

**Genre Analysis and the Teaching of Academic Literacy:  
A Case Study of an Academic Discipline in the Social Sciences**

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## ABSTRACT

Students in tertiary educational institutions in South Africa come from many different backgrounds and have varied educational experiences. Some students, especially those from non-English speaking backgrounds, may encounter linguistic difficulties with various academic tasks. In order for students to be successful at university, they must become academically literate. That is, they must master all the reading, writing, listening and comprehension tasks required by the disciplines in which they are studying. One such task is presented by the academic lecture which is an integral part of any course of study. Linguistically, the academic lecture can be seen as a particular genre with unique characteristics.

This study investigated some linguistic characteristics of academic lectures. The discipline of Political Science, as a Social Science, was chosen because there is little research that has been done on language in the Social Sciences. The Political Science sub-disciplines of Political Philosophy, South African Politics, and International Relations were used in this research. First year lectures were recorded from each of these three sub-disciplines.

The linguistic characteristics of lectures were analysed using techniques drawn from Systemic Functional linguistic theory. The analysis concentrated on the aspects mode and field as they were realised in the lectures. In addition, higher level generic structure was also analysed. The insights gained from the analysis were validated through interviews with the lecturers who gave the lectures. The aim of this research was to develop a linguistic characterisation of the lecture genre as it occurs in the three sub-disciplines of Political Science.

The results of this research suggest that although there is a unified academic lecture genre, there is variation according to sub-discipline. The implications of this variation are discussed with reference to their relevance to teaching academic literacy.

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## TYPOGRAPHICAL CONVENTIONS

**Bold** type indicates the first time that a term is introduced and defined in the text.

*Italic* type indicates words quoted in the text from example sentences or extracts.

... indicates ellipsis within a quote.

[...] indicates that the quoted extract is incomplete.

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# CHAPTER 1: INTRODUCTION

## 1.0 Overview of the Thesis

In order to teach students how to operate in an academic context, they must know the language of English academic texts, and this in turn will involve developing in them an understanding of how academic texts function in society; how academic texts are produced, how academic discourse relates to the English language as a whole, and how registerially specific are the linguistic structures of academic discourse (Leckie-Tarry 1993:27).

The student body at all universities in South Africa ( and an English-speaking university like Rhodes is no exception) is made up of students from various linguistic backgrounds. Most students who enter the university for the first time have not been exposed to academic English before. This can potentially cause problems for their performance in the academic environment (Hunter 1982). All students who are speakers of English as a second language will have the added burden of learning in a second language. Current Systemic Functional linguistic theory posits that in different contexts of use, language takes on various forms that reflect this use (see, for example, Halliday 1985b, Martin 1992). Thus, in the university environment, each academic discipline would be considered to use language uniquely (see, for example, Hopkins and Dudley-Evans 1988; Swales 1990; Bhatia 1993; Brett 1994). The uniqueness of language use would place discipline-specific linguistic requirements on students (Ballard & Clanchy 1988). As Leckie-Tarry (1993) notes, knowledge of both the cultural and linguistic aspects of academic language is important for successful academic performance. This thesis focuses on characterising academic discourse linguistically and drawing conclusions from this for teaching academic literacy.

## 1.1 Aim of the Research

The aim of this research is to characterise a sample of the language used in first-year politics lectures at Rhodes University. The purpose of the research is to provide a description that could be used for teaching academic literacy. An additional motivation is that, in South Africa, research has concentrated

on the social and cognitive aspects of exposure to academic language. There is little research on the linguistic characteristics of academic language and this research intends to begin to fill this gap.

I chose to research the discipline of Political Science for two reasons. Firstly, there is very little research on the characteristics of the language of the social sciences, of which Political Science is one. Secondly, the Political Science course has a large first-year student intake. This was a criterion in the choice of discipline to research, since there is a possibility that the results of this research could be used for academic development and would thus be applicable to a large number of students.

The first-year course in Political Science is made up a number of separate modules. Three of the modules were used in this study (South African Politics, Political Philosophy and International Relations). Each of these modules represents a distinct sub-discipline within Political Science. The language of each sub-discipline has some unique characteristics. A comparison of the three sub-disciplines can show which linguistic differences are a result of the linguistic requirements of each sub-discipline.

First-year students are exposed to spoken language in tutorials and lectures and written language in the form of lecture notes and prescribed reading material. I chose to analyse lectures instead of written language or tutorials for the following two reasons. Firstly, lectures form an integral part of any undergraduate course of study (Flowerdew 1994b). Secondly, there is much less research into spoken academic language than into written academic language because, as Dudley-Evans (1994:220) notes, the "availability or 'portability' of written text" has made it easy to research.

The results of this research have possible relevance for the structure of foundation academic development courses such as the English Language for Academic Purposes course at Rhodes University, which teaches general academic English and study skills. A course such as this tends to teach academic language without taking significant aspects of linguistic variation into account. Demonstrating that there is linguistic variation in, for example, the social sciences, would suggest that, in such courses, there may be a need to focus teaching material so that students will recognise and understand the linguistic variation. This would teach students the linguistic skills they need for their chosen field of study. The research could also be used to inform university lecturers about the ways that they use language. This

would then have possible implications for training lecturers and for the way that they present their lectures.

## **1.2 Context of the Research: Academic Literacy**

In South Africa many students who enter university have come from what has been described as a disadvantaged educational background (Murray 1993; Dison & Rosenberg 1995). Both first-language and second-language students may encounter difficulties with academic language requirements (Swart 1995). However, students from disadvantaged backgrounds may encounter more difficulties than others because they have been unable to gain any of the necessary academic skills. The following section examines the reasons for this.

### ***1.2.1 Disadvantaged Students in Tertiary Educational Institutions***

The educational policies of the previous apartheid government have caused problems within South African education. These policies led to a school system that was not geared towards teaching in a way that developed necessary linguistic and academic skills (Hartshorne 1992). Students have not been able to acquire either the linguistic or academic skills necessary for successful study at tertiary level (Hunter 1982; Hartshorne 1992). The problems have been most noticeable in the education of African people in South Africa, although the 'advantaged' sectors of South African society have also been affected (Kallaway 1984b). The previous government's policies were aimed at dividing the population and advantaging certain sectors while disadvantaging others (Enslin 1984).

## **1.3 Literacy**

The background to this research is the study of literacy as it occurs within the academic context. Proponents of the **New Literacy Studies** (see 1.3.1) have developed a broad view of literacy that takes into account a variety of elements that are linked to literacy. This view can shed light on the unique nature of literacy within academic institutions. Literacy as it relates to this research is described more fully in Chapter 2. The discussion below provides an outline of the most important considerations.

### *1.3.1 New Literacy Studies*

Literacy is not a general unitary concept but rather consists of sets of particular literacy skills and practices which will vary from community to community and individual to individual. Those practices which are emphasised most depend on the dominant values of the community and the relative needs of the individuals to be a part of that community (Grabe 1989:146).

This definition reflects the approach to literacy taken by proponents of the New Literacy Studies (see Gee 1990, Barton, 1994b, Street 1995). One of the central concerns of this approach to literacy is that literacy is not considered to be just reading and writing. Rather, there are various types of literacy depending on the function literacy plays in a particular social context. The various types of literacy are based on the fact that spoken and written language are related in complex ways.

Prior to entering the university, many students in South African universities who speak English as a second language will not necessarily have been exposed to the literacy practices specific to the academic environment (Moll & Slonimsky 1989). Within the academic environment, the academic literacy practices are dominant and thus students' other literacy practices will be discounted in favour of the academic ones (Grabe 1989). These dominant practices will also carry different expectations and requirements to those to which the students have already been exposed (Gee 1990). Students' previous ways of reading, writing and learning thus may not be appropriate to the university's requirements. Students will therefore need to learn the new literacy practices to perform successfully at university.

### *1.3.2 Academic Literacy*

Being academically literate, that is, being able to understand and produce the language of the academic environment, involves mastering both linguistic and non-linguistic elements of the environment. The non-linguistic elements have a formative effect on the linguistic elements of the academic environment.

### *1.3.3 Academic Culture*

The non-linguistic elements relate to specific cultural aspects of the academic institution (Ballard & Clanchy 1988:7). The "rules and conventions [of the academic environment] effectively define what can be constructed as knowledge since they relate not merely to textual conventions but to ways in which what counts as knowledge is explored and constructed within the university as a whole and within specific disciplines in particular" (Boughey 1994:24). These 'rules and conventions' create the culture of the academic institution, which is based on communicating knowledge.

Ballard and Clanchy (1988) discuss two considerations that relate to communicating knowledge within the academic culture. The first involves the general expectations of the way that information should be communicated. These expectations include the relevance of the information, clarity of exposition, use of the appropriate style of language, and critical argumentation (Ballard & Clanchy 1988). The second is discipline-specific epistemology, that is, a discipline's conceptual framework. Each discipline has its own epistemology with which students familiarise themselves to become literate in that discipline (Ballard & Clanchy 1988). Thus, to understand what is expected in order to use academic language, it is necessary to master the linguistic use, to become a part of the academic culture.

### *1.3.4 Linguistic Elements of Disciplinary Language*

Disciplinary language, that is, the unique language use of each academic discipline, has been analysed in terms of specialist vocabulary, specific use of grammatical structures and the way that the language is organised. Research shows that each discipline uses language in specific ways which reflect its own epistemology and communicative needs (Swales 1990, Martin 1991, Bhatia 1993, Morrison et al. 1993).

Vocabulary is probably the most noticeable aspect of language use that differentiates the disciplines. De Beaugrand (1989) notes that it is necessary for the development of academic literacy to become familiar with specialist vocabulary since it is the means by which a discipline labels and communicates the concepts central to its area of investigation.

Some grammatical features are used in unique ways in various disciplines (Swales 1990, Bhatia 1993). Bhatia (1993) notes that the communicative requirements of each discipline determine how various grammatical features will be used. Since their communicative requirements will vary between

disciplines, the same grammatical feature may be used for different purposes. Bhatia (1993) compares the use of 'complex nominal expressions' in scientific and legal writing. He notes that science uses such expressions to encapsulate complex concepts, while legal writing uses them to encompass as many aspects of the law as accurately as possible. The following two examples (sentences 1 and 2) show how scientific and legal writing differ in their use of complex nominal expressions. Underlining has been added to highlight each complex nominal expression.

- 1 Studies of the oxidative NADP in enzymes in Drosophila melanogaster have concentrated on the relationship of gene dosage to the in vitro tissue enzyme level and on allelozyme variation.

**An Example of A Scientific Complex Nominal Expression From Bhatia (1993:28)**

- 2 The power to make regulations under this section shall be exercised by statutory instrument which shall be subject to annulment in pursuance of either House of Parliament.

**An Example of A Legal Complex Nominal Expression From Bhatia (1993:29)**

The scientific complex nominal expression *the in vitro tissue enzyme level* from sentence 1 can be rewritten as *the enzyme level of the in vitro tissue*. This shows how one complex noun can contain one complete concept which is the amount of enzymes in the particular type of tissue. The legal complex nominal expression *pursuance of either House of Parliament* from sentence 2 can be rewritten as *if either house of parliament passes such a resolution [to annul the statutory instrument]*. This shows how the legal complex nominal expression covers the actions of both the Houses of Parliament.

**Schematic or rhetorical structure** is the organisation of language at the discursal level. Hopkins and Dudley-Evans (1988), Swales (1990), Bhatia (1993), and Brett (1994) have shown that specific elements such as *introductions*, *discussion sections* and *conclusions* make up the overall organisational structure of language use. Students with knowledge of the organisational requirements of academic language would become more academically literate because they would understand how the language is used. Swales (1990) uses the term *rhetorical consciousness* to refer to this knowledge. The concept of rhetorical consciousness is essentially that one becomes consciously aware of how language is being used in a particular situation. Making lecturers conscious of how they use their language may enable

them to produce lectures that are more comprehensible to English second-language speakers. Knowledge of how they lecture could be used to improve their lecturing technique or to show them the elements in their language use that may pose problems for English second-language students.

#### **1.4 Genre Theory**

Given that there are discipline-specific varieties of language, the theory of genre provides a theoretical framework that explains the similarities and differences among the various language varieties. The theory of genre informs the underlying approach taken in this thesis to analysing and characterising a discipline-specific variety of language. The following section provides an outline of genre theory. Chapter 2 discusses the theory of genre in more depth.

##### ***1.4.1 Definition of Genre***

Genre is "a particular type of oral or written communication such as a narrative, a casual conversation, a poem, a recipe or a description. Different genres are typified by a particular structure and by grammatical forms that reflect the communicative purpose of the genre in question" (Nunan 1993:120).

Although this is a very generalised definition of genre, it embodies all the essential insights on which the theory of genre is based. Linguistically, genre encompasses both spoken language and written language, which take on different forms depending on the purpose behind the use of the language. For example, the purpose behind writing a personal letter to a friend is to maintain the friendship. In contrast, the purpose behind writing an article for an academic journal is to communicate new research to fellow members of that discipline. Thus, the purpose affects the type of information contained in each type of writing and the form of its presentation. The linguistic and non-linguistic characteristics of the various uses to which language is put form the basis for classifying them as different genres.

### ***1.4.2 Academic Literacy and Genre Theory***

With reference to teaching academic literacy, analyses of linguistic genres can provide a way of distilling the similarities and differences in the way each genre uses language. This type of analysis would eventually produce a typology of academic language use in terms of both the linguistic characteristics and the academic-cultural factors that affect the linguistic form. The results of such analyses could be employed in various ways to produce teaching materials aimed at developing both lecturers' and students' awareness of how academic language is used (Swales 1990; Giltrow & Valiquette 1994; Young 1994).

### **1.5 Methodology**

I decided to use a qualitative methodology because it would allow for a manageable database to be collected and analysed within the constraints of small-scale research in this thesis. A quantitative approach could have been used; however, it would have required a large corpus of data and the extensive use of computer software for the analysis. In the light of these practicalities, the qualitative methodology lent itself better to small-scale research. The qualitative approach also allows for the analysis of textual features that are not analysable using computational techniques.

To characterise the lecture genre, a Systemic Functional analysis of the data was undertaken (see Chapter 3 for the theory and Chapter 4 for its application). This involved analysing the schematic structure of the lecture genre (see 2.3.3) and a number of lexico-grammatical features (see 3.2). It was expected that the results of analysis of the schematic structure would be similar, since all the data was drawn from the same genre. The lexico-grammatical analysis was expected to provide a characterisation of each of the sub-disciplines so that they could be distinguished.

To validate the results of the analysis, the lecturers were asked to comment on the analysis of their own lectures. The extent to which they agree with the interpretation in the analysis validates or refutes the insights.

The results of the analysis showed that all the lectures analysed in the data have the same structural characteristics. These are similar for both the schematic structure and the structural aspects of the lexico-grammar. However, each sub-discipline (South African Politics, Political Philosophy, and

International Relations) was shown to superimpose its own structure on the schematic structure of the lectures. Each sub-discipline also has unique lexico-grammatical features which are affected by the field of investigation. South African Politics lectures continually refer to particular time periods. There is an observable progression of time, as particular years are mentioned throughout the lectures. Political Philosophy creates a hypothetical reality in which to discuss elements of philosophical theory. For example, the word *If* used to begin a sentence is one lexico-grammatical device that creates the hypothetical reality. International Relations concentrates on exemplifying facts about international politics. This is reflected in the frequent reference to specific states involved in the political situations under discussion.

### **1.6 Outline of Chapters**

- Chapter Two provides a literature review of literacy as it relates to academic literacy; a literature review of genre theory, since this forms the foundation of the research; and a discussion of academic lectures as a particular genre.
- Chapter Three presents a discussion of Systemic Functional theory and the theoretical background to the lexico-grammatical features chosen for analysis.
- Chapter Four discusses the methodology used to investigate the characteristics of the lecture genre in first-year politics lectures.
- Chapter Five presents the results of the analysis. The linguistic characteristics of each sub-discipline are presented and the three sub-disciplines are subsequently compared.
- Chapter Six concludes the thesis by discussing the results of the analysis and their possible implications for how different language uses in academic disciplines should be viewed. Possibilities for extending the analytic method and further research are also discussed.

## CHAPTER 2: LITERATURE REVIEW

### 2.0 Introduction

This chapter reviews the literature on literacy and academic literacy in particular. The review of genre theory provides the theoretical framework within which this research is situated. Since the focus of this research is on the academic lecture, literature on academic lectures, as a particular genre, is reviewed.

### 2.1 Literacy

Language used within the university in academic contexts places certain requirements on students which are not found in any other area of life (Ballard & Clanchy 1988; Gee 1990). Specific types of reading, writing, listening and sometimes speaking tasks are required of students. Many of these tasks have not been encountered by students before entering a tertiary educational institution for the first time (Murray 1993). The specific view of literacy that is employed will lead to certain expectations of how people would develop literacy and the types of problems they might encounter (Grabe 1989).

A number of views of literacy have been developed. The differences between these views of literacy lie in the way each view relates literacy to the society which uses it. The major views of literacy, the autonomous view (Goody & Watt 1968), Freire's (1977) political view, UNESCO's (1972) functional view and The New Literacy Studies (Gee 1990; Barton 1994b; Street 1995) are discussed below. Each approach to literacy is followed by a discussion of various criticisms of that approach. The purpose of this section is to show how the New Literacy Studies approach to literacy has developed out of the earlier approaches.

#### 2.1.1 *The Autonomous View of Literacy*

The view of literacy termed the **autonomous** or the **skills view** of literacy has led to a number of assumptions about the way that literacy operates within the society, the benefits of being literate to the society as a whole and the relationship of societies that are literate to those that are non-literate.

Goody and Watt (1968), developers of the autonomous view, provide a summary of the effects of literacy on the development of a society. Their views are based on their analysis of the differences between oral and literate cultures. Goody and Watt see a literate culture as being superior to an oral

culture because literate cultures are technologically superior to oral cultures. They see two major effects on a culture that develops literacy. The first is an effect on the social structures of a society and the second is an effect on the cognitive abilities of the people who are literate.

The differentiation between oral and literate cultures is based on the assumption that a literate culture is constructed around a vast amount of information that tends to lead to specialisation in certain areas of knowledge, to the extent that it fragments the society. Goody and Watt describe this as follows:

Achievement in handling the tools of reading and writing is obviously one of the most important axes of social differentiation in modern societies; and this differentiation extends on to more minute differences between professional specializations so that even the members of the same socio-economic group may hold little intellectual ground in common (Goody & Watt 1968:58).

In an oral culture, the social structure is seen to be homogeneous because people need to work together to remember the society's knowledge. Thus, people all tend to hold the same beliefs and there is less disagreement in an oral culture on what information is correct or incorrect (Ong 1982).

The perceived divide between oral and literate cultures has led to the observation that the development of literacy has an effect on the structure of language and thought (Havelock 1980/1988). Ong, drawing on Havelock's views, sees the effect of the development of writing on people's cognition as follows:

Without writing, the literate mind would not and could not think as it does, not only when it is engaged in writing but normally even when it is composing its thoughts in oral form. More than any other single invention, writing has transformed human consciousness (Ong 1982:78).

The view of literacy as something that has social and cognitive benefits encourages the view that non-literate people lack something. Baynham (1995) calls this view of literacy the 'deficit model'. In this model, it is seen as necessary to 'add' literacy skills to people in order to make them 'better people' so that they can cope in a world that requires literacy (Baynham 1995).

A number of objections have been raised concerning the autonomous view of literacy. These objections have led to the development of the approaches to literacy discussed in 2.1.2 and especially 2.1.3 below. Most of the social and cognitive benefits attributed to literacy have been refuted in some way. For example, Scribner and Cole (1981/1988), through their research of the Vai literacies in Liberia, have shown that there are other factors which affect cognitive development. They therefore argue that literacy does not have an effect on a society's cognitive development.

Gee (1990) argues that the divide between orality and literacy required by the autonomous view to describe the basic differences between an oral and a literate culture should be abandoned. Gee bases his argument on his view that there is an overlap between the use of spoken and written language. He notes that there are also many instances where both types of language are used and are thus combined in any literate use of language. This observation is particularly relevant to the selection of the academic lecture genre for analysis in this thesis since attending lectures requires the combination of listening to spoken language and summarising the information presented.

Objections such as these have led researchers to move away from seeing literacy as an autonomous set of skills but rather to look at it in terms of the role that it plays within the society. Views of literacy discussed below all take the social factor into account in some way.

### *2.1.2 Functional and Politically Motivated Views of Literacy*

Freire's (1977) political view and UNESCO's (1972) functional view of literacy each recognise different aspects of the relation of literacy to the societies that use it. The essential difference between these two is that Freire takes a political standpoint while the functional view recognises that there are various uses to which society puts literacy, although it ignores political considerations.

Paulo Freire (see, for example, Freire 1977) is a well-known proponent of a model of literacy that sees literacy from a political standpoint. For Freire "literacy is analysed according to whether it serves to reproduce existing social formations or serves as a set of cultural practices that promotes democratic and emancipatory change" (Freire in dialogue with Shor in Shor & Freire 1987:141). He sees a need to allow people to become literate by relating to their own experiences of the world. If people can come to an understanding of their own position within their society, they can question their position and have

the opportunity to change their situation. Scribner (1988:76) notes, however, that "the capacity of literacy [according to Freire] to confer power or to be the primary impetus for significant and lasting economic or social change has proved problematic in developing countries". This is essentially because a newly literate person is not automatically rewarded with a higher-paying job or better living conditions. Therefore, becoming literate does not change a previously non-literate person's lifestyle or social position.

During the 1960s and 1970s, UNESCO used and promoted a functional definition of literacy (Limage 1993). In the functional view, literacy skills are seen as functions, the mastery of which allows people to attain "the level of proficiency necessary for effective performance in a range of settings and customary activities" (Scribner 1984/1988:73). UNESCO (1972:43) compare the functional view of literacy with traditional approaches as follows: "Whereas traditional literacy teaches only reading, writing and sometimes arithmetic, functional literacy transmits critical work oriented skills as well as literacy skills". This means that "making people functionally literate often requires changing the economic and social possibilities for them" (UNESCO 1972:42). Limage (1993:30) notes that, owing to this approach, functional literacy "was perceived as a method of creating a more efficient workforce without concern for the needs and goals of individuals".

### *2.1.3 New Literacy Studies*

Gee (1990), Barton (1994b) and Street (1995), in discussing the New Literacy Studies, highlight two important points. Firstly, literacy is an integral part of society. Secondly, this leads to literacy being seen not as one skill but many skills defined by the uses to which reading and writing are put in society. Gee describes the differences between the autonomous view of literacy and the New Literacy Studies as follows:

This traditional notion rips literacy out of any social context and treats it as an autonomous, asocial, cognitive skill with little or nothing to do with human relationships. It cloaks literacy's connections to political power, to social identity and to ideologies ... often in the service of privileging certain types of literacies and certain types of people (Gee 1990:49).

Gee (1990) argues that the use of literacy is embedded within social practices and that it is impossible to remove the various uses of literacy from social practices in which they are embedded. This is because there is always a social dimension to every act of reading or writing. The analysis of any aspect of literacy must therefore take accompanying social practices into account.

The uses of literacy may be described and differentiated depending on those social practices with which they are associated (Street 1995). The use of literacy associated with a particular social practice is referred to as a **literacy practice** (Barton 1994b, Street 1995). Literacy practice, in this sense, refers to different types of reading and writing activities associated with comprehending and producing different types of texts. Following this, different literacies are employed depending on the social situation. For example, reading a comic book requires the ability to read words and to integrate them with the actions depicted in the pictures in each frame, and then to integrate each frame into a coherent narrative; however, filling in an official form requires one to understand what responses are needed to complete it successfully. The recreational social practices associated with reading comic books are very different to the bureaucratic practices associated with the official forms such as applications for passports or driver's licences. If one is not part of a society or social group that reads comic books then one will not have the opportunity to develop that particular literacy practice of combining writing and pictures to form a complete story. One's social situation determines to a large extent what literacy practices one is exposed to and one develops (see 2.2.3).

Gee (1990) sees the need to make explicit the political aspect of literacy and its uses in controlling society. This aspect could then be questioned and possibly changed so that some people are not privileged over others. Gee's views echo Freire's position on literacy as a political instrument. Barton (1994b) describes the controlling use of literacy in terms of its being restricted to certain sections of the society: "All societies control access to the written word in some way, because literacy involves information and idea transmission and is practised in a context where its uses may maintain and challenge existing social institutions" (Barton 1994b:75).

The restriction of literacy to certain groups of people can be seen quite clearly in the approach that was taken by the previous apartheid government. The control of access to literacy and its effectiveness can be seen in the way that the apartheid government in South Africa created its education system (Christie

& Collins 1984; Enslin 1984). The result of this policy can be seen, for example, in a 1994 survey of the literacy levels in South Africa (Fuller et al. 1994). It was found that the expected literacy levels among the black population were far lower than those of either the white or coloured population. The use of apartheid ideology to control the education system has resulted in a wide gap in the literacy levels between the different ethnic groups in South Africa.

#### **2.1.4 Summary**

The above discussion shows that in the autonomous view, literacy is a set of skills. UNESCO's functional view of literacy recognises that these skills are isolated, but they play a number of different roles, depending on the use to which they are put. Freire's view adds a new dimension to literacy because he sees a political aspect to literacy in that it can be used to control people. The New Literacy Studies essentially combines these views of literacy and its proponents concentrate more on the social implications of literacy than the particular skills of reading and writing. Using a combination of these views, literacy can be seen as a socially situated set of skills, the building blocks of which are the skills of reading and writing.

The New Literacy Studies view of literacy recognises that there are various types of literacy. Literacy is not seen as simply the skills of reading and writing, since the ability to read and write does not mean that one has mastered a particular literacy practice. The New Literacy Studies have contributed to understanding many student problems by recognising students' differing foundations in literacy. Students may have the ability to read and write certain types of texts but they have not learnt to read and write the types of texts required by the university. Recognising this leads to an understanding of where exposure to certain literacy events is lacking and the reasons for the lack. The discussion of the survey on literacy levels in South Africa places the effects of social and political position on the acquisition of literacy in the local context. Literacy in the academic environment is addressed in the next section.

## **2.2 Academic Literacy**

This section discusses academic literacy with reference to factors affecting its acquisition. In terms of the New Literacy Studies approach to the study of literacy, academic literacy is considered to be a specific type of literacy which is used within a tertiary educational institution (Gee 1990; Barton 1994b;

Street 1995). The various tasks within such an institution are seen as requiring different types of literacy skills. For instance, writing critical essays on English literature would be different to writing up a practical report on a scientific experiment. The focus of this research, academic lectures, is considered a complex literacy practice that requires listening skills and writing or summarising skills (Flowerdew 1994b). This research approaches the analysis of the language more from the students' perspective rather than from the lecturers' perspective.

### *2.2.1 Defining Academic Literacy*

Academic literacy is the ability to master the various literacy practices that occur within educational institutions. These literacy practices are shaped by both general academic cultural motivations and discipline-specific requirements.

Becoming a participating member of a university entails becoming part of the university culture and subscribing to its norms, which include specific forms of language use. Ballard and Clanchy (1988:7) describe the place of language within the culture of the university as follows:

Language, whether oral or written, is indivisible from the culture in which it functions. A distinctive culture of knowledge sustained by the university both elicits and shapes a distinctive use of language. This is true at the level of the general academic culture, though it is far more obvious at the sub-cultural level, the level of disciplinary languages or 'dialects'.

Academic culture as a "set of behaviours peculiar to the formally educated" (Williams & Snipper 1990:8), along with its associated language use, may tend to be unfamiliar (at first) to students who enter the university environment, regardless of their linguistic backgrounds. This set of behaviours has both linguistic and socio-cultural aspects. As can be seen from the quotation from Ballard and Clanchy above, it is these cultural factors that play the most important role in determining the form that language takes.

Cultural factors play a role not only in defining the general academic culture and language but also, as Ballard and Clanchy indicate, discipline-specific sub-cultures. This suggests that students will encounter

different linguistic forms and expectations as they move between various disciplines such as geography, psychology and politics. From the data used in this thesis, the discipline of politics itself can be seen to be made up of various sub-disciplines with their own characteristic linguistic usage. Each of these sub-disciplines may itself have its own unique cultural expectations. Thus, the interplay of academic cultural expectations and language use may form intricate patterns which are as yet largely unexplored.

### *2.2.2 Developing Academic Literacy*

Learning to be academically literate entails becoming familiar with both the specific cultural expectations and the resultant linguistic forms. The university culture may be unfamiliar to students from diverse backgrounds who come to the university with different educational experiences. The students' backgrounds will have an effect on the way that they relate to the academic culture and its expectations.

Davidson (1996:34) points out that students entering the university environment come to the university having been exposed to a variety of literacies. It is often the case that speakers of other languages have developed a different type of literacy (or discourse strategies) as determined by their culture and therefore they are not able to apply what they have already learned to the type of literacy needed in the university context (Grabe 1989). Dison's (1997) research provides an example of this. She researched the literacy practices that a first-year student (whom she describes as a 'non-mainstream' student) had been exposed to before entering the university. She found that there were some very different types of literacy practices associated with particular social practices and situations. At home as a child, for example, the only literacy that the student was exposed to was reading from the Bible (Dison 1997:13). However, at school he was exposed to a number of different literacies, including reading newspapers. This was brought about through the student's need to be aware of current events so as to be able to interact effectively with his peers. This indicates that the social situation has a definite effect on the types of literacies that a person is exposed to. Dison's research further suggests that people from different backgrounds are exposed to different literacy practices and therefore may not be equally exposed to all of them.

Michaels and Collins's (1984) research supports the suggestion that different social backgrounds also affect exposure to literacy. Different cultural approaches to communication may also have an effect on

how easily a student might learn the literacy practices required by educational institutions. Their research shows that first-language speakers are likely to have a much easier time than second-language speakers. This is because these students have the background oral skills which inform the written methods.

Michaels and Collins (1984) have studied the spoken and written language used by young school children in an American school. They have found that there is a difference between the ways in which white and black children tell stories. They characterise the difference between black and white children's speech as a difference in the way they deal with topics. The white children speak on one topic at a time, while black children tend to pick a topic and then add additional topics or events that are associated with that chosen topic. The differences in the way that the children speak has an effect on the way that they subsequently write. The black children tend to rely on prosodic features such as intonation to organise their narratives. In contrast, white children use more lexical cues and syntactic structures to organise their narratives. Michaels and Collins sum up their research as follows:

A child who relies heavily on prosodic cues may be doubly disadvantaged in making the transition to literacy. First, in shifting from oral to written language, prosodic cues are lost. A child who relies heavily on these cues as cohesive devices is less likely to provide the lexical and syntactic connections required in written discourse (Michaels & Collins 1984:243).

This suggests that there is a link between the way speakers of a language construct their spoken discourse and how they construct their written discourse. Accordingly, not knowing the spoken rhetorical organisation of standard English, for example, can have a detrimental effect on the development of literacy in standard English.

Many first-language students will not have been exposed to the literacy requirements of the university. However, second-language speakers are at more of a disadvantage when entering a tertiary educational institution. They are not necessarily familiar with either the language which is the medium of instruction, or the literacy requirements of the institution. They may also carry the added burden of background influence, as suggested by Michaels and Collins (1984). Added to this is the existence of

discipline-specific varieties of language use. Each discipline will require not only knowledge of general academic language but also the use of discipline-specific language. In this thesis, the analysis of the language use within one discipline will show that even the language use of this one discipline is not homogeneous.

The exposure to discipline-specific sub-cultural and linguistic variation is most relevant to undergraduates who are required to deal with a number of different disciplines and therefore language forms (Bartholomae 1988). They are thus required to "try on a variety of voices and interpretative schemes" (Bartholomae 1988:273), which are reflected in the variations in linguistic form and use. Street (1994) describes the situation faced by students as follows:

[The] switching, of both code<sup>1</sup> and mode<sup>2</sup> (between oral and written) is required of students but here the different genres are less apparent and the rules for switching are frequently obscured. University lecturers tend to assume that writing an 'essay' or talking in a seminar or to notes are 'natural' and straightforward and give students little instruction or advice on the complex linguistic functions involved in this process. Students often do not know what to expect, they find tutors have different expectations according to discipline and personal taste (Street 1994:18).

