

CHAPTER TWO

REVIEW OF LITERATURE

This chapter reviews the literature in four main areas: definitions of related terms, a review of related theories, a review of research topics in genre analysis, and a review of research method in genre analysis. These concepts, theoretical frameworks and relevant studies of genre analysis are reviewed in order to establish the scope and background for the present study.

2.1 DEFINITIONS OF RELATED TERMS

2.1.1 Genre

In recent decades, interest in the study of genre and its application in language teaching and learning have been increasing. Following genre analysis of research articles of Swales (1990), genre analysis has become a mainstream focus of English for Specific Purposes (ESP) since the 1990s. Swales describes genre as follows:

A genre comprises a class of communicative events, the members of which share some set of communicative purposes. The purposes are recognized by the expert members of the parent discourse community, and thereby constitute the rationale for the genre. This rationale shapes the schematic structure of the discourse and influences and constrains choice of content and style. Communicative purpose is both a privileged criterion and one that operates to keep the scope of a genre as here conceived narrowly focused on comparable rhetorical action. In addition to purpose, exemplars of a genre exhibit various patterns of similarity in terms of structure, style, content and intended audience. If all high probability expectations are realized, the exemplar will be viewed as prototypical by the parent discourse community. The genre names inherited and produced by discourse communities and imported by others constitute valuable ethnographic communication, but typically need further validation (p.58).

Genres vary in terms of their complexity and rhetorical purpose and the mode or medium through which they are expressed. They are defined and used within discourse communities. By discourse community, Swales (1990, p.9) refers to “socio-rhetorical networks that form in order to work towards sets of common goals”. Swales (1990) further describes the characteristics of such communities as follows:

1. A discourse community has a broadly agreed set of common public goals.
2. A discourse community has mechanisms of intercommunication among its members.
3. A discourse community uses its participatory mechanisms primarily to provide information and feedback.
4. A discourse community utilizes and hence possesses one or more genres in the communicative furtherance of its aims.
5. In addition to owning genres, a discourse community has acquired some specific lexis.
6. A discourse community has a threshold level of members with a suitable degree of relevant content and discursual expertise (pp.24-27)

Bhatia (1993) supports Swales’ account of a genre and further explains four major points. First, factors such as content, form, audience, medium or channel can affect the construction and nature of genres. A different genre or sub-genre might occur when the communicative purposes change. Second, as a result of their professional life and experience, specialist members of any discourse community are commonly aware of the communicative purposes and the construction of the genre employed in the community. Third, it is possible for a specialist to deviate from the boundary of a genre’s conventions to generate a special effect or private intention. It is also possible to utilize specific lexico-grammatical features or certain kinds of meaning concerned with a genre. Lastly, specialist members of a discourse community generally possess better knowledge of conventional purposes, construction and use of genres than novices. For this reason, analyzing genre involves experts to react to the findings.

2.1.2 Genre and Register

Besides the concept of genre discussed above, it is necessary to distinguish the difference between genre and register. The two terms are sometimes used interchangeably or synonymously for the reason that they possess some shared characteristics.

Richards and Schmidt (2002) define genre as “a type of discourse that occurs in a particular setting, that has distinctive and recognizable patterns and norms of organization and structure and that has a particular and distinctive communicative functions” (pp.224, 422). Register, on the other hand, is defined as “a speech variety used by a particular group of people, usually sharing the same occupation or the same interests. A particular register often distinguishes itself from other registers by having a number of distinctive words, by using words or phrases in a particular way, and sometimes by special grammatical constructions”.

Holmes (1992) provided a definition of register stating that it is the language of groups of people with common interests of jobs or the language used in situations associated with such groups. The specific vocabulary associated with different occupational groups can also, to a certain extent, refer to register. In addition, Yule (1996) defined register as a variation according to its use in specific situations; such as religious register, legal register, aviation register, etc. The use of special jargon or technical terms regarding a special activity or group is the key feature of register.

2.1.3 Genre Analysis and Discourse Analysis

The two overlapping terms of genre analysis and discourse analysis were compared by Dudley-Evans and St. John (1998). Discourse analysis is the study of how texts work. It is any study of texts above the sentence level which may concern the study of cohesive links between sentences or paragraphs, paragraph structure, or structure of the whole text. Genre analysis, on the other hand, is the study of the differences between texts or types of texts. In other words, it analyses the regularities of structure that distinguish one type of text from another. Therefore, it is fair to claim that genre analysis is under the umbrella term of discourse analysis. It is also worth noting that discourse analysis is useful for analyzing spoken texts,

