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**SYNTACTIC ANALYSIS BASED
ON THE VALENCE PROPERTIES OF WORDS**

(Based on the evidence of Vietnamese verb-sentence)

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**DOCTORAL THESIS SUMMARY
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INTRODUCTION

1. Rationale for this topic choice

1.1. In the research on sentences, the syntactic analysis of the sentence is always considered as one of the most critical targets.

1.2. So far, the definitions, determination criteria, and component differences of Vietnamese sentences have still been a confusing problem.

1.3. *Valence theory*, one of the greatest achievements in linguistics which has been applied widely to the syntactic research.

Theoretically, this approach contributed to better tackle some controversial issues on the specific sentence elements.

Practically, the outcomes of syntactic sentence research based on the valence theory can be adopted in the document drafting facilitating the Vietnamese grammar teaching in the modern direction.

So far, there have not been any systematic and intensive studies in Vietnamese sentences based on the valence theory.

For the foresaid reasons, we have chosen the problem: *Analysis of syntactic components in the sentence based on the valence attribute of the word* as the title of our doctoral thesis.

2. Research goals and missions

2.1. Research goals

This paper will analyze the Vietnamese sentences syntactically based on the valence theory in order to *clarify the nature, characteristics, boundaries of all types and kinds of specific sentence elements from the perspective of the word's syntactic attribute (valence attribute); thereby, contributing to handle the obstacles, and the drawbacks of the sentence analysis based on the traditional methods as well as contributing to better the quality and efficiency of Vietnamese grammar teaching under the modern perspective and towards the renovation.*

2.2. Research missions

1) Establishing the theoretical basis of the sentence analysis based on the valence attribute of the words.

2) Creating the principles, mechanisms, and process of the sentence analysis based on the valence attribute of the words; setting up the system of Vietnamese sentence elements.

3) Analyzing the verbal sentences in term of their syntax based on the valence attribute of the word; clarifying the nature, characteristics and boundaries of the sentence elements.

3. Objects and scope of research

Research objects: Vietnamese sentences with the verbal predicate.

Research scope: Modern Vietnamese verbal sentences in term of their syntax and from the perspective of the word's valence.

4. Research methodology

This thesis will mainly use *the method of linguistic analysis and description under the synchronic term* with the formal mechanisms of: *omission, supplement, replacement, correction and modeling.*

5. New contributions of the doctoral thesis

5.1. This is considered as *the first work applying thoroughly the valence theory on the analysis of Vietnamese sentences in term of syntax.* In this topic, *all Vietnamese sentence elements shall be identified and described absolutely based on the syntactic attribute considered in the valence relationship between words.*

5.2. Specific contributions of the doctoral thesis

1) Clarifying the main unique role of the predicate based on the active valence of the predicate, the boundaries of the predicate and the key component (nuclear) of the subject-predicate cluster. Categorizing and determining the predicate types based on the valence complement of the verbs.

2) Determining and classifying the sentence modifiers on the basis of the word's valence attribute for each specific type.

Clarifying the essence, syntactic characteristics of the subject based on the valence attribute of the subject-predicate cluster. According to the realization of the predicate's valence, analyze and clarify the adversative properties (*The neutralization of oppositions*) between the subject and the complements in Vietnamese sentences; thereby, partially contributing to better deal with the controversial issues on determining the subject and distinguishing it from the complement.

3) Demonstrating that *adverb is just a minor component in the sentence, indicating the free valence of the predicate, from which the difficulties in distinguishing the adverbial element of the sentence from the adverb of the word can be tackled. Interpret and spell out the basic positions of adverbial elements in the sentence.*

4) Proving that *theme complement is just an independent variant of certain elements in the sentence; thereby, the barriers and contradictions on defining theme complement and distinguishing it from other syntactic components in the sentence can be easily handled.*

6. The thesis outline

In addition to *the Introduction and Conclusion parts*, this paper includes four chapters:

Chapter 1. Theoretical basis

Chapter 2. The core element in the sentence: the predicate

Chapter 3. The subject from the valence perspective of the predicate

Chapter 4. Adverbial and theme complement elements from the valence perspective of the predicate

CONTENTS

CHAPTER 1.OVERVIEW OF RESEARCH SITUATION AND THEORETICAL BASIS

1.1. Overview of the research situation

1.1.1. *Studies in the valence*

1.1.1.1. *Valence theory of L. Tesnière*

1) *Valence theory and dependency grammar theory of L. Tesnière*

It was believed by L. Tesnière that the dependency was the highest level in the sentence structure. He stated: “*Syntactic relationship between words is formed from the dependency relation*”. For example, in the sentence of *Anphret nói hay* (*Anphret speaks well*), *nói* (*speak*) is the core element while *Anphret* and *hay* (*well*) are just dependent elements.

2) *The definitions of noeut, actant and circonstant*

Noeut is defined as “*a set of a main word and all of the words depending directly or indirectly on it*” by L. Tesnière. Noeut formed by a word attracting all other words in the sentence is called as *the central noeut*. The central noeut is often structured by verbs.

L. Tesnière also stated that the verb noeut played a role as the heart of the sentence and expresses something like a short play with all acting and contexts. If we go from the reality of the play to the term of syntax and structure, *action, character, and context* shall be changed to *verb, actant and circonstant*, relatively. *Actant* interpreted by L. Tesnière can be understood as equivalent to the traditional complement while *circonstant* is similar to the traditional adverb. The actant was divided into the first actant (traditional subject), the second actant (traditional direct complement) and the third actant (basically, similar to traditional indirect complement).

3) *The definition of valence*

L. Tesnière said: “*It can be demonstrated that the verb can be compared to a sort of atom with bonds, susceptible to exercising attraction on a certain number of actants - the number of bonds that a verb has and the number of actants that verb can control constitute what we call the valence of the verb*”. There fore, according to L. Tesnière, *the valence of the verb is the verb attribute which can attract a greater or lesser number of actants that is the same as the connection capacity of one atom with other atoms*.