Davidson (1996) argues that it is necessary to recognise the diversity in the literacies of the students. This is because students come to the university already knowing other literacy practices, which may not be used in the university. It must then be made clear to students where their literacy practices differ from those of the university so that they can recognise this and "acculturate to a point where they can function ... within that culture" (Davidson 1996:34). However, it is not always easy to become a member of the academic culture or disciplinary sub-cultures. Ballard and Clanchy (1988:8) note that "despite their importance, these cultural understandings are rarely addressed directly in exchanges between academics and their students". This is a problem for many students, since they are left with little indication of where their language use deviates from what is expected of them.

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<sup>1</sup> *Code* refers to different languages.

<sup>2</sup> *Mode* refers to spoken or written language

The analysis of socio-cultural practices and the related linguistic forms will allow for the explication of these often uncommunicated understandings. In the South African context, little research has been done on the linguistic characteristics of academic language (Moll & Slonimsky 1989). Instead, research focuses on academic culture and students' cognitive needs (Craig 1989,1991,1996; Murray 1993; Boughey 1994,1995). With respect to this avenue of research, Moll and Slonimsky (1989:165) note:

With regard to the linguistic issue, we are doing no more than nod in a direction that we understand to be important, but which we know nothing about.

For this reason, this thesis focuses on the linguistic forms rather than the associated cultural factors. The following section therefore outlines the various elements of linguistic form pertinent to the description of disciplinary language.

### *2.2.3 Linguistic Aspects of Academic Language*

Academic sub-cultures tend to develop unique rhetorical structures and particular ways of using vocabulary and grammar. Christie (1990:3) recognises the effects of various linguistic forms on literacy, stating that "to be literate in the contemporary world is to understand the very large range of written forms, text types ... which we all need for both the reading and writing essential to participation in the community". Each of these text types would be identified by unique linguistic features as well as different uses as determined by the needs of society. Each of them would thus be the focus of a different literacy practice. The description of the linguistic characteristics of the different types of language use can be approached from three different levels: schematic structure, grammatical function and use and vocabulary.

The combination of these three characteristics of language can produce a useful picture of any sample of language use. This can be used to provide descriptive linguistic input for academic literacy courses. Although three levels are discussed below, this thesis concentrates on the first two. Lexis or vocabulary is analysed in relation to topic choice in each sub-discipline.

### **a) Schematic Structure**

In terms of academic literacy, the different text types that Christie (1990) discusses are the journals and books that students need to read and the essays, theses and reports they need to write. To extend the definition, academic lectures can also be seen as a specific text type. Lectures have their own rhetorical organisation, which is reflected in their schematic structure (Swales 1990; Thompson 1994b) (see 2.3.3). All texts have their own structural features which organise the way that they present their information to the reader. Thus, knowledge of the textual organisation has an effect on the ability to produce and to comprehend the text (see 2.5.1). The structural aspects of academic lectures are used by lecturers to organise the information, while the students need to use knowledge of lecture structure to understand the lectures.

### **b) Grammar**

Analysis of aspects of the grammar can be used to describe the functions which certain grammatical features perform in a genre. This may occur in the use of specific words or larger grammatical constituents such as relative clauses. As an example of the analysis of grammatical aspect of texts, Thompson and Yiyun (1991) analyse verbs in academic papers. They concentrate on what they class as 'reporting verbs', which are verbs used in quotations. An example of this would be the use of words such as *noted*, *observed* and *hypothesised* when quoting or describing what another author's observations or opinions are. They classify the verbs into three general categories. The 'author's stance' refers to verbs that describe the quoted author's opinion. The 'writer's stance' refers to the writer's opinion of the quoted author's view. The third category is the 'writer's interpretation' of the quoted author's views. Determining the functions of reporting verbs can produce a description of how academic writers communicate their ideas and opinions to their readers. Thompson and Yiyun's purpose is to provide their students with an understanding of how to use these verbs appropriately when writing academic papers.

### **c) Vocabulary**

Martin (1976) sees vocabulary as being made up of three sub-types: general, technical, sub-technical (or academic).

- General vocabulary is considered to be the everyday vocabulary of the language that all speakers know and use all the time.
- "[T]he development of any branch of knowledge always brings about the emergence of a suitable terminology" (Grabarczyk 1989:180). This terminology is generally termed technical vocabulary. Martin (1976:91) defines technical vocabulary as "vocabulary that is the specific vocabulary related to a particular discipline". For example, words from linguistics such as *phoneme* or *morpheme* would be considered technical in that field (de Beaugrand 1989). This type of vocabulary enables the concise articulation of the concepts of a discipline. Since this type of vocabulary is tied to a specific discipline, it is not found in other disciplines and thus provides one reason for the unique character of the language of a discipline. It also means that to fully understand the language of a discipline, it is important to become familiar with its specific vocabulary uses (de Beaugrand 1989).
- Sub-technical or academic vocabulary makes up a large part of the vocabulary of academic texts. "[T]he term sub-technical covers a whole range of items which are neither highly technical and specific to a certain field of knowledge nor obviously general in the sense of being everyday words which are not used in a distinctive way in specialised texts" (Baker 1988:91).

Nation (1990) defines academic vocabulary according to the frequency of the words in academic texts. By excluding the 3000 most frequently occurring English words and determining the next 2000 most frequently occurring words, Nation arrives at what he considers as a representative list of academic vocabulary. The mastery of academic vocabulary, according to Nation, allows for a 95% coverage of most academic texts. Baker (1988) sees academic vocabulary according to its functions instead of using the frequency approach. She observes that there are various elements of vocabulary that perform specific functions in academic texts. These functions are not found in general language use. They include textual organisation and vocabulary items that are used within a discipline in ways that differ from the general use of the word. However it is defined, academic vocabulary falls somewhere in between the technical jargon of a discipline and the vocabulary of general use.

Although technical vocabulary is very important for a discipline, sub-technical vocabulary is seen as the biggest stumbling block in the development of academic literacy, since it forms the largest amount of specialised vocabulary that a student needs to learn (Baker 1988; Martin 1976). It is also the most difficult category of vocabulary to define and therefore to teach (King 1989).

#### **2.2.4 Summary**

Being academically literate entails the ability to understand the language used in the academic institution. The cultural setting and cultural expectations structure the language used within the academic environment. The linguistic aspect of academic language can be analysed on a number of levels. The three main areas of language that are recognised as being important are the schematic structure of texts, their use of grammatical features and their vocabulary.

### **2.3 Genre**

This section discusses theoretical approaches to genre and outlines qualitative and quantitative methods of generic description. Applications of genre analysis to teaching academic literacy are also discussed. Within the context of this thesis, genre theory provides a theoretical framework for classifying and subclassifying the language data analysed. Work within genre theory has also been applied to pedagogical ends (see, for example, Swales & Feak 1994). The results of this thesis can also be placed within the broader context of similar research.

#### **2.3.1 Definitions of Genre**

Broadly, genre refers to any form of language, spoken or written, that can be classified with reference to the communicative purpose of the language use. Each genre also has linguistic features that characterise it and differentiate it from other genres. Genre has been defined in various ways depending on the theoretical orientation of the researchers. Three major theoretical approaches can be identified in the literature: Systemic Functional Linguistics (Halliday 1985), New Rhetorical Studies (Miller 1984) and English for Specific Purposes (Swales 1994). Definitions drawn from each of these approaches are discussed below.

Within Systemic Functional Linguistics (see Chapter 3), genre has been approached from a number of angles. Martin (1985:249) sees genre as "a staged, goal-oriented, social process in which speakers

engage as members of our culture". As a staged process, genre is structured in a particular way depending on the purpose for which language is being used. As a goal-oriented process, genre is always the result of purposeful use of language. As a social process, genre is seen as a product of our social actions within the culture. Kress (1989) also frames his definition in terms of social processes that occur in society:

The conventionalised forms of [recurrent] social occasions lead to conventionalised forms of texts, to specific genres. Genres have specific forms and meanings, deriving from and encoding the functions, purpose and meanings of social occasions. Genres therefore provide a precise index and catalogue of the relevant social occasions of a community at a given time (Kress 1989:19).

These approaches define genre in terms of the social processes that create or produce it. However, they fail to explicitly mention that the result is the production of specific linguistic forms. Hasan's (1977,1989) definition of genre in terms of the register variables of **field**, **tenor** and **mode** (see 3.2.1) relates the effect of aspects of social processes directly to the linguistic realisation of a genre. Variations in the values of the register variables determine "the systematic linguistic variation across texts of distinct genres" (Hasan 1977:230).

Ventola (1987) combines the views of Kress, Martin and Hasan. She sees genre as "recognisable, organised social activities/processes which make up our culture" (1987:85). Each genre has a unique schematic structure which is realised by "pre-selected choices from the linguistic system networks<sup>3</sup>, which generate structures on the linguistic strata of discourse, lexico-grammar and phonology" (1987:85). Ventola's view of genre thus provides a link between the socio-cultural processes which are a prerequisite to producing genre and its actual linguistic realisation.

Besides Systemic Functional theory, two other disciplines have developed theories of genre, largely independently. Within the discipline of **New Rhetorical Studies**, whose interest is in teaching writing

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<sup>3</sup> The *linguistic system networks* are theoretical constructs which contain all the possible choices that can be made in terms of word choice, sentence structure and textual structure.

to first-language speakers (Hyon 1996), the concentration has been on the social factors that create genres. The other discipline is that of **English for Specific Purposes (ESP)**, whose interest is in teaching second-language speakers academic English skills (Hyon 1996).

Within the New Rhetorical Studies, definitions of genre are based on associated communicative and social function. Researchers in this field have concentrated on ethnographic rather than linguistic descriptions of language use. This is reflected in Miller's (1984) definition of genre, which emphasises genre as 'social action'. According to Miller (1984:151), "a rhetorically sound definition of genre must be centred not on the substance or form of discourse but on the action it is used to accomplish". The emphasis is on how genre is created in society and the specific purposes for which genre is used. The bias towards non-linguistic aspects of context that create genre is evident in Berkenkotter and Huckin's (1995) socio-cognitive view of genre. The underpinning elements are summed up in their view that "genre is intimately linked to a discipline's norms, values and ideology" (Berkenkotter & Huckin 1995:1). In their view of genre, the social and cognitive needs of individual members of a social community which develops and uses a genre will determine its form and function. Additionally, they see genre as dynamic in that the form and function of a genre will change as the cognitive and communicative needs of the community change.

Within the ESP movement, genre is described in terms of both its social function and its linguistic form. Swales' (1990) definition forms the basis of much of the work on genre within ESP. Swales states that "a genre comprises a class of communicative events, the members of which share some set of communicative purposes" (1990:58). This refers to social factors. In order for any genre to be recognised as such, there must be some underlying purpose for the language use. The underlying communicative purpose "shapes the schematic structure of the discourse and influences the content and style" (1990:58). Thus, the communicative purpose, as in the Systemic Functional view, has a direct effect on the linguistic realisation of a genre.

The approaches described above take social factors and communicative purpose into account when defining genre. The relation of the social considerations to the people who produce the genres does, however, differ. Mauranen (1993) contrasts Swales' definition with the Systemic Functional approach. Swales places the communicative purpose with the genre while the Systemic Functional approach places

the communicative purpose with the individual. In the Systemic Functional model, an individual has the intention to communicate in a certain way and therefore selects the appropriate genre for that purpose. In Swales' model, the individual will communicate in a certain way depending on his or her membership of a particular discourse community. The discourse community will determine the particular genre and content that a person may use for communication. Bhatia (1993), however, criticises Swales for underplaying psychological processes that individuals bring to every communicative act. These psychological processes "play a significant role in the concept of genre as a social process" (Bhatia 1993:13). Swales' view presents genre as more or less static and unchanging. In the application of genre theory to linguistic analysis, both Systemic Functional linguists and ESP researchers have concentrated on the description of the linguistic features that characterise various genres (Hyon 1996). Berkenkotter and Huckin's definition addresses many factors that contribute to the creation of a genre; however, they do not recognise the final result, which is the specific linguistic form of a genre. It seems necessary that a definition of genre, which is essentially the linguistic realisation of social communicative action, should include linguistic realisation in its definition.

### *2.3.2 An Approach to Genre*

Drawing from the definitions of genre discussed above, the following points will be used as an outline for a definition of genre. The description outlined below is not an attempt to develop a new definition of genre, but rather to collect together the most salient points from the theories discussed above. Although the approaches differ, they all emphasise the idea that communicative purpose is central to defining a genre. This will provide a point of departure for the identification and linguistic analysis of the lecture genre used in this study.

- a genre is created through the recurrence of specific activities within society
- a genre is used by an identifiable community of speakers or writers
- genres are not static: a genre may change over time as the social and cognitive needs of its user community change
- a genre is the (spoken or written) linguistic realisation of the way that a user community communicates about a particular activity
- the structure of a genre is rooted in its communicative purpose
- a genre has unique functionally identifiable structural and lexico-grammatical features.

The concept of genre allows for the identification of specific types of language use. In the context of the research in this thesis, academic lectures make up one genre (see 2.4). However, the differences in the **field** (see 3.2) of the lectures will be shown to have an effect on a number of linguistic elements. It will be argued that these differences can therefore be considered to define specific sub-genres within the genre of academic lectures. The following sections of this review discuss methods that have been used to explore the characteristics of genre and the pedagogical application of genre theory.

### *2.3.3 Linguistic Approaches to the Description of Genre*

There is no single set of linguistic methods used to describe genre. Researchers have taken various approaches to its description, depending on their preferences. They have used both quantitative and qualitative approaches to the description of genre. Quantitative approaches have concentrated on the statistical analysis of grammatical features, while the qualitative approach has concentrated on the schematic structure of particular genres (see, for example, quantitative studies by Biber (1988) and qualitative studies by Swales (1990)).

Biber's (1988) quantitative approach uses the statistical analysis of a large corpus of spoken and written language. It utilises the variation in the co-occurrence of grammatical features in order to characterise different genres. According to Biber's system, five dimensions of variation are each characterised by the statistical co-occurrence of particular grammatical features. The values of each of the dimensions, which are determined through statistical techniques, are used to distinguish various genres.

Other quantitative analyses have concentrated on one specific lexico-grammatical element. Smith and Frawley (1983), for example, analyse the conjunctive cohesion in four English genres; journalism, fiction, religion and science. They determine the distribution of the various types of conjunctive cohesion (see 3.3.3) in the four genres, and conclude that "there are differences in the amount and type of conjunctive cohesion used by the four genres investigated, and that the kinds of conjunctive cohesion used in the various genre types is significant" (Smith & Frawley 1983:317).

**Schematic structure** is the structural (rhetorical) organisation of a text which "reveals preferred ways of communicating intention within specific areas of inquiry" (Bhatia 1993:29). These preferred ways of communicating are reflected in the way a text is structured and are linked to the communicative

purpose for which a text is intended (see 2.4.1). The functional description of genre is usually associated with the schematic organisation of the text rather than particular lexico-grammatical features.

The description of the schematic structure, according to Dudley-Evans (1994:226), is based on "linguistic evidence, comprehension of text and understanding of the expectations that both the general academic community and the particular discourse community have of the text". Paltridge (1994:295) elaborates on the methods of schematic structure analysis of texts as being "a search for *cognitive* boundaries in terms of *convention*, *appropriacy* and *content* rather than as a search for linguistically defined boundaries" (emphasis in original). Paltridge's argument is that the structure of a genre is determined by a change in communicative function (e.g. introducing or concluding), topical content and conventional divisions (headings, sub-headings and paragraphs in written text). Determining the structure of a genre is essentially a process of dividing examples of the genre under analysis into functional units. Based on the intuitive identification of functional boundaries, a common pattern that reflects the genre is then determined. The description of genre is usually associated with the schematic organisation of the text rather than particular lexico-grammatical features. This is because genre is seen essentially as a structural element of language. However, as shown by quantitative studies, lexico-grammatical features also vary, depending on the genre.

Swales' (1990) approach to the description of schematic structure constitutes a functional method of generic structure description. Its purpose is to provide a descriptive tool for pedagogical purposes. Swales' approach has been developed primarily through the analysis of research-article introductions and other written work; however, it has also been applied to academic lectures (Thompson 1994b).

Swales' (1990) approach is centred around the concept of functional units within a text, which he terms **moves**. Each move describes a specific communicative function, as figure 2.1 illustrates. A functional unit may be any stretch of text, from a part of a sentence to a whole paragraph, which performs an identifiable communicative function within the text. The following example (Figure 2.1), taken from Thompson's (1994b) description of lecture introductions, illustrates how this method is applied.

<b>Announce topic</b>	right what I'm going to be looking at today ( <i>writes title on board</i> ) is I want to give it actually a double title because it's
<b>Indicate scope</b>	I'm concentrating on this ( <i>points at board</i> ) but I see it as part of this ( <i>points at board</i> )
<b>Announce topic</b>	prediction in text interaction writing
<b>Outline structure</b>	and in fact I'm going to start with the question of interaction
<b>Show relevance of topic</b>	it may seem odd to think of interaction in writing interaction between whom [?] the writer is in one place and the reader is in many cases totally unknown and certainly unlikely to be in the same place however it's become more and more clear that we can explain certain features or writing satisfactorily if we in fact bring ideas from spoken discourse.

**Figure 2.1. An Analysis of A Lecture Introduction (punctuation as in original)  
from Thompson (1994b:185-186)**

In figure 2.1, the various functions of elements of a lecture introduction have been identified and labelled in the left hand column. These labels are the moves which constitute part of a lecture introduction. The right hand column contains the actual text from a lecture introduction.

Hopkins and Dudley-Evans (1988) use Swales' system of moves to analyse longer thesis introductions and the discussion sections of articles on irrigation and drainage. They find that Swales' move system and the results of his analyses are not sufficient to account for the structure of their data. This led them to extend Swales' system so that they could analyse longer texts. The extension involved introducing cycles of moves that occurred throughout their texts. In other words, there would be more than one occurrence of each move within a text. In the example of the lecture introduction above (Figure 2.1), the 'announce topic' move occurs twice. In longer texts, a larger pattern of moves will occur.

In contrast to Swales' descriptive method, Hasan (1977,1989) and Ventola (1987) develop models intended to provide a more generative approach to generic description. They aim to create a structural description of genres that could be used to create (or generate) new texts. Hasan's (1977,1989) theory of Generic Structure Potential proposes that the schematic structure of a genre can be generated according to the values of **field**, **tenor** and **mode** which define the extra-linguistic context for any text (see 3.2.1). From this, she develops formulae that describe the structure of particular genres. The

formulae are made up of obligatory elements which are essential to the definition of a genre, and optional elements which are determined by slight variations in the context. The formulae are linear, specifying the various structural elements one after another. There is allowance in the formulae for a certain amount of variation through repetition of elements and the presence or absence of optional elements. Ventola (1987) attempts to use Hasan's model of genre to describe service encounters, but finds a number of deficiencies in it which arise from its linear nature. It is unable to provide a powerful enough notation to account for the ordering of optional elements within the genre she is analysing. She therefore proposes a method of describing schematic structure using flowcharts. The flowchart provides a more powerful method of representing the variation in the ordering of elements in the genre. Thus, with Ventola's method, the structure of the genre can be more completely described.

#### **2.3.4 Summary**

Genre is the linguistic product of recurrent social processes. Each genre can be identified through an analysis of both the communicative purposes that create it and the linguistic realisation of those purposes. The qualitative analysis of genre is based on the recognition of the communicative functions contained within the structure of a text. Identifying these functions and associated structures is necessary for describing how the text conveys its message (Hopkins & Dudley-Evans 1988). The quantitative analysis, on the other hand, is based on the assumption that there are quantifiable variations in the use of the lexical and grammatical resources of the language among different genres.

#### **2.4 Academic Literacy and Genre Analysis**

The linguistic analysis of various genres and the way that each discipline uses them can provide information on the different ways that language is used. From this, an explicit knowledge of each discipline's language use can be developed. The result is that this knowledge can be put to use in developing genre awareness in students so as to enhance their ability to use a particular genre effectively.

##### **2.4.1 Genre and Disciplinary Epistemology**

Analyses of genres (Martin 1991; Love 1991,1993; Morrison et al. 1993) have shown that a number of linguistic differences can be discerned among various genres and disciplines. These linguistic differences often reflect the epistemological approach of a discipline.

The characterisation of the knowledge needed to comprehend various genres can be described in terms of formal and content schemata (Swales 1990). **Schemata** are the cognitive structures and expectations associated with background knowledge and structure of various activities (Carrell & Eisterhold 1983). Schema theory posits that background knowledge of textual structure and content is necessary for the proper comprehension of a text (Carrell & Eisterhold 1983). The comprehension of a text (spoken or written) is achieved through an "interactive process between the reader's [or listener's] background knowledge and the text" (Carrell & Eisterhold 1983:556). A text in this case has both formal structural and informational aspects. A **formal schema** is "knowledge relative to the formal, rhetorical organizational structures of different types of texts" (Carrell 1987:461). A **content schema** is "knowledge relative to the content domain of the text" (Carrell 1987:461). These are the expected structures and content that are associated with any example of language use. Lack of knowledge of these schemata would lead to difficulty in comprehending a particular genre.

The structure of each genre is associated with a particular formal schema. Each discipline, even within the same genre, would, however, have a different content schema. Love (1991:91) notes that "it should be possible to describe a set of field-specific schemata ... in particular academic disciplines". Each of these field-specific schemata contains the discipline-specific epistemology which is realised in the linguistic structure and lexico-grammatical features of the texts. The linguistic realisation of disciplinary epistemology is discussed below.

Morrison et al. (1993) demonstrate the structural and epistemological differences between first-year university textbooks in economics, geology and philosophy. Each discipline's textbook has a different schematic structure (Morrison et al. refer to this as 'macro-structure'). The economics textbook structures its information by presenting an hypothesis, predicting the results and following this with a test of the hypothesis in order to prove it correct. Morrison et al. (1993) describe this as a 'scientific approach'. In contrast, the geology textbook had a 'top-down' structure (Morrison et al. 1993). The structure of the textbook works from an overview of a topic, which is then discussed in more detail stage by stage. The philosophy textbook, again, has a different structure. It is based on the presentation of various arguments (putting forward a position and justifying it), which are all interrelated in that successive arguments modify earlier ones (Morrison et al. 1993). It is apparent from this research that

different disciplines require different structures for the communication of their information. This is a result of the different epistemological needs of each discipline.

The differing epistemology of each discipline is reflected not only at the schematic structural level but also at the lexico-grammatical level. Martin (1991) analyses the differences between history (as an arts discipline) and science. Martin sees science as being technical in that it builds up an "uncommon sense interpretation of the world" (Martin 1991:311). This interpretation is intended to create the specialised knowledge that is science. Lexico-grammatically, this specialised knowledge is built up through the use of relational identifying clauses which are used to define concepts. Definitions allow for the taxonomising of the various elements that are related to a specific area of enquiry. History, in contrast, concentrates on describing events in order to explain why they happened (Martin 1991). Events and actions are nominalised so that they can be discussed in terms of their effects on each other. Science and history therefore use different lexico-grammatical resources in order to linguistically realise their epistemology.

Disciplines may therefore differ in that they use the schematic structure of texts and lexico-grammatical resources to shape the communicative needs of the epistemology of the discipline. Explicitly teaching the appropriate formal and content schemata for specific genres would enhance comprehension. This is discussed next.

#### *2.4.2 Knowledge of Genre*

Swales (1990:213) notes that there may be "pedagogical value in sensitizing students to rhetorical effects, and to the rhetorical structures that tend to recur in genre-specific texts". The effect would be to raise the students' consciousness about the organisational structures which make up the various types of academic text. This he terms the development of 'rhetorical consciousness' (Swales 1990).

Giltrow and Valiquette (1994) approach the issue of consciousness-raising of textual organisation as follows. They argue that students coming into a particular discipline are unaware of how knowledge must be communicated. The reason they posit this is that there are two types of knowledge that expert members of the discipline have about the construction and content of their genres. **Discursive consciousness** is their conscious knowledge of the genre. This knowledge does not always concur with

their tacit knowledge of the genre, which is termed **practical consciousness** (Giltrow & Valiquette 1994). It is the practical consciousness which experts in a discipline use when reading or writing in a genre related to their discipline. Practical consciousness is tacit and therefore not easily communicable because of its unconscious nature. It is therefore not communicated to students even though it is necessary for the mastery of any genre.

Following from the notion of tacit knowledge of appropriate language use, two uses of genre analysis can be applied to translate practical consciousness into discursive consciousness (or to develop rhetorical consciousness). Firstly, knowledge of genres can provide teachers with a number of tools to aid their teaching. Samaraj (1989) believes that explicit knowledge of genres would enable teachers to analyse how language is used in any situation. Teachers could possibly adjust their spoken or written language so that the correct form is taught in the most appropriate way. The result is that information would be conveyed as clearly and as completely as possible in its generic context. This view is echoed by Flowerdew (1994b) in reference to academic lectures. Knowledge of the genre would allow "content lecturers to structure their lectures in an optimal fashion" (Flowerdew 1994b:129) to enhance the students' understanding.

The second application of genre analysis is to familiarise students with the conventions of specific genres. Teaching genre explicitly enables students to generate the correct structure and to learn to communicate contextually appropriate meaning through the structure of the genre (Swales 1990; Bhatia 1993). As students become more familiar with a particular structure, they will be able to express themselves more competently within the genre and develop a feel of the structural and content boundaries of that genre. Analyses of the structure of genres have produced teaching materials that can be used to develop such explicit knowledge in students. For example, Thompson's (1994b) analysis of lecture introductions has produced a provisional list of functional moves. From this, she has developed a number of exercises which have helped her students to predict what would be encountered within the lecture from the contents of the introduction. Hewings (1993) similarly employed the analysis of schematic structure to improve his students' writing, because they had difficulty structuring the conclusions to their theses. He therefore analysed a corpus of thesis conclusions to determine their structural properties. Following this he was able to develop a workable model that he used to teach his students the most appropriate ways to structure the information needed to conclude their theses.

Morrison et al. (1993) use their analyses of textbooks to develop methods of teaching appropriate reading strategies. They use this successfully to improve the ways that their students read their textbooks.

### **2.4.3 Summary**

Linguistic analysis of various genres has shown that there are linguistic differences between genres and among discipline-specific uses of each genre. It has been possible to use the results of analyses of generic characteristics to develop teaching materials which aid in the enhancement of abilities such as listening, reading and writing.

## **2.5 The Academic Lecture as a Genre**

The research in this thesis focuses on the academic lecture as a specific linguistic genre that students are exposed to. Students need to be able to comprehend lectures in order to function competently in the academic environment. This section reviews the literature on academic lectures: their characteristics and how they have been researched for the purpose of teaching academic literacy.

### **2.5.1 Defining Academic Lectures**

The function of lectures is to instruct, by presenting information in such a way that a coherent body of information is presented, readily understood and remembered (Chaudron & Richards 1986:114).

The academic lecture is "probably the most important learning medium at university level" (Flowerdew & Miller 1996:121). Students attending lectures are required to master a number of skills in order to make the most of the lecture. Richards (1983:229-230) lists eighteen micro-skills needed for lecture comprehension. The list includes:

- the ability to identify the purpose and scope of the lecture
- identify the topic
- identify the role of discourse markers
- identify the key lexical items

Flowerdew (1994b) approaches the comprehension requirements of lectures from a slightly different point of view. He identifies the following factors which affect lecture comprehension:

- often specialist background knowledge is required for lecture comprehension
- a student needs the ability to distinguish between what is relevant and what is irrelevant information in the lecture
- the monologic nature of lectures means that there is restricted interaction between lecturer and students.
- students need to concentrate for long periods of time.
- note-taking involves integrating (in written form) what is being said by the lecturer

(Flowerdew 1994b:10)

In terms of the New Literacy Studies (see 2.1.4), for students, lectures are a particular type of literacy practice which demands the ability to understand the lecture and to write down, in note form, what is said by the lecturer. As a specific genre, the academic lecture is characterised by being monologic, although there may be some interaction between the students and the lecturer. A lecture generally consists of a body of facts which are presented in a concentrated way in a relatively short period of time. Lectures are structured, but this structuring is contained within the lecture itself and needs to be decoded while the lecture is in progress. It is evident, from the discussion in 2.4.2 and 2.5.2 below, that different disciplines will impose different structures on the lectures as determined by each discipline's epistemology.

The academic lecture places a burden on students' comprehension capabilities, which are dependent on their ability to decode lecture monologue (Flowerdew & Miller 1992). One approach to this problem, as taken up in this thesis, is the linguistic analysis of lectures in order to determine their characteristics. This type of research relates to the points made above concerning the need to have an understanding of various linguistic aspects of the lectures.

### *2.5.2 Linguistic Analysis of the Lecture Genre*

Dudley-Evans and Johns (1981) recognise three lecturing styles. These styles depend on the approach that the lecturer takes to lecturing.

Style-A - 'Reading Style'. The lecturer reads from notes, or speaks as if he was reading from notes. Characterised by short tone groups, and narrowness of intonational range. Falling tone predominates: level tone ... may occur.

Style-B - 'Conversational Style'. The lecturer speaks informally, with or without notes. Characterised by longer tone groups and key-sequences from high to low. When the lecturer is in 'low key' at the end of a key sequence, the speaker may markedly increase tempo and vowel reduction, and reduce intensity.

Style-C - 'Rhetorical Style'. The lecturer as performer. Characterised by wide intonational range. The lecturer often exploiting high key, and a 'boosted high key'. Frequent asides and digressions marked by key and tempo shift - sometimes also by voice-quantity shift.

(Dudley-Evans & Johns 1981:34. Punctuation as in original).

DeCarrico and Nattinger (1988) analyse the discourse structuring functions of 'lexical phrases' such as *the first thing is* indicating the marking of a topic, *onto* indicating a shift in topic and *you can see* indicating a summarising comment. They find that there is a definite difference in the frequency of use of these lexical phrases among the different lecturing styles.

The analysis of the schematic structure of lectures shows that there is a difference between disciplines in the way that lectures are structured. This often depends on the purpose of the lecture. Dudley-Evans (1994) analyses lectures in Plant Biology and Highway Engineering. The lecturers' approaches to their subject matter means that there are noticeable differences in discourse structure. The Plant Biology lecture discusses of a number of research articles. This means that the structure of the lecture paralleled that of the classic research article characterised by *Introduction, Methodology, Results, and Discussion* sections. The Highway Engineering lecture was structured around first presenting a problem to the students, and then presenting a solution to the problem. Dudley-Evans (1994) notes that the differences in lecture structure may require different comprehension strategies.

### **2.5.3 Summary**

Lecture comprehension is dependent on the ability to decode the lecture monologue on a number of levels and then to commit the result to writing in the form of notes. This therefore places a burden on students' comprehension abilities. Linguistic analysis of the characteristics of the lectures can provide information that can be of use in a pedagogical context (Young 1994).

### **2.6 Conclusion**

The review of the literature on literacy, and specifically academic literacy, demonstrates that there is a special need for English second-language speakers to be taught academic literacy. This special need is highlighted by the research of Dison (1997). She demonstrates that second-language speakers may not necessarily be exposed to either a wide range of literacies or literacies required for tertiary education. Davidson (1997) also recognises the different literacies that second-language speakers may have been exposed to. He notes that second-language speaking students need to be shown that there are differences between their literacies and those of tertiary educational institutions. These students would therefore need to be taught these new types of literacy. The academic lecture is a particular genre to which all undergraduate students are exposed. To begin to understand the language used in these lectures, linguistic characterisation is necessary. Genre theory provides the theoretical framework within which the similarities and differences in language can be classified. The applications of genre theory and genre analysis can provide a powerful way of teaching language and academic skills such as reading, writing and listening in lectures.

