Analysis of Thematic Progression Pattern in LR Part of Economics Doctoral Thesis through Genre

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Abstract

Literature review (LR), the transition part between introduction and the body in academic writing, has become an important criterion to measure individual language organizational competence or one's academic level for its inner cohesion and logic. This study, with a sample of 20 English Doctoral Theses for Economics from ProQuest through the macro-structure and microcosmic analysis, aims to explore the relationship between genre and TP of the LR part in these theses. Through text analysis and data analysis, this study found that Simple Theme and Multiple Theme were widely applied in all the moves of LR, as well as the Parallel Thematic Progression, Continual Thematic Progression and Saltatory Thematic Progression. Doctoral LR texts contain lots of theme-related facts while the application of the aforementioned themes and TP patterns in each move contributes to the inner cohesion and logic as well as fluency of contents.

Key words: theme, thematic progression pattern (TP pattern), literature review, genre analysis, corpus

I. Introduction

English, as a global language, has demonstrated its significance concerning all aspects of social life. While English for Specific Purposes (ESP), with a wide range of application and strong practicality, is a kind of English language teaching serving to specific purpose in view of learner needs which mainly aims to help to study the use of English in various fields.

Admittedly, academic English in this area has received considerable attentions (Bhatia, 1993; Swales, 1990) concerning its grammar and style such as the study on tense, mood, and the function of adjectives, etc. (Burrough-Boenisch, 2003; Hinkel, 2004; Soler, 2002) . Besides, all the sections in the academic paper were also investigated (Hyland, 2000; Bunton, 2002; Shehzad & Abbas, 2016; Kwan,2006; Soler, 2015; Aull & Swales, 2015; Nguyen & Pramoolsook, 2016). All of these studies certainly contribute to the development of academic discourse. And among those studies, Kwan's (2006) research has summed up a 3-move structure for the literature review (LR) part in doctoral thesis. And it has laid foundation for the present study for its groundbreaking findings of the 3-move structure for the literature review in Doctoral Thesis. Thereafter, the study concerning academic LR has attracted much attention (Chen, 2008; Hu, 2010; Booth, et al., 2016, etc.).

Literature review, the transition part between introduction and the body part in academic writing, is of great significance of presenting the research gap and then the research topics. Wen (2001) put forward that the literature review illustrates the researcher's conceptual understanding of research topic and its necessity of research. Generally, the LR part shows us the researcher's understanding of relative area and the background

information of one specific research to the utmost extent, which deserve to be called the most difficult part in academic writing. And it has become an important criterion to measure individual language organizational competence or one's academic level for its inner cohesion and logic.

However, many PhD even the supervisors pay no attention to the writing of LR part. They just regard it as the routine way of completing the writing with enough words and abundant documents. And most literature are randomly placed or just be listed without considering the engagement and inner logic in most cases. In addition, most studies mainly concerned stylistic features, syntactic analyses, or contrastive study of genres (Kwan,2006; Soler, 2015; Aull & Swales, 2015), but there is no literature about the inner cohesion of LR part in English Doctoral Thesis upon the binding analysis of genre and thematic progression (TP) theory.

Therefore, this study, with a sample of 20 English Doctoral Thesis for Economics (EDTE) from ProQuest Dissertations & Theses through the macro-structure and microcosmic analysis, aims to explore the relationship between genre and TP of the LR part in these theses. Adopting both qualitative and quantitative methods, this study applies text analysis through Strauss & Corbin (1994) and Freeman's (1998) data analysis mode based on the theoretical model established mainly on the foundation of Kwan's (2006) 3-move model, Halliday's (1994) classification of theme, and Huang Yan's (1985) TP patterns. Finally, this study is designed to remedy those weaknesses of the previous studies on TP in theory and help PhD with the logic and cohesive writing of academic LR in practice.

Specifically, this paper aims to answer the following 3 research questions:
① What's the distribution of moves in the LR part of EDTEs?
② What kinds of theme and TP patterns does LR part apply in each move?
③ What's the relationship between genre and TP Patterns?

II. Theoretical Model

The theoretical model on which this study was based comprised, firstly and macroscopically, an extended CARS model of LRs(Kwan's 3-move model) for move study and secondly, Halliday's(1994) definition of theme for the identification of thematic choices in each move and, thirdly, a modified version of Danes' progression types, namely Huang Yan's classification of 7 progression types, aiming to the study of TP patterns in each move. Based on the three theories, the researcher established a brand new analysis model for the present research.

