CHAPTER TWO

REVIEW OF LITERATURE ON GENRE ANALYSIS

2.0 Introduction

This chapter introduces Genre Analysis, the study of situated linguistic behaviour in institutionalized academic or professional settings. It discusses genre based studies of the three traditions namely that of the English for Specific Purposes (ESP), North American New Rhetoric and Australian systemic functional linguistics. These three approaches to genre differ in terms of theory and method of text analysis. The term 'genre' as used in this study is defined here and a review of studies done in this area is provided. Finally, ways in which Genre Analysis can be combined with other approaches is mentioned.

2.1 The Concept of Genre

'Genre' is not a new term. The concept of genre has existed as early as in the nineteenth century in literary studies and until three decades ago was largely only used in literary studies. In linguistics, the term genre has generally been found among linguists of the ethnographic or systemic schools. Hymes, an ethnographer, states that

> *"Genres often coincide with speech events, but must be treated as*
> *analytically independent of them. They may occur in (or as)*
> *different events. The sermon as a genre is typically identified with*
> *certain place in a church service, but its properties may be*
> *invoked, for serious or humorous effect, in other situations"*

> *(Hymes, 1974, p. 61)*

In the English for Specific Purposes (ESP) approach, the term 'genre' has been defined as a class of communicative events which has a set of shared communicative purposes (Swales, 1981, 1990). In the Australian educational linguistic theory approach, the term genre is linked closely to register. In this approach, register represents the context of situation which is controlled by field, tenor and mode while genre represents the context of culture. According to Martin,

> *Genres are how things get done, when language is used to accomplish them. They range from literary to far from literary forms: poems, narrative, expositions, lectures, seminars, recipes, manuals, appointment making, service encounters, news broadcasts and so on. The term genre is used here to embrace each of the linguistically realized activity types which comprise so much of our culture.*
>
> *(Martin, 1985, p. 250)*

The North American approach on the other hand, regards genre as a means of social action (Miller, 1984) which involves an ethnographic study of the surrounding context. A study of the ethnography of the community in this approach is crucial to the understanding of a genre. In this approach, genre analysts among rhetoricians see genre as dynamic rhetorical forms that develop according to recurrent situations.

2.2 Approaches to Genre

Based on Sunny Hyon's article, "*Genre In Three Traditions: Implications For ESP*" (1996), one could look at the study of genre from three different traditions. Each tradition differs in its approach to genre. In the English for Specific Purposes (ESP) theory (eg. Swales, 1990; Bhatia, 1993; Dudley-Evans, 1994), genres have been framed as oral and written text types defined by their formal properties as well as by their

communicative purposes within social contexts. Genres in this ESP tradition are often associated with 'discourse communities like academic disciplines or particular professions, and often use the nomenclature of these communities, such as 'research article' and 'lab report', to identify valued genres (Johns, 2003).

In the New Rhetoric (eg. Bakhtin 1981; Miller, 1984; Berkenkotter and Huckin, 1993), the focus is on the situational contexts in which the genres occurs as well as on their social significance. Miller (1984) describes genre as a 'social action' and insists that the study of genre cannot be accomplished without studying the ethnography of the community in which the genre occurs. The New Rhetoric School focuses on these aspects rather than on their linguistic forms.

In the Australian tradition (eg. Martin, 1989, 1993; Halliday and Hasan, 1985) which is based on Halliday's theory of systemic linguistics, the approach to genre is concerned with the relationship between language and its functions in social settings. Martin (1993) describes genres as a 'staged –goal oriented social processes', cultural forms that culture use in certain contexts to achieve various purposes.

Since each theory differs, the method of analysis also differs. In the ESP approach, the attention is on structural move analysis to describe global organizational patterns in genres. ESP researchers not only look at the level of the text but also at the lexico-grammatical level. The New Rhetoric scholars, on the other hand, look at stituational contexts in which the genres occur focusing particularly on the social purposes or actions. In the Australian educational linguistics approach to genre, their analysis on

textual patterns and lexico-grammatical feature is within the Hallidayan schemes of

linguistic analysis associated with field, tenor and mode.

These three approaches to genre can be summarized in the following table:

Table 4: The Three Approaches to Genre

	ESP Analysis	Australian Genre Theories	New Rhetoric Studies
Researchers	ESP scholarship	Systemic-functional linguists	North American scholarship interested in L1 teaching
Objective	Pedagogical	Pedagogical	Pedagogical
Setting	NNSE, EAP, EPC	Primary; secondary, adult education for minorities, migrant workers and other mainstream groups	NSE in undergraduate schools
Genre Theory	Genre as "Communicative events' characterized by their communicative purposes" and by various patterns of "structure, style, content and intended audience" (Swales, 1990, p. 58)	Genre as "Staged-goal-oriented social processes" (Martin, Christie and Rothery, 1987)	"Genre as social action" with social purposes (Miller, 1984)
Text Analysis	Structural move analyses to describe global organizational patterns	Analysis of linguistic features within Hallidayan schemes of linguistic analysis	Text analysis based on ethnographic methods

EAP= English for Academic Purposes, ESP=English for Specific Purposes, EPC= English for Professional Communication, NSE=Native Speakers of English, NNSE= Non Native Speakers of English

(Kaoru Kobayashi, 2003, p. 7)

Yunick (1997) also gives a concise description of the three approaches to genre which

he summarizes as follows:

> With respect to drawing relations between language and its social functions, New Rhetoric focuses on the social purposes end of the spectrum, while genre analysis in ESP brings more focus to moves in discourse structure. Australian linguistics explicitly and theoretically hooks up grammar and lexicon as well as discourse structure to social function.

(Yunick, 1997)

The description of the three approaches will be discussed in detail in the next section of this chapter.