## **CHAPTER 3: THEORETICAL BACKGROUND - SYSTEMIC FUNCTIONAL THEORY**

### **3.0 Introduction**

Systemic Functional linguistics is a theory of language which describes language in functional terms. It provides a coherent framework for analysing language in relation to the extra-linguistic factors that affect linguistic form. The analytic methods developed from this theory are equally applicable to both spoken language and written language. In the context of this research, it is therefore appropriate for characterising the spoken lecture genre.

This chapter, as a separate chapter, is necessary for a number of reasons. Firstly, Systemic Functional theory may not be well known within South African linguistics. Thus, a presentation of the theory is necessary for this thesis. Secondly, this theory provides background to part of the discussion on genre theory in 2.4. Finally, it is central to the methodology in Chapter 4. Section 4.2 discusses the application of the theory to the analysis.

### **3.1 Historical Overview of Systemic Functional Theory**

Modern Systemic Functional linguistic theory has been developed through M. A.K. Halliday's extension (Halliday 1961) and elaboration of J.R Firth's theory of language (see, for example, Firth 1957). Butler (1989:1-2), in his review of Systemic Linguistics, observes that "it was Halliday's work which first developed the programmatic ideas of Firth in the late 50s, and it is he who has been the undisputed leader of the systemic movement since then".

Firth's (1957) ideas centred around the concepts of system, structure and what the anthropologist Bronislaw Malinowski (1932) calls the 'context of situation'. Firth describes the development of his theory of language as follows:

In my own work, I first turned to the context of situation in 1930 and, more recently, have held to the view that the context of situation and the notion of types of speech function are best used as schematic constructs to be applied to language events and that

they are merely a group of related categories at a different level from grammatical categories but of the same abstract nature (Firth 1957:111).

In Firth's theory, language is analysed at three main levels:

- structural relations between words and textual elements
- systems that enable values (meanings) to be assigned to the various elements
- the context of situation in which the language is produced

(adapted from Firth 1957:111)

Malinowski (1932) recognised that the particular physical context in which language was used determined what it meant. He termed this **context of situation**. The concept of system describes the paradigmatic choices that people make about the specific way in which they will use language in a particular context. Firth saw language as being made up of a number of systems of choices, such as which word to use from a list such as: *child, boy, girl, kid*, for example. The appropriate word-choice would be dependent on the context of situation. The third concept, **structure**, describes the organisational make-up of a spoken or written stretch of language.

Firth saw the realisation of meaning in language as opposition in systems of choice among the elements that make up language. However, for Firth the meaning conveyed in any language use was an integral part of the context of situation in which it occurred. Firth (1930/1964:174) observes that “‘meaning’ is as much a property of the situational context of the people, things, and events as of the ‘noise’ made by the people”. Firth develops this observation for the fact that changes in physical environment affect the language produced. By the adding of the notion of situational context, meaning is seen as being created not in isolation but through the interaction of people within a specific physical context. Firth (1930/1964:173) describes the interaction which creates meaningful speech as follows:

A piece of speech, a normal complete act of speech, is a pattern of group behaviour in which two or more persons participate by means of common verbalizations of the common situational context, and of the experiential contexts of the participants.

Halliday (1961, 1973, 1978, 1985b) develops and codifies Firth's ideas by extending his concepts of context of situation and system and adding a descriptive methodology for sentence-level constituents. The descriptive methodology makes up what is known as 'Scale and Category linguistics' (Robins 1989:313). Firth's concept of system is "developed more rigorously into elaborate networks representing the choices available to speakers of the language" (Bloor & Bloor 1995:249). According to Halliday, three variables describe the context of situation. These are **field**, **tenor** and **mode** (see 3.2.1), which relate to the most important aspects of situational context that affect the meaning and form of any language produced.

Halliday's ideas have been developed further by other researchers. Butler (1989:2) observes that "those systemicists whose views diverge to some extent from Halliday's have reached their positions largely by reacting to the rich seam of innovative ideas which he has mined over the past three decades".

In this short historical overview, it is not possible to cover all developments, so the discussion will be confined to a small selection of researchers whose work is relevant to this thesis. Some researchers have sought to extend the theory by adding more abstract layers of meaning in the form of *genre* (e.g. Hasan 1977; Martin 1985; Ventola 1987) and *ideology* (e.g. Kress 1985, 1989; Hodge & Kress 1988) to the theory (see 3.2.1). Researchers have also developed practical analytic techniques. Hasan (1984, 1989) has developed the analysis of lexical cohesion. Martin (1983) presents an extensive account of conjunctive relations, while Fries (1983, 1994) provides a framework for the analysis of theme within texts. Berry (1996) has taken the research on theme further by critically reviewing current theoretical approaches to theme and describing a research methodology. Martin (1992) presents a complete method of textual analysis. This methodology takes most of the factors which, according to Systemic Functional theory, affect linguistic form and provides practical techniques for their analysis.

### 3.2 Systemic Functional Theory

The starting point for the Systemic Functional theory of language is that language is a "system for making meanings" (Halliday 1985b:xvii). In order for the theory to describe how meaning is realised in language, it is necessary to account for the factors that contribute to the creation of meaning. The meaning, which is realised by and expressed through language, is a result of the interaction of a number of non-linguistic factors, such as the people involved in the interaction and where the interaction takes

place. These non-linguistic factors are divided into a number of abstract levels of meaning. Each level is realised by the next less abstract level below it. Language production is thus viewed as a stratified system which, at its most abstract, is a set of meanings. These meanings are made 'concrete' through a number of semantic, grammatical and phonological levels, ultimately realised as the sounds of a particular language.

### *3.2.1 Meaning and Social Context*

All language use occurs within some describable social situation. The specific social situations in which we take part determine the 'behaviour potential' for that situation. That is, each social situation creates different types of behaviour. This behaviour potential affects the types of (linguistic) meaning that can be made in a situation. This is termed the 'meaning potential' of the situation. The combination of behaviour and meaning potential in a specific situation determines the specific forms of language that can be produced. Halliday (1973:34) describes this as follows:

The internal organisation of natural language can be best explained in the light of the social functions which language has evolved to serve. Language is as it is because of what it has to do.

A number of factors affect the behaviour potential of a situation. These are characterised as the effect of cultural expectations and norms and the specific characteristics of the situation in which the language is produced. Halliday (1973) defines the non-linguistic factors as abstract layers of meaning. These abstract layers of meaning are discussed next.

**Ideology** is seen as the highest level of meaning. Kress (1989:68) describes the effect of ideology as "imposing a prior and systematically organised set of values on nature" and thus "Ideology affects ... textual and syntactic form" (Kress 1989:70). Ideology is therefore seen to affect the way that people view things, and this affects the way that these things are spoken or written about.

**Genre** is the next level of abstract meaning after ideology. Within each culture, various recurrent situations have a determining effect on the way that language is used. These recurrent situations determine, to a large extent, the particular forms of language that are appropriate to a situation, and the

structure in which these are presented. The linguistic realisation of these cultural situations is genre (Martin 1985) (see 2.4.1).

The immediate situational context in which any language is produced is seen to be the lowest level of non-linguistic activity that affects meaning. The **context of situation** is realised as register, which is "that set of semantic resources which is activated by a given combination of field tenor and mode values" (Butler 1985:67). The **field**, **tenor** and **mode** variables are the three most important aspects of context that affect linguistic form. These are described next.

**Field** is the topic under discussion and the physical situation in which this discussion occurs. So, for example, the field of the data would be either lectures in South African Politics, Political Philosophy or International Relations given in a lecture theatre with a large group of students and one lecturer. The effect of the physical situation on language can be seen, for example, in the difference between a discussion of a rugby match in a sports programme on television and a conversation about the same match between two people sitting in a pub.

The **tenor** variable refers to the social power relations that exist between the participants in the interaction. In the case of the data, the tenor can be described as follows. The lecturer's position in relation to the students, within the lecture theatre, is that he or she has more social power. The other aspect of tenor is that created by the situation itself. This defines, through the purpose of the interaction, how one will communicate with other people. Gregory (1987) argues that there should be a recognition of what he describes as 'functional tenor', which reflects the tenor created by the situation as opposed to the roles of the interactants themselves. Thus, two factors affect the relationships between the interactants: their natural social distance and the social distance created by the particular situation in which they are taking part. So people who are equals in one situation may be placed in an inferior/superior relationship in another situation.

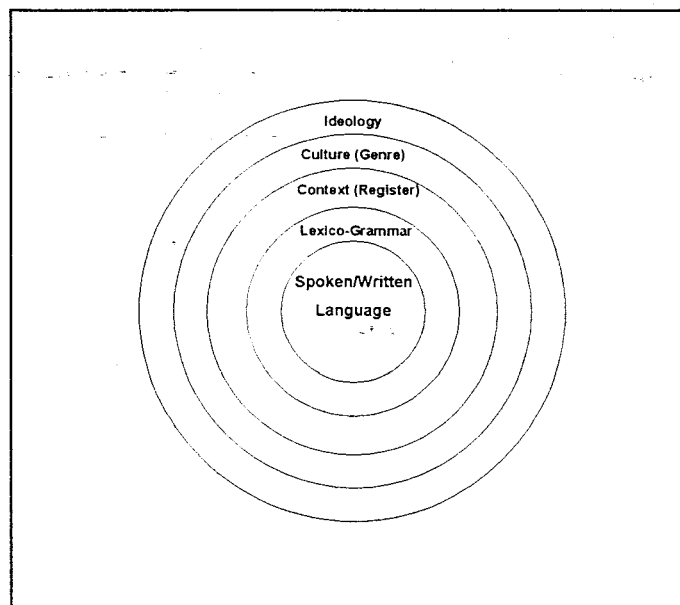
The **mode** variable describes the role that language plays in the interaction as well as the **medium** in which the language occurs, that is, spoken or written. The mode of the data would be characterised as spoken, monologic, didactic, with the possibility of questions or comments from the students in the

audience. Butler (1985:65) notes that medium and mode are often separated in linguistic description, although medium forms the basis for the characterisation of mode.

### 3.2.2 *The Realisation of Meaning in Language*

Along with the social context described in the previous section, three types of meaning are seen to be continually expressed through language. These are **ideational**, **interpersonal** and **textual** meanings. The ideational meaning encodes or describes reality. It is the part of language that encodes elements of reality such as events, actions and objects. The interpersonal meaning encodes the relationship of the speaker or writer to other interactants and his or her attitude to the aspect of reality that he or she is talking or writing about. The textual meaning serves to link each sentence with what has been said or written before. The ideational and interpersonal meta-functions encode extra-linguistic reality, while the textual meta-function encodes the internal organisation of the language (Gregory 1987). Thus, these three meta-functions are seen to be the primary organisational resources of language.

Each level of meaning (ideology, genre, register, lexico-grammar) affects the lower levels which act to realise their meaning. Ideology is the most abstract level of meaning, followed by register, genre and the lexico-grammar. The lowest levels of abstract meaning are the discourse semantics which structures texts, and the lexico-grammar which encodes the meanings as choices of word order and lexis. These choices are ultimately realised as the sounds of the language. The Systemic Functional model of language can be diagrammed as follows:



**Figure 3.1. Systemic Functional Model of Language**

Each circle in figure 3.1 represents a layer of meaning. The outer circle represents ideology, which is the most abstract layer of meaning. The inner circle represents the spoken or written language, which is the realisation of the meaning contained in each of the other layers. The layers of meaning, shown in figure 3.1, are, from most abstract to least abstract, **ideology, genre, register, lexico-grammar, and spoken/written language.**

### **3.3 Theory of Features Used in the Methodology**

This section covers the theoretical aspects of the discoursal and lexico-grammatical features used for the data analysis in this thesis (see Chapter 4 for application).

The choice of grammatical features was based on the view that the most important purpose of lectures is to convey information to the students (Chaudron & Richards 1986). Following from this, features that realise field and mode were analysed. The lecture data could be characterised in terms of its structural features and the way that the information is organised. I selected the following features to produce the characterisation: theme and conjunctive relations, which relate to mode, and transitivity and lexical relations, which relate to the field. Each of these will be defined below, along with the method used for analysis. The analysis of tenor was excluded, since it would concentrate on a lecturer's personal views of the lecture topic and not reflect the discipline in general. The analysis of tenor would also include an analysis of the way that the lecturer related to the students, which is beyond the scope of this thesis.

#### ***3.3.1 Transitivity***

The **transitivity** is the way that reality is encoded in language (Halliday 1985a). Reality is encoded in language by representing it as the process or action that takes place, the people or objects that participate in the process and the circumstances in which the process occurs. The analysis of transitivity will show how the field uses the various transitivity processes, that is, how it reflects reality. The use of transitivity processes will differ between fields and genres. The following diagram, in example 3.1, divides a sentence into the relevant transitivity elements.

We	dealt	last week	with the National Party
participant	process	circumstance	participant

**Example 3.1. Division of A Sentence Into its Transitivity Elements**

The verb is the central element of the transitivity of a sentence (Bloor & Bloor 1995), and it determines the participants and circumstances that can be included in the sentence. A number of transitivity processes occur in language. These are summarised below.

**Material processes** express actions and may be active or passive. The following participants are associated with material processes: **actor** who performs the action (see example 3.2 to 3.5), the **goal** to which the action is directed (see example 3.2), the **range**, which is a restatement or continuation of the process or indicates the extent of the process (see example 3.3), the **beneficiary**, which typically receives something from the process (see example 3.4) and the **agent** who initiates the process but does not act in the process (see example 3.5). The **circumstance** in a sentence indicates place, time or manner in relation to how, when or where the process took place (see example 3.2). The actors participate in the process in a number of ways depending on the process itself and whether it is in the passive or active voice. The example sentence in example 3.1 can be analysed in more detail as in the following example by referring to the specific process and participants:

We	dealt	last week	with the National Party
actor	material	time	goal

**Example 3.2. Material Process showing the circumstance *time* and the participant *goal***

She	dreamt	a dream
actor	material	range

**Example 3.3. Material Process showing the participant *range***

I	gave	him	the chocolate
actor	material	beneficiary	goal

**Example 3.4. Material Process showing the participant *beneficiary***

he	made	me	leave
agent	material	actor	material

**Example 3.5. Material Process showing the participant *agent***

**Mental processes** are any type of cognitive action or process. There are two participants: the **senser**, the active participant who must be a conscious human being, and the **phenomenon**, which is the item to which the senser is directing his or her attention. The following example, example 3.6, analyses a sentence containing a mental process.

He	understood	the concept
senser	mental	phenomenon

**Example 3.6. Mental Process With Phenomenon**

He	understood
senser	mental

**Example 3.7. Mental Process Without Phenomenon**

It is not necessary for the phenomenon to be included in a sentence (see example 3.7). It is also possible for mental processes to **project** a subordinate clause that can contain any other process type. In other words, another complete clause may follow a mental process verb. For example, 'He understood *that the concept was useless*'. The projected clause would need to be analysed separately.

**Behavioural processes** are physiological or psychological behaviour. Only two participants occur with a behavioural process. The **behavior** is the only obligatory participant. The **behaviour** either describes the process or is a restatement of it. Example 3.8 provides an example of a behavioural process.

He	smiled	a big smile
behavior	behavioural	behaviour

**Example 3.8. Behavioural Process**

**Verbal processes** depict verbal action. The participants are the **sayer**, who does the saying, the **receiver**, who is the recipient of the message and the **verbiage**, which describes what is said (see example 3.9). The receiver may be left out, as shown in example 3.10.

I	asked	you	a question
sayer	verbal	receiver	verbiage

**Example 3.9. Verbal Process (With Receiver)**

I	asked	a question
sayer	verbal	verbiage

**Example 3.10. Verbal Process (Without the Receiver)**

**Relational processes** are used to identify or describe something. There are two types of relational processes. The **attributive relational process** assigns a quality, classification or description to something (see example 3.11). The participants are the **carrier**, and the **attribute** which is assigned to the carrier. The **identifying relational process** defines its first participant, called the **token**, as being something, called the **value** (see example 3.12).

It	is	a nice way of looking at the relationship
carrier	relational:attributive	attribute

**Example 3.11. Attributive Relational Process**

The ANC	was	a revolutionary organisation
token	relational:identifying	value

**Example 3.12. Identifying Relational Process**

**Existential processes** identify something as existing. The only participant that these processes select is the **existent**, that which exists. The grammatical subject of the sentence is either the empty *there* or *it*. Example 3.13 contains an example of an existential process.

There	is	water	on earth
	existential	existent	place

**Example 3.13. Existential Process**

### 3.3.2 Theme

Halliday (1985a:37) considers **theme** the "point of departure of the clause". That is, theme contains the first elements of the clause, which indicate how the rest of the clause should be interpreted by the reader/listener. The choice of what should be first depends on what the writer/speaker wants to communicate about. Thematic analysis will show two facts about the data. Firstly, the topical choice of a text can be analysed. Secondly, some structural aspects of language are related to theme and therefore analysis of these aspects can shed light on the functions of the thematic structure in a text.

The identification of what constitutes theme has been widely debated within systemic functional theory as is evidenced by Berry's (1996) discussion of ten different views on thematic constituents. Some views include all elements up to the grammatical subject of the clause. Some views include the verb as part of the theme. Others see the first grammatical constituent as being the theme, whether it is the grammatical subject of the clause or not. Although there is a wide variety of views, most recognise that what constitutes theme will not include the finite verb of the clause. Everything that follows the theme is termed the **rheme**. For the purposes of the analysis (after Fries 1983,1994; Francis 1989; Francis & Kramer-Dahl 1991; Gomez 1994), the following definition will be used: "Theme is realized by the initial position in the clause; it includes the first element that has a function in transitivity [as defined in 3.3.1] (the 'topical theme') together with any elements that precede it" (Halliday 1992:328). The theme in clause 1 is thus **Most universities**.

1 **Most universities** are not big enough so they simply put the two together.

This definition provides a restricted view of theme. This allows for easy identification in terms of the standard Systemic Functional model in that theme is related directly to the transitivity system because theme is defined as the first element or participant in the transitivity system. This definition is also the most widely used in current Systemic Functional analyses of theme.

Theme itself is made up of three components which are associated with the three meta-functions described in the discussion of Systemic Functional grammar (see 3.2): textual, interpersonal, and topical (Halliday 1985b). The textual element of theme contains items that provide a conjunctive link between the theme's clause and others. The interpersonal element of theme indicates either the attitude of the speaker or it indicates the speaker's role-relationship in an interaction. The topical element is the part of the theme that is part of the transitivity structure and is therefore an ideational element of the sentence (see 3.2.1). Example 3.14 illustrates the three elements of theme. *So* performs the textual function, linking the sentence to what has been said before; *I think*, the interpersonal function, indicating that the sentence is an opinion; and *smoking* is the topical theme, indicating what the sentence is about.

So	I think	smoking	is a severe danger
Textual theme	Interpersonal theme	topical theme	

**Example 3.14. The Three Thematic Elements**

The general or unmarked order of thematic elements is textual, interpersonal and topical, as in the previous example. This order contrasts with marked themes, which contain elements indicating aspects such as time, place or manner. Since these contain an element which is part of the transitivity structure, the element is considered to be the theme and to perform the topical function. The following example, sentence 2, illustrates a marked theme:

- 2 **In previous times**, dominant parties tended to become single parties, in actual fact banning other parties.

*In previous times* thus becomes the theme since it is the first element of the clause which is part of the transitivity system. This element indicates circumstance, in this case, time. *Dominant party*, however, remains the grammatical subject of the sentence.

The rheme of a sentence is everything that follows the theme. In English, rhemes typically contain the point of what is being talked about or the new information that the speaker/writer wants to convey. In sentence 3, the rheme describes a fact about universities:

3      *Most universities are not big enough, so they simply put the two together.*

The context of this sentence was that the lecturer was discussing why, in some universities, there is an independent department of International Relations, while in others it is a part of the department of Political Studies. The rheme thus provides information about the theme of the sentence.

In relation to the field, the theme describes what a text is about. This is described as the 'method of development' of the text. "The 'method of development' of a text is the way the writer [or speaker] typically selects certain participants (human or otherwise) as theme at different points in the text" (Francis & Kramer-Dahl 1991:350). The choice of theme throughout a text "provide[s] a shifting framework which establishes for the reader what the text is about" (Francis & Kramer-Dahl 1991:350). Analysing the method of development involves examining the selection of lexis in the topical themes of a text to determine how they carry the discussion forward. The choice of theme is also related to the textual structure, addressed next.

Danes (1970,1974b) presents a method of thematic analysis which describes the patterns of thematic progression through the text. This is essentially a description of how each theme relates to the other themes and rhemes within the text. Danes (1970,1974b) discusses four basic patterns of thematic progression.

- The **linear theme** pattern - this is the most basic pattern. The theme of the succeeding clause picks up the topical content of the rheme of the preceding clause. In figure 3.2, the rheme of

the first sentence ( $R_1$ ) is picked up by the theme of the following sentence ( $T_2$ ). This pattern is repeated by the ( $R_2$ ) and ( $T_3$ ).

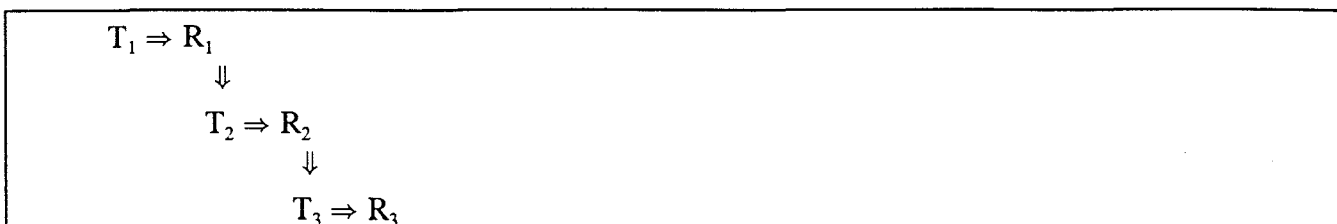


Figure 3.2. The Linear Thematic Pattern

- The **constant theme** - The theme of the succeeding clause picks up topical elements of the theme of the preceding clause although the same words may not be in all cases. In figure 3.3,  $T_1$  is picked up or repeated in  $T_2$  and again in  $T_3$ .

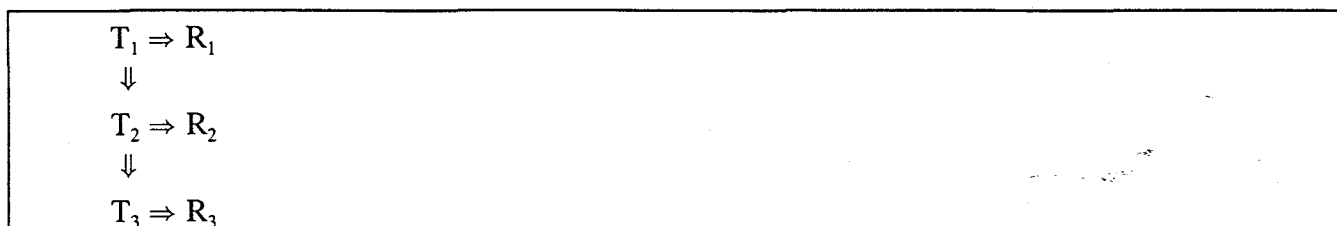


Figure 3.3. The Continuous Thematic Pattern

- The **split theme** pattern - The rheme is either implicitly or explicitly doubled. This results in a pair of thematic progressions (Danes 1970:138). In figure 3.4, the rheme of a sentence contains  $R_{1a}$  and  $R_{1b}$ . The topical content of  $R_{1a}$  is contained in  $T_2$  for the first sentence and the topical content of  $R_{1b}$  is contained in  $T_3$  for the second sentence.

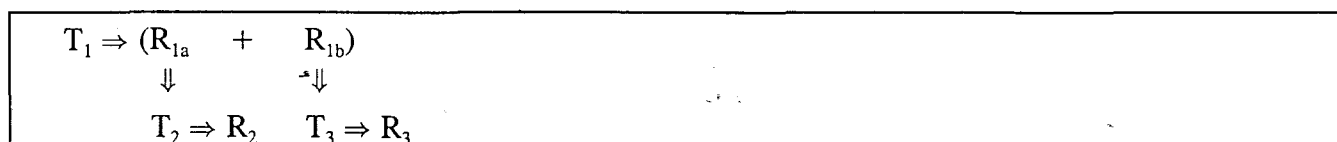


Figure 3.4. The Split Theme Pattern

- The **derived theme** - an introductory sentence (hypertheme) determines the themes, which are picked up in the following text.

Bloor and Bloor (1995) and Nwogu and Bloor (1991) claim that specific discourse functions are associated with the choices of thematic progression. For example, the continuous thematic pattern is often found in descriptions of various facts that focus on a particular person or thing (Bloor & Bloor 1995). The focus on one thing determines that it will be the theme which the rhemes will comment on. According to Nwogu and Bloor (1991), the linear pattern is related to explanation or argumentation.

Theme is essentially a textual or structural resource and thus the analysis of theme in terms of both method of development and thematic progression can describe the structural resources in functional terms in relation to field.

### *3.3.3 Lexical and Conjunctive Relations*

“Cohesive devices are those ‘non-structural’ devices that give text its texture and this distinguishes it from non-text. They provide links between various elements of the text” (Halliday & Hasan 1976:2). Cohesive devices are elements which link textual elements such as sentences and paragraphs together. The links are semantic in nature and help to construct the meaning of the text in which they occur by specifying the relationships between the various elements.

There are four types of cohesive devices that are generally recognised (Halliday & Hasan 1976). They are divided into two categories: the first category is grammatical cohesion, which contains the first three cohesive devices, namely, reference, ellipsis and substitution, and conjunction. The ways that these devices work in a text is determined by the mode of the text. For example, in a conversation there is frequent reference to the people taking part in the conversation. Reference to the speakers is reflected in the use of many first-person pronouns. This is unlikely to happen in a written text such as a newspaper report, which would use third-person pronouns. The second category of cohesive device is lexical cohesion, which is the relationship in a text between the various lexical items, that is, nouns, verbs, adjectives and adverbs. Lexical cohesion is related to the field variable because the lexical elements encode the events, objects and actions and people. Lexical cohesion was selected because it relates to the field and the insights can be combined with the results of transitivity analysis.

## a) Lexical Relations

Lexical cohesion employs the lexical resources of the language, that is, the nouns, verbs, adverbs and adjectives. The lexical items within a text contain the information that is being conveyed. The relationships between the lexical elements form semantic links throughout a text. The semantic relationship between any two elements allows for the interpretation of their role in the text and in relation to one another. Analysing lexical relations can show the topics that a discipline is concerned with and how these elements are related to each other.

The analysis of lexical relations in this thesis relies on the concept of taxonomizing the field. Martin (1991:316) notes that "one of the distinguishing features of any field, common sense or specialized, is the way in which it classifies experience". The relationships between the various nominal elements provide an insight into the analysis and classification of a discipline's field of investigation.

Taxonomic relationships are divided into classificatory and compositional relationships (Martin 1992; Eggins 1994). Classificatory relations create taxonomies based on subclassification, while compositional relations create taxonomies based on part-whole relationships. These relationships are summarised as follows:

### Classificatory (Superordination)

Hyponymy:	The relationship between two words is that one word refers to the superordinate class to which the other belongs. For example, <i>animal</i> refers to the superordinate class of which <i>cat</i> is a member.
Co-Hyponymy:	Words refer to members of the same superordinate class. For example, <i>cow</i> , <i>calf</i> and <i>bull</i> all refer to the superordinate class of <i>cattle</i> .
Same subclass:	Words are part of the same subclass eg. <i>puppy</i> and <i>kitten</i> would refer to young domesticated animals or pets.
Similarity:	Words are repeated through either <i>repetition</i> or <i>synonymy</i> .
Contrast:	There is a contrastive relationship between the two words, for example, <i>hot</i> and <i>cold</i>

## Compositional

Meronymy <sup>4</sup> :	Part of a whole: words relate to each other by one being part of a larger whole indicated by the other. For example, <i>arm</i> relates to <i>body</i> .
Co-Meronymy:	Both parts of the same whole, for example, <i>arm</i> relates to <i>leg</i> since they are part of the same whole, that is, a chair or person's body.

### b) Conjunctive Relations

The cohesive relation of conjunction has been chosen for the analysis because it has the potential to describe how the information in the lectures is presented through the logical relations that exist between the various elements of the texts. Information may, for example, be presented in narrative or explanatory form. The analysis of the patterns of the logical relations will show the form in which the information is being presented. Martin (1983:1) defines conjunction as follows:

Conjunction is the semantic system whereby speakers relate clauses in terms of temporal sequence, consequence, comparison and addition. These 'logical' relations may or may not be made explicit in a text. Nevertheless, most clauses in a text are related to some other clause through one or more of these relations.

Conjunctions perform two general functions within a text. The first function is to indicate the relation of external events to each other. These are encoded by **external conjunctive relations**. The second general function is to organise the text by indicating the internal logical relations between textual elements. These relations are encoded by **internal conjunctive relations**.

Within a text, conjunctive relations are realised by two different categories of constituents: conjunctions and conjunctive adjuncts. The defining feature of conjunctions is that they occur between sentences and cannot be moved to a position other than between sentences. In example sentence 4 *or* could not be

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<sup>4</sup>*Meronymy* is a term used almost exclusively within Systemic Functional Linguistics. It indicates a part/whole semantic relationship (Martin 1992).

moved to any other position for the relation between the sentences to hold. Words such as *and*, *but*, *because* and *or* make up the class of true conjunctions.

4                    You could drink the tea **or** may prefer to drink the coffee.

The class of conjunctive adjuncts contains prepositional phrases (for example, *in addition*), adverbs (for example, *firstly*) and nominal groups (for example, *the next time*). It is necessary, though, especially with the nominal groups, to interpret their function in context to determine if they do in fact indicate a conjunctive relation. Conjunctive adjuncts, while indicating conjunctive relations, may occur in a number of places in a sentence. *However* is a common adjunct which shows this variation in placement. The example sentence 4 may be written as sentences 5,6 or 7.

5                    You could drink the tea; **however**, you may prefer to drink the coffee.

6                    You could drink the tea; you may prefer to drink the coffee, **however**.

7                    You could drink the tea; you may prefer, **however**, to drink the coffee.

The relations between sentences need not be explicitly realised by conjunctions in order for the relationship to be understood. The following two sentences, in example 8, indicate that the person could choose to drink either the tea or the coffee. This is clear from the two sentences as they relate to each other within the context of suggesting drinks.

8                    You could drink the tea. You may prefer to drink the coffee.

The conjunction *or* could be used to show the relationship explicitly as in 9:

9                    You could drink the tea **or** you may prefer to drink the coffee.

Martin (1983,1992) provides an analytic model for conjunctions, which contains ten conjunctive types divided into four categories. These categories are augmented by internal/external and implicit/explicit classifications. The model provides a categorisation which is detailed enough to identify the general conjunctive patterns but is not so complex that the amount of detail obscures the pattern. The conjunctive categorisation is contained in table 3.1. **Additive relations** indicate sequencing of events,

**temporal relations** indicate relationships in terms of time of occurrence, **comparative relations** indicate comparison and **consequential relations** indicate cause and effect. **Paratactic** refers to the combination of two independent clauses. **Hypotactic** refers to the combination of a superordinate and subordinate clause.

The analysis of the conjunctive relations in a text involves identifying the relationships that hold between the sentences and then interpreting the pattern that emerges. A predominance of a particular type of conjunction, for example, external temporal conjunctions, would indicate that the text aims to describe, probably in narrative form, the way that a particular set of events unfolds. As with the other features analysed, the interpretation must be linked to the overall communicative purpose of the text.

