *Gordon Bennett* » *Trời ơi! Ôi, trời*; *Freudian slip* » *lỡ lời, buột miệng*.

Another problem relating to non-equivalence is the literal translation of the PUP. Most translation researchers believe that idiomatic meanings may rarely be translated literally (see Larson, 1984; Newmark, 1988; Baker, 1992). For the purpose of transferring culture and information, however, literal translation of the English PUP can be employed as long as it brings about a decent translation effect and

causes no misinterpretation of the message of the source PU. Literal translation is also an option where there is no equivalent PU in Vietnamese. It is noted that difficulties would emerge when the recognizable border between idiomatic and literal translation is not clear. Hence, a translator should be scrupulous to find them out and discover whether it is possible to translate literally.

However, for most English PUPs, it is necessary to base on the context to employ the appropriate translation solution. For example:

Ever since Kyle became a teenager, he's turned into a real Jekyll and Hyde, and it's impossible to anticipate his mood at any given time » *Kể từ khi Kyle trở thành một thiếu niên, cậu ta đã trở nên lúc thế này, lúc thế kia, và thực sự không thể đoán trước được tâm trạng của cậu ta tại bất kỳ thời điểm nào.*

The phrase *Jekyll and Hyde* may be unknown to many Vietnamese if they have never read the book *Strange Case of Dr. Jekyll and Mr. Hyde* by Robert Louis Stevenson. *Jekyll and Hyde* is a reference to the main character in the book whose personality drastically changes between good and bad.

In Vietnamese, there is no equivalent PU with a proper name depicting a person who is good now and bad then and vice versa. The word-for-word translation of each will mislead the message of the PUP. For such cases, translating with an explanation or annotation would be a better solution. Obviously, for the translation to be meaningful and effective, the translator may have to choose to ignore a certain element or replace it with another relatively close in terms of semantic domains and cognitive representations. Unless there is a corresponding PU in both form and content in Vietnamese, it is difficult to reproduce the PU used both literally and figuratively in the translation.

The PUP *Rome was not built in one day* » *Thành La-Mã không phải được xây trong một ngày* is one of the few examples of effective word-for-word translation. In many other cases, Vietnamese people will not be able to readily understand PUPs without background knowledge about the economy, culture, and history hidden behind these proper names (Đỗ, 2015). To produce a decent translation, a loss of proper names would be inevitable as in the following examples: *a castle in Spain* » *lâu đài trên cát*; *mơ mộng hão huyền*; *fight like Kilkenny cats* » *chiến đấu tới hơi thở cuối cùng*.

The advantage of the literal translation of the PU is that it can preserve illustrative images and cultural specificity, contributing to cultural and language exchanges. However, many cases of literal translation can cause misunderstanding or fail to convey the complete domain of meanings of the PUPs, hence reducing the translation efficiency. Although the explanatory and annotated translation methods can convey the message of English PUPs, their weakest link is that they are quite lengthy and time-and-space consuming.

It can be seen that a greatest number of English PUPs are translated by means of a non-idiomatic equivalent of descriptive character. As a result, the neutral translation of the PU does not fully reflect the cultural aspects and the stylistic markedness may vanish (Szerszunowicz, 2008). Based on the stance by Fiedler (2007), we recommend that the PUPs with no equivalent in Vietnamese or with an equivalent based on a different metaphor be approached with great care, since it should be examined to what extent the new image is suitable for the context in English. In brief, in many cases, it is advisable to express the message of the PUP in a non-idiomatic way to ensure the highest possible translation quality from English to Vietnamese.

6.3. Idiomatic Equivalence in Vietnamese

The ideal scenario in translation of the PUP is to find an idiomatic equivalent in both languages, such as the English idiom *rob Peter to pay Paul* which is equivalent to the Vietnamese idiom *giật gấu vá vai*. This is quite possible “because we human beings are in fact more alike than different”, especially in closely value-sharing cultures as Lâm (2013, p. 76) put it. However, languages reflect different realities with different outlooks. As PUPs are linguistic units bearing rich cultural, social, geographic features, etc., of each language community, finding phraseological equivalents in translation is never easy, sometimes even impossible. Even when there are PU equivalents in both languages, they still pose a lot of problems for the translator. Some of the difficulties of having equivalent PUs in Vietnamese are to be discussed below.

6.3.1. Idiomatic Translation Equivalent Without a Proper Name

This way of idiomatic translation expresses the same metaphor in the source languages but with different lexical items. Equivalent images are ones that are understood and accepted in both cultures. An idiomatic equivalent or corresponding Vietnamese PU can express the figurative or symbolic meaning and effectively convey the cultural message of the English PUP. This is the case in which the target language owns a PU equivalent to the source PU in terms of meaning, style, definition, image, or nuance, etc. Let us study these examples.

- *build castles in Spain* » *xây lâu đài trên cát* [*build castles on the sand*] (1)

- *carry coals to Newcastle* » *chở củi về rừng* [*carry firewood back to the forest*] (2)

The choice of this method sometimes results in the risk of losing some source cultural image. However, its outstanding advantage is that both Vietnamese and

English use PUs with the similar figurative meanings and images (e.g., *in Spain – trên cát*, *coals – củi*, *Newcastle – rừng*). That they are equivalent in terms of images and nuances is highly effective at conveying most of the cultural messages expressed by the source PUs.

Idiomatic meaning of (1) is to form unattainable projects. While “*build castles on the sand*” (like in the air) is self-explanatory, “*build castles in Spain*” requires some elucidation. This dated back to the time when Spain was in the hand of the Moore, and it was hard for French kings to conquer this land, hence impossible to build their own castles there. Similarly, in (2), the metaphor refers to doing something redundant, frivolous, or unnecessary. Newcastle was once a major coal supplier. In English, the contrasting pair is “*coals - Newcastle*” while that in Vietnamese is “*firewood - forest*”. Both PUs develop on the same image, i.e., to transport something to a place where there is already plenty. The symmetrical images of *castle - Spain* and *coals - Newcastle* are preserved in the target PUs (*castle - sand*, and *firewood - forest*), evoking the similar effect as the source PU.

In the two languages, however, corresponding idiomatic images are not always found. Here is an example about idiomatic translation equivalent with very different images and associations.

- *it's (all) Greek to me* » *Như vịt nghe sấm* [*Like a duck listening to thunderclaps*] (4)

In the examples, the target and source PUs express the meaning of *unintelligible language or gibberish* (4). We have a mismatched image pair in English and Vietnamese (*Greek - duck listening to thunderclaps*). In example (4), no image of the source PUP is retained, even the nuance is completely different (the English PUP uses the adjective indicating the ethnic name with the object being first person singular - the Vietnamese PU refers to the common

name of an animal and a natural phenomenon).

These Vietnamese PUs represent corresponding idiomatic meanings, but comparative images in the PUs are not corresponding resulting in a loss of a certain amount of cultural information or characteristics of English. Also, dissimilar images and associations may stimulate different emotions from Vietnamese receivers leading to different conceptual metaphors.

6.3.2. Idiomatic Translation Equivalent With a Different Proper Name

These are interesting cases in which a PUP has the same figurative meaning with a different proper name in the target PUP. It is often possible to find an equivalent PU in Vietnamese consisting of a different proper name. Below are some examples.

- (as) *old as Adam* » *xưa như Trái đất* [*old as Earth*]

- *Don Juan* » *Sở Khanh* [*literary character*]

- *doubting Thomas* » *Đa nghi như Tào Tháo* [*as doubtful as Tao Thao (曹操)*]

Proper names in the English PUPs and those in their Vietnamese equivalents have similar idiomatic name domains. The figurative and referential field of meaning given by such names is quite similar in both languages despite different proper names. For example, in Western cultures *Don Juan* is known as a legendary, fictional libertine. The name is used as a generic expression for a womanizer. In Vietnamese, *So Khanh* is a character from Nguyen Du's *Tale of Kieu*, who was infamous for cheating on women, including the title character, Thuy Kieu. Thus, *So Khanh* can be regarded as a full equivalent of *Don Juan*.

The challenges of finding idiomatic translation equivalents with a different proper name land on decoding connotative meanings of the source and target proper

names. The translation of PUPs will be perfect if the English and Vietnamese proper names connote the same or similar objects or entities.

6.3.3. Literal and Idiomatic Translation Equivalents With the Same Proper Names

There are a few examples of this type such as *American Dream*, *Murphy's Law*, *Trojan horse*, *Uncle Sam*, etc. Most of them are the borrowings.

It should be pointed out that a number of PUPs with the same origin are more universally used in both English and Vietnamese. These include PUs with an anthroponym, toponym or a certain proper name whose connotation is universal. A few proper names in this type may have allusions to the Greek or Roman cultural heritage or ancient history. They may also come from a common context, be related to events of particular significance, be locations known from mythology or be universally known to most English and Vietnamese speakers. In both languages, all of these expressions are lexically similar, proving that the shared European linguistic and cultural heritage has had a significant influence on both English and Vietnamese PUPs. It is obvious that the existence of some common cultural denominators between different societies results from cultural exchanges and globalization. Globalization and translation made it possible for peoples of the world to “exchange knowledge, cope with the latest technology, and enjoy the good returns of modernity” (Al-Salman, 2007, p. 153).

The most typical PUPs of this type are the ones with borrowing names with classic references to Western literature. Although these PUPs may have become a part of the Vietnamese language, it does not mean all Vietnamese readers can understand them for the first time without some explanation.

Take *Achilles' heel* as an example. An *Achilles' heel* is a weakness in spite of overall strength, which can lead to downfall (comparably *tử huyệt* in Vietnamese). The term alludes to the Greek mythology of the heroic warrior Achilles whose mother Thetis tried to make him immortal by holding the infant by his heel and plunging him into the River Styx. Eventually he was killed by an arrow shot into his undipped heel. This is to say why *Achilles' heel* is used to refer to one's deadly weak point.

If translated literally, the PUP *Achilles' heel* » *gót chân Asin* does not make much sense to Vietnamese readers, especially young readers who may not know the classic literary legend. For Vietnamese readers to understand this PUP or the alike, it is necessary to have a decent explanation of the literary reference, clarifying its symbolic and figurative meaning while retaining cultural images.

6.3.4. Other PUP Translation Issues

As aforementioned in Section 3, omission and compensation are sometimes inevitable in the PUP translation. It can be seen from the Vietnamese version, the “Lord Lucan” factor has been omitted under the strategy of omission. Besides, “*do a Lord Lucan and flee*” is merged into “*biến mất khỏi*”. The reason for such an affair deals largely with the stylistic possessions of both Vietnamese and English. Instead, the phrase *biến mất khỏi* “compensates” the possible “loss” that the deletion of *Lord Lucan* may cause to the meaning. By omission, Baker (1992, p. 78) argues that getting this level right means that the target text “will feel less ‘foreign’ and, other factors being equal, may even pass for an original”.

False friend and partial equivalence also cause difficulties for the translation of PUPs. Let us have a close look at *a good Samaritan* mentioned in Section 3. This PUP refers to a person who selflessly gives help and sympathy to people in times of trouble.

It is taken from a parable in the Bible in which a Samaritan man was the only person who stopped to help a man who was robbed and beaten (Farlex, n.d.). According to Hoàng (2007), *Manh Thuong Quan* can be either 1) a person who is very rich, loves good talents and often uses his money to do meaningful work; or 2) used to refer to financial helpers for a common job, an organization. Thus, *Manh Thuong Quan* is a very rich person with a good financial background, and as such is more commonly used in the sense of “sponsor”. The sense that a person is compassionate and helpful to people in distress is not always highlighted in the Vietnamese version. This partial equivalence is supposed to help nourish ‘false friends’.

Another example is Uncle Sam. *Uncle Sam* » *Chú Sam* is a common national personification of the U.S. federal government or the country. However, this PUP and its direct image (a tall, thin man with a white beard and a tall hat) have developed notoriety propagating imperialism and war around the world and been received in a non-positive sense. In Viet Nam, therefore, due to the historical problems, Uncle Sam may be attributed to a negative image, and is more often used to refer to “an aggressive U.S” or “a war-like, imperialist U.S administration”.

It is obvious that false friends have been established since the PUPs, despite being identical, are not completely equivalent or just partial equivalent in terms of pragmatic sense. Therefore, we should take great care when encountering a “perfect equivalence” in terms of vocabulary, form, grammatical structure, and even a similar meaning. In addition, translators are urged to be vigilant with a number of different PUPs regarding cultural and national identities because the target Vietnamese PU could take away a certain cultural or ethnic characteristic of the source English one despite the PU in English and Vietnamese

being identical.

In short, the translation of PUPs must be valid for both the Vietnamese language and the English language, not to hinder the expression of the source language in order to avoid the loss and deformation of the source language culture, leading to misinterpretation of PUPs.

7. Conclusion

English phraseological units with onomastic constituents (PUPs) have been explored in this paper. It is concluded that a proper interpretation of cultural allusions carried by proper names is a key to decoding the whole PUPs. The challenges in translating 241 PUPs were compiled, analyzed and categorized into the following four groups according to their Vietnamese translation equivalents: Non-idiomatic and descriptive translation, Idiomatic translation without a proper name, Idiomatic translation with the same proper name, and Idiomatic translation with a different proper name.

It is recommended that for a full comprehension of a PUP, the proper name factor must be thoroughly studied. The translator would face a hard task if he or she encounters English PUPs whose meaning is not the sum of the meanings of the constituents, or PUPs expressing both literal and figurative meanings, PUPs representing facts that do not exist in the world of the target, or PUPs being deeply culture-bound with multiple levels of metaphor. The translator should have knowledge about semantics and lexical sets in the English language to develop strategies to deal with non-equivalence in the semantic field. In addition, the translator should not forget that language and culture are closely related, especially in terms of PUPs and both aspects must be delicately deemed for translation. Literal translation should be considered the last resort because it often significantly reduces the informativeness of the cultural

message even though in some cases it is justifiably necessary or unavoidable to retain integrity of the source message. Even with a Vietnamese equivalent, the translator still encounters many difficulties when translating PUPs from English into Vietnamese. This can be due to the origin of PUPs (in case of borrowings), different use of emotive images, different contexts, frequency of use or culture-bound elements.

To conclude, in order to boost the overall quality of the translation of PUPs and ensure the message conveyed in the source language is communicated to the audience of the target language (as the case of English and Vietnamese), it is of great importance to look into how PUPs work cross-linguistically in both languages and cultures. It is also urged that the translator be flexible in applying translation strategies and methods and rely on the context and purpose of using PUPs to decide on appropriate translation solutions. As Delisle and Woodsworth (1995) contends it is the translator that breaches the walls created by language differences, thereby opening up new horizons, paving the way for cultural exchanges and broadening vision of reality to encompass the entire world.

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KHÓ KHĂN TRONG VIỆC DỊCH TỔ HỢP THÀNH NGỮ TÍNH TIẾNG ANH CÓ THÀNH TỔ TÊN RIÊNG SANG TIẾNG VIỆT

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Tóm tắt: Tổ hợp thành ngữ tính có thành tố tên riêng là một chủ đề thu hút nhiều nghiên cứu trong giới dịch thuật ngày nay. Các tổ hợp thành ngữ loại này luôn phản ánh văn hóa và tâm lý dân tộc của mỗi quốc gia. Có khá nhiều nghiên cứu trên thế giới về vấn đề này ở nhiều cặp ngôn ngữ khác nhau, nhưng chưa có nghiên cứu phân tích chuyên sâu những khó khăn trong quá trình dịch các tổ hợp này trong cặp ngôn ngữ Anh-Việt. Bằng cách sử dụng phương pháp nghiên cứu định tính, bài báo trình bày kết quả nghiên cứu trong đó 241 tổ hợp thành ngữ tính tiếng Anh có thành tố tên riêng được thu thập và phân loại thành bốn nhóm theo bản dịch tiếng Việt. Việc nhóm đơn vị tương đương mang tính mô tả và mất đi tính thành ngữ chiếm phần lớn với hơn 57% số tổ hợp chứng tỏ rằng tổ hợp thành ngữ tính có thành tố tên riêng ở cả hai ngôn ngữ đều mang tính đặc trưng văn hóa cao. Mặc dù ba nhóm còn lại chia sẻ một thiểu số xấp xỉ 43% tổng số tổ hợp, nhưng chúng lại mang nhiều ẩn số thú vị với nhiều cấp độ ẩn dụ tương đồng hay dị biệt ở cả hai ngôn ngữ. Dựa trên kết quả nghiên cứu, bài báo nêu lên những thách thức mà người dịch gặp phải trong quá trình dịch các tổ hợp thành ngữ tính tiếng Anh có thành tố tên riêng sang các đơn vị tương đương trong tiếng Việt, trong đó tên riêng nổi lên như là một trong những thách thức lớn nhất. Bài báo đề xuất một số giải pháp dịch thuật để xử lý hiệu quả các biểu thức đặc biệt này. Ngoài việc khuyến nghị áp dụng linh hoạt các chiến lược dịch thuật, kết luận của bài báo cũng nhấn mạnh rằng chỉ khi người dịch giải mã và nắm bắt được cách thức hoạt động của các tổ hợp thành ngữ tính có thành tố tên riêng trong cả hai ngôn ngữ và hai nền văn hóa thì họ mới có thể thực hiện thành công việc dịch thuật các tổ hợp này.

Từ khóa: tổ hợp thành ngữ tính, tên riêng, danh xưng học, thành ngữ, cụm từ cố định

A MULTIMODAL DISCOURSE ANALYSIS OF ROMANTIC COMEDY MOVIE POSTERS

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Abstract: Multimodal discourse analysis (MDA) is a new and prominent approach in discourse analysis with a quite rapid pace of development. According to this approach, meaning is made not only by words but also by the integration of other semiotic resources such as images, sounds and colours. This study further supports this theory by the analysis of the posters of fifteen top grossing American romantic comedies. Based on Kress and Van Leeuwen's framework (2006), the research indicates the similarities and differences in using semiotic elements to create meaning and promote the movies. The results not only identify the patterns in designing movie posters but also examine the effectiveness of the framework in analyzing multimodal texts.

Key words: multimodal discourse analysis, romantic comedy movie posters

1. Introduction

It has been long agreed that words are not the only means of communication. Instead, the so-called modes including visuals, gestures and actions always have social meaning (Kress & Van Leeuwen, 2001). When a text is constructed by the combination of words with other modalities, such as pictures, film, video images and sound, it becomes a multimodal text. This is the subject of research of multimodal discourse analysis (MDA). This approach of discourse analysis "considers how multimodal texts are designed and how semiotic tools such as colour, framing, focus and positioning of elements contribute to the making of meaning in these texts" (Paltridge, 2012, p. 170).

Multimodal studies originated in the early 1990s and the past three decades have witnessed numerous research fruits in this field. Multimodality has considered different modes of communication such as the visual mode of images, gesture, gaze, posture, colour, typography, composition etc. (Kress & van Leeuwen, 2006; Machin, 2007; Jewitt, 2009), claiming that these elements transfer and generate meaning. Studies have not only focused on a single mode but also the integration of different modes in multimodal texts (e.g. O'Halloran, 2008) and even in dynamic multimodal discourse such as videos and films (e.g. O'Halloran, 2004). Subjects for research are also expanding, covering a wide range of domains, from magazine covers (Machin & Thornborrow, 2003), movies (Bo, 2018),

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websites (Moran & Lee, 2013), to children's storybooks (Ton & Nguyen, 2019).

In the area of advertisement and promotion, much progress has been made with analysis of magazine advertisements (Bell & Milic, 2002), beauty product advertisements (Harrison, 2008), cosmetic surgery leaflets (Martinez & Chovanec, 2012), to name but a few. Such studies share a common purpose of examining how semiotic modes are purposefully used to have certain desired effects on the recipients. In order to achieve this aim, multimodal studies have utilized different approaches. Firstly, there is a tendency that visual analysis is combined with Critical Discourse Analysis to identify the underlying knowledge structures and ideologies that advertisements base on to attract customers. For example, Martinez and Chovanec (2012) analyzed 20 Spanish cosmetic surgery leaflets and found that the image of an idealized female body was exploited for economic goals. This revealed the application of the prevalent ideology of femininity in such leaflets. The gender ideologies can also be found in multimodal research on beauty products like Harrison (2008), Baykal (2016) or magazine advertisements in general like Bell and Milic (2002). Such research from the perspective of Critical Discourse Analysis tends to include both visual and linguistic analysis. However, those with emphasis on the transference of meanings of the visual elements may be based on only semiotic analysis. For example, Hu and Luo (2016) focused on visual components of the advertisement produced by Tmall for the Double Eleven Shopping Carnival to illustrate how they could attract the viewers. Despite the differences in approaches and scopes, most of the reviewed studies employ Kress and Van Leeuwen's Visual Grammar to carry out the analysis of semiotic elements.

A movie poster is a poster used to promote and advertise a film. As the face of

the movie, it has a great contribution to the impact of the movie and its sales. By sparking interest around a film, it persuades customers into a theatre to see it. However, a movie poster is not just promotional material. It also provides basic information of the movie and expresses the key message and main vibe of the movie. As it is often said that "a picture is worth a thousand words", a poster can tell about the movie in more detail than a thousand words could and in a very different way than words ever could. Therefore, although being considered a sub-genre of advertisements, movie posters have their own distinctive features including the strong dependence on the movie content and the overwhelming role of images in predicting the movie's plot.

Although movie posters provide a good source for investigating how semiotic resources make meaning in communication, little research has been done on this sub-genre. Chen and Gao (2013) attempted to formulate a model for MDA of movie posters from the adaption of Kress and van Leeuwen's Visual Grammar. Although some terms have been renamed and some categories have been simplified, their model still closely followed and resembled the framework of Visual Grammar. The applicability and practicality of the proposed model was testified by the analysis of eleven posters of popular movies (Chen & Gao, 2013). Iftikhar, Shahnaz and Masroor (2019) applied Chen and Gao's (2013) framework to the linguistic and visual analysis of posters of three Academy Award winning animated movies. Employing a qualitative and interpretative approach, the study closely examined the three posters with support of screenshots from the movies and concluded that "various linguistic and visual modalities employed in movie posters converge together to give an apt representation of the theme of the movie" (Iftikhar, Shahnaz & Masroor, 2019, p. 49). As can be seen, these previous studies

mainly serve as exploratory research into the application of MDA in analyzing movie posters, thus the patterns in making meanings among the posters have not been identified. Furthermore, as posters are used to provide information of the movies, the genre of the movies may take an important role in the posters' meaning making. However, the issue of genre has not been put into consideration in previous studies.

In order to fill in the research gap, this study utilizes the framework of Kress and van Leeuwen (2006) to analyze romantic movie posters to indicate the similarities and differences among these posters in using multimodal modes to make meaning and promote the movies. The research serves two main purposes: (1) identify the common pattern in using the semiotic modes to make meanings among these posters and (2) examine the effectiveness of Kress and van Leeuwen's framework

(2006) in analyzing the multimodal texts.

2. Theoretical Framework – The Visual Grammar

MDA draws from Systemic functional linguistics (SFL), pioneered by Halliday. Halliday (2009) describes three types of metafunction that are drawn on simultaneously in the use of language, which are ideational (what the text is about), interpersonal (relations between participants) and textual (how the message is organized). Based on Halliday's theory, Kress and van Leeuwen (2006) put forward Visual Grammar, a framework to analyze visual images. In this model, visual structures are treated as linguistic structures. They use different terms for the same subjects: representational instead of ideational; interactive instead of interpersonal; and compositional instead of textual.

Figure 1

The Equivalence Between the Three Meanings of Linguistic Texts and Visual Texts (Kress & van Leeuwen, 2006)

Linguistic text		Visual text
Ideational	↔	Representational
Interpersonal	↔	Interactive
Textual	↔	Compositional

The representational meaning deals with the way images present aspects of the world. There are two choices of structure, which are narrative and conceptual ones. The image uses narrative structure if it represents actions, events or change. In narrative visuals, participants are connected by a vector and represented as doing something to or for each other (Kress & van Leeuwen, 2006). Narrative representation can be further categorized into action process, reaction process and speech and mental process and conversion process, with reference to the six processes in Halliday's

Transitivity system. Meanwhile, conceptual structure represents generalized concepts, in which participants are represented "in terms of their generalized and more or less stable and timeless essence" (Kress & van Leeuwen, 2006, p. 79). Conceptual representation is divided into classificatory processes, analytical process and symbolical process, with the former two resembling relational process in SFL.

The interactive meaning is concerned with the representation of social relations between the producer, the viewer and the subject being represented, which are

realized by contact, social distance, attitude and modality (Kress & van Leeuwen, 2006). First, contact is established by the presence of gaze, with two options of offer and demand. If the subject directly looks at the viewer, an imaginary contact is created between the represented participant and the viewer. This is a “demand” gaze. In contrast, if the subject looks away from the viewers, to another object in the picture, the viewer’s role is that of an invisible onlooker. This is an “offer” type of image. Second, social distance represents social relations between the producer, the viewer and the represented subject, which is realized by the size of the frame. Choices could range from extreme close-up to very long shots. Next, attitude, which includes subjectivity and objectivity, is decided by angles. While the horizontal angles are related to the involvement of the represented participants by the image-producer, vertical angles of the camera are concerned with the symbolic power relation between the represented participant and the viewer. Specifically, high angles indicate viewer power, eye levels show equality, and low angles represent power. Finally, modality is concerned with truth value and credibility, which is influenced by modality markers such as color saturation, color differentiation, illumination and brightness.

The compositional meaning works with the “textual” function, the way in which representations and communicative acts cohere into meaningful whole through three interrelated systems: information value, salience and framing (Kress & van Leeuwen, 2006). Information value is how elements are placed that makes them relate to each other and to the viewer. Different zones of the image such as left and right, top and bottom, center and margin are endowed with different information values. Salience is how certain elements might be made to stand out by using factors such as foreground or background placement, relative sizes, contrasts in tonal value or color, sharpness.

Framing devices play a critical role in connecting or disconnecting elements in the image.

3. Methodology

This study adopts a descriptive qualitative approach with the assistance of quantitative tools. The qualitative method was first used to describe, analyze and interpret the collected samples; then, the data was quantitatively analyzed to identify the common pattern in using the semiotic modes to make meanings among these posters.

3.1. Data Description

15 official posters of 15 American movies were chosen for analysis. All of these movies belong to the specific genre of romantic comedy. This is to assure that the chosen posters share a great deal of similarities in terms of context, including target audience, purpose, nature of information. It also serves the purpose of the present study in identifying the patterns in choosing semiotic elements to make meaning in the specific genre of romantic comedy. Moreover, these movies are proposed as “the 15 highest-grossing rom-coms of all time” by the Entertainment weekly, a famous American entertainment magazine with concentration on entertainment media news and critical reviews. Notably, these 15 American movies were released worldwide and received great success in both domestic and international box office. The box office revenue may indicate the success of the promotional campaign in general, and to a certain extent, the success of the posters as one of the promotional materials.

In order to assure that the posters are the official ones, the information was double checked from different popular movie websites including imdb.com, rottentomatoes.com and Wikipedia. The posters and their basic information are included in the Appendix.

3.2. Data Analysis

The present study adopted an adapted version of Kress and van Leeuwen’s framework (2006) in consultation with Chen and Gao (2013) to analyze the semiotic elements of the posters. The texts in the posters include the movie titles, the taglines, the release date and the names of the actors/actresses, the directors, the crew, and the producers. Due to the simplicity of these linguistic components, linguistic analysis is not of interest. Therefore, the present study only considered the semiotic aspects of the linguistic text, which was analyzed in the compositional meaning. The meaning of the text is only regarded as a clue to reinforce the interpretation of the visual images.

In representational meaning, the participants, the processes and the circumstances are analyzed to see how the characters and backgrounds are depicted and find the links among these three elements.

Regarding the processes, the study focused on the division between narrative and conceptual structures without analyzing the types of process formed by vectors. The linguistic texts of the poster, including the movie titles and the taglines, and the movie summaries were consulted to increase the accuracy of the interpretation of representational meaning.

In interactive meaning, since the posters are all presented in portrait orientation, the analysis of the horizontal perspective seems unnecessary. Furthermore, the analysis of modality with such issues as color modulation, depth, or illumination, requires high technology, thus was omitted from the scope of analysis. Regarding the size of frame, Kress & van Leeuwen (2006) proposed a seven-point scale; however, as the two extreme levels are vague in description, the present study simplified the scale into five levels as follows:

Figure 2

Adapted Scale for Size of Frame Classification

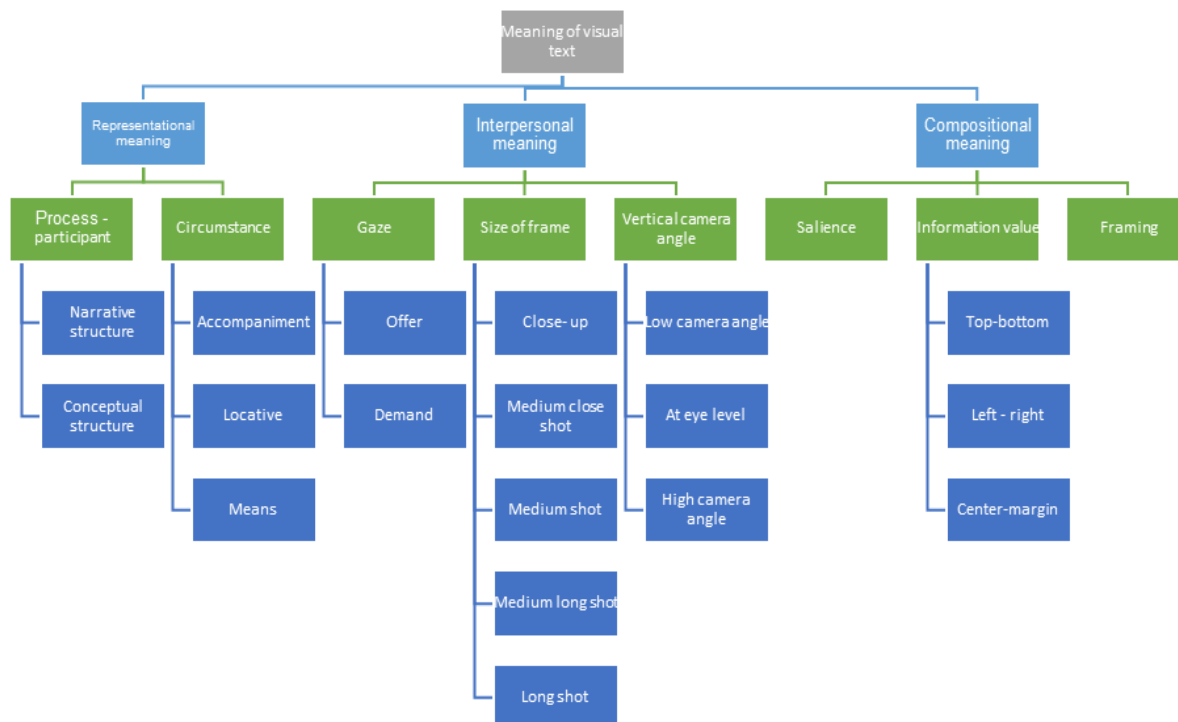
Size of frame	Description
Close-up	shows head and shoulders of the subject
Medium close shot	cuts off the subject approximately at the waist
Medium shot	cuts off the subject approximately at the knees
Medium long shot	shows the full figure
Long shot	the human figure occupies about half the height of the frame

In compositional meaning, all three elements of salience, information value and framing were examined. The linguistic words with semiotic elements were regarded as a part of the visual image and analyzed accordingly.

In short, the analytical framework in the present study is adapted from Kress and van Leeuwen (2006) and summarized in figure 3.

Figure 3

The Analytical Framework of the Present Study



4. Multimodal Discourse Analysis of the Romantic Movie Posters

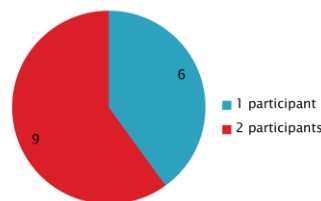
This part mainly discusses the trends in using visual components of the movie posters for the purpose of having a clearer understanding of how the posters appeal to and be resonant with the viewers through multimodal construction. All difficulties in examining each type of meaning are also noted to serve the study’s second purpose of evaluating the effectiveness of Kress and van Leeuwen’s framework (2006) in analyzing multimodal texts. The posters are referred to by the names of the movies and the full images can be found in the Appendix.

4.1. Representational Meaning

According to Kress and van Leeuwen (2006), the representational meaning can be realized by three components, which are participants, process types and circumstances.

Figure 4

Number of Participants in the Posters



In terms of participants, the posters mostly represent the main characters of the movie with only one or two participants. When there are two participants, viewers may quickly tell that they are the main couple in the movie and consequently turn the attention to their relationship. These posters are relationship-oriented and tend to follow the tradition of romantic comedies, thus their genre is easily identified. In contrast, one-participant posters are character-oriented as they only depict one leading actor/actress without any relationship. Surprisingly, six out of 15

samples follow this pattern so this is not a minor trend. It can be said that the romantic content is not always expressed explicitly in the posters and ambiguity can be a technique to attract the audience.