2.3   The English for Specific Purposes (ESP) Approach

Genre analysis developed as part of ESP in the 1980s. This most influential ESP genre-analysis framework was established by Swales (1981, 1990) and has set the standard for a formalistic approach to genre analysis of academic, professional and scientific discourse studies.   Swales' theory of genre analysis is built upon three concepts: discourse community, genre and language learning task (Swales, 1990, p. 9).

In the ESP approach, textual patterns or organisation in a genre is analysed by breaking the text up into moves. Swales' moves analysis not only looks the structure but also studies the lexico-grammatical features of moves.

2.3.1   Genre

Swales' defines 'genre' as:

> a class of communicative events, the members of which share some set of communicative purposes. These 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 probablity expectations are realized, the exemplar will be viewed as prototypical by the parent discourse community but typically need further validation

(Swales, 1990, p. 45-58)

From the definition, Swales sees genre as a class of communicative events that are characterized both by their 'communicative purposes' and by various patterns of 'structure, style, content and intended audience (Swales, 1990). These shared 'communicative purposes' and structures are recognized by the expert members in the area and are responsible for shaping a genre and providing it with an internal structure – a schematic structure. This rational that shapes the schematic structure of the discourse also gives rise to constraining conventions (Swales, 1990, p. 53).

Swales gives research articles, recipes, newspapers and news broadcast as examples of genres. The texts that belong to one genre share a set of communicative purposes. In addition, Swales emphasizes that the recognition of the structure is important in understanding the genre as the rational that shapes the structure gives rise to constraining conventions. For example, the purpose of a research paper differs from that of a newspaper article. Thus, the different communicative purpose places constraints on the formal features of the text, the discourse structure and the lexical and grammatical choices.

2.3.2 Discourse Communities

Within a community, language plays an important role in discourse practices. In Swales' genre analysis, the importance of the discourse communities is highlighted. According to him, discourse communities are socio-rhetorical networks that form in order to work towards sets of common goals and one of the characteristics that established members of these discourse communities possess is familiarity with the particular genres that is used in the communicative furtherance of those sets of goals

(Swales, 1990). Swales (1990) has identified six characteristics of a discourse community which are:

1. A discourse community has a broadly agreed set of common public goals.

2. A discourse community has mechanisms of inter-communication 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. 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 discoursal expertise.

A group of individuals are identified as a discourse community if they share the same common goals. Secondly, a discourse community has to have 'mechanisms of intercommunication among its members' and even if 'members of a community may never interact, they all have lines of communication back to base, and presumably acquired discourse community membership as a key element in their initial training' (Swales, 1990). In other words, a discourse society must ensure it has participatory mechanisms among members of their discourse community.

Thirdly, a discourse community uses it participatory mechanisms for information exchange. A discourse community is identified if there are information sharing and feedback amongst its members.

The fourth criteria is discourse community possesses and utilizes one or more genres in the communicative furtherance of its aims as it continually develops discourse expectations. The next criteria is the discourse community has acquired a highly specialized terminology to facilitate communication among its expert members in the community and finally a discourse community should have members with a high level of expertise.

Swales' discourse community here is different from speech community in sociolinguistics. In sociolinguistics the main objective of the community is in the socializing of its members whereas in Swales the main objective of the discourse community is in its members' sharing of the same interest, either social or academic.

2.3.3 Language Learning Task

The third concept of Swales' genre analysis is language learning task. Swales defines a language learning task as:

> One of a set of differentiated, sequenceable goal-directed activities drawing upon a range of cognitive and communicative procedures relatable to the acquisition of pre-genre and genre skills appropriate to a foreseen or emerging sociorhetorical situation.
>
> (Swales, 1990, p. 76)

Since genres are the properties of discourse communities; that is to say, genres belong to discourse communities, not to individuals, other kinds of grouping or to wider speech communities, it is appropriate look at how an analysis of texts by a discourse

community is related to the language learning task. Genres are classes of communicative events which typically possess features of stability, name recognition and so on. Genre-type communicative events (and perhaps others) consist of texts themselves (spoken, written, or a combination) plus encoding and decoding procedures as moderated by genre-related aspects of text-role and text-environment. These processing procedures can be viewed as learning tasks. The acquisition of genre skills by the learner depends on his previous knowledge of the world, giving rise to content schemata, knowledge of prior texts, giving rise to formal schemata, and experience with appropriate tasks. Thus, the teaching of genre skills essentially involves the development of acquisition-promoting text-task activities.

These three concepts - discourse community, genre and language learning task (Swales, 1990) which are bound by the same communicative purposes is the focus of genre analysis in Swales' theory.

2.4 Swales' Genre Analysis

Swales' (1981, 1990) study on research articles (RA) pioneered the use of moves analysis in the genres of academic and scientific discourse. Swales' study was sparked by his desire to help writers with the introduction section of the research article which appeared to be so difficult to write.

2.4.1 Moves Analysis

Swales' (1981, 1990) work on `moves' which is defined as a semantic units related to the writer's purpose in RA introductions can be considered seminal and has sparked off a number of studies in the same area. A semantic unit could consist of a single sentence

or more but is usually not more than a paragraph long. In moves analysis, each move as a component of the schematic structure of a genre is labelled and given a specific role. When all the moves in a genre have been identified and labelled, a model for the genre can be proposed. Some of the moves are obligatory and some moves are optional. The moves are further noticeable as particular language features are found under each move.