	Internal	External/Internal Cohesive	Paratactic	Hypotactic
<b>Additive</b>				
addition	moreover in addition	and	and	besides
alternation	alternatively	or	or	if not .. then
<b>Comparative</b>				
similarity	equally, that is	likewise	so <sup>5</sup>	like, as, as if, like when
contrast	on the other hand	in contrast instead	but	where as except that
<b>Temporal</b>				
simultaneous	at the same time	meanwhile throughout	and meanwhile	while, when, as long as
successive	finally, at first	previously thereupon	then	after since, now that
<b>Consequential</b>				
purpose	to this end	to this end	modulation + so	so that lest so as in case
condition	then	then, otherwise	modality + so <sup>6</sup>	if, even if, unless
consequence	in conclusion after all	therefore for	so	because, as, since
concession	nevertheless admittedly	however, yet	but	although, in spite of
manner	in this way	thus	and thus	by, thereby

Table 3.1. Summary of Conjunctive Relations (from Martin 1992:129)

<sup>5</sup> This means *so* followed by a finite verb.

<sup>6</sup> This means *so* indicating probability or possibility

### **3.4 Conclusion**

This chapter has described Systemic Functional theory and some of the analytic theory developed from it. Systemic Functional theory provides the foundation for the methodology in Chapter 4, which describes the application of this theory to linguistic analysis. Systemic Functional theory takes a functional view of language, which allows the communicative purpose of a text to be described. Each genre has a specific communicative purpose. The lecture genre, which is the focus of this research, has the basic purpose of presenting information to students. Describing the linguistic realisation of the communicative purpose is central to the methodology outlined in the next chapter. Knowledge of this linguistic realisation can then be put to use for developing exercises for teaching academic literacy.

## CHAPTER 4: METHODOLOGY

### 4.0 Introduction

The purpose of this chapter is to describe the methodology of the research project. A number of points are addressed in this chapter:

- the research paradigm
- the data collection strategy
- the limitations of the study
- triangulation of the interpretations
- the application of Systemic Functional theory to textual analysis

### 4.1 Methodology

This section describes the methodology, the method of data collection, and the method of triangulation. Limitations and considerations of generalisability are also discussed.

#### 4.1.1 *Research Paradigm*

This research employs aspects of both quantitative and qualitative research paradigms; however, the qualitative paradigm is more dominant in the approach to the data analysis. Creswell (1994) contrasts the quantitative positivist paradigm with the qualitative constructivist paradigm. The quantitative paradigm sees and presents reality objectively. It is based on deductive logic, which works from theories or hypotheses and applies these to research situations. In contrast, the qualitative paradigm sees reality from a subjective perspective, which leads to the recognition of the possibility of different interpretations of the same data. In addition, the qualitative paradigm employs inductive reasoning to develop theories or hypotheses from the data that has been gathered. Stake (1995) notes that, although qualitative research is seen to be interpretive, and quantitative research to be statistical, within each paradigm there is use of both interpretation and enumeration.

The use of Systemic Functional linguistic theory to describe the lecture genre draws on the deductive logic of the quantitative paradigm. The qualitative paradigm was used in the actual data analysis and its validation. However, various grammatical elements had to be counted so that their patterns within the data could be identified and interpreted.

Although other methods of triangulation such as analysing students' essays could have been used, I chose an ethnographic approach, in the form of interviews with the lecturers. These interviews provided triangulation for the results of the analysis by gaining the insights of the people who produced lectures. Bryman (1994:53) describes ethnomethodology as an "approach to the study of social reality which takes people's practical reasoning and the ways in which they make the social world sensible to themselves as the central focus". As an aspect of the social world, language is central to creating the social world through communication. People will naturally have certain ideas about how they use language. Thus, the purpose of the interviews is to employ the lecturers' own view of their language use to provide corroboration for the results of the analysis (see 4.1.4.).

#### ***4.1.2 Research Method***

The study itself is essentially a case study. Creswell (1994:12) defines a case study as a study which "explores a single entity or phenomenon bounded by time and activity". The purpose of a case study is to "probe deeply and to analyse intensively the multifarious phenomena [of a unit] ... with a view to establishing generalisations about the wider population to which that unit belongs" (Cohen & Manion 1994:106-107). Therefore, this approach allows for the thorough analysis of a small amount of data (Adams & Schvaneveldt 1985). A case study allows for a more thorough qualitative analysis of the language than would be possible with a quantitative approach, which would only deal with countable surface features. A quantitative approach would also require a very large database, the preparation of which was not feasible in view of the small-scale research required of a Masters thesis. The case-study method also allows for a more holistic description of the data. Concentrating on one case does mean, however, that the results cannot be readily generalised to other cases (Adams & Schvaneveldt 1985:114) (see 4.1.5).

#### ***4.1.3 Method of Data Collection***

The data consists of twelve first-year lectures drawn from the discipline of Political Science. Four lectures from each of three courses were collected. The courses were South African Politics, Political Philosophy and International Relations. Each course was given by a different lecturer.

I approached the lecturers to seek permission to tape-record their lectures and to interview them subsequently for the validation of the results. I explained to them that the research was purely

descriptive and not evaluative in any way. It seemed necessary to emphasise this, because evaluation might be seen by the lecturers as a threat. In this regard, Cohen and Manion (1994) note that research ethics require that the researcher gain 'informed consent' (1994:354) from those who are being researched. Further, they note that "achieving goodwill and co-operation is especially important where the proposed research extends over a period of time" (Cohen & Manion 1994:355). For this research, access to a number of lectures and a follow-up interview were required.

All the lectures were given in a large lecture theatre. The lecturers all had a similar lecturing method in that they used a combination of overhead projector and blackboard along with their lecture. I attended each lecture and recorded it with a small field tape recorder. All the lectures were between forty and forty-five minutes long. The total amount of lecture data collected was approximately nine hours, at about three hours per course. After the lectures were recorded, they were transcribed and printed out so that they could be analysed.

#### *4.1.4 Triangulation*

To ascertain the accuracy and validity of the analysis, the interpretations were triangulated using a method which Stake (1995:115) terms 'member checking'. That 'member', in this case a specialist in the discipline, is asked to comment on the observations and interpretations. The purpose of 'member checking' is to "triangulate the researcher's observations and interpretations" (Stake 1995:115) by taking the results of the research back to the person from whom the data was gathered. This provides a view of the data from a viewpoint other than that of the researcher. Bhatia (1993) describes the purpose of using a specialist informant to validate the analysis and to provide a way of explaining the insights obtained from the analysis.

The interviews that were used for the triangulation of the data analysis took the form of discussions based on a summary of the results, along with relevant examples from the lectures. Adams and Schvaneveldt (1985:216) define a **focused interview** as a way of obtaining specific information. The interview is guided by an objective which, in this case, was to ascertain whether the lecturers agreed with the results of the analysis or not. Focused interviews are also characterised by the fact that questions are not prepared beforehand, but instead develop out of the discussion, and are aimed at eliciting specific information. For these interviews, the questions were guided by a summary of the

analysis (see Appendix A). Each point was explained to the lecturers in as non-linguistic a fashion as possible. The points were discussed in terms of their acceptability to the lecturers. Examples from each lecturer's own lectures were presented to them so that they could see how the interpretation was achieved. The interviews were tape-recorded so that if there were any elements of disagreement with the interpretation in the analysis, these could be addressed in the discussion of the validation in Chapter 5.

#### *4.1.5 Limitations*

The amount of data used in the analysis is relatively small and therefore it is not possible to generalise from the results. Furthermore, one lecturer from each sub-discipline was available. Thus, there may be an element of each lecturers' idiosyncratic language use that may affect the analysis. This was highlighted in one of the interviews, where the lecturer commented that different lecturers might choose to present a particular subject from a different perspective to the ones analysed here. However, the results do provide some insight into the lecture genre and the language that students are exposed to.

The analytic method only concentrates on a few of the possible discorsal and lexico-grammatical features that could be analysed. The picture that is built up is thus partial. It would need to be fleshed out by extending the methodology (see 6.3.1).

The interviews used for triangulation were relatively short and a limited amount of discussion could be conducted about the analysis. Because of this, it was not possible to do such an in-depth study with the lecturers. The interviews also provided a view of the lecture language from the lecturers' point of view and not from the students who are exposed to the lectures.

Since this study is exploratory, the results of these analyses can provide an indication of the direction that could be taken in future analyses of this sort. However, inferences could possibly be drawn from the results as to the probable linguistic characteristics of lectures in other disciplines. In addition, the study should show, with the analytic approach that was adopted, whether the characterisations could provide a basis for developing a more complete picture of the lecture genre.

## 4.2 Analytic Method

This section details the methods of analysis developed from an application of Systemic Functional linguistic theory (see Chapter 3).

The analysis of the data consisted of a number of broad steps, which are detailed next. I first analysed the schematic structure of the data. Following this, I analysed the realisation of field and mode in the data. For the analysis of field, I analysed the thematic selection in relation to the transitivity processes, the use of relational transitivity processes and lexical relations. For the analysis of mode, I analysed the patterns of thematic progression and conjunctive relations. Each of these steps is discussed in more detail in the following sections.

### 4.2.1 Schematic Structure Analysis

The analysis of the schematic structure is based on Swales' method of move analysis (see 2.3.3.) The procedure employed the following steps:

- dividing up the lectures into their three major constituent sections (introduction, discussion, conclusion)
- subsectioning the discussion section. The subsections were analysed as they related to each other, depending on their function within the discussion sections of each sub-discipline.
- further analysing the subsections of the discussion section into their functional components

The analysis focused on the discussion section of the lectures because firstly, there has been some research into the 'move' structure of lectures (Thompson 1994b) and secondly, not all lectures contained a separate concluding section. The analysis of the discussion sections could provide a description of the schematic structure of the lectures from two perspectives. These two perspectives are the generic characteristics of the lecture genre and the structural properties determined by each sub-discipline.

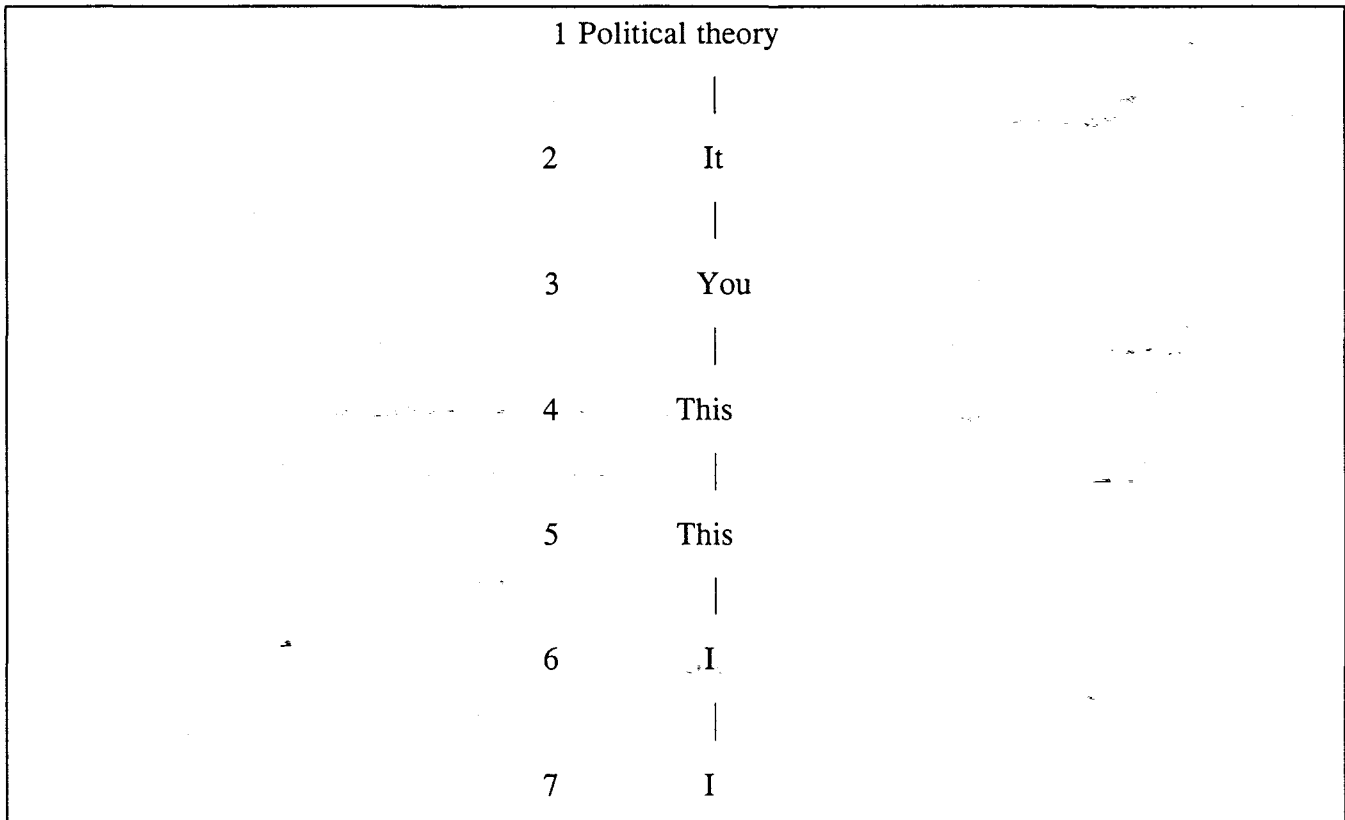
### 4.2.2 Theme

Analysing the thematic progression patterns (see 3.2.2) in the lectures meant determining the types of thematic progression in these lectures. Each of the lectures was analysed and the patterns were marked

out and subsequently interpreted according to the function that they play in structuring the information in the lectures. Text 4.1 provides an example. The themes are highlighted.

**Alright now, political theory**, which is the broader term for Political Philosophy. Political theory. You have things like Political Sociology as well. It's a social science, as is politics, and **it's** very important to look at politics in its larger framework. **You** have already had a look at two broader theories so far this year, and **this** is sort of logically prior to those other two that you did. **Ok, so this** kind of goes behind the scenes of what you have already looked at and asked questions about: why do you do the things that you do in politics. **Ok, so, as I said, I** just want to get a handle on the terminology and the methods of thinking about politics that we use in Political Philosophy and by implication in the other fields of Politics as well. **I'm** sure that you have figured out for yourselves that in politics that we are not all that interested in specific answers to questions.

**Text 4.1. Example of Thematic Progression**



**Figure 4.1. Themes From Text 4.1**

Figure 4.1 shows the themes from text 4.1 in the order that they occur. In figure 4.1, the first two highlighted themes relate to *political theory* (*political theory, it*). This forms a continuous thematic pattern. The pattern is broken by the introduction of *you* as theme 3. Following that, *this* is repeated for themes 4 and 5 and creates a new continuous pattern. Themes 6 and 7 are the personal pronoun *I*. This refers to the lecturer and forms another continuous pattern. The analysis of these patterns within the lecture in terms of their functions sheds light on the use of the structural aspect of theme.

#### **4.2.3 Conjunction**

All conjunctions (see 3.2.3) were tagged according to their function. The text extract (text 4.2) below shows tagged conjunctions. These were then counted to determine the proportional use of the various types of conjunction in the lectures. Following this, an analysis of the conjunctive patterns within the lectures was carried out with the distributional information as a guide. This was aimed at determining the semantic structure created by using conjunctions. The approach to analysing conjunctions is a combination of quantitative and qualitative methodologies. In this case, the occurrence of the various types of conjunction showed which type predominated in the data.

1 Right, ok, I am going to talk this week about further political actors. We dealt last  
2 week with the National Party. In my state of flu in which I was in last week, I  
3 managed to lose an extra slide I didn't show you about the National Party  
4 prospects and dilemmas [**but:concession**] I think that we'll come back to that  
5 at some other time. [**So:consequence**], what I am going to do today is to talk  
6 on... to start talking about the ANC, the PAC, the SACP, [**and:addition**] I might  
7 make one or two slight comments about AZAPO. You will, I think, find what I  
8 am talking about the ... these particular actors. I hope that you'll find the handout  
9 I gave you last week useful in serving as a guide to useful political organisations  
10 and times and so forth. You might have to struggle with my handwriting there  
11 [**but:concession**] I hope you will be able to follow the different organisations.  
12 I haven't indicated what all the acronyms stand for [**but:concession**] you will  
13 be able to find them in the various books on the reading list, [**but:concession**]  
14 if you do have any queries by all means call out.

#### Text 4.2. Tagged Conjunctions From An Introduction

Martin (1983, 1992) provides a graphical method of representing the patterns of conjunction in a text. Martin (1983, 1992) calls this diagram a **reticulum** (see figure 4.2) . He uses the following conventions when drawing up a reticulum:

- All internal conjunctive relations are represented on the far left, for example, internal additive or internal temporal relations.
- Line numbers and the external additive conjunctions are listed down the centre line. The external additive relations are placed in the middle because they are so common.
- All other external relations are listed to the right of the external additive conjunctions and the line numbers.
- The actual conjunction that occurs in the text is listed on the far right opposite the label indicating its type.

The reticulum in figure 4.2 contains the conjunctions shown in text 4.2.

<u>INTERNAL</u>	<u>EXTERNAL ADDITIVE</u>	<u>EXTERNAL</u>	<u>CONJUNCTION</u>
	4		
		concession	but
	5		
		consequence	so
	6		
	and		
	11		
		concession	but
	12		
		concession	but
	13		
		concession	but

Figure 4.2. Sample Reticulum From Text 4.2

As can be seen from the reticulum in figure 4.2, the conjunctions are presented in sequence of their occurrence in the text. This can then clearly show the pattern of the conjunctions through text. Table 4.1 provides a count for the types of conjunctive relations in the reticulum in figure 4.2 (see 3.3).

ADDITIVE	COMPARATIVE	TEMPORAL	CONSEQUENTIAL
1	0	0	5

Table 4.1. Count of Types of Conjunction From Figure 4.2.

#### 4.2.4 Transitivity and Thematic Selection

Two approaches were used to analyse the transitivity of the lectures. Firstly, the identifying and attributive relational processes (see 3.2.1) were counted to ascertain their frequency. This was intended to show whether there was a tendency to define (using identifying processes) or to describe (using attributive processes).

The second part of the transitivity analysis involved classifying and counting the topical thematic elements in each sentence (see 3.2.2). The type of transitivity process (see 3.2.1) for each sentence was also classified and counted. This allowed two things to be determined. Firstly, what types of theme were selected by a particular field, and secondly, which types of process occurred with which types of theme.

The classification of themes was based on a system developed by Taylor (1983). This approach is essentially the analysis of the method of development or typical thematic selection within the lectures. Many researchers use some method of categorising themes; however, they do not elaborate their methodology. Taylor, in contrast, provides an explicit list of categories that he developed in his analysis of school history and science text books. I slightly modified his categories to account for the thematic categories found in the spoken data use in this research.

The following theme types were used in the analysis:

- **things** (reference to organisations, inanimate objects etc..)
- **people** (reference to people, including pronominal reference)
- **events** (any event)
- **situations** (any situation)
- **concepts** (any conceptual element)
- **temporal** (indicating time reference)
- **exophoric** (pronouns that refer to either lecturer or students: *I, we, you*)

This list is a general semantic classification intended to capture the major types of topical thematic elements in the data. The purpose of this classification is to characterise the field of each sub-discipline according to its topical thematic selection. The following examples in examples 4.1, 4.2 and 4.3 demonstrate the division and labelling of the thematic elements and the accompanying transitivity processes.

The ANC	was banned	in the early 1960s
THEME	PROCESS	
thing	material	

**Example 4.1.**

All people	fear	death more than anything else.
THEME	PROCESS	
people	behavioural	

**Example 4.2.**

We	talked about	different views on international relations
THEME	PROCESS	
exophoric	verbal	

**Example 4.3.**

Once the data had been completely categorised, it was possible to describe the relation of theme to process. The selection of topical theme and process type could then be used to characterise the field of the lectures in each sub-discipline. A table such as table 4.2. was used to summarise the results of the theme and transitivity analysis.

	material	behavioural	mental	verbal	existential	relational	TOTAL
things	29	1	6	0	2	12	50.00
people	12	1	4.3	0	0	2	19.30
events	3	0	0	0	0	2	5.00
situations	4	0	0	0	1	2	7.00
concepts	2	0	0	0	3	0	5.00
temporal	0	0	1	1	0	0	2.00
exophoric	6	0	5	3.4	0	0	14.40
TOTAL	56.00	2.00	16.30	4.40	6.00	18.00	

**Table 4.2. Example of Theme and Transitivity Analysis<sup>7</sup>**

In table 4.2, each thematic type is listed down the left and the six process types are listed across the top. The percentage of occurrence of each of the combinations is recorded in the corresponding block. These are then totalled on the right and along the bottom. In table 4.2, for example, themes referring to people occurred approximately 12 % of the time with material processes. This indicates the amount of time the field concentrates on the actions of people. Themes referring to situations and events occurred with material, existential and relational processes. This shows that the description of situations and events is another concern of this field.

#### **4.2.5 Lexical Relations**

Analysing lexical relations (see 3.2.3) involved, firstly identifying all the nouns that were semantically related to each other. Chains of related nouns that run throughout the data are then identified. These are termed **lexical chains**. After the lexical chains were identified, the taxonomic relationship between each noun in the chains was then determined. The number of chains, their lengths, their contents, and their position in the lectures were also analysed. The information provided by this analysis shows the choice of topic, the elements of the field that are taxonomised and how the topics are spread through the lecture. Figure 4.3 shows a small lexical chain. The diagram is used in Systemic Functional analysis

<sup>7</sup> Appendix B contains a breakdown of the numbers of themes and conjunctions in each lecture.

to show the relationships between the elements of lexical chains (Martin 1992; Eggins 1994). In the diagram, the lexical elements with the relationships noted between each of them.

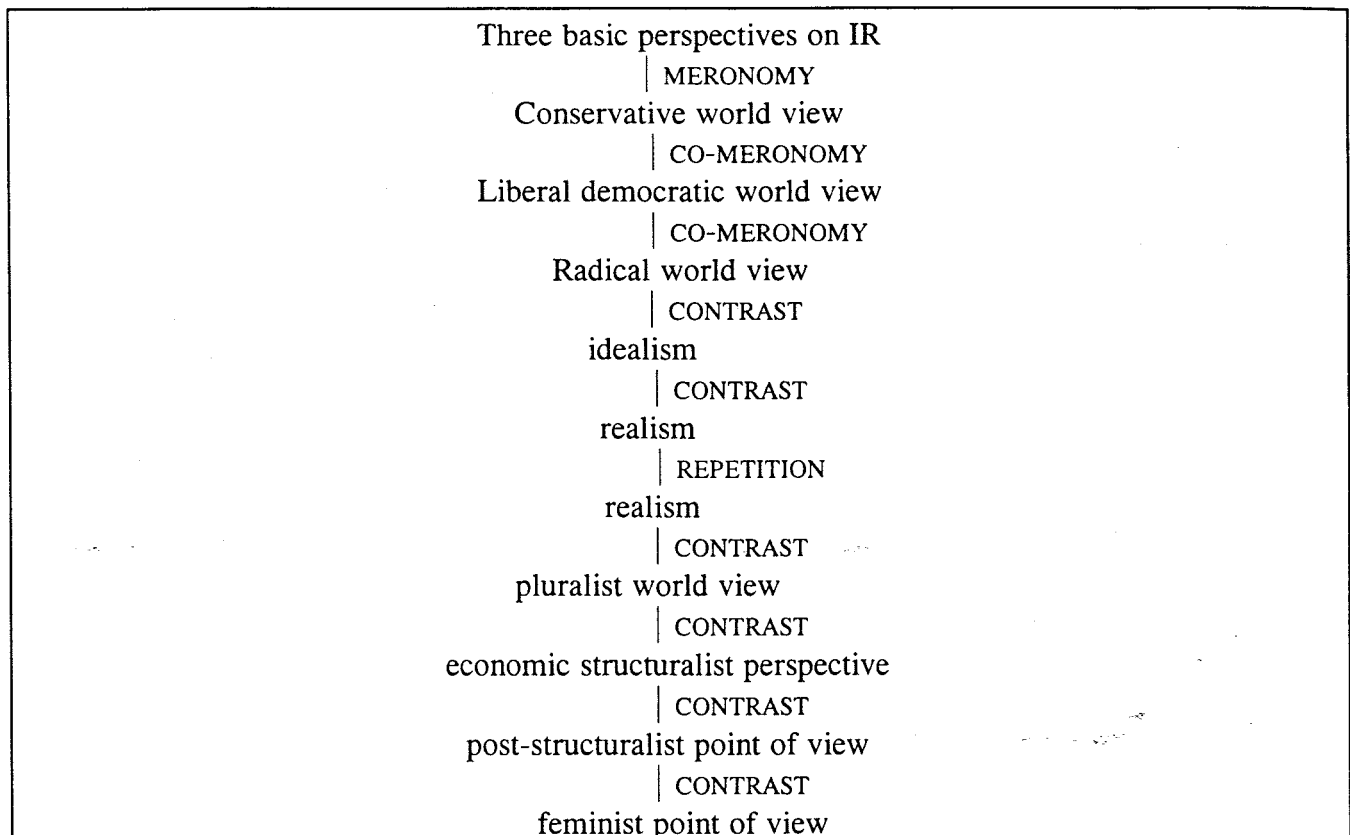


Figure 4.3. Lexical Chain From Text 4.3

We know from the different perspectives on IR that there are basically three world views that go along with the **three basic perspectives on IR**. **Conservative world view**, a **liberal democratic world view**, and a **radical world view**. Historically we know that **idealism** gave way to **realism** after 1945 and we know that **realism** has dominated the field of study, though it has increasingly been challenged by your liberal...your **pluralist world view perspective**. It has increasingly been challenged by your radical... your **economic structuralist perspective**. And if you want to talk about the 1990s, even though we are not going to cover that, these are perspectives in the making. These are not fully developed perspectives. These are **post-structuralist point of view** and there is a **feminist point of view** in the study of International Relations even though we will not touch on that.

Text 4.3. Extract Indicating A Lexical Chain

The lexical chain in figure 4.6 shows the lexical chain highlighted in text 4.3. This lexical chain centres around the elements relating to the *three basic perspectives on IR [International Relations]*. Each of the elements in the chain are related to this through the meronymy relation. That is, they are all part

of the basic perspectives that are taken on International Relations. This relation forms the basis for the taxonomy of this particular area of international relations. Within the chain itself, the various elements contrast with each other in that they are mutually exclusive. That is, for example, one can hold either *an idealist* or *a realist*.

#### **4.3 Conclusion**

In this Chapter I have reviewed the methodology which I used to analyse the data and provide triangulation for the results of the analysis. I used a Systemic Functional approach to analysing the field and mode of the data. To validate the analysis, the results were triangulated by interviewing the lecturers to obtain their reactions to the results. Chapter 5 presents the results of the analysis and the validation of the results.

## CHAPTER 5: RESULTS OF THE ANALYSIS

### 5.0 Introduction

This chapter presents the characterisation of the language used in the three modules of the first-year politics course. The chapter is divided into the following sections:

- Preliminary observations of the lectures
- Schematic structure of the data with respect to generic characteristics and the characteristics influenced by field
- The realisation of mode in the data
- The realisation of field in the data
- The validation of the analysis
- A summary of the analysis and comparison of the language of the three sub-disciplines as it is reflected in the three modules

This chapter is divided into the following six sections. The first section (5.1) discusses preliminary observations of the data. The second section (5.2) discusses the analysis of the schematic structure of the lectures. This section is further divided into a section discussing the generic structure and a section dealing with the structures associated with each sub-discipline. The third section (5.3) discusses the analysis of mode as it is realised in the data. Here thematic progression and conjunctive relations are discussed. The fourth section (5.4) of the analysis discusses the realisation of field in each of the sub-disciplines. In this section, thematic selection, transitivity and lexical relations are discussed separately for each of the sub-disciplines. Following this, the results of the validation (5.5) and a summary of the analysis is presented (5.6).

The following list presents a summary of the technical terms used in this chapter. Even though these terms have been defined and exemplified in chapters 3 and 4, they are presented here for ease of reference.

- **Taxonomy** refers to the way that various elements of a particular field of investigation are related to each other.
- **Conjunctions** are the logical connectors that indicate the logical relations between elements of a text.

- **Internal (Conjunctive) Relations** are conjunctive relations that indicate the logical relations between the elements of the text.
- **External (Conjunctive) Relations** are conjunctive relations that indicate the logical relation between the elements of reality that are being discussed.
- **Transitivity** is the type of verbal process (material, behavioural, mental, verbal, relational, existential) represented by the verb. Transitivity also includes the participants involved in the process and circumstantial elements indicating time, place or manner.
- **Theme** is the first grammatical element in a sentence that is part of the transitivity structure.
- **Rheme** is all elements to the right of the theme in a sentence, including the verb.
- **Carrier** is the first participant in an attributive relational process.
- **Attribute** is the second participant in an attributive relational process in which the second participant is presented as attribute of the carrier.
- **Token** is the first participant in an identifying relational process.
- **Value** is the second participant in an identifying relational process. The second participant defines the token.
- **Mode** is the medium, either spoken or written, in which a text is produced.
- **Field** is the topic discussed in a text.

The following abbreviations have been used in this chapter to denote the lectures that make up the data: SAPol (South African Politics), PolPhil (Political Philosophy), and IR (International Relations). Each of these is followed by a number to indicate the particular lecture. For example, IR 4 is the fourth lecture from the International Relations data.

### 5.1 Preliminary Observations of the lectures

A preliminary observation of the modules of South African Politics, Political Philosophy and International Relations shows that they are based on different disciplines. The South African Politics lectures are essentially historically based. They deal mostly with South African political history and trace the events that have led up to the current political situation in South Africa. The lectures on Political Philosophy are based on the discipline of philosophy. This module deals with the political theories of a number of philosophers. Philosophical theories are generally based on argument to justify their point of view and this is demonstrated in the analysis below. International Relations as another

sub-discipline of political studies is concerned with the relations between states. This module is concerned with introducing the major concepts of International Relations. These lectures are concerned specifically with the causes of conflict between states.

## 5.2 Schematic Structure

All the academic lectures in this data have a characteristic schematic structure; however, each discipline superimposes its own structure on this general structure, which seems to be a result of the effect of field. This schematic structure will be called **field-specific schematic structure**. The overall schematic structure is discussed in this section, and this is followed by a discussion of the various structures specific to the sub-disciplines. The discussion of mode (in section 5.3) further elaborates on the way that the structure of the lectures is developed.

### 5.2.1 Generic Characteristics

Broadly, the lectures can be divided into three main sections.

- The **introduction** orients the contents of the present lecture to previous lectures.
- The **discussion section** is divided into a number of subsections which present the actual lecture content.
- The last section is a **conclusion**, which may either summarise the contents of the lecture or just indicate that the lecture will continue in the next session.

The analysis of schematic structure in this thesis concentrates on the discussion section of the lectures. There are two reasons for this. Firstly, there has been some research into the structure of lecture introductions (Thompson 1994b). Secondly, not all of the lectures in the data contained a conclusion. This meant that it was not possible to develop a complete enough analysis of lecture conclusions.

The discussion section of the lecture is divided into a number of subsections. Each section has an identifiable internal structure which is the similar for all the subsections. The start of each section is indicated by a continuative (for example, *so, ok, right, alright, now*) followed by the announcement of the topic that the subsection will deal with. Sentences 1 to 3 show how each subsection is begun.

- 1 Alright now, political theory[...] (PolPhil 1)
- 2 Right, the international system[...] (IR 4)
- 3 Now, the decentralised and somewhat incoherent nature of the UDF[...] (SAPol2)

### **Examples of continuatives introducing a new section**

Each subsection is divided into a number of functional moves, which describe its structure. The functional moves that make up each subsection are as follows:

- **Introduce Topic:** This move is the beginning of the subsection where the start of a new topic is indicated.
- **Structure Discussion:** This move, which may be repeated within the subsection, indicates how the discussion will be structured.
- **Present Content:** This move contains the actual content or information in the subsection.
- **Summarise/Evaluate Content:** This move concludes a subsection by either evaluating or summarising the previous discussion.

The pattern of moves contained in each subsection can be seen repeating itself at two main levels throughout the lectures. At a global level, there is the introduction, discussion and conclusion to the whole lecture. At the lower level this occurs with the introduction of a sub-topic, discussion and summary of each subsection. The texts 5.1, 5.2 and 5.3 demonstrate the pattern of functional elements that make up the subsections of the discussion section.