Based on the number of actants managed by the verb, L. Tesnière divided verbs into *impersonal verb* or *avalent verb*, *intransitive* or *monovalent verb*, *transitive* or *divalent verb*, *di-transitive* or *trivalent verb*.

1.1.1.2. Development of the valence theory in international linguistics

1) In Soviet Linguistics, the valence theory was studied by S.D. Kanelson and other authors. S.D. Kanelson considered "*valence is as the attribute of a certain word class combining with other words*". The valence of the word can be determined by a number of open positions (blank cell) surrounding the word which are basically not large (for a verb, there are no more than four strong positions). The valence theory was also subject of many other works done by Mukhin A.M. (1987), Stepanova M.D. (1973), Tjapkina N.I. (1980), and Kibardina S.M. (1982).

In Vietnam, the valence theory is also studied and applied on the description of the strong valence of Vietnamese verbs by Nguyen Van Loc

1.1.2. Works applying the valence theory on the sentence analysis in term of syntax

1.1.2.1. In foreign language

The ideas, concepts, terms of the valence theory appeared commonly in various research done by well-known linguists such as Stepanova M.D. (1973), Moskanskaja O.I. (1974), Helbig G. (1978), Kholodovich (1979), Tjapkina N.I. (1980), Kibardina A.A. S.M. (1982), Mukhin A.M. (1987), Kanelson S.D. (1988) and so on. All of these works share the same target that they mainly analyze the sentences based on the valence attribute of the predicate as a dominant factor.

1.1.2.2. In Vietnamese language

In Vietnamese language, the valence theory and the manner to apply this theory to the study of grammar in general, and of sentences in particular have already been mentioned in the works done by Cao Xuan Hao (1991), Nguyen Thi Quy (1995), Dinh Van Duc (2001), Nguyen Van Loc (1998), Nguyen Van Hiep (2008), Lam Quang Dong (2008) and other authors. However, these authors only apply this valence theory on the grammatical analysis mainly mentioned in the consideration and description of the predicate or semantic meaning (expressive meaning) of the sentence, or although it could be mentioned in the grammatical analysis but it was not considered thoroughly, absolutely, systematically, and solved satisfactorily based on the ideas, concepts of the valence theory.

1.1.3. Studies on Vietnamese sentences in term of grammar

1.1.3.1. Works following the traditional tendency

The typical works demonstrating the traditional tendency include those done by Hoang Tue (1962), Truong Văn Chinh and Nguyen Hien Le (1963), Nguyen Kim Than (1964), Buxtrov I.X., Nguyen Tai Can, Stankevich.N.V (1975), Hoang Trong Phien (1980), Diep Quang Ban (1984)...

The common point of the traditional analysis is to acknowledge the sentence element system with the two core elements of the subject, the predicate and other sub-components such as adverb, theme complement, and so on. In general, this traditional approach reflected relatively faithfully the sentence syntax. Nevertheless, there are also certain drawbacks in this analysis as commented by N.I.Tjapkina (1980) that: "*In the framework of traditional notion, the non-contradictory description of the sentence component system has not been reached yet; Moreover, there has not been come up with any method which allows defining non-contradictorily the sentence components as the unified unit of both form and contents*".

1.1.3.2. Studies following the new approaches

Under this category, we can mention some works studied by Cao Xuan Hao (1991), Ho Le (1992), Tran Ngoc Them (1985), Panfilov V.S. (1993), Nguyen Minh Thuyet and Nguyen Van Hiep (2004). Despite the note of advanced points, the sentence analysis of the above mentioned has not contributed to solve these contradictions occurring in the traditional analysis.

1.2. Theoretical basis

1.2.1. Several fundamental concepts related to the thesis

1.2.1.1. Some concepts regarding to the part of speech

Under the understanding that parts of speech are classes of words classified, basing on their common semantic and grammatical characteristics (under the broad sense), this paper has defined nine parts of speech including noun (*nhà, sinhviên...*) (*house, student,...*), verb (*đi, ăn...*) (*go, eat,...*), adjective (*cao, đẹp...*) (*tall, beautiful,...*), numeral (*hai, ba...*) (*one, two,...*), pronoun (*nó, họ...*) (*it, they,...*), adverb (*đã, những...*), possession (*của, với..*) (*of,...*), auxiliary words (*chính, nhé...*), interjection (*a, ôi...*).

1.2.1.2. Several concepts under the valence theory

1) Regarding the concept of word phrase

Instead of the term *noeut* used by L.Tesnière, this paper will apply the relevant term of *word phrase* to express "*a set of a main word and all of the words depending directly or indirectly on it*". The word phrase above mentioned does not only include the traditional "*dependent phrase*" but the traditional "*subject-predicate cluster*" as well but exclude the traditional "*Independent sentence*".

2) Regarding the concept of valence

At the level of words, the valence in the broad sense is understood as *syntactic attribute controlled by grammatical meaning (lexical meaning, subtype meaning) of the word. This is the ability of*

the word representing the particular part of speech and word class joining in a general syntactic relation, which means the ability to be involved in the organization of word phrases.

3) Types of valence

- Content valence and form valence

Content valence is the semantic relation or combination among words. The form valence is the relations (the conformity) in term of grammatical forms among words.

- Compulsory valence and free valence

The compulsory valence can be interpreted as the word's capacity of attracting the strong syntactic elements (they are actants in verbs). The free valence is the word's capacity of attracting the free syntactic elements (they are circonstants in verbs).

- Active and passive valences

Active valence is the capacity of combining words as a key element holding the control role (words can create open positions necessary or potential to be filled around them). Passive valence is the capacity of the words joining in the syntactic relations as the sub-components or controlled regimens (those filling the open positions).

4) Realization of the valence

The realization of the verb valence is the filling of the speech in the open position which can be attracted to the verb by the obligatory regimens (actants) or free regimens (circonstants)

1.2.1.3. Several basic definitions on syntax

1) Definition of sentence

Sentence is the smallest unit which can carry a relatively complete message.