2.1 Macro structure

Kwan's (2006) 3-move structures of LRs in the Doctoral Thesis of Applied Linguistics is developed from the CARS model and Bunton's(2002) revised CARS model. According to Kwan(2006), many of the LR chapters display an Introduction-Body-Conclusion structure. And the body part can be further divided into 3 moves with several steps in each move.

Table 2.1 Kwan's(2006)genre-analytical framework for literature review in Doctoral theses of Applied Linguistics

Move 1	Establishing a territory of one's research
	Step A Surveying the non-research-related phenomena or knowledge claims
	Step B Claiming centrality
	Step C Surveying the research-related phenomena
Move 2	Establishing a research niche
	Step A Counter-claiming
	Step B Gap-indicating

	Step C Asserting confirmative claims about knowledge or research practices surveyed
	Step D Asserting the relevancy of the surveyed claims to one's own research
	Step E Abstracting or synthesizing knowledge claims to establishing a theoretical position or a theoretical framework
Move 3	Occupying the niche (optional)
	Step A Research aims, focuses, research questions or hypothesis
	Step B Theoretical positions
	Step C Research design
	Step D Interpretations of terminology used in the thesis

2.2 Micro structure

Halliday(1994) claims that a sentence can not only be divided into two grammatical parts: subject and predicate, but also two semantic parts: theme (T) and rheme (R). In 1994, he divided the theme into Simple Theme, The Multiple Theme and The Clausal Theme. Simple Theme is "the theme of a clause consisting of just one structural element". It often takes on one semantic component, namely, nominal group, adverbial group, prepositional phrase, etc. In contrast, the Multiple Theme is the theme that concludes more than one semantic component and "consists of the topic theme together with anything else that comes before it". The Multiple Theme can be further classified into textual theme, interpersonal theme and ideational theme. The third one is Clausal Theme which refers to the theme that the clause acts in a clause complex.

Besides, Huang Yan (1985) put forward that there were seven TP Patterns in discourses: The Parallel TP Pattern, Continual TP Pattern, Concentrated TP Pattern, Crossing TP Pattern, Juxtaposition TP Pattern, Divided TP Pattern, and Saltatory TP Pattern. In The Parallel TP Pattern, the the theme in the first clause and subsequent clauses share one theme. In the Continual TP Pattern, the rheme or one part of the rheme in the precedent clause becomes the theme of the following clause. In the Concentrated TP Pattern, all the sentences share the same rheme. In The Crossing TP Pattern, the theme in the previous clause becomes the rheme in the subsequent clause. In The Juxtaposition TP Pattern, the odd-number sentences in a paragraph share the same theme and the even-numbered share another same theme. In The Divided TP Pattern, the rheme of the first sentence is the theme of each subsequent clause. In The Saltatory TP Pattern, there are no obvious connections among themes and rhemes of every clause. Something should be noticed is that contents of the theme or rheme used in latter sentences do not need go all the way as those in the former sentences.

Based on CARS model as macro structure and Halliday (1994) and Huang Yan's(1985) TP model as micro structure, a theoretical framework for this study is adopted as Table 2.2 shows.

Table 2.2 The Theoretic Framework of This Study

Swales'(1990) CARS Model used in LR	Halliday's(1994) Classification of Theme	Huang Yan's (1985) 7 types of Thematic Progression
1) Establishing a territory of one's research 2) Establishing a research niche 3) Occupying the niche	1) Simple Theme 2) Multiple Theme 3) Clausal Theme	1) The Parallel Thematic Progression 2) The Continual Thematic Progression 3) The Concentrated Thematic Progression 4) The Crossing Thematic Progression 5) Juxtaposition Thematic Progression 6) The Divided Thematic Progression

III. Methodology

The research subject is the latest 20 EDTEs in Finance from the ProQuest Dissertations & Theses, which is

currently the only database in China provided with plenty of high-quality full-text dissertations abroad in different areas. To be more specifically, the 20 theses are all from the Finance majors in Economics from 2013 to 2015. Only 17 newest theses were found in 2015 when click "2015-2019" in the "Year for Publication" through ProQuest Dissertations & Theses. All the 17 theses were ranked by relevancy. Further browsing "2010-2014", it was found that there were 14 results in 2014 with the same ranking principle. Finally, for the seek of timeliness, theses retrieved in 2015 were all applied in this study to investigate the latest LRs, and only the head-most 3 theses in 2014 were applied according to its ranking in the database by "relevancy" in view of sample size.

Generally, this study applied a combination of qualitative and quantitative research framework. On the one hand, the researcher employed text analysis, data coding of Strauss & Corbin (1994) and Freeman's (1998) data analysis mode based on the theoretical model established mainly on the foundation of Kwan's (2006) 3-move model, Halliday's (1994) classification of theme, and Huang Yan's (1985) TP patterns as the qualitative research methods. On the other hand, this study also applied the corpus retrieval software, AntConc, for quantitative analysis of LR texts, aiming to provide specific statistics about the TP pattern and theme pattern in each move.