In addressing the difficulty of writing the Introduction section of the RA, Swales (1981) has proposed a model based on a four-move approach:

Table 5: Swales' (1981) First Model for Research Article Introduction

Move	Step
Move 1: Establishing the field	A. Showing Centrality of the Topic, **OR** B. Stating Current Knowledge of the Topic, **OR** C. Ascribing Key Characteristics
Move 2: Summarising Previous Research	
Move 3: Preparing for Present Research	A. Indicating a Gap, **OR** B. Question Raising, **OR** C. Extending a Finding
Move 4: Introducing Present Research	A. Giving the Purpose, **OR** B. Describing Present Research

(Swales, 1981, p. 22)

In this proposed model, Move One, 'Establishing the Field' occurs when a writer demonstrates the relevance of his research by stating the significant of the research undertaken. The writer must decide whether to use the sub move of 'Asserting centrality', 'Stating current knowledge' or by 'Ascribing key characteristics'. In move two, the writer sums up previous research in the area of study. This is followed by

move three which is 'Preparing for present research' by showing either there is a 'Gap in the previous research', 'Question raising' or 'Extending a Finding'. The last move; move 4 is 'Introducing Present Research'. This is done by giving the 'Purpose' of the study or by 'Describing/Outlining the present research'.

Swales found these four moves in the order mentioned above and Crookes' (1986) further validated Swales' study. However in Crookes' study, he found the sequential order was not standard although all the four moves did occur across the three disciplines of his analysis.

Based on the four-move model described above, Swales (1990) further developed another model called the Create a Research Space (CARS) Model. In this model, he has only three moves which can be identified in the RA introductions. The moves are 'Establishing a territory', move 1, 'Establishing a niche', move 2 and 'Occupying the niche', move 3. Each move has several steps which can be concurrent or optional. The table below summarizes Swales' Create a Research Space (CARS) Model:

Table 6: Swales' (1990) CAR Model for Research Article Introduction

Move	Step
Move 1: Establishing a territory	Step 1 Claiming centrality **AND/OR** Step 2 Making topic generalization(s) **AND/OR** Step 3 Reviewing items of previous research
Move 2: Establishing a niche	Step 1A Counter-claiming **OR** Step 1B Indicating a gap **OR** Step 1C Question-raising **OR** Step 1D Continuing a tradition
Move 3: Occupying the niche	Step 1A Outlining purposes **OR** Step 1B Announcing present research Step 2 Announcing principal findings Step 3 Indicating RA structure

(Swales, 1990, p. 141)

In the CAR Model, Swales has combined move 1 and move 2 of the previous model into 'Establishing a Territory' because of the difficulties in separating Move 1 and Move 2 as were pointed out by researchers (eg. Bley-Vroman and Selinker, 1984 and Crookes, 1986).

From the study of moves proposed by Swales, researchers are able to define the move structure and the role of each move in the text.

2.4.2 Lexico-Grammatical Signals

In order to identify each move, Swales defined the lexico-grammatical features of each move. For example, he suggested that typical examples of expressions found in Move 1.

Step 1, Claiming centrality are:
Recently, there has been a spate of interest in how to……
In recent years, applied researchers have become increasingly interested in….
The possibility...has generated interest in….
Recently, there has been wide interest in …..
The time development…is a classic problem in fluid mechanics.
The explication of the relationship between…is a classic problem of……
The well-known….phenomena….have been favorite topics for analysis both in….
Knowledge of…has become an important aspect of….
The theory that….has lead to the hope that…..
The effect of…has been studied extensively in recent years.
Many investigators have recently turned to…
The relationship between…has been studied by many authors.
A central issue in…is the validity of….

(Swales, 1990, p. 144)

For Move 1 Step 3, he first categorized the citations as integral or non-integral, and then each of these categories as reporting and non-reporting. He concluded that the use of the past tense is observed in an integral, reporting type of citation, the present perfect tense is observed in a non-integral, reporting type of citation, and the present (or modal) tense in a non-integral, non-reporting type of citation.

Thus, Swales not only developed a model of rhetorical organization of the research article introduction, but also suggested the lexico-grammatical signals of each move and steps.

2.5 Studies Based on Swales' Moves Analysis

Several researchers have applied Swales'(1990) CARS model to the analysis of other genres. Crookes (1986), for example, discussed the cyclical nature of introductions and Dudley-Evans (1986 and 1994) and Hopkins and Dudley-Evans (1988) analysed the introduction section of dissertations and created a model for this genre. The following model (Hopkins and Dudley-Evans ,1988) was suggested for the discussion section:

Discussion

 (a) Background Information

 (b) Statement of results

 (c) (Un)expected result

 (d) Reference to previous research (comparison)

 (e) Explanation of Unsatisfactory Result

 (f) Exemplification

 (g) Deduction and Hypothesis (since modified to Claim)

(h)   Reference to Previous Research (in support of a claim)

(i)   Recommendation

(j)   Justification

Unlike research articles which have been researched on by several researchers, theses have been somewhat neglected. This is probably due to the fact that access to theses is more difficult and each section in theses is usually very lengthy compared to the sections in RAs. Bunton (2002) examined the introductions of PhD theses and created a model for thesis introductions which differs somewhat from the introductions of research articles of Swales (1984, 1990).   His model is shown below:

Table 7: Bunton's Model of Thesis introduction

Often present	Occasionally present
Move 1: Establishing a territory Steps 1. Claiming centrality 2. Making topic generalizations and giving background information 3. Defining terms 4. Reviewing previous research	 Research Parameters
Move 2: Establishing a niche Steps 1A. Indicating a gap 1B. Indicating a problem or need 1C. Question-raising 1D. Continuing a tradition	 Counter-claiming
Move 3: Announcing the Present Research (Occupying the niche) Steps 1. Purposes, aims or objectives 2. Work carried out 3. Method 4. Materials or Subjects 5. Findings or results 6. Product of research/Model proposed 7. Significance/Justification 8. Thesis structure	 Chapter structure Research questions/hypotheses Theoretical position Parameters of research Application of product Evaluation of product

(Bunton, 2002, p. 74)

Kwan (2006) proposed a model for the literature review section of theses. She examined twenty doctoral theses produced by native English speaking students and found that literature review section displays an Introduction–Body–Conclusion structure, a three move structure. Although many of the steps in Bunton's model are found in her study, her findings suggest that literature reviews and introductions may not be structurally entirely the same.