2) Sentence and Utterance

To be simple and convenient, in this paper, "*specific expression in every section of the sentences*" or "*the realization of the sentence model in speech*" which was called as *utterances* are also collectively referred to as *sentences (sentence - utterance)*

3) Sentence in the system of grammar units

In the grammatical system, sentence is the one of the same sub-system with morphemes, words and under the higher level compared to words. The word phrases are not in the same sub-system with morphemes, words and sentences. They are just different from words in term of organization but not in term of function.

4) Definition of the verbal sentence

The verbal sentence can be interpreted as the sentence with the predicate expressed by a verb.

5) Corresponding aspects and structures in a sentence

Sentence is a mixed entity created by three aspects that have corresponding structures: *communication aspect (communication syntax) - communication structure, syntax aspect - syntax structure, expressive aspect (deep meaning) - expressive structure.*

6) Essence of syntax aspect

Today, there are two ways of understanding the essence of syntax aspects:

a) *Considering syntax aspect (grammar) to be a pure form aspect.*

The limits of this concept are: *In theory:* This concept is opposite to the general grammatical theory arguing that the grammar (units, grammar categories) has both meaning and form aspects. *In practice:* This concept hinders the identification of syntax components in a sentence based on the syntax meaning (which is a typical content attribute of sentence component).

b) *Considering syntax aspect to be a meaningful aspect*

This concept is not only suitable with general grammatical theory, semantic theory but also suitable with the practice of syntax analysis.

7) Definition of syntax relation, method to define the syntax relation between words

Grammatical relation is a linear form of relation between grammatical units arising on the basis that their meanings are formed by inherent compounds with certain meanings and independent acting capacity or acting as elements of more complex structures.

Presence of grammatical relations between words is confirmed by the ability to identify a certain meaning relation between them and the ability to use independently the compound of these words or the ability to use these compounds as omitted variances of the sentence.

8) Definition of syntax relation with parasyntactic relation

Syntax relation is the relation between notional words in a sentence. Parasyntactic relation is the relation between the notional words and formal words.

9) Typical syntax relation and untypical syntax relation

Typical syntax relation is a syntax relation between two words that is expressed fully and clearly with meaning and form. For example, the relation between *gió* and *thổi* (in *Gióthổi* (The wind blows)).

Untypical syntax relation is the case that the relation between them has a certain limit in the form. For example: the relation between *gió* and *thổi* (in “Từ biển khơi *thổi* về một làn *gió* ướn.”).

10) Definition of roles and syntactic function

The syntax roles of words include main and auxiliary roles while the function is only the dependence of word's syntax on other words.

11) Definition of meaning and syntactic form

Syntax meaning is understood as *meaning brought by the relation between words in the sentence*. This is the meaning with syntax function of the word.

Syntax means to express meaning is known as syntax form.

12) Types of syntactic relations, definition of syntactic elements (sentence component)

Based on two aspects: internal role (internal relation) and external role (relation with the elements outside the structure), it is possible to define two types of main syntax relations: *dependent relation (including predicate - object relation, predicate - adverb relation, subject - predicate relation)* and *independent relation (with typical forms such as conjunctive relation, optional relation)*.

Each notional word in the sentence participating in a certain syntax relation is called a sentence component in narrow meaning).

13) Distinction of the syntactic relation and semantic relation

- The syntactic relation is always indicated by particular syntactic means while it is not really necessary for the semantic relation.

- The syntactic relation is determined by the syntactic role, function and meaning of the words which share the syntactic relation with each other; while the semantic relation is defined under the semantic role, function and meaning of the words, including those without syntactic relations with each other.

- The syntactic relation is involved with the high generality and in generally, only reflects the relations between words (word phrases), while the semantic relation is characterized more specifically, and able to reflect directly the relationships of things and phenomena in reality.

1.2.2. Opinions, principles, mechanisms, and process of the sentence parsing in term of syntax based on the valence attribute of the word

1.2.2.1. Introduction

Nguyen Minh Thuyet states that, "*up to now, the researchers have not agreed with the satisfactory answers for the two fundamental issues on the sentence elements: 1) the definitions of the sentence elements 2) the list of the sentence elements along with their determination criteria.*"

The thesis shall stem from the syntactic attribute (the valence attribute) of the words, and from the syntactic relation (valence relation) among the words, in order to propose solutions to better address the two above debated issues on the elements of Vietnamese sentences.

1.2.2.2. Different concepts in solving two basic issues on the sentence elements

1) Regarding the definition of the sentence element

The distinctive opinions among authors on this issue are mainly expressed in the responses to three following particular questions:

- Do the sentence elements include only content words or both content words and functional words
- Is every content word in the sentence its element?
- Are the sentence elements just the ones of a particular type of sentence or of the general types?

2) Regarding the criteria of determining the quantity and list of the sentence elements

a) For the criteria of determining the sentence elements

Three following main trends can be pointed out:

- *Based on the meaning to determine the sentence elements*
- *Based on the form to determine the sentence elements*
- *Based on both the meaning and the form to determine the sentence elements*

b) For the quantity and the list of the sentence elements

- *In term of the quantity and list of the key elements, three following typical opinions are worth considering:*

+ For the sentences with two key elements, *the subject and the predicate*

+ For the sentences with three key elements, *the subject, the predicate and the object*

+ For the sentences with only one key element, *the predicate*

- *In term of the quantity and list of the modifiers, there are opinions as follows:*

+ For the sentences with two modifiers, *the theme complement and adverb.*

+ For the sentences with six modifiers including: *object, adverb, obligatory predicate, attributive, theme word, effect components.*

+ For the sentences with five modifiers: *Adverbials, theme, adjunct, sentence annotation, conjunct.*

+ For the sentences with four modifiers: *adverbials, theme complement, attributive and disjunct.*

In our opinion, one of the foresaid disadvantages or inadequacies of the solutions to the sentence elements in various works is *that it has not entirely derived from the syntactic aspect, specifically, has not been based fully on some basic definitions such as syntactic relations, syntactic regimens, syntactic meaning, syntactic functions and so on.* This can lead to several consequences. They are:

- Confusion or unclear distinction between *the syntactic relations* and *para-syntactic relation, communication relations* and *semantic relation*.