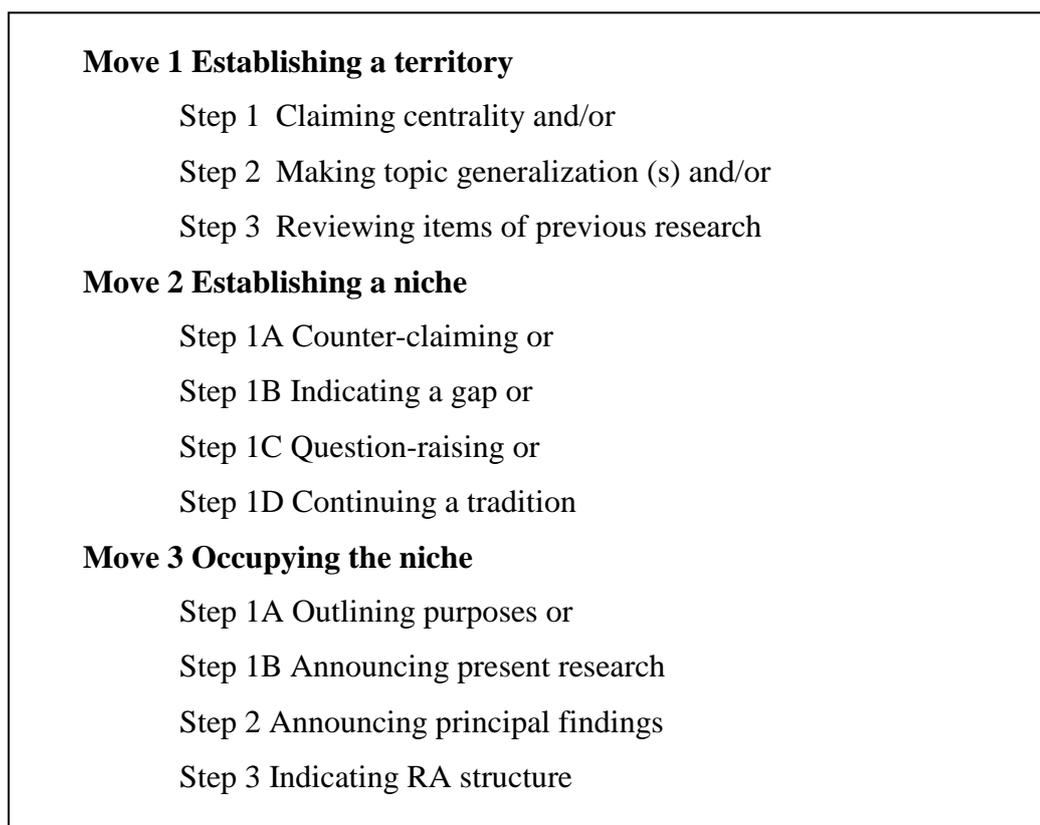
especially turn-taking and shifts of topic in spoken business discourse. Genre analysis, however, is an effective instrument when studying both written and spoken texts in all areas of ESP (Dudley-Evans & St. John, 1998).

2.2 REVIEW OF RELATED THEORIES

2.2.1 Genre Analysis of Research Article Introductions (RAIs)

In the studies of research article introductions, the works of Swales (1990) have been influential. Swales investigated the introduction section of research articles written in English from a wide range of disciplines (e.g. physics, medicine, and social sciences). He identified the moves or rhetorical patterns that are typically employed in RAIs. Swales proposed his CARS model – Create a Research Space Model which is presented in figure 1 below.

Figure 1. Create a Research Space Model (CARS).



From *Genre Analysis: English in Academic and Research Settings* (p.141), by J.M. Swales, 1990, Cambridge: Cambridge University Press.

2.2.2 Framework for Analyzing Unfamiliar Genres

Depending on the aim of each analysis, the aspect of the genre focused on, and the researchers' background knowledge of the nature of the genre to be examined, Bhatia (1993) suggests that researchers should consider the following seven approaches in order to undertake a genre analysis.

1. *Placing the given genre-text in a situational context*: This process is rather subjective in the way that researchers have to get the genre-text in place by looking at prior knowledge, the clues within the text, and encyclopedic knowledge they already have. The writer's previous experience and background knowledge of a specialist discipline and the communicative conventions concerned with the discipline are to be considered in this approach.

2. *Surveying existing literature*: The reviewed literature includes (pp.22-23):

linguistics analyses of the genre/ variety in question or other related or similar genres/ varieties;

tools, methods or theories of linguistic/ discourse/ genre analysis which might be relevant to this situation;

practitioner advice, guide books, manuals, etc. relevant to the speech community in question;

discussions of the social structure, interactions, history, beliefs, goal, etc. of the professional or academic community which uses the genre in question.