Figure 5

A Comparison Between Conceptual and Narrative Structure



Conceptual

Narrative

In terms of process, both narrative and conceptual structures are employed in the samples. Conceptual structure is used in 8 out of 15 posters to represent the protagonists. Viewers may tell who the main characters are from their appearance or body language but not much about their story. For example, in *There's Something About Mary* (1998), what is depicted is an attractive and cheerful girl, not her actions of smiling or putting her hands on her knees. Meanwhile, narrative structure provides more hints about the content of the movie from the participants' actions. In *Crazy Rich Asians* (2018), what viewers can realize are the two participants' actions of hugging, smiling and looking into each other's eyes, thus the poster is classified as narrative structure. Remarkably, most of the depicted actions in seven narrative posters are related to romantic relationships such as hugging and kissing, proposing or getting married. In other words, these actions help to establish the participants' identity of a couple. In only

two posters, the action is not related to the romantic theme. Instead, the actions reveal the main characters' personality or feelings. For example, in *Bringing Down the House* (2003), the woman's action of raising hand and her facial expression is not to show her romantic relationship but to expose her identity as a loud and shocking woman who turns the male lead's life upside down.

It is noteworthy from the analysis that the distinction between narrative or conceptual structure is not clear. This is due to the nature of the image. Different from the linguistic text in which the process is simply indicated by the main verbs, visual text may show the mixture of different actions in a single image. In addition, the interpretation of image is subjective. In many cases, it is difficult to decide if the participants are represented as doing the action or they are just posing for the photo to show who they are. In these cases, the researcher had to refer to the content of the movie to categorize the posters but the result is still unavoidably based on personal judgement. More importantly, from the above result of analysis, the meanings created by two types of structure are not separated from each other. Like in the case of *Crazy Rich Asians* (2018), even when the image is categorized as narrative structure, the actions are actually used to create the participants' identity as a couple, which in turn is closely related to conceptual structure. In short, the interpretation of visual images is subjective, complex and flexible, thus cannot be easily codified into the process types.

Lastly, circumstances, consisting of setting (or locative circumstances), means and accompaniment, appear in only 7 out of 15 samples. Regarding setting, four out of five circumstances are connected to a specific location including Greek, Japan or

America to highlight the context of the story. These are the cases when the contexts are special or influential in constructing the plot. Accompaniment occurs in two posters in the form of belongings or extras. In *Sweet Home Alabama* (2002), some pieces of luggage and a dog appear as the movie talks about the character’s journey to another city. In *My Big Fat Greek Wedding* (2002), the extras play a significant role in the main couple’s relationship so their appearance can be regarded as a prediction for the content of the movie. The only case with means is *The Proposal* (2009) with the ring. This object is to depict the narrative action of the proposal

so its important role is undeniable. In conclusion, circumstances only appear when they have a great influence over the content of the movie; otherwise, this element is absent from the romantic comedy posters.

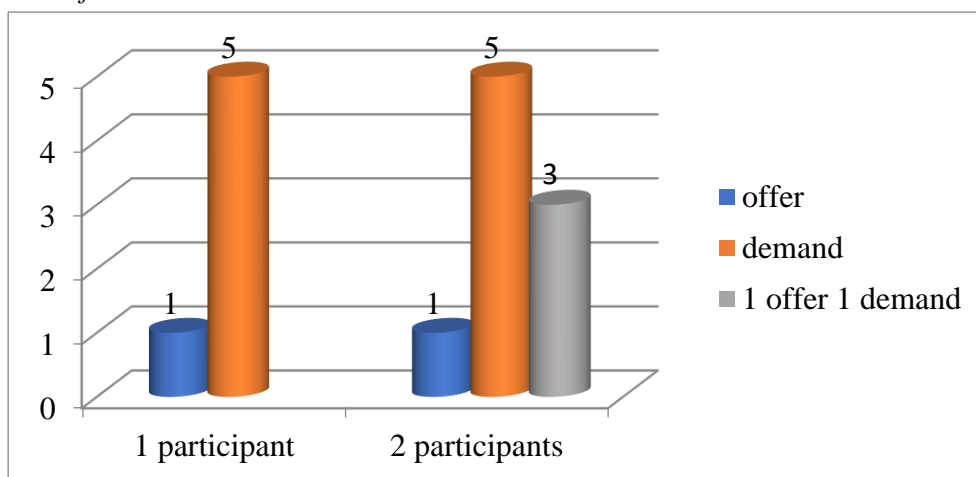
4.2. Interactive Meaning

The interactive meaning or the social relations between the viewers and the subject(s) being represented can be examined from three aspects, including the gaze, the size of frame and the vertical camera angle.

The choice of gaze is illustrated in Figure 6.

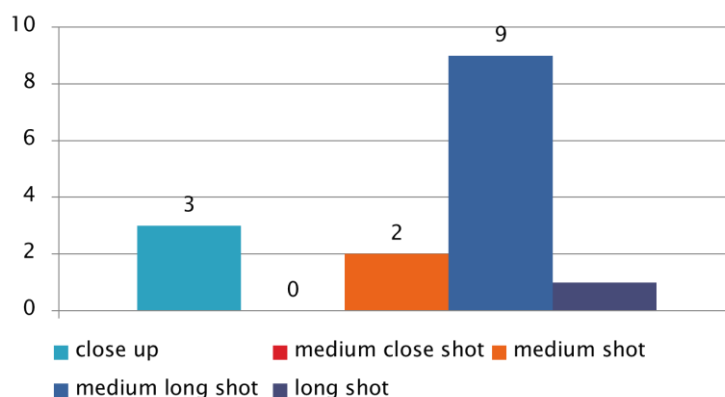
Figure 6

The Choice of Gaze in the Posters



As can be seen, the demand gaze appears in most posters, which means there is a certain kind of interaction between the participants and the viewers. The characters seem to tell the viewers about their stories. In three posters with one offer and one demand gaze, the participant looking directly at the viewers tends to be the “story teller” with a more prominent role in the movie. There are only two cases with no eye contact between the viewers and the participants. In *Crazy Rich Asians* (2018), the couple hug and look at each other’s eyes

and seem to live in their own happy world, thus there is no interaction with viewers. Meanwhile, the case of *As Good as It Gets* (1997) may seek the explanation from the personality of the male lead, who is an obsessive-compulsive writer of romantic fiction who's rude to everyone he meets. Apart from these two exceptions, the posters tend to choose demand gaze to create interaction with viewers and based on the choice of gaze for each character, viewers may well predict the importance of each participant in the movie.

Figure 7*The Choice of Size of Frame in the Posters*

The size of frame refers to the depiction of the subject as close to or far away from the viewers. Obviously, medium shot and medium long shot are most popularly used, which follows the convention of advertisements. “The advertised product is shown in full, but from a fairly close range, and a steep angle, as if the viewer stands just in front of the table on which it is displayed” (Kress & van Leeuwen, 2006, p. 128). Similarly, in movie posters, these types of framing create the familiar feeling in viewers. The characters are depicted as ordinary people who are standing just in front of the viewers. These choices of frame are close enough for the viewers to realize the participants’ emotions from their facial expressions and body language, but at the same time, far enough so that the viewers’ feelings are not dominated by the characters. In other words, viewers are observers who follow the story of the participants, but cannot interfere into the plot, and vice versa, may not be influenced by the story.

Regarding the vertical camera angle, the popular choice is at eye level, in which “the point of view is one of equality and there is no power difference involved” (Kress & van Leeuwen, 2006, p. 140). The subjects are represented as equally powerful to viewers, which supports the above-mentioned findings in size of frame. The

characters are represented as ordinary people in everyday life. There is only one exception of low camera angle in the case of *Coming to America* (1988), which shows the image of an extremely pampered African prince. This choice of camera angle creates the imposing and powerful image of the protagonist to emphasize his privilege in terms of wealth and social status.

4.3. Compositional Meaning

Compositional meaning is discussed in three interrelated systems, namely salience, framing and information value.

Salience refers to how certain elements might be made prominent and have the viewer’s attention drawn to them. It is not surprising that the main characters stand out in all posters. The noteworthy point is in two-participant posters, the character with demand gaze tends to receive more salience. For example, in *What Women Want* (2002), the man with demand gaze receives more attention as his full face from frontal angle takes more space. The woman with only a part of the face, close eyes and from an oblique point of view seems to be less conspicuous in the poster, and also takes a less prominent role in the movie. This salience is supported by the linguistic elements of the poster with two lines “He has the power to hear everything women are thinking” and “Finally... a man is listening”.

Among the linguistic words, the movie titles are always the most prominent with the biggest size and highlighted colors. The comparison in terms of salience between the titles and visual images is rather difficult and subjective. In most cases, the element that catches the viewers' eyes at the first glance is often the main characters thanks to the vivid images and the big size compared to the linguistic elements. However, when the titles are designed in hot colors (i.e. red, pink, or yellow on black background), and extremely big font size, more salience may be given to the titles, thus they may be a bit more prominent than the images.

The second system of framing is about whether the elements are connected or disconnected to each other. In movie posters, there are two groups of components: the image and the multimodal words. The linguistic text in the poster is to provide the releasing information of the movie and is often designed with semiotic factors (e.g. colour, size, font) to harmonize with other visual images in the poster. Although the words seem to spread all over the poster, the placement of the linguistic text tends to follow the convention. The names of leading actors/actresses appear at the top center of the poster while other details such as the name of the director, the crew, the producer, or the release date are often put at the bottom of the frame. Among these elements, the names of the leading actors/actresses and the release date tend to receive more salience with bigger font sizes and highlighted colors. There are only two exceptions in the samples. While in *As Good as It Gets* (1997), the names of actors and actresses are moved to the bottom, leaving the top position for the tagline, *Pretty Woman* (1990) does not provide any producing information apart from the name of the movie, the actor/actress and the tagline.

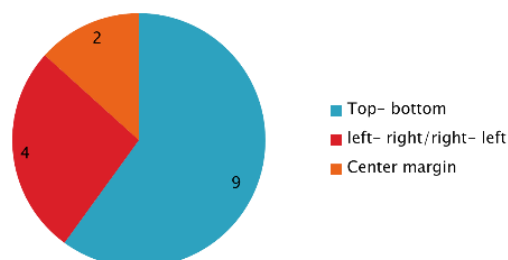
As the most prominent among the

linguistic items, the movie titles appear from the middle to lower part of the posters, with 5 and 7 samples respectively. This eye-catching position makes the titles more prominent but still gives the salience to the visual images. There are only two cases with titles in the upper part in *My Big Fat Greek Wedding* (2002) and *Runaway Bride* (1999), which can be explained by the Ideal-Real pattern in the later part of Information value. *Pretty Woman* (1990) is the only exception in which the title is placed in parallel to the participants. This choice gives more salience to the title itself and the adjoining female character that it represents.

The taglines, appearing in 11 posters, have the most flexible position among the linguistic items. With a rather small font size, the taglines can be found in different zones of the posters. However, there is a tendency that the taglines are put next to the prominent elements, either be the movie titles or the salient visual images.

Regarding the images, despite one or two participants, the visual components are often strongly framed to form one single group. In multi-participant posters, the characters often harmonize with each other in terms of position, action, facial expression and color. Interestingly, in some cases, for example *Crazy Rich Asians* (2018) or *What Women Want* (2002), when being put together, the characters form the heart shape, which may well predict their romantic relationship. The only exception when the couples are separated is *Bringing Down the House* (2003), which helps to highlight the gap between the two characters.

Lastly, information value is concerned with the placement of different elements that makes them related to each other and to the viewers. There are three ways of ordering different groups of information: left and right, top and bottom, and center and margin.

Figure 8*Information Value in the Posters*

As can be seen from the pie chart, top-bottom order is most frequently used, which is also the typical order of advertisements and marketing-oriented websites (Kress & van Leeuwen, 2006). In such texts, the upper part visualizes the ‘promise of the product’, or the Ideal; meanwhile, the lower section informs the viewers with factual or practical information (e.g. how to obtain the product), or the Real. The Ideal – Real pattern can also be applied to posters with top-bottom order. The top visualizes the story with the image and the bottom provides ‘down to earth’ information such as releasing and producing details.

The second choice of left-right is similar to the order of information in magazines. When readers open double-page spreads, their attention tends to be kept by the right page, which often provides the main information of the article. Similar to linguistic sentences with the Theme – Rheme structure, in multimodal text, the left is the side of the already known information or the Given, and the right is key message or the New (Kress & van Leeuwen, 2006). The Given – New structure can be found in three posters but the information being put in each zone is flexible. *In Pretty Woman* (1990) and *The Proposal* (2009), the image of an ordinary couple is treated as The Given, or the starting point of the story. In these cases, the movie title and its details on the right-hand side become the key message to invite the movie goes to discover the special features of this relationship themselves. The

elements in *There is Something About Mary* (1998) are arranged in a reversed order. The names of the cast and the movie title are put on the left-hand side. The line “There is something about Mary” with the word Mary being highlighted works as a secret, which leads the viewers’ attention to the image of Mary on the right. The discovery of Mary would be the main content of the movie, thus becoming The New of the poster.

The poster of *My Big Fat Greek Wedding* (2002) is the only exception that employs both horizontal and vertical structures but not in a conventional way. The left-right order is used but only to separate the protagonists from the extras. One fourth of the picture is left for the extras with different background while the majority of the space is for the main couple, which symbolizes the couple’s winning over their relatives’ influence. In vertical order, the positions of the image and the title have been exchanged. The title is moved to the top of the poster, or the Ideal part, while the image is put together with the movie’s producing and releasing details, which belong to The Real. This may indicate that this “Greek wedding” is an ideal and romantic one.

The last structure of center-margin is found in only two posters with the same pattern in which the two characters are separated and the movie title and details are put between them. This decision may highlight a kind of “gap” in their relationship and at the same time, gives more prominence to the title of the movie.

5. Conclusion

In this paper, the framework adapted from Kress and van Leeuwen (2006) has been used to analyze 15 posters of high grossing American romantic comedies. The findings indicate that there are some conventions in designing these posters including the small number of participants and their salience, the frequent absence of

circumstances, the position and content of linguistic words, the size of frame and framing. In representational meaning, the posters can be divided into relationship-oriented and character-oriented ones. Equivalent to these two types, viewers' attention can be attracted by either the couple's romantic relationship as tradition or the ambiguity of genre by focusing on the characters' features or personality. Circumstances only appear when they have a great influence over the content of the movie. Regarding interactive meaning, the contact is often maintained between the participants and the viewers without power being involved. Moreover, the role of the characters in the movie can be predicted from such hints as their gaze or salience. The choice of size of frame is similar to other genres in the area of advertisement and promotion. Although there are several ways to arrange the elements with different purposes, the components of the posters tend to be in good harmony and connection, which creates a pleasant feeling in viewers and is suitable for the content of romantic comedies. It can be said that there are common patterns in the choice of visual elements to make meanings in these posters. Any decision of not following the majority can be explained by the content of the movie. Thus, the analysis of the three meanings of the posters may reveal some key information of the movie, thus intrigue the viewers into the story of the characters.

Regarding the theoretical framework, Visual Grammar, with its well-structured system, provides a powerful tool to break visual images into different elements and construe their meanings. However, the procedure of analysis shows that at some stages, the classification is not clear and simple as stated in the theory. The interpretation of visual images is subjective, complex and flexible, thus cannot be easily codified into technical terms. This finding suggests that there might be a need for an

adjustment of the framework to make it easier to be put into practice.

The present study has, to some extent, shown the importance of movie genres in the choice of visual elements. As the posters are strongly influenced by the movie content, the application of Visual Grammar into the analysis of posters in different movie genres may result in different findings. Therefore, further studies may choose samples of different genres to examine the relationship between genres and multimodal construction.

Source of Posters

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Appendix

15 Samples of the Present Study



Figure A1: Poster of *My Big Fat Greek Wedding* (2002)

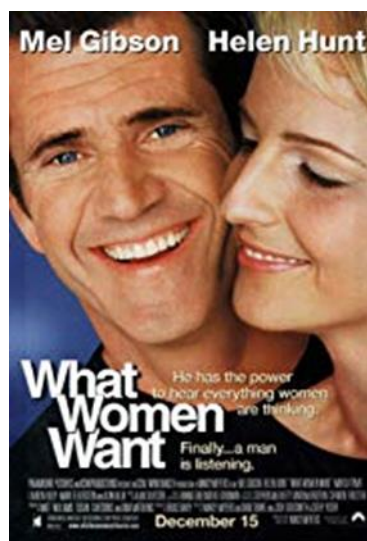


Figure A2: Poster of *What Women Want* (2002)



Figure A3: Poster of *Hitch* (2005)

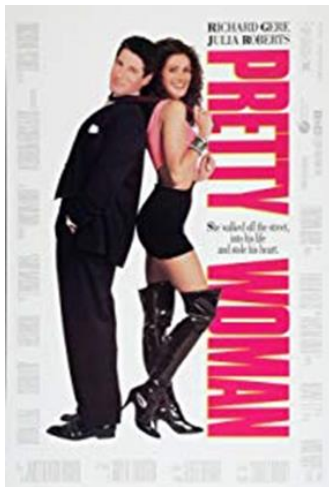


Figure A4: Poster of *Pretty Woman* (1990)



Figure A5: Poster of *There's Something About Mary* (1998)



Figure A6: Poster of *Crazy Rich Asians* (2018)



Figure A7: Poster of *The Proposal* (2009)

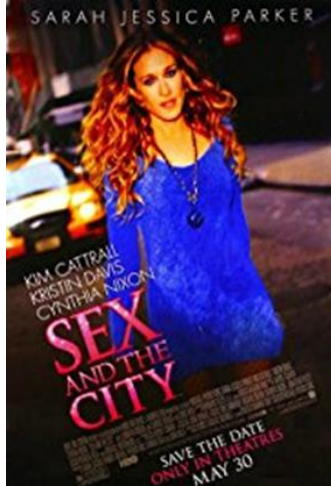


Figure A8: Poster of *Sex and the City: The Movie* (2008)

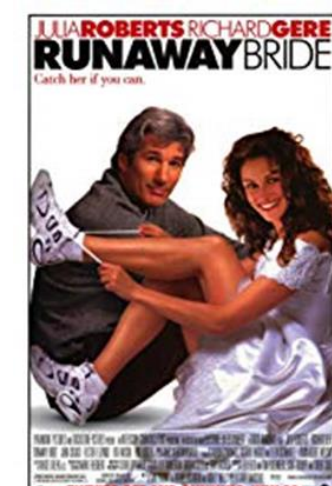


Figure A9: Poster of *Runaway Bride* (1999)



Figure A10: Poster of *Knocked up* (2007)



Figure A11: Poster of *As Good as It Gets* (1997)



Figure A12: Poster of *Bringing Down the House* (2003)



Figure A13: Poster of *Silver Linings Playbook* (2012)



Figure A14: Poster of *Coming to America* (1988)

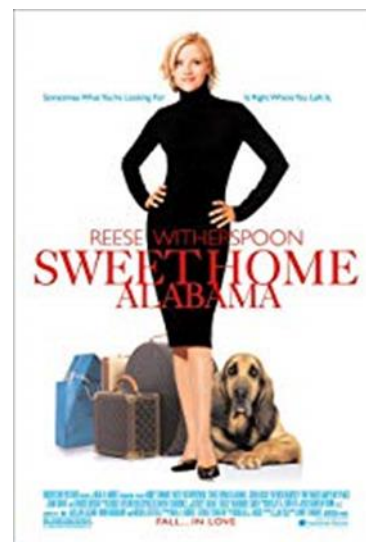


Figure A15: Poster of *Sweet Home Alabama* (2002)

PHÂN TÍCH HÌNH ẢNH TRONG CÁC POSTER PHIM HÀI KỊCH LÃNG MẠN SỬ DỤNG PHƯƠNG PHÁP PHÂN TÍCH ĐA THỨC

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Tóm tắt: Phương pháp phân tích đa thức (multimodal discourse analysis) là phương hướng nghiên cứu diễn ngôn mới xuất hiện trong những năm gần đây, tương đối nổi bật và phát triển với tốc độ nhanh. Theo lý luận của phương pháp này, ý nghĩa trong văn bản không chỉ giới hạn ở hệ thống ngôn ngữ mà còn phụ thuộc vào ảnh hưởng và tác dụng tương hỗ của các kí hiệu đa phương thức như tranh ảnh, âm thanh, màu sắc. Nghiên cứu này ủng hộ lý luận trên bằng việc phân tích các poster chính thức của 15 bộ phim hài kịch lãng mạn có doanh thu lớn nhất trong những năm gần đây. Dựa trên khung lý thuyết của Kress và Van Leeuwen (2006), nghiên cứu chỉ ra điểm giống và khác giữa các poster này trong cách sử dụng hình ảnh để tạo nghĩa và đạt mục đích quảng bá của poster. Kết quả nghiên cứu không chỉ tìm ra các xu hướng chung trong thiết kế poster phim mà còn kiểm chứng hiệu quả thực tế của khung lý thuyết này trong việc phân tích các văn bản đa thức.

Từ khóa: phương pháp phân tích đa thức, poster phim tình cảm

AMERICAN GENERAL ELECTION 2020: WHY TRUMP FAILED AND WHAT TO EXPECT FROM BIDEN?

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Abstract: The failure in the US election 2020 has ended the former US president Donald Jr. Trump's efforts in "making America great again". This article looks at the gains and losses to the USA during his heated time in the office, seeking for the reason for his failure in the general election and forecasting short-term visions of this powerful nation under the newly-elected Joe Biden's presidency. The results from this discussion paper has shown that the former US president Donald Jr. Trump set off his office term impressively but the final year stopped his progress and even erased most of his efforts with unexpected incidents. The candidate from the Democratic Party, Joe Biden was therefore supported greatly by both the people and the "right time" to get into the White House without much difficulty. However, in regard to the contemporary international and domestic situations, the USA under the newly-elected president Joe Biden's leadership is expected to confront a considerably hard time in the next four years. As a large-scale economy, the USA's influences and effects on other countries around the world deserve to be examined more carefully than ever.

Key words: Trump, presidency, US election, 2020, politics, Joe Biden

The appearance of Donald Jr. Trump was remarkably marked with his success in the American General Election 2016, when a businessman more than a politician confronted Hillary Clinton - the former First Lady with extraordinary self-built power, experience and external support - to be seated in the White House on the most influential seat. His office term had started impressively as he rapidly proved the world that he was serious in most of his declarations. Jobs had been created more than ever in the first two years of his term; the living standard of most Americans had been improved and the whole economy of the nation had been witnessing a great deal

of moving up. In 2018 Trump started his "trade war" against China – this has been also the first time the World has seen an America with clear, straightforward and consistent strategies towards this rising populated country. However, together with these aggressive steps against the growing up giant of the Chinese, Trump did lose some close friends in the political circle due to his inappropriate manners and tweets. But the losing was not really significant compared with his achievements until the end of 2018, as his biggest opponent – China – had to concede in most reactions towards the American. If the situation had continued in this way, the second term of his office as

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the US President would have been ensured. But then the covid-19 pandemic broke out at the end of the year 2019 and somehow only this plague was enough to stop him from almost any movement. The year 2020 can be considered as a year of significant impacts and memories to the world. Together with the wide-spreading of the pandemic Covid-19, the US national election 2020 has left permanent markings on that powerful country's history and influential effects on the world's politics. Contrary to a great number of scholars and politicians' expectations, the confrontation between the two most potential candidates, namely Donald Trump and Joe Biden, was not as fierce or durable as it was already forecast. The victory had come upon the Democratic candidate much sooner than expected. Joe's success somehow originated from Trump's weakening during the Covid-19 year and the democratic wise strategies to fight back the Republic. This result of the US election 2020 can also be traced back to the accomplishments and failures during Trump's first presidential office term. This article is aimed at outlining some of Trump's accomplishments and failures during his time in the White House and seeking for some plausible explanations for his "unexpected" failure in the General Election 2020 when his rival this time is a man being older in both age and experience too.

1. Accomplishments and Failures During Trump's Presidency of 2016-2020

Recently a number of scholars have been investigating the gains and losses to the Americans in Trump's time in office. The arguments vary from a small to a large extent with different perspectives and beholders' viewpoints. On the one hand, some authors like Michael Dimock and John Gramlich (2021) concentrate on spiritual or conceptual values of Trump's legacy such as (1) the

partisan and division among the Americans; (2) the distrust in media and the wide spreading of fake news; (3) concerns over American democracy; (4) the returns of racial conflicts and inequality; (5) a redefinition of public health and economic crisis. On the other hand, others just outline and summarize the facts on Trump's legacy with definite data and give the audience the freedom to make any inference themselves about the former US president's abilities. After a great deal of consideration, the authors of this article agree that John Haltiwanger's summary of the former US president's accomplishments and failures (2021) may be one of the best ones.

According to Haltiwanger (2021), Trump's biggest accomplishments include: (1) reshaping the federal judiciary: 3/9 Supreme Court justices were appointed during Trump's office time and 226 judges to the federal bench, exerting an influence on the direction of the US many years later; (2) strengthening the American army with a newly-built Space Force: with \$738 billion defense spending, Trump had established the sixth branch of the national Armed Forces; (3) tax reform: The corporate tax rate has been decreased to 21% from 35%; (4) First Step Act: Trump put First Step Act into effect in December 2018. It can be considered the first legislative victory after many years advocating to reform the criminal justice system; (5) initial defeating IS caliphate: After a five-year effort led by the US, IS caliphate was initially on the way of being defeated in March 2019; (6) Trump somehow had raised the dominant stand slightly higher on the world's politics through the US-China trade war. This is the first time in the 21st century has this nation proved its influence so strongly and also the first time it has clarified its strategy towards

the rising of China. The world has witnessed “an American great again” at least under the light of this trade war.

Still according to Haltiwanger (2021), the list of most obvious failures by Trump include: (1) poor dealing with the case of George Floyd; (2) America's global image is in shambles (when he decided to withdraw the USA from the Comprehensive and Progressive Agreement for Trans-Pacific Partnership – CPTPP, the climate change program of the Paris Agreement, the WTO, and his reactions to Corona pandemic, his “unsuitable” manners when meeting the UK’s Queen, etc.); (3) family separations and the deaths of migrant children: Trump's "zero tolerance" policy on illegal border crossings was claimed to cause the separations of at least 5,500 families and children’s being placed in cages in 2018; (4) causing the chaotic situations in Iran (with the decision of withdrawing the American from the 2015 nuclear deal), Syria (withdrawing his troops out of this country in the late 2019), and Afghanistan (with his intention to withdraw the American troops from this country); (5) replacing the Affordable Care Act (or the Obama Care); (6) impeachment: Trump has been the only president in US history to be impeached twice; (7) COVID-19 pandemic: He lost a great deal of confidence among the Americans due to his poor reactions and careless speeches towards the most widely spread pandemic of the two first decades of the 21st century; (8) the US economy: Coronavirus lockdowns in early 2020 led to a high rate of unemployment (7.9% during February to April), a large reduction in the consumer spending and the highest national debt since the World War II. And the US economic growth was -3.5% in 2020; (9) damaging democracy.

Of the two above lists, it is easily noticeable that the losses or failures have outnumbered the gains by Trump’s

administration. It is also a common conclusion by most prestigious political journalists, scholars and writers worldwide. The figure named “Trump’s numbers” below can be considered another summary of Trump’s legacy with numbers and figures.

Figure 1

Noticeable Figures Reflecting Trump’s Achievements and Failures During His First US Presidential Term (Jackson, 2020)



2. Analysis of Trump's Policies That Leads to His Failure in 2020 General Election

From the above figure of "Trump's numbers", some of the most noticeable facts about Trump's policies during his office terms are as follows:

- Increase security for the people with the murder rate, US-Mexico border apprehensions and gun production all decreased (-5.7%, -12.9%, and -35.2% respectively). But the incidents of Charlottesville and George Floyd being shot by the police has destroyed nearly all his efforts.
- Eradicating poverty and the number of people receiving food stamps witnessed progress (-1.6 point and -12.6%) but the number without medical health care insurance decreased (7.1 million).
- US reaction to the worldwide corona pandemic has been criticised as slow and ineffective. The noticeable aspect here is also the fact that this pandemic just broke and spread out quickly in the final year of Trump's office term.
- Despite the fact that real weekly earnings and median household income increased (7.1% and 6.2%), the unemployment rate rose, too (7.9%), which is said to be so due to the collapse of the economy during the break-out of the covid 19. Meanwhile Americans lost 3.9 million jobs and the consumer price index went up to 6.8%. In the end of his time, the federal debt held by the public increased to 46%.

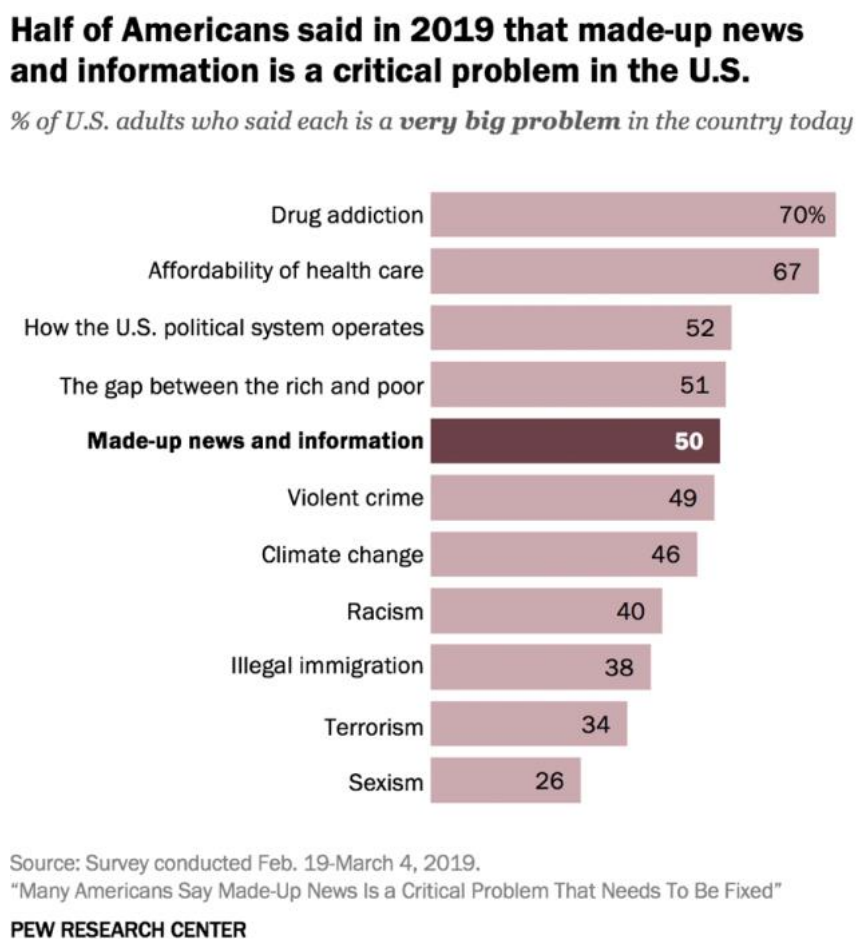
Similarly, his most noticeable foreign relation policies include: His failure in the negotiations with both Iran and North Korea heated the conflicts and suspicions of those countries. His lack of skilful and elegant manners at the international conferences and meetings made his allies unhappy and even embarrassed. His stubbornness and separating attitudes from international organizations and agreements such as the WTO, the United Nations and the Kyoto Protocol further isolated himself and the whole USA from the outside world. Especially, the trade war between the USA and China started by Trump in 2018 has not gained any victory yet to the US as expected. At the end of 2020, while China still maintained a positive growth rate (3.2%), the USA has been recorded as having one of the slowest economic progress times in its history (-3.5%).

Examining Trump's effects of domestic policies, we have to admit that the first three years of his regime had sailed through impressively, given the fact that the President did not have any official training or professional experience previously related to state management or political jobs. But he had managed bunches of tasks with admirable durability and courage. But the year 2020 had stopped his running up for the second term of the US presidency when the corona pandemic broke out and destroyed the world as well as the US economy.

Moreover, if we look at the worries and concerns among US citizens during his time as illustrated in the graph below, we can see that they are now worrying about the political system's operations more than other dangers of illegal immigration or terrorism.