- Confusion or unclear distinction between *syntactic meaning* and *communication meaning* and *expressive meaning* or *deep meaning*.

- Confusion or unclear distinction between *syntactic role* (including the key role and dependent role) and *syntactic function (dependency)*.

1.2.2.3. *Solution to the issue of the Vietnamese sentence elements*

*** *The basis of the solution***

The solutions are formed on the basis of the valence theory, theories of the sentence aspects, syntactic aspects and the basic syntactic definitions.

*** *The solution content***

1) *Regarding: What is the sentence element?*

The thesis has considered the responses to three questions related to this issue.

a) *Do the sentence elements include only content words or both content words and functional words?*

It is believed by this thesis that *only content words can be considered as the authentic sentence element (because only content words are involved in the syntactic relations)*.

b) *Is every content word in the sentence its element?*

The paper shows that each content word in a sentence should be considered as a certain sentence element.

c) *Are the sentence elements just the ones of a particular type of sentence or of the general types?*

The sentence elements are acknowledged as the ones of the general sentence types. However, to handle the weaknesses as shown, it is necessary to offer several adjustments as below:

- Need to acknowledge the role of the predicate as the unique key element in the subject-predicate cluster (predicate phrase).

- Need to distinguish the unique element (nuclear) of the subject - predicate cluster from the unique key element of the sentence (called as *the predicate*).

- Need to put the subject at the position as subcomponents.

With such adjustments, *the predicate shall be the unique element or the top of the syntax of the general sentences, while the subject, object and adverb... are modifiers in the general sentences.*

2) Regarding the principles and criteria of the sentence element determination

As a syntactic term, in principles, the sentence elements must be defined entirely based on the syntactic attribute (both of the content and the syntactic form). Specifically:

a) Regarding the criteria of the content: based on the syntactic role, function and the meaning of the words.

b) Regarding the form: In Vietnamese language, including expressions in term of part of speech, word order, syntactic functional word, intonation.

3) Mechanisms and the process of determining the sentence elements and the list of the sentence elements

a) For mechanisms: The following mechanisms are presented in this paper such as *reduction, supplement, substitution, transformation*.

b) For the process of determining and the list of the sentence elements:

Step 1: Determining the complete sentence (full sentence, independent sentence) in term of grammar

Step 2: Determining the basic structures of the sentence - the core of the sentence

Step 3: Regulating the core elements into certain categories, classes

Step 4: Defining the key element of the sentence - the predicate

Step 5: Determining the subcomponents of the sentence (including: the subject, the object, attributive, annotation)

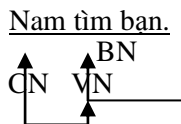
Chapter 2

THE KEY ELEMENT OF THE SENTENCE - THE PREDICATE

2.1. Different opinions of the key element of the sentence

2.1.1. Regarding the conception of the two key elements in a sentence, the subject and the predicate

Under the traditional grammar, it is believed that in a subject-predicate cluster or a simple sentence, there are two main components with the same role, the subject and the predicate constituting the core of the sentence. For example: *Nam tìm bạn* is analyzed as below:



The weaknesses of this analysis:

- Excluding the valence (dominant role) of the predicate.
- Do not express the whole similarities of the subject and the object.
- Do not show the full representing role of the predicate in the relationship of the external factors.

When applying to the grammatical analysis, the foresaid approach shows several drawbacks:

1) **Firstly**: This opinion will not match with the type of the sentence “*Người mà chúng ta vừa gặp là nhà văn*”(The man we have just met is a writer). (The subject and predicate of the subject - predicate cluster which plays a role as attributive cannot be key elements).

2) **Secondly**: This opinion does not reflect faithfully the different syntactic functions of the subject and the predicate in the subject-predicate cluster and in the sentence.

3) **Thirdly**: The traditional opinion which considered the predicate as a functional term similar to the subject leads to an irremediable contradiction.

According to that notion, it would be difficult to explain the phenomenon among the cases that the predicate holding a certain function (object, adverb such as *khen, nghĩ* (praise, think) (in the sentences: (1a) *Nó được khen.* (He is praised) (2a) *Hắn sung sướng vì đã nghĩ ra điều ấy*)(He feels excited when thinking this out) still remains the subject valence (the ability to attract the subject), that means it is still possible to become the predicate in relation with some words as the subject standing before it (in the sentences: (1b) *Nó được mẹ khen* (He is praised by his mother). (2b) *Hắn sung sướng vì hắn đã nghĩ ra điều ấy.*) (He feels excited when thinking this out).

2.1.2. Regarding the conception that there are three key elements, including the predicate, subject and object

The classification of the subject and object into the key element class which is of the same level as the predicate is not entirely satisfied because:

- In term of syntactic role, the predicate has the nature different from the subject and the object. (The predicate is not a functional element as the subject, and the object).

- The uniformity of the key elements and the compulsory elements also leads to further obstacles that are the interpretation of the role as the sentence element of words involved in “*unclosed core elements*” of the sentence (object of object or compulsory attributive).

2.1.3. Regarding the concept of only functional components or dependent components included in the sentence element system

With the notion that “*the sentence element is of functional terms...*”, V.S Panfilov did not consider the predicate as a sentence component.

2.2. Determination of the key elements in the subject-predicate cluster and that of the sentence based on the valence of the predicate

In grammatical analysis, it is a must to present the concept predicate, the organizational center of the sentence. In respect to that reality, this paper still shows that the predicate is an important syntactic element of the sentence (although it is confirmed not to be a functional category).

Basing on the active valence of the predicate, the thesis has mainly focused on the clarification of the syntactic nature of the subject-predicate in the subject-predicate cluster (the predicate phrase), from which the predicate is determined as the unique key element in the sentence.

