CHAPTER 2

REVIEW OF RELATED LITERATURE

This proposed research focuses on reviews related theories and literature to understand the questions theories. In this chapter the writer would like to elaborate the theory related to the research which is done by the writer. This focus on students rhetorical problem, rhetoric in background of research proposal and the previous study of the research. Each of these are discussed in the following sections.

2.1 Theoretical Framework

2.1.1 Rhetorical Problem

Rhetorical problem is a problem faced by the writers where they engage in difficult knowledge transforming operations to adapt what they know to meet the rhetorical goals of, for example, involving and interesting a particular audience.²⁶ To achieve that goals, writer has to follow some rhetorical rules which consists of rhetorical devices. As we probably now that rhetoric is the ancient art of argumentation and discourse. Thus, rhetorical devices would be the devices used to manipulate the language to effectively transmit the author’s message to a reader. Whereas, literary devices are applicable to literature that has a primary universal function as an art form expressing ideas through language to readers.

²⁶ Carey L. J - Flower Linda. Foundations for Creativity, ...............4
In Carey’s study found that writers who integrated content and rhetorical planning will be focus on their purpose and audience in producing text.\textsuperscript{27} Moreover based on Swales typical introductions is a crafted rhetorical artifact. At the published textual level, a manifestation of rhetorical maneuver comes from introduction.\textsuperscript{28} Then to know the extend of rhetorical work, it can be seen from the comparison the expert and the non-expert products.

\textbf{2.1.2 Rhetoric in background of Research Proposal}

Rhetoric in the background is important because it helps the writers to deliver their purpose to the readers. A rhetorical analysis in the introduction has been done by Swales. He makes a model of rhetorical analysis in the research article introduction. This model is called Created-Research-Space (CARS). Igor Lakic stated that Swales models is an important tool in analysing research article introductions, but that additional research is necessary to reveal their specific characteristics in different discipline.\textsuperscript{29} An introduction in research article is similar to a background in the research proposal. Ani Rakhmawati stated that introduction section is sometimes replaced with another label, ‘Background’ and ‘Background of the Study’.\textsuperscript{30} It can be concluded that rhetorical features in the background is the same as rhetorical features in the introductions of research article. So it can also analyse use Swales CARS model which is many use as the

\begin{thebibliography}{10}
\bibitem{27} Carey L. J - Flower Linda. Foundations for Creativity, .................4
\bibitem{28} Swales John M. \textit{Genre Analysis, English in Academic and Research Writing} ............... 137.
\bibitem{29} Igor Lakic, \textit{Analysing Genre: Research Article Introductions in Economic. Vol 3.}( University of Montenegro, 2010).
\bibitem{30} Rakhmawati Ani, English Research Articles..................... 5.
\end{thebibliography}
tool to analyse research article introduction. Based on the CARS model by Swales, the rhetorical in background can be analyzed by some moves. Swales divided 3 moves (parts). Each move consists of several steps. These are the Swales CARS model:

<table>
<thead>
<tr>
<th>MOVE 1: ESTABLISHING A TERRITORY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 1-1</td>
</tr>
<tr>
<td>Step 1-2</td>
</tr>
<tr>
<td>Step 1-3</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>MOVE 2: ESTABLISHING A NICHE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 2-1A</td>
</tr>
<tr>
<td>Step 2-1B</td>
</tr>
<tr>
<td>Step 2-2</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>MOVE 3: PRESENTING THE PRESENT WORK</th>
</tr>
</thead>
<tbody>
<tr>
<td>Step 3-1</td>
</tr>
<tr>
<td>Step 3-2</td>
</tr>
<tr>
<td>Step 3-3</td>
</tr>
<tr>
<td>Step 3-4</td>
</tr>
</tbody>
</table>

Swales (1990, 2004)\(^{31}\)

---

Figure 1.1

Rhetorical Schematic Structure of CARS model by Swales.