Other researchers have applied Swales' model to introductions written in other languages. Ahmad (1995) for example, examined the introductions of Malay scientists and found them to be lacking in the move 'Claiming Centrality' due to the less competitive nature of doing research in their country at the time of the research. Cmejrkova (1996) analysed the rhetorical patterns of Czech writers and observed that introductions are influenced by linguistic and cultural differences.

Studies on variations in introductions across disciplines have also been researched on but to a lesser extent than the areas mentioned above. Posteguillo's (1999) study of introductions of computer science articles, Nwogu's (1997) study of medical introductions and Samraj's (2002) study of article introductions from two related disciplines in Science show variations in the genre across disciplines. Applicability of Swales' Create a Research Space (CARS) model is explored in these studies which reveal that the model does not account for some features in the introduction in the different disciplines. Ngowu for example, developed his nine-move model for medical research articles in 1991, which he revised into an eleven-move model in 1997 while Posteguillo (1999) findings on the other hand, suggested that the rhetorical organization of computer science articles is quite different from the IMRD (introduction-method-

results-discussion) pattern of natural science articles. By comparing texts of the same genre but from different disciplines, the studies show that textual characteristics that are due to disciplinary norms can be distinguished and call for models with greater flexibility in embedding of moves.

Beside the Introduction section, the structure of the research article abstract has also been studied quite extensively. Hyland (2000) provides us with a model that can be applied to this section. Melander et. al. (1998) examined abstracts from three disciplines and found that linguistics and biology abstracts produced in the American context are different in the overall organization. Samraj (2005) studied abstracts and introductions in Conservation Biology and Wildlife Behaviour and found that in the forty-eight texts that she examined, the purpose and structure of these genres were not as different as one might expect. In the more established discipline of Wildlife Biology, the abstracts appeared to be not as explicitly rhetorical or persuasive as the introductions, but in the newer field of Conservation Biology, the abstracts were as overtly rhetorical as the introductions. Findings such as these indicate the generic variation that exists in similar disciplines.

The Results and subsequent sections are also important in that here, writers present their findings and relate them to the objectives of the research thus establishing their importance. There have been several studies on the Results section. Brett (1994) found that this section which contains new findings are not only highlighted but also interpreted by the writers. Posteguillo's (1999) analysis of this section supports the findings of Brett (1994) and indicate that this section contains results and comments on the results and that a cyclic pattern or reporting and commenting appears to be present.

Hopkins and Dudley-Evans (1988) carried out an analysis of the discussion section in theses and research articles and emphasise the presence of repeated cycles in this section. It appears that moves from particular to general are common rather than in a single overall development. Berkenhotter and Huckin (1995) identified a set of moves in the Discussion section that is the reverse of the typical move sequence in the Introduction section as given by Swales (1990). The first move, Occupying the niche, is usually a statement of findings; the second, Establishing the niche, contains statements that include a comparison of the present results to related findings of other researchers. The third move, Establishing additional territory, is usually about implications of the study or directions for future research.

Findings in genre analysis are useful in that they inform us of textual norms in the different sections of the different genres. Materials for teaching and English for Academic Purposes instruction which focus on preparing students to enter the academic/professional discourse community have been influenced by these findings. Genre analysis of academic and professional genres also contribute to our understanding of the structure of the genres. Textual characteristics that belong to a particular genre can be observed as well as variations in genre structure between genres from different linguistic and cultural background and from different disciplines. Important pedagogical implications of these differences need to be taken into account. Students have to be made aware of these differences and teachers have to point out the variations in the structure across disciplinary boundaries. The CARS model can be modified to suit the introductions which are influenced by language, culture and discipline.

The limitation in this approach to the analysis of academic and professional discourse is that the models created may not account for the structure of all examples of the same genre. At times a greater degree of flexibility is required whereby embedding of moves and steps are taken into account. Debate has centred on whether the fluidity of genres counters the conventionalized features that typify a genre. It can be argued that while the dynamic nature of genres is clear, the conventional features that are recognized by members of the academic discourse community make teaching the salient features beneficial.

To identify each move, Swales defines the lexico-grammatical features of each move. Typical expressions for each move are listed. There, however, appears to be a lack of uniform standards for move identification. Swales (1990), for example, distinguishes Move 2 (establishing the research niche) by either lexico-grammatical criteria or by rhetorical functions. Dudley-Evans (1986) uses lexical signals for determining moves and this is often not effective. The lack of an objective method for identifying specific moves can be considered a weakness in genre analysis. Swales' use of moves as discourse units rather than lexico-grammatical units can be considered the most consistent. However, he does not discuss how we can determine move boundaries.

In summary, many researchers have applied Swales' theoretical framework to their studies of the various section found in research articles. Others like Bhatia have worked on the moves analysis of other genres, like legal documents. The following table (Table 7) lists some of the research using genre analysis to examine rhetorical structure that has been carried out using Swales' framework.

Table 8: Genre Analysis Studies based on Swales' Framework

Year	Author	Title
1981	Swales	Aspects of Article Introductions
1984	Crookes	Towards a Validated Analysis of Scientific Text Structure
1986	Dudley-Evans	Genre Analysis: An Investigation of the Introduction and Discussion Sections of MSc Dissertation
1988	Hopkins Dudley-Evans	A Genre-Based Investigation of the Discussion Sections in Articles and Dissertations
1990	Swales	Genre Analysis: English in Academic and research Settings
1991	Bhatia	A Genre-Based Approach to ESP Materials
1991	Ngowu	Structure of Science Popularizations: A Genre-Analysis Approach to the Schema of Popularized Medical Texts
1993	Bhatia	Analysing Genre: Language Use in Professional Settings
1994	Brett	A Genre Analysis of the Results Section of Sociology Articles
1997	Holmes	Genre Analysis, and the Social Sciences: An Investigation of the Structure of Research Article Discussion Sections in Three Disciplines
1997	Ngowu	The Medical Research Paper: Structure and Functions
1999	Williams	Results Sections of Medical Research Articles: Analysis of Rhetorical Categories for Pedagogical Purposes
1999	Posteguillo	The Schematic Structure of Computer Science Research Article
2000	Feak, Reinhart Sinsheimer	A Preliminary Analysis of Law Review Notes
2002	Button	Generic Moves in Ph.D Thesis Introductions