2.2.1. Identifying main elements of subject-predicate cluster on the basis of valence attribute of the predicate

In Vietnamese, it is completely founded to consider the predicate to be the single main element of subject-predicate cluster. The foundations of this analysis are:

1) *In consideration of roles of predicate in subject-predicate cluster (predicate cluster)*

In subject, predicate cluster, predicate is always proven to be the most important element. This is shown as follows:

a) *Predicate is the one that has active valence, which is absolutely identified.*

b) *In the subject-predicate cluster, predicate always has the highest permanency, which decides the existence of the cluster.*

c) *Predicate is the element that defines the essence (general meaning) of the subject-predicate cluster.*

d) *Predicate controls the internal organization of the subject-predicate cluster (defining the number and characteristics of mandatory auxiliary elements).*

2) *Main roles of predicate in syntactic relations with elements outside the cluster.*

This is proved in syntax of suppression in details:

a) *The subject-predicate cluster is an attribute, which means participating in syntactic relation with main noun. Comparison:*

(1a) *Người anh cần gặp đã đến.* → (1b) *Người Ø cần gặp đã đến (+).* → (1c) *Người anh Ø đã đến (-).*

b) *The subject-predicate cluster is an object, which means participating in syntactic relation with main words of verb cluster. Comparison:*

(2a) Ấy vậy, tôi cho là *tôi giỏi*. → (2b) Ấy vậy, tôi cho là \emptyset giỏi (+).->(2c) Ấy vậy, tôi cho là \emptyset (-).

c) *The subject-predicate cluster is an adverb, which means participating in syntactic relation with main verbs. Comparison:*

(3a) *Hồ nói xong, nó liền quật đuôi xuống đất rồi chạy vào rừng.* →

(3b) \emptyset Nói xong, nó liền quật đuôi xuống đất rồi chạy vào rừng (+). →

(3c) *Hồ \emptyset , nó liền quật đuôi xuống đất rồi chạy vào rừng (-).*

d) *When the subject-predicate cluster has a core role sentence, it will have relations with the adverb of the sentence. Comparison:*

(4a) *Vì nó mà *tôi ốm** → (4b) *Vì nó mà \emptyset ốm (+).*->(4c) *Vì nó mà \emptyset (-).*

The examples above show that *the presence or absence of predicate only relates to the identification of meaning of predicate but does not affect the ability of combination (ability of syntactic relation) of predicate with the elements outside the subject-predicate cluster.*

2.2.2. Defining key component of the sentence - predicate

Being the main element (seed) of the subject-predicate cluster, predicate regulates the function of the structure of which it is the seed. The details are as follows:

1) If the sentence is composed by a subject-predicate cluster (simple sentence) or by two subject-predicate clusters or more which have independence relation (independent sentence), these subject-predicate clusters will become the main subject-predicate cluster (core) and their predicates will become the main component of the sentence.

2) If the sentence is composed of two subject-predicate clusters or more which have an independent relation, only subject-predicate cluster in the main subject-predicate cluster will become the main component of the sentence; the predicate in the dependent subject-predicate cluster will be an auxiliary component.

To distinguish between the main component of sentence and main component of subject-predicate cluster as a material for the formation of sentence, we recommend replacing the traditional term *subject-predicate cluster* with the term *predicate cluster*.

Predicate cluster (subject-predicate cluster) has a verb as its seed which is called *verb cluster*. The *verb cluster* is basically inconsistent with *verb noeut* as the explanation of L. Tesnière. The term *predicate* still remains but has a new meaning: *Predicate is the single main component (which is absolutely defined) in the organization of sentence syntactic, which indicates the activities or characteristics, in basic form, expressed in predicate with meaning and form of tense that play core roles in sentence.*

2.3. Classification of predicate based on valence attribute of verb (predicate)

2.3.1. Overview of predicate classification

The thesis will only focus on clarifying the classification of predicate based on valence of verb with the following types of predicate - verb as below:

2.3.2. Predicate expressed by *avalence verb*

Model I: (N₁)- V₁ Example: *Mưa. (Rain)*

2.3.3. Predicate expressed by *intransitive verb*

Model II: N₁ -V₁, (V₁-N₁) Example: *Đàn sẻ táo tác bay. (A flock of sparrows stampede flying).*

2.3.4. Predicate expressed by *transitive verb*

Model III: N₁- V₁- N₂. Example: *Tnú đập bể cái bảng nứa. (Tnú smashed the nehouzeaua board).*

Model IV: N₁- V₁ - về N₂. Example: *Cảnh sát đang điều tra về vụ việc này. (The police is investigating this case).*

Model V: N₁- V₁- đến (tới) N₂. Example: *Hắn có vẻ chú ý đến câu chuyện lắm. (He seems to pay attention to the story).*

Model VI: N₁- V₁- với N₂. Example: *Chúng tôi đã trao đổi với huyện uỷ. (We discussed it with the district party committee).*

Model VII: N₁ - V₁ - vào N₂. Example: *Cả nhà chỉ trông cậy vào một mình bà. (The family can rely on you only).*

Model VIII: N₁ - V₁ - khỏi N₂. Example: *Sau hội biểu diễn, Bócnasô rời khỏi nhà hát vì buổi biểu diễn quá tồi. (After the performance, Bócnasô left the theater because it was too bad).*

Model IX: N₁ - V₁ - từ N₂. Example: *Ông xuất thân từ một gia đình quan lại nghèo. (He came from a poor commando family).*

Model X: N₁ - V₁ - ở (tại) N₂. Example: *Hồ nằm ở giữa những ngọn núi cao. (The lake lies between high mountains).*

Model XI: N₁ - V₁ - cho N₂. Example: *Một lần nữa, CIA lại tiếp sức cho tổ chức hồi giáo này. (Once again, CIA gave finance to this Muslim organization)*

Model XII: N₁- V₁theo N₂. Example: *Chúng tôi men theo dòng suối mà đi tiếp. (We went along the stream).*

Model XIII: N₁ - V₁ - V₂. Example: *Ông cụ miễn cưỡng gật đầu. (The old man hesitated to nod his head)*

Model XIV: N₁ - V₁ - A. Example: *Bà Nghị ra bộ dễ dãi. (Mrs. Nghiseemed to be easy)*

Model XV: N₁ - V₁ -S P. Example: *Mịch đã được ta tha thứ. (Mich was forgiven by me)*

Model XVI: N₁ - V₁ - rằng (là) - SP. Example: *Lợi hiểu rằng nỗi đau đang cắn xé lòng Toàn. (Lợi understood that the pain was tormenting Toan).*

Model XVII: N₁ - V₁ - cho SP. Example: Sự im lặng trong huyện đường *khiến* cho quan càng oai vệ. (The patience in the district chiefs *made* the commando look stately.)