---

\(^{31}\) John.M.Swales. Genre Analysis .................................... 144.
Those are the data of Swales’ CARS model. The explanations as follow:

2.1.2.1 Move 1: Establishing Territory

1) Step 1-1 Centrality Claims

Centrality claims helps writers to convince the discourse community that the proposed research is well establish and necessary to be conducted. It can claims interest or importance; it can refer to the classic, favorite or central character of the issue; or it can claim that there are many other investigators active in this area. Igor Lakic stated that centrality claims is the part where the writer or the aouthor tries to attract the attention of the readers and also claims that the topic under the investigation important for his/her own research. Some typical examples of linguistic exponents and signal of centrality claims are given below in abbreviated form:

Recently, there has been a spate of interest in how to ........
In recent years applied researches have become increasingly interested in ........
The study of ........ has become an important aspect of ..... The theory that ................................ has led to the hope that ........
The relationship between ................................ has been studies by many authors. Recently, there has been wide interest in ........
Many investigators have recently turned to ..............

---

33 Igor Lakic, *Analysing Genre: Research Article Introduction in Economic* ..................................87
Centrality claims are typically communicated in a single sentence, but can extend over two or more sentences. Meanwhile, Wallwork stated that in centrality claims, it can be found by some phrases such as:\textsuperscript{35}

In recent years there has been considerable / growing interest in …
X is the main / leading / primary / major cause of ..
Xs are a common / useful / critical part of…
Xs are among the most widely used / commonly discussed / well-known / well-documented / widespread / commonly investigated types of …
X is recognized as being / believed to be / widely considered to be the most important…
It is well known / generally accepted / common knowledge that X is …
X is increasingly becoming / set to become a vital factor in ...
Xs are undergoing a revolution / generating considerable interest in terms of…
Xs are attracting considerable / increasing / widespread interest due to..
X has many uses / roles / applications in the field of …
A striking / useful / remarkable feature of …
The main / principal / fundamental characteristics of X are:
X accounts / is responsible for …. 

Furthermore, Igor Lakic also classify some words signal centrality claims, such as interest, considerable, growing, and important. These are the examples of phrases which are signal this step:\textsuperscript{36}

These phenomena have been extensively studied..............
In recent years, there has been a marked increase in interest in .......
........ had been an important issue in ...........
A complete solution is obtained by combining ........

\textsuperscript{36}Igor Lakic, \textit{Analysing Genre: Research Article Introduction in Economic}................. 146
**Step 1-2 Making a Topic Generalization**

This step represents a more neutral kind of general statement than in Step 1. Step 2 can take variety of forms, but generally fall into 2 categories: statements about knowledge or practice, or about phenomena. The abbreviated examples of the first group are:

There is now much evidence to support the hypothesis that . . .
The ..... properties of ...... are still not completely understood.
A standard procedure for assessing has been ..............
Education core courses are often criticized for ..........

Typically, this step expresses in general terms the current state of the art-knowledge or as in the case of current requirements for further progress. The second group of topic generalization refers to phenomena, such as:

...... is a common finding in patients with ........
An elaborate system of ..... is found in the ........
There are many situations where ..............

As these examples indicate, there is a strong tendency for phenomena topic generalizations in particular to establish territory by emphasizing the frequency and the complexity of the data. There are others which can be used to make the topic general, they are:

Last century X was considered to be / viewed as / seen as the most ...
Initial / Preliminary / The first studies of X considered it to be
Traditionally X / In the history of X, the focus has always been ...
Scientists / Researchers / Experts have always seen X as ...
Until now / For many years / Since ........ Xs have been considered as..

---

37 Swales, *Genre Analysis* .................. 146
38 Adrian Wallwork, *English for Writing Research Paper* .............. 276
X has received much attention in the last two years / in the past decade / over the last two decades …
For the past five years / Since … there has been a rapid rise in the use of Xs
The last two years have witnessed / seen a huge growth in X …
The past decade / last year has seen a renewed importance in X …
Recent developments in / findings regarding X have led to …
X has become a central / an important / a critical issue in …

Step 1-3 Reviewing Previous Study

The third step in establishing a territory is the review of one or more items deemed by the authors to be relevant to that establishment. The author needs to relate what has been found (or claimed) with who was found it (or claimed it), the author needs to provide specification (in varying degrees of detail) of previous findings, an attribution to the research workers who published those results, and a stance towards the findings themselves.39

In this step, the writers use simple present, present perfect tense, and past tense. They also use such common nouns referring to the product (research, report, study, experiment, evidence) or the procedure (scholar, author), mental verbs (examine, identify, observe, validate, assess). The language used as mentioned above can be characterized as reviewing previous study step. Wallwork in his book, states that there are some useful phrases to indicate reviewing previous study in research writing, the phrases are:40

