Genre Analysis of Research Articles in English: Theory and Application

英语学术论文的体裁分析——理论与应用

杨瑞英 著

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序

纵观语言学与应用语言学研究的发展，从 20 世纪 60 年代开始，研究的重心慢慢从小句转到语篇，从 80 年代中期起，越来越多的学者注重语言使用和语篇结构的研究，因此“体裁”(Genre)的概念应运而生，并很快与语言教学与研究紧密结合起来。研究的队伍分别出现在美国、英国及澳大利亚的英语教育领域，即应用语言学学科。必须指出的是，“体裁”这一术语在 19 世纪就已经出现了，但它是用于文学和艺术领域，指具有显著特点和固定样式的文学或艺术类别。“体裁”这一术语进入应用语言学领域后，概念被重新定义了，与文学或艺术界的解释相去甚远。应用语言学中的体裁概念确定了交际目的和交际功能在语篇结构、语言使用及文体选择上所发挥的决定性作用，为语篇分析研究摆脱结构主义的制约和提高英语教学的针对性和实效性指出了一条新路，其理论价值和实践意义无需赘言。

以“体裁分析”(Genre Analysis)为主题，检索中国知网系列数据库，会找到将近 1000 篇有关体裁分析及体裁教学法的论文，可见这些年国内学者对体裁分析亦给予了广泛的关注。这些论文基本上发表于 2000 年以后，继韩金龙与秦秀白教授在《外语界》上合作发表的综述性文章“体裁分析与体裁教学法”及上海外语教育出版社于 2001 年引进出版的 John Swales 的 *Genre Analysis: English in Academic and Research Settings*。这些论文的分析对象包括学术领域的学术论文摘要、引言、结论等不同部分，商业领域的求职信、促销信、广告以及演说类体裁的就职演说、演讲稿等。但是，其中关于学术论文(Research Article)这个体裁的已有研究几乎没有针对整篇文章的，也没有包括非实证性研究，即理

论思辨性论文。此外，许多论文几乎都会在结论中包含一段关于教学启示的文字，却鲜有直接展示如何把研究结果应用于教学的。再者，在这些已经发表的论文中，“体裁”这一概念的应用也多种多样，如有的学者把学术论文摘要、引言等不同部分看作是不同的体裁。如何理解这些不同体裁之间的关系以及如何更严谨地使用体裁这一概念也是已有研究中所缺乏的。

杨瑞英教授在 *Genre Analysis of Research Articles in English: Theory and Application* 的著述中，对体裁分析三大流派、分析的方法和过程以及如何将分析结果应用于教学进行了全面、系统的阐述。该书第一部分的创新性内容是关于体裁的定义及分类方法。该书在确认 Swales 定义中“体裁是具有相近交际目的的一组交际事件”之外，特别指出体裁知识包括两个层面的信息，即社会文化层与语言表达层，前者体现在交际目的、语境、双方角色以及交际活动上的相似性，后者体现在语篇结构、语法与词汇使用及文体上的规律性。从交际活动与语言表达是否共现的角度，把现有的体裁归纳到三个层次构成的体系中。该体系很好地梳理了各种不同的体裁及其之间的关系，是本书的一个重要理论贡献。

该书的第二部分是基于“专门用途英语”(ESP)体裁分析传统对应用语言学学科学术论文全文进行的非常系统的分析，既揭示了学术论文宏观和微观层面的共性，又用实例展示了因具体研究设计或作者因素所存在的个性。该书第三部分汇报了三个工科学科学术论文的语篇结构特征并讨论了学科之间的异同。最后，本书结合二语习得与体裁分析的研究成果，提出了基于体裁的学术英语教学应该遵循的原则。该原则既关注体裁共性又注重提高学生对文本个性的认识，既关注教师的引导作用，又注重启发学生的探究能力。在此基础上，该书设计了具体可用的教学任务，用实例展示了如何把教学原则落实到任务设计之中。这是该书的一大特色，对科学地开展基于体裁分析的教学具有非常重要的意义。