### **Move Analysis of a Subsection of a Lecture**

#### *Introduce topic*

Now, if we are looking at the ANC after 1990, there are a number of issues the ANC had to deal with.

#### *Structure discussion*

We will just look at some of the issues that the ANC was having to deal with.

#### *Structuring discussion*

First of all, the ANC had to come and expand its membership and establish its organisation.

#### *Introduce sub-topic*

Now, if we think.... and membership is actually quite a fluid concept.

#### *Present content*

If we're being very strict, we would say that a member of the ANC is someone who has paid their twelve rands to join the organisation. And yet there are many in the population who haven't paid their twelve rands, who would say, "Yes, I'm a member of the ANC. I give my political loyalties there. It's part of the tradition in which I actually live".

#### *Summarise and evaluate content*

So it's a fairly fluid concept.

**Text 5.1. from SAPol 3**

### **Move Analysis of a Subsection of a Lecture**

*Introduce topic*

Now traditionally, the... in order to qualify as a state actor, a nation state actor,

*Structure discussion*

you needed to have a number of... demonstrate a number of features. You needed to have a number of characteristics. In order to qualify as a state actor in international affairs,

*Structure discussion*

you first of all need to enjoy sovereignty.

*Present content*

Sovereignty again, as we have said, sovereignty is simply the power to impose and enforce your own laws without any interference from outside, on your territory and your people.

*Structure discussion*

Secondly,

*Present content*

in order to qualify as an actor, state actor, you need to, as a state, as a nation state, control your own territory and your own people. You enjoyed sovereignty, but also you have to show, you have to demonstrate that you as a state are in physical charge of the borders and the people living within those borders.

*Structure discussion*

And the third characteristic

*Present content*

a state has to demonstrate before it can hope to become a member of the community of nations, a recognised state actor, is you need the recognition of others - of other states in the international system. You need diplomatic recognition as a third characteristic. You need to possess diplomatic recognition. A large... a substantial number of other states need to have recognised you as a power in charge of a territory and a people. Once a state can demonstrate that it has these three characteristics, it must then go on to show that it can function as an actor in international affairs. A functioning state needs to show that, first of all, it has one government[...]

**Text 5.2. from IR 4**

### **Move Analysis of a Subsection of a Lecture**

#### *Introduce topic*

Now, the third law of nature...

#### *Present content*

Right, this states that men perform their covenants they have made. Very simple... without which covenants are, we are saying, but empty words. ...And the right of all men to all things remaining ... They are still under the condition of law. So, he says, once you've entered into this promise, this covenant that at some stage you are going to perform these conditions, you can't back out of it because otherwise there wouldn't be any point to it. Ok, so, rights are only transferred voluntarily and also, according to Hobbes, only in the hope of getting something back.

#### *Summarise content*

Ok, so we don't just go round doing this for no reason. It's because we are definitely going to get something back for doing it.

#### *Introduce sub-topic*

Now,

#### *Present content*

the only rights which we cannot transfer and this goes back to your question, is the right to defend our lives when they are in danger. So, the third law of nature, that you keep your covenant once you have made it, is only binding in conditions of security. And in Hobbes' view of society, security at this level can only exist where there is a power strong enough to force those who do not keep their covenant to do so, and you can force them to do that through fear, fear of punishment, fear of harm.

#### *Summarise content*

So, there has to be an evil sufficiently great to make it worth their while to keep their covenants.

### **Text 5.3. from PolPhil 2**

Although the pattern of moves may vary slightly among the subsections within each lecture, texts 5.1, 5.2 and 5.3 demonstrate that all the subsections follow a general structure. In other words, a general pattern occurs in all subsections of the discussion section. This provides a structured way in which to present the information contained in each lecture.

The structural features discussed in this section characterise each lecture in the data. These structural similarities can be seen as providing the structural elements that identify the lectures in this data sample as members of the lecture genre.

### ***5.2.2 Field-Specific Characteristics of Schematic Structure***

This section provides an analysis of the structure of the discussion sections from the point of view of the field with which they deal. As will be seen below, each sub-discipline superimposes its own structure on the schematic structure of the discussion section as described in 5.2.1. Each sub-discipline (South African Politics, Political Philosophy and International Relations) is discussed separately.

#### **a) South African Politics**

The four lectures on South African Politics are structured around sequencing of events in time. Thus, each subsection of the discussion section of the lectures is temporally related to the preceding and succeeding ones. These periods are ordered sequentially from earliest to latest within the lectures. The actual indication of time within the lectures is discussed in 5.3.2 in connection with the lexical relations analysis. Texts 5.4 and 5.5 present the structure of two of the lectures to demonstrate this structure.

## Schematic Development of a South African Politics Lecture

*Introduction : relate to previous lecture(s) and point to this lecture*

... yesterday we started talking about the ANC as a political actor and we had been talking about the phase in the 1930s which we called the elite nationalist phase. And we are now going to look at the ... briefly at the radical nationalism phase from 1945 to 1960 [...]

*New topic [1940s-1950s]*

Now, the origins of this shift from elite nationalism to radical nationalism lie, I think, very much in the changing conditions of the war period [...]

*New topic [1940s-1960s]*

We're particularly interested in the development of the ANC or the birth of the ANC Youth League in 1943, with its particular emphasis on what was termed Africanism [...]

*New topic [1960s]*

Now let's look at the... if you like... the shift in the liberation movement. The ANC was having to move from being a mass movement internally to becoming a liberation movement. The ANC is banned. It can no longer operate as a movement within South Africa [...]

*New topic [late 1960s/early 1970s]*

So there was a lack of a mass base, a lack of a mass impulse. Many of the people who were outside the country... were, if you like, seeing South Africa through the eyes of the 1950s and the nature of the regime then [...]

*New topic [1970s]*

Now if we look at radical democracy, the radical... the democratic component. We've seen that there is both continuity and discontinuity with the past [...]

*New topic (events co-occurring with previous section)*

I've mentioned previously... very important... and in the terms of the development of radical democracy within the country... is the emergence of the black trade union movement after the Durban strikes in 1973 [...]

*New topic [1980s]*

Now, the decentralised and somewhat incoherent nature of the UDF. It has many qualities. It is popularly based. If you like, its a little bit flabby [...]

**Text 5.4. From SAPol 2**

## Schematic Development of a South African Politics Lecture

*Introduction : relate to previous lecture(s) and point to this lecture*

Ok, well, I was talking about the... well, I was about to talk about the fifth phase in the development of the ANC and that is the ANC as the political party of government [...]

*New topic [after 1990]*

First of all, we have in the ANC after 1990, really a tension between the liberation model, in other words, the ANC as a liberation movement, which involves a stress on unity, the unity of the movement [...]

*Continuation of topic [after 1990]*

Now, if we are looking at the ANC after 1990, there are a number of issues the ANC had to deal with. We will just look at some of the issues that the ANC was having to deal with [...]

*Considerations of particular situation [after 1990]*

Again, the defining relationship with the South African Communist Party was important. The South African Communist Party was itself an exile organisation, had been in close association with the ANC [...]

*New topic [1996/7]*

Now, finally then, if we are looking at the ANC now, it's had to transform itself from a liberation movement into a political party [...]

*Conclusion*

Ok, well, I am going to talk about the Inkatha Freedom Party. I don't like having to do it without the slides [...] [the lecture ended here because the overhead projector stopped working]

### Text 5.5. From SAPol 3

As can be seen from each section, the lectures are constructed around time periods which are labelled and introduced at the beginning of each section. Of necessity, the sequence of events means that the discussion must be based around their temporal relationships.

The other two South African Politics lectures showed the same field-specific structuring. Texts 5.6 and 5.7 are abbreviated extracts from these lectures which show the same progression through time. The only difference among the four lectures in terms of their progression through time is that some lectures dealt with more time periods than others. This meant that there was a difference in the number of sections in the discussion section that indicated discussion of a new time period.

*The first period of primary resistance: the end of the 1800s, beginning of the 1900s*

Now, let's look at the first period again. What I am not doing ... what I am not trying to do is give a complete history. Let's look at the period of primary resistance [...]

*The period of elite nationalism: after about 1910*

And so that brings us to the period of elite nationalism, and this is founded essentially upon the recognition of the fact of African military defeat [...]

*The development of the ICU in the 1920s*

These were to coalesce in the ICU, the Industrial and Commercial Workers Union of Africa lead by Clements Cadley [...] The ICU developed particularly on the Rand in the mid 1920s [...]

**Text 5.6. Abbreviated Extract From the Discussion Section of SAPol 1**

*The collaborationist tradition up to the late 1980s*

In recent times, Inkatha and the other homeland regimes have been central to the elaboration of this tradition. Of course, what we are talking about with the collaborationist tradition[...]

*Inkatha in the 1970s*

If we are looking at Inkatha, we have got something rather different. First of all, Inkatha, since its more recent foundation in the early 1970s, has asserted the value of its particular ethnic tradition. Zulu ethnic tradition within the idea of a broader South African nationalism.

*Inkatha in the 1980s*

And then of course, yes, we know now, and it's come out very clearly in the Truth Commission, that the IFP was heavily involved with the connection with state security in its competition with the UDF and COSATU in the 1980s.

**Text 5.7. Abbreviated Extract From the Discussion Section of SAPol 4**

**b) Political Philosophy**

The discussion section within the four Political Philosophy lectures develops along the lines of an argument. A position is stated, which is then developed and substantiated throughout the lecture. Each subsection adds a new element to the justification of the stated initial position. The following examples of two of the lectures, in texts 5.8 and 5.9, demonstrate this progression.

## Schematic Development of a Political Philosophy Lecture

*Introduction : relate to previous lecture(s) and point to this lecture*

Ok, today we are going to do an introduction to political philosophy. I'm sure this is a pretty foreign field to most of you, with the exception of those of you who are actually studying philosophy [...]

*Introduce topic:*

Alright, now political theory, which is the broader term for political philosophy... political theory... you have things like political sociology as well [...]

*Continues introducing the topic*

Now the central question ... the key to look at in political philosophy or the central issue that we are interested in is a moral evaluation of political power. What is a moral evaluation of political power? [...]

*Develops from the moral evaluation of power*

So, we're interested in subjective laws or the way the government functions and other types of political power [...]

*Develops from the analysis of political power:*

So, the reason we want to do this is to limit them in what they may or may not do. So, these moral requirements are intended to limit what a government can do. So, because we are talking about the question of ethics, we are talking about a branch of moral philosophy or ethics [...]

*Develops from looking at ethics:*

So, how should people behave? We are interested in how they do behave but in this field we are interested obviously in how they should behave [...]

*Introduce topic of how to answer the questions:*

Before we do that, he talks about moral action. So, in answering these questions, we need to find approaches to answering... philosophical approaches to answering them [...]

*Develops from approaches to answering the philosophical questions*

Right, deontological criteria... the deontological approach to philosophy comes from the Greek word "deon" which means duty, or obligation [...]

*Develops from approaches to answering the philosophical questions*

Now, second, all the teleological criteria, or the teleological approach to political philosophy [...]

*Introduce topic: utilitarianism*

The doctrine of utilitarianism is that we in society ought to get the greatest good of the greatest number [...]

*Conclusion*

Ok, so let's go back to these questions of political philosophy [...]

**Text 5.8. from PolPhil 1**

## Schematic Development of a Political Philosophy Lecture

*Introduction : relate to previous lecture(s) and point to this lecture*

Ok, today we are going to deal with the laws of nature and what Hobbes calls the social contract [...]

*Introduction continued*

So how did he arrive at this conclusion? Ok, what we talked about last week on Thursday, Hobbes' view on human nature and how that leads him to the conclusion of the state of nature [...]

*Introduces the reason for Hobbes' laws of nature (not mentioned here)*

Ok, so, in order for people to get out of the state of nature into something a little bit more pleasant, it must be in the interests of everyone [...]

*Develops the laws of nature*

Right, so how are these laws derived? We also said in the last lecture that human desire is infinite. Remember, it goes on and on and on until people die [...]

*Extension of discussion of laws of nature*

Ok, there are actually nineteen laws of nature which Hobbes talks about in chapter fourteen and fifteen of Leviathan [...]

*Second law develops out of the first law*

Now the second law of nature develops on the first part of the first law of nature, seek peace and follow it [...]

*Introduce concept of covenants/contracts*

Now, before Hobbes goes on and deals with his laws of nature, he first of all, in chapter fourteen of Leviathan, has this little section on the definition and terminology of contracts [...]

*Third law is related to contracts*

Now, the third law of nature. Right, this states that men perform their covenants made. Very simple - without which covenants are, we are saying, but empty words [...]

*Return to other laws of nature*

Ok, the last thing, and I will go through this quickly, is the other laws of nature [...]

*Conclusion*

So the most important laws of nature for our purposes are the first three, seek peace and follow it, and if you can't, revert to the right of nature [...]

### Text 5.9. from PolPhil 2

The other two Political Philosophy lectures showed the same field-specific structuring. Texts 5.10 and 5.11 are abbreviated extracts from these lectures which show this pattern.

*People need a reason to follow the rules of nature*

So, on a purely utilitarian calculation, people are not going to follow those rules of nature, even though they know what they are because it is not in their immediate interest to do so. So, that's how Hobbes resolves this paradox[...]

*That people don't live in the state of nature develops out of the fact that the state of nature is war*

So, in terms of Hobbes' concept of human nature, the laws of nature will not be followed unless there is a system of sanctions, and by sanctions he means rewards and penalties which would make it personally advantageous for people to obey those laws[...]

*New topic: demonstrating the philosophical reasoning process (as used in the lectures)*

Remember, we started off, when we started talking about Hobbes, we started talking about his conception of human nature. And we said, if the nature of people is this, then the state of nature would be like this, warlike, nasty and all that, and therefore people wouldn't want to live in the state of nature for these reasons, and therefore, the powers of government works. So, can you see how this process works[...]

*Hobbes develops the concept of a commonwealth from the fact that people don't live in the state of nature*

So, the institution of the Sovereign or the Commonwealth. Ok, how do you get to this commonwealth? And how do you get the Sovereign?[...]

#### **Text 5.10. Abbreviated Extract From PolPhil 3**

*Topic: the rights of the people in Hobbes' civil society.*

Ok, so...what is the condition of the subjects....in this civil society with this extremely tyrannical... strong sovereign? What rights do they have if they have any rights [...]

*Their rights develop out of Hobbes' concept of freedom (in the state of nature)*

Ok, so, first of all, Hobbes talks about the liberty of the subjects and he goes back to his conception of freedom that we spoke about right in the beginning. And for Hobbes, as I said before, the rights of somebody consist of the freedom to do something [...]

*Freedom develops from the absence of certain covenants between the sovereign and the people*

Ok, now, the liberty of the subjects consists in the freedom from or absence of covenants. Hobbes says that justice only really consists of covenants[...]

#### **Text 5.11. Abbreviated Extract From PolPhil 4**

### **c) International Relations**

The discussion section in the four International Relations lectures seems to be based on observations of the nature of international interaction. These observations are continually supported and illustrated by citing appropriate examples. The field-specific schematic structure of the lectures follows a pattern in which an observation is presented (e.g. individual leaders' personalities can cause conflict) and then examples are provided to support this observation (e.g. the actions of Saddam Hussein of Iraq). The

structure is thus based on the elaboration of specific points. The following two lectures (text 5.12 and text 5.13) from the International Relations data demonstrate this topic-elaboration structure.

### **Schematic Development of An International Relations Lecture**

*Introduction : relate to previous lecture(s) and point to this lecture*

Ok, what did we say last time? We basically in our introduction talked about different views on international relations [...]

*Topic: individual leaders as causes of conflict*

Right, so what causes conflict? Is it individuals that cause international conflict? Is it individuals that cause it? Are leaders responsible for wars? [...]

*Elaboration: individual leaders causing conflict*

The first war that took place between African states - two African states, Tanzania and Uganda - was a war that took place between the Uganda of Idi Amin, a dictator, and the Tanzania of Julius Nyerere. Is it Idi Amin the dictator who made territorial demands on Tanzania who is responsible for that war? Hitler, had there been no Hitler, would there have been no Second World War? [...]

*Topic: states cause conflict*

Now, the economic structuralists, we know, concentrate more on the economic organization of society. And to them the cause of conflict in international affairs lies in the economic system states manage [...]

*Elaboration: African states*

Africa. At one stage some African states thought there would be a third way for Africa [...]

*Elaboration: neutral country drawn into conflict*

There are examples of states which wanted to keep out of it but were simply drawn into conflict because of the nature of international conflict at the time [...]

*Topic: international systems cause conflict*

Now, there are some international political systems which are more prone to conflict than others [...]

**Text 5.12. from IR 3**

### Schematic Development of An International Relations Lecture

*Introduction : relate to previous lecture(s) and point to this lecture*

Right, what were we talking about last time? We were talking about who causes conflict, what causes conflict in international affairs [...]

*Topic: international systems that cause conflict*

Right, we had started talking about particular international systems which promote conflict. We did talk about the colonial imperial system which came to the fore after the infamous conference of Berlin in the early 1880s, after which the big states of world politics then were given free licence to colonise [...]

*Elaboration: the cold war*

Another period of conflict, in the international system which produced conflict, was the bipolar period of starting round about 1947-1990. The bipolar period of the cold war, again, was the international system which saw big power competition at the top [...]

*Elaboration: effects of the cold-war*

You take the divided countries of the cold war of this bipolar system, you are talking about Germany...became two states, one capitalist, one socialist in 1948 [...]

*Elaboration: other effects of the cold-war*

There were other crises, major crises which showed up the conflictual, inherently conflictual nature and dangerous nature of the international system at the time. There was the Hungarian crisis on 1956 [...]

*Topic: cooperative international systems*

But there are also international systems which are generally cooperative rather than conflictual. Competitive and cooperative rather than conflictual. A golden period of cooperation in the international system is one that stretches for nearly a century from 1850 to 1914 [...]

#### Text 5.13. from IR 4

The other two International Relations lectures showed the same field-specific structuring. Texts 5.14 and 5.15 are abbreviated extracts from these lectures which show this pattern of topic followed by exemplification.

*Topic: conflict in the international system*

What we said last week is that there are factors within the international system which will favour conflict or cooperation in that system. In other words there is the system's structure to consider, structure meaning the distribution of power. The actors of a particular system. The distribution particularly between the big powers of that system and that will make that system either bipolar, multipolar or unipolar depending on the distribution of powers [...]

*Elaboration: small countries in conflict*

We talked about the small players, the small states in such a situation who often seek allies beyond their region in order to internationalise their conflicts [...]

*Elaboration: larger powers in conflict*

We talked about middle powers such as China and France during the Cold War, who could be seen as modifiers of the international system - the bipolar system, who separated themselves away from the two military alliances at the time [...]

*Elaboration: the role of South Africa*

And we posed the question about the Post-cold War system now. Could South Africa play the role of a modifier of conflict in today's international system? [...]

#### **Text 5.14. Abbreviated Extract From IR 1**

*Introduction: what a state has to do to qualify as a functioning state*

Now traditionally, the ... in order to qualify as a state actor, a nation state actor, you needed to have a number of...demonstrate a number of features[...] Once a state can demonstrate that it has these three characteristics, it must then go on to show that it can function as an actor in international affairs. A functioning state needs to show that first of all it has one government [...]

*Elaboration: instances where there are two governments*

Now that may seem odd for the moment but there are instances in history where there have been two governments speaking on behalf of the same territory and people[...]

*Example: the nationalist Chinese government in Taiwan*

Take for instance, nationalist Taiwan, nationalist Taiwan [...]

*Example: Poland had two governments during the Second World War*

During the Second World War, Poland had two governments in exile. You can have something like a government in exile... speaking on behalf of the Polish people under occupation in... under German occupation ... Nazi occupation in Poland. ...two governments in exile. A government in London and a government in Moscow [...]

#### **Text 5.15. Abbreviated Extract From IR 2**

### **5.2.3 Summary**

The overall schematic structure of the twelve lectures is the same. They all begin with an introduction followed by the discussion section and end with an optional conclusion. The effect of field creates observable field-specific structures within the discussion sections. The South African Politics lectures structure their discussion around the progression of events through time. The Political Philosophy lectures are based on an argument-like structure. The International Relations lectures are structured around presenting a topic and then providing examples to substantiate the observation in the discussion. Thus, two structural facets are related to the discussion section of the lectures in the data. Firstly, the schematic structure related to the generic characteristics of the lecture genre and secondly, the superimposed structure created by the field of each sub-discipline. The field-specific schematic structure serves to differentiate and characterise each of the sub-disciplines. These structures may, however, be a result of the approach that each lecturer takes to presenting the information. More research needs to be done on this type of structuring to confirm or refute this analysis for the sub-disciplines. In addition

to the overall structures, each 'paragraph' or subsection of the discussion sections has its own structure. These are the same for all the lecture data, although there may be slight variations in the order of the moves that structure each subsection.

### **5.3 Mode**

The structural aspect of mode (see 4.2 and 4.2.4), as realised in the lectures, is the same across all the data samples. This would be expected from examples of the same genre since they should have the same structural properties. The patterns of theme and conjunction are therefore discussed below in relation to all twelve lectures in the data. That is, the three sub-disciplines are not discussed separately, since they use their modal resources of language in the same way.

#### **5.3.1 Theme**

The patterning of themes throughout the lecture provides the essential structure for the information being conveyed. Within the introduction of the lectures, hyperthemes are introduced which are developed throughout the lectures.

Within each subsection, however, the continuous and linear thematic patterns (see 3.3.2) are evident at this level and they play specific roles in the presentation of the information. The continuous pattern occurs where the concentration is on one specific topic which is being described in detail or where a number of points are being made about a specific thing. The linear pattern occurs in-places where a number of elements need to be related to each other, usually to make a particular point. A pattern emerges where an alternation between linear and continuous thematic progression occurs throughout the lectures.

#### **a) Continuous Thematic Pattern**

Texts 5.16, 5.17 and 5.18 demonstrate the use of the continuous pattern to focus on the actions of one element. The rhemes provide further information about that element which is repeated in almost each sentence.

Now, the other major connection between or the other potential connection between the ANC and mass movement was via **the Communist Party of Southern Africa**. Again, we've talked about this already. **The Communist Party** was started off as the revolutionary wing of the white working class. Following the ... **It** replicated the division between the communist and social democrat which happened throughout the western world and **initially, the Communist Party** saw the ANC as a bourgeois reformist movement. **It** said this is not a revolutionary organisation. But after 1924, which was the year in which the PACT government was formed, **the Communist Party** attempted to move away from focusing simply on the organisation of the white working class to organising also African workers. **A number of people in the party** began to say **the white working class** cannot make a revolution on its own.

**Text 5.16. Extract Demonstrating the Continuous Pattern (from SAPol 2)**

Text 5.16 selects the *South African Communist Party* for each of its themes. The continuous pattern develops from the third sentence and continues through the extract. The point being made in the extract is that the South African Communist Party had to open its membership to black workers so that they could gain as much support for their revolution as possible. This extract clearly shows how the rhemes are used to add more information about the selected theme.

**So, the most important laws of nature**, for our purposes, are the first three: seek peace and follow it, and if you can't revert to the right of nature, the reciprocal liberty principal, lay down all of your rights and all of your liberties insofar as other people are prepared to do so and keep your contracts once you have made them. **Ok, so, they** are the most important. **Those three and what they actually result in** is a world that is very different from the state of nature because people essentially, if they follow the laws of nature, are curbed in their passions and also because you are then free from the fear of harm. **So, you** can get on and do other things. **Ok, you** are not constantly watching your back. **So, the laws of nature** should be followed if people want to live pleasant and fruitful lives, but because this isn't possible without a strong and coercive authority, says Hobbes, to prevent people from renegeing on their covenants, you have to have to have this really strong and nasty sovereign.

**Text 5.17. Extract Demonstrating the Continuous Pattern (from PolPhil 2)**

Text 5.17, from the Political Philosophy data, discusses Hobbes' three most important laws of nature. Although the thematic pattern in the extract is broken by generic references to people (using the pronoun *you*), the constant selection of themes referring to the three laws of nature can be seen. Again, in this extract, the rhemes add information on three laws of nature which is the focus of the extract.

Take for instance, **Nationalist China** in Taiwan. **Nationalist China** for many years ... **[They]** have given up now. **Nationalist China** in Taiwan. **Taiwan** considered itself to speak on behalf of all Chinese, even those on mainland China, effectively ruled by another government, the People's Republic of China.

**Text 518. Extract Demonstrating the Continuous Pattern (from IR )**

Text 5.18 from the International Relations data shows how the theme *Nationalist China* is continually selected. This extract makes the simple point that, although Taiwan has given up claiming to govern all Chinese people, the government did once claim this right.

**b) Linear Thematic Pattern**

Texts 5.19, 5.20 and 5.21, on the other hand, demonstrate the use of the linear pattern to relate a number of elements to each other to develop a particular point about the topic under discussion. Each theme picks up on the rheme of the previous sentence to carry the discussion forward. It is thus possible, using this structural device, to relate various facts to each other and draw a conclusion from the relationship between the facts.

**So, there** was the moralistic impulse of nonviolence. And **secondly** of course there was the harking back to the early period in the century when the early African leadership had to recognise the new situation... had to recognise the fact of African defeat by superior arms. **The recognition in the 1950s** - nonviolence was not only morally welcome, perhaps morally virtuous in its own right. **But that, of course, that violent protest** against a regime, against a regime which seemed to be establishing totalitarian control. **Nonviolent action** was simply not possible from within the country. **Well, the new period** again recognises that nonviolence within... nonviolence within South Africa was non-viable. **The mass protest** had been based upon the virtues and viabilities in the 1950s. **But after 1960** with the banning of the ANC, the banning of the PAC, the argument is put forward that even nonviolent protest in South Africa is impossible and that therefore the movement had no alternative but to shift to armed struggle.

**Text 5.19. Extract Demonstrating the Linear Pattern (from SAPol 3)**

Text 5.19 describes the reasons for the African National Congress taking up the armed struggle. The third theme *The recognition in the 1950s* picks up on the previous sentence. The issue of violence, discussed in this sentence, is picked up by the theme of the next sentence. The theme *The mass protest* picks up on the nonviolence mentioned in its preceding sentence and *after 1960* picks up on the rheme of the preceding sentence which mentions 1950 as being in an earlier time frame.

**So, he [Hobbes]** says that it has to be an evil sufficiently great to make it worth your while to keep your agreement. **Now, if this** weren't the case, there would be a reversion to the state of nature, because as soon as one person no longer keeps their agreement to keep their promise, then everyone else is in danger and therefore has the right of nature to defend themselves in any way that they can, as they could in the state of nature. **That** is why you have to have a sovereign sufficiently strong to be able do things nasty enough so that people don't break their covenant and also sufficiently strong that if somebody does, to deal with it.

**Text 5.20. Extract Demonstrating the Linear Pattern (from PolPhil 2)**

This extract, in text 5.20, demonstrates the linear pattern through the use of *this* in the second sentence picking up on the situation needed to keep an agreement and *that* in the third sentence picking up on the situation described in the second sentence. The third sentence in the extract shows how this pattern is used to develop points by linking different elements together. The point being made here is that Hobbes considers it necessary to have a very powerful ruler to keep the society working properly.

**Lastly**, in order to be a well-functioning state, you need to show that you have a foreign policy. **A foreign policy** which takes those parts of your defined national interest and protects them abroad. **Those elements of GEAR, the RDP**, which are important for South Africa's foreign relations, those elements of the national interest, defined national interest, are carried into your foreign policy and related to the diplomacy, your own diplomacy. **Those two last attributes**, you need as a state, a well-functioning state, foreign policy and diplomacy are the tools, the means which you take those parts of the national interest which have meaning for foreign relations like the RDP. **The RDP** is taken into a foreign policy which seeks out donors, foreign donors which are able to support the RDP programmes inside the country.

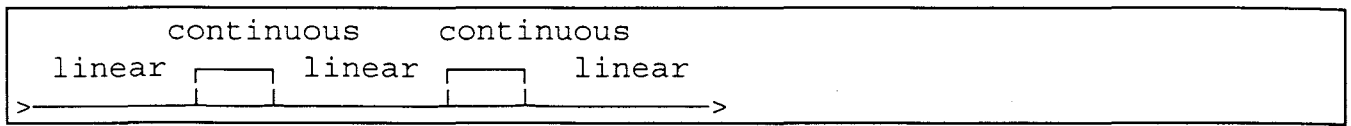
**Text 5.21. Extract Demonstrating the Linear Pattern (from IR 4)**

Text 5.21 shows how the themes progress from *foreign policy*, as a general concept, to the specific example of the South African *RDP [Reconstruction and Development Programme]*. The point being made here is that each country must promote its interests internationally.

**c) Functions of the Linear and Continuous Thematic Patterns**

My analysis of the interaction between the continuous and linear thematic patterns, as they occur throughout the lectures, can be diagrammed as shown in figure 5.1. The linear pattern is followed by

the continuous pattern, which is in turn followed by the linear pattern. This pattern, as shown in figure 5.1, is repeated throughout each lecture.



**Figure 5.1. The Continuous and Linear Thematic Patterns**

Functionally, a series of elements is related to each other to make a point using the linear pattern. This is followed by a focus on a specific aspect, using the continuous pattern. This pattern is repeated throughout the lectures. Figure 5.1 is, however, an idealised picture of the structure. In the data, there are many breaks between the two patterns (see, for example, text 5.11). It does, however, provide an outline of how the grammatical resource of theme gives each lecture an element of its structure. The choice of thematic pattern depends on the function of the particular section of the discussion section.

### 5.3.2 Conjunction

	S.A. Politics	Political Philosophy	International Relations
ADDITIVE	48	37	52
COMPARATIVE	7	4	4
TEMPORAL	7	5	0
CONSEQUENTIAL	38	54	44

**Table 5.1. Conjunctive Relations** <sup>8 9 10</sup>

Table 5.1 summarises the analysis of the conjunctive relations in all twelve lectures. Each category of conjunction is presented as a percentage of the conjunctions in each set of lectures. For example, consequential relations make up 54% of all the conjunctions in the Political Philosophy data. Conjunction contributes to the structure of the lecture, logically relating the various parts of the lecture to each other. Table 5.1 shows that consequential relations (for example, *thus, so, because, so that*)

<sup>8</sup> All numbers in the tables are approximate percentages rounded off to the nearest whole number.

<sup>9</sup> The tables contain the results for the analysis of all the lectures in each data set.

<sup>10</sup> Appendix B contains the actual numbers of conjunctions and themes in each lecture.

make up most of the conjunctions in the data. Consequential conjunctions provide the semantic structure in which the information is placed. The semantic function of the consequential relations is to structure the information in terms of cause-and-effect relations between the various elements. Thus, the information is presented by explanation. In Political Philosophy, a hypothetical situation is created which is related to other hypothetical events or actions. In the South African Politics lectures, events that occurred earlier are placed in a cause/effect relationship with later events. This is because earlier events naturally affect later events. The higher number of additive relations in the South African Politics and International Relations lectures is probably the result of needing explicitly to link certain events sequentially. Such a group of events would then be consequentially related to another event. International Relations deals similarly with political events which cause other events to take place. As with South African Politics, these events must logically be placed in a cause-and-effect relationship with each other. A reticulum from an extract of each of the sub-disciplines demonstrates the cause-and-effect (explanatory) nature of the lectures. The conjunctions have been underlined in each text (5.22, 5.23, and 5.24) and each text is accompanied by its associated reticulum (figures 5.2, 5.3 and 5.4 respectively).

<b>INTERNAL</b>	<b>EXTERNAL ADDITIVE</b>	<b>EXTERNAL</b>	<b>CONJUNCTION</b>
	a	consequence	so
	b	consequence	so
	c	consequence	because
	d and		
	e	consequence	therefore
	f	purpose	so that
	g and also		

**Figure 5.2. Reticulum for Text 5.22**

a) Alright, so we are on the third law of nature, b) so, he says that it has to be an evil sufficiently great to make it worth your while to keep your agreement. Now, if this weren't the case, there would be a reversion to the state of nature, c) because as soon as one person no longer keeps their agreement to keep their promise, then everyone else is in danger d) and e) therefore has the right of nature to defend themselves in any way that they can as they could in the state of nature. That is why you have to have a sovereign sufficiently strong to be able do things nasty enough f) so that people don't break their covenant. g) And also sufficiently strong, that if somebody does, to deal with it.