Many / Few studies have been published on … [Ref]
X has been shown / demonstrated / proved / found to be … [Ref]
X has been widely investigated / studied / addressed … [Ref]

40 Adrian Wallwork. English for Writing Research Paper............. 278.
A growing body of literature has examined / investigated / studied / analyzed / evaluated … [Ref]
The first investigations into / studies on X found that ..
Experiments on X were conducted / carried out / performed on X in ....
by a group of researchers from ...
In [67] the authors investigated / studied / analyzed …
A recent review of the literature on this topic / subject / matter / area [......] found that
A number / An increasing number of studies have found that ...
Several studies, for example / instance [1], [2], and [6], have been carried out / conducted / performed on X.
Many attempts have been made [..........] in order to / with the purpose of / aimed at …
In his introduction to / seminal article on / investigation into X, ....... [3] shows that ....
.... [4] developed / reported on a new method for X and concluded that..
He claims / argues / maintains / suggests / points out / underlines that
She concludes / comes to the conclusion / reaches the conclusion that

Move 2: Establishing a Niche

Step 2-1 Indicating a Gap

Indicating a gap in background is commited by showing the limitation of previous studies, scarcity of research on the topic, and the other gap indicators utilising typical linguistic features such as attitudinal verbs (neglect, jeopardise), attitudinal nouns (uncertainty), evaluative adjective indicating attribute (little, limited, lacking), evaluative adverbs (inadequately, severely), negotiation devices (not, no), and contradiction connectors (however, nevertheless, yet, lamentably). Moreover Igor lakic found that indicating gap in research writing can be signaled

41 Kasyfur Rahman - Ahmad Sofwan. The Schematic Structure of English and Indonesia Research Article.....................18.
by some words such as lexical negation through adjective, verbs, nouns and adverbs like in the example: 42

There exist valid doubts concerning ......
Summary statistic ...... rarely reveal ......

Writer may also use negative or quasi-negative quantifiers (indifinite or pronouns), such as:

There is relatively little evidence ......
No serious explanation is given ......
Mone of these studies considers channel issues.
There are few ...... studies ......

Igor lakic also added that there are other phrases which signal a gap in research writing. the phrases rather than, might or might not can be used by some writers to signal a gap. There are some example of expression use to signal a gap given by Igor Lakic: 43

Some use average survey response data rather than individual data ..... there must be some plans which might (or might not) be considered.......

Meanwhile according to wallwork, there are some signal phrase to indicate gap. The phrase as follows: 44

Few researchers have addressed the problem / issue / question of …
Previous work has only focused on / been limited to / failed to address …
A basic / common / fundamental / crucial / major issue of …

42 Igor Lakic, Analysing Genre ............91
43 Igor Lakic, Analysing Genre .................92
44 Adrian Wallwork, English for Research Paper ................. 276
The central / core problem of ............
A challenging / An intriguing / An important / A neglected area in the field of

Current solutions to X are inconsistent / inadequate / incorrect / ineffective / inefficient / over-simplistic / unsatisfactory ......
Many hypotheses regarding X appear to be ill-defined / unfounded / not well grounded / unsupported / questionable / disputable / debatable ......
The characteristics of X are not well understood / are misunderstood / have not been dealt with in depth.
It is not yet known / has not yet been established whether X can do Y.
X is still poorly / not widely understood.
X is often impractical / not feasible / costly ......
Techniques to solve X are computationally demanding / subject to high overheads / time consuming / impractical / frequently unfeasible.
A major defect / difficulty / drawback / disadvantage / flaw of X is ......
One of the main issues in our knowledge of / what we know about X is a lack of..
This particular / specific area of X has been overlooked / has been neglected / remains unclear ......
Despite this interest, no one to the best of our knowledge / as far as we know has studied ......
Although this approach is interesting, it suffers from / fails to take into account / does not allow for ......
In spite of / Despite its shortcomings, this method has been widely applied to ......
However, there is still a need for / has been little discussion on ......
Moreover, other solutions / research programs / approaches have failed to provide ......
Most studies have only focused / tended to focus on ...... To date / Until now this methodology has only been applied to ......
There is still some / much / considerable controversy surrounding ......
There has been some disagreement concerning / regarding / with regard to whether ......
There is little / no general agreement on ......
The community has raised some issues / concerns about ......
Concerns have arisen / been raised which question / call into question the validity of ......
In the light of recent events in x, there is now some / much / considerable concern about ......
Step 2-2 Adding to What is Known

