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A Corpus-based Study on Engagement in English Academic Writing:

Published Journal Articles and Korean Graduate Students' Master's Theses in Applied Linguistics

영어 학술 논문에 나타난 독자 참여유도에 대한 코퍼스 기반 연구:

응용언어학 분야의 학술지 게재 논문과 한국 대학원생의 석사학위논문을 중심으로

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진 해 연

A Corpus-based Study on Engagement in English Academic Writing:

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by

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APPROVED BY THESIS COMMITTEE:

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ABSTRACT

Based on the pragmatic concept that writing is a social process of purposeful interaction with readers, it is widely acknowledged that the key aspect of successful writing should be to manage the writer-reader relationship effectively. Despite such importance, previous literature on the interpersonal dimension of English for Academic Purposes (EAP) writing has largely focused on how writers convey their ideas, while the more reader-oriented dimensions have been relatively neglected.

The present study seeks to fill this gap by investigating the resources available for engagement in EAP writing. Engagement relates to the ways that writers acknowledge the presence of their readers by quite explicitly bringing them into the text (Hyland, 2005a). An appropriate level of reader engagement is especially crucial for academic writing, the ultimate aim of which is to secure ratification of the offered claims. Existing studies have commonly indicated that student writers significantly underuse engagement resources. However, these studies predominantly analyzed undergraduate writing and mostly focused on their quantitative aspects.

Based on the needs, this study explores how master's theses written in English by Korean graduate students differ from internationally-acknowledged journal articles written in English in terms of their engagement practices. Within the specific discipline of applied linguistics, the current study compares the density and proportion of engagement devices in five subcategories: Reader references,

directives, questions, appeals to shared knowledge, and personal asides. It further examines individual instances of each strategy within an extended context to reveal its rhetorical functions within the Introduction through Conclusion sections.

The results revealed that overall, Korean graduate students significantly underuse engagement devices, which concurs with the previous findings. In terms of the subcategories, reader references, directives, and questions were more heavily employed by the expert writers while shared knowledge appeals and personal asides did not present any significant differences. In both corpora, directives were the most preferred strategy, followed by reader references.

Qualitative analysis revealed more insightful novice-expert variations. First, Korean graduate students had a tendency to address undefined general audiences quite often, while the experts mostly addressed the specific discourse participants at hand. Accordingly, interaction enacted via reader references (especially the inclusive *we*) became less-dialogic and less effective for the critical argumentation of the graduate students. Further, directives and questions were not readily available strategies for the Korean novice writers. Korean graduate students preferred to deploy less imposing textual directives for emphasizing certain literature or concepts, rather separated from the main discussion. Similarly, their use of questions was confined to the Introduction and Conclusion sections and largely functioned to present research topics or suggestions, often as broad questions addressed at a general audience.

These findings provide certain valuable implications for the Korean EAP writing context. Korean novice writers need to consider academic writing as more

dialogic and reciprocal, and actively employ reader-oriented strategies into more appealing argumentation. To do so, Korean student writers need to develop their writer identities as equally independent researchers and also address a more specific audience as their disciplinary companion. In these ways, they can build more convincing argumentation while also displaying an appropriate level of authority and audience awareness.

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CHAPTER 1
INTRODUCTION

The present study investigates how the resources for reader engagement are managed by Korean graduate students compared to internationally-acknowledged experts. Based on this goal, this chapter first introduces the rationale and purpose of the study, and notes the three main research questions for the study.

1.1 Rationale and Purpose of the Study

It is now widely accepted that writing is an *interaction* or a *dialogue* between the writer and the reader as opposed to the traditional view of writing as an impersonal genre that is simply offered to the reader (Grabe & Kaplan, 1996; Myers, 1999; Swales et al., 1998; Thompson, 2001). In this regard, Hoey (1983) defined writing as a purposeful interaction, and Hyland (2000a) suggested that writing should be considered a process of constructing social relations. The research on writing has thus expanded its focus beyond the grammatical level to the pragmatic dimension (Swales et al., 1998). Based on that perspective, it is acknowledged that the key aspect of successful writing should be to control the writer-reader relationships effectively. This goal is especially crucial in English writing domain for academic purposes (or EAP writing) in that the writer's

ultimate goal here is to convince and persuade the readers by effectively presenting the writer's arguments, on the one hand, and responding to the readers' expectations and possible reactions to the text on the other (Hyland, 2000a, 2001; Swales, 1990). Many empirical studies have thus focused on the issue of interaction or the interpersonal features of academic writing (Harwood, 2005; Hyland, 2001, 2002a, 2002b, 2005a, 2005b, 2005c, 2008, 2009; Hyland and Tse, 2004; Kuo, 1999; Lee, 2010; Park, 2006; Siew Mei, 2007; Swales et al., 1998; Thompson & Thetela, 1995) and thus, the central issue covered in the present study is the concept of *engagement*.

This study adopts to use Hyland's (2005a) definition of engagement: "A dimension where writers acknowledge and connect to others, recognizing the presence of their readers, pulling them along with their arguments, and including them as discourse participants (p.176)." It mainly deals with the ways in which writers acknowledge the presence of their readers by *quite explicitly bringing them into the text*. According to Hyland's (2005a) framework, the concept can be distinguished from the parallel concept, *stance* which refers to "the ways *writers present themselves* and convey their judgments, opinions, and commitments (p.176)." Considering that academic writing is a dialogue between the writer and the reader, including both as discourse participants (Thompson, 2001), stance and engagement may be considered the two essential elements for constructing a convincing, and thus successful academic text.

Despite this importance, however, the previous literature on the interpersonal dimension of EAP writing has been confined to the issue of stance or the rather

writer-oriented features of academic writing. Indeed, there has been a rich body of literature offered under various labels, such as *hedging* (Hyland, 1994, 2000b; Hu & Cao, 2011; Yang, 2013)*, epistemic modality* (Nuyts, 2001; McEnery & Kifle, 2002; Oh, 2007; Oh & Kang, 2013), *evidentiality* (Chafe & Nichols, 1986; De Hann, 1999), *appraisal* (Martin, 2000)*,* and *evaluation* (Hunston & Thompson, 2000; Siew Mei, 2007). These studies have mostly revealed the disciplinary variations or gaps between English native and nonnative writers in their use of interpersonal features.

On the other hand, the aspect of engagement or how writers more overtly pull their readers into the discourse has been relatively neglected in EAP writing discourse. There are some studies that have partially revealed the effects of the individual resources of engagement, such as reader pronouns (Harwood, 2005; Kuo, 1999; Thompson & Thetela, 1995), commands (Lee, 2010), or questions (Webber, 1994). It is mostly agreed that these resources enhance the interaction between writer and reader and contribute to improving the writing quality. In addition, Hyland has comprehensively covered the issue of engagement practices within the domain of EAP writing. For instance, he found certain disciplinary variations in engagement based on published research articles (Hyland, 2001, 2005a) and undergraduate student reports (2009). What was found is that overall explicit engagement is the key characteristic of the soft disciplines of humanities and social sciences (in contrast to the hard disciplines). Also, it was suggested that due to its rather interpretative nature, maintaining a level of engagement is especially important for writers in the soft disciplines. Based on this literature,

the present study investigates engagement within the specific discipline of applied linguistics.

In terms of the engagement practices of academic novices, the existing literature has commonly argued that student writers significantly underuse engagement devices compared to expert writers (Hyland, 2001, 2002a, 2002b, 2004, 2005b, 2009; Hyland & Tse, 2004). More specifically, novice writers have difficulty particularly when employing the strategy of directives and questions, a finding that may infer a level of authority for these writers. However, not many studies have exclusively covered the issue of engagement based on postgraduate level academic writing. The existing literature on EAP learner practices has been mostly based on university-level student reports, and these samples may not be considered as genuinely academic writing. Further, little related research has been undertaken especially on the Korean postgraduate EAP writing context.

Based on this research gap and its needs, the present study explores how Korean novice writers manage the aspect of reader engagement in their academic writing compared to internationally-acknowledged experts. The study can be distinguished from the previous research on EAP writing in that it centers on *academic writing expertise* rather than *nativeness*. Further, the study is solely based on academic writings from the discipline of applied linguistics. Thus, the present study is targeted toward the Korean graduate students' master's theses corpus, which are considered as writings by academic novices, and the internationally recognized journal articles corpus, written by academic experts. The study first compares the density of overall engagement devices from the two

corpora. It also examines how the two corpora differ in terms of the density and proportion of engagement devices in five subcategories. Individual instances of engagement are then further analyzed to investigate their rhetorical functions (in the Introduction through the Conclusion sections) and their effectiveness in terms of writer argumentation and negotiation with readers. Ultimately, through a comparative analysis of the engagement practices across the two corpora, this study expects to contribute to the Korean EAP writing pedagogy by producing implications for the reader-oriented dimension of academic writing.

1.2 Research Questions

As mentioned above, the present study investigates the difference between Korean graduate students' master's theses and internally-published journal articles in terms of their reader engagement practices. To determine this difference, engagement resources from the two corpora and their subcategories are first examined quantitatively. Then, individual items of engagement subcategories are analyzed qualitatively within the extended context to figure out their rhetorical functions.

The study tries to achieve these aims by addressing the following research questions:

1) How does the density of overall engagement devices differ between published journal articles and Korean graduate students' master's theses?

2) How do the density and proportion of engagement subcategories differ between the two corpora?

3) How does the use of individual items in engagement subcategories differ between the two corpora in terms of their rhetorical functions?

CHAPTER 2
LITERATURE REVIEW

Before the present study is introduced, the relevant theoretical background and previous literature on engagement are provided in this chapter. The theoretical background is first presented and includes the definition of interactional metadiscourse in Section 2.1.1 and the concept of engagement and its subcategories in Section 2.1.2. Then the previous studies on engagement in EAP writing are presented, including the engagement practices across the disciplines in Section 2.2.1 and the novice practices of engagement in Section 2.2.2.

2.1 Theoretical Background

Engagement is a generic term which can be defined in a variety of ways. So, there is a need to specify its definition and range within the field of EAP writing. In this section, the definition of interatctional metadiscourse is discussed, which then derives the concept of engagement and its subcategories.

2.1.1 Definition of Interactional Metadiscourse

The concept of engagement for the present study essentially derives from the definition of metadiscourse and the earlier dimension of interactional metadiscourse. Over the years, attempts have been made to develop the concept of metadiscourse to explain how writers and speakers devise their text to influence the interlocutor's reception of it (Crismore, 1989; Crismore & Farnsworth, 1990; Hyland, 2005c; Vande Kopple, 1985; Williams, 1981). An early definition of metadiscourse characterized it as "discourse about discourse" (Vande Kopple, 1985, p.83). More specifically in writing, metadiscourse refers to the "non-propositional aspects of discourse which help to organize prose as a coherent text and convey a writer's personality, credibility, reader sensitivity and relationship to the message" (Hyland, 1998, p.438). It relates to how writers project their attitudes toward the text and their audiences (Hyland, 2005c). Based on the view that knowledge is a "social justification of belief" (Rorty, 1979, p. 170) and that academic writing is a social process of negotiation between the writer and the reader, metadiscourse provides a good comprehensive framework for understanding the way in which writers facilitate effective written communication with their audience (Crismore et al., 1993; Hyland, 1998; Intaraprawat, 1988; Steffensen, 1992; Vande Kopple, 1985). The definition and categories of metadiscourse have been modified and developed based on Halliday's framework of linguistic metafunctions (1985).

Early studies (Crismore & Farnsworth, 1990; Crismore et al., 1993; Hyland, 1998; Kim, 1999) have suggested that metadiscourse had two broad functions, one being interpersonal metadiscourse that concerns the interaction with the audience and the other being the textual component related to the construction of the coherent text. Table 1 presents the subcategories of the two components described. As can be seen, individual categories and their names are slightly different for each researcher.