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毫无疑问，该书的出版有弥补空白的作用。对有志从事体裁分析研究的应用语言学领域的年轻教师和研究生有指导意义，对高校有志于运用体裁分析理论推动英语教学改革，使之满足高层次的学术英语需求有很高的实用价值。

我们要感谢杨瑞英教授为体裁分析研究所做出的贡献，也期待更多的学者加入这支研究队伍，为我国应用语言学研究的提高添砖加瓦。

是为序。

黄国文

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2014 年 9 月 10 日

前　言

近十年以来，在英文期刊上发表高水平的学术论文对中国学者愈来愈重要，因此英文学术论文这个体裁也得到了愈来愈多的关注。然而，尽管国内外关于学术论文的研究数量不少，但大多是关于论文某一部分的分析，如引言、摘要等。关于学术论文全文的系统性分析研究还非常少，且关于体裁分析在教学中的应用大多停留在教学启示上。此外，体裁概念的应用也存在一定的模糊性。

本书在对体裁知识的重要性及其概念进行充分阐述的基础上，开展了针对多个学科学术论文全文的分析，包括应用语言学、机械工程、电子与信息工程和能源与动力工程。本书共分四个部分。第一部分对体裁分析三大流派的理论及相关研究进行了讨论，提出了集三大流派思想精髓的新的体裁定义和新的体裁分类标准与框架，对深入理解相关理论问题具有重要意义。第二部分是对应用语言学科学术论文全文的分析，包括语料的选择、分析的方法与步骤、分析涉及的语轮及语步的定义、论文宏观结构和微观结构等。本书分析的基本单位为语轮和语步，用单引号表示。讨论中引用的具有特定意义的术语也用单引号表示。分析过程中，通过很多例证，在学科特点与上下文语境中探讨了不同部分语篇模式的共性与特性。由于本部分应用语言学的语料来自于四个重要的期刊，因此，对不同期刊学术论文特点的探讨也包含其中。第三部分是对三个工程学科学术论文全文的分析，包括其宏观与微观结构。最后一部分是在对中国学习者学术论文中存在问题分析的基础上，展示如何把体裁分析的结果应用到英语学术论文的读写教学之中。该部分包括教学应遵循的原则以及基于引言部分的具体的任务设计，具体展示了如何启发学生

的体裁意识并认识学术论文引言部分的交际功能，培养学生从功能的角度对引言样例进行系统分析并探寻语篇组织模式的能力。虽然这部分任务设计仅涉及学术论文的引言部分，但其设计理念与任务类型对其他部分的教学具有很高的借鉴意义。

本书从语篇的社会交际与语言表达层面对体裁概念的重新定义及对体裁的分类对厘清现有概念应用中存在的混乱现象具有重要理论意义；对非实证性论文宏观及微观结构的分析打破了以往体裁分析研究以实证或实验性学术论文为主的局面。此外，本书所包括的教学任务设计部分对如何处理基于体裁的教学中可能存在的归约性与创造性这一矛盾进行了探索，对合理高效地应用体裁分析结果开展学术论文读写教学具有重要的应用价值。

本书适合于语篇分析和体裁分析的研究者及希望开展基于体裁分析的学术英语教学的大学教师参考与借鉴。

Abstract

This is a book about genre analysis and research articles (RAs) in English. It first discusses and evaluates three dominant approaches to genre—ESP Genre Studies, New Rhetoric Genre Studies and Australian Genre Studies. On such basis, a new definition of genre is proposed and a new perspective to understand the myriad of genres is developed. It proposes that genre consists of a social plane and a verbal plane. The features of the social plane can be embedded and realized in the verbal plane, and verbal plane can then act upon the social plane. The New Rhetoric Genre Studies put more emphasis on the factors at the social plane and traces how the verbal plane changes with the changes at the social plane, while ESP Genre Studies and Australian Genre Studies put their emphasis on the verbal plane, exploring the realization of social functions at the verbal plane. The three approaches are complementary rather than in contention.