This move explains the writers knowledge of the topic, it can be an observation and a preliminary study of the research. Igor Lakic stated that this step is a part in which the authors stress something that is already known about the topic and which is, according to its characteristics, interesting enough to attract the readers’ attention. As a rule, the stated characteristics is unusual, controversial or interesting in order to attract readers’ interest. The following examples illustrates this:

Our analysis extends the work of......

This paper extends .........

It is commonly believe that.........

The tense used to realise this step is past tense while the lexical items are deictic reference (we) and activity verb (extend). Then Wallwork finds that this step can be analyse by the using of some certain phrases, such as:

Initial / Preliminary work in this field focused primarily on …

Some preliminary work was carried out in the early 1990s / several years ago …

It has now been suggested / hypothesized / proposed / shown / demonstrated that ...

As mentioned by ...... ......... ’s argument / approach / reasoning relies too heavily on …

45 Igor Lakic, Analysing Genre ............ 88.
46 Adrian Wallwork, English for Research Paper ............ 280.
As others have highlighted, .......... approach raises many doubts / is questionable …

Several authors / experts / researchers / analysts have expressed doubts about / called into question / challenged ...... on the grounds that ….

......... has already noted an inconsistency with .......... claim / methodology / method / results / approach …

......... approach has not escaped criticism / been subjected to much criticism and has been strongly / vigorously challenged …

Many experts now contend / believe / argue that rather than using Pappov’s approach it might be more useful to ...

Their analysis has not found / met with / received general acceptance …

Some recent criticisms of / critical comments on .......... work are summarized in…….

The most well-known critic of .......... findings is ... who argued / proposed / suggested that an alternative explanation might be that / could be found in …

Step 2-3 Presenting Positive Justification

It is often by announcing the rational of the present research, pointing ideal ways to fill the gap created which are applied in the research. The linguistic features to signal this step are the use of cognitive nouns (reason, rationale), mental verbs (agreed, believe), and the most obvious linguistic signals are positive evaluative adjective (robust, powerful), evaluative adjectives showing a positive attitude (relevant, appropriate, suitable), and causative connector (because).47 Then Wallwork added some useful phrases to express presenting justification in the research writing. the following phrases as follow:48

.........use of X is fully justified / very plausible / endorsed by experience.

47 Kasyfur Rahman & Ahmad Sofwan, the Schematic Structure.............19.
............ [......] assumptions seem to be realistic / well-founded / well-grounded / plausible / reasonable / acceptable.

The equations given in [......] are accurate / comprehensive …

It has been suggested ..........

Move 3: Occupying The Niche

Step 3-1 Outlining Purposes

In this step, the writers indicate their main purposes and describe what they consider to be their main features of their research. Swales indicates the signal phrase in outlining purposes as follows:49

The aim of the present study is to give .......

The main purposes of the experiment reported here was to ..... 

This study was designed to evaluate .......

Furthermore, Wallwork found that to outline paper there are some phrases which can be used by the writer. The phrases are as follows:50

In this report / paper / review / study we …
This paper outlines / proposes / describes / presents a new approach to.. 
This paper examines / seeks to address / focuses on / discusses / investigates how to solve …
This paper is an overview of / a review of / a report on / a preliminary attempt to … 

The present paper aims to validate / call into question / refute Peng’s findings regarding 
X is presented / described / analyzed / computed / investigated / examined / introduced / discussed in order to …

The aim of our work / research / study / analysis was to further / extend / widen / broaden current knowledge of …

Our knowledge of X is largely based on very limited data. The aim of the research was thus / therefore / consequently to

49 John. M. Swales. Genre Analysis................................. 163
50 Adrian Wallwork, English for Research Paper .............. 277.
The aim of this study is to study / evaluate / validate / determine / examine / analyze / Calculate / estimate / formulate …
This paper calls into question / takes a new look at / re-examines / revisits / sheds new light on …
With this in mind / Within the framework of these criteria / In this context we tried to…
We undertook this study / initiated this research / developed this methodology to …
We believe that we have found / developed / discovered / designed an innovative solution to …
We describe / present / consider / analyze a novel / simple / radical / interesting solution for …