IV. Results and Discussion

4.1 The Distribution of Moves in the LR Part of EDTEs

Based on Swales'(1990) CARS Model, Bunton's (2002) revised CARS Model, and then Kwan's (2006) 3-move model, the LR part in EDTEs can be generally divided into three parts: Introduction, Body, and Conclusion. And in this study, the researcher primarily focused on the Body part of the LRs for the thematic sections in which presented us recursive move structures that resemble to the moves found in the introduction part of the thesis. According to the analysis of the Body part in these 20 EDTE texts, the macroscopic structure of the EDTE's LR Parts which is basically similar to Kwan's (2006) structure can be concluded as shown in Table 4.1:

Table 4.1 The Generic Structure of EDTE's LR Parts

Introduction	presenting purposes, structures and themes of the forthcoming body part	
Body	Move1 Establishing a territory of one's research	Step 1 Surveying the non-research-related phenomena or knowledge claims
		Step 2 Surveying the research-related phenomena
	Move 2 Establishing a research niche	Step 1 Counter-claiming
		Step 2 Gap-indicating
		Step 3 Asserting confirmative claims about knowledge or research practices surveyed
		Step 4 Asserting the relevancy of the surveyed claims to one's own research
		Step 5 Abstracting or synthesizing knowledge claims to establishing a theoretical position or a theoretical framework
	Move3 Occupying the niche (optional)	Step 1 Research aims, focuses, research questions or hypothesis
		Step 2 Theoretical positions
		Step 3 Research design
		Step 4 Interpretations of terminology used in the thesis
Conclusion	summarizing the main idea of the LR chapter and reiterate the main purposes of the review	

4.2 Theme and Thematic Progression Patterns in the LR part of EDTEs

(1) Types of Theme in the LR Part of EDTEs

With the aid of AntConc, the proportion of different types of Themes was counted by dividing the number of

each type of Theme by the total number of all three types of Themes.

Table 4.2 Distribution of Themes in LRs

Theme Type	Intro	%	Body						Conclusion	%
			M1	%	M2	%	M3	%		
Simple Theme	93	76.8%	1152	51%	967	53.78%	844	61.07%	205	56.63%
Multiple Theme	28	23.1%	1034	45.8%	788	43.82%	516	37.33%	152	41.99%
Clausal Theme	0	0%	72	3.18%	43	2.39%	22	1.59%	5	1.3%
Total	121	100%	2258	100%	1798	100%	1382	100%	362	100%

(Notes: Intro=introduction; M1=Move 1; M2=Move2; M3=Move3)

As shown in Table 4.2, it is clear that Doctors of Economics employed proportionally more Simple Themes and Multiple Themes than Clausal Themes in their theses. Besides, in this study, Simple Themes were widely used in each move of the main Body part in LRs as indicated in Table 4.2. And it primarily appeared in the form of nominal group, adverbial group or prepositional phrase. The underlined words in Example (2015-015) are both nominal group which are considered as the typical Simple Theme.

Example (2015-15) :

Colleges and universities(T1)| have taken advantages of the price-demand relationship in student enrollment by employing tuition discounting strategies to increase revenue(R). A discounting strategy (T1)|requires a tuition price that (combined with other sources of revenue) exceeds an institution's costs per student(R). The price of tuition(T1)| is then discounted in the form of grants paid for with foregone revenue(R).

Statistics also show that the most commonly used structure of Multiple Theme is "Textual/Interpersonal + Ideational Theme", while the "Textual + Interpersonal + Ideational Theme" form is rarely ever employed. In the Example (2015-10), the "However, others" is a Multiple Theme with the form of "Textual + Ideational Theme". Unquestionably, like Interpersonal Theme, Textual Theme also can be further divided into continuative components, structural components, and conjunctive components. Therefore, "However" in Example (2015-10) just serves as the conjunctive adjunct which connects the sentences, and according to the classification of each kind of components, is belongs to the conjunctive component in Textual Theme.

Example (2015-10):

However, others(T2)| found students to be less sensitive to aid than they were to tuition, the effect changing depending upon the type of aid(R). Enrollment (T1)|was generally more sensitive to grants than to loan or work study wages(R).