Figure 2

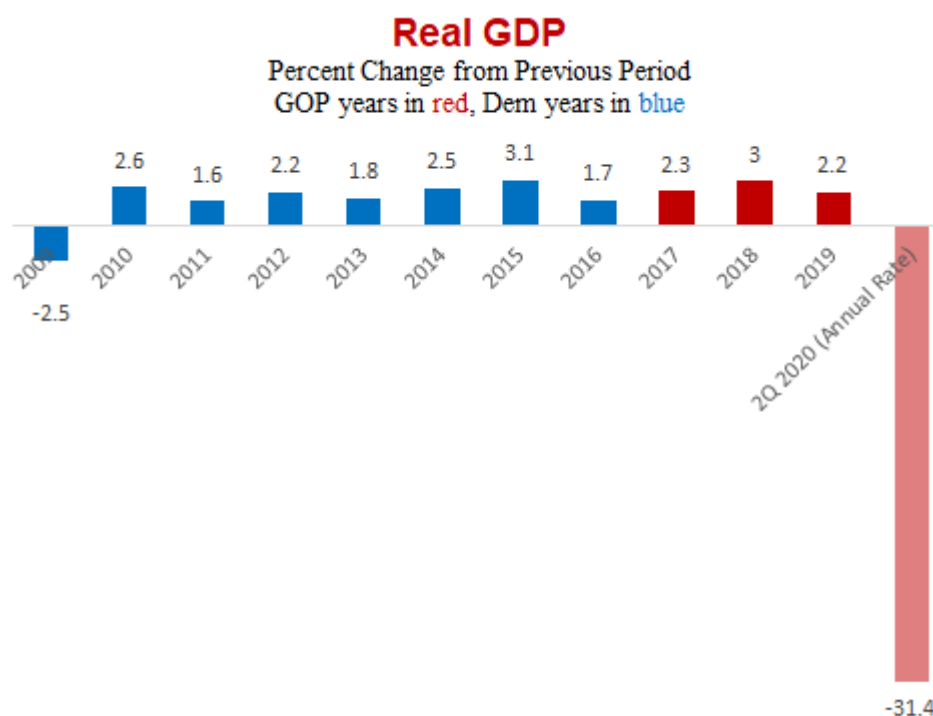
Problematic Issues as Viewed by the Americans in 2019 Under Trump’s Ruling Government
(Dimock & Gramlich, 2020)



Contrary to what the public and politicians often think of Trump as a talent in economic management jobs, the USA during his term did not witness any triumphant records of growth in this aspect. The first three years’ economic growth of 2017-2019 fluctuated from 2.2%-3.0%, not better than the peak of 3.1% in 2015 under the former president Barack Obama (see the diagram on Real GDP 2009-June/2020 below). The first two quarters of 2020 in Trump’s time witnessed the growth plunge

to the irrational low of -31.4%.

According to Mandelbaum (2014), financial strengths contain in themselves typical political capacities: conspiring or planning must derive first from the roots of economy; but whether the plan thrives or not all depends on political strategies. Looking at Trump’s situation just before the election 2020, it is obvious that he did not have enough supportive economic strength needed to win.

Figure 3*Real GDP of the USA – Percent Change From 2009 to 2019 (Jackson, 2020)*

Growth under Trump has fallen far below the 4% to 6% per year that he had promised repeatedly, both when he was a candidate and also as president. The disillusionment he caused among the Americans in this aspect alone has been enough to push him far away from the second presidency of this nation.

3. The Victory in the 2020 General Election by Joe Biden and the Prospects of the USA in His First Presidential Term

The Straits Times (2020) listed five reasons why Joe Biden, at the age of 78, had defeated Donald Trump Jr. to become the US 46th president. They include: (1) Covid-19, which is considered to appear and make it the “right time” to dump nearly all of Trump’s previous efforts and accomplishments; (2) less-is-more campaigning, when Joe concentrated on a more leisure schedule of visiting important states and giving speeches than Trump – who liked to show off himself

as an inexhaustible man with frenzy working timetables; (3) anyone but Trump, which turns the election into a referendum towards the question of Trump’s role and position as the leader of such a powerful and prestigious nation; but at the same time this strategy aimed at portraying Trump as a man making large holes and gaps among the American; 4) stay in the center, when he appeared as a “healer”, not “destroyer” as Trump. Also, he attracts the audience and media towards himself and his family as an average American worker with a stable family, not his coming government or his Democratic Party; 5) more money, fewer problems, when he promised to spend more money on the general public, not just one or two tasks or missions as Trump, who had spent too much money on the Armed Forces. Also, his fund raising campaign had earned US\$180.7 million in total in August 2020, compared with just US\$121.1 million collected by Trump’s in September.

It is noticeable that the experienced man Biden of 47 years working in the US political arena has exploited all of the opponent's weaknesses to fight back. The strategies here seem simple but effective: first, exploiting the weakness of the opponent; second, raise him up to meet the expectations of the US men. Of the five main strategies mentioned above, there is only one aiming directly towards Trump (Strategy Number 3) and one polishing Joe Biden himself at the central position (Strategy Number 4) but all the three left more or less portraying Joe and his main opponent in the somehow contrasting standings. When the American have been tired and bored with Trump's boiling tempers and careless tweets, Joe Biden has taken the advantage to become a more desirable image in his voters.

Last but not least, the outbreak of the corona pandemic in late 2019 had a tremendous impact on Trump's administration capacity during the last important final year of his term. It destroyed nearly all his earning points before the election, from the aspects of jobs created, employment rate to the growth of the economy in general. Without the pandemic, it had not been so easy for Joe to overcome him and his staff. Once again, it is necessary to emphasize that Biden has been given a golden time to defeat such an adamant man of Donald Trump.

4. The Forecast of America Under Joe Biden's Administration

The USA and the world have suffered from a hard time, a period of "sickness". And as the image of the healer that Joe Biden had always tried to portray during the election 2020, he is stepping into the office of the 46th US president with a number of healing jobs, both domestically and overseas.

Towards the domestic problems, Biden is aiming at narrowing the gaps

between political parties and races or religious groups of the country. He is once again in a good position to do so when his Democratic Party has gained control over both the Senate and the Congress in late 2020; and his vice president is an intelligent black woman – an unprecedented phenomenon. Another of his priorities will be the eradication of the covid-19 pandemic; therefore he may reset the US relationship with the WTO and other health care systems to fight back this plague. In the long run, public health care will still be his first and foremost priority. In order to push up the economic growth, a package of economic relief valued at 2,000 billion US dollars has been considered and disbursed generally with the recovery of different branches in the nation's economy.

For overseas and international matters, Joe Biden may not be too hurried to take full care of them as his country's domestic situations have not been stabilized yet. But his cabinet will take one eye on the most urgent jobs such as re-connecting with the alliances to fight back the covid-19 pandemic worldwide. He has promised to reconsider joining into the CPTPP agreement and also the Paris Agreement. His reactions towards the trade war started by the former US president in 2018 have been forecast as no less heated or deterrent than his predecessor; however Joe may adopt a softer voice and more skillful diplomatic manners towards the related tasks.

In short, Biden and his government will try to solve domestic problems before reaching their arms overseas. In regard to the comparative weakening of the US recently, his first presidential term may be a struggling time with home land matters. Therefore, on the international arena, the US position is going to suffer from slightly lowering than before. But with such an experienced and calm man, the Americans may get stronger little by little to maintain their dominance until the half end of his term.

As a large scale economy with tremendous influences on the world's markets, Vietnam may find its chance to widen their participation into the USA in Biden's time. A friend in need is a friend indeed – as the saying goes – Vietnam should prove to be a reliable partner to the US as in the short run, this powerful country is still exerting strong impacts on nearly all aspects of the international relationships. With the support and cooperation from Americans, the progress of Vietnam is expected to be smoother.

In conclusion, Trump's failure in the US general election 2020 can be largely due to his too challenging style of state management and the "golden time" of Covid-19. Joe Biden's victory in the election mainly comes from the democrats' skillful strategies to a weakening opponent. However, the coming years seem embedded with a great number of difficulties and hardship to the newly-elected US president as well as his cabinet. Vietnam should take a chance to prove its friendliness to that influential nation with the aims of better living for both citizens of the two countries and mutual cooperation towards the world's peace and development.

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BẦU CỬ TỔNG THỐNG MỸ 2020: VÌ SAO TRUMP THẤT BẠI VÀ CHÚNG TA CÓ THỂ MONG CHỜ ĐIỀU GÌ TỪ BIDEN?

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Tóm tắt: Thất bại trong cuộc bầu cử tổng thống Mỹ năm 2020 đã đánh dấu sự chấm dứt các nỗ lực của Cựu tổng thống Mỹ - ông Donald Jr. Trump trong việc 'làm cho nước Mỹ vĩ đại trở lại'. Bài nghiên cứu này muốn tìm hiểu về các thành tựu cũng như tồn thất của nước Mỹ trong suốt nhiệm kỳ đầy sóng gió của ông, tìm hiểu về lý do cho thất bại của ông trong cuộc bầu cử và dự đoán về tương lai của quốc gia hùng mạnh này dưới nhiệm kỳ của tổng thống mới được bầu chọn - ông Joe Biden. Kết quả của báo cáo thảo luận này cho thấy cựu tổng thống Mỹ - ông Donald Jr. Trump đã bắt đầu nhiệm kỳ của mình một cách đầy ấn tượng, tuy nhiên những thành tựu, nỗ lực ban đầu này đã không được duy trì trong năm cuối, thậm chí còn gần như bị xóa bỏ sau một loạt các sự kiện bất ngờ. Ứng cử viên của đảng Dân chủ, ông Joe Biden, do đó đã được sự ủng hộ lớn mạnh của người dân cũng như tận dụng được 'thời điểm phù hợp' và đã giành chiếc vé vào Nhà Trắng một cách dễ dàng. Tuy nhiên, trong bối cảnh quốc tế và quốc gia hiện nay, nước Mỹ dưới sự lãnh đạo của tổng thống Joe Biden sẽ phải đối mặt với một khoảng thời gian khó khăn trong bốn năm tới. Là một nền kinh tế lớn, các ảnh hưởng và tác động của nước Mỹ tới các nước khác trên thế giới cần được nghiên cứu, đánh giá kỹ hơn bao giờ hết.

Từ khóa: Trump, nhiệm kỳ tổng thống, bầu cử Mỹ, 2020, chính trị, Joe Biden

NAVIGATING “PRAXIS SHOCK”: DISENTANGLING AN EARLY CAREER TEACHER’S EMOTIONS AND ACTIONS IN ORGANIZATIONAL SOCIALIZATION THROUGH A MICROPOLITICAL LENS

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Abstract: In the present research, we seek to study the process of organizational socialization of early career teachers (ECTs) through a micropolitical lens that focuses on the issues of power, control and influence as part of the ECTs’ sense-making of and acting in their job. By means of a case study with a beginning Vietnamese university teacher, we attempt to answer two questions: (1) what sorts of emotions does the ECT experience in her organizational socialization, and in challenging micropolitical situations in particular? (2) what kinds of action does the ECT employ in such situations? The research material consists of three narrative interviews within one academic year. The findings highlight the importance of the micropolitics of the school as an organization and the multiple emotional dimensions that are present when ECTs strive to reconcile the school micropolitics with their own beliefs and values as teachers. Along with that, the research contributes knowledge about how ECTs learn to negotiate challenging micropolitical situations using diverse types of micropolitical actions. Implications are also proposed with regard to teacher training and induction.

Keywords: micropolitics, early career teachers, emotions, micropolitical actions

1. Introduction

The induction phase for *early career teachers* (ECTs, also called *beginning teachers*) is generally characterized by their constant search for a professional self and reflection on their motives for becoming a teacher (Beauchamp & Thomas, 2009; Day et al., 2006; De Vries et al., 2014). This period, however, has also been associated with specific challenges and complexities, provoking a form of “praxis shock” (Gold, 1996; Intrator, 2006; Kelchtermans & Ballet,

2002a, b; Veenman, 1984; Wideen et al., 1998), which is their “confrontation with the realities and responsibilities of being a classroom teacher that puts their beliefs and ideas about teaching to the test, challenges some of them, and confirms others” (Kelchtermans & Ballet, 2002b, p. 105). Whereas the technical dimension of teaching (i.e., knowledge and skills) has been extensively investigated with regard to ECTs’ induction period, there have been scant attempts to unravel the cultural and structural working conditions

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(micropolitics) that they are confronted with (Kelchtermans & Ballet, 2002b).

As ECTs enter the teaching profession, they also become members of an organization. The organizational socialization of ECTs constitutes an essential task for teachers as much as their classroom teaching (Kelchtermans & Ballet, 2002b). This process of socialization, according to Kuzmic (1994) and Zeichner and Gore (1990), is an interactive and interpretative process between the new teacher and the context. Not only are ECTs influenced by the context, but they also affect the structures in which they are socialized. While trying to adapt their professional beliefs to the socializing forces within the school culture, they also attempt to defend existing professional beliefs that they value and wish to maintain (e.g., Loughran et al., 2001; Mesker et al., 2018). In the present research, we seek to study the socializing process of a beginning teacher with a view to exploring the emotions and the actions that she employs in her organizational socialization, particularly when facing structural challenges. Through a micropolitical lens, we focus on the issues of power, control and influence as part of the ECT's sense-making of and acting in their job. In brief, we attempt to answer two questions:

- What sorts of emotions does the ECT experience in her organizational socialization, and in challenging micropolitical situations in particular?
- What kinds of action does the ECT employ in such situations?

2. Literature Review

2.1. *Micropolitics in Teacher Induction*

When looking at the induction period and the key players within the school as an organization, we cannot help but adopt a micropolitical perspective in order to

understand these processes of socialization and professional development. ECTs, when embarking on their teaching career, hold certain normative ideas about what constitutes desirable or necessary working conditions for them to do a proper job as a teacher (Kelchtermans & Ballet, 2002a, b). At the same time, they become part of an organization that lives by certain traditions and more or less subtle power relations between members with different interests. The ECTs are thus confronted with a micropolitical reality in their socialization process (Kelchtermans & Ballet, 2002b).

The micropolitical perspective takes the idea of different interests among members of an organization as a central focus (Ball, 1987; Blase, 1991, 1997). According to Hoyle (1982), “[m]icropolitics embraces those strategies by which individuals and groups in organizational contexts seek to use their resources of power and influence to further their interests” (p. 88). Power and influence, in this sense, include conflict, tension and rivalry, but they also involve collaboration and coalition building in order to attain shared, valued goals (Blase, 1991). The micropolitical perspective, hence, deals with a natural phenomenon in the functioning of any organization, where micropolitical processes occur as a result of internal as well as external interactions of its members (Ball, 1994). From this perspective, the functioning of the organization members is largely determined by the desirable or necessary work conditions, constituting professional interests. When these conditions are absent, threatened or abolished, ECTs will engage in micropolitical activities aimed at establishing, safeguarding or restoring them (Curry et al., 2008; Kelchtermans & Ballet, 2002a, b; Vanderlinde & Kelchtermans, 2013).

Kelchtermans and Ballet (2002a, b) identified five categories of professional interests. First, the *self-interests* refer to

interests related to teachers' self-understanding and their beliefs about themselves as teachers. As such, these interests mainly have to do with looking for self-affirmation, coping with vulnerability and with the visibility in their job. The second category involves *material interests*, which encompass issues concerning the availability of and teachers' access to teaching materials and resources, infrastructure, or time. The third category, *organizational interests*, is related to teachers' role, position, and structural conditions. In the case of early career teachers, these interests may incorporate, for example, the job description or contract terms, which are related to getting and keeping employment. The fourth category comprises *cultural-ideological interests*, which are the shared normative ideas about good education and the school's mission. These interests often come into play when there are discrepancies between the teacher's own task perception and job motivation and the dominant culture in the school, or when they have remained in the school for a relatively long period of time. Finally, the *social-professional interests* are about the interpersonal relationships in and around the school as an organization, which also include those with students' parents. Since good professional relationships are important, in their interactions, teachers will be selective, establish preferences for some fellow teachers, keep others at a distance, and be strategic in seeking people who best support their job (Baker-Doyle, 2011).

2.2. Emotions and Actions Through a Micropolitical Lens

Emotions have been increasingly recognized in studies on teachers' work, self-understanding, commitment, well-being and exhaustion (e.g., Jokikokko et al., 2017; Lassila, Jokikokko, et al., 2017; Lassila, Timonen, et al., 2017). The topic of emotions is highly relevant in research on

teacher socialization, given the fact that ECTs do not simply slide into an existing context but they also actively interpret and interact with the context (Kelchtermans & Ballet, 2002b). Thus, emotions are not merely teachers' private experiences, but are products of meaningful interactions between teachers and their working conditions (Zembylas, 2007). When teachers feel strongly about something, the feeling most likely means that it is significant and meaningful to them (Zembylas, 2007), and actions are oftentimes triggered accordingly (Jokikokko et al., 2017). From a micropolitical perspective, recognizing the structural context of the school enables us to better understand these emotions and actions, as we delve into how school organization, politics and culture inextricably intersect with the teachers' personal values, beliefs and qualities.

Previous research on micropolitics in teacher socialization has explored some of the ways ECTs make use of political actions to safeguard their interests and deal with challenging situations in the workplace. Blase (1988) identified that when teachers' beliefs, values and goals and those of the administrators, faculty, parents and parents conflicted, their response would most likely be to protect themselves from others and to proactively influence others. The resulting micropolitical strategies that he identified could be put on a continuum from reactive to proactive strategies, including *acquiescence*, *conformity*, *ingratiation*, *diplomacy*, *passive-aggressiveness*, and *confrontation*. Whereas reactive strategies aim at maintaining the situation or protecting the teacher against changes or external factors, proactive strategies are geared towards improving the situation and impacting the circumstances. *Acquiescence* refers to overt conformity and adherence to the wishes and commands of others. This response is usually elicited by external, often illegitimate influences and is typically

accompanied by extreme negative emotions. *Conformity* is similar to *acquiescence* in its protectionist concerns, usually linked to compromises made by teachers in order to stay afloat. However, unlike the former, the latter is not so often associated with strong negative feelings. Next in the continuum is *ingratiation*, which emphasizes reciprocation (i.e. exchanging favors), influencing others, and which is normally accompanied by negative emotions. Blase (1988) put it another way that this technique is intended to "flatter" or "brownnose" another in order to defend oneself and achieve one's goals. The technique of *diplomacy*, on the other hand, appears to represent a balance between protection and influence, is usually employed with tact, politeness, friendliness, positivity, and empathy for others in mind, and is often correlated with positive emotions. On the more reactive end of the continuum are *passive-aggressiveness* and *confrontation*, both of which are aimed at influencing the situation. The former employs indirect, covert, and "devious" methods to discredit the acts of others, whereas the latter usually involves directness, frankness, and honesty, and is generally driven by strong personal or professional values/ethics.

Kelchtermans and Ballet (2002b), while recognizing Blase's action strategies in their definitions, argued that the different variants of micropolitical actions have to be understood as cyclical or iterative, rather than as positions on a continuum. Actions to restore lost working conditions are, for example, reactive in goal and direction of action, but they imply proactive strategies that aim at improving the situation. They therefore suggested that in reality micropolitical action can take a variety of forms: talking, pleading, arguing, flattering, being silent and avoiding comments, avoiding taking sides, accepting extra responsibilities, changing the material working conditions, using humor, and so on.

A simple inventory or list that summarizes all micropolitical strategies and actions is not relevant, if not possible, because any action may become micropolitically meaningful in a specific context (Blase, 1988, p. 11). To illustrate, they profiled the "political" learning process of a beginning Flemish schoolteacher in which he learned to employ a variety of political strategies under different circumstances (see Kelchtermans & Ballet, 2002a). In order to get a job, the teacher made himself "visible" by actively self-marketing, leaving a good impression about his professional qualities. When coping with structural power, he made use of proactive strategies, confronting the stakeholders. When trying to position himself within the school team during his short interim contract, he chose to keep an emotional distance, standing aloof from his colleagues. When things did not go as expected, he looked for and concentrated on other comforting aspects of the situation to maintain a satisfying balance of the positive and negative aspects.

Other more recent studies that focused on the reactions of early career teachers in extreme micropolitical circumstances have shown that some may become cautious and withdraw, while others see these obstacles as learning opportunities that open up room for professional growth (Bullough, 2009; Kelchtermans, 2005). Hong (2012) revealed how ECTs who remained in the field after the first years established emotional boundaries that helped them avoid making their perceived professional problems personal. In their case study of a Finnish secondary teacher, Jokikokko et al. (2017) demonstrated how both proactive and reactive micropolitical strategies were employed in maintaining and changing challenging situations. Lindqvist et al. (2020), on the other hand, investigated conflicts as a particular aspect of school micropolitics, suggesting four major sets of coping strategies common among the

participants, including collaboration, conformity, influencing, and autonomy. Through the micropolitical lens, a more nuanced understanding of the process of teacher socialization is created, explicating how emotions and political actions arise as a result. In the context of Vietnam, however, to the best of our knowledge there is currently no research on the emotions and micropolitical behavior of beginning teachers in the socialization process from the perspective of micropolitical theory. To fill this gap, this paper examines how the process of socialization that a beginning teacher in Vietnam experiences in their induction triggers emotions and micropolitical actions accordingly.

3. Research Design and Methodology

The central focus of our exploratory study is the early career teacher's experiences of the organizational socialization process during their induction, with a particular focus on their emotions and micropolitical actions. Therefore, a qualitative design was chosen, with a focus on a single case. The choice of case study is particularly suitable for "practical problems" because it is specific in focus (Merriam, 2009, p. 43), and has distinct advantages when it comes to answering the "how" and "why" questions (Yin, 2003). Narrativity forms the theoretical and methodological framework of the study. A narrative inquiry, with its "evaluative and explanatory value", will facilitate the meaning-making process between the researcher and the participant (O'Shea, 2014, p. 141), therefore enabling a deep exploration of the subject's perspective, emotions, experiences and construction of knowledge. In the study, narratives serve as both a research approach and a primary source of data. Story telling enables us to "understand the experiences and the way they are told, seeking clarity about both the events that have unfolded and the meaning that participants have made of

them" (Savin-Baden & Major, 2013, p. 231). As they are based on experiences, the accounts serve as mediating tools that contextualize emotions in broader social, cultural and political contexts (Riessman, 2008, as cited in Jokikokko et al., 2017).

The research's participant is a beginning university teacher, hereinafter referred to as Linh (pseudonym). At the time of the interviews, Linh was 22 years old and had just graduated from a bachelor's program in English language teacher education. She worked under a renewable one-year contract, teaching English for non-majors at a state university in Vietnam. Linh began her job two months before the new school year as a probationary teacher. As the school year started, so did her official contract. Her job mainly involved teaching English to first-year students of both the Advanced Educational Program (AEP) and the mainstream program. Her classes consisted of 30 to 50 students, all of whom were non-English-majored. The faculty where she belonged was a relatively small one, with 15 teachers. Also new to the faculty at that time were two other female teachers, who were the same age as her.

To capture the changes and processes in the participant's narratives, we conducted three interviews: the first one around the middle of her first semester, the second one at the beginning of her second semester, and the third one near the end of her second semester as a teacher. These are critical points in a school year, allowing the ECT sufficient time to reflect on the different events that have occurred during her socialization. The interviews had basically the same structure, with questions focusing on the participant's relationships at work, positive and negative events in her socialization, as well as her reflections of such experiences. However, the interview questions were also broad enough for the participant to be able to recount her experiences with their own plots, using her own words and choice of orders, so as to

ensure the nature of narrative interviews. The interviews were done within 60-90 minutes and audiotaped, with respect for privacy, i.e. the subject's beliefs, attitudes and opinions.

After verbatim transcription of the audiotapes, the interview protocols were coded in two cycles: initial and axial coding (Saldaña, 2015). By means of initial coding, we assigned open codes to the data, labeling the issues addressed in the text fragments. After that, in the process of axial coding, we compared and examined the relationships among the initial open codes, in order to group them into broader categories of codes. Once the coding was completed, we conducted a narrative analysis of the subject's experiences, using a holistic-content approach (Lieblich et al., 1998). Narrative analysis, as opposed to an analysis of narrative, uses a narrative form to frame data, and a plot to connect distinct experiences together and establish the context for understanding (Vanassche & Kelchtermans, 2016). By following the principles of a holistic-content approach, we analyzed all three interviews in the context of the whole story, detecting the themes relevant to the research questions and their development throughout the interviews. The inductive analysis of the data was done with careful reference to the conceptual framework (Kelchtermans & Ballet, 2002a, b), in such a way that the findings would be congruent with the literature. Afterwards, the interpretations were communicated with the subject so as for her to validate how her experiences were portrayed. The narrative, accordingly, was a co-constructed production resulting from the process of dialogue and negotiation between the subject and the researcher.

4. Results and Discussion

4.1. Results

Below, we present the findings of the study. The first section provides an overview

of the emotions experienced by the ECT in her organizational socialization (Research Question 1). In the next three sections, we present three anecdotes, through which the emotions and actions of the ECT in challenging micropolitical situations are demonstrated (Research Questions 1 and 2).

4.1.1. The Emotional Panorama of an Early Career Teacher: Joy, Bewilderment, and Frustration Amid Intricate Power Relationships

In the interviews, Linh spoke warmly of her students and showed her enthusiasm for the teaching job. From her first classes, she set out to engage with her students on a personal level, becoming a close mentor to many. The better she understood her students' circumstances, the more inspired she was to help them progress in their learning and personal development. From her close observations, she noticed that:

What seems to be their biggest disadvantage is their mindset, which I believe has largely been shaped by their social backgrounds. I mean, they typically underestimate their own potential and dare not think big, while in fact there are abundant opportunities out there at university if they know some English. But they are usually timid and thus shy away from the opportunities...

Her particular attention to students' difficulties may have stemmed from her previous experience of teaching practicum at a private school, where students were from well-off backgrounds and had ample possibilities for exposure to English. With her own pedagogical beliefs, Linh was keen to take care of individual students so that she could "know how they feel and offer them timely orientation." She was also eager to impart life lessons and teach them reasoning and social skills. Having been a dynamic student herself at college, she quickly

became involved in planning extracurricular activities, which she believed would help her students “make the most out of their student life.”

Whereas the word “excitement” characterizes Linh’s emotions towards her students and the teaching work, her interactions with the fellow teachers and the overall structural organization of the faculty so often caused her to feel conflicted, if not irritated. Being new to the job herself, she confessed to filling a considerable amount of time preparing her lessons. At the time of the interviews, she was responsible for about 36 to 40 class periods (30 to 33 hours of teaching) per week, which she already found daunting indeed. She reported feeling drained by the endless amount of lesson planning and extra-curriculum for the faculty’s English center that she was tasked with organizing. While recognizing that organizing extra-curricular activities was her asset and a good opportunity for her to become more well-rounded as a teacher, she felt that she was missing out on opportunities to hone her teaching skills, which were then her priority at work. In the second interview, she mentioned proposing a workload reduction to the dean, yet the response she received was “just find a way to minimize the amount of time you spend planning lessons until the side work is reduced” (“which was never reduced”, remarked she.) Although her workload remained the same, the conflicting feelings gradually got less intense as told in the third interview, as she came to realize that extra-curricular activities were just part of every faculty’s added values outside the teaching and learning indices in their mutual competition. Therefore, as a faculty member, she felt compelled to devote her time and effort for the sake of the organization.

There were, however, episodes linked to the “unwritten rules” in the faculty and some colleagues’ attitudes that caused Linh to feel annoyed. “When a task comes

from some particular people,” she said, “we are not supposed to say no.” Also recurring in her stories was her resentment being downplayed. Linh mentioned some older colleagues were dismissive of her competence, saying that she was “too confident while not performing up to [her] qualifications.” The fact that she was young and new to the workplace, hence, caused her to not only be assigned unreasonable tasks, some of which were not at all work-related, but also to be demeaned by colleagues who barely had the chance to know her personally and professionally. Throughout the interviews, Linh revealed her attempts to justify her own professionalism by proactively taking on a number of responsibilities at work. Although she was unsure about her colleagues’ change of attitude towards her, Linh believed that it was her rectitude and proactiveness that made a strong impression on the dean, who would then generally be listening to her views.

Several aspects relating to micropolitics can be observed in Linh’s stories. The faculty as an organization operated according to its own beliefs and practices, with its own priorities regarding what constitutes its strengths and competitiveness over the other faculties. The faculty members, including herself, were with their specific professional interests. Linh, as a beginning teacher, was to affirm her professionalism against her colleagues’ skepticism, while also seeking to struggle for her material interests in terms of time and resources. She strove to establish close, attentive working relationships with her students and the two fellow beginning teachers, and yet retained a rather wary stance towards some other colleagues who attempted to use their informal power to put her in her place. At the center of her socialization stories lie various emotions: excitement towards her teaching and students, confusion when it came to

questioning her own professional ideologies against the faculty's prevailing traditions, and annoyance when confronted with unreasonable tasks, ungrounded judgments, and in certain instances, the entire micropolitics of the faculty.

We further illustrate the micropolitical picture of Linh's induction by presenting three exemplary anecdotes chosen from the interviews with her. Through the anecdotes, aspects related to micropolitical actions in challenging micropolitical situations will be detailed.

4.1.2. Calls "From Above"

One week before the Lunar New Year holiday, I and the two other beginning teachers suddenly received a long document from one of the faculty's "core people". The document was his wife's, which obviously had nothing to do with our work. It was 80-page long in Vietnamese, and we were asked to translate it into English before the Lunar New Year. Since we had no other choice, we had to split the task among ourselves. Clearly, these were not part of my work requirements, but because they came from "certain people", I wouldn't be able to reject them. Anyway, I found it irrational and I felt really angry, but I couldn't help it...

This anecdote reveals an aspect of micropolitics concerning vulnerability, as Linh could not be in full control of the circumstances she had to deal with. The task was imposed on her, and although she found it irrelevant, she had to perform it nonetheless. The "more or less subtle power relations between (groups of) school members, with different interests" (Kelchtermans & Ballet, 2002b, p. 107) was made visible when some "certain people"

deliberately used their higher position as an excuse for making the beginning teachers do what is beyond their professional duties. Emotionally disturbed as she was ("I found it irrational", "I felt really angry"), she chose to reluctantly accept to do the task ("we had no other choice", "but I couldn't help it...") In this case, the micropolitical action that she chose to take is a form of *acquiescence*, i.e., overt behavioral compliance and obedience to the expectations/demands of others (Blase, 1988, p. 131). The demand that she was supposed to respond to was somehow illegitimate within the context of the workplace, leading to intense negative emotions as a result. Her choice of complying with the demand in the anecdote could be seen as her own way of safeguarding her organizational interests. In order to keep her employment, she chose to stay silent and act as requested, despite her unwillingness to do so. Silence, then, is both a micropolitical strategy (Kelchtermans & Ballet, 2002a) and a strategy of emotional labor (e.g. Liu & Zhang, 2014) when teachers must maintain composure when dealing with society's expectations and the repercussions the choices of action could take.

4.1.3. Learning by Shouting, or Not?

My faculty decided to cooperate with a language center, whose method of teaching, in my opinion, was quite problematic. Students who followed this method were asked to stand in class and recite memorized English texts aloud. They learned pronunciation using their hands and feet instead of transcription, and they were asked to get up early at 5 a.m. to run while yelling an English text aloud. Although this method seems to have helped some students become more confident when speaking English, I found that they were actually memorizing without

understanding what they were saying. I expressed my concerns about this teaching method with the teachers in my division. Although they agreed with the shortcomings of the method, they refused to voice their opinions to the faculty. After that, I was even more disappointed to know that the faculty had even purchased books and teaching software from that language center. “That was confusing indeed”, I thought; so I came to express my opinion with the dean but received no approval. He even asked me to work with that center in order to learn from their method and help build an English club for the faculty. I accepted the assigned task, but only to the extent that I would help them meet my students. Other than that, I deliberately chose not to follow their method. After a couple of weeks, as the dean noticed the disparity in our teaching viewpoints compared to the partner center, and seeing that I had frankly expressed my disagreement from the outset, he eventually agreed to take me off the project with that center...

In the above anecdote, the conflicts of cultural-ideological interests of the different stakeholders at the faculty were revealed. Linh certainly held her own pedagogical ideology when she challenged the validity of the learning approach introduced by the language center (“...they were actually memorizing without understanding what they were saying”). The dean, however, seemed to be in favor of this new technique, as he insisted that Linh learn it from the center and help build an English club together with them. From the position of a leader, it could be the case that his

emphasis on cooperation with the language center may have arisen from his wish to promote the image of the faculty by experimenting with novel methods and establishing partnerships outside of the university. Linh's colleagues, though in agreement with her about the learning method's dubious outcomes, remained quiet about their views. Meanwhile, she chose to approach the dean and talk directly about her concerns when her feelings got intense (“That was confusing indeed”, “I came to express my opinion with the dean”). When she was required to work with the center, which was against her will, she politely agreed to undertake the task, yet used her own power as a teacher to choose not to follow the method which she found problematic. In this instance, the micropolitical behavior she took seems to mirror a concern with both protection and influence. Motivated by a strong task perception and job motivation, she worked to establish more desirable working conditions. Although this implied confrontations, the way she handled the situation was with much tact and diplomacy.