Igor Lakic stated that instead of purpose, there are another nouns which indicates this step, such as objective, object, goal, and aim. The verbs use are examine, establish, estimate, extend, re-evaluate, further, use, consider, argue, present, indentify, demonstrate, show, generalise, offer, reformulate, document, provide, isolate, remedy, and describe.51

Step 3-2 Announcing Present Research

This step is very important because it is only now that readers become familiar with the basic attitudes and claims of the author.

The most frequent signal in this step is the phrase “In this paper……” followed by the first person pronouns – we and I or the researcher and the author.

Sometimes, passive voice is used instead of pronouns:

In this paper, I examine ……
In this paper a model ….. is proposed……

51 Igor Lakic. Analysing Genre .......... 95
Another frequent signal is *this/the* followed mainly by the noun *paper*, but also by *study, analysis* and *model*:

This paper studies ..........  
The paper investigated ..........

The next signal is the first person pronouns – *I* and *we*. In previous examples these two pronouns are also used but not as key signal:

We estimate versions........
I develop a two stages model........

Moreover Igor Lakic also adds that the verbs used in this step are (in order of frequency): *use, develop, examine, estimate, provide, investigate, focus, derive, consider, assume, discuss, analyse, study, concentrate, point out, test, and explain*.52

The analysis of Igor Lakic above is also supported by Swales. He stated that the more common deictic elements, in approximates decreasing order of frequency are: *this, the present, we reported, here, now, I, and herein*. In this step, there is strong tendency for the deictic signal to accur early. In general, the only items that precede them are occasional linking phrases. These are the phrase signal this step:53

In this study, we argue that ..........  
This study argues that............

---

52 Igor Lakic, *Analysing Genre*.................95.  
53 Swales, *Genre Analysis* ...................... 160.
Step 3-3 Announcing Principle Findings

Wallwork states that announcing the principle finding can emphasize on the referring back on research aim, the signal phrases which can be use to state this step as follows:54

As stated in the Introduction, our main aim / objective / target / purpose / goal was to ...
As stated in the Introduction, the research was conducted / undertaken / carried out in order to ...
Given that / Since our main aim was, as mentioned in the Introduction to Before interpreting our results, we remind the reader of / would just like to restate our main aims.
Returning to the hypothesis / question posed at the beginning of this study, it is now possible to state that ...

Step 3-4 Stating the value of the present research

This step states the benefit as the value of the research. Writers have to argue the importance, the value to do the research and the importance continue the next research about the same topic.55 Wallwork adds that stating the value of present research can use some appropriate signal phrases, such as:56

Further work needs to be done / carried out / performed to establish whether…
Further experimental investigations / tests / studies are needed to estimate More / Additional / Further work on X, would help us to do Y.
We hope / believe / are confident that our research will serve as a base for future studies on …
It is recommended / We recommend / We suggest / We propose that further research should be undertaken in the following areas:
More broadly / On a wider level, research is also needed to determine ….

54 Wallwork, English for Research Paper.....293.
55 Kasyfur Rahman & Ahmad Sofwan, The Shematic Structure ............ 23
56 Adrian Wallwork, English for Research Paper .............. p.292
This research has raised / given rise to / thrown up many questions in need of further investigation / study / examination. This is an important / a fundamental / a vital issue for future research. The design and development of Xs will challenge / be a challenge for us for years. Future work should concentrate / focus on enhancing the quality of X. Future studies should target / aim at / examine / deal with / address X. Future studies on the current topic are therefore required / needed / recommended / suggested in order to establish / verify / validate / elucidate …

Our results are encouraging / promising and should be validated by a larger sample size. These findings suggest the following directions / opportunities for future research: …. An important issue / matter / question / problem to resolve for future studies is The prospect of being able to do X, serves as a continuous incentive for / stimulus for / impulse for / spur to future research.

Step 3-5 Outlining the Structure of Paper

This is a step which give a brief explanation about the structure of the paper in order to make the readers understand about the sections of the whole paper. These are the signal phrase of this step based on Kasyfur Rahman and Ahamad Sofwan57.