2.3.5. Predicate expressed by ditransitive verb

Model XVIII: N₁ - V₁ - N₂ -N₃. Example: Đáng lẽ làng *xử* mày tội chết... (The village should have *sentenced* you to death...)

Model XIX: N₁ - V₁ - N₂-cho N₃ (N1-V1-cho N3-N2). Example: Mẹ lại *giao* tôi cho bà tôi. (My mother *took* me to my grandma)/

Model XX: N₁ - V₁ - N₂ - (của) N₃, (N₁- V₁-(của) N₂-N₃).Example: Nó *giật* đôi khuyên vàng của người ta. (He *snatched* someone's gold earrings).

Model XXI: N₁ - V₁ - N₂ -vào (ra, lên, xuống) N₃. Example: Rồi Pá Tra lại *trút* cả bạc vào trong tráp. (Then Pa Tra *poured* all the silver into the casket)

Model XXII: N₁ - V₁ - N₂ - với N₃ (N₁ - V₁ - với N3-N2). Example: Mấy anh chàng tinh quái trong lớp *gán ghép* chị với anh Keng. (Some mischievous boys in class *paired* her with Keng for fun).

Model XXIII: N₁ - V₁ - N₂- V₂.Example: Anh Trai *sai* các cháu đi chia quà bánh cho khắp xóm. (Trai *ordered* us to share the biscuits around the hamlet).

Model XXIV: N₁ - V₁ - cho N₂ -V₂. Example: Trong cuộc biến động sau ngày 9 tháng 3, Việt Minh đã *giúp cho* nhiều người Pháp chạy qua biên thùy... (In the upheaval after March 9, Vietnam League *helped* many French to cross the frontier...)

Model XXV: N₁ - V₁ - N₂ -để V₂. Example: Toàn thể nhân dân Việt Nam quyết *đem* tất cả tinh thần và lực lượng tính mạng và của cải *để* giữ vững quyền tự do, độc lập ấy. (the entire Vietnamese people are determined to *use* all the spirit and life to safeguard the freedom, independence)

Chapter 3

SUBJECT FROM THE VIEW OF VALENCE OF PREDICATE

3.1. Different conceptions of subject

3.1.1. Syntactic role of subject

There are two main conceptions of syntactic roles of subject:

1) Subject is the main component of sentence

Most of the authors of studies in Vietnamese grammar works agree on this traditional point of view.

2) Subject is the auxiliary component of sentence

V.S Panfilov, Nguyen Van Loc is a typical representative for this point of view.

3.1.2. Definition and identification of subject

1) Definition based on notification (communication)

In this way, subject is generally as “*theorized component*”, “*mentioned*” in predicate. The weakness of this definition is that it is not based on the syntactic meaning which is the important content attribute to define or identify subject.

2) Definition based on both notification and syntactic characteristics

Because it is not based on syntactic meaning so that this definition does not address the cases such as: “*Tan mây*”.

3) Definition based on semantics

In this view, subject is considered as the main component in the sentence “*indicating the one with characteristics mentioned in predicate*”. This definition follows the right track. However, authors following this definition have not distinguished between clearly syntax and expression meaning.

4) Definitions based on syntax of reasonalization

In this way, the criteria to define the subject lack of syntactic meaning which is the essence of syntactic component of the sentence. Moreover, this way does not explain thoroughly all the cases.

5) Definitions based on syntactic meaning and form

This thesis agrees on this view and considers it principles to define system of syntactic components of the sentence including subject.

3.2. Subject - auxiliary component expressing mandatory valence of predicate

3.2.1. Principles to define subject

1) Being a syntax component, *the subject is defined completely based on syntax, essence of syntax (duality) of sentence component.*

2) Being a syntax component, *the subject needs defining in relation of syntax (valence relation) with the predicate that plays role as predicate or seed of predicate cluster (subject-predicate cluster, predicate nouet).*

3.2.2. Syntax essence, characteristics of subject form the view of valence of predicate

3.2.2.1. Defining content characteristics of subject based on the valence of predicate

1) Defining dependence of a subject based on the valence of predicate

Dependence of subject on *predicate* is expressed in both meaning and form: a) Meaning, the subject supplements the syntax meaning to the predicate. b) Form, the subject can be always replaced by interrogative, which means it can be always based on the predicate to

make a question for the subject (Example: *Nam tìm bạn* (*Nam is looking for you*) - > *Ai tìm bạn?* (*Who is looking for you*).

2) Mandatory characteristics of a subject in the valence relation with predicate

The subject along with predicate (subject Grade 1 or sentence grade) almost always participates in the sentence core and removing it will reduce its integrity. The subject of predicates plays a role as an auxiliary component with its compulsion in different levels in relation with specific functions of the predicate - seed that it supplements.

3) Defining a syntax meaning of a subject based on the grammar meaning of predicate

Defining a syntax meaning of a subject with the principle of basing on active grammar meaning (*typical for all verbs*) allows the statement that where a predicate in a sentence is a verb, including grammar verbs, the subject considered in the syntax relation (valence relation) with a verb - predicate always has an active subject syntax meaning; the word that does not indicate syntax subject of the activities is not the subject in the sentence whose predicate is a verb.

3.2.2.2. *Form characteristics of the subject in consideration of relation with the predicate*

1) Capacity of replacement with interrogative words

This is the sign expressing the form dependence of the subject on the predicate.

2) Expression

In basic form, the subject is expressed by nouns (not connected by the relation of dependent words).

3) Positions and intonation

In basic form, the subject stands before the predicate or general predicate.