TABLE 1

Earlier Classification of Metadiscourse

Halliday (1985)	Crismore & Farnsworth (1990)	Crismore et al. (1993)	Hyland (1998)
Textual function	Text connectives, Code glosses, Illocution markers, Narrators	Textual markers (Logical connectives, Sequencers, Reminders, Topicalizers) Interpretative markers (Code glosses, Illocutionary markers, Announcements)	Logical connectives, Frame markers, Endophoric markers, Evidentials, Code glosses
Interpersonal function	Validity markers, Attitude markers, Commentaries	Hedges, Certainty markers, Attributors, Attitude markers, Commentary	Hedges, Emphatics, Attitude markers, Relational markers, Person markers

However, this classification was later modified based on the notion that all metadiscourse is interpersonal, as it should consider audience knowledge, and processing needs to achieve the rhetorical effect. In this respect, Hyland and Tse (2004) newly made a distinction between *interactive* and *interactional* metadiscourse with both categories having the interpersonal function and they reframed the earlier resources of metadiscourse.

TABLE 2

A Model of Metadiscourse in Academic Texts (Hyland & Tse, 2004)

	Category	Function
Interactive metadiscourse	Transitions	Express semantic relation between main clauses
	Frame markers	Refer to discourse acts, sequencers, or text stages
	Endophoric markers	Refer to information in other parts of the text
	Evidentials	Refer to sources of information from other texts
	Code glosses	Help readers grasp functions of ideational material
Interactional metadiscourse	Hedges	Withhold writer's full commitment to proposition
	Boosters	Emphasize force or writer's certainty in proposition
	Attitude markers	Express writer's attitude to proposition
	Engagement markers	Explicitly refer to or build relationship with reader
	Self-mentions	Explicitly refer to author (s)

According to Hyland and Tse (2004), interactional metadiscourse refers to

the way in which writers involve the readers in their arguments by expressing their own voice and overtly aligning themselves with their readers (Hyland, 2005c; Hyland & Tse, 2004). Hedges, boosters, attitude markers, self-mentions, and engagement markers are resources that belong to this concept. Its counterpart in this framework is interactive metadiscourse, which concerns how writers guide their readers through the text by addressing the ways of organizing the discourse. It is comprised of transitions, frame markers, endophoric markers, evidentials, and code glosses. The model for metadiscourse in academic texts by Hyland and Tse (2004) is presented in Table 2.

While interactive metadiscourse mainly deals with information flow and the organization of the text, interactional metadiscourse focuses more on the direct participants in the interaction, namely, the writer and the reader. That is, interactional metadiscourse may be said to be concerned more with the explicit dimension of writer-reader interaction. Hyland (2005b) claimed that novice writers had difficulty specifically in the interactional dimension of writing. They were relatively less adept at how writer-reader relationships are directly managed, while their knowledge of the textual organization or the interactive dimension was relatively emphasized. Accordingly, Hyland (2005a) further developed the categories of interactional metadiscourse and reframed it as two dimensions, *stance* and *engagement*.

Stance is a writer-oriented dimension that refers to the ways that writers present their voices and convey their judgments and opinions. On the other hand, *engagement* is a more reader-oriented dimension that relates to the way in which

writers acknowledge the presence of their readers and actively pull them along with the argument, including them as discourse participants (Hyland, 2008). Figure 1 displays the individual resources of stance and engagement as presented by Hyland (2005a). As can be seen, the newly developed *stance-engagement* framework more clearly represents the reader- and writer-oriented nature of interactional resources by further embodying the categories of reader engagement features. The present study chooses to use the framework of engagement developed by Hyland (2005a). In that way, it focuses on revealing the various features of reader engagement that are relatively more challenging for novice writers but often neglected in the discussion offered in the previous literature.
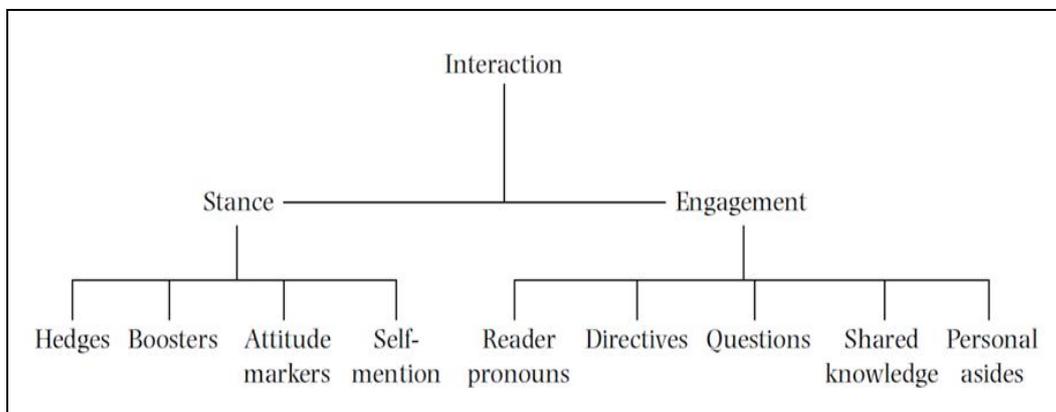
Figure 1 Key Resources of Academic Interaction (Hyland, 2005a)

2.1.2 Engagement and Its Subcategories

As mentioned in the previous section, Hyland developed engagement into an independent dimension of interactional metadiscourse (2005a, 2005c). However, the concept of engagement itself is not entirely separate from the previous studies on metadiscourse, and rather finds its source in earlier conceptions (see Table 1).

First, Crismore and Farnsworth (1990) suggested that *commentaries,* or the expressions addressing the reader directly, achieved the interpersonal function. The framework of metadiscoure by Crismore et al. (1993) was also comprised of the category of *commentary*. In addition, Hyland (1998) included a corresponding concept of *relational markers* in the category of interpersonal metadiscourse. It relates to explicitly referring to or building a relationship with readers. A later study by Kim (1999) also deployed the functional category of relational markers. Ädel (2006) proposed a corresponding concept of *writer-reader interaction,* referring to the linguistic expressions used to address readers directly and engaging them in a dialogue. These minor and rather partial interests in reader-oriented features of interaction were embodied by Hyland (2001) in his study of reader features in academic writing. The study first found ten individual resources for reader features based on the corpus of published articles in eight disciplines. It included inclusive pronouns, imperatives, obligation modals, indefinite pronouns, knowledge references, rhetorical questions, second person

pronouns, asides, real questions, and *it is (adjective) to do*. He grouped and reorganized these resources into five categories of reader features, which were later established by Hyland as subcategories of engagement (2005a, 2005b, 2008, 2009): Reader pronouns, directives, questions, shared knowledge appeals and asides addressed to the readers (refer to Figure 1).

The previous literature has proven that these resources contribute to encouraging reader engagement in writing, and indeed, such enhanced involvement of readers can ultimately make the text more convincing (Harwood, 2005; Kim, 2009; Kuo, 1999; Lee, 2010; Thompson & Thetela, 1995). For instance, it was suggested that reader pronouns (especially the inclusive *we*) help writers to build a solidarity with their audiences, and accordingly encourage greater audience participation in the written discourse (Harwood, 2005; Kuo, 1999; Thompson & Thetela, 1995). Likewise, Kim (2009, p.2088) revealed that personal pronouns addressed to readers can evoke their involvement in the dialogue, and he considered them as part of the "Reader-Involvement Evoking (RIE) act." Lee (2010), on the other hand, suggested that the effective use of commands could enhance the quality of arguments appearing in the written text. Also, Webber (1994) pointed out the importance of questions as an effective strategy that can explicitly establish the presence of the readers and project their possible responses into the argument. Of course, there also existed some doubts on the effect of employing these devices especially in academic writing due to their rather informal and colloquial nature (Chang & Swales, 1999; Swales & Feak, 1994). However, (as described above) many studies still have revealed that

these resources do have functions that are irreplaceable by other devices. For instance, Thompson (2001) suggested the significance of questions and commands initiated by the writer as part of the main options for academic writers to perform overt dialogic interaction with their readers.

Based on this theoretical background, the present study aims to investigate the interactional practices of reader engagement according to Hyland's (2005a) framework composed of five subcategories: Reader pronouns, directives, questions, shared knowledge appeals, and personal asides. The previous literature on the engagement resources found in EAP writing will be presented in the following section.

2.2 Studies on Engagement in EAP Writing

As discussed so far, engagement resources may improve the quality of academic writing by encouraging audience participation. Based on this knowledge, previous studies in EAP writing have investigated how engagement practices differ according to the discipline and the academic levels. The following two sections present them to produce a better understanding of the specific aspects of engagement resources within EAP writing. First, Section 2.2.1 summarizes the studies on engagement practices across the academic disciplines. Section 2.2.2 then explains the previous research results on novice practices of engagement compared to those for expert writers.

2.2.1 Disciplinary Practices of Engagement

Earlier studies on engagement practices within EAP writing have focused on revealing the disciplinary characteristics in the use of engagement strategies. Interest in the disciplinary practices may be understood by the fact that an academic field, or *discipline* is an especially important factor for the investigation of reader engagement. That is, effective texts should essentially consider the wider discourse community in order to successfully involve the readers and each academic discipline should have specific interactional choices that play a crucial role in argumentation (Fairclough, 1992; Hyland, 2002b, 2008). What the previous literature has mostly argued on disciplinary practices is that there exist enormous disciplinary variations in the use of engagement resources, especially between the soft fields and the hard sciences (Hyland, 2001, 2005a, 2008). It was mostly agreed that overall, explicit engagement is the characteristic of the soft disciplines. Further, certain studies examined disciplinary variations that focused on only one aspect of engagement resources and drew similar results such as imperatives, or directives (Hyland, 2002a; Swales et al., 1998), personal pronouns (Harwood, 2005; Kuo, 1999), and questions (Hyland, 2002b). These will be further discussed in detail. Lastly, other studies connected the engagement features to disciplinary practices and focused on more specific academic fields, such as sciences (Kuo, 1999) and mathematics (McGrath and Kuteeva, 2012).

Studies by Hyland (2001, 2005a, 2008) based on research articles from eight disciplines revealed that the soft disciplines of humanities and social sciences overall deployed far more reader engagement features than the hard fields of sciences and engineering. While shared knowledge references and personal asides were rarely used in either the soft or hard disciplines, other reader features represented more disciplinary variations.

First, reader pronouns, especially the inclusive *we,* were most heavily deployed in the soft fields, such as philosophy, sociology and applied linguistics. Hyland (2001, 2005a, 2008) found that these resources functioned to signal a membership or disciplinary communality, and encourage solidarity with the readers. This result is partly in line with Harwood's finding (2005) that research articles from soft fields (Business & Management, Economics) contained a much higher proportion of inclusive pronouns while there were fewer of them found in the hard disciplines (Computing, Physics).

On the other hand, directives were more frequently used in the hard sciences than in the soft fields although the frequency was smaller compared to reader pronouns (Hyland, 2001, 2005a, 2008). The relative paucity of directives in the soft fields was understood by the nature of the discipline itself, which was more interpretative, depending on understanding rather than empirical, objective problem-solving (Hyland, 2005a). That is, writers in the soft fields were relatively more reluctant to control their readers using the imposing strategy of directives while these were preferred in the more objective hard sciences as an economic strategy. That is consistent with the results of Swales et al. (1998). The

study, based on the corpus of published articles in ten broad disciplines, revealed that imperatives were more heavily used in the fields that were more mathematical and experimental although the split between the soft and hard fields remained less clear.

Lastly, questions were exclusively confined to the soft disciplines. Interviews with the expert writers of different fields suggested that questions functioned as an important strategy for relating to readers in the soft fields, while they seemed rather distracting and intrusive for hard scientists (Hyland, 2001, 2005a, 2008). Similar variations were found in Hyland's (2002b) comparative study on questions from the corpora of textbooks, articles, and student reports. The study indicated that questions were more significantly used in soft disciplines as a way of interacting with readers than they were in the hard fields.