2.6 Bhatia's Genre Analysis

Apart from academic genres, other genres have been studied. Taking genre after Swales, Bhatia sees professional and academic genres as,

> a recognizable communicative event characterized by a set of communicative purpose(s) identified and mutually understood by the members of the professional or academic community in which it regularly occurs. Most often it is highly structured and conventionalized with constraints on allowable contributions in terms of their intent, positioning, form and functional value. These constraints, however, are often exploited by the expert members of the discourse community to achieve private intentions within the framework of socially recognized purpose(s)

(Bhatia,1993, p. 13)

Bhatia further elaborates on this definition of genre by pointing out 4 important points. They are:

1. Genre *is a recognizable communicative event characterized by a set of communicative purpose)s) identified and mutually understood by members of the professional or academic community in which regularly occurs* – Even though genre *is a recognizable communicative event....,* it is primarily the communicative purpose(s) that it is intended to fulfill. The communicative purpose(s) is the factor that shapes the genre and gives it an internal structure.

2. The *genre most often is a highly structured and conventionalized communicative event* – Specialist members of any professional and academic community can recognized the genre of its discourse community.

3. Various genres displays *constraints on allowable contributions in terms of their intent, positioning, form and functional value* – The writer has the freedom to use linguistic resources in any way s/he likes to achieve its communicative purpose(s) but must conform to certain standard practices within the boundaries of a particular genre without being noticeably odd.

4.   *These constraints, however are often exploited by the expert members of the discourse community to achieve private intentions within the framework of socially recognized purpose(s)* – Members of the professional or academic community have greater knowledge of the conventional purpose(s), construction and use of specific genres than the non-specialists.

(Bhatia, 1993, p. 13-15)

Bhatia extended Swales' work to include genres in other professional settings, sub-genres within genres, and the mixing of genres, for example, the genre of the research article has several sub-genres such as a survey article, a review article, and a state of the art article. Bhatia's analysis of the moves structure of job application letters and sales letters demonstrates that they both belong to the promotional genre as they share the same communicative purpose. Bhatia (1993) has created models for sales promotion letters, job application letters and legislatures. He provides a procedure for genre analysis comprising the following seven steps.

1.   Place the given genre-text in a situational context.

2.   Surveying existing literature.

3.   Refining the situational/contextual analysis.

4.   Selecting the corpus.

5.   Studying the institutional context

6.   Levels of linguistic analysis

Level 1: analysis of lexico-grammatical patterns

Level 2: analysis of text-patterning or textualization

Level 3: structural interpretation of the text-genre

7.   Specialist information in genre analysis.

(Bhatia, 1993, p. 22-36)

The first three steps in the procedure involve an investigation of the genre and the discourse community whereby the analyst finds out about the historical and socio/cultural background in which the genre is found. Surveying the existing literature will reveal the findings that have been uncovered by other researchers about the genre. The fourth step is choosing the corpus after which the analyst studies how the genre is used in the community.

There are three levels of analysis. Level 1 refers to the lexicogrammatical features including verb forms and clause patterns. Statistical analysis can be carried out and the analyst should provide an explanation as to why a particular form is used in the genre. Level 2 is the analysis of text patterns, for example why there is the occurrence of many noun phrases. Level 3 refers to the text organisation that is represented by the moves that have been identified in the genre. The final step advises that an expert member of the discourse community be consulted to check that his findings are correct.

Bhatia (1993, p. 63-68) found the following seven move structure in his analysis of sales promotion letters and job application letters:

1. Introducing the product/candidature

2. Establishing credentials

3. Offering incentives

4. Enclosing documents

5. Using pressure tactics

6. Soliciting response

7. Ending politely

Bhatia's model has been applied to the analysis of promotional genres in other cultures (egs. Choo, 1999; Teh, 1999; Henry and Roseberry, 2001; Yong, 2001; Vasanthi, 2003 and Al-Ali, 2004).

In his analysis of legal cases, Bhatia identifies a four-move structure of legal cases which are:

1. Identifying the case

2. Establishing facts of the case

3. Arguing the case

    (a) Giving a history of the case

    (b) Presenting arguments

    (c) Deriving *ratio decidendi*

4. Pronouncing judgment

His moves analysis of the legal document is used as a guide in the present study and will be discussed in detail in the following chapter. Bhatia's genre analysis procedure, like Swales' work, does not limit itself to moves analysis but also includes the study of lexico-grammatical features.

In summary, many genre studies have employed one of Swales' or Swales' inspired move-analytic models of text analysis to investigate whether the prototypical structures that have been introduced exist universally.

2.7 New Rhetoric Studies

Another approach which differs somewhat from Swales and his followers who have focused on the structure and typical linguistic realizations of certain genres, is the New Rhetoric school which emphasizes the flexible and dynamic nature of genres and the link between rhetorical forms and social needs. Scholars in this field whose main interest is in the social, cultural and historical contexts in which genres operate believe that genres are generally too flexible and unstable to be able to fit into a model developed for a particular section or text. Studies in this approach tend to explore how genres evolve in different sociocultural settings to achieve particular purposes making them dynamic in nature.