In conclusion, *the subject is a mandatory component in a sentence, with subject syntax meaning, in basic form, is expressed by a noun that is not connected by the relation of dependent words standing before the predicate.*

3.3. Opposition between the subject and object from the view of valence of the predicate

3.3.1. Prologue

Although the subject and object are auxiliary components expressing the mandatory valence of the predicate, there is still an opposition between them in some aspects. From this fact, the thesis considers an interesting issue: *the opposition between the subject and object in Vietnamese from the view of valence of the predicate.*

3.3.2. Differences between the subjects and objects

3.3.2.1. Scope of appearance next to groups of verbs (predicate)

The subject can possibly appear next to all of verbs, the objects can only appear next to transitive verbs (predicates).

3.3.2.2. Function of communication (communication syntax)

The subject, in typical form, generally holds the role of statement (topic), therefore, generally is determinant. The object, in opposite, in typical form, always stands behind the predicate, therefore, is generally in the theory and determination is not its natural attribute.

3.3.2.3. Meaning and syntax form

In syntax, subjects indicate the syntax subjects; typical syntax meaning of the object is patient or object meaning.

In syntax form, basically, the subject is expressed by the nouns that are not connected by relation of dependent words before the verbs (predicate), and the object is expressed by the nouns behind the verbs (predicate).

3.3.2.4. Participation in realization of valence of verbs

Almost all the verbal variants or syntax variants of transitive verbs allow the presence of the object near them.

The realization of valence of subject, in general, only exists in basic variants or typical cases of verbs (verbs with tense meaning).

3.3.2.5. Dependence level of verb (predicate)

In consideration of both internal and external relations, it can be seen that if the object is an auxiliary element that absolutely depends on the predicate, dependence of the subject on the predicate is not absolute.

3.3.3. Neutralization of opposition between the subject and object near neutral verbs

3.3.3.1. Prologue

Based on the meaning of the verb, the thesis considers the opposition of the subject and object in two types of sentence of structures whose predicates (seeds) are neutral verbs in these two typical groups.

3.3.3.2. Neutral verb of type A

Analyzing structures with neutral verbs in group A (*có, còn* (with existential meaning), *tan, cháy, đố, vỡ, xáy ra, điễn ra...*), the thesis points out that in consistence with neutral characteristic of verb (both transitive and intransitive), the singleactant near them (*nhà* in *Cháy nhà*) has a neutral characteristic between pure subject actant (true subject) and pure patient actant (true object, which means mixed characteristics of subjects and objects).

3.3.3.3. *Neutral verbs in group B*

Analyzing structures with neutral verbs in group B (*lắc, gật, nhắm, há, nghiền, kiễng...có, còn* (in the sense of possession)), this thesis indicates the intermediate of the verb - predicate and appropriate intermediate of the actant behind verb (*đầu, tiền* in *Thứ khê lắc đầu. Tôi có tiền.*)

3.3.3.4. *Boundary between neutral verbs - intransitive (group A) and neutral verbs - transitive (group B)*

The proximity between verbs of these two groups is evident through the sentences or the structure whose predicate (seed) is the verb *có, còn* in the sense of existence and possession. However, the thesis suggests that the possessive sentences and existential sentences still have certain differences in terms of syntax (*có, còn* in the existential sentences incline towards intransitive sense; *có, còn* in possessive sentences incline towards transitive sense).

3.3.3.5. *Solutions to intermediate cases*

1) *With the sentences or structures whose predicate (seed) is a verb of group A (neutral verb - intransitive verb):* the verb is classified into the intransitive category and to be consistent with that, its only actant will be classified into the subject category.

2) *With the sentences or structures whose predicate (seed) is a neutral verb of group B (neutral verb - transitive verb):* the verb is classified into the transitive category and to be consistent with that, the actant before verb will be classified into the subject category and the actant behind verb will be in the category of object.

Chapter 4

ADVERB, THEME OBJECT FROM THE VIEW OF VALENCE OF WORD

4.1. Syntax relation between adverbs and the remaining components in a sentence from the view of valence of the predicate

4.1.1. Prologue

So far, *the issue of nature of syntax relation between adverb and the remaining components in a sentence and the basic position of the adverb in a sentence has not been resolved satisfactorily.*

4.1.2. Concepts on syntax relation between adverbs and remaining components in a sentence

There are two main concepts: 1) Adverb is an auxiliary component in a sentence, which has syntax relation with the sentence core, 2) Adverb is a free extensive auxiliary component of the predicate.

4.1.3. Essence of syntax relation between adverbs and other elements in a sentence

4.1.3.1. Foundations to define the syntax relation between adverbs and other elements in a sentence

It is the definition of syntax relation and how to define the presence of syntax relation between words in a sentence (defined in chapter 1).

4.1.3.2. Limits of traditional view with syntax relations of the adverb

1) Semantic aspect:

a) Immoderate attention is paid to the tight semantic relation between the adverb and predicate..

b) It is hard to explain the case of overlap in meaning between the adverb and free objects of the predicate.

2) Form aspect:

a) The isolation of form is not a mandatory attribute and separate characteristics of the adverb.

b) The capacity of position transform is not a criterion to distinguish the adverb and free objects of the predicate.

4.1.3.3. Reasons of indicated limits

Due to unclear distinguish between syntax relation with communication relation and semantic relation between words.

4.1.3.4. Adverb - auxiliary component in the sentence in syntax relation with the predicate

Adverb is the auxiliary component that expresses the free valence of the predicate (or adverb is the circumstance of the predicate).

The syntax relation between adverbs with predicate is stated by the presence of both meaning relation and form relation between them (the capacity of independent usage of the compound that they form).

This thesis also indicates that, despite the freedom in positions, the basic position (favorable position) of the adverb is behind the predicate.

4.2. Theme object from the aspect of valence of words

4.2.1. Conception of theme object

There are common points of understanding theme object in the traditional concept: a) Is an auxiliary component in the sentence core. b) Function of subject of notification or event in the sentence. It can be seen that the attribute of *subject notification* is not a typical syntax attribute for a type of syntax component in the sentence.