The literature above indicated that, overall, engagement resources were more heavily deployed by expert writers in the soft disciplines than in the hard sciences although the detailed quantitative patterns did differ according to individual strategies. This result offered an insight to the present study in that maintaining an effective degree of engagement is especially crucial for the writers working in the soft disciplines. However, despite the rich literature on disciplinary variations, not many studies have further examined the engagement practices of particular disciplines, especially in the soft fields. In this regard, Hyland (2001) suggested there is a need for further study within more specific disciplines. Thus, the present study centers on the discipline of applied linguistics wherein an effective employment of engagement features is crucial

for the disciplinary discourse. Also, the existing literature on the disciplinary practices has mostly focused on the quantitative aspects of engagement devices with the qualitative sides being rather neglected. The present study thus aimed to perform a detailed analysis on both the quantitative and the qualitative aspects of engagement practices. It attempts to examine the individual instances of engagement resources and their corresponding rhetorical functions within their extended contexts. Further, it focuses on another issue in EAP writing, namely, expert versus novice variations. The literature on this dimension is presented in the following section.

2.2.2 Novice Practices of Engagement

Engagement practices of academic novice writers is an area relatively neglected in the previous literature on EAP writing. That may be partly explained by the fact that the interactional dimension of writing itself has been considered too challenging an aspect for novice writers to undertake, as many consider academic writing as both impersonal and objective (Johns, 1997). For them, anticipating readers' responses and overtly pulling them into the discourse would not be readily available strategies. In this respect, writing pedagogy has rather focused on the textual aspects of metadiscourse and not expected students to actively deploy interactional resources (Hyland, 2005b). For this reason, the findings from earlier studies have mostly shown that novice writers employ a

significantly less amount of engagement devices, particularly in the case of directives and questions (Hyland, 2001, 2002a, 2002b, 2004, 2005b, 2009; Hyland & Tse, 2004). Many of the earlier studies in this area investigated engagement as merely a part of the comprehensive categories of metadiscourse (Hyland, 2004; Hyland & Tse, 2004; Park, 2006). In terms of novice-expert comparisons within EAP writing, however, there are not many studies that have focused solely on an analysis of engagement (Hyland, 2001, 2005b, 2009; Siew Mei, 2007). These studies will later be further discussed in detail. Also, some studies have focused on only one aspect of engagement resources, such as directives (Hyland, 2002a; Lee, 2010) and questions (Hyland, 2002b).

First, Hyland and Tse (2004) in their comprehensive research on metadiscourse based on the corpus of Hong Kong postgraduate student dissertations in English revealed that overall, doctoral students deployed much more engagement markers than the master's group. Their qualitative analysis suggested that doctoral students displayed more sophisticated attempts to engage readers in their use of directives (particularly imperatives and obligation modals) compared to master's students. Tis finding implies that writers at more novice academic levels are as yet unskilled at employing engagement resources, especially at using the strategy of directives. This finding is consistent with Hyland's earlier findings on directives (2002a) and questions (2002b) taken from textbooks, research articles, and student reports.

Regarding directives, Hyland (2002a) showed that student reports included half of the directives found in research articles and only one-third of those found

in textbooks written by experts. More qualitatively, the research revealed that student writers tended to prefer a much less imposing form of directives, depending predominantly on physical directives. As for questions, Hyland (2002b) demonstrated that student reports avoided "adventurous uses" (536) of questions, employing them mostly for organization of the text although their frequency itself was not significantly different from that of experts' research articles. Later studies by Hyland (2005b, 2009) that were based on the more embodied framework of engagement presented similar results. Overall, published articles contained more than twice as many items directed for reader engagement, compared to those found in student reports. While both corpora included similar numbers of questions, shared knowledge references, and asides addressed to their readers, student reports contained much fewer reader pronouns and directives with the most dramatic difference being found in the use of the former strategy.

However, the studies described above were based on writings from various disciplines, thus putting relatively less interest on the features of student writing in particular disciplines. In this respect, the current study aims to perform a more discipline-specific analysis by focusing on the writings produced in applied linguistics. There is one study by Siew Mei (2007) that compared the engagement resources from high- and low-rated geography papers written by Singapore university students. Although the framework of engagement used in that study is rather different from the current one, it still underpinned the importance of engagement in the specific discipline of geography writing. It suggested that an effective degree of encouragement clearly enhanced the quality

of academic argument in student writing.

Also, while many existing studies have examined undergraduate student reports, the present study chooses to compare the postgraduate writings of Korean graduate students to those of internationally acknowledged experts. In this way, it expects to provide more implications for the specific Korean graduate EAP writing context. Within the Korean EAP context, there is a study by Park (2006) that investigated the use of metadiscourse by Korean graduate students and international researchers. No significant quantitative difference was found in that research between Korean students and international experts in terms of their use of engagement markers. That is, academic expertise did not influence the frequency of the engagement resources. However, it did reveal that there existed some qualitative variations between the two. While the Korean students' favorite engagement devices were reader pronouns, the expert researchers preferred imperative phrases, or directives. This study offers some insight for the present study in that it focused on EAP writing based on the discipline of applied linguistics in a Korean graduate school context. However, as it studied engagement markers as merely part of the various resources of metadiscourse, the study may not provide a full, in-depth picture of the engagement resources. The present study is expected to reveal more detailed aspects of engagement practices by Korean novice writers with embodied categories of engagement.

CHAPTER 3
METHODOLOGY

This chapter explains the materials and data analysis for the current study. Section 3.1 outlines the materials analyzed in this study, and Section 3.2 presents the procedures utilized for data analysis.

3.1 Materials

To compare the engagement practices of academic experts versus Korean graduate students, the present study compiled two contrasting corpora: Published international journal articles written in English (henceforth, the JA corpus) and the master's theses written in English by Korean graduate students (henceforth, the MT corpus). The study chose published international journal articles as a reference corpus to represent *expert writing* based on Bolton et al. (2002) who suggested that published international articles should be the norm of student academic writing. Many of the previous studies chose published journal articles (Hyland, 2001, 2005a, 2005b; Park, 2006) to represent expert writing. On the other hand, in an attempt to offer implications to the direct needs of Korean EAP pedagogy, master's theses were chosen so as to represent *novice academic writing*, as they are the most basic, but still the most important genre in postgraduate writing. In this respect, Hyland (2009) also suggested that the

dissertation is a major assessment genre that typically represents a supervised research work which then can be conceivably compared to published journal articles in terms of academic research writing. In the strictest sense, research articles and master's theses may be considered two different genres. For instance, thesis samples are mostly longer than journal articles. Also, master's theses are basically an assessment genre, which may imply unequal writer-reader relationships for the student writers, while such distinctions of power and status do not exist between the writers and readers of journal articles (Hyland, 2002a). However, in terms of the research-based context of academic writing and the process of finding answers to the research questions (within the Introduction through the Conclusion sections) (Boote & Beile, 2005), journal articles and master's theses would be comparable, as they share the ultimate goal of persuading their readers in larger academic communities. To reconcile the difference in length, this study chose to compare normalized frequency per 10,000 words rather than using a raw frequency.

Thirty articles were finally chosen from four recognized journals in the field of applied linguistics. The selection of these journals required the utmost deliberation for the present study, as they needed to represent expert writing in the chosen field. For the selection of journals, the study referred to Egbert's analysis on quality journals in applied linguistics (2007). Three were, therefore, selected from the most highly ranked journals according to the comprehensive quality indicators, including the impact of global readership, the number of mentions by the experts, citation counts, and the intended audience. The journals

included *Applied Linguistics, Studies in Second Language Acquisition*, and *Modern Language Journal*. The journals were all considered as well-respected journals by professionals in the field. In addition, *International Review of Applied Linguistics in Language Teaching*, or *IRAL* was added to the JA corpus. This journal was also listed as a quality journal in the discipline of applied linguistics with a comparable readership and academic audience (Egbert, 2007) although it was not ranked among the top journals. From each journal, ten research articles were randomly selected. Then, to guarantee a comparability of the texts, the forty articles chosen from the journals underwent a screening process according to their type of research and corresponding research areas using Duff's (2010) summary of research approaches and areas in applied linguistics. For convenience of this process, the study referred to key words and abstracts from the article samples. All samples of theoretical research were left out. The study also excluded purely qualitative studies whose areas included discourse, conversation analysis, and all sorts of case studies. All the selected articles were published in the years of 2009-2013, and all of them were available on the web.

For the MT corpus, four universities in Korea with English language departments were chosen by considering the accessibility of electronic files and their availability for the study. They included *Kyungpook National University, Jeonnam National University, Sookmyung Women's University,* and *Hanyang University.* The same screening process of the research areas was applied and twenty-five master's theses written in English were finally compiled for the

corpus. All of the writings were written in the years of 2005-2013 and also available on the web.

TABLE 3

Description of the Corpora Compared

Type of corpus	JA	MT
Number of texts	30	25
Source	*Applied Linguistics,* *Studies in Second Language Acquisition,* *Modern Language Journal,* *International Review of Applied Linguistics in Language Teaching*	Master's theses from four Korean universities (Kyungpook National University, Jeonnam National University, Sookmyung Women's University, and Hanyang University)
Written or published years	2009-2013	2005-2013
Number of total words	244,644	243,197
Number of words per text	8,154	9,727

For both corpora, the electronic versions of the writings were accessed, and the files were converted and saved in text format with names indicating related information, such as the journal or university name, year of publication, and the authors. Following the final text-selection process, all the samples were

randomly marked with a combination of the type of corpus and a text number (e.g. JA #1). In addition, only the body parts of the corpora were placed into analysis. For this purpose, both corpora underwent a complete cleaning process, i.e., excluding abstracts, titles, footnotes, tables, captions, examples, and references that were considered as not belonging to the body part of the prose before being placed into a final word count and the detailed analysis. The description of the two corpora compiled for the current study can be seen in Table 3.

3.2 Data Analysis

To investigate the differences in engagement features for the two corpora, the analysis was divided into three major parts. First, to detect the instances of engagement devices, the present study employed the adapted framework of engagement in academic writing by Hyland (2005a) (Table 4).

As summarized in Section 2.1.2, Hyland (2005a) suggested five main elements or subcategories for engagement in academic writing based on previous findings regarding reader features (Hyland, 1998, 2001, 2005b, 2005c; Hyland & Tse, 2004; Swales et al., 1998). Each of them is described with examples taken from the JA corpus below.

TABLE 4

Five Elements of Engagement in Academic Writing (Hyland, 2005a)

Elements	Definition/function	Examples
Reader pronouns	Explicitly refer to the readers and bring them into the discourse	*you/ your/ we*
Directives	Instruct the readers to perform certain actions	*Consider (*imperative*)/ you should administer ~/ it is important to note that ~*
Questions	Explicitly ask something on the readers	*~ ?*
Appeals to shared knowledge	Recognize community-specific perception, or invoke 'sharedness' of certain knowledge	*It is well known/ obviously/ of course*
Personal asides	Briefly break off the discourse to offer a comment	*By the way, incidentally, -*

Reader pronouns are explicit references to the readers using personal pronouns (see the example below). These expressions function to acknowledge the reader's presence explicitly by addressing them within the discourse. The present study expanded the category of reader pronouns and re-named it *reader references* as in Hyland's later study (2009) so as to include third person references such as *the reader(s)* and the generic *one*.

As **we** have just seen, lack-of-agreement errors with auxiliary *do* are common in the interlanguage of our L2 learners of English. (JA #2)

Directives are expressions of obligation directed toward the readers. They can take the form of imperatives as in the example below, modals of obligation, or co-occur with adjectives of necessity, such as *important* or *necessary*.

Note that the low coefficients do not indicate that the elements never emerge in a predictable way. (JA #7)

Questions are explicit interrogatives that are directed toward the readers. In detecting the instances of questions, the writers' statements of their research questions were excluded by the researcher, as they were not indeed questions intended to engage the readers. Below is the example of questions retrieved for the current study.