4.1.4. Extracurricular Activities: Whose Extra Duties?

This semester [the second semester] we had a talent contest for students of the AEP of our faculty. Originally, Ms. Huong, one of our colleagues, was in charge of it. However, the date of the contest was approaching and nothing had yet been fixed, so in the faculty meeting, I raised some of my ideas. The dean seemed convinced, I guess, so he appointed me to lead the project together with Ms. Huong. Ms. Huong and I then discussed ways to extend the application deadline and turn the event into a large-scale one. We were really stressed not only about making

rules but also how to communicate with students so they wouldn't get confused by the changes. Most importantly, we needed to keep the image of the contest and the faculty with whatever decision we would make. I thought things were going well and "BOOM" – Ms. Huong told me that she would stop working at the faculty in a week's time to prepare for her study abroad. By that time, we had already been approved by the dean to expand the contest to students of the whole university and universities all over the city. Ms. Huong passed everything to me, and then I was the only one to take charge of the project! There were lots of things to do on the checklist, so I asked my colleagues to register to do them. Turned out, only the two other new teachers put their names on the list. Some teachers were doubtful about the plan and told me to be less ambitious, some said they were already too busy, and so they refused to take part in the organization of the contest. I didn't try to persuade them, though, but I decided to recruit 10 students from the AEP to run the event instead. We had about a month for the organization and I think everything went quite smoothly, from applying for sponsorship, designing backdrops and banners, sending out invitations, to handling all the logistics stuff, except that I felt totally exhausted. Three days before the event, the dean was taken aback to see my name and the two other new teachers' all over the checklist, without the participation of the other colleagues. He quickly assigned some of them to help us with the rest

of the preparation, and this time they joined us. Fortunately, our event went smoothly. The only sad thing I learnt was that he was pretty angry with the colleagues who refused to help out. I don't know if I should have done differently to involve them from the beginning...

The anecdote highlights the teacher's relationships with her colleagues. Based on Linh's description of the situation, it seems as though the other teachers in the faculty were not very cooperative in this particular event. When they were asked to register to take part in the event organization, the teachers seemed to show little trust to Linh as a team leader ("[s]ome teachers were doubtful about the plan and told me to be less ambitious"). In her previous interviews, Linh at times mentioned how some teachers were "a bit skeptical" of her professionalism. In all likelihood, they assumed Linh's ideas for the event would not turn out successful, considering the fact that it was her first time being a project leader at the faculty. Nevertheless, it appears that their lack of participation was due to their concern for time, i.e., a matter of *material interests*. This is seen to be a subtle, implicit micropolitical precept within the faculty, that organizing extracurricular activities falls mostly on the shoulders of beginning teachers. The older colleagues did not seem to be interested in participating, and in fact, they only did so at the behest of the faculty administrator.

While Linh was not quite supported by her colleagues, it was clearly evident from the anecdote how she actively took actions to handle the situation. Linh took the initiative in proposing ideas to the people with authority and voluntarily accepted extra responsibilities. Even when her colleagues refused to take part in the organization, she nevertheless stayed diplomatic by not attempting to plead with them, nor informing the administrator. Instead, she resorted to her

students to assist with the project, and despite being “totally exhausted”, she and the two other beginning teachers managed to handle the tasks satisfactorily. From the anecdote, Linh seemed to have learnt the unwritten rules of the faculty that extracurricular activities are expected to be beginning teachers’ duties. Although it is an indication of inequality between teachers, these tasks also appear as opportunities to demonstrate their capabilities (Jenkins et al., 2009). This explains how she on the one hand made visible the micropolitical rule of the faculty (proactive micropolitical actions), but on the other allowed the faculty to preserve its unwritten micropolitical rule by doing what was required of her (reactive micropolitical actions).

4.2. Discussion

In this section, we discuss our findings and situate them in the context of the existing literature on the micropolitics of teachers’ organizational socialization and the related emotions and micropolitical actions.

Linh, the ECT in our study, was in constant negotiation about how she should act as a teacher. While these kinds of negotiations are routine for teachers at the beginning of their career, they can be elevated in pressure-filled settings. In her interactions with different stakeholders in and outside the faculty (her students, colleagues, superintendents, and the faculty’s cooperative partner), Linh has gradually grasped the micropolitical implications in the job. This process of learning is understood as ECT’s development of *micropolitical literacy* (Kelchtermans & Ballet, 2002a), that is, when ECTs “learn to ‘read’ the micropolitical reality and to ‘write’ themselves into it” (p. 756). During this process, Linh underwent a mix of emotions. The initial excitement was gradually accompanied by feelings of disappointment,

confusion, sometimes even frustration or anger when confronting a challenging work environment. These kinds of emotions have been found common among early career teachers (Hebert & Worthy, 2001); however, on top of that, Linh maintained her enthusiasm towards her students and the teaching job throughout her first year as a teacher. Although her socialization process involved plenty of obstacles and her professionalism was challenged, she managed to address different situations with her own agency, incorporating different strategies and actions, finding a balance between micropolitics and her own ideals.

We identified major micropolitical actions on the basis of the subject’s proactive and reactive concerns. With regard to proactive concerns (i.e., establishing desirable working conditions), it was evident that Linh frequently took initiatives, making herself visible to the faculty administrator. In their earlier research, Kelchtermans and Ballet (2002a) also indicated how developing and maintaining contacts with prominent gatekeepers serves as a self-marketing strategy when early career teachers look for, as well as embark on their teaching job. In addition, she also made visible the culture and some of the unwritten rules in the faculty (e.g., faculties compete in a variety of aspects other than academic training, and extracurricular activities are expected to be beginning teachers’ duties). Her acknowledgement of the nature of these unwritten laws thus had an impact on her subsequent thoughts and behaviors. This is quite clearly an indicator that finding one’s position as a teacher in the faculty’s established micropolitical context is not just a passive adjustment but part of a process in which an early career teacher consciously interprets and interacts with the context (Beijaard et al., 2004; Kelchtermans & Ballet, 2002b). Linh’s third course of micropolitical action involves taking on more responsibilities at work, so as to look

for self-affirmation and recognition by colleagues and superintendents. These kinds of acknowledgement, according to Gold (1996), are important sources of positive self-esteem for early career teachers, which Linh in this case strove to establish.

Apart from her proactive micropolitical actions, Linh also employed actions that were geared towards reactive concerns (i.e., safeguarding or restoring desirable working conditions) when the situations got more challenging. First, she frequently had direct talks with the administrators – in this case, the faculty's dean. Although this approach did not always change the situations, it was a means of justifying her professionalism and thus safeguarding her material, socio-cultural, as well as self-interests. Being silent was her second frequently employed action when being exposed to intense situations. Silence, in this case, was not a sign of indifference to or ignorance of the workplace micropolitics. Instead, it demonstrated how the early career teacher began to develop her micropolitical literacy by being selective in terms of reactions. The silence had different meanings in different situations – a form of acquiescence when there were no other choices, but also a form of diplomacy when dealing with difficult, uncooperative coworkers. This “culture of silence” (Jokikokko et al., 2017, p. 68), seems to be common in the workplace, given the fact that failing to do so could threaten their position at work (Uitto et al., 2015). Finally, we identified an interesting kind of action, which we called “quiet opposition”. When, for example, a proposal of change was not agreed upon, the early career teacher would remain quiet on the outside but inside, she would react strongly by concrete behavior (e.g., accepting a task that was against her professional ethics, yet refusing to compromise by acting according to what she believed would be beneficial to her students).

5. Conclusion and Implications

5.1. Conclusion

Our study explores an early career teacher's experiences in the organizational socialization process during her induction period. Taking a micropolitical perspective, reflecting on Kelchtermans and Ballet's (2002a, b) five categories of professional interests, we attempt to make sense of the early career teacher's emotional reactions and behavior in her socialization, as well as in specific, challenging micropolitical situations. Over the course of one year, the ECT underwent a mix of feelings as a result of her various encounters with different stakeholders, on top of which she maintained a sense of enthusiasm towards her students and the teaching job. Through a micropolitical lens, her actions have also been explored on the grounds of both proactive and reactive concerns, reflecting her incremental development of micropolitical literacy as part of her socialization into the organization.

5.2. Implications

The results of our study present some implications for teacher induction research. In their induction, early career teachers are not just inductees who wait around passively, but they are also initiating participants. In the school's micropolitical climate where they work, teachers form emotions and adopt micropolitical strategies to help them negotiate intricate situations. Therefore, it is important that early career teachers be trained as “organizational persons” who possess the necessary skills to function in an organization (Friedman & Kass, 2002). These skills include “an understanding of organizational processes, communications within the organization, group decision-making processes, and most of all, the importance of equipping teachers with skills in informal aspects of relationships among colleagues, and the

capacity to deal with difficult social situations arising within the organization" (Friedman & Kass, 2002, p. 165).

Secondly, our findings indicate that early career teachers are not only those in need of support, but they also possess strong expertise and professionalism that can benefit other teachers as well as the organization as a whole. These findings are, in fact, in line with the present-day paradigm shift from the deficit/ remedial perspective which views them as lacking particular competencies and thus are in need of support to adapt to the norms and expectations, to more nuanced representations of early career teachers. Kelchtermans (2019), for example, proposed three alternative representations to frame early career teachers and their induction, including the early career teacher as an actor or agent, as a networker and as an asset. Taking a non-deficit approach, therefore, means acknowledging them as professionals who bring with them knowledge, expertise, and networks to contribute to the school's development.

Finally, in light of the micropolitical perspective, our study also suggests deeper investigations into the development of early career teachers' *micropolitical literacy* (Kelchtermans & Ballet, 2002b). Teacher education programs could integrate the *knowledge aspect* of micropolitical literacy – that is, acquainting students with “the necessary ‘grammatical’ and ‘lexical’ knowledge of processes of power and struggles of interests” (p. 117). To do so is to contribute to developing their self-efficacy, which will ultimately lead to increasing teacher retention.

5.3. Limitations

Our research is based on narrative interviews with a single case, with an intention of capturing the richness of the early phase in a teacher's profession. By focusing on the small anecdotes, we took into account the context and the historical

continuity of the story. However, given the exploratory nature of this kind of research, the heterogeneity of a quantitative method would also act as a triangulation to the quality of the data. Furthermore, we find that some comparison of experiences within the same school context, as well as between early career teachers across different settings is worthy of investigation. Finally, although we have limited ourselves to the study of a university teacher, we feel that it would be equally valuable to discover more about the experiences of schoolteachers, who constitute the majority of the teaching staff in Vietnam.

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VƯỢT QUA “CÚ SỐC VÀO NGHỀ”: KHÁM PHÁ CẢM XÚC VÀ HÀNH ĐỘNG CỦA MỘT GIÁO VIÊN MỚI TRONG QUÁ TRÌNH HÒA NHẬP THÔNG QUA LĂNG KÍNH CHÍNH TRỊ VI MÔ

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Tóm tắt: Nghiên cứu được tiến hành nhằm tìm hiểu về quá trình tham gia vào tổ chức của các giáo viên mới vào nghề thông qua lăng kính chính trị vi mô, tập trung vào các vấn đề quyền lực, kiểm soát và ảnh hưởng như một phần trong quá trình hiểu và hành động của các giáo viên mới vào nghề. Nghiên cứu đặt ra hai câu hỏi: các giáo viên mới vào nghề trải qua những loại cảm xúc nào trong những tình huống chính trị vi mô khó khăn, và họ đã sử dụng những loại hành động chính trị nào trong những tình huống như vậy? Tài liệu nghiên cứu bao gồm ba cuộc phỏng vấn tường thuật với một giảng viên đại học mới vào nghề người Việt Nam. Kết quả nghiên cứu cho thấy tầm quan trọng của chính trị vi mô trong trường học như một tổ chức và những cảm xúc hiện diện khi các giáo viên mới vào nghề cố gắng dung hòa giữa chính trị vi mô của trường học với niềm tin của chính họ với tư cách là giáo viên. Cùng với đó, nghiên cứu cũng đóng góp kiến thức về cách các giáo viên mới vào nghề học cách giải quyết các tình huống chính trị vi mô khó khăn thông qua các hành động cụ thể.

Từ khoá: chính trị vi mô, giáo viên mới vào nghề, cảm xúc, hành động chính trị

DEMONSTRATIVES AS SENTENCE FINAL PARTICLES AND THE ARCHITECTURE OF THE PERIPHERY IN VIETNAMESE

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Abstract: This paper analyzes Vietnamese demonstrative sentence-final particles (SFP) from the perspective of generative syntax. Such demonstratives as *đây*, *kia*, *này*, *kìa*, and *đấy* can be used at the end of a sentence to mark the psychological distance between the speaker and the proposition.

These SFPs can be divided into two groups: particles in Group I (namely *đây* and *kia*) are used to describe the relation between the speaker and the proposition while elements from Group II (i.e., *này*, *kìa*, and *đấy*) are employed to call for the addressee's attention or to persuade the addressee to believe in the propositional content. *đây này*, *kia kia*, and *kia đấy* are three cases of SFPs used in clusters.

From Generative Grammar and Cartography's perspective, the sentential periphery can be split into three functional projections. The lowest functional projection, namely AttP, encodes the speaker's commitment to the proposition, while attP encodes the addressee's propositional attitude. The highest layer DiscP represents the speaker's attitude towards the addressee. Particles from Group I are base-generated at the Head position of AttP, whereas Group II belongs to attP.

Keywords: demonstratives, sentence-final particles, cartography

1. Introduction

This paper focuses on five demonstratives appearing at the end of sentences in Vietnamese. Such demonstratives as *đây*, *này*, *kia*, *đấy*, and *kìa* can occur at the right periphery of the sentence to indicate the psychological distance between the speaker and the propositional content of the clause. Interestingly enough, the demonstrative particles often go in pairs, as illustrated in the examples below:

- (1) Việc này nguy hiểm **đây**.
job DEM.PROX dangerous DEM.PROX
'This job is dangerous, I think.'
- (2) Việc này nguy hiểm **đấy**.
job DEM.PROX dangerous DEM.DIS
'Believe me, this job is dangerous.'
- (3) Tôi đang ốm **đây** **này**.
1SG DUR sick DEM.PROX DEM.PROX
'Look, I am sick now.'

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- (4) Cô ấy học hai chuyên ngành **kia** **đấy**.
 3SG.FEM learn two major DEM.DIS DEM.DIST
 ‘Believe me, she takes a double degree.’

From the perspective of Generative Syntax and Cartography, the paper analyzes the phenomenon of SFP clusters in Vietnamese, inspired by the comprehensive analyses of SFPs in Mandarin Chinese and Cantonese conducted by Li (2006), Pan (2019), Lau (2019), and Tang (2020).

In addition to the introduction and conclusion, the paper consists of the following parts: part 2 introduces empirical data in which demonstratives function as sentence-final particles (henceforth demonstrative particles), while part 3 summarizes main findings in previous studies on the syntax of the left periphery. In part 4, I propose an architecture of the

Vietnamese periphery based on the Universal Spine Hypothesis. The final part demonstrates how this architecture explains the phenomenon of the demonstrative particle clusters in Vietnamese.

2. Empirical Data

The primary function of demonstratives is to call for the addressee’s attention to the object that is near or far from the speaker. *đây* and *này* are used to talk about items that are close to the speaker, while *kia* and *đấy* are used to describe objects that are at a long distance¹. In (5) and (6), the canonical usages of demonstratives are presented.

- (5) Bức tranh **này** đẹp hơn bức tranh **kia**.
 CL picture DEM.PROX beautiful than CL picture DEM.DIST
 ‘This picture is more beautiful than that picture.’
- (6) **Đây** là rạp hát, còn **đấy** là thư viện.
 DEM.PROX is theater and DEM.DIST is Library
 ‘Here is the theater, and over there is the library.’

Demonstratives also appear at the end of sentences to indicate the speaker’s attitude toward the proposition or to attract the addressee’s attention to the propositional content, as demonstrated in section 1. This paper focuses mainly on five demonstratives, which are divided into two groups. The first group, including *đây* and *kia*, is used to describe the speaker’s relation to the proposition. On the other hand, *này*, *kìa*, and *đấy* are employed to seek for addressee’s attention or to persuade the

addressee to believe in the propositional content.

2.1. Group I: *đây* and *kia*

đây and *kia* mark the psychological “distance” between the speaker and the proposition. If the speaker participates in the event described in the clause, or if s/he is the person making the inference or judgment, the proposition is marked as PROXIMAL. If the clause is based on hearsay information or considered “extraordinary” to the speaker, then the proposition is marked as DISTAL. Bui (2014) pointed out that utterances marked with proximal *đây* are often related

¹ The fifth demonstrative particle *kìa* is analyzed as the weak form of the demonstrative *kia*. It differs syntactically and phonetically from *kia*. *kia* is marked with the mid-level tone, while *kìa* is a low-

falling tone. Moreover, *kìa* cannot be used as a metonym to refer to a distal object, but only as a sentence-final particle.

to the speaker's actions and plans. When the speaker is either the agent, the patient, the experiencer in the events mentioned, proximal *đây* must be used, and distal *kia* is infelicitous, as shown in example (7). *đây*

- (7) Tôi đang làm việc công ty giao **đây/*kia**.
1SG DUR do things company assigned DEM.PROX /*DEM.DIST
'I believe I'm doing things assigned by the company.'
- (8) Chờ một lát, anh ta sắp đến rồi **đây/*kia**.
wait a moment 3SG.MAS soon arrive SFP.already DEM.PROX/* DEM.DIST
'Wait a moment, I think he will arrive soon.'
- (9) Trời lại sắp mưa **đây/*kia**.
sky again soon rain DEM.PROX/* DEM.DIST
'I think it's going to rain again.'

On the other hand, in (10), the utterance expresses hearsay information. As the speaker neither directly participates in nor witnesses what is being said, only *kia*

- (10) Nghe đâu anh ta dạo này còn yêu một cô gái ngoại quốc **kia/*đây**.
hearsay 3SG.MAS recently even love a girl foreign DEM.DIST/
*DEM.PROX
'I heard that he fell in love with a foreign girl recently.'
- (11) Anh ta còn biết lái máy bay **kia/*đây**.
3SG.MAS even know drive airplane DEM.DIST /*DEM.PROX
'He can also fly a plane (I think it's extraordinary).'

2.2. Group II: *này, kia, and đấy*

The second group of demonstratives mainly targets the addressee's epistemic state. *này* and *kìa* ask for the addressee's focus on the propositional content. Utterances using proximal demonstrative *này* are primarily the information about the speaker, or at least, what the speaker witnessed, as shown in (12). In (13), *kìa* is used at the end of an utterance about a shared topic between the two interlocutors;

can also be added to the end of the sentences in which the speaker makes a prediction, as in (8) and (9), signaling that the speaker has firm beliefs in the propositional content.

can be used in this case. Example (11) shows that the information marked by *kia* seems to be "extraordinary" from the speaker's perspective.

however, the addressee's attention is not entirely devoted to the event for some particular reasons, or s/he might be completely unaware of the information. Bui (2014) has pointed out that distal *đấy* is employed for personal events that the addressee is also aware of and can be used to ask for belief in the speaker's speculations or evaluations. As illustrated by the translation of (14), *đấy* functions like the pragmatic marker *believe me* in English.

- (12) Nhìn này, chồng tớ bảo tháng sau tặng vợ một chiếc ô tô **này**.
look DEM.PROX husband 1SG say month next give wife a CL car DEM.PROX
'Look, my husband said he would buy me a car next month.'
- (13) A: Chắc là cô ta lười học lắm nhỉ?
Perhaps 3SG lazy study much SFP
'She doesn't seem to study much, right?'
- B: Cô ấy còn học hai chuyên ngành **kìa**.
3SG even learn two major DEM.DIST
'You don't know, she even takes a double degree.'
- (14) A: Chắc là bình thường anh ta chiều vợ lắm nhỉ?
perhaps usually 3SG.MAS indulge wife much SFP
'I guess he tends to humor his wife very much, right?'
- B: Tháng trước còn tặng vợ một chiếc ô tô mới toanh **đấy**.
month before even give wife a CL car brand new DEM.DIST
'Believe me, last month he even bought his wife a brand new car!'

2.3. *Heteroglossia Approach*

Of the particles above, *đây* (here) and *đấy* (there) are the two demonstratives that most often appear at the end of a declarative sentence. Nguyen (2020) has suggested that *đây* (here) can be used to mark an assertion based on present evidence that the speaker is experiencing at the utterance time, and *đấy* (there) is often employed in an assertion based on past evidence. My analysis differs from Nguyen (2020) in distinguishing *đây* from *đấy* based on whether or not the statement targets the addressee's propositional attitude. When proximal *đây* occurs at the end of a declarative sentence, it often feels like the speaker is speaking his or her thoughts out loud. When using the distal *đấy*, there should be an addressee at the scene, and the speaker indicates that s/he is trying to persuade the addressee to accept his or her judgment. In (1) and (2) (repeated as (15) and (16)), the event under discussion has not happened yet, and the speaker can

only rely on past experience to form a judgment.

Nevertheless, not only the distal *đấy* but also the proximal *đây* can be used. My informants confirm that *đấy* is not exclusively employed in assertions based on past experience. Statements based on past experience seem to be more credible, but it is not necessarily the only way to convince the addressee. A justified assertion can be supported by reasonable inferences from current experience, as illustrated in example (17).

- (15) Việc này nguy hiểm **đây**.
job DEM.PROX dangerous DEM.PROX
'This job is dangerous, I think.'
- (16) Việc này nguy hiểm **đấy**.
job DEM.PROX dangerous DEM.DIST
'Believe me, this job is dangerous.'

- (17) Trông cấu kính thể kia, tôi đoán nó sắp gây chuyện **đấy**.
 look angry so 1SG guess 3SG soon cause trouble DEM.DIS
 ‘Looking at his angry face, believe me, I guess he will cause trouble soon.’

A natural question that arises here is in which kind of context one should employ demonstrative particles. Nguyen (2020) has pointed out that such SFPs signal different types of modal meanings in dialogues that involve a multitude of differing views. In other words, the appearance of demonstrative particles at the end of an utterance marks a shift from monoglossic to heteroglossic, showing signs of acknowledging alternative viewpoints. Based on the heteroglossia approach, particles from Group I can be labeled as DIALOGIC EXPANSION markers (White & Motoki, 2006). In (9), the proximal *đây* can be roughly translated by the pragmatic marker *I think*, indicating the proposition is only one of the possibilities. The distal *kia*, which often occurs with hearsay

information, as shown in (10), explicitly acknowledges the space for alternatives. Thus, *đây* can be classified into the ENTERTAIN type, whereas *kia* is an ATTRIBUTE one.

On the other hand, Group II particles can be analyzed as DIALOGIC CONTRACTION markers, with *kia* acts as DISCLAMATION, *đấy* functions as PROCLAMATION, and *này* can be used in both ways. The distal *kia* signal counter-expectation, as illustrated in (13). In both (14) and (16), the speaker uses *đấy*, emphatically asserting the proposition and feeling very strongly about what is being said. In (12), *này* calls for attention to a pronouncement; however, it is used to express counter-expectation as in the following example:

- (18) A: Minh đang trên đường đi rồi **đấy**.
 Minh DUR on way go SFP.already DEM.DIST
 ‘Minh is on his way.’
- B: Anh ta còn đang trên mạng **đây** **này**.
 3SG still DUR on internet DEM.PROX DEM.PROX
 ‘You don’t know, he’s still on the Internet (I witness that now).’

2.4. Co-Occurring Elements and Ordering Restrictions

It should be noted that demonstratives in Vietnamese can co-occur frequently. In the previous sections, I have illustrated that *đây* and *kia* often appear in Initiation Moves; whereas *này*, *kìa*, and *đấy* can be used individually in Reaction Moves. When a particle in Group I is employed in Reaction Moves, it often co-occurs with an element from Group II. In (19) and (20), the speaker does not agree with the addressee’s opinion and provides a fragment of counter-

expectation information. The proximal demonstrative pair *đây này* in (19) call for attention to the information which the speaker witnessed. The distal demonstrative cluster *kia kia* directs the addressee’s attention to the information which the speaker did not witness (i.e., hearsay information), however, as (20). The *kia đấy* cluster in (21) can be used to support the addressee’s previously mentioned opinions by adding extraordinary information that the s/he might not know. If the particles from Group II do not appear in the Reaction Moves, the sentences become infelicitous.

(19) A: Chắc là cô ta lười học lắm nhỉ?
Perhaps 3SG lazy study much SFP
'She doesn't seem to study much, huh?'

B: Cô ấy còn học hai chuyên ngành **đây** #(này).
3SG even learn two major DEM.PROX DEM.PROX
'You don't know, I witness that she even takes a double degree.'

(20) A: Chắc là cô ta lười học lắm nhỉ?
Perhaps 3SG lazy study much SFP
'She doesn't seem to study much, huh?'

B: Nghe đâu cô ấy còn học hai chuyên ngành **kia** #(kia).
Hearsay 3SG even learn two major DEM.DIST DEM.DIST
'You don't know, I heard that she even takes a double degree.'

(21) A: Chắc là cô ấy chăm học lắm nhỉ?
Perhaps 3SG study hard much SFP
'She must be studying very hard, huh?'

B: Cô ấy còn học hai chuyên ngành **kia** #(đấy).
3SG even learn two major DEM.DIST DEM.DIST
'Believe me, she even takes a double degree (I think it's extraordinary).'

The rule of demonstrative particle clusters can be generalized as follows:

(22) Ordering restrictions of demonstrative particle clusters

i) Only a proximal demonstrative (namely *đây* or *này*) can be paired with a proximal one. Similarly, only a distal demonstrative (*kia*, *kìa*, and *đấy*) can co-occur with a distal demonstrative particle.

ii) When co-occurring, Group I's demonstratives, which mark the relation between the speaker and the propositional content, always appear before Group II elements.

There are three possible instances of co-occurring demonstratives: *đây này*, *kia kia*, and *kia đấy*. These clusters are usually found in Reaction Moves and are used after a related piece of information to support or disprove the addressee's opinion. To determine whether proximal or distal demonstratives should be used, one needs to consider the psychological distance between

the speaker and the proposition. The speaker assumes that the addressee has yet to pay full attention to the subject matter or does not know about it. Moreover, s/he hopes that the addressee will accept and believe in the propositional content.

3. The Syntax of Demonstrative Particles

Following Cheng (1991), many scholars have discussed SFPs from the perspective of Generative Grammar, Cartography, and Performative Projection. A summary of studies that strongly influenced this paper can be found in the following section.

3.1. The Syntactic Position of SFPs

In the spirit of generative grammar, the structure of a clause consists of 3 domains: the lowest level is the lexical layer (vP domain), including predicate and argument structure; the medial level is the inflectional layer (IP domain), indicating

syntax categories as Tense, Number, Person, Case, etc.; the highest level is the complementizer layer (CP domain), linking the clause to its dominating clause or the discourse domain:

(23) [CP... [IP... [_vP...]]]

SFPs tend to be analyzed as complementizers (cf. Lee, 1986; Cheng, 1991; among many others). It was proposed that in Mandarin Chinese, *ma* marks a sentence as a Yes/No question, while *ne* marks a Wh-Question, ignoring the fact that *ne* is optional in a Wh-Question, and an A-not-A question is more neutral compared with its counterpart ending with *ma*.

(24) Ni xiang he naicha **ma**?
2SG want drink milk tea MA
'Do you want to drink milk tea?'

(28) Lan đã đi Paris rồi **đây**.
Lan ANT go Paris SFP.already DEM.PROX
'Lan has already gone to Paris, I believe.'

(29) Lan đã đi thành phố nào rồi **đây**?
Lan ANT go city which SFP.already DEM.PROX
'Which city has Lan already gone to? I wonder.'

Finally, the most fundamental difference between canonical complementizers (e.g., *if*, *that*, and *for* in English) and SFPs is, complementizers can be found in embedded clauses, while SFPs generally appear in main clauses. Vietnamese has a diverse SFP system, and it also has complementizers, e.g., the non-interrogative marker *rằng* and the interrogative marker *liệu*. Complementizers in Vietnamese only appear at the beginning of the clause, while SFPs are used at the right sentential periphery. The postverbal adverbs *rồi* and *chưa* can be classified as "inner

(25) Ni xiang he shenme?
2SG want drink what
'What do you want to drink?'

(26) Ni xiang he shenme **(ne)**?
2SG want drink what NE
'What do you want to drink? (I wonder)'

(27) Ni **xiang bu xiang** he naicha?
2SG want not want drink milk tea
'Do you want to drink milk tea?'

It has been well acknowledged that there is no one-to-one correspondence between SFPs and clause types, so the status as clause-typing complementizers of SFPs is doubtful. In Vietnamese, for example, the demonstrative particle *đây* can occur in both declarative and interrogative sentences².

SFPs" (in the sense of Tang, 1998), by virtue of its embeddability inside a complement clause. In contrast, as exemplified in (31), demonstrative particles are "outer SFPs", which can only be interpreted in root contexts.

(30) a. He wonders [CP [COMP₊Q] if] she has already gone to Paris].

b. He knows [CP [COMP₋Q] that] she has already gone to Paris].

c. [CP [COMP₋FIN] For] her to go to Paris] is a dream.

² One thing to note here - in this paper, I only focus on demonstratives appearing at the end of declaratives, however the analysis can be extended to other sentence types. In interrogatives, demonstrative SFPs denote the speaker's

commitment to the issue denoted by the question; hence *đây* is glossed as "I believe" in declaratives, but it is rendered as "I wonder" in interrogatives.

(31)

- a. Minh biết [CP rằng Lan đã đi Paris **rồi**].
 Minh know COMP_[-Q] Lan ANT go Paris SFP.already
 ‘Minh knows that Lan has already gone to Paris.’
- b. Minh muốn biết [CP liệu Lan đã đi Paris **chưa**].
 Minh want know COMP_[+Q] Lan ANT go Paris SFP.yet
 ‘Minh wonders if Lan has gone to Paris yet.’
- c. Minh muốn biết [CP liệu Lan đã đi Paris **chưa**] **đây**.
 Minh want know COMP_[+Q] Lan ANT go Paris SFP.yet DEM.PROX
 ‘Minh wonders if Lan has gone to Paris yet, I believe.’
- d. Minh muốn biết [CP liệu Lan đã đi Paris **chưa** (***đây**)].
 Minh want know COMP_[+Q] Lan ANT go Paris yet DEM.PROX
 ‘Minh wonders if (*I wonder) Lan has gone to Paris yet.’

The root phenomenon of outer SFPs is a strong evidence suggesting that they should be labeled differently from canonical complementizers. I follow the idea proposed by Tang (2010), in which outer SFPs are used to express Mood, Speech Act, or Discourse information. They are base-generated at the right periphery of the sentence, which are functional projections taking scope over the clause. Arguably, CP can be split into independent functional projections in the light of the cartography approach.

(32) The left periphery architecture in Italian language (Rizzi, 1997)

[ForceP [TopP* [FocP [TopP* [FinP [IP...]]]]]]

Scholars have been adopting the cartography approach to study the periphery of the sentence in different languages (Cinque, 1999; Benincà, 2001; Badan, 2007; Cinque & Rizzi, 2008; among many others). Although being located at the end of the sentence, SFPs are often classified as a phenomenon that belongs to the left periphery. I simply accept the assumption that SFPs are head-final and their surface positions at the right sentential periphery can

3.2. Cartography and Split CP Hypothesis

Cartography is an approach in generative grammar in which languages are assumed to have a richly articulated structure of hierarchical projections with specific meanings. Rizzi (1997) introduced the Split CP hypothesis based on the research of elements appearing at the beginning of Italian sentences, which he terms as *the left periphery*. Rizzi pointed out that CP can be expanded with four functional projections, including Topic phrase (TopP), Focus Phrase (FocP), Force Phrase (ForceP) và Finite Phrase (FinP):

be derived straightforwardly, as suggested by, *inter alia*, Tang (2010), Paul (2014), Pan and Paul (2016), Tang (2020).

The phenomenon of SFP clusters in Chinese and Cantonese has attracted many scholars' attention. Based on the order of SFPs when they co-occur, people have generally agreed that SFPs are not base-generated at the same syntactic position. Considering the fact that all SFPs make some contribution to the interpretation of the

sentence, it is feasible to assume that the right periphery of Chinese sentences can be decomposed into several functional projections (cf. Li, 2006; Tang, 2010; Paul, 2014; Pan & Paul, 2016; Pan, 2019; Tang, 2020). As this paper's primary focus is on Vietnamese demonstrative particles, I would not go into detail for all competing analyses in Chinese but try to arbitrate among them.