Text 5.22. Extract Showing Consequential Relations (from PolPhil 3)

INTERNAL	EXTERNAL ADDITIVE	EXTERNAL	CONJUNCTION
	a	concession	so
	b and		
successive	c		secondly
	d	concession	but
	e	contrast	but
	f	successive	after
	g and		
	h	consequential	therefore
	i	contrast	-but
	j	contrast	but
	k	also	additive
	l	successive	and then

Figure 5.3. Reticulum for Text 5.23

Undoubtedly the moralistic element, the inspiration from Ghandi, the nonviolent protest in India which combined with the Christian background of various elements of the ANC leadership, obviously in Albert Lutuli, particularly. a) So, there was the moralistic impulse of nonviolence b) and c) secondly, of course, there was the harking back to the early period in the century when the early African leadership had to recognise the new situation. Had to recognise the fact of African defeat by superior arms. The recognition in the 1950s that nonviolence was not only morally welcome, perhaps morally virtuous in its own right d) but that of course, that violent protest against a regime, against a regime which seemed to be establishing totalitarian control, nonviolent action was simply not possible from within the country. Well, the new period again recognises that nonviolence within... nonviolence within South Africa was non-viable. The mass protest had been based upon the virtues and viabilities in the 1950s e) but f) after 1960, with the banning of the ANC, the banning of the PAC, the argument is put forward that even nonviolent protest in South Africa is impossible g) and that h) therefore, the movement had no alternative i) but to shift to armed struggle. We get the formation of umKhonto weSizwe in 1961. We get the early efforts to organise the underground with Nelson Mandela seeking support outside the country going... trying to get support from various African countries. He goes to what was Tanganika. He goes to Ghana j) but he k) also goes, I think, to various European countries l) and then, of course, we have the disaster of the Rivonia... the capture of the ANC leadership.

**Text 5.23. Extract Showing Consequential Relations (from SAPol 2)**

INTERNAL	EXTERNAL ADDITIVE	EXTERNAL	CONJUNCTION
	a		
	and		
	b		
		consequence	so
	c		
		consequence	so
	d		
		consequence	so
	e		
	and		
	f		
		consequence	so

Figure 5.4. Reticulum for Text 5.24

Ok, let's refresh our minds about the international system. Behaviour of states is guided by an international system of states...an international system of sovereign states... we've said... system of sovereign states, which has evolved from the time when the nation state, the so-called nation state that represents a nation speaks on behalf of a group of people called a nation. First evolved...was first recognised in a treaty... international treaty...the treaty of Westphalia in Europe in 1648 ...nothing special about this treaty. There were many treaties concluded in Europe as well as elsewhere at the end of wars. You don't even have to know what war this was. The main thing was that this was an international legal document. This treaty, for the first time, recognises the existence of the nation state as sovereign ruler speaking on behalf of a group of people in a given territory a) and b) so an international political system, composed of nation states, recognised as sovereign legal entities representing people, is what makes up today's political system... international political system. It is an international political system composed of sovereign states which have their own norms, conventions, engage in treaties and participate in international organisations. c) so, in other words, the international political system recognizes only sovereign states and goes about its business of dealing with those states in recognizable ways. That's a conditioning that helps to condition the behaviour of individual states. d) so even those states which want to go their own way, fine but this international political system, which has evolved over the last 350 years or so conditions their behaviour e) and f) so, if you have an international system at any-one time which encourages conflict, it will encourage conflict amongst individual states as well.

Text 5.24. Extract Showing Consequential Relations (from IR 1)

### 5.3.3 Summary

This section discussed the analysis of thematic progression and conjunction as they relate to the structure of the lectures. Both of these discourse-structuring resources play a role in the way that information is

presented. They essentially provide the semantic structure for the presentation of the discussion in the lecture. The thematic progression provides alternating sections which either focus on the description of one element or link a number of facts together. The pattern of the conjunctive relations shows that a cause-and-effect framework logically links all the information. Thus, the combined effect of the structural resources of thematic progression and conjunctive relations is to create an explanatory framework.

## 5.4 Field

The field of the data relates to the topics discussed in the lectures (see 4.2.3 and 4.2.5). The discussion below deals with the topical choices in the themes of the sentences. These topical choices are related to the transitivity choices. Following this, the field, as reflected in the lexical chains and field taxonomies, is discussed. Each sub-discipline is considered separately in 5.4.1 and 5.4.2.

### 5.4.1 Transitivity and Thematic Selection

The following discussion describes the topical thematic selection with reference to the selection of transitivity processes in each sub-discipline.

#### a) South African Politics

	material	behavioural	mental	verbal	existential	relational	TOTAL
things	32.5	0	0.5	1.5	1	10	45.50
people	7.9	0	0.5	1.5	1	1	11.90
events	7.4	0	0.5	0	0	3	10.90
situations	3.9	0	0	0	0	0.5	5.40
concepts	0.5	0	0	0	0	0	0.50
temporal	1.4	0	0.5	0	0	1.9	3.80
exophoric	3	2.5	5	2.5	1	1.5	15.50
TOTAL	59.60	2.50	7.00	7.00	5.50	19.40	

Table 5.2. Theme and Transitivity for South African Politics<sup>11</sup>

<sup>11</sup>The values this table and tables 5.8, 5.9, 5.10 and 5.11 consist of percentages of the all the data for each sub-discipline. (See Appendix B)

#### EVENT/SITUATION

- 4 **The clampdown on the upsurge of protest in Soweto** leads to the departure for exile of leadership cadres from the Black Consciousness Movement. (SAPol 2)
- 5 **The alienation of people like Winnie Mandela and Holomisa** is possibly evidence of some disconnection of the more powerful and better off elements within the ANC and the poor constituencies. (SAPol 4)

#### PEOPLE

- 6 **He** [Nelson Mandela] also goes, I think, to various European countries. (SAPol2)
- 7 **Clements Cadley** was actually born in Malawi but was to develop the first major African union. (SAPol 1)

#### THINGS (POLITICAL PARTIES)

- 8 **The ANC** was also formed in reaction to the forth coming land act which was actually being passed in 1913. (SAPol 1)
- 9 **The petite bourgeoisie** we tend to think of as the smaller middle class elements of society. (SAPol 3)

Analysis of the results in table 5.2 shows a number of facts about the field of South African Politics as realised in the four lectures. There is a high percentage of event and situation themes associated with material processes. Examples of these are shown in sentences 4 to 5. In thematic position, the occurrence of events and situations shows their importance in that they become the focus of investigation of the discipline. Their occurrence in thematic position also indicates that there is quite a bit of nominalisation of elements which are essentially actions.

But, I think that it's important to stress how the development of the mass movement in the ANC was not simply a reaction to apartheid *because* its origins lie before the arrival of the nationalists in power.

#### Text 5.25. (from SAPol 3)

For example, in text 5.25 using an existential process *is* results in the nominalisation of *developed* in *there is also the development of a new stream of protest*. This could be rewritten as *and then a new stream of protest developed* so that *developed* becomes a verb. Events are thus often stated as existing rather than occurring. This allows them to be related to each other as *things* within the cause-and-effect framework of the conjunctive relations. This use of nominalisation is reminiscent of written language rather than spoken language (Halliday 1989:75). Texts 5.20 to 5.22 further demonstrate the use of nominalisations in the data. In each case, the nominalisations are underlined.

So, the exile movement was principally concerned with the establishment of international connections, the establishment of its international visibility in the international fora such as the UN [United Nations] in terms of getting international support for the armed struggle.

**Text 5.26. (from SAPol 2)**

Early... about 1984 in UDF [United Democratic Front] quarters, the state was about to topple because of the high level of mass mobilisation. In fact, it was more the UDF that toppled than the state, and the UDF was to be subject to a very considerable clampdown by the regime. It's not quite banned but many of its activities are effectively banned in 1985 and 1986.

**Text 5.27. (from SAPol 2)**

And so that brings us to the period of elite nationalism and this is founded essentially upon the recognition of the fact of African military defeat....We are particularly concerned with the beginnings of the recognition by the African elite of the need to participate in a new form of politics.

**Text 5.28. (from SAPol 1)**

Two other types of themes feature prominently in the data. These are the political actors as particular people and political parties that take part in or cause the events being discussed. Sentences 6 to 9 show these two theme types. This thematic selection is similar to the thematic selection of International Relations data discussed in 5.4.1c.

Mental processes are associated with exophoric pronouns (*I, we, you*) which refer to the lecturer and students. Sentences 10 to 12 show how mental processes are used in the lectures. Mental processes are not used to describe the elements of the field. Instead they are used to present information to the students about how the lecture content should be approached. Mental processes perform an interpersonal function in that there is a communication between the lecturer and students about the lecture rather than presentation of lecture content.

- 10 Now, finally, then if we are looking at the ANC now, it's had to transform itself from a liberation movement into a political party (SAPol 1)
- 11 What we are talking about, particularly in this period, is the way in which the ANC becomes in essence much more of a mass movement (SAPol 3)
- 12 We're particularly interested in the development of the ANC or the birth of the ANC Youth League in 1943. (SAPol 2)

	Attributive	Identifying
% Relational processes	75.4	24.6

**Table 5.3. Relational Processes in South African Politics**

An analysis of the distribution of the two main types of relational processes (see table 5.3) shows that there is a predominance of attributive processes rather than identifying processes. The field does not need to define the elements that it is talking about or be exact about them. Much of what is spoken about may be considered assumed knowledge. There is a need, however, to describe the most important attributes of whatever is being discussed so that these can be related to each other. This results in Carrier/Attribute pairs which can be described as follows:

Nonviolent protest in South Africa	is	impossible
Carrier	Attributive	Attribute

Sentences 13 and 14 provide other examples:

- 13 The national struggle is prior to the establishment of socialism in South Africa (SAPol 3)
- 14 So, the immediate objective of the two-stage struggle is the national revolution. (SAPol 3)

**b) Political Philosophy**

	material	behavioural	mental	verbal	existential	relational	TOTAL
things	9	0	2	0	3	4	18.00
people	32	1	2	3	0	4	42.00
events	1	0	0	0	2	5	8.00
situations	3	0	0	0	2	5	10.00
concepts	11	0	0	0	3	5	19.00
temporal	0	0	0	0	0	0	0.00
exophoric	1	0	5	3	1	0	10.00
<b>TOTAL</b>	58.00	1.00	9.00	7.00	11.00	23.00	

**Table 5.4. Theme and Transitivity for the Political Philosophy Data**

### PEOPLE (GENERIC)

- 15 So, if **you** were able to swim, assuming that you were able to swim, and you see a little child drowning in a pool [...] (PolPhil 1)
- 16 **All people**, according to Hobbes, fear death more than anything else. (PolPhil 2)
- 17 So **you** make a promise and you only have to fulfil that promise at a later stage. (PolPhil 3)
- 18 So **all rational people** will desire peace in order to protect their lives. (PolPhil 4)

### CONCEPTS

- 19 So, **moral criteria**, different approaches to political philosophy, you've got deontology and teleology. (PolPhil 1)
- 20 So, **the laws of nature**, you can regard them as instrumental rules which tell us what we should do if we want to avoid death and reach this stage of commodious living. (PolPhil 2)

In table 5.4, the major themes selected are the generic reference to people, philosophical concepts and hypothetical situations. Sentences 15 to 20 show the major thematic choices in the Political Philosophy data. They involve philosophical concepts and generic references to people. The third most important type of theme selected in the data is *situations*. Reference to people is essentially used generically although there is often reference to the philosopher whose theory is under discussion. Within the hypothetical reality, concepts are also important and thus they feature quite prominently in this context. The theoretical nature and thus timelessness of the things means that there are no temporal elements necessary in the field. This is reflected below (see 5.4.2 b) in the analysis of lexical relations where there is an absence of temporal elements.

Again, as in the analysis of South African Politics, exophoric pronouns are associated with the mental/verbal processes in that the lecturer is indicating how the contents of the lecture should be viewed.

	Attributive	Identifying
% Relational processes	53.6	46.4

Table 5.5. Relational Processes in Political Philosophy

Table 5.5 shows that there is an almost equal percentage of use of attributive and identifying processes. The identifying processes are mostly used to define elements of the philosophical theory that is being discussed. These are realised by identifying relational processes. The attributive processes are used to

build up descriptions of situations, concepts or people so that they can be related to others through the cause-and-effect elements.

**A note on textual theme and field**

A noticeable aspect of the Political Philosophy lectures is the use of *if* in the textual theme. This helps to create the hypothetical reality that is being discussed in the theory. Sentences 21 to 26 show this hypotheticality as it is realised in the lecture data.

- 21 So, for example, **if** you were able to swim [...] (PolPhil 1)
- 22 Ok, so, **if** someone attacks you [...] (PolPhil 2)
- 23 Now, **if** this weren't the case, there would be a reversion to... (PolPhil 2)
- 24 **If** people want to live a pleasant and fruitful life... (PolPhil 2)
- 25 **If** you are an egoistic utilitarian, you'll ..... (PolPhil 3)
- 26 But as an individual, **if** we assume that everybody else does..... (PolPhil 4)

**Examples Using *If* to Create the Hypothetical Reality**

**c) International Relations**

	material	behavioural	mental	verbal	existential	relational	TOTAL
things	29	1	6	0	2	12	50.00
people	12	1	4.3	0	0	2	19.30
events	3	0	0	0	0	2	5.00
situations	4	0	0	0	1	2	7.00
concepts	2	0	0	0	3	0	5.00
temporal	0	0	1	1	0	0	2.00
exophoric	6	0	5	3.4	0	0	14.40
<b>TOTAL</b>	56.00	2.00	16.30	4.40	6.00	18.00	

**Table 5.6. Theme and Transitivity for the International Relations Data**

**GENERIC STATES/STATES**

- 27 States are drawn into this free-for-all anarchic system. (IR1)
- 28 Cambodia knew nothing about it. (IR 1)
- 29 Cuba, an island state, for centuries exploited for its sugar by foreign owners, goes through a revolution in 1959. (IR3)

## PEOPLE

- 30 **Apart from Hitler**, what made Germany tick in the 1930s was this craven idea that Germany had been cheated by the other big powers at the end of the First World War. (IR1)
- 31 **Castro** then aligns himself... goes outside the region and aligns himself with the Soviet Union. (IR3)
- 32 **President Kennedy**, the American president at the time, has to decide what to do. (IR3)

## EVENTS

- 33 **Uganda's actions** have never led to the break-up of the East African Community. (IR 1)
- 34 **The U2 crisis of 1961**, an American spy-plane pilot was shot down over the Soviet Union, and paraded before the international press. (IR 3)
- 35 **During the Second World War**, Poland had two governments in exile. (IR 4)

## SITUATION

- 36 **Territorial disputes** over, for example, the Spratly Islands, which several ASEAN states including Vietnam and the Philippines claim with China. (IR 1)
- 37 **The bipolar period** did produce major international political crises. (IR 3)

Sentences 27 to 37 exemplify the most important thematic choices in the international relations data listed in table 5.6. Table 5.6 shows that **Things** is the most dominant category. These themes relate mostly to political actors in the form of large entities of states, while the human actors (that is, those who make the political decisions) also play a prominent role (see 5.4.2c). Sentences 27 to 32 show some examples from the data. These may be expected to occur in thematic position, since it is these actors who initiate the political events which are the focus of investigation by discipline. Depending on the purpose of the discussion, states may be referred to generically or in an exemplification of a point about the international system, specific states may be discussed. Sentences 33 to 35 show some **event** and **situation** themes from the data. Events and situations as expected, play a role in thematic position where they become the focus of the discussion.

	Attributive	Identifying
% Relational processes	60	40

Table 5.7. Relational Processes in International Relations

Table 5.7 shows that there is a reasonably high amount of identifying relational processes. This suggests the use of defining or identifying elements to introduce new elements into the discourse. This also suggests that there is a sizable amount of information about the field which is not considered assumed

knowledge. Knowledge that is not assumed to be known would need to be explicated before it can be used and it thus needs to be introduced through this identifying relational device.

Attributive processes in International Relations seem to work in the same fashion as in the South African Politics lectures. That is, they are used to attribute the most important characteristics to political actors. This is then used to provide the reasons for the occurrence of certain events. The following attributive processes, in sentences 38 to 40, were used to describe modern China.

- 38 China today is on the rise.
- 39 China is on the rise economically, militarily and politically.
- 40 China is on the rise politically as well.

**Attributive Relational Processes in the Description of China (from IR 4)**

This was used to explain how China would probably react politically with other states in Asia and the rest of the world. The lecturer summed up the position as follows: "There is the potential of military conflict with the ASEAN [Association of South East Asian] states" (quote from the lecture IR 4).

#### ***5.4.2 Lexical Relations***

In general, there are a few lexical strings that run through the whole lecture indicating the topic or field with which the lecture is concerned. Some lectures in the data contain more lexical strings than others. This shows that there is a higher information density in those lectures because many more topics are introduced and discussed. It is however, the content of lexical strings that shows the way that the field is constructed through the lexis.

a) South African Politics

Chain	Length	First Line <sup>12</sup>	Last Line <sup>13</sup>
(Temporal)	43	3	379
The ANC	39	2	262
Trade Union Movement	38	25	380
The UDF	19	318	366
Resistance	19	38	140
Congress Alliance	15	64	107
South Africa	13	119	311

Table 5.8. Major Lexical Strings: South African Politics (from SAPol 2)

String	Length	First Line	Last Line
(Temporal)	12	5	202
The ANC	45	2	199
Trade Union Movement	9	15	154
The UDF	8	67	81
Exiles/Internals	6	48	76

Table 5.9. Major Lexical Strings: South African Politics (from SAPol 3)

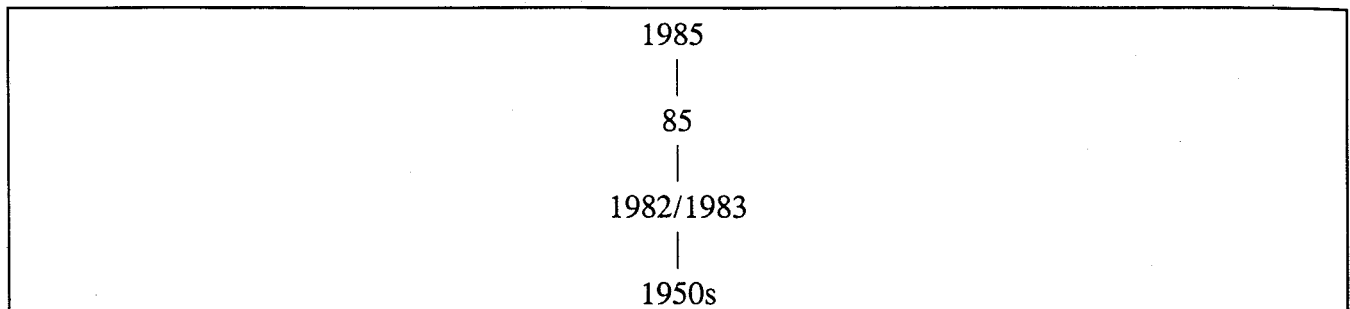
Aside from the chains concerned with the central topic of the lecture (see tables 5.8 and 5.9) which are the political actors such as the ANC (African National Congress), Congress Alliance and the UDF (United Democratic Front), there is a temporal chain indicating placement of the events in time. This chain is the longest and runs right through the whole lecture. Since the conjunctive structure is not centred around temporal conjunctions, the lexical resources of the language are used to indicate time. It will also be noticed that within the chain, the times are not sequential but there is often reference to different periods close together, which fits in with the cause/effect structure of the conjunctive relations because events in the various periods can then be placed in a consequential relationship to each other.

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<sup>12</sup>The first line in the transcription where the lexical chain begins

<sup>13</sup>The last line in the transcription where the lexical chain ends

The following extract (text 5.23) from the temporal lexical chain (see figure 5.5) demonstrates temporal indication in the lectures.



**Figure 5.5. Extract From the Temporal Chain (See text 5.29)**

W get the eventual formation of COSATU from different trade union tendencies in **1985**. And, again, the particular importance of the trade union movement is that, certainly up to **85**, it was continuing to say our political... our political alignments must be very cautious. Indeed, but it is very difficult to separate economics and politics in South Africa. And yes, there was the beginnings of mass protest of stay-away as the trade union movement was subject to all sorts of repression, as individual trade union organisers are killed or harassed. Then there are mass stay-aways, attendance at mass funerals and so forth. Inevitably the trade union movement gets drawn into more overt displays of mass working class power and then, of course, also vital for this period, is the emergence of the United Democratic Front as a response to the tri-cameral proposals of **1982, 1983**. I think what's important is the way the UDF (United Democratic Front) harks back to the non-racialism and harks back to the... in many ways the organisational expressions of the **1950s**. And the Congress Alliance, the Natal Indian Congress in particular, was revived, for instance. It had been dormant. It had never actually been banned. It is revived and becomes an important ... begins to play an important role in the early days of the UDF.

**Text 5.29. Showing the Temporal Lexical Elements From SAPol 2**

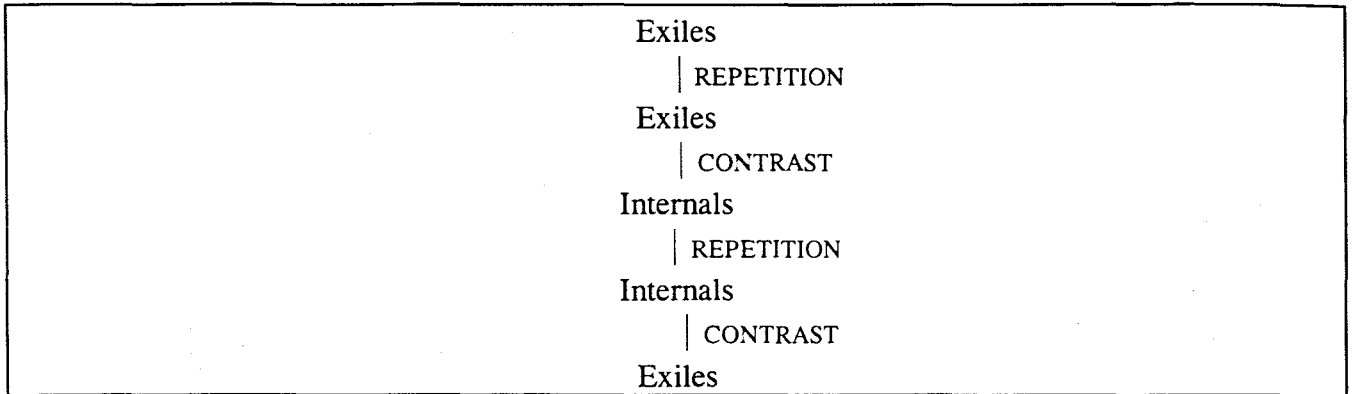


Figure 5.6. Extract From the *Externals/Internals* Chain (See text 5.30)

Involved in the whole issue of organisation was the issue of integrating the returning exiles and linking them up to people who had been in the country...involved in various forms of struggle and various forms of organisation. And, as I think we know, that process was not terribly easy. **Exiles** and **internals** were coming back with different expectations. Many people in the exile movement felt that they had made many sacrifices, felt entitled to positions and rewards; but people inside the country said, "Aha, but we have borne the brunt of the oppression whilst you have been out in New York or something having a better time than us". You have got that sort of tension which needed to be resolved and examined. In particular there was the issue [...]and now the ANC was coming back from outside the country, establishing its structures, in many ways setting the agenda. And there was the difficulty at different levels of the organisation of how do you actually unite the **internals** and the **externals**.

Text 5.30. Showing the *Externals/Internals* Chain from SAPol 3

As can be seen from both text 5.24 and figure 5.6 the internals and externals are placed in opposition to each other, even though they are all members of the African National Congress. The lexical chain shown in figure 5.6 shows this relationship through the *contrast* taxonomic relation.

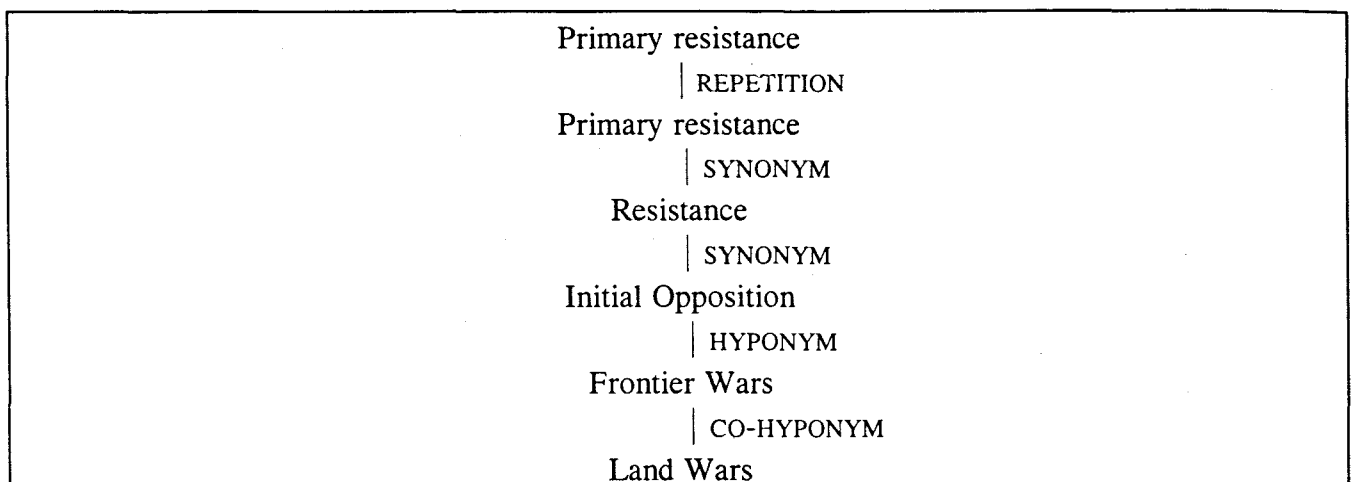


Figure 5.7. Extract From the *Resistance Chain* (See text 5.31)

Let's look at the period of **primary resistance** and see what the essential characteristics of that period were. I think the first thing we need to think of as **primary resistance** is what do we mean by the term primary...and, of course, it suggests the first phase of **resistance**. Its the ... we can't identify the beginning because really we are looking at the entire process of indigenous to colonisation... to white encroachment in South Africa and so forth. So, we would want to look at a whole disparate set of reactions of indigenous peoples to that complicated and very extended process throughout South African history. So, there is no proper beginning. I think, if we are looking at the origins of the ANC as an organisation, yes, then we'd have to look perhaps towards the late nineteenth century, but we're clearly looking at the **initial opposition** to conquest. In particular, we are focusing upon the reaction of indigenous peoples to the loss of territory. We think of the nineteenth century, well, the late eighteenth century through to the nineteenth century as a period of land wars. The **frontier wars** were essentially **land wars**. We're talking about the loss of territory and the loss of autonomy of African societies as they were subject to defeat by enemies who had superior arms and technology.

Text 5.31. From SAPol 1

Text 5.31 and figure 5.7 show part of the lexical chain that deals with resistance to the ruling Europeans as discussed in these lectures. Resistance is talked about generally as *primary resistance* and more specifically as *frontier wars* and *land wars*. The lexical chain in figure 5.7 shows how, as the topic is discussed, the particular types of resistance are classified. The hyponymy relation shows how the last two elements of the lexical chain are classified as part of the same superordinate class related to resistance.

Tables 5.8 and 5.9 show that certain topics are introduced at specific stages in the lecture. This is demonstrated by the lines where the various lexical strings begin. Some lexical strings may be quite prominent although they begin in the middle of the lecture. This shows that there can be a shift in the general topic as a lecture progresses. These changes show how the focus of the lecture changes as the different subsections (see 5.1) dealing with different topics are entered.

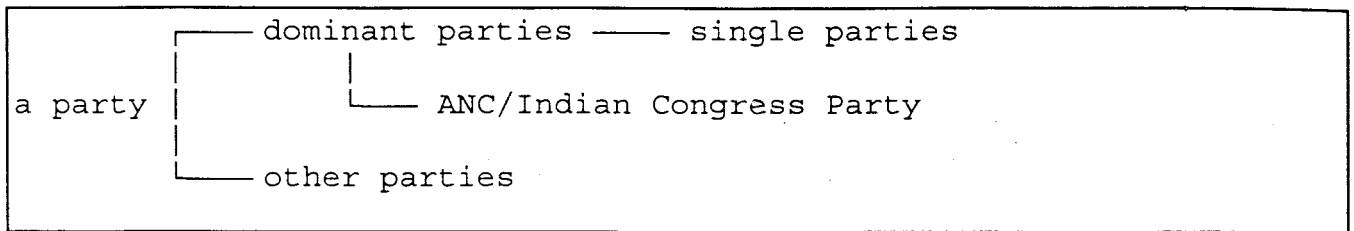
The purpose of the lectures is the discussion of events and not a description of various political parties and how they relate to each other, so a taxonomy of any areas of the field is presented implicitly rather than explicitly. Such explicit knowledge of the relationships between the various political actors would probably be assumed knowledge in the context of these lectures.

The following text discusses the effect of dominant or single parties and how this reflects the ANC's current position. Within this discussion various political parties are discussed generically but the discussion provides a general taxonomy of the field. Each line in text 5.32 (a-f) contains one reference to political parties. These are underlined.

a	I think, if <u>a party</u> is perpetually returned to power, then it can easily become fairly complacent and it can become arrogant.
b	I think that we have seen this in many countries in Africa. In previous times, <u>dominant parties</u> tended to become
c	<u>single parties</u> , in actual fact banning
d	<u>other parties</u> . Well, under the constitution we will not see that in South Africa. I think that's unlikely. I think that we are much more
e	likely to follow something like the Indian model. <u>The ANC</u> is really
f	modelled on <u>the Indian Congress Party</u> in many ways.

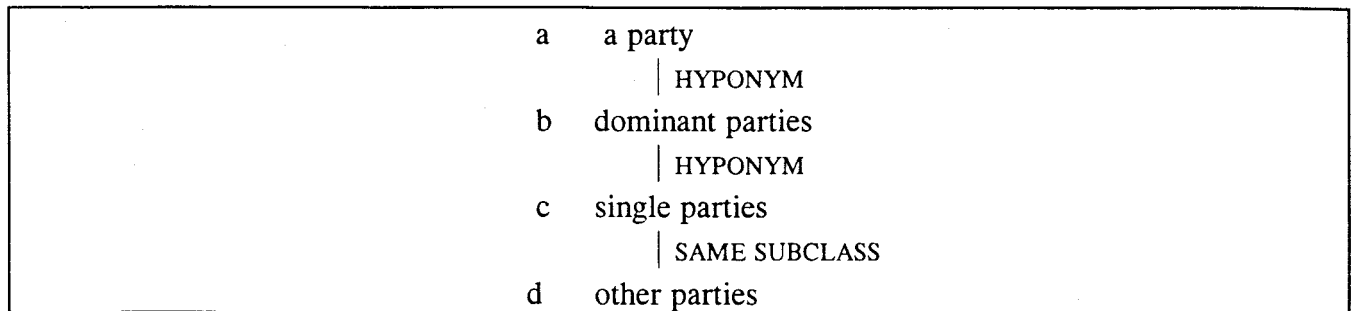
**Text 5.32. From SAPol 3**

In text 5.32 a taxonomy is built up around the classification of various types of political parties; however, the terms are not explicitly defined or categorised. Rather, the categorisation remains implicit here. Points *e* and *f* go on to mention two different political parties, which could be characterised here as examples of dominant parties. The taxonomy can be graphically represented in figure 5.8.