Bazerman (1987), for example, traces the evolution of the scientific articles, highlighting that the rhetorical forms have arisen from social needs. His study shows how production of texts evolved in order to negotiate scientific knowledge at differing times and places. The changing nature of scientific articles is necessary to cater to changing social needs. In his analysis of the Philosophical Transactions of the Royal Society of London which was founded in 1665, he found that the journal which was initially a journal for a general audience, gradually became more selective for professional interest and quality. From a position of peripheral interest to scientists during less competitive times, the journal publication became of great importance in the twentieth century. Researchers began to recognize and accept that their work was contribute to new knowledge in the field and that their research was meant to be part of a communal process where it was to be accepted or criticized by others in forums that can be socially recognized.

Bazerman (1988) observed changes in the length, referencing and argument in research articles in physics which are a reflection of increasing knowledge, competition amongst other researchers and readers' expectations. Atkinson (1996) in his analysis of research writing from the seventeenth century found that papers became less affective and more focused, more informational rather than narrative-like over a period of time. Berkenhotter and Huckin (1995) in their analysis of biology research articles since 1944 argued that the increasing promotion of results was brought about to accommodate the increasingly selective reading by researchers who are usually such busy people inundated with an expansion of information in the sciences.

This approach to the study of research articles helps us to see the changes that have taken place in text production over a long period of time linking these changes to the changing social needs, and that texts are dynamic and not static products. The studies in this approach indicate that genres are shaped by social factors and that texts occur in social contexts and employed by specific communities to achieve recognized goals.

2.8 Systemic Functional Linguistics

The above two approaches indicate the two diverse interests of researchers of genres which are an interest in the social, cultural and historical contexts in which genres operate and an interest in the nature of the genres themselves. In between these two are those who are interested in both the context in which genres are produced as well as in the linguistic features of the genres themselves. One of the prominent groups is the group involved in the approach in genre analysis that has its roots in Hallidayan linguistics and which provides a systemic functional perspective on language description. Genre theory here suggests that texts occur not in isolation but in social

contexts and they are goal oriented and culturally determined (Martin, 1984 in Eggins, 1994). In this approach, context is seen to comprise the context of culture and the context of situation. When we describe a genre, we will need to provide a thorough explanation of both the cultural and situational contexts which affect the patterns of language in texts.

The concept of genre is often used "to describe the impact of the context of culture on language by exploring the staged, step-by-step structure cultures institutionalise as ways of achieving goals" (Eggins, 1994, p. 9). What this means is that certain cultures in a discourse community may have certain restrictions regarding language use by its members in the community requiring a particular structure for its communicative purpose to be achieved. Discourse is analysed for its structural characteristics, its crucial semantic attributes of the structural elements and its lexico-grammatical patterns (Hasan, 1984; Halliday, 1985, 1994). In examining the generic structures, the values of the field, tenor and mode (the components of its contextual configuration) determine the range of textual structures available within a genre. Thus, different social situations will produce different genres because each social situation has its own configuration of values. An example would be that a first year university lecture in Biology combines choices from that particular field with the ways in which lectures are conducted and the lecture activates choices brought about by the relationship between the lecturer and the audience, in this case first year students. The lecture can be identified by the mode of discourse which usually would be semi-spontaneous speech (Lewin et at., 2001, p. 8). Systemic functional linguists have shown how lexico-grammatical choices are determined by topic and writer-reader relationships (Halliday and Martin, 1993).

Ventola (1987) and Martin (1992) consider genre as a semiotic level where the ways in which social acts are accomplished can be captured in a particular culture. Culture consists of many semiotic systems consisting of signs that have meaning for a particular culture. The semiotic organization of the social system may be a system corresponding to the linguistic system. Therefore, when we know the values from the semiotic variables of the social context, we can also know the meaning choices that will be selected from the linguistic system (Halliday, 1985; Ventola, 1987). Couture (1986) suggests that register and genre represent two different organizations with register constraining choices at the linguistic level and genre constraining choices at the discourse structure level. Genres such as research reports can be considered completable structured texts whereas registers such as the language of science represent stylistic choices.

Halliday and Hasan (1985) provide the first model for classifying texts according to genre. The Generic Structure Potential specifies the obligatory and typical optional elements of the genre and the ordering. The elements in the normal order can be used as a criteria to determine whether texts are complete or incomplete.

Ventola's (1987) system of genre realization is a more flexible system which allows for texts which have missing obligatory elements to be recognized as being within a genre. Martin (1985) too provides a generic systems network which captures the features of a genre based on the similarities and differences between text structures which thereby define text types. In order to accomplish their purpose, genres usually move through a number of stages (Martin, 1985). These stages are relatively predictable because each stage or move has a particular role in the development of the text. Equally important are

the meanings being created in each stage and how they differ from stage to stage. These meanings are realised through the lexical and grammatical choices that are made. Halliday (1994) views language as a resource for making meaning and proposes that the language system has evolved to express three kinds of meanings: experiential meaning (how language is used to represent our understanding of the world around us), the interpersonal meaning (how language is used to create relationships with others), and the textual meaning (how textual resources are necessary to create cohesive and coherent texts).

Identifying the stages of text can only fully contribute to meaning if the grammar of the text is dealt with as well. Language in this approach is seen as a dynamic, open network of interrelated systems. Each system consists of a set of options from which the writer or speaker selects according to the meaning that he or she wants to make. Such choices are constrained by the cultural and situational context in which the genre is used. The social purpose influences the choice of genre and the stages it passes through. The grammatical choices are also influenced by the context of situation-the field (what the text is about), the tenor (who is interacting with whom) and the mode (what role the language is playing). The three variables form the register of the text. Register indicates that certain choices are more probable than others.

Martinez (2001) examined research articles within the context of genre analysis using the framework of transitivity in Systemic Functional Linguistics. This approach suggests that each stage of a genre exhibits certain predictable lexico-grammatical choices. The distribution of material, mental, verbal, relational and existential processes

in the different sections of the research article shows a relationship between the characteristic process types and the functions of the sections.