(33) The left periphery architecture in Chinese (Li, 2006) (“>” means “syntactically higher than”)

DiscourseP	>	DegreeP	>	ForceP	>	EvaluativeP	>	MoodP	>	FinP
<i>a</i>		<i>ba, ma</i>		\emptyset		<i>ne</i>		\emptyset		\emptyset

Following Rizzi (1997), in Li's analysis, Finite is a null head that occupies the lowest level in the articulated structure of CP. She also suggested that the functional head Force in Rizzi (1997) should be split up into Force and Mood. The latter encodes clause-typing information, while the former represents illocutionary force. Both have no phonetical realization in Mandarin Chinese. However, the theoretical motivation for DegreeP, which is the locus of “degree markers”, seems fairly low. Any outer SFP can be argued to express high or low commitment to the propositional content, as

(34) The sentential periphery architecture in Chinese (Pan, 2019)

[AttitudeP2 ... [AttitudeP1 ... [iForceP ... [OnlyP ... [S.AspP...[TP...]]]]]]

SFPs that are base-generated at the head position of iForceP and AttitudeP cannot be embedded, in contrast with SFPs in OnlyP and S.AspP. Pan (2019) has not pointed out any theoretical consideration for splitting AttitudeP into two phrases, which are assumed to host exclamative particles. In Pan's system, the iForceP hosts interrogative and imperative markers. It follows that particles from iForceP should precede particles heading AttitudeP. From the theoretical point of view, there is no strong motivation for exclamative markers following imperative or interrogative

On the one hand, if an analysis is on the right track, it should be motivated theoretically rather than merely generalization from linguistic facts. On the other hand, the framework proposed should account for all SFP clusters or at least the most common ones.

Li (2006) has been the first proposal on the hierarchy of functional heads in CP domains, which can be schematized as follows:

pointed out by Xu (2008). For example, the discourse marker *a* marks a strong commitment to the propositional content and calls for the addressee's response.

Pan (2019) attempted to establish an architecture for different types of elements in the left periphery: topics and foci, different readings of wh-phrases, and SFPs. If we abstract away functional projections dedicated to topics, foci, and wh-phrases in his proposal, the CP domain in Mandarin Chinese can be decomposed into five functional projections.

markers, as they select different sentence types. More importantly, not every particle heading iForceP can co-occur with particles that express the speaker's attitude. Pan (2019) pointed out a cluster made up of *ba* and *a*, which is exemplified in (35).

(35) Zhe xie pingguo, nimen chi le **ba a!**
This PL apple 2PL eat- BA A
finish

These apples, please eat (them) A!

It should be noted that Li (2006) acknowledged that ‘*ba a*’ sounds unnatural to native speakers. It is possible to prolong

the vowel of *ba* to make the sentence more emphatic, but it seems to be an extra tone added to the final syllable of sentences (boundary tone) than the realization of the particle *a*. Another way to rescue a sentence like (35) is adding a pause after *ba* and pronouncing *a* with a high-level tone, rather than a neutral tone. In Mandarin Chinese, SFPs are pronounced with a neutral tone, which is a bit shorter than the other tones, and its pitch depends on the tone coming

before it. This fact suggests that in (35), *a* functions as an interjection but not a sentence-final particle. The incompatibility of *ba* and *a* suggests that the illocutionary force assignment might have something to do with the speaker's attitude, and they may compete for the same syntactic position.

In terms of Vietnamese SFPs, based on previous analyses of SFPs in Chinese, Le (2015) suggested the architecture of the periphery in Vietnamese as follows:

(36) The architecture of the periphery in Vietnamese (Le 2015)

[DiscP ... [Mood.InfoP ... [Mood.EvalP ... [DeikP2 ... [DeikP1 ... [ForceP...]]]]]]

Le (2015) proposed that demonstratives have deictic functions and can be base-generated in two functional projections, namely DeikP1 and DeikP2. These particles can be combined *freely*, with the largest possible combination made of two demonstratives. Above DeikP, there are other functional projections, which are termed as Mood.InfoP and Mood.EvalP, conveying the speaker's attitude towards the clause, marking the information as noteworthy, or soliciting agreement. The highest functional projection, which she termed as DiscP, contains sub-syllabic meaningful units of features, à la Sybesma and Li (2007). These features, e.g. [+nasal], [+glottal fricative], [+high register], and the politeness marker *a*, are assumed to establish the relationship between the speaker and addressee.

However, Le (2015) made a questionable assumption when analyzing the function of demonstrative particles. As previously discussed, demonstrative particles are employed to mark the distance between the speaker and the proposition or call for the addressee's attention to the propositional content. Demonstrative particles do not, unlike canonical demonstratives, possess deictic function concerning space and time. Hence, there is an overlap between her DeikPs and MoodPs.

Le (2015) also failed to provide robust evidence of two or three SFPs following a pair of demonstrative particles.

The analyses mentioned above share one idea: there are several functional projections above ForceP, and these FPs cannot appear in embedded clauses but only in root contexts. Scholars have different views on labeling these outer SFPs, and it is assumed that the functional projection encoding illocutionary force is lower than the Attitude head, which is not necessarily true based on the empirical data. To solve this problem, I believe that we should distinguish heads that encode clause-type information from the ones that modify illocutionary force, as Li (2006) suggested. Moreover, the speaker's attitude is a vague concept, which is more problematic when dealing with languages with a rich inventory of SFPs, e.g., Vietnamese or Cantonese. I take advantage of Beyssade and Marandin's (2006) work, in which they pointed out that utterances have two types of impact on the context: first, they convey a new commitment for the speaker; second, they call on the addressee to take up the utterance. In declarative sentences, the speaker is committed to the propositional content of the sentence. The speaker employs particular SFPs when s/he tries to ground what has

been said, making it part of the common ground, i.e., mutual knowledge, mutual beliefs, and mutual assumptions (Clark & Brennan, 1991).

In other words, I would like to differentiate the speaker's attitude concerning the content of the utterance from the speaker's attitude toward the addressee, which is termed as call-on-addressee, in the sense of Beyssade and Marandin (2006). This is not a new idea, and it has been applied to account for the syntax of SFPs in Mandarin Chinese and Cantonese (cf. Lam, 2014; Heim et al., 2016; Lau, 2019; Tang, 2020). Back to Vietnamese demonstrative

particles, it can be argued that they modify the speaker's and the addressee's commitment to the propositional content. Alongside grounding particles, there are other particles expressing call-on-addressee or showing attitude to the addressee. In (39), adding *hả* to the end of a declarative sentence 'Minh has already come home' turns it to an utterance that calls for a response from the addressee, and roughly corresponds with the combination of Canadian English confirmational particle *eh* and the rising intonation (cf. Wiltschko & Heim 2016). The politeness marker *ạ*, exemplified in (40), always appears at the rightmost position of the utterance.

(37) Minh về rồi đây.
Minh return SFP.already DEM.PROX
'Minh has already come home, I believe.'

(38) Minh về rồi đấy.
Minh return SFP.already DEM.DIST
'Minh has already come home, believe me.'

(39) Minh về rồi hả mẹ?
Minh return SFP.already SFP.CONF mother
'Mom, Minh has already come home, eh?'

(40) Minh về rồi mẹ ạ.
Minh return SFP.already mom SFP.HON
'Mom, Minh has already come home ạ.'

4. Universal Spine Hypothesis

4.1. Terminology

In short, demonstrative particles encode the interlocutors' commitment to the propositional content. Put differently, demonstrative particles' contribution to the discourse is to enhance the common ground, especially when the speaker's set of public beliefs is distinctive from the addressee's one. In order to facilitate the understanding of the role of demonstrative particles, the following section introduces related pragmatic concepts.

(41) **Common Ground** (Beyssade & Marandin, 2006)

Common Ground (CG) is a partially ordered set of propositions in which the latest element can be removed easily. If the addressee explicitly shows disagreement, the latest proposition will be removed from CG. Only propositions that both interlocutors accept (believe) can stay in CG. When one makes an assertion, s/he suggests adding a proposition *p* to CG.

(42) **Public belief** (Gunlogson, 2003)
Hypothetically, a conversation

happens between only two interlocutors: Speaker (S) and Addressee (A).

Proposition p is the public belief of S (PB.S), if and only if “S believes p” is the mutual belief of both S and A.

Proposition p is the public belief of A (PB.A), if and only if “A believes p” is the mutual belief of both S and A.

Therefore, CG can be viewed as the intersection of the public belief of both parties. The act of negotiating CG (the grounding process) takes place when PB.S differs from PB.A. The speaker disagrees with his/her interlocutor and provides previously unknown information. In other words, the speaker suggests adding the proposition p to PB.A; hence CG is updated properly.

(43) Speaker’s commitment

A declarative sentence manifests the speaker’s commitment to a proposition p. By uttering an assertion, the speaker suggests the addressee adding the proposition p to his/her own set of public belief PB.A to update CG.

From the perspective of Generative

Grammar, Wiltschko and Heim (2016) proposed the Universal Spine Hypothesis, which can be summarized as follows:

(44) Universal Spine Hypothesis (Wiltschko & Heim, 2016)

i) A proposition p is dominated by a speech act structure. The superstructure above p can be divided into two layers: the lower layer encodes the SPEAKER’S COMMITMENT (Grounding layer), while the higher layer encodes SPEAKER’S CALL ON ADDRESSEE (Responding layer).

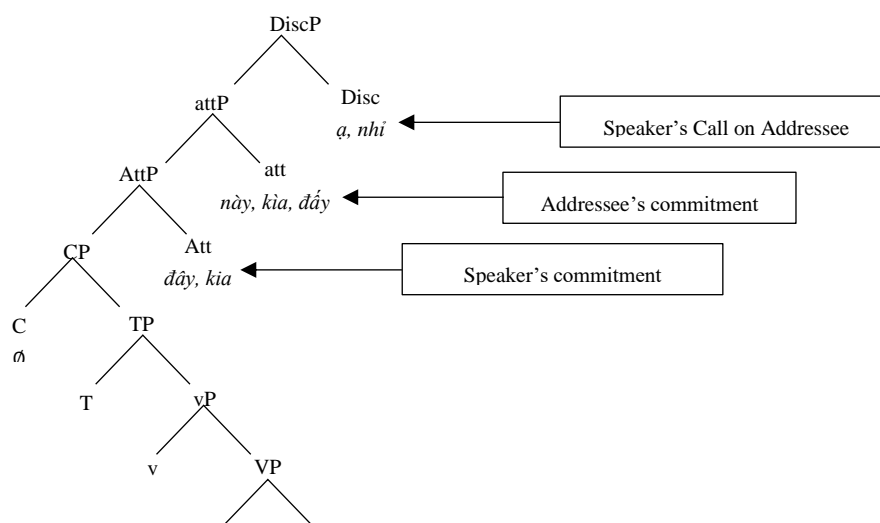
ii) Grounding layer encodes the attitude of the speaker’s propositional attitude and the addressee’s attitude towards the propositional content (e.g., belief in p, disbelief in p)

iii) Responding layer encodes the speaker’s call on the addressee (e.g., a call to a response, no call to responses, or a direction to interpret the concerning utterance as a response)

4.2. My Proposal

In this paper, I propose the architecture of the right periphery of Vietnamese sentences as follows:

(45) The architecture of the right periphery in Vietnamese



The periphery of Vietnamese sentences can be divided into “Discourse

projection” (DiscP) and “Attitude projection” (AttP). DiscP is the highest

layer, expressing the speaker's attitude towards the addressee (e.g., politeness, intimacy, or call for responses). AttP can be further split into two functional projections, namely AttP and attP. AttP encodes the speaker's propositional attitude, while attP manifests the addressee's one.

I propose that *đây* and *kia* have a syntactic position inside AttP by virtue of encoding *the speaker's propositional attitude*. attP is dedicated to hosting such particles as *này*, *kia*, and *đấy*, which essentially encoding *the speaker's belief towards the addressee's propositional attitude*.

Vietnamese is known for being a tonal language with a rich system of SFPs. In addition to demonstrative particles, there are other SFPs encoding politeness or solidarity (namely *ạ* and *nhì*), which are assumed to be base-generated at the highest functional projection, namely DiscP.

5. Matching Position and Interpretation

The co-occurrence of SFPs in Vietnamese has been studied by various scholars (Vo, 2012; Le, 2015; Tran, 2015). However, to the best of my knowledge, none has either generalized the rule of demonstrative particle pairs or explained why there is such a combination at the end of a declarative sentence. Based on (45), the phenomenon can be explained in a straightforward manner. Particles of Group I, namely *đây* and *kia*, are used to manifest the psychological distance between the speaker and the proposition, i.e., his/her propositional attitude; therefore, they are base-generated in AttP. The higher

functional projection, namely, attP, indicates that the speaker suggests the addressee adding the proposition *p* to his or her public belief PB.A. As can be seen from section 2.2, particles from Group II (i.e., *này*, *kia*, and *đấy*) are used to express the speaker's belief toward the addressee's propositional attitude; therefore, they are arguably base-generated inside attP. Those attP particles suggest the addition of *p* to PB.A, making *p* become a part of CG.

Despite having different interpretations, AttP and attP respectively manifest the speaker's and the addressee's attitude towards the same proposition; and they belong in the same layer because the speaker's point-of-view determines both. If the speaker labels the proposition as proximal, both AttP and attP's heads must be proximal demonstratives. Similarly, both must be distal demonstratives if the speaker labels otherwise. This also explains why demonstrative particles in Vietnamese can only be paired by proximal – proximal and vice versa.

Also, according to (45), AttP has a lower syntactic position than attP, which explains the order of appearance of demonstrative particles in Vietnamese: particles from Group I, those manifest the speaker's propositional attitude, must precede particles of Group II, which encode the addressee's attitude towards the proposition. (45) also predicts that honorific markers in Vietnamese should appear at the rightmost periphery of a sentence. The prediction is borne out, as shown in the following utterances:

- (46) A: Chắc là cô ta lười học lắm nhỉ?
 Perhaps 3SG lazy study much SFP
 'She doesn't seem to study much, huh?'

B: Cô ấy còn học hai chuyên ngành **đây** **này** a.
 3SG even learn two major DEM.PROX DEM.PROX SFP.HON
 ‘You don’t know, I witness that she even takes a double degree a.’

(47) A: Chắc là cô ta lười học lắm nhỉ?
 Perhaps 3SG lazy study much SFP
 ‘She doesn’t seem to study much, huh?’

B: Nghe đâu cô ấy còn học hai chuyên ngành **kia** **kia** a.
 Hearsay 3SG even learn two major DEM.DIST DEM.DIST SFP.HON
 ‘You don’t know, I heard that she even takes a double degree a.’

(48) A: Chắc là cô ấy chăm học lắm nhỉ?
 Perhaps 3SG study hard much SFP
 ‘She must be studying very hard, huh?’

B: Cô ấy còn học hai chuyên ngành **kia** **đấy** a.
 3SG even learn two major DEM.DIST DEM.DIST SFP.HON
 ‘Believe me, she even takes a double degree a.’

6. Conclusion

The paper discusses the usage of demonstrative particles in Vietnamese, a unique phenomenon that has received attention from many researchers but has yet to be explained satisfactorily. Based on studies analyzing the left periphery in the light of the cartography approach and inspired by analyses on SFPs’ syntactic positions in Chinese, this paper has provided a more thorough look into the architecture of the right periphery in Vietnamese sentences.

The paper’s working framework can be used to analyze SFPs in other languages, namely Mandarin Chinese or Cantonese, thus extending our knowledge in Universal Grammar.

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CHỈ ĐỊNH TỪ DỪNG CUỐI CÂU VÀ CẤU TRÚC RÌA CÂU TRONG TIẾNG VIỆT

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Tóm tắt: Bài viết này phân tích chỉ thị từ dừng ở cuối câu dưới góc độ ngữ pháp tạo sinh. Các chỉ định từ như *đây, kia, này, kia* và *đấy* có thể dùng cuối câu để đánh dấu khoảng cách tâm lý giữa người nói và mệnh đề trong câu. Các trợ từ này có thể chia thành 2 nhóm, nhóm I gồm *đây* và *kia* được dùng để miêu tả quan hệ giữa người nói và mệnh đề; nhóm II gồm *này, kia* và *đấy* có tác dụng kêu gọi sự chú ý của người nghe hoặc thuyết phục người nghe tiếp nhận nội dung mệnh đề. *đây này, kia kia* và *kia đấy* là ba cặp trợ từ chỉ thị thường gặp.

Từ góc độ ngữ pháp tạo sinh và đồ bản học, rìa phải câu có thể chia thành ba đoạn ngữ chức năng. Tầng thấp nhất AttP mã hóa cam kết của người nói đối với mệnh đề, còn attP mã hóa thái độ của người nghe đối với mệnh đề. Tầng cao nhất DiscP thể hiện thái độ của người nói đối với người nghe. Chỉ định từ nhóm I thuộc về AttP, nhóm II thuộc về attP.

Từ khóa: chỉ định từ, tiểu từ cuối câu, đồ bản học

A CORPUS-BASED STUDY ON REPORTING VERBS USED IN TESOL RESEARCH ARTICLES BY NATIVE AND NON-NATIVE WRITERS

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Abstract: This corpus-based research aimed to compare the use of reporting verbs in TESOL research articles between non-native and native English writers. Two corpora including 30 for the non-native corpus and 30 for the native corpus were constructed for analysis. The data in the form of plain text were processed via AntConc software version 3.5.7. The findings indicated significant differences in terms of frequency, function, and position between the two corpora. Specifically, more reporting verbs were found in the non-native corpus than in the native corpus. Of four verb groups of Argue, Find, Show, and Think, Argue group was the top priority used in TESOL research articles by both non-native and native English authors. The results of the functional and positional analysis in both the corpora also showed that two most common functions of reporting verbs were (1) presentation and (2) evaluation and examination, and most of the observed reporting verbs were in neutral position.

Keywords: corpus, frequency, function, position, reporting verb, research article

1. Introduction

One of the most important aspects of academic writing is using reporting verbs to show the references of other authors' literature (Yeganeh & Boghayeri, 2015). Charles (2006) has affirmed that appropriate reporting verbs can show a writer's opinion about others' ideas. In reality, however, Yeganeh and Boghayeri (2015) have explored that "non-native students often fail to use [reporting verbs] appropriately in their writing" (p. 583). It can be assumed that novice or non-native English writers find it

difficult to use reporting verbs accurately (Bloch, 2010; Manan & Noor, 2014).

How to use reporting verbs appropriately is very critical in academic writing, but it is likely to be underestimated in research although reporting verbs are one of the most important grammatical items in writing statements (Hyland, 1998). Non-native English writers may overlook the suitability of reporting verbs used for a certain statement in their writing (Manan & Noor, 2014). Similarly, Bloch (2010) has recognized that writers use reporting verbs repeatedly in their research and pay less

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attention to effects of the reporting verbs used on the research.

There have been studies addressing the comparison regarding the use of reporting verbs between native and non-native writers; however, only a limited number of research on reporting verbs used in TESOL research articles has been under investigation. Therefore, this paper was conducted to scrutinize differences in using reporting verbs in three aspects, namely frequency, function, and position in TESOL research articles between non-native and native English authors.

1. What are similarities and differences in terms of frequency of reporting verbs in TESOL research articles written by non-native and native English authors?

2. What are similarities and differences in terms of functions and positions of reporting verbs in TESOL research articles written by non-native and native English authors?

2. Literature Review

Definition of reporting verbs

Charles (2006, p. 326) has defined reporting verbs as a tool “to give credit to other researchers to use their work in the cumulative construction of knowledge” while Hyland (1999) and Thompson and Ye (1991) have argued that reporting verbs showing writers’ behavior to other researchers’ work are indispensable linguistic features. Also, reporting verbs is viewed as a lexical device to help writers to state their viewpoints and connect with readers (Hyland, 2005). These definitions support one another, which provides readers with insightful understanding of reporting verbs used in research.

Categorization of reporting verbs

It is recognized that reporting verbs are categorized based on the framework of Thompson and Ye (1991) and Hyland (1999). Thompson and Ye (1991) conducting the first research on classifying reporting verbs have divided reporting verbs into three groups: Textual verbs, Mental verbs and Research verbs. Thompson and Ye (1991) have pinpointed the differences among the three groups: (1) Textual verbs (e.g., state or indicate) show a writer’s stance, (2) Mental verbs (e.g., believe or think) show a writer’s thinking, and (3) Research verbs (e.g., find or explore) refer to a writer’s interpretation. Based on Thompson and Ye’s (1991) classification, Hyland (1999, 2002) has also introduced three types of reporting verbs, namely Discourse Acts, Cognition Acts, and Research Acts. It can be noticed that Hyland (1999, 2002) used the terms of Discourse and Cognition Acts instead of Textual and Mental verbs. While Cognition-related verbs (e.g., assume, believe, conceptualize, etc.) involving mental process and Discourse-related verbs (e.g., discuss, report, state, etc.) relating to linguistic activities showing a writer’s point of view to evaluate cited studies, Research Acts consisting of verbs describing experimental activities conducted in the real life are elaborately classified with three sub-groups, namely factive verbs (e.g., demonstrate, establish, show, etc.), counter-factive verbs (e.g., fail, ignore, overlook, etc.), and non-factive verbs (e.g., investigate, identify, observe, etc.).

In another aspect, Francis, Hunston and Manning’s (1996) have presented a framework of reporting verb categorization that is different from the aforementioned frameworks. In Figure 1, there are four types of reporting verbs: Argue group, Find group,

Show group, Think group as follows.

- **Argue verbs** involving how a writer makes an argument and creates a position on studied issues (e.g., argue, claim, indicate, point out, suggest, etc.).
- **Find verbs** concerning what writers find in research (e.g., discover, establish, find, observe, realize, etc.).
- **Show verbs** referring to a true situation or a fact in research cases (e.g., demonstrate, reveal show, etc.).
- **Think verbs** relating to the writer's thoughts, feelings, beliefs, and understanding (e.g., assume, believe, feel, think, hope, etc.).

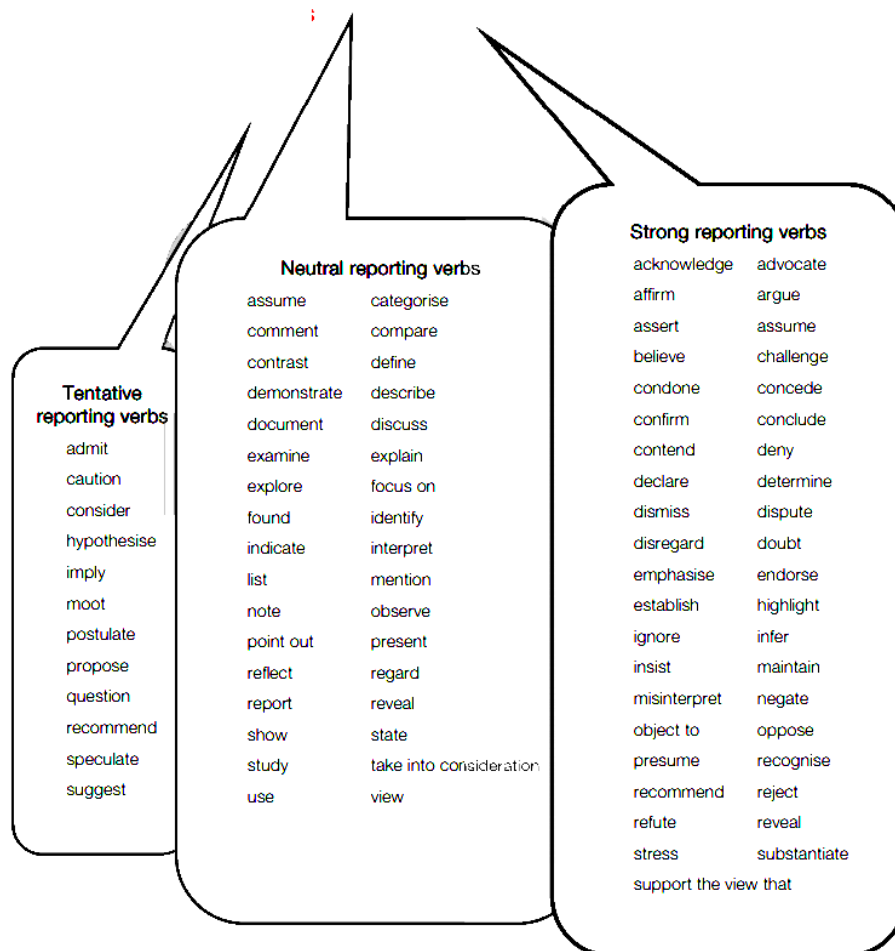
With reference to positions of reporting verbs, Figure 1 shows three degrees of strength introduced by RMIT University Study and Learning Center (2012). The first group including tentative or weak reporting verbs are suitable for making assumptions, questions or recommendations, etc. in research. The second group which is composed of neutral reporting verbs is used for expressing narrative sentences or citing references from other research without expressing attitudes. The last group - strong reporting verbs - is adopted to affirm, emphasize or show attitudes and feelings towards the ideas cited in the research. Likewise, Writing Center of University of Adelaide (2014) has proposed three types of position of reporting verbs, viz. weak position (e.g., admit, confuse, comment, doubt, hope, etc.), neutral position (e.g., accept, analyze, believe, disagree, discuss, find, recognize, report, suggest, etc.) and strong position (e.g., argue, complain, convince, emphasize, promise, recommend, warn, etc.).

Concerning functions of reporting verbs, Weissberg and Buker (2007) have indicated three functions of reporting verbs: (1) to present the background information about the research conducted, (2) to inform readers about how much the writer is familiar with the study areas and (3) to relate the research to the literature. In addition, writers use the references from others' previous studies to strengthen their claims and show the significance of the work reported (Petric, 2007). To help readers use reporting verbs appropriately, University of Adelaide Writing Center (2014) has provided a guide to functions of reporting verbs categorized into 13 groups (e.g., addition, advice, agreement, argument and persuasion, believing, conclusion, disagreement and questioning, discussion, emphasis, evaluation and examination, explanation, presentation, & suggestion).

To sum up, Hyland (1999) and Thompson and Ye (1991) have classified reporting verbs into three categories: Research Acts/ Research verbs, Cognition Acts/Mental verbs and Discourse Acts/Textual verbs, whereas Francis et al. (1996) have presented four types of reporting verbs including Argue verbs, Find verbs, Think verbs, Show verbs. Each categorization of reporting verbs has its own characteristics. This study adopted Francis et al.'s (1996) classification of reporting verbs as a theoretical framework because of its clarity and popularity. In particular, this framework has been adapted by several researchers (e.g., Charles, 2006; Friginal, 2013; Bloch, 2009). More importantly, it is aligned with the aim of the study.

Figure 1

Three Degrees of Strength of Reporting Verbs in Terms of Positions



Previous studies

Prior studies have indicated that the use of reporting verbs by native and non-native researchers has been compared and contrasted in many studies to find out differences between the two groups. Jafarigohar and Mohammadkhani (2015) analyzed the use of reporting verbs by native and non-native writers in 63 articles on TESOL and Applied Linguistics. The results of their study showed significant differences in patterns and options of reporting verbs despite no differences in size and frequency of reporting verbs between native and non-native writers.

Furthermore, Yeganeh and Boghayeri (2015) investigated frequency and functions of reporting verbs used in the

sections of Introduction and Literature Review in research articles written by native Persian and English writers. There were two corpora of 60 research articles (i.e., 30 belonging to native English researchers and 30 belonging to Persian ones). The findings indicated a few differences in the use of reporting verbs between the corpora. In particular, more reporting verbs in Argue group were found in research articles written by English authors than Persian ones although this verb group was the most used by both the Persian and the English writers. In terms of functions, moreover, there were some differences in using verbs and subjects grammatically, but the common pattern in both the corpora was “an integral citation, a human subject and a present tense [Argue]

verb” (Yeganeh & Boghayeri, 2015, p. 586).

Recently, Yilmaz and Erturk (2017) carried out a study comparing frequency, functions, and positions of reporting verbs between Turkish and native English writers. Two corpora of 160 research articles relating to English Language Teaching were constructed for corpus-based analysis. As for frequency, the findings showed that more reporting verbs were used by non-native authors than native counterparts. In respect of functions, six reporting verbs which were frequently used on both the corpora have the function of presentation (e.g., report and show), evaluation and examination (e.g., examine and investigate), and conclusion and suggestion (e.g., find and suggestion); especially, three reporting verbs (e.g., revealed, indicated, & observed) were overused by non-native writers. Concerning positional analysis, it was indicated that both groups of researchers only used reporting verbs in neutral position, except one strong reporting verb found in the native corpus.

In brief, the previous studies have addressed the differences in frequency, functions, and positions of reporting verbs between native and non-native writers. In this study, both differences and similarities in terms of frequency, function, and position of reporting verbs used in TESOL research articles between native and non-native authors are under investigation.

3. Methodology

Research design

A corpus-based study refers to the computerized retrieval and subsequent analysis of linguistic elements and structures from corpora (Gries, 2008). Ellis (2008) also introduced three corpus-linguistic methods for analyzing data. First, frequency lists and collocate lists or collocations construct the most decontextualized methods ignoring the context in which an utterance or a sentence is produced. Second, there are colligations

and constructions in which the context is reduced to the lexical elements with a particular grammatical element or structure. Finally, concordances provide the occurrence of a match of the search expression in a user-defined context, often the whole clause/sentence. In this study, the frequency list (i.e. frequency) and concordances (i.e. functions) of reporting verbs were examined. In terms of research methods, furthermore, the quantitative method was used as it identifies a research problem based on the statistics and figures from the collected research results (Creswell, 2012).

Corpus

In this study, 60 research articles were purposively chosen and collected from TESOL journals which were divided into two corpora: 30 research articles written by non-native English researchers contain 183,807 words and 10,262 word types, and 30 research articles written by native English researchers have 165,838 words and 11,221 word types. The total words in both corpora are 349,645. The research articles were selected based on the following criteria: (1) they must be published on scholarly journals with high h-index, (2) they must contain integral sections, namely introduction, literature review, methodology, results and discussion, and conclusion, and (3) they were published from 2009 to 2019.

Data collection

Firstly, a wide range of TESOL journals from the websites such as www.scimagojr.com and <https://www.jstor.org> were chosen and classified into two corpora, namely non-native corpus and native corpus based on the biodata of the writers in the articles and on the websites (e.g., www.researchgate.net, <https://scholar.google.com>). Then, 60 research articles were selected and categorized. The first corpus includes

research articles written by non-native English writers from non-English speaking countries (e.g., Bangladesh, Brazil, China, Indonesia, India, Iran, Israel, Libya, Persia, Singapore, Somalia, Thailand, Turkey, and Vietnam). The second corpus contains research articles written by native English writers from English speaking countries (e.g., Australia, Britain, Canada, New Zealand, and The United States).

Data analysis

The frequency of reporting verbs was statistically calculated based on Francis et al.'s (1996) taxonomy, and function together with position of reporting verbs was analyzed based upon the classifications of reporting verbs proposed by RMIT University Study and Learning Center (2012) and University of Adelaide Writing Center (2014). It is noticed that only the main content of the articles was selected to assure the accuracy of the collected data, so some irrelevant parts such as keywords, name of journals, ISSN, page numbers, received/accepted/published date, DOI, URL, appendix, and references were manually removed. Additionally, all the articles were originally in PDF-format. Thus, all texts in the corpora were converted to plain text format so that the researchers could analyze the data relating to reporting verbs by means of AntConc - a free concordance software program for Windows. To increase the reliability of the study, besides, the researchers ran the data of the corpora using AntConc software version 3.5.7 four times to cross-check the consistency among the times.

4. Results and Discussion

Frequency of RVs used in TESOL research articles

As can be seen in Table 1, 1,446

tokens of reporting verbs were found in the non-native corpus. More specifically, **Argue** group was most used with 953 tokens (65.9%) and followed by **Find** group, **Think** group, and **Show** group with the tokens of 274 (18.94%), 157 (10.85%), and 62 (4.28%) respectively.

Table 1

Frequencies of Reporting Verbs Used in 30 TESOL Research Articles by Non-Native Writers

Group	Reporting verb	n=1,446	
		F	%
Argue	agree	151	10.44
	argue	61	4.22
	criticize	7	0.48
	disagree	20	1.38
	emphasize	11	0.76
	explain	83	5.74
	indicate	253	17.50
	inform	44	3.04
	mention	40	2.77
	realize	17	1.18
	recognize	6	0.41
	report	62	4.29
	state	128	8.85
suggest	70	4.84	
		953	65.90
Find	analyze	12	0.83
	establish	11	0.76
	explore	5	0.35
	find	183	12.66
	investigate	63	4.36
		274	18.94
Show	demonstrate	18	1.24
	describe	44	3.04

		62	4.28
	believe	56	3.87
Think	hope	8	0.55
	think	93	6.43
		157	10.85

On the other hand, regardless of the same positions for **Argue** and **Find** groups, there was a slight difference between **Show** and **Think** groups in 30 research articles written by the native writers compared to those by the non-native writers. As demonstrated in Table 2, in particular, the figures for **Argue** and **Find** groups that were also identified as the first and second places had an inconsiderable difference (i.e., 39.26% & 39.09%). **Show** group, however, occupied the third position with 105 tokens (16.96%), and **Think** group was ranked fourth with a tiny number of tokens at 29, accounting for 4.68% despite the third place as depicted in Table 1.