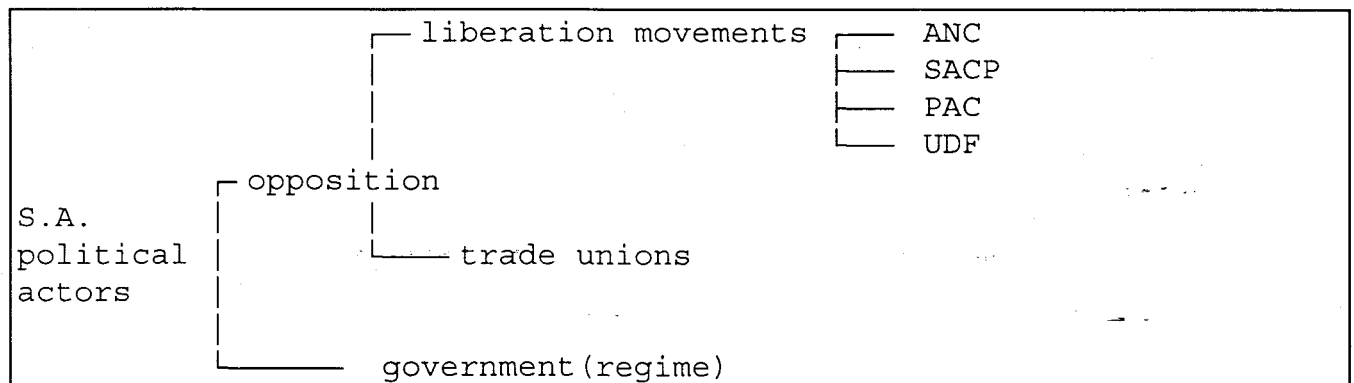
**Figure 5.8. Basic Political Parties Taxonomy From Text 5.32**

The lexical chain that forms this taxonomy in figure 5.8 is as follows:



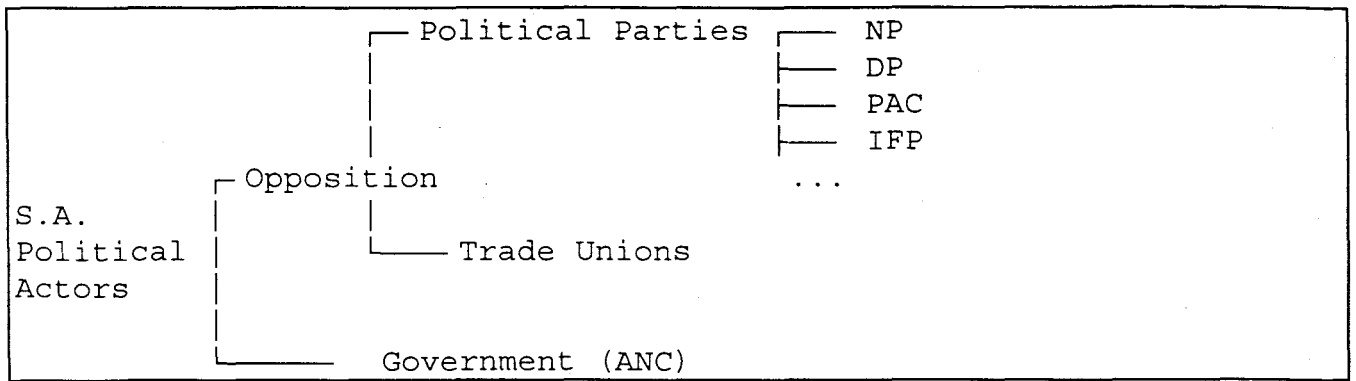
**Figure 5.9. Lexical Chain Showing Taxonomic Relations**

The various elements in the field are thus related to each other in terms of being specific political actors. The taxonomy is constructed around their contrastive relationship to each other. A broader taxonomy of the field, developed from an analysis of all the lecture data, would be as in figure 5.10.



**Figure 5.10. First Taxonomy of Political Actors (from SAPol 1 to 4)**

It must be noted, however, that the taxonomies created at one stage in the lectures change. This reflects the changing status of the political actors as they interact with each other. No stable taxonomy can be created for the interactants in events like this. The taxonomy above reflects events before 1994 and the following one reflects the change after the general election in 1994.



**Figure 5.11. Second Taxonomy of Political Actors (from SAPol 1 to 4)**

Another characteristic of these taxonomies that bears mentioning is that for each element, there may be a number of different terms used. For example, throughout the lectures, the *African National Congress* is referred to as: *the African National Congress, the liberation movement, the ANC, the movement, the party*. This is reflected in the lexical chains by using either repetition or synonymy. The variety of terms used reflects the non-technical stance taken by the discipline in that there is no one term used to describe each participant.

**b) Political Philosophy**

Chain	Length	First Line	Last Line
Political Philosophy	14	1	98
Political Power	17	26	175
Government	24	27	182
Society	11	37	141
Types of Judgement	12	19	55

**Table 5.10. Major Lexical Strings: Political Philosophy (from PolPhil 1)**

Chain	Length	First Line	Last Line
Laws of Nature	30	24	202
State of Nature	16	7	247
Peace	14	10	107
Superior force	13	14	256
Hobbes	13	7	189
Life/Death	10	56	122

**Table 5.11. Major Lexical Strings: Political Philosophy (from PolPhil 2)**

The major lexical strings in this lecture, as shown in tables 5.10 and 5.11, are concerned with the abstract concepts. This reflects the abstract nature of such philosophical theorising. By using identifying processes, a taxonomy of the philosophical theory is built up. For example, the various elements of the approach to the philosophical thought are defined. It is necessary that they be defined because these concepts are foreign to the students and the definitions also serve to introduce the new information into the lecture so that it can be used further. The following identifying processes, shown in sentences 41 to 47, exemplify their use in definitions.

- 41 The central issue that we are interested in is a moral evaluation of political power. (PolPhil 1)
- 42 So, that's the first distinction that we make in this course, the major distinction between positive and normative. (PolPhil 1)
- 43 An empirical judgement, a factual judgement...say, well, sixty eight percent is a positive judgement. (PolPhil 1)
- 44 A normative judgement is a moral or ethical judgement. (PolPhil 1)
- 45 The doctrine of utilitarianism is that we in society ought to get the greatest good of the greatest number. (PolPhil 1)
- 46 The deontological approach to philosophy comes from the Greek word "deon" which means duty, ok, or obligation. (PolPhil 1)
- 47 Now, second, all the teleological criteria, or the teleological approach to political philosophy, this comes from the Greek word "telos", right, which means end. (PolPhil 1)

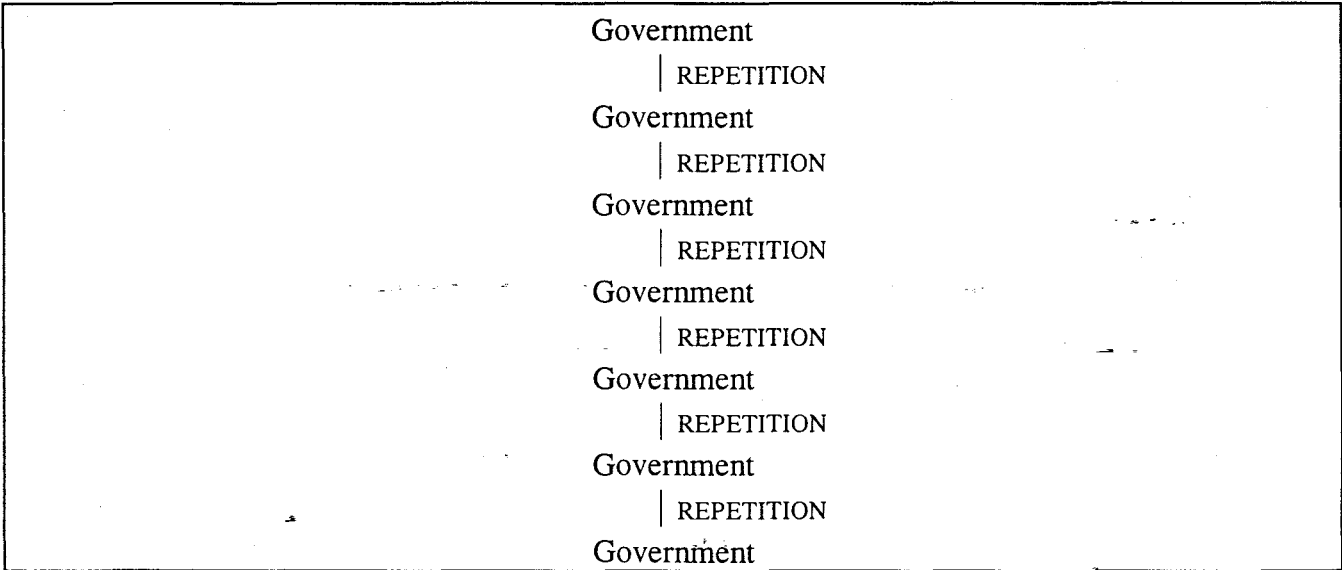
The following two examples show how the elements of the identificational processes relate to each other.

a normative judgement	is	a moral or ethical judgement
Token	identifying	Value

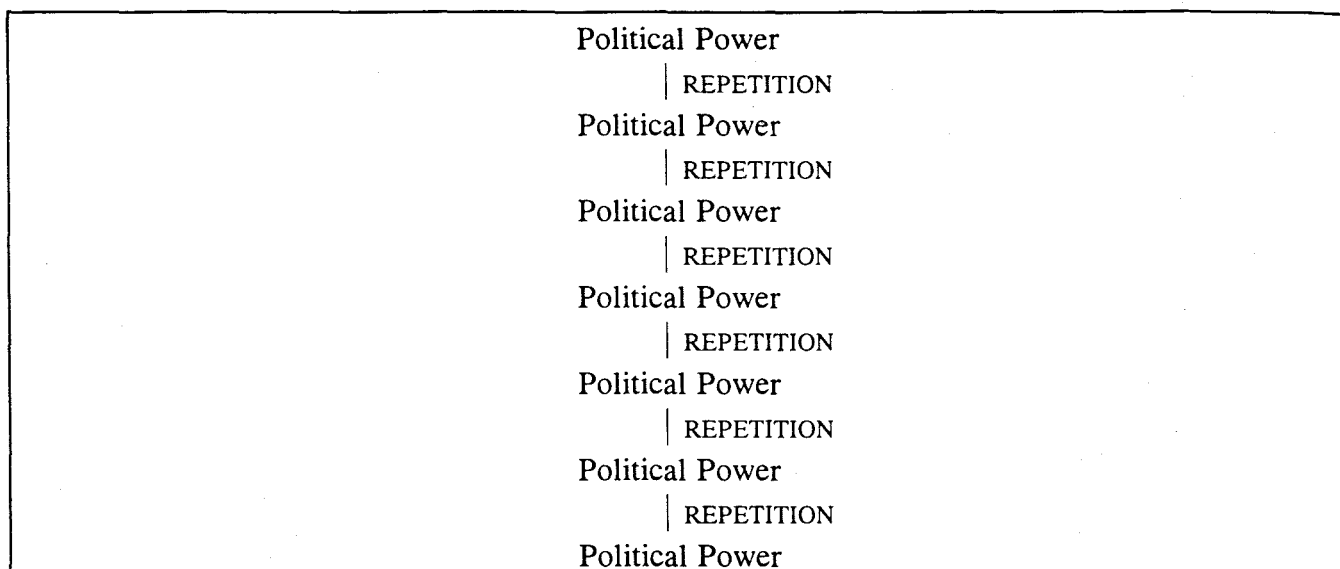
The central issue that we are interested in	is	a moral evaluation of political power.
Token	identifying	Value

So, we're interested in subjective laws or the way the **government** functions and other types of *political power*. So, the reason we want to do this is to limit them in what they may or may not do. These moral requirements are intended to limit what a **government** can do. So, because we are talking about the question of ethics, we are talking about a branch of moral philosophy or ethics. And those of you who will be studying law will, in third year... will do a course in jurisprudence, which is also a question of ethics. Ok, so, those of you who read through Gewirth, he talks about the most basic question of political philosophy. And when we speak of moral philosophy, we mean those problems which raise questions, firstly, of what people ought to do in society. So how should people behave? We are interested in how they do behave but, in this field, we are interested, obviously, in how they should behave. Secondly, how should *political power* be exercised? So, how should the **government** and all other relevant parties that hold *political power* [...] That is, why should people live in society? And that question is not as banal as it might sound. And why do we keep those associations under **governments** and other kinds of groups that make up society? He then talks about general questions about **government**, which is why should people obey **government**? To put it in another way, why should some people have more *political power* than others? So, what justifies *political power*? And thirdly, specific questions about **government**. The origin of *political power*. Where does it come from? How do you get be in a position of governance? The ends of *political power*.

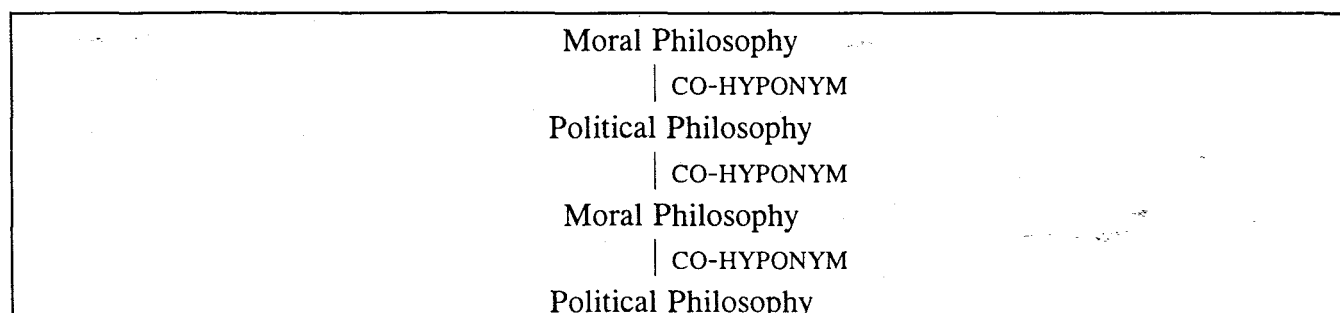
**Text 5.33 From PolPhil 1**



**Figure 5.12. Government Lexical Chain From Text 5.33**



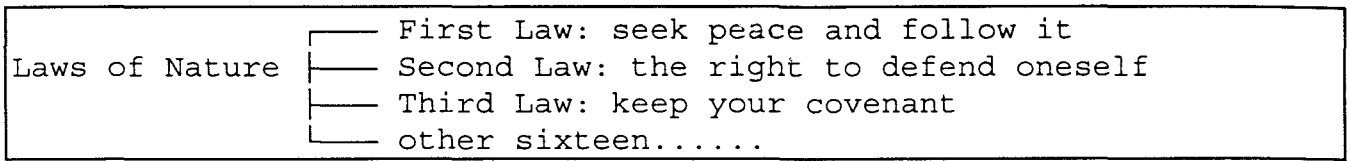
**Figure 5.13. *Government* Lexical Chain From Text 5.33**



**Figure 5.14. *Political Philosophy* Lexical Chain From Text 5.33**

Text 5.33 contains extracts of three of the lexical strings shown in tables 5.12 and 5.13. The *political power* and *government* strings (see figures 5.12 and 5.13) are based around the *repetition* taxonomic relation which serves to carry the chain through the lecture. There is no attempt in the data to provide any classification of either types of government or political power. On the other hand, the lexical chain concerned with Political Philosophy (see figure 5.14) shows that it is necessary, in these lectures, to classify Political Philosophy as a specific type of philosophy, that is moral philosophy. This is shown with the hyponymy relation which shows that moral philosophy is classified a specific type of philosophy.

In the lecture data, which was on Hobbes' philosophical theory, the various laws that are theorised to be the basis for a perfect society are defined and related to each other. Figure 5.15 diagrams the taxonomy.

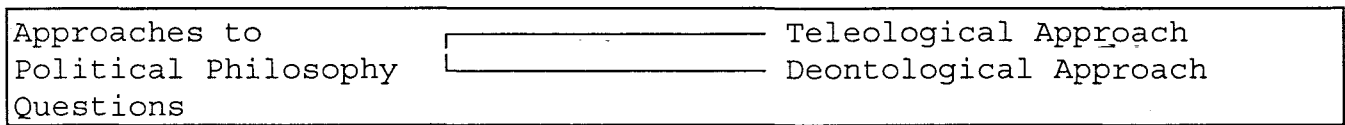


**Figure 5.15. Taxonomy of Hobbes' Laws of Nature**

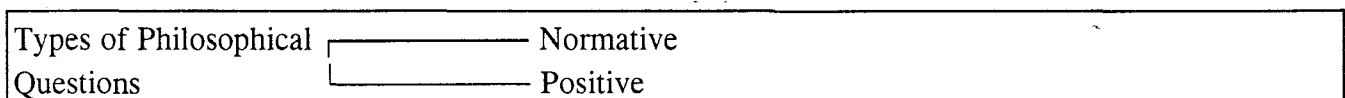
Sentences 48 to 52 how the taxonomy is built up:

- 48 Ok, there are actually nineteen laws of nature which Hobbes talks about (PolPhil 3)
- 49 Ok, so the first law of nature consists of two part: seek peace; and follow it. (PolPhil 3)
- 50 Now, the second law of nature develops on the first part of the first law of nature, seek peace and follow it. (PolPhil 3)
- 51 Now, the third law of nature. Right, this states that men must perform their covenants that they have made. (PolPhil 3)
- 52 So, the most important laws of nature for our purposes are the first three, seek peace and follow it, and if you can't, revert to the right of nature. (PolPhil 3)

The following taxonomies in figures 5.16, 5.17 and 5.18 show other aspects of the field that are taxonomised and presented in a similar way to the taxonomy of the laws of nature described in figure 5.15. These various taxonomies serve to build up the general underpinnings of the discipline of Political Philosophy and the particular philosophical theory, in this case Hobbes' theory of government, being discussed in the lectures. Figures 5.16 and 5.17 show taxonomies of some underpinning elements of Political Philosophy.



**Figure 5.16. From PolPhil 1**



**Figure 5.17. From PolPhil 1**

Figure 5.18 provides a breakdown of Hobbes' view of an ideal society. There are essentially three elements to a society, the sovereign ruler, the people who advise the sovereign and the rest of the society ruled over by the sovereign.

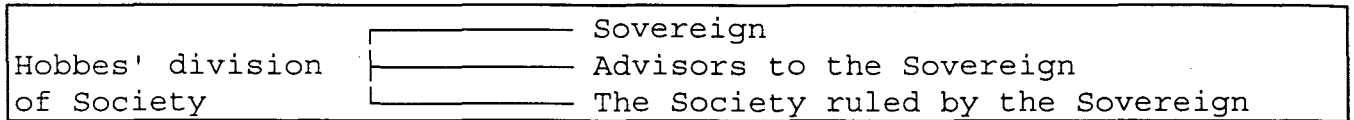


Figure 5.18. From PolPhil 1 to 4

c) International Relations

Chain	Length	First Line	Last Line
States	116	41	265
Conflict	47	39	286
Individual Leaders	29	41	91
IR Perspectives	13	12	35
International Relations	11	10	38

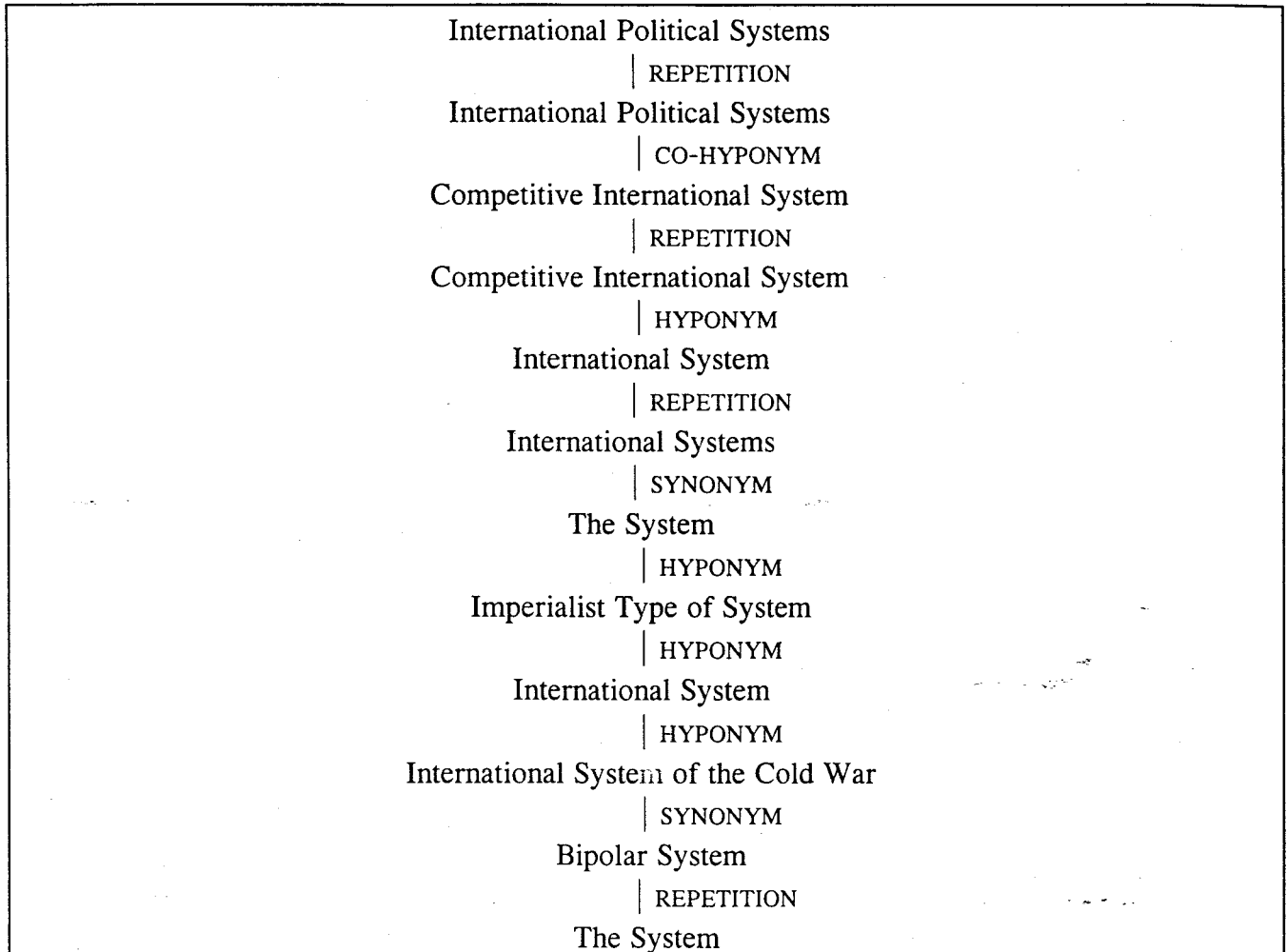
Table 5.12. Major Lexical Strings: International Relations (from IR 1)

Chain	Length	First Line	Last Line
Conflict	42	2	243
States	98	3	249
International System	31	6	262
Political Crises	8	83	145

Table 5.13. Major Lexical Strings: International Relations (from IR 2)

The following texts and their accompanying lexical strings show some ways that the International Relations data uses lexical resources. Figure 5.19 contains the *international systems* lexical chain. Text 5.34 shows an extract of this chain from one lecture. Throughout the data, the concept of international systems is referred to generally. However, it is also necessary, as shown in figure 5.19, that specific types of international systems have to be discussed to arrive at an understanding of their effect on international relations. In figure 5.19, aside from the generic reference to *international political systems*, two other systems are mentioned, namely the bipolar Cold War system and the earlier

European imperialist system. The international system chain, being central to International Relations, runs through all the data, keeping this topic as the main focus.



**Figure 5.19. International System Lexical Chain From Text 5.34**

Now, there are some **international political systems** which are more prone to conflict than others. An **international political system** which is competitive is more likely to produce war than one which is cooperative...built on cooperation. What's a **competitive international system**? A **competitive international system** is one where the major states or actors compete with each other for raw materials, for markets, for influence over others and also for territorial control. Example, well, an **international system** which produced that kind of scenario is the **international system** which produced the scramble for Africa in 1880s. **The system** which encouraged colonial imperialism...competitive colonial conquests after the infamous Berlin Conference of 1884. **An imperialist type of system** which eventually gave way to a system of military alliances, a system of rearmament and extreme nationalism, which led to the crisis in the Balkans, which led to the crisis of August 1914 and the outbreak of World War One. Or take **the international system** whose demise we have just seen. We take **the international system of the Cold War**, which was competitive as well as conflictual. **A bipolar system** between two major camps of states opposing each other, not just because of competing interests, but opposing each other on the basis of principles, opposing each other on the basis of principles...some call it ideology, which made compromise not possible, which made part and parcel of **the system**.

**Text 5.34. *International System From IR 1***

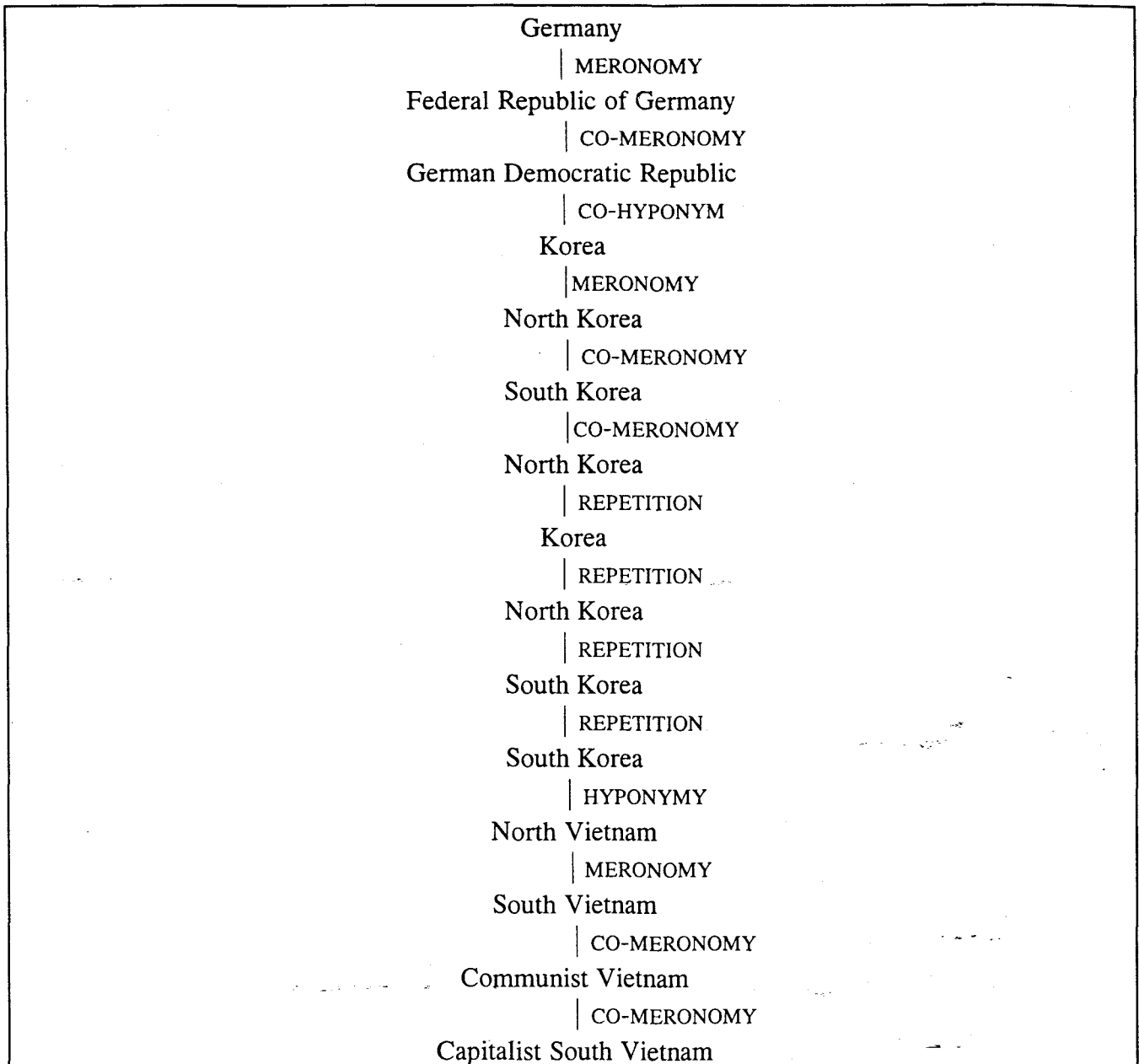


Figure 5.20. States Lexical Chain From Text 5.35

You take the divided countries of the Cold War of this bipolar system, you are talking about **Germany**...became **two states**, one capitalist, one socialist in 1948...the **Federal Republic of Germany** on one side and the much smaller **German Democratic Republic** on the other. When you are talking about divided countries, you are also talking about **Korea** which split into two around about the same time...1948 ... at the start of the Cold War... into **North Korea** and **South Korea**. That division persists and is a source of considerable tension. Regional conflict or regional...considerable regional threat in Asia today...this may still explode. This situation, it is one of the hangovers of the Cold War. It may explode because **North Korea** has chemical weapons, biological weapons and nuclear. It feels isolated and threatened. At the same time, its population is in a famine. So, the regime is under a considerable threat at this point in time and **Korea**...for historical reasons...**North Korea** claims jurisdiction over **South Korea**. **South Korea** was created by the Americans in order to oppose communism on the Korean peninsula. When you are talking about divided countries, you are also talking about **North Vietnam**, **South Vietnam**. This division came to an end in 1975 when **Communist Vietnam** triumphed over **Capitalist South Vietnam** and defeated the Americans militarily, politically.

#### Text 5.35. *States From IR 3*

Since states are central actors in international relations, this lexical chain plays a prominent role in all of the International Relations lecture data. Text 5.35 contains a highlighted lexical chain which is an extract from IR 3 of the *states* lexical chain. The chain, displayed in figure 5.20, contains a number of references to different states which have one thing in common, they are all examples of divided states. Germany was split into East Germany and West Germany, Korea into North Korea and South Korea, and Vietnam into North Vietnam and South Vietnam. The divisions of each state are shown as relating to each other through the meronymy relation which indicates that they are part of the greater whole of the original state. However, each state, as shown in figure 5.20, is related to the others through the classificatory relationship of *hyponymy*. In the data, the relation of various states to one another may change like the political actors in South African Politics, depending on the political period under discussion. Germany, as Nazi Germany, would be classed opposite the United States and Britain. However, in contemporary politics, modern Germany, as a western country, may be classed with other western countries.

From the lexical strings in tables 5.12 and 5.13, a facet of International Relations highlighted is conflict. Different types of conflict are recognised (and obviously play different roles in the relations

between states). The types of conflict dealt with in the lecture data can be taxonomised as shown in figure 5.21.