This approach can be usefully applied to the teaching of academic and professional discourse. The linguistic resources that are needed for a particular genre can be predicted by examining its field, tenor and mode. An awareness of what is typical and possible enables us to produce an example of a genre, to manipulate it in various ways and to act creatively on it. Like the genre analysis of Swales', this view that students will benefit from explicit teaching of academic genres has been questioned by those who believe that genres are too complex and varied to be used in the language classroom. The disadvantage of this approach is the use of several terms which are not understood by non-followers of Systemic Functional Linguistics and bridging the findings obtained using this approach and applying them in the classroom.

2.9 Genre Analysis and Contrastive Rhetoric

Different paradigms have been used by other discourse analysts researching on academic and professional discourse. Genre analysis has been combined with Contrastive Rhetoric for studies comparing genres in two or more different cultures. Contrastive rhetoric which originated from Kaplan's work in 1966 examines the similarities and differences between two languages and how the first language may affect the way writers express themselves. Kaplan's study examined English texts written by non-native speakers of English as well as English translations of texts written in other languages. He concluded that the pattern of developing one's ideas in a text is different in the different languages. Due to the small sample size, the method of

analysis and the oversimplification of thought patterns, Kaplan was criticised for his findings and statements and subsequently he carried out another study on the differences in discourse patterns among writers from different languages and cultural background. Despite some flaws, his work is important in that he established the tool for text analysis that used discourse blocs and discourse units, a discourse bloc being the main idea in a paragraph, and a discourse unit the supporting idea. From a pedagogical viewpoint it is important to know that students from the same culture produce the same discourse patterns and for teachers to be aware of such differences when teaching reading and writing.

One aim of this approach is to surpass barriers and to promote successful acquisition of existing norms, and the other is to maintain the diversity amongst different languages and cultures. Rhetorical patterns of academic writing in the humanities in Czech (Cmejrkova, 1996) and the sciences in Malay (Ahmad, 1995) are two examples of studies that have been conducted in languages apart from English. Cmejrkova carried out a moves analysis of English academic texts written by Czech scholars and found that the text structure which used to resemble German academic texts now resemble English texts and concludes that this is due to the Czech writers wanting to enter the English speaking community. Ahmad examined the introductions in scientific research articles of Malay writers and found that they differ in terms of the moves from those written by native English writers. Mauranen's (1993) analysis of academic texts written in English by Finnish scholars and English scholars showed that the structural patterns of the two sets of texts are similar. However, Finnish scholars were found to have difficulties with the use of connectors and references as well as with thematic development resulting in a lack of coherence in their texts. Martin (2003) carried out a

study of abstracts written in English for international scientific journals and the abstracts written in Spanish and published in Spanish journals in the field of experimental sciences with the aim of identifying the rhetorical preferences that characterise the members of the international and the Spanish scientific communities. The underlying pedagogical motivation is that it helps Spanish academics to be more aware of how to write effective abstracts in a way that meets the international scientific community's expectations. Al-Ali (2004) examined job application letters in Arabic and English applying the model created by Bhatia for promotional genres and found two additional moves in the Arabic data: glorifying the institution and invoking compassion.

The above work reveals that textual organisation of academic and professional discourse is governed by socio-cultural factors which account for rhetorical variation. Scientific discourse is not universal as there are socio-cultural factors that condition the preference for certain rhetorical strategies in writing. Proponents of contrastive rhetoric maintain that different discourse communities' expectations are the primary reason for cross-cultural differences in writing styles, and that writers can transfer their L1 textual and rhetorical strategies to the new writing situation before they have fully understood the expectations of their second language audience (Connor, 1996). This approach has made applied linguists and language teachers increasingly aware that a second or foreign language can rarely be taught or learnt without addressing the culture of the community in which it is used.

The weakness of this approach is that it can lead to simplistic pedagogical practices and prescriptive teaching which tend to indicate that the Anglo-American writing pattern is superior to others. Contrastive rhetoric research may have negative pedagogical consequences with the static view of cultures and labeling students in terms of their national identities. An overemphasis of cultures and their differences may result in the creation of stereotypes. The term 'culture' too has been debated upon and there has been a shift in the way culture is defined and understood by linguists. Atkinson (1999) discusses the change in the way culture is seen as a static and homogeneous national entity to views that avoid the term 'culture' in favour of 'identity', 'discourse' and 'agency'. He calls for a middle-ground approach to culture which takes into account the cultural in the individual, and the individual in the cultural (1999, p. 648-649).

Applying the distinction made by Holliday (1999) between large and small cultures whereby large culture refers to the national culture and small culture to any cohesive grouping such as a small group of students, it can be observed that Contrastive Rhetoric is concerned mainly with large cultural differences whereas pedagogical situations involve small cultures. Students too may differ in the degree to which they belong to their culture. It is therefore important not to make assumptions about the students based on their country of origin.

2.10 Genre Analysis and Corpus Linguistics

Corpus linguistics which is concerned with the collection and analysis of large amounts of data using computers has recently also been adopted in the analysis of academic and professional discourse. Corpus linguistics is not an approach but a method of analysis.

It has been used together with genre analysis in recent years to give more credibility to the findings of researches.

In the 1980s and early 1990s, corpus-based research tended to focus on the lexical and grammatical items in large-scale generalized corpora. Since then, this field has expanded considerably in terms of size and types of corpora that are compiled and the nature of linguistic investigation. Biber (1998) initiated a genre-based corpus studies using a multi-dimensional model of variation to identify quantitatively the occurrence of linguistic patterns by statistical factor analysis. Conrad (1996) uses Biber's multi-dimensional analysis to investigate variation across different type of texts. Her findings reveal that between research article and the text book, the research articles are significantly more informational. Tribble (2000) extends Biber's study to investigate project proposals. Much of the work on corpus-based research has been on the exploration of learner corpora and the comparison of grammatical structures and lexis from a learner corpus with those from a parallel native-speaker corpus. The most notable corpora include the International Corpus of Learner English (ICLE) which is a corpus of learner English of argumentative writing by students from many L1 backgrounds (Granger, 1998) and the Hong Kong University of Science and technology (HKUST) Learner Corpus (Hyland and Milton, 1997). The focus of the learner corpora is on argumentative essays, writing exercises and school assignments and provide important data on academic English for interlanguage contrasts and for research on second language acquisition and teaching.