Table 2

Frequencies of Reporting Verbs Used in 30 TESOL Research Articles by Native Writers

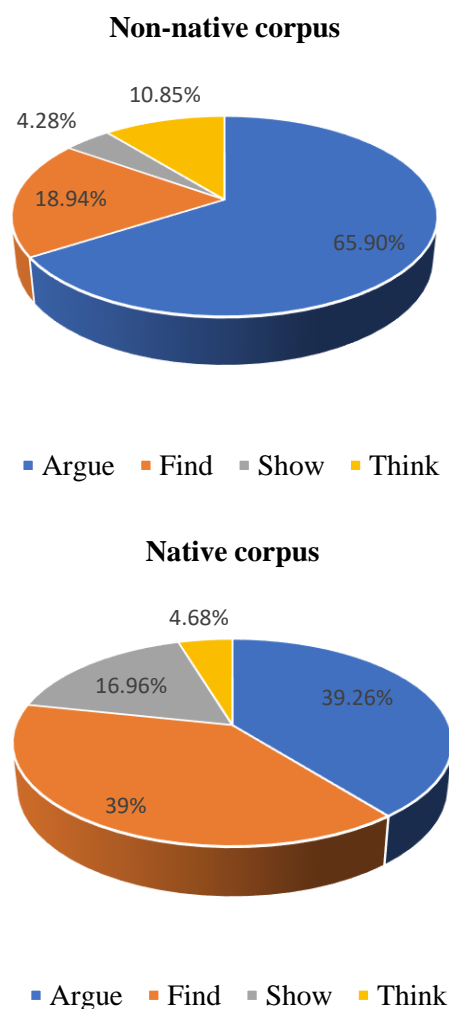
Group	Reporting verb	n=619	
		F	%
	acknowledge	7	1.13
	argue	15	2.42
	address	25	4.03
	confirm	9	1.45
	criticize	5	0.81
Argue	disagree	3	0.48
	explain	6	0.97
	indicate	45	7.27
	mention	23	3.72
	realize	13	2.10
	report	92	14.86

		243	39.26
	analyze	23	3.72
	discover	9	1.45
Find	establish	31	5.00
	explore	24	3.88
	find	151	24.39
	investigate	4	0.65
		242	39.09
	demonstrate	15	2.42
Show	describe	56	9.05
	reflect	34	5.49
		105	16.96
Think	believe	29	4.68
		29	4.68

To shed light on the difference in terms of reporting verb use in TESOL research articles between two groups of writers, a comparison is necessarily provided. As observed in Figure 2, far more reporting verbs were found in 60 RAs produced by the non-native writers than the native counterparts. Noticeably, the figure for RVs in **Argue** group used by non-native writers (65.90%) approximately doubled that for the native authors (39.26%), whereas the native researchers are more likely to employ RVs in **Find** group than the non-native researchers, reaching 39.09% compared to 18.94% for the non-native ones. The similar pattern can be seen for **Think** and **Show** groups. That is, the percentage of RVs in **Think** group found in the non-native corpus (10.85%) probably doubled that of the native corpus (4.68%) whilst the figure for RVs in **Show** group used in the native corpus (16.96%) was four times higher than that in the non-native corpus (4.28%).

Figure 2

Distribution of Reporting Verbs Found in the Research Articles Written by Non-Native and Native Authors



In summary, both the native and non-native researchers employed reporting verbs in **Argue**, **Find**, **Show**, and **Think** groups. However, the native writers tended to use fewer reporting verbs than the non-native counterparts did. RVs in **Argue** group were most commonly used in both groups of writers, followed by **Find** group with a moderate use. The least used verb groups were **Show** and **Think** in spite of a bit difference in frequency of RVs between the native and non-native writers.

As presented earlier, the results of the present study showed that the non-native

writers tended to employ more reporting verbs in their TESOL articles than the native authors did. This is in line with Yilmaz and Erturk's (2017) conclusion that Turkish researchers used reporting verbs more frequently than native English ones. This finding, however, is different from Jafarigohar and Mohammadkhani's (2015) finding indicating the mostly equal number of reporting verbs used by both native and non-native writers. More specifically, among four reporting verb groups (e.g., **Argue**, **Find**, **Show**, & **Think**), **Argue** and **Find** groups were the most and the second most commonly used by both groups of writers in spite of the different size. Similarly, Yeganeh and Boghayeri (2015) concluded that both Persian and English authors used reporting verbs in **Argue** group most frequently, and **Think** group was identified as the second priority for the native English writers, whereas **Find** group was the Persian writers' second option. In Veerachaisantikul's (2016) study investigating reporting verbs used in EFL English majors' research projects, **Argue** and **Think** group occupied the first and second positions with high percentages. However, Uba (2020) found out that **find** (first place), **show** (second place), and **indicate** (third place) are the most frequent affirmative reporting verbs in Applied Linguistics research articles, i.e., the authors gave first priority to **Find** group and then to **Show** group and **Argue** group, which is supported by the findings of Veerachaisantikul's (2016).

Functions and Positions of RVs used in TESOL research articles

In **Argue** group, it can be observed in Table 3 that more reporting verbs were variously employed in research articles produced by the non-native writers. That is to say, these reporting verbs varied in function. Regarding the functions, most of the reporting verbs used in the research

articles of both groups of writers were neutral. It is noteworthy that RVs in **Argue** group had a variety of functions, viz. agreement, argument, conclusion, disagreement, emphasis, evaluation, explanation, presentation, and suggestion. There were two strong reporting verbs

showing writers' position in RAs written by the non-native group, whereas only one strong reporting verb was found for the native group. This means that the non-native researchers made stronger claims than the native ones in their research articles.

Table 3

Functions and Positions of RVs in Argue Group Used by Native and Non-Native English Writers

Native					Non-native				
Function	RV	Position			Function	RV	Position		
		W	N	S			W	N	S
agreement	acknowledge		X		agreement	agree		X	
argument	argue			X	argument	argue			X
presentation	address		X		evaluation and examination	criticize		X	
agreement	confirm		X		disagreement	disagree		X	
evaluation and examination	criticize		X		emphasis	emphasize			X
disagreement	disagree		X		explanation	explain		X	
explanation	explain		X		presentation	indicate		X	
presentation	indicate		X		presentation	inform		X	
presentation	mention				presentation	mention		X	
conclusion	realize		X		conclusion	realize		X	
presentation	report		X		agreement	recognize		X	
					presentation	report		X	
					presentation	state		X	
					suggestion	suggest		X	

Note: W=Weak, N=Neutral, S=Strong

The results in Table 4 show that native English writers used more reporting verbs in **Find** group than the non-native writers. In terms of function, both groups of writers used reporting verbs with quite similar functions (e.g., conclusion, emphasis, evaluation, examination) as illustrated in Table 5. In addition, almost all

the reporting verbs in **Find** group were used in a neutral position. Only one verb was identified as a strong reporting verb (e.g., establish). It can be stated that there were no significant differences in terms of function of reporting verbs for **Find** group between the native and non-native researchers.

Table 4

Functions and Positions of RVs in Find Group Used by Native and Non-Native English Writers

Native			Non-native						
Function	RV	Position			Function	RV	Position		
		W	N	S			W	N	S
evaluation and examination	analyze		X		evaluation	analyze		X	
conclusion	discover		X		presentation	establish			X
presentation	establish			X	emphasis	explore			X
emphasis	explore		X		evaluation and examination	find			X
evaluation and examination	find		X		evaluation and examination	investigate			X
evaluation and examination	investigate		X						

Note: W=Weak, N=Neutral, S=Strong

In respect of **Show** group, Table 5 demonstrates that native English writers used reporting verbs (e.g., demonstrate, describe, & reflect) in their research articles to express their neutral opinions about the issues they are discussing or presenting. Similarly, non-native writers used reporting

verbs (e.g., demonstrate & describe). As seen in Table 3, furthermore, more reporting verbs in **Show** group were used by the native writers than the non-native counterparts. This can be interpreted that the former group found it useful to use reporting verbs in this group for their research articles.

Table 5

Function and Position of RVs in Show Group Used by Native and Non-Native English Writers

Native			Non-native						
Function	RV	Position			Function	RV	Position		
		W	N	S			W	N	S
Presentation	demonstrate		X		Presentation	demonstrate		X	
Presentation	describe		X		Presentation	describe		X	
Presentation	reflect		X						

Note: W=Weak, N=Neutral, S=Strong

In contrast, the use of reporting verbs in **Think** group by the native English writers is limited in either size or type. Evidently, they hardly ever used reporting verbs in **Think** group for their TESOL research articles as shown in Table 3, and only one strong reporting verb (e.g., believe) was found in the 30-article native corpus.

Meanwhile, the non-native writers used a wide range of reporting verbs from strong degree to weak degree (e.g., believe, think, & hope) to present their ideas about what they are discussing. As reported in Table 6, noticeably, there was one weak reporting verb (e.g., hope) with the aim to make their claims less strong.

Table 6

Functions and Positions of RVs in Think Group Used by Native and Non-Native English Writers

Native			Non-native						
Function	RV	Position			Function	RV	Position		
		W	N	S			W	N	S
believing	believe			X	believing	believe			X
					believing	hope	X		
					believing	think			X

Note: W=Weak, N=Neutral, S=Strong

In short, a bit more reporting verbs with different functions and positions were used in the TESOL research articles written by the non-native writers than the native ones, and neutral reporting verbs were more commonly employed than strong and weak ones. Turning to the details, reporting verbs in **Argue** and **Find** groups are preferred to those in **Show** and **Think** groups. The big difference in the use of reporting verbs between the two groups of writers is that the non-native researchers seemed to favor reporting verbs in **Argue** group over the remaining groups while the native writers probably used reporting verbs in **Argue** and **Find** groups almost equally.

According to the aforementioned findings, there were no significant differences in function of reporting verbs between the two corpora; especially, presentation and evaluation and examination were the top functions used by both the native and non-native researchers. These functions probably cover all three functions proposed by Weissberg and Buker (2007). This can be inferred that these functions are equally significant and commonly-used in research, so authors consider using them in their studies regardless of their nationality. In fact, Yilmaz and Erturk (2017) reported the similar results emphasizing no differences in terms of the variety of RV functions and presenting top three functions, namely presentation, evaluation and examination, and conclusion and suggestion.

As regards positional analysis, the findings demonstrated that most of the reporting verbs were used in neutral position except for two stronger reporting verbs in both of the corpora and one weaker verb in the non-native corpus. Similarly, Yilmaz and Erturk (2017) confirmed that native and non-native authors avoided including weaker and stronger verbs in their studies. Instead, they tended to use more neutral verbs. This tendency can be explained that neutral reporting verbs may reduce the strength or weakness of claims with the use of strong and weak reporting verbs respectively. Additionally, it is worth noting that two strong reporting verbs (e.g., argue & emphasize) were discovered in the non-native corpus, whereas only one strong verb (e.g., argue) was observed in the native corpus. This means that the native English writers used less reporting verbs in a strong position than the non-native counterparts. This result is likely to be different from Yilmaz and Erturk’s (2017) finding that there was only one strong verb (e.g., argue) used by the native writers.

5. Conclusion

This corpus-based study included two corpora of reporting verbs in 60 TESOL research articles (i.e., 30 from the non-native writers and 30 from the native English writers). The data were analyzed by means of AntConc software, and three key findings

are reported as follows. Firstly, it is explored that the non-native writers have a tendency to employ more reporting verbs than the native English counterparts. In particular, **Argue** group is the most frequently used by both groups of authors, followed by **Find**, **Show**, and **Think** groups. Secondly, there are no considerable differences in the function of reporting verbs between the two corpora. This means that both the non-native and native writers have a similar pattern in using reporting verbs with various functions. Among a wide range of functions of reporting verbs, the most commonly used functions are (1) presentation and (2) evaluation and examination. Finally, almost all reporting verbs in neutral position are found in both corpora. Remarkably, there are two strong verbs and one weak verb found in the non-native corpus, whereas only one strong verb was discovered in the native corpus.

According to Yeganeh and Boghayeri (2015), reporting verbs (i.e., citing and referencing to other literature) are regarded as one of the most vital aspects in academic writing, non-native students often found it difficult to use reporting verbs appropriately in their writing. It is hoped that the results of this study may raise awareness of the importance of reporting verbs for non-native students, especially Vietnamese EFL students majoring in TESOL and serve as guidance that helps improve the use of reporting verbs in academic writing. Accordingly, they can avoid ignoring other works in their writing or research in the future. It is suggested that reporting verbs should be introduced to EFL students who are producing academic pieces of writing such as BA students in English language or TESOL, MA students, and PhD students in all disciplines. Moreover, this study could also work as a reference for scholars and teachers who work on reporting verbs. In particular, they may conduct further studies exploring linguistic features within groups

of reporting verbs based on these findings.

Despite contributions to the field of discourse analysis in general and reporting verbs in particular, this study remains some limitations in terms of the corpus size and limited discipline. Due to the limited time and the scope of the study, 60 TESOL research articles equally falling into two groups, namely non-native corpus and native corpus were selected as the research sample. Another limitation is that the study only put an emphasis on the discipline of TESOL. As a consequence, it is unlikely to generalize how non-native and native English researchers use reporting verbs in research articles. It is, therefore, recommended that further researchers should widen the corpus size and make a cross-disciplinary comparison in terms of the use of reporting verbs among disciplines such as Biology, Mechanical Engineering, Computer Science, Medical and so on.

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MỘT NGHIÊN CỨU DỰA TRÊN NGŨ LIỆU VỀ ĐỘNG TỪ TƯỜNG THUẬT ĐƯỢC SỬ DỤNG TRONG CÁC BÀI BÁO THUỘC NGÀNH GIẢNG DẠY TIẾNG ANH CỦA TÁC GIẢ BẢN NGŨ VÀ PHI BẢN NGŨ

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Tóm tắt: Nghiên cứu dựa trên ngữ liệu này so sánh việc sử dụng các động từ tường thuật trong các bài báo nghiên cứu thuộc chuyên ngành Giảng dạy tiếng Anh giữa tác giả bản ngữ và phi bản ngữ. Kho ngữ liệu được chia thành hai nhóm: 30 bài báo nghiên cứu của tác giả phi bản ngữ và 30 bài báo nghiên cứu của tác giả bản ngữ. Dữ liệu ở dạng văn bản thuần túy đã được xử lý thông qua phần mềm AntConc phiên bản 3.5.7. Kết quả cho thấy sự khác biệt giữa hai nhóm tác giả khi xét về tần suất sử dụng, chức năng và vị trí của động từ tường thuật. Cụ thể, tác giả phi bản ngữ có khuynh hướng sử dụng nhiều động từ tường thuật hơn các tác giả bản ngữ. Trong bốn nhóm động từ tường thuật bao gồm Argue, Find, Show, Think thì nhóm Argue được sử dụng nhiều nhất bởi cả hai nhóm tác giả. Ngoài ra, kết quả liên quan đến chức năng và vị trí của những động từ tường thuật này còn chỉ ra hai chức năng phổ biến nhất của động từ tường thuật là (1) trình bày và (2) đánh giá và kiểm tra; các động từ tường thuật được quan sát đều ở vị trí trung lập.

Từ khóa: ngữ liệu, động từ tường thuật, bài báo nghiên cứu, giảng dạy tiếng Anh

THE IMPLEMENTATION OF FLIPPED CLASSROOM APPROACH IN AN ACADEMIC ENGLISH COURSE

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Abstract: Since flipped classroom (FC) approach was first implemented over a decade ago, it has been gathering great momentum with more and more research conducted in different fields over the past years. As an attempt to better understand this promising new model, this study aimed to apply it in an academic English language course and examine its effects on student's perception and the quality of their assignment together with the instructor's self-reflection. The participants were 21 sophomores attending an academic English course (integrated reading and writing section) at a state university in Hanoi, Vietnam. Combining both quantitative data from survey and qualitative data from feedback forms together with the instructor's reflection and analysis of students' work, findings of the study indicated positive perception towards flipping learning mode from both the students and instructor's perspective and the analysis of the submitted end-of-course assignments showed a good mastery of essay genres, argument development and text selection. However, synthesizing skill as well as the use of APA in-text citations and references needed more guidance and required more practice. The study also pointed out some limitations and recommendations which further research should take into consideration for a better implementation of a flipped classroom.

Key words: flipped classroom approach, English Language Teaching/ELT, English as a foreign language/EFL

1. Introduction

Over the past six years, the researcher has identified one problem with conventional teaching practices: no matter how extensively knowledge was introduced during lecture time, students were still likely to make unexpected mistakes in their submitted assignments (e.g. citation errors, paraphrasing problems, and so forth). A hypothesis is hence put forward that the blame might be on the lack of on-the-spot guidance and feedback from the teacher when students do the work. Firstly, each

lesson rife with theoretical concepts is often too much for students to absorb, which leads to boredom and regular attention drop during class time. One unit is normally presented in approximately 15-20 pages in the course book. If students do not read the course book in advance, they could not understand thoroughly what lecturers deliver in class. As a matter of fact, it is also unfeasible for teachers to cover all the knowledge during the limited teaching time. Some (mainly practice tasks/exercises) must be set as homework for students, but very often end up being omitted because students view

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them as “minor” or “unnecessary” and thereby ignoring them at home. Therefore, class time is mostly allocated to theory instead of practice. In addition, the practice tasks in the course book are too few and mostly deliberately decontextualized for drilling purposes. These tasks are not supportive to the assignment they have to carry out. Apparently, the core contents are not fully covered, students do not get sufficient practice to successfully apply the taught knowledge into their assignment, and teachers do not have time to check students’ understanding and evaluate their study process to support them when needed. These are assumed to result in the problem under discussion.

Thanks to the 2019 ULIS National Conference held at University of Languages and International Studies - Vietnam National University (ULIS-VNU), the researcher was inspired with the idea of flipped classroom approach by several colleagues’ research reports on the effectiveness of this approach in positively changing students’ classroom attitudes (increased participation and improved atmosphere) and boosting the acquisition of knowledge. In addition, an American co-teacher also shared his personal experience flipping his own classroom and gave quite a favorable review on it. These particular occurrences have sparked a daring idea of applying this new method to tackle the aforementioned problem.

As the Cambridge Dictionary (2020) points out, flipped classroom is defined as a teaching method which encourages students to examine and study the needed learning materials online at home and then discussing more about them in class. At first glance, this reverse operation could somehow solve the problem of a classroom too theoretical and lacking practice or interaction time between teachers and learners. If students were more proactive in taking in the knowledge through self-study at home, the precious class time

would be saved for much more practical activities such as assignment guidance. Basal (2015) highlighted that the most important benefits of flipped model lie in the in-class time dedicated to tackling complex knowledge and concepts, having more interactive discussions or carrying out more activities, instead of just the usage of lecture videos to replace live lectures.

Besides, the world of technology is changing at a fast pace and now equips our young generations with devices of all kinds connected to the Internet, which gives teachers necessary conditions to flip their classroom with ease. In other words, flipped classroom appears to be more suited to the current era and targeted learners than the traditional course setting. Therefore, a gradual switch to new technology-based approaches like FC is an inevitable trend in education. Flipped classroom approach offers teachers a great opportunity to make use of the equipped technologies inside and outside classroom to make teaching and learning more effective and flexible. In terms of technology involvement, Francl (2014) claimed that flipped classroom with its recorded lectures available at any time, any places could successfully gain an advantage in the competition for students’ attention against other technological distractions.

The purpose of the study is to introduce flipped classroom model into an academic English course as an intervention replacing the conventional lecture way. The research expects to get insight into students’ and instructor’s perception of FC and examine its effect on the quality of the participants’ assignment. The following questions guided the research:

1. What is the students’ perception of flipped classroom approach in an academic English course?
2. What is the instructor’s perception of flipped classroom approach?

3. How does the approach impact the quality of the students' assignment?

Flipped class is quite a new pedagogical approach which has not been around as long as the lecture way; however, research across the globe has been conducted to report the implementation and its effectiveness on student's perceptions, attitudes, or learning outcome in different subjects or courses. Although there is still a lack of empirical studies to prove it is a completely efficient way of teaching and learning, the recorded findings make it a promising approach for educators and teachers to try it out. Upon completion, this study hopes to make a humble contribution to the corresponding body of literature, specifically the application of flipped class, with an emphasis on students and lecturer's perceptions and its effect on student's quality of end-of-term written product. This research is believed to be relevant to all teachers, especially those who have experienced the sample problem as the teacher-researcher has described above and been seeking for feasible solutions. The results and the recommendations, as well as the acknowledged limitations are given in the hope of providing support to the teachers who are considering flipping their own classroom.

2. Literature Review

2.1. Flipped Classroom Approach

Although the first studies on flipped classroom were mostly recorded to take place within the last decade, some forms of flipping were already seen much earlier, such as *Peer Instruction* (Eric Mazur, Harvard, Physics, 1991), *Team-Based Learning* (Larry Michaelsen, Oklahoma, Management, 1974), *Modeling Instruction* (Hestenes, Arizona, Physics, 1989). Flipping was tried and tested predominantly in STEM subjects in general and particularly physics in the USA for many years before this recent

flip movement (Raine & Gretton, 2014). Raine and Gretton, in their story of flipping a cosmology classroom about three decades ago, pointed out that the unavailability of technology at the time not only caused difficulties in applying flipped classroom, but also led to the limited literature on this teaching strategy back then. Recently, the rapid development of technology has made it possible for almost all students to have online access at home. As a result, the flipped model has gained momentum as more and more research in various disciplines (STEM subjects (Bergmann & Aarons, 2012); medical education (Chen et al., 2017); language teaching (Turan & Akdag-Cimen, 2020) and so on) have been conducted on the subject matter in the past years. This revolutionary movement could be attributed to the fact that educators and instructors globally are in search of more suitable way to the new era of technological advances and differentiated teaching methods catering for different student profiles and needs.

The term Flipped Classroom was commonly believed to be first coined in 2012 by two leading pioneers Jon Bergmann and Aaron Sams, two high-school science teachers in the USA even though these two authors, in the book *Flip your classroom*, refused this credit. This new teaching model soon captured immediate attention of international researchers ((Flipped Learning Network [FLN], 2014); Chen et al., 2017). As its name suggests, flipped classroom could be simplistically understood as "school work at home and home work at school" (FLN, 2014). This plain definition may not be regularly cited in scientific research, but it works perfectly well for any teachers (regardless of their experience with this practice) to get a basically adequate understanding of the concept at once and maybe seriously take it into their considerations to utilize it in the classroom. In addition, in order to prevent any possible

misconceptions or myths of the approach, a “formal definition” was proposed by the key pioneers, also experienced Flipped Educators as follows:

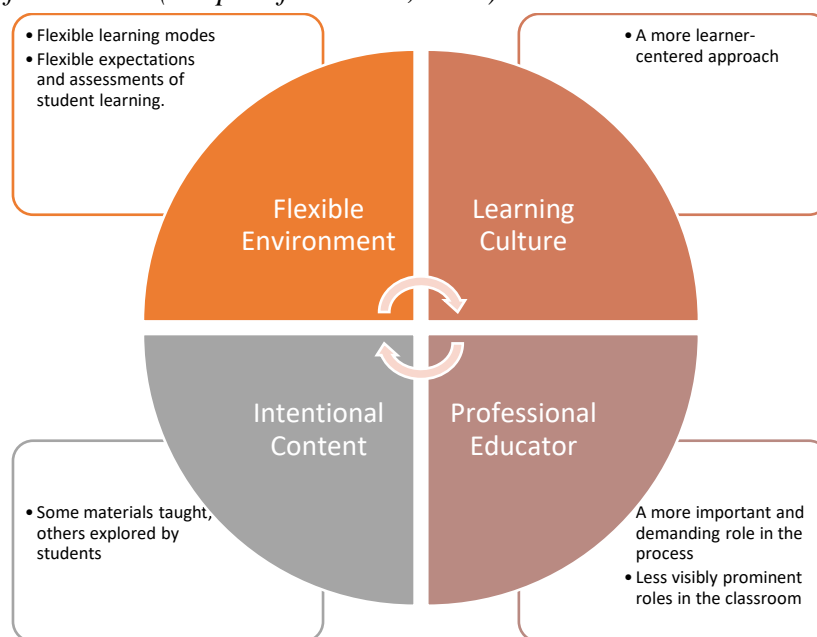
Flipped learning is a pedagogical approach in which direct instruction moves from the group learning space to the individual learning space, and the resulting group space is transformed into a dynamic, interactive learning environment where the educator guides students as they apply concepts and engage

creatively in the subject matter (FLN, 2014, p. 1)

It is also noteworthy that the two terms “flipped classroom” and “flipped learning” should not be used interchangeably. While the former refers to the alterations initiated from teacher’s side, the latter is more of learners’ adaptation or transformation in case of their classroom flipped. Moreover, flipped classroom does not necessarily always result in flipped learning. These key leaders also suggest “the Four Pillars of F-L-I-P™” which are in fact the four criteria educators must meet to bring out flipped learning:

Figure 1

The Four Pillars of F-L-I-P™ (adapted from FLN, 2014)



The term flipped classroom could be used interchangeably with other education models such as blended learning, reverse instruction, inverted classroom, or 24/7 classroom in certain contexts because of the noticeable similarities among them (Bergmann & Sams, 2012).

Although numerous attempts to implement FC were reported internationally, it was hard to find a rigid flipped procedure agreed upon by all the practitioners (Francl,

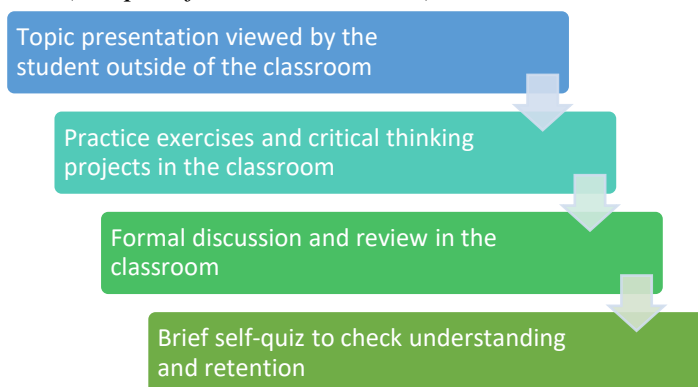
2014; Yang et al., 2018). Take video use as a prime example, from the approach theory, it has not been explicitly stated that the use of lecture videos is of a mandatory requirement for pre-delivering materials (Raine & Gretton, 2014), numerous examples of research show the utilization of recorded lecture videos or downloaded videos from the Internet. This is defined as “pure” flipping in which readily produced videos to replace live lectures are supposed to “have underpinned the excitement around

the flip movement” (p. 6). Bergmann and Sams (2012) agreed that using screencast videos as a substitute for lectures realized their own flipping, but showed that other teachers could also flip their class without

using videos at all. In order to facilitate the implementation process in this study, the following steps suggested by Francl (2014) in his study were used as the key guidance:

Figure 2

Sequencing Activities in FC (adapted from Francl, 2014)



2.2. Related Studies on FC

Similar to other new approaches in pedagogy, flipped classroom received both positive reactions and disagreeable criticisms from educational experts and educators. The conflict between the advocates and the opponents of the approach has aroused a heated debate in literature and thereby encouraging more research undertaken in the field. While some findings indicated promising results of the flipped classroom, the others proved otherwise, worse or no difference found.

Is flipped classroom a genuine revolution in pedagogy in the 21st century education?

Flipped classroom approach is believed to be more effective and sensible than the traditional ones. When the classroom is flipped, the work requiring lower cognitive level including remembering and understanding could be finished before class. As a result, higher cognitive levels of learning (analyzing, evaluating, and synthesizing) take place during class time in which students could get more support and guidance from their

teacher or peers. To put it differently, flipped approach closely complies with the revised Bloom’s Taxonomy proposed by Anderson and Krathwohl (2001). Besides, some research (Yang et al., 2018) also based their flipping research on other theoretical frameworks such as Vygotsky’s (1979, 2005) socio-cultural theory, or Piaget’s (1967) theory of cognitive conflict. Another reason why it is more effective than traditional class is it promotes two factors of success – student-centred learning and autonomy (Amiryousefi, 2017; Han, 2015, as cited in Turan & Akdag-Cimen, 2020). Francl (2014) has listed several studies on FC which indicate the widespread implementation of this approach at tertiary level in the US, including Satullo (2013) reporting “students [in Pennsylvania community colleges] are doing better than... traditional classroom” with students’ deeper engagement and increased teacher’s approachability, and Kucher (2013) referring to an impressive growth by 30% in the pass rate in an electrical engineering course at San Jose State University. Generally, the qualitative data on improvements in student engagement are significantly positive (Johnson, 2013). In his

own master thesis, Johnson (2013) stated that there was a remarkable improvement as regards to content delivery, in-class activities, and assessment. Basal (2015) reported some benefits of FC as perceived by the participants, including learning at one's own pace, advanced student preparation, overcoming the limitations of class time, and increased participation. Choe and Seong (2016) adapted Johnson's (2013) questionnaires to retrieve both quantitative and qualitative data in their implementation of FC in a foreign language course (a general English course) at college level in South Korea which indicated a largely positive result in terms of better chances of communication in English, greater participation, preparedness, feedback and deeper understanding of the course content. In a survey conducted in 2014, *Faculty Focus* collected data from 1,089 people to "gain a better understanding of their views on flipped learning". The key findings showed that a significant proportion of the participants have tried flipped classroom approach and intend to continue for better student engagement and improvement. More than 60% of those who had flipping experience considered it a positive one for both themselves and the students. The reason may lie in boosted students' collaboration and more questions received.

Or is it just a passing educational fad?

Besides the supporting studies, flipped classroom model also gained criticisms. Pettigrew (2012) in an *Macleans* article which explained why he did not flip his classroom questioned the source of motivation students needed to watch the online videos in their spare time. Although the proponents of flipped learning criticized the tedious and hour-lasting lectures as the main motive behind flipping decision, Pettigrew pointed out lectures when done properly did more than transferring information but also "context and

perspective". In this article, he also categorized flipping model as one of educational fads in the history which was born to fade in the history. One of the main problems of flipping model which constantly copes with judgment from the opponents is its success mostly relies on students' motivation to attend to the online lectures/videos at their leisure. Another issue is the additional work for already-busy teachers because they have to spend more time preparing materials, or record their lectures (Taylor, 2015). The case-study experiment with flipping model at Coventry University London Campus showed lower student performance and satisfactory level compared to non-flipped in the previous semester, echoing the negative finding in DeSantis et al. (2015, as cited in Lo & Hew, 2017). First and foremost, the researcher explained the reasons may lie in technological issue, lack of instructor contact, considerable workload of material preparation for teachers and student disengagement to partake in flipped activities. In case students do not study the materials before class, they could not take advantage of the class time to explore the lesson at greater depth as expected. Secondly, this model is not accessible and affordable for every student because not everyone could have all the required equipment such as tablet, smartphone or computer connected to strong Internet as well as a certain level of computer literacy. In addition, Burton (2013, as cited in Taylor, 2015) emphasized the investment in creating materials such as slides or video could be "labor intensive and onerous" for teachers. Last but not least, flipped classroom raised a concern about the lack of essential rapport between teachers and students which is gradually built up through direct communication during lectures. Lo & Hew (2017) in their review of flipped classroom studies also indicated several challenges in the use of this approach and categorized

them into student-related (familiarity, student workload, lack of support, etc.), faculty (familiarity, preparation) and operational difficulties (IT skills and resources, outside-class monitoring). Besides positive results, Choe and Seong (2016) noted that dissatisfaction was also found in some students due to time requirement of the online homework and quizzes, video quality and activity varieties. Some reviewed studies (Chen, 2016; Clark, 2015; DeSantis et al., 2015; Kirvan et al., 2015) showed no significant differences in student achievement between flipped and traditional class.

Through literature review, several points could be concluded: 1) more and more studies of the development and implementation of flipped class are undertaken and reported in journal publications; 2) mixed results are discovered to show both advantages and challenges of the approach; 3) more empirical research needs carrying out to prove its effectiveness on student achievement or performance and contribute to the growing body of knowledge in the subject matter; and 4) a significant lack of related research in Vietnam, which emphasizes the increasing demand for more implementation guidance to provide Vietnamese teachers necessary support to apply innovative teaching practices in the context of the national education reforms.

3. Methods

3.1. Sampling, Participants and Setting

The sampling method used in this study is non-probability based on convenience. The chosen class was randomly assigned to the researcher for the academic English course during the first semester of AY2020-2021. A background questionnaire was sent out to collect the background information of the whole class in order for the instructor to get a better grasp

of the participants. The questionnaire collected the demographic information (age, gender, hometown, major, program), their first-year GPA and final mark in the prerequisite course 2B, length of their English learning time, their computer use and experience with flipped classroom approach before. No identification information was collected from this survey to ensure the anonymity of the participants.