4.2.2. Syntax essence of theme object from the view of valence of words

4.2.2.1. Solutions to issue of syntax essence of theme object

It is possible to think of two solutions: a) Theme object is a component outside the syntax structure of the sentence and therefore, it will not be considered in analysis of syntax in the sentence. b) Theme object

is a syntax component and is considered in the syntax organization in the sentence.

4.2.2.2. Detailed solutions with syntax essence of theme object

Following the second solution, however, this thesis insists on the aspect of syntax, starting from the syntax relation (valence relation) between words to interpret the syntax essence of the theme object.

Words are all considered as theme objects in spite of isolation of form (or meaning) but in essence, *they all have syntax or semantic relation (real or potential) with other words in the sentence.* To clarify this issue, this thesis will review two groups of theme object:

1) **Theme object without interacted component**

Typical examples of theme object (in italics) are shown as below:

Cây này thì phải hai người mới được. (To do *this tree* needs two people)

Cái ấy thì xin cứ tùy hai ông cả. (Nam Cao) (*That is up to you two*).

2) **Theme object with interacted component**

The theme object in this group is not only isolated from positions, intonation but also from concerning words because of presence of hidden interacted component. For example:

Gã tình nhân vô liêm sỉ ấy, Từ đã yêu hắn bằng cả tấm lòng yêu lúc ban đầu.(Nam Cao). (*That shameless lover, Tu loved him with all his heart from the beginning*)

Studying characteristics of meaning and form of the words that are considered theme object in above groups, this thesis concludes that:

a) Theme object has very complex characteristics. The formation, existence of theme object and sentence that contains it is the consequence of the interaction between different aspects of the sentence and under the influence of various elements.

b) Establishment of theme object as a separate syntax component in the sentence, independent from other sentence components based on “*subject functions*” that is communication attribute is not reasonable. Such an analysis is not only unsuitable with the essence of syntax component in the sentence but also causes difficulties in defining theme object, distinguish it and the statement and other syntax component of the sentence (that also has subject function).

c) Seen from the aspect of syntax and from syntax relation (valence relation) between words, it can be seen that *with their meaning attributes and syntax functions, words that are considered as theme object in studied structures herein, in the essence of syntax, do not have the quality of the separate and independent syntax components in the sentence but are isolated variants of different syntax components in sentence.*

4.2.3. Correspondence between words that are theme object and syntax components in a sentence

With above analysis, the terms that are considered theme objects, under their characteristics and forms, will be considered certain sentence components with characteristics that are their isolated variants.

CONCLUSIONS

1. When analyzing a sentence on its syntax, it is necessary to analyze it from the aspect of syntax, starting from the syntax attribute (valence attribute) of the word and based on basic definition of syntax such as: syntax relation (valence relation), roles, functions, meaning and form of syntax of the word.

2. Analyzing syntax organization of a sentence with above views and principles helps addressing thoroughly and adequately one of conundrums of Vietnamese: *essence issue of sentence component (What is sentence component?) as well as criterion of definition and list of sentence components*. In details:

2.1. In a category of syntax, a true sentence component must be a notional word. Because each notional word has a certain role, function, syntax meaning so that it is considered as a certain sentence component.

2.2. Sentence component, as understood above, on one hand, needs distinguishing with syntax-near elements which are expressed with formal words; on the other hand, it needs distinguishing with elements of communication structures (statement, theory) and elements of expression meaning in the sentence.

2.3. Is a category of syntax, sentence component, in principle, needs defining based on the content of syntax and form in which, the content is the essence and key of decision.

2.4. The system of Vietnamese sentence component including single main components or the top of syntax in the sentence which is the predicate and auxiliary components, except for isolated components, are elements that express the active valence of predicate (subject, object, adverbials) and noun (attributive).

Therefore, analyzing syntax of sentence in essence is analyzing the sentence based on valence attribute of words, mostly valence of predicate and noun.

3. Analyzing the syntax organization of a sentence under above principles also allows to thoroughly address the controversial issues on essence, characteristics, and boundaries of sentence components. In details:

3.1. *Essence, syntax characteristics of predicate*

The element called predicate (in traditional subject-predicate cluster) is the single main element (seed) of the cluster. With this view, it is possible to define the single main component (the top of syntax of the sentence) to be a predicate (as new understanding, and it is not always identical to the seed of the subject-predicate cluster).

3.2. *Syntax essence of subject, boundary between it and an object*

While in the traditional sentence analysis, defining and distinguishing between a subject and an object are always conundrums, the definition of subject becomes clearer under the perspective of valence of the predicate: *Subject is an auxiliary component of a sentence expressing the valence of predicate or subject is actant subject of the predicate.*

Relying on the valence of predicate to address the predicate issues also helps define and distinguish between a subject and an object in sentences or structures in which the predicate (seed) is a neutral verb; thus, it helps detect the elements (actants) that have mixed characteristics of the subject and object (neutralization of the opposition between the subject and object).

3.3. *Syntax relation between adverbs and remaining component of the sentence*

Overcoming the limitations of traditional views to adverb (in which adverb is an auxiliary component “*that has syntax relation with entire sentence cores*”), the analysis of syntax relation between adverb and the remaining components of the sentence based on the criteria defining the presence of syntax relation between words allows us to state that an adverb, as well as an object, only has a syntax relation with the predicate. It is a free extension to the predicate. This view helps solve one of “*the most difficult*” problems in grammar: the problem of distinguish between adverb of sentence and adverb or free object of the predicate.

Although the adverb has a freer position than the object but the basic position of the adverb is behind the predicate.

3.4. *Syntax essence of theme object*

Seen from the perspective of syntax (valence relation) between words, there is a foundation to believe that it is words that are considered theme objects, in the essence of syntax, that are isolated variants of certain sentence component. This solution to the theme object is not only suitable for the theory on the syntax component of the sentence that is established, but also helps avoid introducing a definition of sentence component that the definition and interpretation rely entirely on the criteria of syntax with insurmountable difficulties.

LIST OF PUBLISHED PROJECTS RELATED TO THE DISSERTATION

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