3. *Refining the situational /contextual analysis*: After the genre-text is placed into a situational/contextual boundary, researchers need to further improve such analysis by:

defining the speaker/writer of the text, the audience, their relationship and their goals;

defining the historical, socio-cultural philosophic and/or occupational placement of the community in which the discourse takes place;

identifying the network of surrounding texts and linguistic traditions that form the background to this particular genre-text;

identifying the topic/subject/extra-textual reality which the text is trying to represent, change or use, and the relationship of the text to that reality (p.23).

4. *Selecting corpus*: Bhatia (1993) suggests that it is necessary for researchers to:

define the genre/sub-genre that one is working with well enough so that it may be distinguishable from other genres either similar or closely related in some ways. The definition may be based on the communicative purposes, the situational context(s) in which it is generally used, and some distinctive textual characteristics of the genre-text or some combination of these;

make sure that one's criteria for deciding whether a text belongs to a specific genre/variety are clearly stated;

decide on one's criteria for an adequate selection of the corpus for one's specific purpose(s) – a long typical text for detailed analysis, a few randomly chosen texts for explanatory investigation, a large statistical sample to investigate a few specific features through easily identified indicators (pp.23-24).

5. *Studying institutional context*: The system and/or methodology in which the genre is used and the rules and/or conventions that control the language use in such institutional settings are to be considered when analyzing genre. The rules or conventions are an intuitive understanding of members of a discourse community

where the information can be acquired from literature or experts' advice and discussions of factors such as social structure and interactions, history, beliefs, and goals.

6. *Levels of linguistic analysis*: In order to perform an appropriate analysis, researchers then have to choose the level(s) of linguistic analysis relevant to the genre in question. The analysis can be done by analyzing the lexico-grammatical features, the text-patterning or textualization, or the structural interpretation.

7. *Specialist informant in genre analysis*: Researchers should then confirm the findings against reactions from a specialist informant who utilizes the genre in question on a regular basis. This can enhance validity of the investigation. Bhatia (pp.35-36) adapts the characteristics of the specialist informant which were initially proposed by Selinker (1979) that an informant should:

be a competent and trained specialist member of the disciplinary culture in which the genre under study is routinely used;

have a feel for the specialist language and also be prepared to talk about it openly, when asked searching questions about various aspects of the genre under study;

be in a position to explain clearly what he/she believes expert members of the disciplinary culture do when they exploit language in order to accomplish their generic goals.

2.3 REVIEW OF RESEARCH TOPICS IN GENRE ANALYSIS

A review of research topics in the analysis of academic and professional genres will be presented in three main categories according to genre pedagogy (adapted from Hammond & Derewianka, 2001): identification of linguistic features; analyzing models of specific genres; and exploring the cultural context.

2.3.1 Academic Genres

Of the three main categories, the most frequently done is the identification of linguistic features, followed by analyzing models of specific genres and exploring cultural context.

Identification of linguistic features

Many researchers have shown interest in analyzing verbs, tenses and voices in academic genres. Tarone et al (1981) analyzed the active and passive verbs in two astrophysics journal articles. Malcolm (1987) carried out analysis of tense usage in 20 articles of the *Journal of Pediatrics*. Salanger-Meyer (1992) looked at tense and modality distribution in 84 medical English abstracts. Thomas and Hawes (1994) investigated the verbs used in reporting statements or citations in 11 psychosomatic medicine journal articles. Williams (1996) examined lexical verbs used in medical research reports, clinical and experimental.

Pronominal features have also been investigated in academic genres. Hyland (2001) discussed the rhetorical strategies of self-mention and exclusive first person pronouns in 240 research articles in 8 disciplines. Martinez (2001) did research on the impersonality used in 21 experimental research articles in physical, biological and social sciences. Fortanet (2004) reported on the use of pronoun “we” in university lectures at the University of Michigan.

Other interesting issues in academic genres are directives and questions. Tapper (1994) studied forms and functions of directives used in a laboratory context by non-native English speaking demonstrators. Webber (1994) investigated the use of questions in 6 medical journals. Hyland (2002a) explored the use of directives in published articles, textbooks and L2 students’ reports. Hyland (2002c) also observed the distribution and use of questions in research articles, textbooks and L2 students’ essays as well as their perceptions and practices.

Several other linguistic features have also been researched. Morrow (1989) explored the use of conjuncts in business news stories and academic journal articles about economics. Gupta (1995) analyzed how three international graduate students managed general and specific information in the introduction sections of their papers. Hewings and Hewings (2002) looked into a comparative study of “It-Clauses” in published writing in the MBA field.