Regarding their demographics, the majority of the class is female students (90.5%), while male students and other genders (LGBTQ+) account for the remaining 9.5%. All the participants aged from 19-20 are all sophomores and majored in English (fast-track program). Their hometowns scatter in the northern region of the country (with 23.8% living in big cities).

The average GPA at the end of their first year is 3.12/4.0 (range 2.7-3.58), and the final mark in the prerequisite course (2B) is 7.9/10 on average (range 7-9.1). Their time exposure to English varies: more than half of the students (57.1%) have studied English for 5-10 years; 33.3% from 10-15 years and 9.5% for less than 5 years. Meanwhile, the students are quite similar in terms of technological experience and computer use. The average time they spend on the Internet is 4 hours, with a few exceptions of some claiming longer hours 6, 8, or 20 hours per day. A vast majority (90.5%) equally used their computer for education and entertainment purposes; 66.7% for communication or socialization; 42.9% for information updates; and just 14.4% for job-related purposes. 71.4% reported no previous experience with flipped approach before the course, while 28.6% selected affirmative reply.

The course in the study is a 4-credit academic English one, designed for English-majored students. The course lasts 15 weeks (one semester) with no required mid-term or end-term tests. It consists of two sessions:

Reading-Writing and Listening-Speaking, taught separately by two teachers. This study involves the former section only. The assessment is an on-going assignment which requires students to collect reading materials and select information from these to develop their own arguments/claims in a written 600-word essay. Students have to choose a topic (either argumentative or discursive one) in the first week; finish selecting reading materials by week 5 to seek teacher’s feedback and approval; submit the essay outline in weeks 8-9; submit the first draft of the essay in week 11; then get feedback, revise and submit the final package in week 15. The reading portfolio accounts for 40% of the final mark, and the essay 60%.

3.2. Implementation Procedure

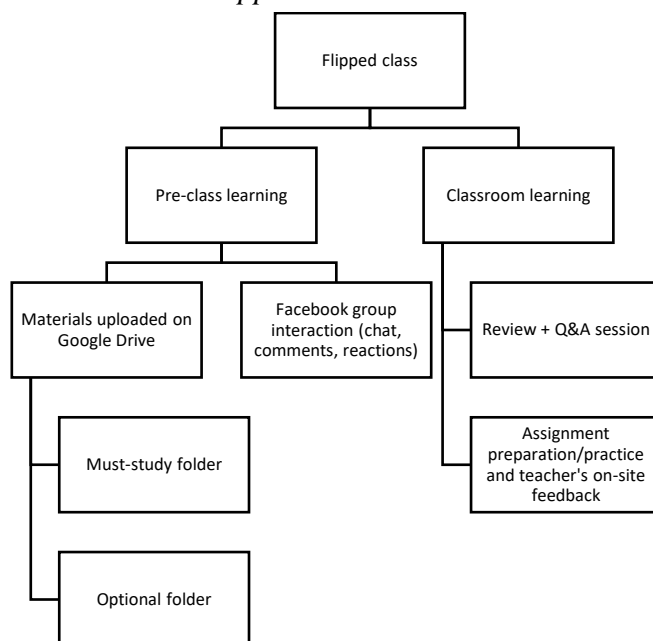
In the first three week, due to the impact of Covid-19 pandemic, online classes via Zoom using traditional lecture teaching mode were carried out. Over this period, the

idea of applying flipped classroom was triggered and the researcher prepared the needed materials for the upcoming flipped lessons. Then flipped method was used from week 4 to week 12 in which the lectures contained all the core knowledge of the course. From week 13 to week 15, the students had to present their text and argument selection in reading panels and then finalize their portfolio to submit in week 15, so there was no flipped class during this phase.

One week before each class meeting, the students were sent all the materials for self-study through posts in a private class Facebook group. The pre-class materials generally include: 1) Must-study folder (week 4 - week 12) which contains: a ppt slide, video(s) and supplementary handouts and 2) Optional folder (week 6 – week 12) contains: more videos and/or supplementary handouts. The structure of a flipped class in the study could be illustrated as follows.

Figure 3

The Structure of Activities in the Flipped Class



The slides predominantly contain all the core contents based on the course book, examples to illustrate or explain the theories,

and the answer keys to the exercises in the book. In fact, according to the suggested FC activities, each Powerpoint lecture should be

self-recorded videos or voice-overs. However, due to the time limit for preparation, the researcher decided to use Powerpoint slides only, supplemented by lecture videos from prestigious universities globally downloaded from the Internet (i.e James Cook University-Australia, Monash University-Australia, University of Minnesota-USA, HELPS University of Technology Sydney-Australia, Athabasca University-Canada, to name a few). Bergmann and Aaron (2012) suggested creating self-made videos or using someone else’s videos be both acceptable, and insisted on not making one for the sake of making a video. In case of time shortage, discomfort in front of camera, or technophobia, teachers do not need to record themselves and should opt for the latter choice. This semester the instructor did not have time to create her own videos, so selecting videos on the Internet was a safety net. In addition, a few supplementary materials were carefully selected to provide more useful knowledge and information in the light of their

Table 1

Teacher and Students’ Roles in Flipped Class

	Students	Teacher
Pre-class	Access and study the provided materials Take notes of main ideas and questions (if any) Discuss with their peers about questions and assignment	Prepares and uploads materials Keeps track of students’ study process through instant feedback (Facebook comment)
Class time	Answer teacher’s review questions of the previous weeks (brief review) Attend mini-lectures (if any) and ask prepared questions (Q&A) Practice performing skills which they have learned	Helps students to review learned knowledge/skills Answer students’ questions Guides the process with feedback and mini-lectures (if necessary)
After class	Continues to apply their knowledge/skills after clarification and feedback Seek teacher’s help when they need it Reflection via after-class feedback forms (6)	Posts any additional explanations and resources as necessary Continues to provide feedback or grade students’ work Continues to guide students towards deeper understanding

relevance and credibility. The students were advised to go through all of the materials in the must-study folder and only proceeded with the other one if they really want to. The items in the optional folder adhered to the lecture objectives and thereby supplying related materials to further students’ understanding of the contents. As Wantanabe (2014, as cited in Yang et al., 2018) suggested the connection between pre-viewing material and the in-class activities as a way to boost previewing rate, the instructor designed review part to test students’ understanding and remembering/knowledge retention for 15-30 minutes before any class. The review part could take form of a set of reviewing questions (mostly) or Kahoot! quizzes (occasionally).

The following table, adapted from FC model at University of Texas at Austin (Choe & Seong, 2016), shows the teacher and students’ responsibility in different phases of the flipped class in this research.

3.3. Data Collection

The study utilized both quantitative and qualitative data in order to provide a balanced and objective view on the subject matter. The instruments were selected carefully to answer the intended research questions.

Quantitative data

An end-of-course questionnaire was developed to examine the students' perception of flipped classroom. The survey was based on Johnson's (2013) and Jaster's (2017) questionnaires. Although both of these surveys were used for mathematics courses, some constructs (i.e. Johnson's survey: contribution of FC to the mastery of the main contents of the course, flipped classroom; or Jaster's: video viewing engagement, preference for the flipped format) proposed by these researchers are relevant to a language course using flipped classroom. Jaster's (2017) survey seems to be more relevant and better validated than Johnson's (2013); therefore, five questions from the former was borrowed and/or adapted to put in this study questionnaire while only one came from the latter. The questionnaire consists of twenty-one closed-ended ordinal scale items with responses given on a 5-point Likert scale ranging from

1 to 5 (1 means strongly disagree, 5 means strongly agree). The survey measures student perception in terms of five constructs including 1) mastery of the main contents of the course (5 questions), 2) evaluation of provided previewing materials on Google Drive (4 questions), 3) material studying engagement (5 questions), 4) evaluation of class time (5 questions) and 5) preference for the flipped format (2 questions). The questions of each construct were then mixed randomly in order to avoid transparency and enhance the internal validity and reliability.

After piloting the questionnaire with eight students (~38%) chosen voluntarily out of the sample, Cronbach's alpha was calculated for each of the survey constructs to estimate the consistency of responses between the items corresponding with the construct. Four out of five constructs had desirable reliability scale values, whereas question items 15 and 20 in Material studying engagement appeared to lower the reliability of the construct. As a result, these two items were deleted and the final Cronbach's alpha of this construct was 0.717.

In the end, a questionnaire of nineteen items were administered to the sample to collect required data (see Appendix A)

Table 2

Questionnaire Reliability With Cronbach's Alpha Before and After Pilot Revision

Survey construct	Questionnaire items at pilot	Cronbach's Alpha at pilot	Questionnaire items after revision	Cronbach's Alpha after revision
Mastery of the main contents of the course	1, 2, 7, 12, 13	0.969	1, 2, 7, 12, 13	0.969
Evaluation of provided previewing materials on Google Drive	3, 8, 19, 21	0.941	3, 8, 18, 19	0.941
Material studying engagement	4, 11, 14, 15, 20	0.361	4, 11, 14 (deleted 15 & 20)	0.717

Evaluation of class time	5, 9, 16, 17, 18	0.936	5, 9, 15, 16, 17	0.936
Preference for the flipped format	6, 10	0.874	6, 10	0.874

Qualitative data

Six after-class quick feedback forms from lesson 1 to lesson 6 (08/09 – 27/10/2020): The forms mainly used 8-9 open-ended questions to collect students' feedback after the first six classes so that the teacher could make necessary adjustments to the practice.

The instructor's self-reflection on flipped class experience: The four pillars of F-L-I-P™ which was developed by FLN (see Appendix B) was used to guide the instructor's own reflection on her flipping experience.

The instructor's observations of the quality of students' assignments: A checklist of reviewing aspects was developed to examine the quality of students' assignments with reference to selection of reading materials; paraphrasing, summarizing and synthesizing skills; developing arguments in two essay genres; and the use of APA citations and references. This process utilized students' submission package and teacher's feedback and grading papers to retrieve needed information to tackle the last research question.

3.4. Data Analysis

All the after-class feedback forms were anonymous so that the students could honestly express their ideas or opinions towards the course approach or the instructor.

The questionnaire and interview were carried out after all the assignments were graded and the grades together with teacher's feedback were sent to all the students in order to guarantee the results from these instruments would not affect the

marks, the instructor's affection/mood and the on-going instruction.

Survey data: The survey data were quantitatively analyzed using SPSS 20.0 to produce descriptive statistics for understanding students' perception of flipped class. A measure of central tendency (mean) and a measure of variability are calculated and included for each construct in the survey.

Feedback forms: The qualitative data were coded to look for any existing common patterns, themes and categories. The entailed interpretation was to relate the found patterns to the research questions.

Instructor's self-reflection: The field notes written by the instructor during the course were collected and analyzed based on four themes: flexible environment, learning culture, intentional content and professional educator.

Observation of students' work: The students' on-going assignment together with the assigned marks and the teacher's feedback were qualitatively analyzed to point out the strengths and weaknesses in terms of knowledge mastery and application.

3.5. Ethical Considerations

The participation of the students in this study is voluntary. Before the implementation, the instructor introduced the approach to the whole class with all necessary information (including both advantages and disadvantages) so that they could make a well-informed decision whether they want to have their learning flipped or not. The students also answered the questionnaire and attended the interview at their own will and could withdraw from the study at any time.

Both the feedback forms and survey did not collect any identification information of the participants so that all the provided information was kept anonymous. Besides, the survey was administered to the students only when the course had finished and all the grades had been informed to them. The researcher also made it clear that their answers in the questionnaire would not affect their final mark at all.

4. Results

4.1. Research Question 1: Student Perceptions

Survey data and feedback forms
Quantitative data collected from the survey was analyzed to reveal student perceptions of flipped classroom as regards research question 1. The mean and standard deviation of the responses to all questionnaire items in each construct were calculated and reported in Table 3. The supplementary data from six after-class feedback forms (mostly in qualitative data because the forms mainly comprise open-ended questions) was also utilized to further capture and characterized the perceptions.

Table 3

Descriptive Statistics for Survey Constructs

Survey construct	M	SD
Mastery of the main contents of the course (M)	3.9905	.618

Table 4

Descriptive Statistics for Each Question Item in One Construct

Theme 1	Mastery of the main contents of the course	Code	M	SD
Item 1	I believe that I am able to learn the course contents better with flipped classroom instruction than with traditional lecture-based one.	M1	4.10	.700
Item 2	I feel that I have learned how to write a research-based argumentative or discursive essay well in flipped classroom.	M2	4.10	.831
Item 7	I feel that I have learned how to develop an effective search strategy	M3	3.90	.768

Evaluation of provided previewing materials on Google Drive (EM)	4.3452	.539
Material studying engagement (ME)	3.4444	.618
Evaluation of class time (EC)	4.1667	.713
Preference for the flipped format (P)	4.1667	.713

As regards the first construct Mastery of the main contents of the course (M), the mean of 3.99 suggested that the respondents felt that the flipped classroom helped them to learn the course contents better than the traditional one, and that they have been able to acquire the core knowledge and skills required in the course including: how to write a research-based argumentative or discursive essay (mean of 4.10), how to evaluate materials (4.05), how to develop an effective search strategy (3.90), and how to use APA in-text citations and references (3.81) (arranged with descending means). The students appeared to be the most confident about writing two kinds of research-based essays introduced in the course and the least about APA citations and references, which was then confirmed in the analysis of their submitted work at the end of the semester. The aspect of APA in the written essay got the lowest mark of all because students make frequent and critical mistakes in both citations and references.

	well in flipped classroom.			
Item 12	I feel that I have learned how to use APA in-text citations and references well in flipped classroom.	M4	3.81	.680
Item 13	I feel that I have learned how to evaluate materials well in flipped classroom.	M5	4.05	.805

The second construct named Evaluation of provided previewing materials on Google Drive (EM) consists of the questions asking the students to evaluate the provided materials before each class. The highest mean of 4.35 and lowest standard

deviation of .539 would indicate that the students highly valued the material package prepared by the teacher in terms of diversity of types (mean of 4.67), relevance (4.33), quantity (4.24), and usefulness (4.14).

Table 5

Descriptive Statistics for Each Question Item in One Construct

Theme 2	Evaluation of provided previewing materials on Google Drive	Code	M	SD
Item 3	I think that the number of provided materials before class is sufficient to meet each lesson’s objectives.	EM1	4.24	.768
Item 8	The provided materials are of various types (videos, slides, handouts)	EM2	4.67	.658
Item 18	I find all the materials academic, reliable and relevant to each lesson’s objectives	EM3	4.33	.658
Item 20	Studying the provided materials before class helps me feel more prepared and confident in class.	EM4	4.14	.793

In after-third-class feedback forms, while 90.9% of the participants rated the materials as “very useful and relevant to the lesson”, about 9% thought that the materials were quite good, but needed little improvement. When asked to specify their idea of improvement, one student wanted to have “more detailed information in the slides” to understand the lesson more deeply because the slides were believed to be only “the summary” of the lecture. In fact, the slides contain all the content the instructor intends to deliver to the students because she

is well aware of the lack of instructor support at home when students study the course by themselves and no recorded live lectures are included in the folder to further explain the ideas. However, this cannot assure that students could get everything they need from the materials; that is why the importance of brief review, mini-lectures and Q&A sections should not be neglected.

In the fourth feedback form, there are several direct comments on the materials as follows.

Table 6

Student Responses on the Provided Materials

Student responses	
Must-study folder	“important and useful – when I have any difficulties, I could open the folders again and review the noteworthy points.”

	<p>“sufficient numbers, good quality and the contents are good. Lots of new information is out of the course book but extremely useful”</p> <p>“Fairly useful, plenty of information relevant to the course book and updated”</p> <p>“sufficient in quantity, useful, and help me to master the knowledge”</p> <p>“... provide illustrative examples, so help us to understand [the content] more easily”</p> <p>“I find them useful because it helps me to get all the main ideas of the lesson. I can also check my exercises with provided answer keys. However, the number is too many, so I can only study half of them carefully”</p>
Optional folder	<p>“I can learn several things from the Optional”</p> <p>“I always study the Optional and find them very relevant with necessary knowledge and skills to the lesson”</p> <p>“I think it will be useful because you (the teacher) have selected them, I will study it at the mid-term break”</p>

Thirdly, the construct of Material studying engagement was designed to examine the frequency of student self-study on the previewing materials including Must-study and Optional folders. This third construct got a mean which is slightly higher than the midpoint of 3 and had a standard deviation of .618 shown in Table 3. The

survey data suggest that some students are more engaged in studying the materials than the others, and that although the Optional folder was thought to be quite necessary for learning, more students chose to study Must-study folder only. The Optional, as one student said, was saved for mid-term break or whenever they had more leisure time.

Table 7

Descriptive Statistics for Each Question Item in One Construct

Theme 3		Material studying engagement	Code	M	SD
Item 4	I only study Must-study folder all the time		ME1	3.48	.981
Item 11	I study both Must-study and Optional folder all the time		ME2	3.24	.944
Item 14	I feel that the Optional folder is necessary for my learning		ME3	3.62	.921

Finally, the fourth and fifth constructs of Evaluation of class time (EC) and Preference for the flipped format (P) had the same mean of 4.1667 and the standard deviation at .713. The statistics indicate that the students highly appreciate the use of

class time and show a fairly strong preference for flipped model. The main reasons might be that more useful feedback was given (mean of 4.33) and they had more time for practice (4.38) instead of listening to hour-long lectures.

Table 8

Descriptive Statistics for Each Question Item in One Construct

Theme 4		Evaluation of class time	Code	M	SD
Item 5	I like being able to speak with my instructor during class and receive individual help when working on the assignment.		EC1	4.19	.873

Item 9	I can get more useful feedback from the teacher in flipped classroom than traditional one.	EC2	4.33	.730
Item 15	Flipped classroom offers me more opportunities to collaborate with my teammate(s) during class time	EC3	4.14	.793
Item 16	I have more time to practice in class	EC4	4.38	.669
Item 17	The class time in flipped classroom is more effective than traditional one.	EC5	4.05	.921

Table 9
Descriptive Statistics for Each Question Item in One Construct

Theme 5	Preference for the flipped format	Code	M	SD
Item 6	I would like to have another flipped classroom in the future.	P1	4.33	.856
Item 10	I prefer the flipped classroom format to the traditional lecture format.	P2	4.00	.775

Through the feedback forms, some of student thoughts were captured as follows:

After the second class:

“The atmosphere is more exciting and we can do more practice”

“Very useful because we can deal with the difficulties in doing our assignment directly. Besides, we can practice with the sources we have found. I think it is truly effective”

After the third class:

“Very practical because our work is commented and then revised right at class”

“More effective because we can continue to work on our assignment”

“Very detailed and the teacher gives us some helpful suggestions”

“She (the teacher) reviews all the learned materials, comments on the found reading texts and guides us on directions”

4.2. Research Question 2: The Instructor’s Self-Reflection on the Flipped Classroom Practice

The instructor’s self-reflection was analyzed by four main themes adopted from

four pillars of F-L-I-P namely flexible environment, learning culture, intentional content, and professional educators with respect to research question 2.

4.2.1. Flexible Environment

The flipped classroom provided flexible learning modes for the students

In terms of the flexibility of *space and time*, the instructor uploaded learning materials about one week before every class meeting. This is to make sure the students had sufficient time to study the materials and seek for peers’ or instructor’s help if necessary. They would have time to try applying the knowledge in completing the assignment and figure out any popped-up problems in their private space. The students shared that they could study the materials at their own pace, in their most comfortable place and at their most convenient time. Simultaneously, the teacher could save a significant amount of class time to guide students’ practice instead of delivering theories. Thanks to this, she was also better aware of the students’ problems and needs to accommodate while progressing through the assignment.

The flipping model set flexible expectations and assessment of learning

Two folders of materials were given, but the instructor did not expect all of the students would study both of the folders completely all the time. The feedback form responses show that most of the students (40-60%) were more likely to study all or part of the Must-study folder, while a minority (around 10%) of them also studied Optional folder. From the observation of review and Q&A session, several students were more willing to share their understanding of the knowledge than others while most of the others remained silent unless being asked. During class time, the students were allowed certain periods of time (10-30 minutes) to discuss with their partners, work on their assignment and raise questions to look for the instructor's support. In this part, most of the students showed that they were well aware of the tasks and less hesitant to ask questions or call for support.

With respect to different ways to learn content and demonstrate mastery, normally, students only have a course book to study in the course. With the uploaded materials, the participants had more choices ranging from written ones (worksheets, handouts) to audio/visual ones (slides, videos) which were believed to cater for different learning styles. However, it was a pity that the course did not offer a variety of ways for mastery demonstration. The students all had to submit the same assignment of a reading diary and a written essay. In order to improve this limitation, the instructor informed them of rewarding a bonus mark up to 0.5 if they showed creativity in presenting their work (suggested as video, blog, vlog, newspaper article, etc.). Nevertheless, no students did this at the end of the course. All of the submissions were in written form.

4.2.2. Learning Culture

Flipped classroom was more learner-centered than the traditional one

A significant amount of class time was allotted to the students' pair work to practice the skills or apply the learnt knowledge in doing the assignment. For example, they developed their own search strategy to look for relevant and academic readings in week 4 and then evaluated these to select the best ones for their essay writing in the following weeks. While doing so, they could always get instant feedback from the teacher, or watch the teacher's demonstration with a sample before attempting to carry out by themselves. So the flipped model gave them opportunities to engage in meaningful activities without the teacher being central.

In terms of differentiation, the researcher holds a firm belief in students' differences and individual preferences in learning. However, differentiating instructions to a class of 20-30 students within a limited time stretch is not always feasible task, sometimes undoable even. Meanwhile, flipped class offers more interactive one-to-one time between teacher and student, and thereby making differentiation more possible and realistic. Admittedly, not much differentiation as expected was seen in the course although the teacher attended to different pairs differently in terms of allocated time and feedback depending on their need. Some pairs were faster in the process and could get feedback on their work, but the others who were slower could get more advice in certain steps. The instructor could spend more time with more struggling students and provide more constructive feedback for fast-finishers (often stronger students) to better their work. By this way, struggling students could get more help and attention from the teacher.

4.2.3. Intentional Content

In the course there were many important concepts new to the students such as active reading, search strategy, research-based writing, or APA style, to name a few. In a non-flipped classroom, these concepts would require a considerable amount of lecture time to get through to students. After the lectures finished, there would hardly be anytime left for practice so it was very often set as homework and became neglected. Using flipping model, the teacher could send the materials which explain these concepts thoroughly beforehand and then spend a more reasonable amount of class time reviewing, and answering students' questions regarding these concepts or demonstrating how to do it visually. By doing this, much more time was saved for more meaningful practice activities, whereas the concepts were still understood much better than in traditional lecture type.

Each lesson was planned to include all the following sections: brief review Q&A, mini-lecture, student practice with teacher's feedback and support. However, not all of these sections were delivered, but which ones depend on student's understanding and mastery of the contents. Mini-lectures were carried out only when students showed the need for further and direct instructions and explanations. Otherwise, the time would be spent on student practice and teacher feedback.

4.2.4. Professional Educators

Students have to work harder in FC in order to get a good grasp of the lectures all by themselves, so does it mean instructors either become redundant or get "a free ride"? In fact, instructors, now "the facilitators of learning" have a more challenging role of giving more insightful one-on-one consultations to students and tapping into deeper learning of the subject matter (Francel, 2014). The role is switched from "sage on

the stage" to more of "guide on the side" (Choe & Seong, 2016). While the students were discussing or working on their assignment, the teacher usually walked around to offer support. Whenever they had a question, it could be handled right away. Besides, the teacher also encouraged the students to email or text her via Messenger or Facebook comments if they encountered any problems out of class.

With respect to feedback, students only get feedback once they submit their assignment in conventional class. Flipped classroom provides them a chance to get feedback step by step along the way and thereby making necessary adjustments before the final submission.

After each module of main content ended, the teacher would assess the students' work and give feedback. For example, after learning how to create an effective search strategy and make a good evaluation, the students had to find and select three reading texts reliable and relevant to their essay topic. The teacher would take a look at all pairs' selection and either approved if they met the requirements or otherwise asked them to redo the selection process. Additionally, through observation in review section of every class, some students were asked to re-study the materials in case they showed a lack of understanding and/or mastery. However, admitted as a limitation of the course, the instructor did not arrange any online quizzes or tests for the students to do their own self-assessment after studying the materials. This is a big missing point.

After-class feedback forms were recorded to make essential modifications in order to guarantee the participants' satisfaction. Six students' quick feedback forms which were administered in the first six weeks of the implementation together with the instructor's own observation were two main sources of information for adjustments. Some of the modifications have

been done:

- In the second feedback responses, a student wanted the materials to be sent earlier so that they could arrange self-study time more conveniently for different courses. After that, the instructor set the time one week before the due class for the materials to be handed out since then.

- In the first five weeks, the materials were all compulsory. From week 6 onwards, the instructor added the optional folder which provided more materials for those who were willing to study more deeply. The must-study folder was minimized to the core knowledge one must absorb to do the assignment, which reduced the workload for weak students to some extent.

Last but not least, the teacher had to spend more time preparing each lesson than before. These added tasks included making slides, searching for and selecting materials, uploading them and writing feedback for the students. Sometimes, it was true pressure to keep up to the uploading schedule and feedback returns; however, it was really worth the effort when observing more of the students' improvement and less of their confusion and disengagement in class,

earning their gratitude for the constructive comments.

4.3. Research Question 3: The Quality of Students' Assignment

The students were divided into 10 groups (9 pairs and 1 group of three), and they all submitted their assignments on schedule.

Each assignment was then assessed based on the course rubrics. The reading section was marked in terms of 1) the selection of texts, 2) interactions with the texts, 3) notes and 4) reading panel. The essay rubric evaluates student work with respect to 1) task response and quality of arguments, 2) coherence and cohesion, 3) language use, mechanics and formality, and 4) APA citations and references.

In this study, the quality of students' assignments would be reviewed with reference to certain aspects which are the main contents of the course. This is to examine the effectiveness of flipped classroom on students' mastery of the main contents shown in their own end-term product and thereby tackling research question 3.

Table 10
Reviewing Aspects of the Assignment

Targeted aspects	Selection of reading materials	Paraphrasing, summarizing and synthesizing skills	Developing arguments in two essay genres	The use of APA citations and references
Guiding questions	Were they able to search for and select academic readings relevant and useful for their writing?	Were they able to paraphrase, summarize and synthesize the information from the texts?	Were they able to write a proper essay (argumentative or discursive) as requested? Were they able to develop effective arguments?	Were they able to cite the sources properly (both in text and in reference list)?
Teacher's Evaluation	All of the groups chose from 3 to 6 reading texts	Of three skills, 3 groups did not write synthesis	The majority (80%) could develop effective arguments	They had the lowest point for this aspect. 80%

<p>which are all relevant to their essay topic and taken from academic sources. The genres of the reading texts are predominantly journal articles. Three pairs also used encyclopedia entries, or conference paper, or book, or dissertation as their references.</p>	<p>paragraph(s) in their notes, while all groups did the paraphrase and summary. 4/10 (40%) groups showed good paraphrasing skills, and the same figure with synthesis. On the other hand, summarizing skill had a much higher percentage of good work at 80%. The rest needed more or less improvement, except for one group which synthesized the information quite badly.</p>	<p>with claim-warrant-grounds in the whole essay. Two groups (20%) showed a lack of warrant in one argument. Either of them also provided irrelevant ground or ineffective claim once in the essay. They all got 8.5-9.0 (out of 10) for task response and quality of arguments.</p>	<p>got 5.5 or 6, and just 20% had over 7 (out of ten). For those with 5.5 or 6, they made frequent mistakes in both in-text citations and references. 4 groups even had the whole reference list in inaccurate format. For those getting over 7, they made several mistakes in both citations and references, except for one group getting 8 who showed no mistakes in in-text citations.</p>
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As shown in Table 10, the students showed good mastery of text selection and argument development although there still remained occasional missing warrants or an irrelevant ground or an ineffective claim. These were followed by the set of three writing skills in which the participants demonstrated good summarizing skill, but were somewhat not confident in synthesizing one. Last but not least, the students are not adept at the use of APA style in both citations and references. Some common mistakes they mostly made were: no hanging indent, use of bullet points, missing required information (pages, volumes, DOI, links, etc.).

5. Discussion

Regarding the first research question, the study findings show positive perceptions of the students towards flipped classroom in almost all respects asked in the survey, especially affirmative feedback on provided

materials and class time use. This echoed the results found in the previous research: improved engagement (Satullo, 2013; Johnson, 2013; Basal, 2015; Yang et al., 2018), more meaningful use of class time (Yang et al., 2018), better understanding of course content (Choe & Seong, 2016). The plausible reason for this could be flipping the course has truly offered them more time for practice right in class. Compared to the traditional lecture-based classroom, students have more practice opportunities individually and in small groups. More importantly, because the teacher is freed from the lecturing and task checking role, the students could always seek for the teacher’s direct support or instant feedback on their work. This resulted in better satisfaction of class time. Besides, flipping model witnesses more questions asked and issues raised by students mostly due to the fact that there is more silent time in class in which students feel less hesitant to raise their voice

without interrupting their instructor. As a result, the quality of their assignments was significantly improved compared to those of previous cohorts studying in traditional classroom. Based on the instructor's own experience teaching the same course for six consecutive years, students of previous cohort were confused between argumentative and discursive essays and thereby getting subtracted points in task response. What is more, they also made worse selection of texts in terms of reliability and/or relevance. They had not had as much support and guidance from instructor as these participants did.

In answering the second question, from the instructor's perspective, there was no need to spend hours talking and explaining, but very often fail to finish the lesson on time. The contents in academic English course, especially reading and writing, could be quite long and not easy to acquire at once. Therefore, the learning opportunities afforded by flipped activities before class have facilitated the acquisition of these main contents. Together with brief review, mini-lectures and Q&A sections in class, students would have had a good grasp of knowledge by the time each class meeting ended. Additionally, students also get exposed to more materials than usual when the course book has been studied in advance outside class in their spare time. The self-reflection revealed flipped classroom truly afford more time for practice, feedback and one-on-one interactions. Despite the mentioned challenge of extra workload (preparation and feedback) which leads to occasional pressure, the instructor also echoed the positivity of the students about this teaching approach.

In terms of the last question, the quality of the students indicated radical improvement although the use of synthesizing skill and APA reference did not live up to the instructor's expectation. This finding is similar to other studies: improved

academic success and retention of knowledge (Boyraz & Oca, 2017) or positive impact on language skills (Amiryousefi, 2017) or idiomatic knowledge (Chen Hsieh et al., 2017). What is new in this finding is the humble impacts of the teaching mode on synthesizing and APA referencing skills. A possible explanation is these skills are among the advanced ones and hard to master at once. The students definitely need more guiding demonstration and real practice in research over time.

In the literature, there were a number of studies undertaken in general English courses which mainly focus on listening and speaking skills. The findings reported here shed new light on the effectiveness of flipped classroom in an academic English course focusing on reading and writing components. Among the constructs in the survey, while four of them could be replicated in almost all kinds of courses or subjects, the first construct namely the main contents of the course was made very unique to the subject; and therefore, it indicated an original finding which contributed to our understanding whether the flipping mode was effective in delivering such complex academic knowledge to students. This was confirmed positively in the answers to the first and third questions, which was shown through affirmative student perception of mastering the contents as well as the significantly improved quality of submitted works.

6. Conclusion

The implementation of flipped classroom in this study has its own limitations in some respects. Firstly, because of a lack of preparation time, no recorded or voice-over self-made videos were used in the course. The videos are curated from the Internet, so students may not feel as connected to the video teachers as their own instructor. Secondly, although there has not

been a standardized procedure to carry out a flipped class yet, researchers (Francl, 2014; Yang et al., 2018) who applied or examined this approach seem to agree with each other in that an online quiz/test should be provided together with the pre-viewing materials for students to test themselves and evaluating their absorption of knowledge. However, in this research, the instructor could not prepare any online quiz/test so the students had to make their self-evaluation on their own and decide how many times they should go through the learning materials. In the future research, this self-testing feature should be added to facilitate students' self-paced e-learning more effectively. Moreover, even though the teacher introduced Facebook group with all of its useful functions to support further interactions outside the classroom, this was mostly done out of the students' own free will. There were no designated slots of online chats as in Yang et al. (2018) or obligations of leaving comments or reactions to posts on this platform at all. In addition, the small sample makes this a case study rather than a survey one, which somewhat prevents generalization of the findings to the population. Therefore, the research can actually function as a pilot study with exploratory purpose, paving the way for a further future study on a larger scale. Besides, there was a lack of training for students how to use the pre-delivery materials effectively (note taking, critical thinking, questions) and how to make the most use of in-class time with their teacher and peers (asking good questions). Last but not least, video views were not counted by Google Drive compared to other learning management systems. Therefore, the teacher cannot monitor students' engagement with flipped activities at home. Although the participants were encouraged to report their progress of material study on the class Facebook group, this was hardly done. Besides, what was found in the survey, there were no other ways to assure their

engagement level.