How do you break into a new and unknown language from scratch when you have no help? More specifically, how do you extract word-related information from the incoming string when this is a stream of sustained speech? (JA # 20)

Appeals to shared knowledge emphasize the *sharedness* of each academic community by overtly referring to it (consider the example below). In the present

study, expressions specific to the discipline of applied linguistics were included as search items, for example, *as applied linguists*.

> We need to acknowledge, **<u>of course</u>**, that the different strengths of association between formulaic sequence use and oral proficiency scores between L2 English and L2 Spanish that we have attested here may not be entirely due to the nature of these target languages per se. (JA #27)

Personal asides momentarily interrupt the ongoing discourse usually via the use of a hyphen to mention something further about what has just been said. These expressions achieve the effect of talking more directly to the readers, and accordingly may enhance the intimacy between the writer and the reader.

> Students sometimes produced certain word strings smoothly and confidently **<u>- leaving the impression of 'holistic' production -</u>** but the strings were actually not target-like, possibly due to erroneous transfer from L1. (JA #4)

Based on this classification, the instances of engagement strategies in the five categories were retrieved for the two corpora using the *Concord* function of the *Wordsmith Tools* package (Version 5.0, Scott, 2007). For this purpose, a list of 135 potentially productive search items in the five categories was compiled and modified based on the previous findings (Hyland, 2001, 2005a, 2005b, 2009): 9

items for reader references, 112 for directives, 1 for questions, 10 for shared knowledge appeals, and 3 for personal asides. The comprehensive list of items searched for this study is found in the *Appendix*. All the instances drawn from each corpus were then carefully examined at the sentential, or if necessary at the paragraph level, and double-checked by the researcher to ensure that these instances indeed functioned as engagement markers within the prescribed context. For instance, all instances of the exclusive *we* were manually ruled out by the researcher, as they were not devices addressed to the readers, but rather referred solely to the writer (Harwood, 2005).

Secondly, to address the first and second research questions concerning the quantitative aspect, the density and proportion of the engagement devices in each subcategory were calculated and then compared across the two corpora. The study chose to compare the density, or the normalized frequency per 10,000 words in order to compensate for the different sizes of the two corpora. After retrieving all the items from the corpora, these instances were organized by engagement subcategories on an Excel sheet and calculated for both frequency and proportion. To check the statistical significance of the quantitative analysis, a Chi-square test was employed.

Lastly, for the third research question regarding the use of individual items and their rhetorical functions, a qualitative analysis was done by investigating the functions of individual engagement devices within the extended context. Items put into qualitative analysis were mostly those that were highly-ranked devices in the frequency analysis. As for the rhetorical functions, the present study

borrowed Kuo's (1999) definition, namely, a function that a sentence containing the given device performs in the immediate context "reflecting the specific communicative purpose of writers in a certain part of the text" (p. 130). In this respect, this study examined how each of the prevalent items functioned to achieve the ultimate rhetorical ends of academic writing, which is to secure the ratification of their claims (Gilbert, 1977). To reveal the rhetorical functions in each parts of the text more clearly, the instances of the most salient items were analyzed divided by five rhetorical sections of each text, namely, Introduction, Literature Review, Methods, Results and Discussion, and Conclusion. The concordance lines of at least one paragraph level were placed into analysis. When needed, more than one paragraph before and/or after the instances of engagement was referred in order to decide their usage patterns. Ultimately, the researcher focused on revealing the variations between the two corpora, in terms of the rhetorical functions of engagement devices and their effectiveness in each rhetorical context as a means to improve the ultimate persuasiveness of the claims.

CHAPTER 4
RESULTS AND DISCUSSION

This chapter reports and discusses the findings of the study. The results and discussion of the quantitative and qualitative analysis are presented in Section 4.1 and Section 4.2, respectively.

4.1 Quantitative Analysis

In this section, the results and discussion of the quantitative analysis are provided. Section 4.1.1 deals with the density of the overall engagement devices. Sections 4.1.2 and 4.1.3 demonstrate the density and proportion for the engagement devices in five subcategories or the five elements that were defined previously.

4.1.1 Density of Overall Engagement Devices

First, the overall frequencies of the engagement devices in the two corpora were significantly different (χ^2=241.26, df=1, p<.001). As can be seen from the data shown in Table 5, Korean graduate students significantly underused engagement devices: The expert writers employed more than two times higher density of engagement resources than did the Korean novice writers.

TABLE 5

Density of Overall Engagement Devices

	JA	MT	χ^2 value
Raw frequency	1,014	422	241.26***
Density per 10,000 words	41.4	17.4	

***$p<.001$

This finding concurs with the previous studies that examined the corpus of novice writers in comparison to that of experts (Hyland, 2005b, 2009; Hyland & Tse, 2004). Although the variation between the two corpora was substantial in the present study (with the JA corpus including more than twice as many engagement devices), student writers' underuse pattern itself could be considered to be consistent with the previous results. For instance, Hyland (2005b) found similar variations between Hong Kong undergraduate student reports and published articles in eight academic fields, including four hard sciences and four soft disciplines. The published articles contained twice as many engagement items (a density of 51.7 per 10.000 words) compared to the student reports (a density of 23.9). Likewise, Hyland and Tse (2004) showed that Hong Kong graduate students with differing degrees of academic expertise had similar quantitative differences in terms of their engagement practices. Doctoral students used more engagement devices (about 1.5 times more items) than master's students did and published journal articles included still more engagement items. The density of the present study may also suggest that Korean novice writers are

relatively less involved in overtly engaging the readers within their discourse. However, the overall density itself is not sufficient to reveal the full picture of how the engagement devices are actually employed in each corpus. The present study further investigated the difference between the two corpora in terms of the density and relative proportion of the engagement resources in their subcategories. These results are presented in Sections 4.1.2 and 4.1.3.

4.1.2 Density of Engagement Devices in Subcategories

The density of engagement devices in five subcategories is displayed in Table 6 and Figure 2.

TABLE 6

Density of Engagement Devices in Subcategories

Category	Density (Raw frequency)		χ^2 value
	JA	MT	
Reader references	12.0 (294)	4.9 (118)	74.20***
Directives	25.7 (628)	11.6 (282)	129.75***
Questions	2.7 (67)	0.4 (10)	41.86***
Appeals to shared knowledge	0.7 (18)	0.4 (9)	2.94
Personal asides	0.3 (7)	0.1 (3)	1.57
Totals	41.4 (1,014)	17.4 (422)	241.26***

***$p<.001$
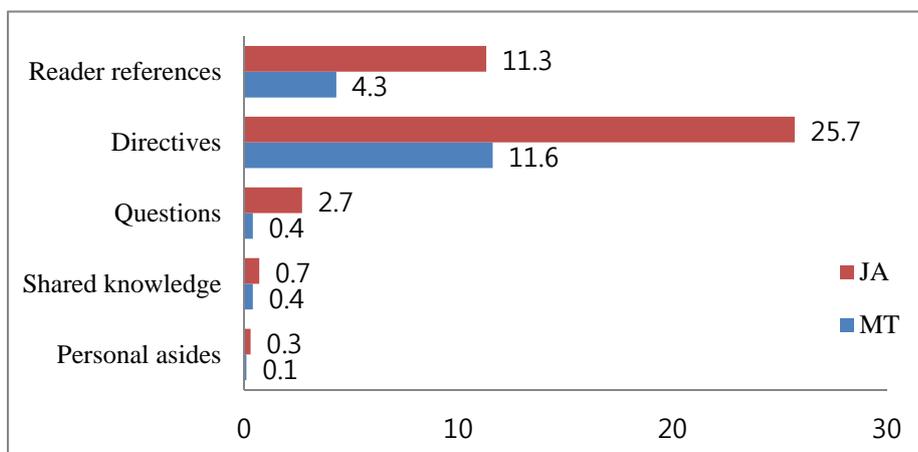
FIGURE 2

Density of Engagement Devices in Subcategories (per 10,000 words)

As can be seen, the frequencies of reader references, directives, and questions in the two corpora were significantly different (p<.001). That is, in the first three subcategories, the density of expert writers was significantly higher than that of the Korean student writers. However, with regard to appeals to shared knowledge and personal asides, the discrepancy between the two corpora was not significant. It may be due to the fact that both student writers and the experts rarely used them. Previous research also produced similar results for these two strategies (Hyland, 2001, 2005a, 2005b, 2009): They were not very often deployed in academic writing.

As noted, reader references, directives, and questions are the engagement strategies that for novice writers showed significant underuse patterns compared to the experts. The density of these three categories are further discussed and compared across the two corpora below.

First, with regard to reader references, the JA corpus included more than twice as many occurrences (12 per 10.000 words) than did the MT corpus (4.9 per 10,000 words). It is worth noting in that reader references, among other engagement markers, may be the most explicit way to acknowledge the presence and the role of the readers (Hyland, 2001; Hyland & Tse, 2004). Further, according to Kuo (1999), the presence or non-presence of reader references can reveal how academic writers view their relationship with their readers and the discourse community. In this respect, it can be first argued that the audience/reader awareness of Korean graduate students in the current study is relatively lower compared to the expert writers. Or, it may imply that the novice group is less likely to overtly acknowledge the presence of the readers and bring them along as discourse participants. This result agrees with many of the previous study findings. For instance, Hyland's study mentioned above (2005b) revealed a clear quantitative difference in the use of reader references between Hong Kong undergraduate student reports and published articles in eight academic fields. In his study, published articles contained about five times higher density of reader references (24.8 items per 10,000 words) than the undergraduate student reports (5.5 items per 10,000 words). The discrepancy between the novice-expert groups was smaller in the present study, which may suggest that Korean graduate students are engaging relatively more with their readers in terms of addressing them. It may be possibly explained by the fact that the genre of master's theses implies a much higher level of academic expertise than the undergraduate reports. However, these academic novices still did not

readily make overt reference to their readers within the text in contrast to the experts. This result thus indicates that Korean graduate students' awareness of the readers in their academic writing has not yet reached the extent of those seen in expert writers.

Next, for directives, the student writers clearly underused them compared to the experts. The frequency data showed that the JA corpus included more than twice more directives (25.7 per 10,000 words) than the MT corpus (11.6 per 10,000 words). The relative paucity of directives in student writing may be partly explained by the theory of the "Face-threatening act, or FTA." According to the politeness theory of Brown and Levinson (1987), FTA is an act that damages the face of the addressees by impeding their *freedom of action* or *freedom from imposition*. In terms of the theory, using directives or overtly instructing readers to perform certain acts may be a source of potential imposition on those readers (Swales et al., 1998), and thus, it may not be an appealing nor readily available strategy for novice writers. Hyland (2002b) also suggested that particularly L2 and/or novice academic writers may have considerable difficulties with the strategy. On the other hand, expert writers may be more adept at handling directives in a way that lessens FTA. Swales et al. (1998) suggested that imperatives do appear in expert writers' equal peer-peer texts despite their face-threatening nature. Their strategic use of directives is discussed in more detail in Section 4.2.2.

Turning to the next category, question is the strategy that showed the biggest disparity between the two corpora in terms of density. However, while Korean

graduate students rarely used direct questions in their thesis writing (density of 0.4 per 10,000 words), expert writers did not very often employed the strategy either (2.7 per 10,000 words) when compared to the other two strategies of reader references and directives. This result parallels the previous findings (Hyland, 2001, 2002b, 2005a, 2005b, 2009). Avoidance of questions especially in the student corpus may be explained by its rather informal and colloquial nature, which is more prevalent in the spoken genre. In this regard, Swales and Feak (1994) indicated that many of the previous researches on academic writing and language pedagogy considered question as a strategy to be avoided in the written academic genre. The student writers in this study were probably reluctant to use questions for fear that they might make the texts seem less academic or less professional, while the expert corpus did include some instances of questions. Then, why and how did these expert writers still decide to use questions despite their potential risks? A qualitative analysis on the individual instances of questions will answer that question in Section 4.2.3.

4.1.3 Proportion of Engagement Devices in Subcategories

In terms of the relative proportion of engagement devices in the five subcategories, the two corpora showed similar patterns as can be seen in Table 7 and Figure 3.