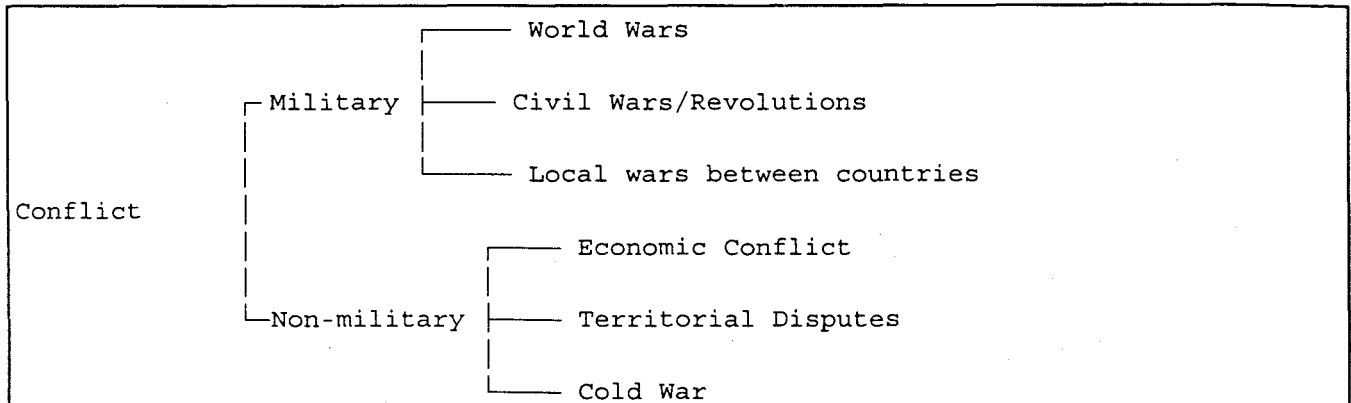


Figure 5.21. Taxonomy of Conflict as Discussed in IR1 to IR 4

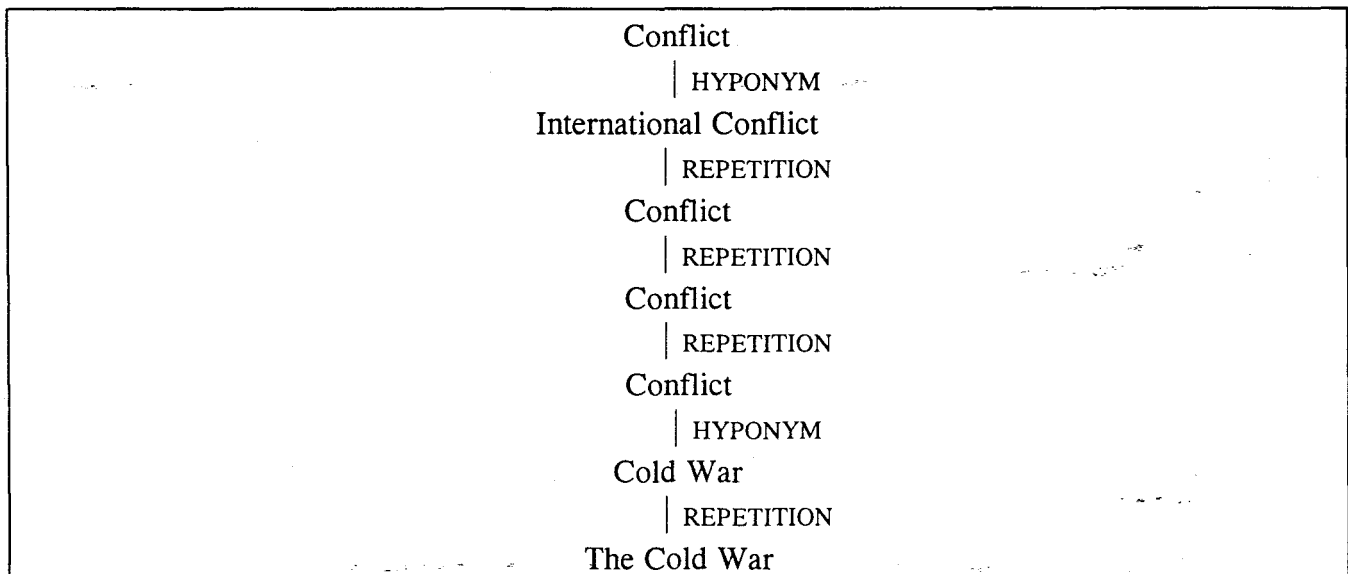


Figure 5.22. *Conflict* Lexical Chain From Text 5.36

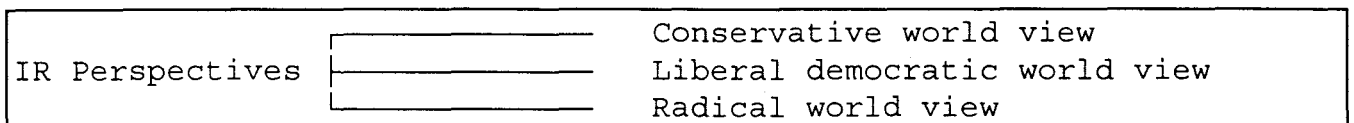
The central occupation in the study of international relations is **conflict**. How to interpret and how to possibly prevent **international conflict**. What is the cause of **conflict**? Are the causes for **conflict** individuals? Individual leaders are the causes for **conflict**. Types of state? specially aggressive types of state... states or is it the nature of the international system, the changing types of international systems that we come across, and here do refer to your tutorial readings for the week, which talks about change in the international systems over time...over the last couple of hundred years, and, just as well, I have made available to you an additional reading on the **Cold War** ...the causes of the Cold War.

Text 5.36. *Conflict* From IR 1

Figure 5.22 contains an extract of the *conflict* lexical chain highlighted in text 5.36. Although this chain shows that conflict is discussed in generic terms, there is also some classification of types of conflict.

In the lexical chain discussed, two types of conflict are classified, the Cold War as a specific example and international conflict as a more general type of conflict. Other types of conflict, as shown in the taxonomy in figure 5.21, may also be classified under the general label of conflict. Conflict as an element of International Relations naturally runs through all of the data.

An important element shown in table 5.12 is the different perspectives which are taken to the study of International Relations. These can be broadly taxonomised as shown in figure 5.23.



**Figure 5.23. Basic Taxonomy of Theoretical Perspectives on International Relations**

### 5.4.3 Summary

This section discussed the realisation of field in the data with respect to lexical selection, the choice of topical themes in relation to transitivity, and the use of relational processes. Field is the element of the lectures that differentiates each sub-discipline. This is evident from the discussion in 5.4.1 and 5.4.2, which shows differing choices in thematic content. Along with these differing choices, there are different emphases in the selection of transitivity. The analysis of relational processes showed that the use of identifying and attributive processes were similar in the International Relations and Political Philosophy data; however, the use of attributive processes far outweighed the identifying processes in South African Politics. This is probably because the lecturers assume that students already have more knowledge of South African Politics than of International Relations and Political Philosophy.

### 5.5 Validation

The interviews with the lecturers covered the interpretations of the functions of the various elements discussed in the analysis above (see Appendix A). Generally, the lecturers agreed with the findings, thus validating the interpretations of their language use. Some of the areas covered are discussed below with quotes from the lecturers.

- Commenting on the purpose of an introduction to a lecture, the South African Politics lecturer noted that "I am basically saying what I am going to talk about" in an introduction. The lecturer

thus sees the purpose of the introduction as telling the students what will be discussed in the lecture.

- The observation that Political Philosophy is based on the discussion of a hypothetical reality was substantiated by the lecturer who noted that, "in understanding Political Philosophy, you have to understand it is a hypothesis".
- The interpretation of the field-specific schematic structure was close to how the lecturers felt they constructed their lectures. In the case of International Relations, the lecturer describes the one lecture as being made up of "topics which are coat-hangers by which to explain the sources of conflict". This is based on my observation that each lecture is based on a specific topic which is illustrated through the use of various sub-topics. The particular lecture (IR 1) being referred to concentrated on the causes of international conflict and each topic in the lecture was thus used to illustrate how conflict occurs internationally. This therefore concurred with the interpretation arrived at in the analysis.
- In discussing the lecture or discipline's general topic choice represented in the lexical relations, one lecturer commented that "There is nothing unexpected for me in this".
- With regard to the assumed knowledge of the students.. It was summed up as follows:

I am assuming on the whole they will know little. I am assuming that some of them will have been exposed to world history at school. I am assuming that some of them are second-years ... On the whole ... the assumption is that they are fairly green to the field. ... South African Politics may be another matter but only for some sections of the population.

Table 5.14 provides a summary of the views of each lecturer. The field-specific schematic structure was the aspect of the analysis that was questioned. The reason for this is that the lecturers noted that different approaches could be taken to this sort of structuring of the material. Although there may be some differences of opinion here, it may be possible to determine that there are only a few variations on the way that a particular field could structure the information. The modal characteristics indicated

that the lectures were structures to present information and explain the field. The lecturers agreed that their main aim in the lectures was to explain. The analysis of field from the point of both thematic selection and lexical relations brought out what can be considered as common knowledge about the topics that each sub-discipline deals with. The lecturers agreed with the observations about field, since there was nothing unexpected in the results of the analysis.

	S. A. Politics	Political Philosophy	International Relations
General Schematic Structure	Agree	Agree	Agree
Field-Specific Schematic Structure	Agree, but use other approaches.	Agree, but it could be presented in a different way	Agree, that is how these lectures are structured
Mode	Agree	Agree	Agree
Field	Agree	Agree	Agree

**Table 5.14. Summary of the Lecturers' views on the Analysis**

The interpretations of the lecture data were substantiated by the lecturers, as the example quotes above show. However, further analysis of the language of these sub-disciplines would be necessary to provide corroboration for these findings. Specifically focusing on the aspect of field-specific schematic structure in the lectures would provide a more in-depth understanding of how this structural aspect can be used. Working closely with the lecturers over an extended period would also give more in-depth picture of how they view their language use. This would provide more substantial data with which to describe the language of the sub-disciplines.

### **5.6 Summary of the Analysis**

This section provides a summary of the analysis discussed in the rest of this chapter. Table 5.18 provides a summary of the main points of the analysis. The table is divided into the three main areas of analysis used in this research, that is, field, mode and schematic structure, which includes field-specific schematic structure.

	<b>S.A. Politics</b>	<b>Political Philosophy</b>	<b>International Relations</b>
<b>Field:</b>			
Transitivity	Attributive	Identifying/ Attributive	Attributive/ Identifying
<b>Thematic Selection:</b>	Political Organisations/ Circumstances	Concepts/ People	International political entities/ conflict
<b>Taxonomies:</b>	Generally implicit	Explicit taxonomies of concepts related to theory	Mix of explicit and implicit taxonomies
<b>Topic Selection:</b>	Temporal Chain, Political actors, Concrete things	Generic reference to people, Abstractions	States and other political actors, Conflict.

**Table 5.15. Field of the Data**

Field, presented here as table 5.15, contains major sub-disciplinary differences. Each sub-discipline has its own field characteristics. These differ in topical thematic selection, the use of attributive and identifying relational processes and other lexical topic selection. The differing use of identifying relational processes is associated with the amount of knowledge the lecturers assume that students already have about the field.

The mode (see table 5.16), as expected from representatives of the same genre, is the same for all three sub-disciplines. This is characterised in terms of the functions of thematic progression patterns and conjunctive relations. The functions of these two features are summarised in table 5.16 as follows. Within the discussion section of each lecture, the information is presented in terms of the description of entities, using the continuous pattern. The linear pattern is used to develop the discussion to make points relevant to the lecture topic. The various points are related to each other through the use of consequential relations. This creates the explanatory foundation for the lectures.

	S.A. Politics	Political Philosophy	International Relations
<b>Mode:</b> Thematic Progression	Themes derived from hyper-theme in the introduction Linear: relate elements to make a point in the discussion Continuous: focus on the description of one point		
<b>Conjunction:</b>	Consequential/Explanatory		

**Table 5.16. Mode of the Data**

The schematic structure (see table 5.17) of the lectures provides the major organisational elements which structure the information and characterise the lecture genre. Although the introductions and discussion sections are complete in all the lectures, the conclusions vary from complete and separate sections to being almost nonexistent. This would suggest that the conclusion is not an obligatory element in the genre.

	S.A. Politics	Political Philosophy	International Relations
<b>Field-Specific Schematic Structure of the discussion section:</b>	Based on the sequence of events	Based on developing an argument	Based on the exemplification of specific observations
<b>Schematic Structure:</b>	Outline: Introduction/Discussion/Conclusion Each section of Discussion: Introduce topic/discuss topic/ structure discussion/ Summarise		

**Table 5.17. Schematic Structure of the Data**

The field-specific schematic structure (see table 5.17) is dependent on the discipline's (or possibly the lecturer's) approach to the subject matter. The major elements of the discussion sections of the lectures, as is shown in table 5.17, are related to each other in a way that reflects the development of the discussion in the lecture: South African Politics goes through the information in a temporal order; Political Philosophy presents a philosopher's theoretical position and proceeds to explain or develop his

argument; International Relations deals with a series of topics and elaborates each of them through a discussion based on exemplification.

In the next chapter, Chapter 6, the results, as set out in table 5.18, are considered in terms of their implications for genre theory and teaching academic literacy. Extensions to the method of analysis which were used to produce the description of the lecture data are also discussed.

	<b>S.A. Politics</b>	<b>Political Philosophy</b>	<b>International Relations</b>
<b>Field:</b> Transitivity	Attributive	Identifying/ Attributive	Attributive/ Identifying
<b>Thematic Selection:</b>	Political Organisations/ Circumstances	Concepts/ People	International political entities/ conflict
<b>Taxonomies:</b>	Generally implicit	Explicit taxonomies of concepts related to theory	Mix of explicit and implicit taxonomies
<b>Topic Selection:</b>	Temporal Chain, Political actors, Concrete things	Generic reference to people, Abstractions	States and other political actors, Conflict,
<b>Mode:</b> Thematic Progression	Themes derived from hyper-theme in the introduction Linear: relate elements to make a point in the discussion Continuous: focus on the description of one point		
<b>Conjunction:</b>	Consequential/Explanatory		
<b>Field-Specific Schematic Structure of the discussion section:</b>	Based on the sequence of events	Based on developing an argument	Based on the exemplification of specific observations
<b>Schematic Structure:</b>	Outline: Introduction/Discussion/Conclusion Each section of Discussion: Introduce topic/discuss topic/ structure discussion/ Summarise		

**Table 5.18. A Summary of the Analysis**

## CHAPTER 6: SUMMARY AND CONCLUSION

### 6.0 Introduction

This chapter summarises the results of the research in terms of genre theory and literacy theory, and their possible implications for teaching academic literacy. Following this, extensions to the analytic method and suggestions for further research are discussed.

### 6.1 Genre Theory

Genre theory posits that there is a difference in language use, depending on factors associated with communicative purpose. Within the social sciences, it may be possible to say that there is a single Political Science lecture genre. However, the results of this analysis show that this is possibly a simplification. This section discusses the implications from two opposing angles; firstly, seeing the lectures as a single genre; and secondly viewing them as a number of genres. I will call these the Single-Genre Approach and the Multiple-Genre Approach. Following this discussion, an attempt is made to bring the differences and similarities into focus so that a coherent interpretation of the results in terms of genre theory can be achieved. First, however, the characteristics of the data will be considered as it relates to the lecture as a specific linguistic genre.

#### *6.1.1 The Academic Lecture and Genre Theory*

In 2.3.2 the approach to genre used in this thesis was outlined. It took into account both the cultural and linguistic factors that make up a genre. In terms of this approach to genre, the academic lecture as a linguistic genre can be provisionally described as follows:

- An academic lecture is a specific linguistic activity which involves the lecturer imparting knowledge to students through a generally monologic discussion, although there can be interaction with the students.
- The specific community involved in the use of lectures consists of the lecturers from various academic departments and their (undergraduate) students.

- The need to communicate information to a large body of students results in the linguistic genre called an academic lecture.
- All the lectures followed a specific structural or organisational pattern, as predicted by genre theory. The mode, as part of the structure of the lectures, was generally the same throughout all the data. The field of each sub-discipline did, however, reflect differences, as predicted by the Systemic Functional model of language.

### *6.1.2 Single-Genre Approach*

This section discusses the Single-Genre Approach as explained above. Most approaches to genre theory would consider that all academic lectures constitute a single genre. This develops from the use of schematic structure as the defining linguistic characteristic of a particular genre. The data clearly demonstrate this structural similarity at both schematic level and at the lexico-grammatical level in the use of thematic progression and conjunctive relations. These similarities give lectures their distinctive nature and differentiate them from other spoken academic genres such as tutorials or longer postgraduate seminars.

Viewing all academic lectures as a single genre would bring into focus the similarities found across academic lectures in all disciplines. This approach would, however, hide the unique differences in language use that each discipline brings to the lecture genre. The next section addresses the recognition of the differences between disciplines.

### *6.1.3 Multiple-Genre Approach*

This section discusses the Multiple-Genre Approach as explained above. Evidence from the data analysed in this thesis indicates that language use among the sub-disciplines varies according to the field-specific schematic structure and the lexico-grammatical resources that realise the field. This may suggest that each sub-discipline's language use should be considered separately from the others.

The analysis of the lecture data clearly shows that each sub-discipline subsumed under the name of Political Science has some linguistic characteristics that are specific to it. The characteristics are most evident in the way that the subject matter of the sub-discipline is presented through the lexico-grammar.

The historical orientation of the South African politics lectures is based on the succession of political actors, usually political parties and the events in which they took part. This is realised in the language through reference to events as they occur in time. Various time periods or years are mentioned throughout the lectures. Often an earlier time period is contrasted with a later one to demonstrate a change or political development. This is different from Political Philosophy, which has a philosophical orientation. It is concerned more with hypothetical situations that are justified through argument. Generic reference to people and the use of lexico-grammatical devices such as *if* are used to create the hypothetical reality. International Relations is similar to South African Politics in that it deals with the actions of political entities. However, it is concerned with international rather than local political actors. This is linguistically realised through reference to states either generically or specifically, for example, *South Africa, Britain, the USA*. Certain elements of the schematic structure are also affected by field differences. This is demonstrated by the relationship of the various subsections of discussion sections. Thus, the field characteristics are different between the sub-disciplines and this affects the lexico-grammatical features that realise field. It could be suggested that each sub-discipline should be recognised as creating its own genres.

It thus seems necessary to view the language of Political Science, not as one generalisable whole but as being made up of a number of sub-disciplines with some common elements. These sub-disciplines draw from other academic disciplines, in these cases notably, history, philosophy and International Relations. It would be interesting to observe the genres of those disciplines to determine whether they have any definable sub-disciplines of their own.

#### ***6.1.4 A Combination of Approaches***

This section discusses a combination of the Single-Genre Approach and the Multiple-Genre Approach addressed in 6.1.2 and 6.1.3 respectively.

If genre is seen in structural terms, following the Single-Genre Approach, then the linguistic variations reflected by the systemic register variable of field would tend to be ignored. Thus, academic lectures as a whole would be considered as a single genre. If field is used as a defining principle in determining genre, following the Multiple-Genre Approach, it seems that there would be an unnecessary proliferation of genres. Recognising a large number of genres would obscure the similarities and

differences between various sub-disciplines which can exist within the same genre as a result of field variation. The results of this analysis support the structural view of the Single-Genre Approach in that each genre has its own schematic (or generic) structure. However, it may be necessary to divide the lecture genre into various discipline-specific sub-genres based on variation in the realisation of field.

## **6.2 Academic Literacy and Genre**

The New Literacy Studies approach to literacy (see 2.1.4) views literacy as an integral part of society. The many uses to which society puts literacy determine that there are different literacy practices. This develops from the fact that spoken and written language often combine to create distinctive literacy practices. Within the university, this leads to a variety of literacy practices involving a combination of reading, writing and speaking.

Looking specifically at literacy within the academic environment, the discussion in the literature review suggests that each discipline is characterised by specific linguistic requirements (see 2.2). These are based on the academic cultural expectations of each academic discipline and the general academic culture. Most students have not been exposed to either the culture or the literacy practices of the university before entering the institution. A description of the language used in academic institutions could therefore provide information useful to teaching academic literacy. This is particularly important for second-language English speakers who have the added problem of language to contend with. A very explicit description of the language of a particular discipline would be vital. A study such as this would involve determining which aspects of academic language are difficult for students to comprehend. Firstly, comprehensive descriptions of various academic genres would need to be developed. The characteristics of each genre can be isolated and their ease or difficulty of comprehension can be tested. Secondly, once these areas of difficulty have been determined, appropriate teaching materials can be created to address these areas of difficulty. Within the university, academic literacy would entail being proficient in the use and comprehension of all language associated with one's courses of study.

The concept of literacy practices can be integrated with the theory of genre (see 2.3.1) in that different linguistic genres can be seen to be associated with different literacy practices. This integration is possible because both literacy practices and genres are defined according to their social purpose. The particular social purpose that produces or uses a particular linguistic genre can thus be linked to a

literacy practice which is also associated with that social purpose. The social purpose behind a lecture is to teach students. This is accomplished by one lecturer speaking to an audience of students. This creates the particular spoken lecture genre. The students need to take note of the information presented in the lecture and thus the lecture/note-taking literacy practice develops. Combining the theories of literacy practices and genre, the academic lecture can be described in the following way: there are two basic linguistic genres involved; the spoken lecture and the lecture notes taken by the students. The literacy practice involved here would be described as involving the students in listening to or reading the information provided by the lecturer and then summarising the information in written form while the lecture is in progress.

### **6.3 Possible Implications and Uses**

This section examines the possible uses for and implications of the results: for students who are exposed to the lecture genre, for lecturers who could use the descriptions of the schematic structure in constructing their lectures, and for courses that teach academic literacy.

Most of the implications and uses discussed below can be seen in terms of Swales' concept of rhetorical consciousness (1990:213). Rhetorical consciousness is an explicit awareness of the linguistic forms and functions of the various genres that are used within the academic environment. This can be seen from Giltrow and Valiquette's (1994) point of view as determining the practical consciousness about the various genres and developing it into discursive consciousness (see 2.4.2) so that the practical and discursive consciousness become one and the same.

#### ***6.3.1 Implications for Use by Lecturers***

Lecturers who are made aware of how they use language in their lectures may be put in a position to improve the way they convey the information in their lectures. For example, lecturers could be encouraged to follow a lecture structure that contains explicit introductions, conclusions and appropriate discourse-structuring elements in the discussion section of the lecture. Following this type of pattern may enable students to see the structure of the lecture as it unfolds. This would make them aware of how the elements of the lecture relate to each other and which elements are most important. It would be necessary for students to be told how the lecture will be structured and that the lecture will always follow the same pattern. In terms of field variation, different fields seem to expect different amounts

of assumed knowledge. The less knowledge of the field that is assumed, the more elements of the field are defined in the lectures to make the new knowledge explicit. It may be necessary to determine how much of the assumed knowledge the students actually have so that the discussion of the field makes the appropriate knowledge explicit.

### *6.3.2 Implications for Use by Academic Literacy Courses*

Academic literacy courses may need to take into account the variations of language used in various academic disciplines. Dudley-Evans (1994) suggests that these differences may require different comprehension strategies (see 2.5.2). If this is the case, and it would need to be tested, then students could be trained to use the appropriate comprehension strategies. This would entail establishing how variation in language use affects the required comprehension strategies and how the comprehension strategies should be taught. Related issues that need further investigation in this regard are: what areas of language variation affect comprehension; whether it is necessary to take variation into account; and what types of variation need to be taught.

The following are some suggestions for using the description of the lecture data described in Chapter 5.

- The schematic structure of lectures could be used as a basis for developing exercises to enhance students' listening abilities. This would involve sensitizing them to how the structure of the lecture contains different informational elements and how these elements function in the lecture.
- Since the lectures seem to show a preference for explanation through consequential conjunctive relations, exercises based on picking out the main points or understanding the reasoning of explanations could be used to enhance summarising abilities. The functions of the various conjunctions would have to be explained, especially to second-language students. The Systemic Functional approach to describing language provides a theoretical base from which to develop functionally-based teaching materials.
- The field-specific schematic structure could be used to develop comprehension exercises which pick up the points of the lecture by seeing how they are reflected by this structure. These would

work in the same way as exercises based on the schematic structure of the lectures. In addition to this, lecturers could use knowledge of the field-specific schematic structure to check how well the students have understood the lecture. This could be done by questioning students at appropriate intervals in the lecture.

- Different fields have a preference for different thematic and topical choices. It may be possible to highlight the discipline-specific topical choices for students so that they could be sensitised to the main elements of each field.

### **6.3 Further Research**

This section discusses avenues of further research directed towards the linguistic characterisation of academic language. Firstly, the analytic method is examined and some extensions to it are suggested. Following this, a number of future projects that are possible extensions to this project are discussed.

#### ***6.3.1 Extensions to the Analytic Method Used in this Thesis***

The analytic method used in this research concentrated on the schematic structure of the lectures and their realisation of field and mode. This produced an informative, although partial, characterisation of the data. However, the small scale of a Masters thesis meant that it was not possible to analyse all the linguistic elements of field and mode. In addition, the register variable of tenor was not considered.

The first suggested extension to the analytic method would be to include all elements that relate to field and mode in an analysis. This could be supported by an analysis of the interpersonal element of the lectures as reflected by lexico-grammatical features related to the tenor register variable. Flowerdew (1994b) points out that this aspect of academic lectures has been relatively neglected although it has been found that the interpersonal features of lectures seem to play an important part for students (Flowerdew & Miller 1992).

A larger database could be collected and statistical analyses of various features could be attempted. Along with the statistical analysis, qualitative analyses could also be undertaken to provide a different view of the data in the database. It seems that a combination of a qualitative analysis, such as the analysis as carried out in this thesis, and statistical analyses could provide a means to gather very

reliable and thorough data on the characteristics of the lecture genre. The statistical analysis could provide proof for insights gained from the qualitative analyses (Bhatia 1993).

### ***6.3.2 Other Projects***

More extensive projects could be developed to address some of the deficiencies that result from small-scale research by using a much larger database.

One possible project which would provide a more complete characterisation of language use in a particular discipline is to gather data from a number of tertiary institutions. This would use a cross-section of data produced by different lecturers about the same subject matter. An analysis of this data would produce a more generalisable description of the language use of each sub-discipline.

Another project that would add to the description of the data in this thesis would be to analyse lecture data from other disciplines, as this would provide some useful comparisons. First, there may be some similarities across disciplines in the way that they represent their field and the way that they structure their lectures. Determining if there are any general types of variation across disciplines would be informative. If there are general types of language variation, these could be used profitably in materials development for courses teaching academic literacy and academic skills.

As mentioned in 6.2.3, different comprehension strategies may be associated with variations in language use. Thus, it may be informative to determine what types of strategies are needed for which characteristics of language variation. If this does indeed produce results dependant on lecture variation then the implementation of these findings for academic skills courses should be considered.

From the point of view of the lecturers who use the lecture as their main vehicle for teaching, descriptions of lecture language could be useful. Research could be conducted into how lecturers might profitably use such information on their language use in lectures.

## **6.4 Conclusion**

This thesis began by considering the fact that many students in South African universities, especially disadvantaged students, could benefit from being taught academic literacy skills.

Following the view of the New Literacy Studies, academic literacy is seen as a specific set of literacy skills which differ from literacy skills used outside tertiary educational institutions. Further, literacy skills and the types of literacy that they are associated with are seen as part of the social fabric of society. The many factors affecting social standing, attitudes and beliefs play a role defining the various literacy practices. This also leads to some people being excluded from exposure to certain literacy practices. One literacy practice that all students at universities have to master is the lecture/note-taking practice. This involves both listening comprehension and the ability to summarise the information correctly while the lecture is progressing. This task may present difficulties to second-language speakers who do not have complete command of the language which is the medium of instruction.

Teaching those skills associated with lecture comprehension would seem to be important, since most teaching is in the form of lectures. To gain an understanding of the lecture as a specific type of language use, an analysis of a sample of lecture data was undertaken. The discipline of Politics was chosen because the Department of Politics at Rhodes University has a high number of first-year students and because there is little research undertaken in the characterisation of the language of the social sciences.

The theory of genre provides a way to categorise language use by describing both the social and contextual factors that create the genres and the linguistic features of those genres. Focusing on linguistic characteristics using Systemic Functional analytic tools, the analysis of the lectures showed that their structural elements were the same and this demonstrated that they can be considered the same genre. However, the realisation of field in three sub-disciplines of politics (South African Politics, Political Philosophy and International Relations) showed marked differences. This led to the conclusion that, within the lecture genre, there are likely to be sub-genres, each of which is defined by its realisation of field.

The research project only looked at a small amount of data. The results of the analysis agree with the general findings of other similar analyses and the predictions of systemic functional theory. However, more of this type of analysis needs to be done to properly validate these findings and provide a more generalisable picture of the language of academic lectures.

In conclusion then, the schematic structure of lectures and the differences in field would need to be investigated to show whether they need to be taken into account by academic literacy courses when teaching students lecture-comprehension skills.

## APPENDIX A

This appendix contains the summary of the analysis that was used for the validation interviews.

### Discussion of Lecture Analysis

#### Schematic Structure

The schematic structure refers to the major structural elements in a lecture and the function that they perform.

- Broad Outline:
  - Introduction - introduces the lecture, relates to previous lecture(s) and describes what will be in the current lecture
  - Discussion - the presentation or discussion of the lecture topic
  - Conclusion - sums up the lecture and points to the next lecture
- Discussion Section
  - Discussion divided into sub-sections dealing with specific (sub)topics
  - Each sub-section has a specific relationship to the others depending on the sub-discipline
    - South African Politics is temporally related
    - Political Philosophy is based on developing a particular point about the philosophical theory being discussed
    - International Relations is based on the presentation of topics with accompanying illustrations.

#### Theme

- Continuous
  - Used to develop a discussion/description around a specific topic.
- Linear
  - Used where various facts are related to each other to make a point or to draw a conclusion from the discussion.

## Conjunction

- Prominence of conjunctions indicating cause and effect.
  - The purpose of the discussions is to explain

## Transitivity & Thematic Selection

- S.A. Politics
  - S.A. Politics emphasises 'things' in the form of political actors: people as individuals do not feature often. There is very little use of concepts.
  - Needs to ascribe events/political actors etc with their most important attributes so that these can be used to describe their relation to or effect on other events/political actors.
- Political Philosophy
  - Political Philosophy refers to 'people' generically, situations and concepts play a large role in these lectures.
  - Needs to continually define concepts so that they can be used to introduce new elements of the philosophical theory and so that they can be used further in the discussion of the theory.
- International Relations
  - International Relations concentrated on political actors in the form of states, organisations of states and other international political actors.
  - There is a need to introduce and define new concepts related to the field.
- Lecturers and Students
  - In general, references to the lecturer and students are used along with verbs such as *see*, *understand*, *view* to indicate how the information should be interpreted by the students.

## Lexical Relations

Analysis of the elements of the vocabulary shows the topics and other types of elements that are brought into the discussion.

- S.A. Politics
  - S.A. Politics lectures have a temporal element that runs right through the whole lecture. The general selection is concrete entities or groups of people.
  - The use of the temporal string is to situate each section of the discussion in time and it also allows for the comparison of different time periods.
  
- Political Philosophy
  - Political Philosophy concentrates on concepts and relatively abstract items.
  - The field concentrates on hypothetical reality rather than concrete reality.
  - Time is not a consideration in Philosophy in comparison to the historically based S.A. Politics.
  
- International Relations
  - International Relations concentrates on the political actors and their interaction through, for example, conflict with each other.
  - The field is based on the description of the interaction of states and other organisations on an international scale. It is thus concerned with both the historical developments and current state of relations between the various international political actors.
  
- Taxonomies
  - S.A. Politics does not need to explicitly define political actors such as the ANC, National Party etc. because they are assumed knowledge ie the students already know about the political parties.
  - Elements of the Philosophical theory need to be defined and related to each other so that the students can see how the elements of the theory develop and fit together.
  - International Relations needs to define the various points of view related to the discipline and taxonomize the structure of the international system(s) vis-à-vis the relationships between the political actors that are being discussed.

## APPENDIX B

This appendix provides a breakdown of the number of themes and conjunctions in each lecture in the data.

	S.A. Politics	Political Philosophy	International Relations
<b>Lecture 1</b>	211	158	196
<b>Lecture 2</b>	203	124	135
<b>Lecture 3</b>	175	192	183
<b>Lecture 4</b>	198	201	187
<b>Total</b>	787	675	701

**Table B.1. Number of Themes Analysed in Each Lecture**

	S.A. Politics	Political Philosophy	International Relations
<b>Lecture 1</b>	133	180	101
<b>Lecture 2</b>	128	142	70
<b>Lecture 3</b>	110	219	94
<b>Lecture 4</b>	124	230	96
<b>Total</b>	495	771	361

**Table B.2. Number of Conjunctions Analysed in each lecture**

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