From the study, some advice could be drawn to improve the implementation for further research. First of all, recorded lecture videos and self-assessment quizzes should be prepared in advance before the start of the semester. Preparing the materials during semester time would prevent instructors from producing sufficient quantity or high-quality materials for students. Secondly, the use of the flipped-mastery model (Bergmann & Sams, 2012) could allow students to learn through the materials and master the course objectives at their own pace. Flipped-mastery model is a combination of flipped and mastery learning: students can master different objectives of the course at their own pace at different time and be provided with formative assessment for self-check together with summative assessment at the end. Through summative assessment, if students cannot demonstrate their mastery over a particular objective, a remediation is then offered. This is used for the course in which the mastery of one certain objective is required for the grasp of all the subsequent objectives. Thirdly, future research should be based on reliable theoretical framework such as Piaget (1950) or Vygotsky's (1978, 2005) socio-cultural theory. Fourth, the contents of all weeks should be provided beforehand, so that some students could even work ahead of the course schedule at their preferred pace. Last but not least, the platforms chosen for uploading pre-viewing materials should have a function of checking the views: checking students' notes, requiring every student to ask at least one question related to the materials, doing the self-check quizzes (e.g. Kahoot challenge lets you know how many players have taken the challenge). There needed mechanisms to monitor students' self-study hours with the materials before class.

All in all, this approach is a truly promising one in teaching English as a foreign language, but needs more empirical

research to make it more grounded. Besides, practitioners when implementing it might beware of the limitations in this study, consider the advice, and draw lessons from this case for a better utilization of the teaching approach.

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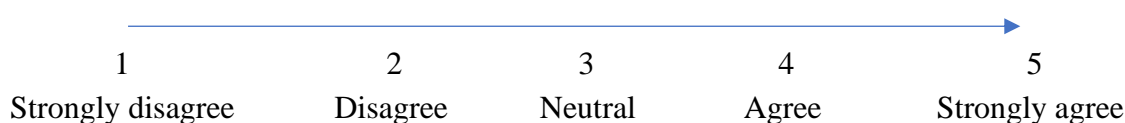
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Appendix A: Student Survey

For the following questions except items 15 and 20, please circle the number that best reflects your perception on a five-point scale.



For items 15 and 20, please chose one of the five options shown with the item below.

No.	Questions	1	2	3	4	5
1	I believe that I am able to learn the course contents better with flipped classroom instruction than with traditional lecture-based one.	1	2	3	4	5
2	I feel that I have learned how to write a research-based argumentative or discursive essay well in flipped classroom.	1	2	3	4	5
3	I think that the number of provided materials before class is sufficient to meet each lesson’s objectives.	1	2	3	4	5
4	I only study Must-study folder all the time	1	2	3	4	5
5	I like being able to speak with my instructor during class and receive individual help when working on the assignment.	1	2	3	4	5
6	I would like to have another Flipped Classroom in the future.	1	2	3	4	5
7	I feel that I have learned how to develop an effective search strategy well in flipped classroom.	1	2	3	4	5
8	The provided materials are of various types (videos, slides, handouts)	1	2	3	4	5
9	I can get more useful feedback from the teacher in flipped classroom than traditional one.	1	2	3	4	5
10	I prefer the flipped classroom format to the traditional lecture format.	1	2	3	4	5
11	I study both Must-study and Optional folder all the time	1	2	3	4	5
12	I feel that I have learned how to use APA in-text citations and references well in flipped classroom.	1	2	3	4	5
13	I feel that I have learned how to evaluate materials well in flipped classroom.	1	2	3	4	5

14	I feel that the Optional folder is necessary for my learning.	1	2	3	4	5
15	Flipped classroom offers me more opportunities to collaborate with my teammate(s) during class time.	1	2	3	4	5
16	I have more time to practice in class in flipped model.	1	2	3	4	5
17	The class time in flipped classroom is more effective than traditional one.	1	2	3	4	5
18	I find all the materials academic, reliable and relevant to each lesson's objectives	1	2	3	4	5
19	Studying the provided materials before class helps me feel more prepared and confident in class.	1	2	3	4	5

**Appendix B: The Four Pillars of F-L-I-P™
(for teacher's reflection)**

Flexible environment		
F1.	I establish spaces and time frames that permit students to interact and reflect on their learning as needed.	<input type="checkbox"/>
F2.	I continually observe and monitor students to make adjustments as appropriate.	<input type="checkbox"/>
F3.	I provide students with different ways to learn content and demonstrate mastery.	<input type="checkbox"/>
Learning culture		
L1.	I give students opportunities to engage in meaningful activities without the teacher being central.	<input type="checkbox"/>
L2.	I scaffold these activities and make them accessible to all students through differentiation and feedback.	<input type="checkbox"/>
Intentional content		
I1.	I prioritize concepts used in direct instruction for learners to access on their own.	<input type="checkbox"/>
I2.	I create and/or curate relevant content (typically videos) for my students.	<input type="checkbox"/>
I3.	I differentiate to make content accessible and relevant to all students.	<input type="checkbox"/>
Professional educators		
P1.	I make myself available to all students for individual, small group, and class feedback in real time as needed.	<input type="checkbox"/>
P2.	I conduct ongoing formative assessments during class time through observation and by recording data to inform future instruction.	<input type="checkbox"/>
P3.	I collaborate and reflect with other educators and take responsibility for transforming my practice.	<input type="checkbox"/>

Appendix C: Descriptive Statistics for Each Survey Item and Each Survey Construct

Descriptive Statistics

	N	Minimum	Maximum	Mean	Std. Deviation
M1	21	3	5	4.10	.700
M2	21	3	5	4.10	.831
M3	21	3	5	3.90	.768
M4	21	3	5	3.81	.680
M5	21	3	5	4.05	.805
EM1	21	3	5	4.24	.768
EM2	21	3	5	4.67	.658
EM3	21	3	5	4.33	.658
EM4	21	3	5	4.14	.793
ME1	21	2	5	3.48	.981
ME2	21	2	5	3.24	.944
ME3	21	2	5	3.62	.921
EC1	21	3	5	4.19	.873
EC2	21	3	5	4.33	.730
EC3	21	3	5	4.14	.793
EC4	21	3	5	4.38	.669
EC5	21	2	5	4.05	.921
P1	21	3	5	4.33	.856
P2	21	3	5	4.00	.775
Valid N (listwise)	21				

Descriptive Statistics

	N	Minimum	Maximum	Mean	Std. Deviation
M	21	3.00	5.00	3.9905	.61798
EM	21	3.00	5.00	4.3452	.53896
ME	21	2.33	5.00	3.4444	.61764
EC	21	3.00	5.00	4.1667	.71297
P	21	3.00	5.00	4.1667	.71297
Valid N (listwise)	21				

Appendix D: Lesson Plan Sample

Lecturer's name:	Date:
Course: Academic English 3B* (Reading and writing)	Duration: 4 periods (~ 3 hours)
Unit/Week: 4	
Topic: Evaluating and selecting reading sources	
Aims of lesson: To develop an effective search strategy	

To evaluate and select good sources for writing an essay			
<p>Lesson objectives: Students will be able to Create an effective search strategy to search for good reading materials on the Internet To assess the quality of the sources through two steps To choose academic, reliable and relevant reading texts for essay writing</p>			
<p>Assumed prior knowledge: Students may have some knowledge about the subject in the previous course Students may have basic searching skills and have some experience in selecting reading texts on the Internet</p>			
<p>Resources: Course book 3B* (Reading and writing) Must-study folder: 1 Powerpoint presentation, 1 video (Evaluate your sources of information – James Cook University), 1 search strategy worksheet, 2 sample reading materials for practice Sample 1) Jalongo, M. R. & Saracho, O. N. (2016). <i>Writing for publication: Transitions and tools that support scholar’s success</i>. Switzerland: Springer International Publishing. Sample 2) Byers-Heinlein, K. & Lew-Williams, C. (2013). Bilingualism in the Early Years: What the Science Says. <i>Learn Landsc</i>, 7(1), 95–112. Optional folder: Further reading: The Internet search strategies of successful college student 1 video: Using Google scholar effectively 1 supplementary handout: advanced Google search skills</p>			
Time	Content & Teacher activity	Student activity	Resource
5’	Register		Register
15-20’	Review (the previous lesson) Helps students to review learned knowledge/skills	Answer teacher’s review questions of the previous weeks (brief review)	PowerPoint
30’	Q&A session (the due lesson) Answer students’ questions	Ask prepared questions	
30’	Mini-lecture	Attend mini-lectures (if any) and ask further questions	Powerpoint Search strategy handout Two sample handouts for evaluation
1 hour	Assignment preparation/practice and teacher's on-site feedback Guides the process with feedback	Practice performing skills which they have learned	Students’ search strategy Students’ own reading materials
5’	Wrap-up		
Homework/assignment sets:		Hand in date:	

ỨNG DỤNG PHƯƠNG PHÁP LỚP HỌC ĐẢO NGƯỢC TRONG MỘT KHOÁ HỌC TIẾNG ANH HỌC THUẬT

Nguyễn Thị Thịnh

*Trường Đại học Ngoại ngữ, Đại học Quốc gia Hà Nội,
Phạm Văn Đồng, Cầu Giấy, Hà Nội, Việt Nam*

Tóm tắt: Kể từ khi phương pháp lớp học đảo ngược lần đầu tiên được áp dụng khoảng hơn một thập kỷ trước, phương pháp này đã liên tục thu hút sự chú ý của giới học giả, thể hiện qua việc ngày càng có nhiều nghiên cứu về nó được thực hiện ở nhiều lĩnh vực hay môn học khác nhau trong những năm vừa qua. Mục đích của nghiên cứu này là nhằm thử nghiệm phương pháp mới đầy hứa hẹn này trong một khóa học tiếng Anh học thuật tại đại học và kiểm chứng hiệu quả của nó đối với nhận thức của cả người học và người dạy cũng như xem liệu nó có giúp nâng cao chất lượng bài tập lớn của sinh viên. Đối tượng nghiên cứu gồm 21 sinh viên năm thứ hai chuyên ngành tiếng Anh tham gia khóa học tiếng Anh học thuật (học phần Đọc-Viết) tại một trường đại học công lập ở Hà Nội, Việt Nam. Kết hợp thu thập dữ liệu định lượng thông qua bảng hỏi và dữ liệu định tính từ các bản phản hồi sau từng buổi học của sinh viên, sự tự chiêm nghiệm và phân tích chất lượng bài tập lớn của giảng viên, nghiên cứu đã chỉ ra sự tích cực trong nhận thức và phản hồi của cả sinh viên và người dạy đối với phương pháp này cũng như sự tiến bộ đáng kể của sinh viên thể hiện trong bài tập lớn cuối kỳ trong việc nắm được loại hình bài luận, phát triển lập luận và sự lựa chọn tài liệu đọc học thuật. Tuy nhiên, kỹ năng viết tổng hợp và trích dẫn theo APA cần có thêm sự hướng dẫn từ giảng viên và luyện tập từ sinh viên. Nghiên cứu cũng chỉ ra một số hạn chế và gợi ý để các nghiên cứu trong tương lai có thể xem xét để có thể áp dụng phương pháp lớp học đảo ngược một cách hiệu quả hơn.

Từ khóa: phương pháp lớp học đảo ngược, giảng dạy tiếng Anh, tiếng Anh như một ngoại ngữ

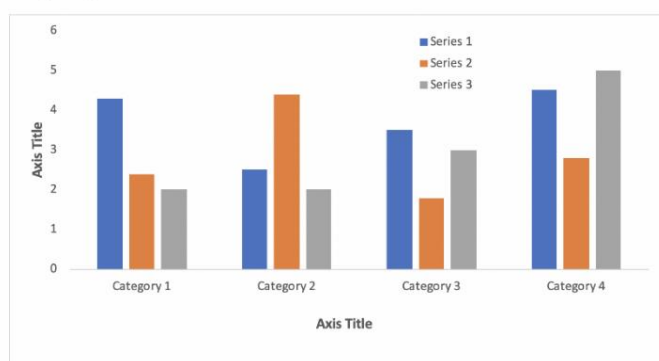
THẺ LỆ GỬI BÀI

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.*
2. Bài gửi đăng cần trích dẫn ÍT NHẤT 01 bài đã đăng trên Tạp chí Nghiên cứu Nước ngoài.
3. Bài báo sẽ được gửi tới phản biện kín, vì vậy tác giả cần tránh tiết lộ danh tính trong nội dung bài một cách không cần thiết.
4. Bài báo có thể viết bằng tiếng Việt hoặc tiếng Anh (*tối thiểu 10 trang/khoảng 4.000 từ đối với bài nghiên cứu và 5 trang/khoảng 2.000 từ đối với bài thông tin-trao đổi*) được soạn trên máy vi tính, khổ giấy A4, cách lề trái 2,5cm, lề phải 2,5cm, trên 3,5cm, dưới 3cm, font chữ Times New Roman, cỡ chữ 12, cách dòng Single.
5. Các mục và tiểu mục trong bài báo phải được đánh số thứ tự lần lượt. Các mục chính đánh theo số thứ tự 1, 2, 3, v.v., sau đó các tiểu mục là 1.1, 1.2, 2.1, 2.2, v.v., tiếp đến là 1.1.1, 1.1.2, v.v. Tóm tắt của bài báo không nằm trong phần đánh số thứ tự.
6. Hình ảnh, sơ đồ, biểu đồ trong bài viết phải đảm bảo rõ nét và được đánh số thứ tự theo trình tự xuất hiện trong bài viết. Nguồn của các hình ảnh, sơ đồ trong bài viết cũng phải được chỉ rõ. Tên ảnh, sơ đồ, biểu đồ trong bài viết phải được cung cấp trên ảnh, sơ đồ, biểu đồ.

Ví dụ:

Figure 1

Sample Figure Title



Note. A note describing content in the figure would appear here.

7. Bảng biểu trong bài viết được đánh số thứ tự theo trình tự xuất hiện trong bài viết. Tên bảng trong bài phải được cung cấp trên bảng. Yêu cầu bảng không có đường kẻ sọc.

Ví dụ:

Table 3

Sample Table Showing Decked Heads and P Value Note

Variable	Visual		Infrared		F	η
	M	SD	M	SD		
Row 1	3.6	.49	9.2	1.02	69.9***	.12
Row 2	2.4	.67	10.1	.08	42.7***	.23
Row 3	1.2	.78	3.6	.46	53.9***	.34
Row 4	0.8	.93	4.7	.71	21.1***	.45

***p < .01.

8. Quy cách trích dẫn: Các tài liệu, nội dung được trích dẫn trong bài báo và phần tài liệu tham khảo cần phải được **trình bày theo APA7** (vui lòng tham khảo trang web: <https://apastyle.apa.org/style-grammar-guidelines>)

8.1. Đối với tài liệu trích dẫn trong nội dung bài:

8.1.1. Nguyên tắc trích dẫn tác giả-năm xuất bản

- Ghi họ của tác giả và năm xuất bản tài liệu. Nếu tác giả là người Việt Nam hoặc đến từ các nước không nói tiếng Anh, cũng ghi họ của tác giả theo hệ chữ Latinh.
- Khi trích dẫn trực tiếp, cần có thông tin về số trang của tài liệu được trích dẫn trong ngoặc đơn (Ký hiệu: “p.” cho một trang và “pp.” cho nhiều trang trong bài báo tiếng Anh và “tr.” trong bài báo tiếng Việt).

Ví dụ: According to Jones (1998), "students often had difficulty using APA style, especially when it was their first time" (p. 199).

She stated, "Students often had difficulty using APA style" (Jones, 1998, p. 199), but she did not offer an explanation as to why.

- Nếu tác phẩm có 2 tác giả,
 - Trong nội dung bài: Ghi họ của hai tác giả, nối với nhau bằng chữ *và* (trong bài viết tiếng Việt); ghi họ của hai tác giả, nối với nhau bằng chữ *and* (trong bài viết tiếng Anh).
 - Trong dấu ngoặc đơn: Ghi họ của hai tác giả, nối với nhau bằng ký hiệu “&”.

Ví dụ: Research by Wegener and Petty (1994) supports...

(Wegener & Petty, 1994)

- Nếu tác phẩm có nhiều hơn 2 tác giả: Chỉ ghi họ của tác giả đầu tiên cùng cụm từ *và cộng sự* (trong bài viết tiếng Việt); ghi họ của tác giả đầu tiên cùng cụm từ *et al.* (trong bài viết tiếng Anh).

Ví dụ: (Kernis et al., 1993)

Kernis et al. (1993) suggest...

- Nếu tác giả là một cơ quan chính phủ hay một tổ chức, ghi tên đầy đủ của cơ quan/tổ chức đó. Nếu cơ quan/tổ chức đó có tên viết tắt phổ biến, ghi tên viết tắt trong ngoặc vuông khi lần đầu tiên đề cập đến tên của cơ quan/tổ chức đó. Những lần sau thì dùng tên viết tắt.

Ví dụ: Lần trích dẫn đầu tiên: (Mothers Against Drunk Driving [MADD], 2000)

Lần trích dẫn thứ hai: (MADD, 2000)

- Khi trích dẫn hai hoặc nhiều hơn hai tác phẩm trong cùng một cặp ngoặc đơn, sắp xếp chúng theo thứ tự của bảng chữ cái và ngăn cách với nhau bởi dấu chấm phẩy.

Ví dụ: (Berndt, 2002; Harlow, 1983)

- Nếu trích nhiều tác phẩm của một tác giả trong cùng một cặp ngoặc đơn, ghi họ của tác giả, sau đó là năm xuất bản: liệt kê các năm theo trật tự thời gian và cuối cùng là nguồn tài liệu đang được in.

Ví dụ: Trong bài viết bằng tiếng Anh: (Smith, 1995, 2002, in press)

Trong bài viết bằng tiếng Việt: (Smith, 1995, 2002, đang in)

- Nếu nhắc đến các tác giả có cùng họ trong cùng một cặp ngoặc đơn, sử dụng chữ cái đầu tiên của tên, sau đó là họ.

Ví dụ: (E. Johnson, 2001; L. Johnson, 1998)

- Nếu trích dẫn hai nguồn tài liệu của cùng một tác giả, xuất bản cùng 1 năm thì thêm chữ thường (a, b, c) vào sau năm để sắp xếp chúng trong danh mục tài liệu tham khảo.

Ví dụ: Research by Berndt (1981a) revealed strong correlations. However, a parallel study (Berndt, 1981b) resulted in inconclusive findings.

- **Trích nguồn gián tiếp:** Bình thường, tác giả nên cố gắng tìm đọc nguồn đầu tiên và trích dẫn chúng hơn là nguồn thứ hai (tác phẩm viết về nguồn đầu tiên). Tuy nhiên, trong một số trường hợp, điều này là không thể. Nếu bạn sử dụng nguồn được trích dẫn từ một nguồn khác thì ghi cả nguồn đầu tiên và nguồn thứ hai. Liệt kê nguồn thứ hai trong danh mục tài liệu tham khảo.

Ví dụ: Trong bài viết bằng tiếng Anh: Johnson supposed that... (as cited in Smith, 2003, p. 102).

(Johnson, 1985, as cited in Smith, 2003, p. 102).

Trong bài viết bằng tiếng Việt: Johnson cho rằng... (dẫn theo Smith, 2003, tr. 102).

(Johnson, 1985, dẫn theo Smith, 2003, tr. 102).

- **Trích dẫn nguồn điện tử:** Ghi họ của tác giả và năm đăng bài.

Ví dụ: Kenneth (2000) explained...

8.1.2. Khi trong bài, đề cập đến tiêu đề của tài liệu:

- Nếu tiêu đề của tài liệu được in nghiêng trong danh mục tài liệu tham khảo (references) thì trong bài cũng in nghiêng.

Ví dụ: *The Wizard of Oz, Friends*

- Nếu tiêu đề của tài liệu không được in nghiêng trong danh mục tài liệu tham khảo thì sử dụng dấu ngoặc kép.

Ví dụ: “Multimedia Narration: Constructing Possible Worlds”

- Trong bài viết bằng tiếng Việt, khi nhắc đến tiêu đề của tài liệu được viết bằng tiếng nước ngoài, viết nguyên văn tiêu đề và phiên âm.

Ví dụ: 汉越语研究 (Hanyueyu yanjiu)

* Quy định về viết hoa tiêu đề của tài liệu:

- Nếu trong bài, đề cập đến tiêu đề của tài liệu tiếng Anh:
 - Viết hoa chữ cái đầu tiên của từ đầu tiên, động từ, danh từ, tính từ, trạng từ, đại từ, các từ có 4 chữ và tên riêng
 - Viết hoa cả hai từ trong từ ghép gồm hai từ được nối với nhau bằng gạch ngang.

Ví dụ: *Permanence and Change, There Is Nothing Left to Lose, Natural-Born Cyborgs*

- Với các ngôn ngữ khác, cũng sử dụng chữ Latinh nhưng có quy định viết hoa riêng (VD: tiếng Đức), tuân theo chuẩn viết hoa của từng ngôn ngữ
- Nếu đề cập đến tiêu đề của nguồn tài liệu tiếng Việt, viết hoa chữ cái đầu tiên của tiêu đề và tên riêng.

8.1.3. Trích dẫn trực tiếp 40 từ hoặc hơn

- Bắt đầu 1 đoạn mới và lùi vào đầu dòng 0,5 inch ($\approx 1,27$ cm)

Ví dụ 1:

Researchers have studied how people talk to themselves:

Inner speech is a paradoxical phenomenon. It is an experience that is central to many people’s everyday lives, and yet it presents considerable challenges to any effort to study it scientifically. Nevertheless, a wide range of methodologies and approaches have combined to shed light on the subjective experience of inner speech and its cognitive and neural underpinnings. (Alderson-Day & Fernyhough, 2015, p. 957)

Ví dụ 2:

Flores et al. (2018) described how they addressed potential researcher bias when working with an intersectional community of transgender people of color:

Everyone on the research team belonged to a stigmatized group but also held privileged identities. Throughout the research process, we attended to the ways in which our privileged and oppressed identities may have influenced the research process, findings, and presentation of results. (p. 311)

8.2. Đối với danh mục tài liệu tham khảo:

- Tài liệu tham khảo phải bao gồm tất cả các tác giả với công trình có liên quan đã được trích dẫn trong bài viết. Các trích dẫn phải được ghi đầy đủ, rõ ràng và chính xác. Tài liệu tham khảo của tất cả các ngôn ngữ được xếp chung với nhau, theo thứ tự bảng chữ cái của họ tác giả.
- Ghi họ và chữ cái đầu tiên của tên, tên đệm của tất cả các tác giả cùng chung một công trình, nhiều nhất là 20 tác giả.
- Nếu tác giả là một cơ quan chính phủ/tổ chức, viết tên đầy đủ của cơ quan/tổ chức đó.
- Với các ngôn ngữ sử dụng chữ Latinh: Họ tên của các tác giả: viết theo thứ tự họ trước, tên sau. Họ được viết đầy đủ; tên và tên đệm: chỉ viết chữ cái đầu tiên.

Ví dụ: Nguyen, T., Carnevale, J. J., Scholer, A. A., Miele, D. B., & Fujita, K. (2019). Metamotivational knowledge of the role of high-level and low-level construal in goal-relevant task performance. *Journal of Personality and Social Psychology*, 117(5), 879-899. <http://dx.doi.org/10.1037/pspa0000166>

- Với các ngôn ngữ không sử dụng chữ Latinh, phiên âm họ tên của tác giả (họ và chữ cái đầu tiên của tên), tiêu đề của tài liệu và nhà xuất bản.

Ví dụ: 王力 (1948). 汉越语研究. In *汉语史论文集* (pp. 290-406). 科学出版社.

-> Viết thành: Wang, L. (1948). Hanyueyu yanjiu. In *Hanyu shilun wenji* (pp. 290-406). Kexue Chubanshe.

- Đối với các tài liệu là **sách**:

Author, A. A. (Year of publication). *Title of work: Capital letter also for subtitle*. Publisher Name. DOI (if available)

Stoneman, R. (2008). *Alexander the Great: A life in legend*. Yale University Press.

- Đối với tài liệu được dịch ra tiếng khác:

Author, A. A. (Year of publication). *Title of work: Capital letter also for subtitle* (T. Translator, Trans.). Publisher. (Original work published YEAR) DOI (if available)

Plato (1989). *Symposium* (A. Nehamas & P. Woodruff, Trans.). Hackett Publishing Company. (Original work published ca. 385-378 BCE)

- Đối với các tài liệu là **sách được tái bản**:

Author, A. A. (Year of publication). *Title of work: Capital letter also for subtitle* (# edition). Publisher. DOI (if available)

Belcher, W. (2019). *Writing your journal article in twelve weeks: A guide to academic publishing success* (2nd ed.). University of Chicago Press.

- Đối với các tài liệu là **chương trong sách của tập thể tác giả có chủ biên**:

Author, A. A., & Author, B. B. (Year of publication). Title of chapter. In E. E. Editor & F. F. Editor (Eds.), *Title of work: Capital letter also for subtitle* (pp. pages of chapter). Publisher. DOI (if available)

Armstrong, D. (2019). Malory and character. In M. G. Leitch & C. J. Rushton (Eds.), *A new companion to Malory* (pp. 144-163). D. S. Brewer.

- Đối với các **sách có nhiều tập**:

Author, A. A. (Year of publication). *Title of work: Capital letter also for subtitle* (Vol. #). Publisher. DOI (if available)

David, A., & Simpson, J. (Eds.). (2006). *The Norton anthology of English literature: The Middle Ages* (8th ed., Vol. A). W. W. Norton and Company.

- Đối với các tài liệu là **bài báo đăng trên tạp chí khoa học**:

Author, A. A., Author, B. B., & Author, C. C. (Year). Title of article. *Title of Periodical*, volume number(issue number), pages.
<https://doi.org/xx.xxx/yyyy>

Baniya, S., & Weech, S. (2019). Data and experience design: Negotiating community-oriented digital research with service-learning. *Purdue Journal of Service-Learning and International Engagement*, 6(1), 11–16. <https://doi.org/10.5703/1288284316979>

- Liên quan đến **hội thảo khoa học**:

- Báo cáo toàn văn trong kỷ yếu của hội thảo: giống với cách trích dẫn của chương trong sách của tập thể tác giả có chủ biên

Author, A. A., & Author, B. B. (Year of publication). Title of chapter. In E. E. Editor & F. F. Editor (Eds.), *Title of work: Capital letter also for subtitle* (pp. pages of chapter). Publisher. DOI (if available)

Bedenel, A. L., Jourdan, L., & Biernacki, C. (2019). Probability estimation by an adapted genetic algorithm in web insurance. In R. Battiti, M. Brunato, I. Kotsireas & P. Pardalos (Eds.), *Lecture notes in computer science: Vol. 11353. Learning and intelligent optimization* (pp. 225–240). Springer. https://doi.org/10.1007/978-3-030-05348-2_21

- Báo cáo tại hội thảo (conference presentation)

Presenter, P. P. (Full dates of conference: year, Month date). *Title* [description of presentation]. Name of conference, location.
Link of video (if available)

Evans, A. C., Jr., Garbarino, J., Bocanegra, E., Kinscherff, R. T., & Márquez-Greene, N. (2019, August 8–11). *Gun violence: An event on the power of community* [Conference presentation]. APA 2019 Convention, Chicago, IL, United States. <https://convention.apa.org/2019-video>

(Description of presentation: conference session/ paper presentation/poster session/keynote address)

- Tóm tắt của báo cáo tại hội thảo (abstract of a conference presentation)

Presenter, P. P. (year, Month date). *Title* [Conference presentation abstract]. Name of conference, location.

Cacioppo, S. (2019, April 25–28). *Evolutionary theory of social connections: Past, present, and future* [Conference presentation abstract]. Ninety-ninth annual convention of the Western Psychological Association, Pasadena, CA, United States. <https://westernpsych.org/wp-content/uploads/2019/04/WPA-Program-2019-Final-2.pdf>

- Đối với các tài liệu là **từ điển hay bách khoa toàn thư**:

Institution or organization name. (Year). Title of entry. In *Title of reference work* (edition, page numbers). Publisher name.

Merriam-Webster, Incorporated. (1997). Goat. In *Merriam Webster's collegiate dictionary* (10th ed., pp. 499-500). Merriam-Webster, Incorporated.

- Đối với **luận văn, luận án đã được xuất bản**:

Lastname, F. M. (Year). *Title of dissertation/thesis* (Publication No.) [Doctoral dissertation/Master's thesis, Name of Institution Awarding the Degree]. Database or Archive Name.

Angeli, E. L. (2012). *Networks of communication in emergency medical services* (Publication No. 3544643) [Doctoral dissertation, Purdue University]. ProQuest Dissertations Publishing.

- Đối với **luận văn, luận án chưa được xuất bản**:

Lastname, F. M. (Year). *Title of dissertation/thesis* [Unpublished doctoral dissertation/master's thesis]. Name of Institution Awarding the Degree.

Samson, J. M. (2016). *Human trafficking and globalization* [Unpublished doctoral dissertation]. Virginia Polytechnic Institute and State University.

- Đối với các tài liệu là **báo cáo của cơ quan chính phủ hay tổ chức**:

Organization Name. (Year). *Title of report*. URL

United States Government Accountability Office. (2019). *Performance and accountability report: Fiscal year 2019*. <https://www.gao.gov/assets/710/702715.pdf>

- Đối với các tài liệu là **báo cáo của cơ quan chính phủ hay tổ chức, do cá nhân viết:**

Lastname, F. M., & Lastname, F. M. (Year). *Title of report*. Organization Name. URL

Palanker, D., Volk, J., Lucia, K., & Thomas, K. (2018). *Mental health parity at risk: Deregulating the individual market and the impact on mental health coverage*. National Alliance on Mental Illness. <https://www.nami.org/About-NAMI/Publications-Reports/Public-Policy-Reports/Parity-at-Risk/ParityatRisk.pdf>

- Đối với các tài liệu là **bài viết trên mạng:**

Lastname, F. M. (Year, Month Date). *Title of page*. Site name. URL

Price, D. (2018, March 23). *Laziness does not exist*. Medium. <https://humanparts.medium.com/laziness-does-not-exist-3af27e312d01>

- Đối với các tài liệu là **bài viết trên mạng mà nội dung của nó có thể thay đổi theo thời gian thì cần có thông tin về ngày truy cập trang web đấy:**

Lastname, F. M. (Year, Month Date). *Title of page*. Site name. Retrieved Month Date, Year, from URL

- Đối với các tài liệu là **video:**

Last Name, F. M. [Username]. (Year, Month Date). *Title of video* [Video]. Streaming Service. URL

Lushi, K. [Korab Lushi]. (2016, July 3). *Albatross culture I* [Video]. YouTube. <https://www.youtube.com/watch?v=AMrJRQDPjk&t=148s>

Al-Mutawa, N. (2010, July). *Superheroes inspired by Islam* [Video]. TED. https://www.ted.com/talks/naif_al_mutawa_superheroes_inspired_by_islam#t-4909

9. Bản thảo xin gửi đến địa chỉ email của Tòa soạn (xem dưới đây). Tòa soạn không trả lại bản thảo nếu bài không được đăng. Tác giả chịu hoàn toàn trách nhiệm trước pháp luật về nội dung bài viết và xuất xứ tài liệu trích dẫn.

MẪU TRÌNH BÀY BỐ CỤC CỦA MỘT BÀI VIẾT

* Toàn bộ bài đề ở font Times New Roman

TIÊU ĐỀ BÀI BÁO

(bằng tiếng Anh và tiếng Việt, in hoa, cỡ chữ: 16,
giãn dòng: single, căn lề: giữa)

Tên tác giả (Times New Roman, cỡ 13)*

Tên cơ quan / trường đại học (Times New Roman, cỡ 10, in nghiêng)
Địa chỉ cơ quan / trường đại học (Times New Roman, cỡ 10, in nghiêng)

Tóm tắt: Tóm tắt bằng tiếng Anh và tiếng Việt, không quá 250 từ, cỡ chữ: 11

Từ khóa: Không quá 5 từ, cỡ chữ: 11

Phần nội dung chính của bài báo thường bao gồm các phần sau: (Times New Roman, cỡ 12,
giãn dòng: single)

1. Đặt vấn đề

2. Mục tiêu

3. Cơ sở lý thuyết

3.1. ...

3.2.

4. Phương pháp nghiên cứu

4.1. ...

4.2. ...

5. Kết quả nghiên cứu

6. Thảo luận

7. Kết luận và khuyến nghị

Lời cảm ơn (nếu có)

Tài liệu tham khảo

Phụ lục (nếu có)

*ĐT.: (Số của tác giả liên hệ)

Email: (Email của tác giả liên hệ)