The most frequently employed devices in the JA corpus were directives

(comprising 61%), followed by reader references (29%). On the other hand, questions, appeals to shared knowledge and personal asides were relatively not often employed (comprising 7%, 2%, and 1%, respectively), which is consistent with the previous findings. Such an uneven pattern was also found in the MT corpus: Directives took up 67% of all occurrences, and reader references comprised 28%, while questions, shared knowledge appeals, and personal asides were much less often used (comprising 2%, 1%, and 1%, respectively).

TABLE 7

Proportion of Engagement Devices in Subcategories

| Category	JA	MT
Reader references	29%	28%
Directives	61%	67%
Questions	7%	2%
Appeals to shared knowledge	2%	2%
Personal asides	1%	1%
Totals	100%	100%
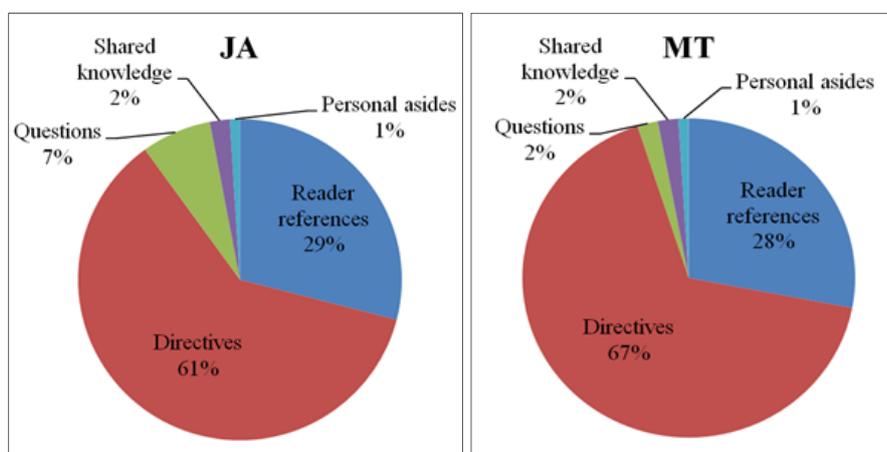
FIGURE 3

Proportion of Engagement Devices in Subcategories

Above all, it is interesting to note that in both expert and student writings, directives comprised such a considerable proportion (61% for JA and 67% for the MT corpus) of the five subcategories. This result is a slight deviation from the previous literature in that directives constituted a much higher proportion in the current study. In Hyland's (2005b) research on engagement features in eight disciplines, directives took up only 36% of all the instances of engagement in expert writings, while reader pronouns comprised 48%. Student corpus included 49% of directives in the study. However, both experts and novices in the present study used directives much more frequently (taking up more than 60% of all the instances) while employing a comparatively less amount of reader references. Considering that using directives is one of the conventionally employed strategies for encouraging overt dialogue between writers and readers (Swales et al., 1998; Thompson, 2001), directives may be a good source for analyzing the

interaction pattern enacted by the experts and novice writers. The relative proportion of engagement subcategories certainly suggests that both groups are somewhat actively involving their readers in the discourse by the use of directives. On the other hand, however, writers should be cautious when using directives or making overt imperatives, as they can be face-threatening for readers unless they are used in an appropriate way (Brown & Levinson, 1987; Hyland, 2002a; Swales et al., 1998). Thus, a solely quantitative analysis is not sufficient. This study performed more qualitative analysis on the individual instances of directives for each corpus within the extended context. Some variations appeared between the two corpora.

4.2 Qualitative Analysis

In this section, the individual items of engagement subcategories are examined in detail. The discussion mainly deals with variations in the use of engagement strategies between the two corpora in terms of the features of individual instances and their corresponding rhetorical functions within each section (Introduction through Conclusion) of the text. More insightful patterns were found in the qualitative analysis on the JA versus the Korean MT corpus.

4.2.1 Reader References

As previously mentioned, the expert writers were overall more actively referring to readers in their writing than were the master's students. That is, the density of reader references in the JA corpus was more than two times higher than that found in the MT corpus. However, in terms of the list of preferred individual items, the two corpora did show similar patterns as illustrated in Table 8.

In both corpora, the most salient way of referring to readers was to use the inclusive *we*. Although the data shows that the second person *you* was the second most often employed reader reference in the MT corpus, it was considered as outliers in that those seventeen cases appeared exclusively in only two texts (MT #3 and #24).

TABLE 8

Five Most Frequent Reader References in Rank Order

Rank	Reader references & Density (Raw Frequency)			
	JA		MT	
1	(inclusive) *we*	6.9 (170)	(inclusive) *we*	2.7 (66)
2	(inclusive) *our*	2.7 (68)	*you*	0.6 (17)*
3	(inclusive) *us*	1.3 (32)	(inclusive) *us*	0.5 (14)
4	*one*	0.6 (17)	*one*	0.5 (13)
5	*you*	0.2 (6)	(inclusive) *our*	0.2 (6)

Among the 17 occurrences of *you*, 10 were found in a single text and 7 in another. Both texts employed the second-person *you,* as they explicitly addressed their direct audience within the textual flow or referred to people in general to make certain assumptions about them. Yet, it was shown that similar contexts in the remaining 23 texts in the MT corpus were not realized by the use of second-person *you*. Therefore, it can be said that both experts and the Korean graduate students chose to use the inclusive *we/our/us* when referring to readers rather than the more explicit form of *you.* This finding is worth mentioning in that the second person *you* rarely occurs in academic writing although it is the most obvious way of acknowledging the presence of readers. First, it may result from the widely accepted notion that the second person *you* is too informal for the academic written genre (Biber et al., 1999). Further, Brown and Levinson (1987) argued that referring directly to readers by the second person *you* when making certain claims about them can be face-threatening. In this vein, Thompson (2001) suggested that including oneself (as in the inclusive *we/us*) in argumentation can be a strategy for mitigating the face-threatening act or FTA. He actually showed how replacing the inclusive *you* with *we/us* in student writing could lower the FTA in the course of argumentation. Compared to the novice writers from Thompson's study (2001), Korean master students in the current study rarely used *you*, thus making their writing less face-threatening for readers. Lastly, Kuo (1999) suggested that the second-person *you* may sound "detached and command-like" (136) to some readers by separating them into a different group. On the other hand, the inclusive *we* may shorten the distance and stress more

solidarity with the readers. Many previous studies have indicated that the inclusive *we* has the positive effect of creating an intimate tone and enhancing communality with readers (Cutting, 2001; Harwood, 2005; Kuo, 1999; Thompson & Thetela, 1995; Quirk et al., 1985). Heavy use of the inclusive *we* for both groups in the present study may also be understood in terms of these effects.

However, what is more important than the overall frequency data itself is how these items actually function in each separate rhetorical context. In that way, we can decide whether reader references in the two corpora were used indeed as an effective rhetorical strategy for the authors' argumentation. For this purpose, the researcher analyzed the instances of reader references in the Introduction through Conclusion sections, and compared how they functioned in each context. Some meaningful differences appeared when considering individual cases of reader references within the extended context.

Reader references from the two corpora could first be divided into three broad categories according to the *specificity* of each referent. These categories are described in Figure 4 below, which were devised by the researcher based on the empirical data gathered from the present study and the previous research findings and concepts (Hyland, 2001, 2005a, 2005b, 2009; Kitagawa & Lehrer, 1990; Quirk et al., 1985).
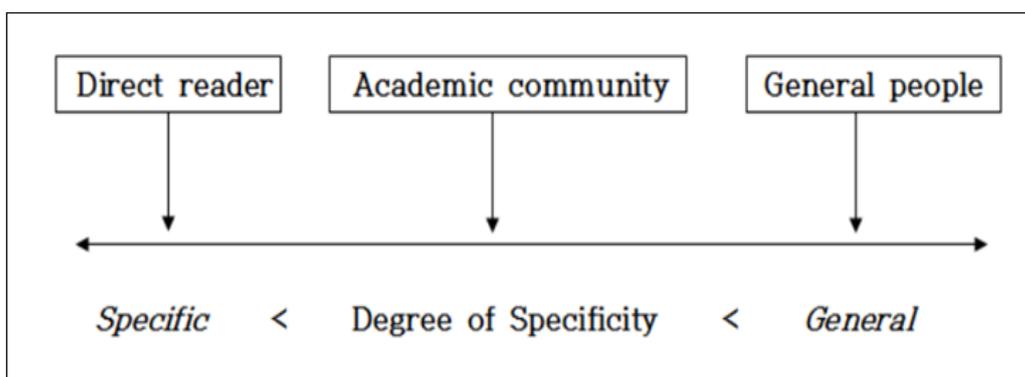
FIGURE 4

Specificity of Referents

First, there were many instances where individual references were targeted at direct readers, or the direct audience of the paper. In this case, the author formed an immediate relationship between writer and reader. Further, sometimes the writers referred to their readers in a more extended academic community, mostly in this case, the applied linguists. On the other hand, there were some instances where the reader references had more general referents, or people in general (Quirk et al., 1985). Of course, categorization into these three categories was not always clear-cut for the instances of reader references as the three categories are a continuum. Clearly, however, there existed a tendency in terms of the specificity of referents from each corpus. There were also certain variations between the two corpora in terms of their distribution that are worth mentioning. They are presented in Figure 5.
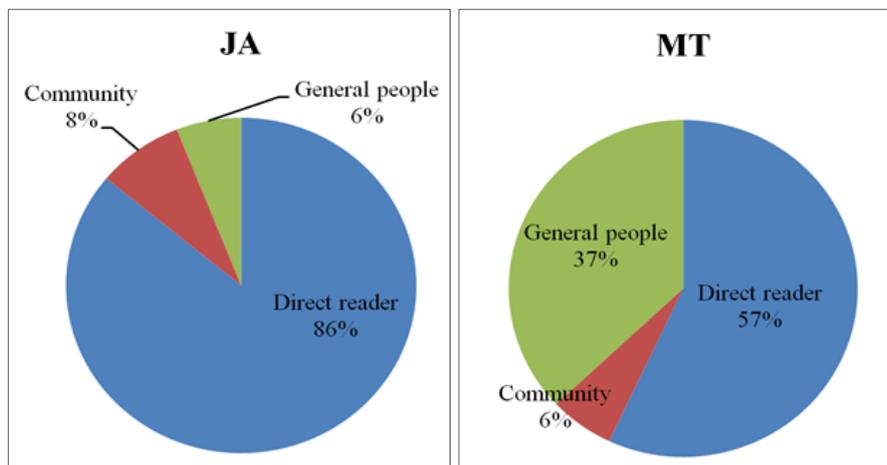
FIGURE 5

Distribution of Reader References by the Specificity

In the JA corpus, most reader references (86%) were targeted at direct readers or the specific discourse participants at hand. The MT corpus contained relatively less instances of referring to the direct audience (57%) compared to JA. Instead, a considerable proportion of reader references were intended for undefined people in general. Consider examples (1)-(2) below.

(1) JA #5

As <u>we</u> have just seen, lack-of-agreement errors with auxiliary *do* are common in the interlanguage of our L2 learners of English. The second question to be addressed now is whether there are any other misuses of auxiliary *do* that are attested only in one of the groups (children or L2 learners).

(2) MT #8

Speaking is considered as one of the most complex skills of humans.
Although it being so much a part of daily life that <u>we</u> take for granted, <u>we</u>
now know that speaking involves both a command of certain skills and
several different types of knowledge, especially when <u>we</u> have to learn how
to speak in a foreign language.

While the inclusive *we* in example (1) (the JA corpus) is addressed to direct
readers to guide them through the textual flow, all three instances of the inclusive
we in example (2) (MT corpus) had more general referents, namely, human
beings. The novice corpus contained a considerable amount of general reader
references as seen in the example above.