More recent work, however, has focused on English for professional purposes using a variety of corpora. Such corpora is needed to study the different types of writing skills and strategies that are needed to perform different types of writing tasks. The knowledge that genre expectations varies not only from genre to genre but from culture to culture has important ramifications on the growing field of corpus linguistics. Most of the corpora available, however, are collections of spoken and written texts from a variety of native-language contexts. Their lexical and grammatical features have been studied while the moves or cultural expectations of the individual genres that make up the larger corpus have been neglected. As a result of this, corpora that consists of specific genres and that includes the writing requirements and cultural contexts in which the texts are from is needed.

The role culture plays in a genre is important and how writing has to accommodate the culture needs to be highlighted. As stated by Flowerdew (1998) much of the work on corpus analysis has focused on the lexico-grammatical patterning of text, producing collocations and lists of fixed phrases with not much attention paid to the functional and rhetorical aspects. For pedagogical purposes, these findings are not particularly useful except to show the frequently used words and phrases in English. Therefore, Flowerdew (1998) highlights the need for tagging not only the lexicon and syntax but also the discourse features such as the rhetorical moves. Upton and Connor (2001) applied a moves-based analysis to a genre-specific learner corpus. Moves were tagged on a corpus of job application letters and cross-cultural similarities and differences investigated using a linguistic system of politeness adapted from Brown and Levinson (1987).

Larger corpora is now being used as well as smaller specialized genre-based corpora. Databases of spoken and written academic discourse have been used to inform pedagogy in English for Academic Purposes. Compilation of learner corpora for academic uses has also been carried out. An example is the study of hedging which is central to academic writing in that it expresses possibility rather than certainty and collegiality rather than presumption (Hyland, 1998). The results of studies using corpora are pedagogical materials such as dictionaries, course books, grammars and raising grammar awareness and more recently, using multilingual parallel corpora for translation purposes.

Hyland's (2001) study of self-citation and first person pronouns is in a corpus of two hundred and forty research articles in four soft and four hard sciences. He found extensive use of self-mention in all eight fields. Another study carried out by Hyland and Tse (2005) examined the use of 'that' in two corpora of four hundred and sixty five abstracts from published research articles and masters and doctoral dissertations written by L2 students. Similarities and differences in how these groups used the structure by exploring what stances were taken, how evaluations were made and how sources were attributed are discussed.

The growing popularity and the value of computer-searchable large-scale corpora can be observed. By providing students with a wide variety of forms of language use, they may be more comfortable in choosing appropriate lexical expressions and rhetorical strategies in writing an academic text.

However, small corpora analysis the old fashioned way without the use of computers is still useful in that a detailed manual analysis of a text can be made. Small scale studies can often act as pilot studies for large scale studies pointing the way for the future. Small scale studies are often more adaptable and the researcher can view sentences in detail. Large scale studies, on the other hand, are dependent on the parameters of the software that is being used and may require changes in software which may be difficult to implement.

2.11   Definitions of Genre for this Study

The above discussion has shown how the concept of genre has evolved over time and how it has shaped the meaning of genre. For the purpose of this study, I will use the definitions of genre as used by Swales and Bhatia. The term genre analysis was pioneered by Swales when he started his work on, "Aspect of Article Introduction" (1981) in which he analyzed 48 research articles using a 4-move structure proposed by him. He further refined his work when he proposed a CARS model in his study of "Genre Analysis: English in Academic and Research Settings(1990) and later the updated model for research articles (2004). Swales saw genre analysis as a suitable approach to language teaching as it makes use of three key concepts: discourse community, genre and language-learning task in great detail. Swales, defines genre as, " a class of communicative events, the members of which share some set of communicative purposes. These 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" (Swales, 1990, p. 58). Swales believes that genres are the most stable and the most solid communicative events. He sees the goal

or communicative purpose as central to genre analysis beside content, form, intended audience and medium. It is this communicative purpose that determines the shape or structure of the text that is produced. Different communicative purposes will result into different kinds of genres.

Similarly, Bhatia sees professional and academic genres as "a recognizable communicative event characterized by a set of communicative purpose(s) identified and mutually understood by the members of the professional or academic community in which it regularly occurs. Most often it is highly structured and conventionalized with constraints on allowable contributions in terms of their intent, positioning, form and functional value. These constraints, however, are often exploited by the expert members of the discourse community to achieve private intentions within the framework of socially recognized purpose(s) (Bhatia, 1993, p. 13).

Bhatia also believes that the communicative purpose is the most important factor in genre identification. It is the same communicative purpose that shapes the internal structure of a text that enables us to recognize texts with similar communicative purpose as belonging to a particular genre.

Bhatia sees genre analysis as the most viable framework for analysing academic or professional discourse. Genre analysis not only contributes towards the utilizable form-function correlation but also helps to understand and clarify how a text is structured, the choices and constrains one has at his disposable and why a text is written the way it is. In other words, genre analysis not only looks at the internal aspects of text construction

but goes beyond that to include the socio-cultural, institutional and organization context that influence a particular discourse.

2.12 Conclusion

This chapter has defined the concept of genre and provided a description of Genre Analysis. It has shown how academic and professional discourse has been examined in the last two decades. Three approaches to Genre Analysis as well as a combination of with other approaches/methods have been discussed focusing mainly on Genre Analysis of the English for Specific Purposes approach. Each approach is useful for text processing with differing emphasis on context, structure and linguistic features and reveals interesting insights into academic and professional discourse.