The quantity of genres that have been studied are not in a small number, and the concept of genre has been applied in different ways by different scholars. Swales (1990) pointed out that communicative purpose is a privileged criterion to keep the scope of a genre and to put under control the variation of rhetorical action, so it is taken as a criterion to identify and define genres by many scholars. As there exists a hierarchy of communicative purposes, hence a myriad of genres is identified at different levels. This book discusses such theoretical

issues and proposes a new perspective in understanding the myriad of genres in relation to the distance between experiential activity and verbal expression.

The analyses of RAs were carried out in the tradition of ESP genre studies. The data were complete research articles of potentially all types of RAs in the four disciplines covered because no restriction was imposed on the selection of only empirical or experimental RAs in the process of data collection. This is a unique feature of the present book. The four disciplines involved are Applied Linguistics, Mechanical Engineering, Electronics and Information Engineering and Energy and Power Engineering. Analysis of Applied Linguistics RAs constitutes the bulk of the book, with detailed description of the selection of data, the process of analysis and the results of analysis in relation to the journals from which the data were selected, i.e. *Applied Linguistics*, *TESOL Quarterly*, *English for Specific Purposes* and *English Language Teaching Journal*. The RAs in the three engineering disciplines were reported in a concise manner in one chapter.

At the macro-level, two major types of RAs and two corresponding macro-structures of RAs were identified in relation to the key characteristics of study—the source of data. In the discipline of applied linguistics, the two types of RAs are primary and secondary RAs with distinctive patterns of organization (Introduction, Method, Results and Discussion). The primary RAs largely follow the conventional IMRD pattern with the possibility of new sections of theoretical basis and literature review to occur between introduction and method as well as pedagogic implication towards the end of RAs. The Sec-

ondary RAs comprise three obligatory sections: Introduction, Argumentation and Conclusion, and may optionally include Theoretical Basis, Literature Review and Pedagogic Implication sections.

In the three engineering disciplines, two types of RAs were identified: Experimental and Theoretical. The experimental RAs tend to follow the IMRD pattern, but the theoretical ones have a unique section describing or formulating analytical modal or mathematical analysis. This finding is valuable because previous genre analysis of RAs almost all focused on experimental RAs.

For the RAs in applied linguistics, moves and steps as well as the frequent order of their occurrence were identified and explained in light of communicative purposes and in comparison with earlier findings. With regard to the introduction section, Swales CARS model can capture the stable communicative purposes of both primary and secondary RA introductions although cyclicity, new steps and varied sequences can occur. The structure of the method section appears to be sensitive to the method of data collection. The results section largely combines reporting and commenting on results, which supports the findings in the literature. The discussion is analyzed in a different framework from that used in the previous genre studies of this section. The new scheme of analysis can better capture the functions of this section. In addition, the conclusion is not an equivalent alternative section to the discussion as regarded by prior studies. They can overlap in terms of communicative purposes, but difference exists in terms of communicative focus. The structure of the argumentation section is shown to be sensitive to whether the RA is arguing for a

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theoretical position or pedagogic issue. The rationale of the occurrence of particular elements was extensively explored.

For the RAs in the engineering disciplines, although there are differences in the RA structures across the three disciplines, the macro structures of experimental RAs largely conform to the widely accepted IMRD framework, with a tendency to combine the results and method sections. The RA introductions are largely linear and concise with fewer cycles of moves than those in the discipline of applied linguistics. The conclusion sections of the RAs are also largely linear and concise. In theoretical RAs, the theoretical analysis section, including mathematical analysis or modeling can occur after the introduction. Towards the closing stage, there is the possibility for a new section, i.e. implementation/application.

Finally, the book discusses pedagogic implications and applications for a genre-based approach to the teaching of academic reading and writing for EFL learners at the graduate level. It recommends and demonstrates a task approach integrating awareness-raising, focused analysis and pattern seeking activities on the basis of extracts of authentic RAs.

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