Hyland (2009) found similar characteristics in Hong Kong undergraduate
student reports in terms of their use of the engagement marker *you*. He indicated
that most instances of *you* were actually intended for general people rather than
the direct audience at hand. In a similar vein, the present study revealed that
novice writers tended to address an undefined general audience quite often rather
than direct readers when they employed the strategy of reader references. This
finding may suggest a relatively less dialogic nature of the student corpus
compared to expert writings. It is worth noting in that directly interacting with
readers comprises an essential part, even in academic writing, to make the text
more interactive, and accordingly, more appealing to its readers (Bakhtin, 1986;
Harwood, 2005; Kim, 2009). In this respect, Thompson (2001) also indicated

that the strategic use of direct reader engagements, especially in the context of argumentation, could improve the overall quality of the writing.

Based on this finding, the study analyzed what the authors in the two corpora intended to achieve by referring to their readers in the extended context. This time, to find out the rhetorical functions of reader references in each corpus, this study examined at least one paragraph level before and/or after the case of reader references in the Introduction through the Conclusion sections. Relatively more dialogic nature of the JA compared to the MT corpus was further noticeable in the qualitative analysis.

First, many instances of direct reader references in the JA corpus helped to guide the readers to a preferred conclusion especially in the Results and Discussion sections, and they were often combined with other engagement markers, such as directives. Consider example (3).

(3) JA #10

In conclusion, **if we want to make claims** about how input is processed, it **behoves us to** *[directive+reader reference]* adopt tasks that are not contaminated by constraints that may arise solely in speech production. Better yet, **we should investigate** *[directive+reader reference]* what properties of the input learners at various proficiency levels actually find salient. This perceptual data must then be linked to word learning. Only then can we determine empirically if perceptual salience is a causal element in L2 word learning or if it is, rather, a by-product of the acquisition of specific

phonological systems emerging as a result of or concurrently to word learning.

In the example above, the author is making three claims in a row and attempting to raise their persuasiveness by every time referring to the readers as the inclusive *we*. By involving the readers in the process of argumentation, the claims became less categorical and more appealing. Compare the example with the less interactive version below where the reader references are all left out.

In conclusion, to make claims about how input is processed, <u>it is necessary to</u> adopt tasks that are not contaminated by constraints that may arise solely in speech production. Better yet, **<u>it is crucial</u> to investigate** what properties of the input learners at various proficiency levels actually find salient. This perceptual data must then be linked to word learning. **Only then <u>it is possible to</u> determine** empirically if perceptual salience is a causal element in L2 word learning or if it is, rather, a by-product of the acquisition of specific phonological systems emerging as a result of or concurrently to word learning.

In a similar respect, JA included many instances where the writer referred to the readers in order to state anticipated counterclaims and then refute them as in example (4).

(4) JA #1

In light of these considerations, and taking into account the above-mentioned studies, many researchers argue that incidental vocabulary acquisition through reading is limited (e.g. Pichette 2005; Pigada and Schmitt 2006; Esquiliche Mesa et al. 2007; Pulido 2007; Brown et al. 2008). **<u>We</u> have reason to believe that a purely incidental learning situation would have led to even lower recall scores. This study nonetheless suggests that some limited incidental acquisition can take place during 'normal' reading and writing activities, and that both exposure to and production of language can lead to some (albeit very limited) incidental retention.**

In the highlighted parts of the excerpt above, the writer is mentioning potential objections (*we have reason to believe that ~*) in line with the evidence gathered from previous literature, which is then followed by his main argument (*This study nonetheless suggests that ~*). That is, the writer makes the argument more interactional by taking the form of a *concession-assertion* pair (Thompson & Zhou, 2000): The writer first accepts that anticipated reactions from the readers are true (*concession*) but then expresses their main points (*assertion*). According to Thompson and Zhou (2000), this kind of concessive relation within argumentation improves the persuasiveness of the claim. By referring to the readers as *we* in stating what they may think, the writer is enacting the role of the imaginary reader (Hyland, 2001) in the process. In other words, articulating

counterarguments achieves the effect of creating sort of a dialogue between the writer and the readers, and referring to the direct readers in this context can reinforce the dialogic nature of the text. Previous studies (Harwood, 2005; Kim, 2009) have suggested that encouraging readers' involvement as dialogic participants in this way can make the discourse more *reciprocal,* according to the term used by Nystrand (1989), and ultimately enhance the persuasiveness of the text. Therefore, the present study suggests that occurrences of reader references in the JA corpus will achieve the rhetorical effect of making the writer's argumentation more receptive to the readers. Additionally, referring to the readers as the inclusive *we* rather than *you* in this context achieves the effect of mitigating the FTA as well (Thompson, 2001).

On the other hand, it was hard to find this kind of tactful and rhetorically effective usage of reader references in the MT corpus. Of course, the MT corpus did include instances in the Results and Discussion sections where writers referred to direct readers to encourage certain responses to their findings. *We can conclude that~, It tells us that~, We find that~* are the frequently used phrases with reader references used in the Results and Discussion sections. Look at example (5) below.

(5) MT #10

In order to observe whether mean of both groups in the pretest is significantly different, an independent sample *t*-test was used. **We see that** Levene's *p* value is not significant ($p = .22$). Thus, it can be assumed that

variances are approximately equal. That means that both groups performed roughly equal on the pretest. The result of the independent sample *t*-test revealed that there is no significant difference between the two groups. (*p* = .64). **So <u>we</u> can conclude that** the two groups are approximately homogeneous before the experiment was executed."

In this example, the writer refers to the readers as the inclusive *we* to note certain statistical findings (in the first instance of *we*), and then to draw a final conclusion from these findings (in the second instance). As can be seen, however, most of these instances do not contain much room for discussion on the part of readers, but rather simply report certain findings and then move on to the intended conclusions. That is, reader engagement in this context is not functioning well as actual engagement. It may be said as well that most occurrences of reader references even in the Discussion sections do not perform critical functions as part of the process of the writers' negotiation with their readers.

There were some instances, as in the case of the JA corpus, where the novice writers referred to their direct readers to refute the possible reactions coming from them. Look at the example from the student data in (6) to explore this point further.

(6) MT #23

Each of the *p* values is 1.000, meaning there is no such a tendency like L1

English participants. Other di-transitive sentences are also chosen without

any tendency. **You may assume that** 65% of Korean English learners here

choose given information for the indirect object of *Throw*. **However, it is**

still not meaningful because the *p* value is 0.180.

In the excerpt, the writer explicitly addresses the readers by the second-person *you*, in order to mention their expected response (*you may assume that ~*) and rebut the claim right after (*it is still not meaningful ~*). As can be seen, however, the instances of the reader references in this context remain at the level of mere data interpretation and do not reach the extent where reader references are employed for critical argumentation or discussion as they did in the JA corpus.

To summarize, compared to the expert writing, reader references from the student corpus were less dialogic in terms of direct interaction with readers enacted by the writers. That is, a considerable amount of the referents were undefined people in general rather than the direct discourse participants at hand. Also, they did not function well as an effective strategy for crucial argumentation and/or negotiation. Considering that ongoing interaction between the writer and the reader enhances the quality of writing (Bakhtin, 1986) and the strategic use of reader references can evoke that interaction (Kim, 2009), novice writers in the present study have yet to develop more in terms of their tactful use of the strategy of reader references.

4.2.2 Directives

Turning to the most preferred engagement strategy, directives were the most heavily employed device in both the novice and the expert corpora. However, considering the semantic features of all the instances of directives in their extended contexts, certain discrepancies were found between the two corpora. According to Hyland (2002a), directives can be divided into three semantic categories based on the type of activities that are directed to the readers. These include textual, physical and cognitive directives.

1) ***Textual*** *directives* are used to guide readers throughout the text, steering them to another part of the text or even to another text.

Ex. *Look at table 2, See Hyland (2007)*

2) ***Physical*** *directives* instruct readers how to perform a certain research process or to undertake some action in the real world.

Ex. *Test results should be recorded ~, Select the items*

3) ***Cognitive*** *directives* are used to guide readers through the process of reasoning or make them understand ideas in a certain way.

Ex. *Consider ~, it is important to note that~*

From the pragmatic point of view, directives in academic writing should involve certain status and/or power differences with their use, depending on the assessment of the relationship between the writer and the audience (Brown & Levinson, 1987). In this vein, Hyland (2002a) suggests that directives claim greater authority of writers over their readers. Moreover, the relationship between these discourse participants is significantly influenced by the principal form of action realized by the directives. For this reason, individual directives from the present study were analyzed using the three semantic categories described above. There appeared certain notable variations between the two corpora in terms of their distribution and corresponding functions.

Figure 6 indicates that there were clear differences in the preferred categories of directives by the experts and Korean graduate students.
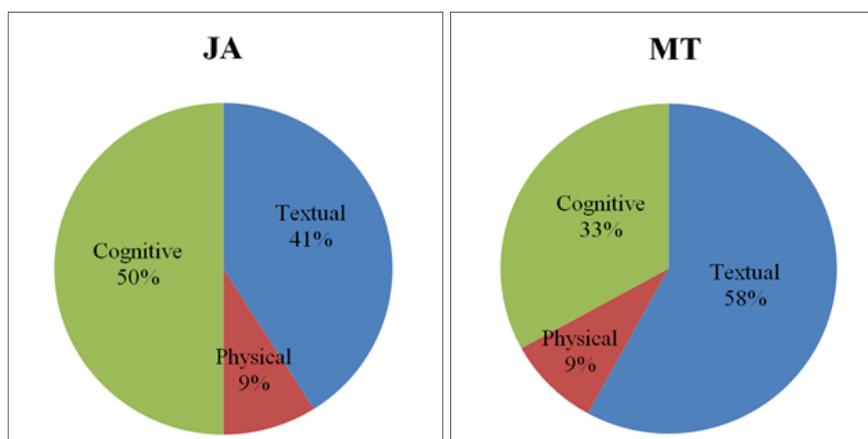

FIGURE 6

Distribution of Directives by Semantic Category

First, both expert and novice writers rarely used physical directives (comprising only 9% in both corpora). This finding is quite distinguished from the previous results offered by Hyland (2002a, 2005b, 2009). For instance, Hyland (2002a), in the study of directives from research articles and Hong Kong undergraduate student reports from eight broad disciplines, revealed that student reports included a considerable proportion of physical directives (58.3%), while they took up 15.4% in research articles. Physical directives in the present study comprised a comparatively less proportion in both the expert and the student corpora. This difference may be explained by the nature of the soft discipline of applied linguistics that requires not as many physical actions (or statements of experimental process) within the flow of a text. The list of individual items found in the two corpora mostly overlapped, including *find, select, test.* Below are examples of directives with the verb *find* taken from the JA and the MT corpus.

(7) JA #24

To avoid the pitfalls of documenting proficiency inadequately, researchers **should find and administer** a proficiency test that is sufficiently global.

(8) MT #9

It is important to find other factors which most affect learning strategy use for developing their goals in the future.

However, findings on the cognitive and textual directives did show some discrepancies between the two corpora. In expert writing, cognitive directives were the most heavily used (comprising 50%), followed by textual directives (41%). On the other hand, textual directives were the most preferred category in the writings of Korean graduate students (59%). This result may be understood by the fact that instructing readers on their cognitive process may put considerable imposition on the readers. In this respect, Hyland (2002a) suggests that cognitive directives can involve the highest degree of imposition. He even considered them as the most threatening type of directives based on the finding that the more imposing type of directives, namely, the cognitive ones were less frequently employed in student reports (Hyland, 2005b). The tendency was more noticeable in the current study. It may be argued then that Korean graduate students from the present study did not readily command the readers in their thought process, or even their possible arguments, for fear of putting some imposition on the readers. Rather, they preferred to give less-imposing textual instructions. However, it is not sufficient to come to such an assertion solely based on the proportion data. In this regard, the researcher further refined the results by considering individual directives in each semantic category and their rhetorical functions within the Introduction through the Conclusion sections. A detailed analysis on cognitive directives will be followed below by an investigation of textual directives.