Analyzing models of specific genres

A significant amount of research has been carried out in analyzing rhetorical structures of academic genres. Swales (1990) analyzed the introductions of 48 academic research articles. Thompson (1994) explored the structure of 18 lecture introductions from linguistics, engineering, and medicine areas. Brett (1994) studied the communicative categories or “moves” of the results sections of 20 sociology research articles. Holmes (1997) looked at discussion sections of 30 social sciences research articles in terms of “moves”. Bhatia (1997) observed the roles of promotional intentions in genre conventions resulting in genre-mixing of academic introductory genres, variously called introduction, preface, foreward, acknowledgement and publisher’s blurb. Connor (2000) researched rhetorical variation in 14 research grant proposals written by 5 humanities and sciences researchers for US government and private funders. Samraj (2002) investigated the rhetorical organization of research article introductions in wildlife behavior and conservation biology fields. Flowerdew and Dudley Evans (2002) inspected schematic structure, personal nature and politeness strategies of 53 summative editorial letters to international journal contributors of the *English for Specific Purposes Journal*.

Exploring the cultural context

Although not many studies have been done in this category, it is fundamental to ESP pedagogy. The research would encourage students to “see genres as social processes existing in cultural contexts and fulfilling specific communicative purposes” (Hammond & Derewianka, 2001, p.190). St. John (1987) studied the English writing processes of Spanish scientists at the University of Cadorba, Spain. Salanger-Meyer (1990) carried out a comparative study of metaphors in English, French, and Spanish medical English prose. Flowerdew and Miller (1996) explained socio-cultural features of lectures at a university in Hong Kong where English was used as a second language. Moreno (1997) conducted a contrastive analysis of 72 research articles, in English and in Spanish, on business and economics in the light of intercultural variation in rhetorical preferences of national cultures.

2.3.2 Professional or Non-academic Genres

A large amount of professional genre analysis has been conducted and has outnumbered studies of academic genres. Similarly to academic genres, identification of linguistics features has the highest frequency of being researched, followed by analyzing models of specific genres and exploring the cultural context.

Identification of linguistic features

One popular issue among researchers had been an analysis of metaphors. Semino (2002) analyzed metaphors used in relation to the euro currency in a selection of British and Italian newspapers. Caballero (2003) explored the analysis of metaphors used by architects in 95 building reviews of 6 architectural design magazines. White (2003) studied the use of metaphoric “growth” in the British press particularly *The Financial Times*.

Socio-pragmatic features in professional genres have also been an issue of interest. Charles (1996) examined the organization and rhetoric of 6 authentic audio-recorded British sales negotiations by means of socio-pragmatic analysis. Upton and Connor (2001) looked into the moves of application letters and the politeness strategies used by Americans, Finns, and Belgians. Maier (2002) studied politeness strategies in 18 application letters by native and non-native English speakers.

Language characteristics in political genres have been analyzed by many researchers. Fetzer (2000) focused on the interactional organization of the media event and a political interview genre. Antika and Leudar (2001) analyzed the use of quotations of opponents in parliamentary argumentation in project promotion.

Other characteristics of professional and non-academic genres have been examined as well. Marley (2000) researched the modification of gender in *The Guardian's* dating ads column. Guijarro and Hernandez (2001) looked at the differences in the thematic/topical progression of 40 news items and tourist brochures.

Analyzing models of specific genres

A large number of researchers have analyzed rhetorical patterns of professional genres such as promotional, business, and legal genres. Bhatia (1993) focused on conducting a genre analysis of sales promotion letters, job applications, legislative provisions, and legal cases. Iborra and Garrido Ruiz (2001) performed an

analysis of “moves” structure in 12 tourist leaflets and of lexico-grammatical features. Henry and Roseberry (2001) undertook a study of moves and strategies in 40 application letters written by native speakers. Santos (2002) examined generic structure of 117 English business letters of negotiation exchanged by fax between a Brazilian company and two European companies.

Exploring the cultural context

Badger (2003) carried out an analysis of 25 law reports from *The Guardian* and *The Times* about their social and cultural factors linking them to textual factors.

2.4 REVIEW OF RESEARCH METHODS IN GENRE ANALYSIS

From the previous research conducted on genre analysis, the CARS model of Swales (1990) has been validated and extensively applied to text analyses by many researchers such as Bhatia (1993), Brett (1994), Connor (2000), Samraj (2002), etc. Nevertheless, the framework cannot account for every study since some studies focus on unfamiliar or professional genres. Therefore, the framework of Bhatia (1993) has been adopted instead. Consequently, a combination of the two frameworks has been applied by a significant number of researchers such as Henry and Roseberry (2001), Iborra and Garrido Ruiz (2001), Flowerdew and Dudley-Evans (2002), Badger (2003), etc.

In this present study, the decision was made to apply both Swales’s and Bhatia’s frameworks to the data analysis, which is elaborated in the next chapter. The reason for this decision is that Swales’s (1990) work is highly influential in studies of genre analysis. In addition, as Bhatia (1993) focuses on professional genre, public addresses are an unfamiliar genre which none of the previous studies have examined.