(2) Types of Thematic Progression Patterns

Table 4.3 Types and Proportions of TP patterns in LRs

Generic structure of LR		Text numbers and proportions of TP patterns						
		TP1 Proportion	TP2 Proportion	TP3 Proportion	TP4 Proportion	TP5 Proportion	TP6 Proportion	TP7 Proportion
Introduction		100%(20)	15%(3)	0	0	0	0	0
Body	M1	100%(20)	75%(15)	5%(1)	0	0	5%(1)	20%(4)
	M2	100%(20)	100%(20)	5%(1)	0	0	5%(1)	10%(2)
	M3	100%(20)	80%(16)	10%(2)	0	0	0	70%(14)
Conclusion		100%(20)	60%(12)	0	0	0	0	30%(6)

(Notes:Intro=Introduction; TP1=The Parallel TP Pattern; TP2=The Continual TP Pattern; TP3=The Concentrated TP Pattern; TP4=The Crossing TP Pattern; TP5=Juxtaposition TP Pattern; TP6=The Divided TP Pattern; TP7=The Saltatory TP Pattern; M1=Establishing a territory of one's research; M2=Establishing a research niche; M3=Occupying the niche)

Generally, according to Table 4.3, the LR part primarily employs The Parallel TP pattern, The Continual TP Pattern, and The Saltatory TP Pattern. There is only 1 LR text using The Concentrated TP Pattern in Move 1

and Move 2 of the Body part, and 2 LR texts applying it in Move3. Besides, there is also only 1 LR text using Divided TP Pattern in Move 1 and Move 2 of the Body part.

Based on the definition of Parallel TP pattern given by Huang Yan (1985), sentence 1 and sentence 2 in the following Example (2015-04) just share one common theme, namely "The study". Although there is little difference between "the purpose of this study" and "this study", the former one is actually one part of the later one. Therefore, they are the same in essence. Hence, according to the definition of Huang Yan in 1985, sentence 1 and sentence to just form the The Parallel TP Pattern. In a similar way, sentence 3 and sentence 4 also share one common theme, " the review". Although in sentence 4, the theme should be "This", it can be inferred from analysis that "This" actually just refers to the literature review. So the sentence 3 and sentence 4 is a The Parallel TP Pattern.

Example (2015-04):
[TP1](1)The purpose of this study(T1)|is to better understand the privatization efforts of public AAU institutions by examining the changing proportions of revenue coming from tuition and state appropriations(R). (2)This study (T1)|will also simultaneously look at whether there was a change in the total of tuition and state appropriations revenue that public AAU institutions received per student(R). [TP1](3)Therefore, the following review (T2)|of literature covers topics related to four-year public institutions of higher education and their changing resource acquisition as they looked for ways to financially adjust to their changing external environment(R).(4)This (T1)|includes topics such as the declining state support for higher education, increasing tuition prices, and the "new normal" or the discussion that recognizes how institutions are now part of an environment where state support is not expected to return to previous levels(R).

Besides, based on the definition of Continual TP Pattern put forward by Huang Yan (1985), in the following Example (2015-06), T1 in sentence 2 is a part of the rheme part of sentence 1 as indicated in the underlined words, "high education". Therefore, according to the definition of Continual TP Pattern, sentence 1 together with sentence 2 constitute one Continual TP Pattern.

Example (2015-06):
[TP2]①Trow (T1)|(1973) discussed the substantial ways that the three types of access differed through all aspects of higher education, including size of student body, student perceptions of attendance, admissions requirements, the curriculum, student interactions with faculty, administration, and the role the institutions play in society(R). ②Access to higher education(T1)| is reflective of society's attitude towards the purpose of college(R).

In addition, The Saltatory TP Pattern, based on Huang Yan's (1985) theory, means that there are no obvious connections among themes and rhemes of each clause. And Table 4.3 shows that except The Parallel TP Pattern and The Continual TP Pattern, The Saltatory TP Pattern is also extensively used. In Example (2015-08), there is no relationship between the themes or rhemes of sentence 1 and sentence 2. This kind of TP pattern is just defined as the The Saltatory TP Pattern.

Example (2015-08):
[TP7]①The state of Colorado(T1)| (Colorado Department of Education, 2014a) mandates that every school district in the state receive a per-pupil minimum state guarantee as authorized by Public School Finance Act of 1994 passed by the Colorado Legislature in 1994 and reauthorized every year as part of the Colorado Constitutional requirement(R). ②The financing of this 2012–2013 budget(T1)| included over $5.5 billion to Colorado school districts(R).

4.3 Relationship between Genre and Thematic Progression

Obviously, the main purpose of one LR in a thesis aims to prove the value of the research, and to show why it is different from the contents in the literature (Creswell, 2002). It mainly refers to the enumeration of specific related research of themes which includes lots of nominal groups. Therefore, the Simple Theme is widely used in all the moves of the Body part in LR texts.