4.2.2.1 Detailed analysis on cognitive directives

First, expert writers used cognitive directives mostly in the Results and Discussion (32%) and the Conclusion sections (31%). This pattern is quite distinguished from the usage of Korean students who employed cognitive directives mostly in the Literature Review section (34%). Let's first look at how cognitive directives from each corpus function in the Results and Discussion and the Conclusion sections, which are sections that are strategically composed by the writers to discuss and convince their readers of their arguments. Example (9) is from the JA corpus.

    (9) JA #3

    How then <u>should we interpret</u> this pattern of results? Firstly, non-natives' relative 'underuse' of low frequency and novel combinations would appear to indicate a degree of conservatism in their production - learners seem to overrely on forms which are (according to BNC data) common in the language.

In JA, many instances of cognitive directives were strategically used to guide readers to interpret the results in a certain way. In this example, the expert writer was quite overtly concerned with the readers' cognitive process of interpreting certain findings in the form of cognitive directives. It may not be readily applicable to the novice writers, as directing readers in this way implies a rather

strong cognitive imposition. In many cases, the expert writers raised the rhetorical effect of engaging their readers by combining them with other strategies such as questions or reader references. (This point was mentioned earlier in the analysis of reader references). Frequent individual items employed in these contexts included *interpret, acknowledge, assume, consider, note.* As can be seen, most of these items involve a considerable level of cognitive imposition.

We could find more developed instances where cognitive directives were used to mention reactions or potential claims expected from the readers.

(10) JA #6

At the same time, **one must be cautious in *interpreting* the present findings as evidence that the intermediate L2 speakers necessarily adopted a structurally based gap-filling strategy when processing the target sentences.** For example, their longer reading times at the complement clause on subject-extractions could reflect more generalized difficulties associated with integrating the *wh*-phrase *who* with its subcategorizing verb, rather than difficulties stemming from syntactic reanalysis per se (e.g., Clahsen and Felser 2006; Marinis et al. 2005; Roberts and Felser 2007). **Nevertheless, these findings suggest that** even less-proficient L2 speakers process L2 input in an incremental manner and, as a result, can exhibit on-line garden path effects when such processing is disrupted.

In this example, the expert writer is commenting on an anticipated response from the readers considering their thought processes (*one must be cautious in interpreting the present findings as ~*). Then, by adding the concessive statement right afterwards (*nevertheless, these findings suggest that ~*), the writer is achieving the effect of emphasizing the importance of the present findings (Thompson, 2001). By engaging readers within this cognitive process in the form of directives, the writer could further raise the rhetorical persuasiveness of the claim. As previously indicated, in many of these instances, directives co-occurred with other engagement markers, such as the generic reader reference *one*, which can enhance the effect.

On the other hand, the Results and Discussion sections of the MT corpus did contain some occurrences of cognitive directives wherein they were used to make readers note certain results, and ultimately guide them to the preferred conclusion. They are represented in examples (11)-(12).

(11) MT #18

It should be *note*d that explicit correction is the most frequently used technique to correct students' pronunciation and it also had a very high uptake rate, in this study 88.1%, of students' response. Thereby, when teachers correct their students' pronunciation, explicit correction technique will lead to the highest uptake rates for the students. ... **From these findings, it can be said that** in correcting pronunciation, metalinguistic feedback should not be used and should not lead to any attempted uptakes from the students.

(12) MT #12

In order to support the first research question, <u>it is necessary to</u> <u>*consider*</u> all the results above. The findings about the effects of explicit collocation teaching on learners' perception are clearly significant in three immediate post-tests. **In addition,** even though the experimental group performed better than the control group, the degree of improvement on recognizing collocations showed slight increase in both groups.

In these examples, by using cognitive directives with the verb *note* (11) and *consider* (12), the writer attempts to attract readers' attention to the key findings that can support the writer's intended conclusion. In this way, they may function to make readers more receptive to the final conclusion. However, in many of these instances, directives by the novice writers did not involve much cognitive imposition on the reader compared to the instances of the JA corpus. That is, they simply made the readers notice certain findings and did not further intervene in their cognitive process, which is distinguished from the expert practices. Rather, many of these devices ended up like textual usages as in example (12): In this context, the cognitive directive *consider* is almost equivalent to the verb *see* (with textual function). It may suggest that novice writers' uses of cognitive directives are not as bold as those in the expert writings in terms of an involved imposition.

Also, novice usages do not crucially affect the process for the writers' critical argumentation and/or negotiation. It can be inferred from this finding that

cognitive directives in the student corpus are more prevalent in the Literature Review sections than they are in the Results and Discussion sections. They were mostly used to direct attention to certain previous literature or to make readers understand a specific concept within the text. It is displayed in example (13).

(13) MT #2

On the other hand, the characteristics of a verb with external causation indicate "the existence of an external cause with immediate control" (Levin & Rappaport Hovav, 1995). **<u>Consider</u>** (7): (7) *He broke the window.* In (7), it can be inferred that '*he*' externally causes the window to be broken. Ju (2000), however, used different concepts of causation from those of Levin and Rappaport Hovav.

In this example, the student writer employed cognitive directive with the verb *consider* to aid readers in following a new concept. As can be seen, the directive in this context has nothing to do with the writer's critical argumentation, but rather simply asks the readers to understand a concept. Likewise, cognitive directives prevalent in Literature Review sections mostly do not infer high cognition, and they are on the whole rather separated from the writer's main arguments. This result partly explains the fact that cognitive directives salient in the MT corpus were mostly those items that simply indicated paying attention to certain information such as *note, notice, keep in mind*. Such imposition put on the readers by the use of these items was rather small compared to the instances

of the expert corpus wherein they functioned as a rhetorical strategy in the critical process of argumentation.

4.2.2.2 Detailed analysis on textual directives

Textual directives comprised the biggest proportion of directives in the student corpus. There were some differences between the JA and MT corpus in terms of the preferred functions performed by the engagement strategy.

Textual directives in the JA corpus had various functions. First, it contained quite a few textual directives in the Literature Review sections, where they directed readers to the outside literature within the flow of the literature review, as shown in example (14).

(14) JA #30

For a more extensive review of these issues, <u>see</u> Truscott and Sharwood Smith (2011); <u>see</u> Robinson (2003) for an in-depth discussion on the relationship between noticing and detection.

In this example, the readers are directed to the outside literature by using the verb *see*. Frequently employed items in these contexts included *see, review,* and *look at.* The MT corpus contained almost the same list of items, while preferred usage patterns were rather confined. Contrary to our general expectations, the likely usage of textual directives (of directing the readers to the outside resources)

was not common in the Literature Review sections of the MT corpus, which is an interesting finding. Instead, most (almost all) of the instances of textual directives in the MT corpus were to direct the readers to tables or figures within the text. They were most heavily found in the Method sections and in the context of reporting the research findings in the Results sections as in example (15).

(15) MT #9

See figure 8.

Of course, the JA corpus does contain many of these instances. What this study noted is that novice writers' use of textual directives was rather restricted to this pattern, while expert writers quite freely employed the strategy throughout the sections. It may be understood that simply directing the readers to tables or figures does not involve much imposition on the readers, and accordingly becomes the most readily applicable resource for most novice writers.

However, these variations in the use of textual directives were not very significant and rather peripheral in terms of their rhetorical effect on the writer's process of argumentation.

4.2.3 Questions

Lastly, with regard to the strategy of questions, the Korean graduate students

rarely used direct questions in their thesis writing in contrast to the experts. Such paucity of questions in the student corpus may be partly explained by the working definition of questions as actual engagement devices in the present study. In detecting the instances of questions, the sections with statement of research questions were all excluded in that they are not indeed questions addressed directly to the readers to engage them in the ongoing discourse. Many instances of questions in the MT corpus were not directed at the readers, but rather used to restate the research questions in the form of interrogatives as in the example (16).

(16) MT #7

A question remains to be answered: what factors were involved in enabling Group A to be better than Group B in vocabulary tests? There are a couple of possibilities.

In addition, it is interesting to note that most questions from the student corpus appeared either in the Introduction or the Conclusion sections. On the other hand, instances of questions in the expert corpus were found throughout the five rhetorical sections with various functions although the frequency itself was not high either compared to other engagement strategies. In this respect, it can be a good resource for EAP writing to further investigate the functions achieved by the individual instances of questions in expert writing and compare them to the novice writings of Korean students.

Instances of questions in the JA corpus were mostly rhetorical questions rather than real ones. By *rhetorical questions*, the researcher means those questions that do not anticipate any reaction from the readers but function only as rhetorical devices (Hyland, 2001). As just mentioned, questions were found in almost all sections of the expert writings and performed various functions. First, rhetorical questions from the Introductions were mostly used to draw readers' attention to the main issues addressed throughout the text and accordingly to emphasize them. Examine example (17) below.

(17) JA #29

Adult study of additional languages is usually undertaken for serious purposes. ... It is unsurprising then that classroom second-language (L2) study is usually designed to expose learners to the forms of language used for practical, goal-oriented communication. <u>However, is utilitarian discourse the only type of language that is effective for L2 development? To what extent might a pedagogy that emphasizes play with and in the L2 through such activities as wordplay, rhyming, chanting, joking, teasing, and the creation of imaginary scenarios also aid in learning?</u>

In a similar vein, in the Conclusions, expert writers employed questions to provide suggestions for further research or to list issues unaddressed in the current study. Therefore, it may be said that questions from the Introduction and the Conclusion sections in the expert corpus functioned to arouse the readers'

interest in certain issues and further thinking about them.

Similar functions of questions can be inferred in the Korean student writing. It is important to note, however, that almost all instances of questions appeared either in the Introduction or the Conclusion sections. As a result, the functions of questions from the the MT corpus may be considered rather limited when compared to the expert usages of them. In Introductions, questions were used to attract and focus the interest of the readers on the main issues. Also, in Conclusions, they were meant to draw attention to the suggestions of the writer as shown in example (18).

(18) MT #8

The relationship between reading comprehension and oral fluency lessen as the student spends more time with the program. So, how then should we use this data in terms of building strong foreign schools in Korea? As the number of foreign schools in Korea increases, and more and more students are seeking enrollment into these schools from local public schools. **Administrators must understand** what aspects of a student's ability must be evaluated to ensure academic achievement. ... **Policy makers must understand** that when students are preparing for enrollment into these schools, an equally balance must be provided.

In the example above, the writer employed the strategy of questions to emphasize concluding suggestions that are described right afterwards

(*Administrators must undertand ~, Policy makers must understand ~*). In most of these instances, however, questions were addressed to a more general audience rather than the direct discourse participants.

On the other hand, the JA corpus contained more instances of questions with functions that were not found in the student corpus. For instance, some experts employed questions to describe and discuss the key research findings in the Results and Discussion sections. Consider examples (19)-(20).

(19) JA #26

To investigate this, we used the CHIP routine in CLAN (MacWhinney, 2000a) to look for this phenomenon in the highest frequency verbs in each VAC. <u>To what extent do the NNS uses of *go*, *put*, and *give* follow immediately from NS uses?</u> Of 233 NNS uses of *go* in the VL construction, we found 17 that seemed to result from priming from the NS interview interaction.

(20) JA #13

As such, the results are different from what the more general conclusion is about aptitude in research on instructed SLA. <u>Why might this be the case?</u> We can think of one main reason: Processing instruction is a different kind of instructional intervention that does not share the same underlying theoretical constructs and tenets that other interventions have.

As can be seen, the question functioned to make the readers note a certain research finding in example (19) or to arouse the readers' attention to the discussion of the main results in (20). In most cases, as these items were used as rhetorical questions, not real ones, the answers from the writers immediately followed the questions.

There arises then the question why these experts (unlike the novices) employ the form of direct questions in such a way as they do not actually function as real questions. As questions are not often stylistically preferred in the written academic genre, especially in formal research writing (Chang & Swales, 1999), any improper use of this strategy can make the text appear too informal or inappropriate for academic convention. This view may explain the rather restricted use of questions by the novice writers. Further, students may not prefer the use of questions due to the fact that the strategy somehow implies unequal social relationships by conveying authority as well as intimacy (Hyland, 2002b) as in the case of directives. It was indicated by the present finding that novice writers employed question form only in the opening and closing sections where a series of broad questions or proposals were presented to a general audience.