The paper first reviews ……..
The next few sections ………..

2.2 Previous Study

Introduction section in an academic research writing is important part since it should attract the reader. Recently, there has been considerable interest among researchers in analysing the generic structure, discourse features, and history of

57 Kasyfur Rahman and Ahmad Sofwan. The Schematic Structure ….. 23.
such publication. Among these aspects, the structure of academic research writing has been to date the most attractive concern as Swales quoting Montgomery, claims it to be ‘master narrative in our time’. The introduction section in research writing being devoted to introducing the research topic to the readers. Swales quoted Rose and Arrington in his book stated that introductions are known to be troublesome, and nearly all academic writers admit to having more difficulty with getting started on a piece of academic writing than they have with its continuation. The opening paragraphs somehow present the writer with an unnerving wealth of options: decisions have to be made about the amount and type of background knowledge to be included; decisions have to be made an authoritative versus a sincere stance.

In recent years, there are many researchers studied about the rhetorical structure in research article. Samraj stated that one aspect of the research article has perhaps been most studies is the introduction. Since Swales seminal work on the move structure of research article introductions, there has been considerable interest applying the proposed model to other sets of texts. Crookes for example through further analysis, has pointed to the cyclical nature of introductions. Then, Jacoby has investigated in greater detail the use of references in introductions. Scholars

60 Yakhontova, T.V. English Academic Writing for students and Researchers. Lviv: PAIS, 2003), 105
64 Jacoby, S. References to other researchers in literary research articles. In A. Dudley-Evans, Genre analysis and ESP (Birmingham: University of Birmingham, 1987), 33.
have also used Swales model to examine texts written in different languages (such as Malay and Swedish) and cultures have concluded that introductions are influenced by linguistic and cultural differences. It is also supported by Pedro Martin and Isabel K. Leon Perez. They examined comparatively in presence of rhetorical promotion in the introduction section of 80 research article written in English and Spanish, through their study, they found that the English text present a higher degree in both field. This finding indicates that, in shaping the promotional features of the genre, when professional and national cultural factors interact simultaneously, cultural factors tend to override the influence of disciplinary context.

Furthermore, Igor Lakic stated that applied linguist agree that the author’s purpose is of crucial importance in creating a certain genre. However, genre analysis does not consider only the influence of purpose of the choice of grammatical forms, but also takes into consideration rhetorical function. Then, Robinson says that:

“the authors purpose is explained with reference to the wider professional culture to which the author belongs”

---


67 Lakic Igor. *Analysing Genre: Research Article Introduction in Economic*................. 5

Thus, genre does not refer only to text type but also to the role that a text has in the community within which it has been created. This, in turn, leads to the research of institutional culture.

The approach was developed by John Swales (1981) who investigated 48 research article (RA) introduction from different fields of science. His findings were presented in the work *Aspect of Article Introduction*, where he offered a four-move model of article introductions. In this work, Swales claims that article introduction have a structure within a series of moves (parts) appear in a predictable order. Each moves consists of several steps. In 1990, Swales offered a revised model consisting of three moves, urged by some criticisms that it was difficult to differentiate between Move 1 and Move 2. However it is debatable whether the 3-move model solves this problem. Igor Lakic argued that the choice between 3-move and 4-move model primarily depends on the discipline in which genre analysis is applied.

Therefore, the work of Swales on article introductions is considered a pioneer of genre analysis. He proposed a system of analysis which categorizes the discourse units found in the introduction section of research articles into three communicative moves and his system of analysis is often called “move analysis”. Swales model is also called Create a Research Space (CARS). Therefore, model of Swales’ analysis was adapted by many researchers especially those who deal with research papers, dissertation, journal, articles, etc. In spite of many research were done on research article introduction but using Swales CARS model, there has little research about the rhetorical analysis on research proposal background by
using CARS. In the meantime, numerous attempts have been made to investigate research article introductions in different fields such as physics, medicine, engineering, biology, etc. I have not found, though, any attempts of a detailed analysis of research proposal introductions in academic writing.

So through this study, the researcher wants to analyse the rhetoric in research proposal background use CARS model. The researcher hopes from this research, it can complete the previous study.