Besides, for the purpose of inner cohesion, there are also large uses of Multiple Theme in each move especially in Move 1. The major difference between Simple Theme and Multiple Theme lies in the components of the theme. Move 1 and Move 2 primarily talk about the particular themes related to the writer's research, or the research gaps, relevancy of the surveyed claims to the writer's research, and so on. Therefore, there will be

offered with some new information about topics so as to refine them or make supplement interpretations. Thereout, the Multiple Theme is applied by the writer in its LR writing. The reason of why the number of Multiple Theme in Move 1 and Move 2 is apparently larger than in Move 3 is that the research aims, focuses or research questions usually have been already illustrated in the Methodology part or Introduction part of the whole thesis. In addition, more "Textual/Interpersonal + Ideational Theme" forms in Multiple Theme are applied in order to make sure the coherence and cohesion of the LR text because these conjunctive elements or modal/vocative components such as "Therefore", "However", "Certainly", "Unquestionably",etc., will contribute to the fluency of the lengthy LR text.

Moreover, as for the use of TP patterns, it mainly employs The Parallel TP Pattern and The Continual TP Pattern owing to the need of presenting basic or new information about the related or non-related research phenomenon and those affirmative claims related to the survey or the relevancy of the surveyed claims to the writer's research. The content of the LR text chiefly refers to the research-related facts or opinions hold by scholars of related research field. And these facts or opinions are usually organized by the writer in a paralleled way or a continual progression pattern so as to ensure that the LR text can flow in a logic and fluent way and to avoid crudity and rigidity of the text. Moreover, these information in the lengthy Doctoral LR text may be have no relation with each other. Therefore, there are also abundant use of The Saltatory TP Pattern in order to guarantee the completeness of related information. And these sentences in the The Saltatory TP Pattern usually center around the theme of the LR text in essence but will not directly reflect in theme-rheme structures.

Generally, according to Bhatia (2008, p.23), "genre essentially refers to language use in a conventionalized communicative setting in order to give expression to a specific set of communicative goals...which give rise to stable structural forms by imposing constraints on the use of lexico-grammatical as well as discoursal resources". Therefore, the genre of the Doctoral LR texts serves for certain communicative purposes while the application of Theme and TP pattern in each move contributes to the inner cohesion and logic as well as fluency of contents.

V. Conclusion

According to Swales'(1990) CARS Model, Bunton's (2002) revised CARS Model, and then Kwan's (2006) 3-move model, the LR part in EDTEs can be generally divided into three parts: Introduction, Body, and Conclusion. And then the Body part of the LR text in EDTEs can be further divided into three moves with several steps in each move (Table 4.1).

Besides, on account of Halliday's (1994) classification of theme and his further study in 2000, all the three moves in the Body part of the LR texts apply the Simple Theme and Multiple Theme. The use of Multiple Theme in Move 1 and Move 2 is much more than its use in Move 3, while Clausal Theme is rarely used in this kind of genre. And as for the use of Multiple Theme, it mostly presents with the "Textual/Interpersonal + Ideational Theme" form and the use of "Textual + Ideational Theme" form is obviously larger than the use of "Interpersonal + Ideational Theme" form in each move.

Moreover, as for the use of TP patterns in the LR Part of EDTEs, there are only three types (TP1, TP2, TP7) of them being widely applied based on Huang Yan's (1985) seven classification of TP Patterns(Table 4.2). TP 3 and TP6 have been used occasionally in some texts of the corpus. The proportion of usage of TP2 in Move 2 is larger than Move 1 and Move 3 (Table 4.3). And the proportion of usage of TP7 in Move 3 is much more than its use in Move 1 and Move 2.

Last but not the least, there are indeed some distinctions since the genre of the Doctoral LR texts serves for certain communicative purposes while the application of Theme and TP pattern in each move contributes to the

Huang, P., Zhan, X. (2016). Analysis of thematic progression pattern in LR part of economics doctoral thesis through genre. The Joint International Conference of the 8th International Conference on ESP in Asia & the 3rd International Symposium on Innovative Teaching and Research in ESP in Japan, Tokyo, August 19, 2016. Tokyo: UEC IGTEE Research Station. Vol. 1, 28-35.

inner cohesion and logic as well as fluency of contents. The use of Simple Theme in Move 1 is much more than its use in Move 2 and Move 3, and the use of "Textual + Ideational Theme" form is obviously larger than the use of "Interpersonal + Ideational Theme" form in each move; the proportion of usage of TP 2 and TP7 in Move 2 is larger than Move 1 and Move 3.

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