On the other hand, still more prevalent use of questions by the experts, despite the risks, may be understood by the fact that certain rhetorical effects of such questions are not comparable to other strategies. In this regard, Webber (1994) suggests that questions do have *a direct appeal* in terms of engaging readers in a dialogue with the writer. That is, if tactfully employed, direct questions can also be used as an effective strategy for argumentation. There were

some sophisticated uses of questions, in this respect, in the expert corpus. Consider example (21).

(21) JA #14

Few people, however, seem to have reflected, let alone conducted empirical research, on the aptitudes necessary for learning different elements within these areas: does segmental phonology require a different aptitude from supra-segmental phonology, does learning regular past tenses require a different aptitude from irregulars? Or, to put it differently, are the same aptitudes involved to a very different extent in learning these different elements? Some work seems to confirm the kind of pattern one would expect. Robinson (1996), for instance, found that, at least in what he called the rule-search condition (explicit-inductive) grammatical sensitivity was predictive for the easy rules and memory for the hard rules. ... **Tentatively, then, we may conclude that** aptitude by structure interaction can show how different structures are learned through different mechanisms.

Ideas expressed in the form of direct questions in this excerpt are actually the author's main arguments. However, the writer first presents those ideas as interrogatives, thus providing the readers with some space for their personal cognitive process. With supporting evidence from the previous literature presented right afterwards (*some work seems to confirm ~*), the discourse is then led forward to the author's intended conclusion (*Tentatively, then, we may ~*). In

this way, the expert writer makes the process of argumentation less categorical than simply asserting claims in the form of declaratives. As previously mentioned, making the ongoing discourse reciprocal in this way can ultimately raise the persuasiveness of the whole argumentation by making its readers feel they are part of a *joint enterprise* (Quirk et al., 1985). Therefore, it can be suggested that expert writers know how to tactfully employ the strategy of questions to convince their readers of their argumentation, thus making the process seem less categorical. Novice writers from the present study, on the other hand, were relatively unskilled at doing so. They simply used a series of broad questions to arouse interest in the research topics in a general audience or to recycle their research questions. These practices do not have a direct appeal or rhetorical effectiveness in terms of convincing their particular audience at hand of the specific argument.

CHAPTER 5
CONCLUSION

This chapter presents a summary of the findings as well as concluding remarks and implications. Limitations and further suggestions are also provided.

5.1 Summary of the Findings and Implications

The present study attempted to reveal the engagement practices of expert versus novice academic writers based on internationally recognized journal articles and Korean graduate students' master's theses. To achieve this aim, the study first examined the density of overall engagement devices in the two corpora. It then compared the density and proportion of the engagement resources in their five subcategories. Further, individual items in each category were put into qualitative analysis to investigate their rhetorical functions within the extended context of Introductions through the Conclusion sections.

The results indicated that overall, Korean graduate students underused engagement devices significantly more than did the expert writers. In terms of the five subcategories of engagement, the JA corpus contained more than twice as many items of reader references, directives, and questions while the remaining two strategies did not show any significant variation. As for the relative proportion, both experts and student writers preferred directives, which were

then followed by reader references. More qualitative analysis on the three most heavily employed strategies (namely, reader references, directives, and questions) indicated that the engagement practices of Korean novice writers were clearly distinguished from the expert practices in terms of the features of individual items and their corresponding rhetorical functions, especially for writer's critical argumentation. First, compared to expert writing, Korean novice writers tended to address an undefined general audience quite often, while the experts mostly addressed direct discourse participants at hand. As a result, the interaction enacted by the use of reader references ended up being less-dialogic and did not contribute as much to the writers' crucial argumentation and/or negotiation. In addition, directives (particularly cognitive items) and questions were not strategies readily available to the novices, either. In terms of the principal form of actions realized by the directives especially, Korean students preferred to give less-imposing textual instructions rather than commanding the readers in their thought processes through the use of cognitive directives. They quite often functioned to give attention to particular literature or certain concepts in the Literature Review sections, rather separated from the writer's main argumentation. In a similar vein, questions mostly functioned to arouse certain research topics or suggestions in the Introduction or the Conclusion sections, often only in the form of broad questions addressed at a general audience.

From a pragmatic perspective, the findings of the current study provide three interrelated implications for the Korean EAP writing pedagogy. First, the relative paucity of overall engagement resources in the MT corpus suggests that Korean

novice writers need to think of academic writing as being more dialogic and interactive including both writer- and reader-based features in their texts (Vande Kopple, 1985). To be able to make their arguments more reciprocal, they have to more explicitly involve their readers in the discourse by a strategic use of engagement devices especially in the context of argumentation, rather than simply asserting their claims (Harwood, 2005; Kim, 2009; Nystrand ,1989).

Second, to achieve this aim, Korean graduate students should first modify their concept of the relationship between the writer and the reader when undertaking research-based academic writing. One notable finding from the qualitative analysis on the student writer's use of reader references was their lack of awareness of the specific discourse participants. Their concept of audience was rather ambiguous (in contrast to the expert writers), with their attempts at reader engagement often directed toward undefined people and a more general audience. A similar tendency was found in the novice practices of directives and questions, which may result from their yet uncertain membership in the graduate community. Their status is different from the acknowledged experts: With an already fully-accepted membership, expert writers can construct a dialogue with their potential (specifically defined) audience. Nevertheless, novice writers should also assume such a specific audience and consider them as academic (or more narrowly disciplinary) companions so that they can tactfully control their readers in an attempt to convince them of their arguments.

Lastly, but related to the second implication, Korean academic novices should also modify their writer identity, i.e., the concept of themselves as

academic researchers. What was noticeable from the present findings as well as in the previous literature is that student writers do not consider themselves as independent researchers. For instance, questions were considered a strategy to be used only by academic scholars: Ordinary students could not dare to use them (Hyland, 2002b). Similar notions were inferred from the Korean graduate students' practice of directives and questions. Although they did use some directives and questions in the present study compared to the previous literature, they still avoided more-imposing uses (e.g. cognitive directives) that involve a certain power and/or status difference. Of course, it may be due to the nature of master's theses as an assessment genre. That is, while research articles assume a rather equal relationship between the participants involved (Hyland, 2002a), master's theses, which also have an assessment purpose attached to them, contain the burden of considering their readers with greater authority and more knowledge. However, it is also crucial for students to think of themselves as academic equals, considering that the ultimate aim of the thesis writing is to practice academic writing as a researcher-to-be and that master's thesis is also an independent research-based genre. In that way, they should command when needed and display an appropriate level of authority as well as focused reader-involvement so as to build strong and convincing argumentation in their writing.

5.2 Limitations and Suggestions

Several suggestions for further research derived from the limitations of the present study.

Above all, due to the small sample sizes compared to those in the previous literature, there may be some constraints in applying the current findings to the Korean academic writing context in general. The findings herein could be well supplemented by further studies with more sufficient writing samples and/or a focus on other academic disciplines.

Also, as the present study focused on reader-oriented aspects only, it could not sufficiently reveal both sides of interaction. Studies based on both writer- and reader-oriented features of interaction can provide further insights on interaction in academic writing. For instance, an analysis on self-mention devices (in the framework of Hyland, 2005c) would complement the present discussion of writer-reader relationships in terms of the practice of reader references.

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APPENDIX
Engagement Items Investigated

Reader References

one

one's

our (inclusive)

(the) reader

(the) reader's

us (inclusive)

we (inclusive)

you

your

Directives

acknowledge

add

address

administer

adopt

allow

analyze (analyse)

apply

arrange

ascertain

assess

assume

attend

calculate

change

characterize

choose

classify

compare

confuse

confirm

connect

consider

consolidate

consult

contrast

define

delimit

demonstrate	implement
design	increase
determine	infer
develop	input
direct	insert
discount	integrate
discuss	interpret
examine	investigate
exercise	keep in mind
emphasize	know
employ	let
ensure	let's
estimate	let us
evaluate	look at
explore	mark
find	measure
focus	mention
follow	minimize
generalize	move on to
go	mount
have (has) to	must
ignore	need (needs/needed) to
imagine	note

notice	show
observe	start
order	state
ought to	stress
pay	suppose
picture	take (a look/as example)
prepare	take into account
provide	term
recall	test
recover	think about
refer	think of
refine	turn
regard	underscore
replace	understand
remember	use
remind	
remove	**Questions**
review	?
say	
see	**Appeals to Shared Knowledge**
select	as applied linguists
set	as we know
should	definitely

distinctly

it is well known

it is well-known

obviously

of course

we are aware

we know

Personal Asides

-

by the way

incidentally

국 문 초 록

학술적인 글쓰기를 독자와의 목적이 있는 일련의 사회적 상호작용의 과정으로 보는 화용론적 관점에서, 작가와 독자의 관계를 효과적으로 다루는 것은 성공적인 글쓰기를 위한 필수 요소이다. 이러한 중요성에 바탕을 두고 학술 목적 영어 글쓰기 분야에서는 작가가 자신의 의도를 효과적으로 독자에게 전달하기 위해 사용하는 일련의 수사적 기법으로서 상위담화에 대한 많은 연구들이 있어 왔다. 하지만 상위담화를 대상으로 한 기존의 연구들은 주로 글 자체를 얼마나 논리적으로 구성하였는지, 혹은 작가가 본인의 의견이나 태도를 어떠한 방식으로 제시하고 있는지의 부분, 즉, 상대적으로 작가 중심적인 요소들을 주로 분석하였다. 반면, 좀 더 명시적으로 독자의 존재를 인지하고 이를 글에 반영함으로써, 직접적인 상호작용을 유발하는 독자 중심적 요소들에 대한 관심은 그 중요성에도 불구하고, 한국의 학술 목적 영어글쓰기의 환경에서 많은 연구가 이루어지지 못했다.

이에 본 연구는 응용언어학 분야에서 한국의 대학원생들이 쓴 석사학위논문과 전세계적으로 저명한 학술지 게재 논문을 자료로 하여, 한국의 학술목적 영어 글쓰기에서 학문적 초보자들이 전문가들과 비교할 때 독자 참여유도 전략을 어떻게 실현시키고 있는지를 분석하고자 하였다. 말뭉치 프로그램을 사용하여, 먼저 독자 참여유도 전략의 전반적인 밀도, 하위범주의 밀도 및 상대적인 비율을 양적으로 분석하고, 각 하위범주의 빈도가 높은 표현형들을 중심으로 서론에서 결론에 이르는 논문의 각 부분에서 해당 전략들이 작가의 논지전개를 위해 어떻게 기능하고 있는지를 질적으로 분석하였다. 본 연구의 주요 결과는 다음과 같다.

양적 분석에서는 한국 대학원생들의 전체 독자 참여유도 전략의 밀도가 전문가들의 경우에 비해 유의미하게 낮음을 확인하였다. 각 하위범주의 밀도에서는 한국 학생들이 독자지칭 (reader references), 지시명령어 사용 (directives), 그리고 질문하기(questions)의 세 가지 전략을 유의미하게 적게 사용하였다. 한편 두 자료 모두에서 지시명령어 사용전략이 가장 선호되었고, 그 다음으로 독자지칭 전략이 많이 사용되었다. 반면, 질적 분석에서는 작가의 주요 논지 전개에 독자 참여유도 전략이 작용하는 기능 면에서 두 집단 간의 주목할만한 차이를 발견하였다. 먼저, 전문가들이 (특히 inclusive *we*의 사용에서) 주로 특정한 학문 담화 공동체 내의 직접적인 독자를 상정하고 독자지칭 전략을 사용하는데 반해, 한국 대학원생들은 상대적으로 많은 경우에 막연한 일반 독자를 지칭하는 경향을 보였다. 이로 인해 한국 학생들이 쓴 논문은 상호작용적 성격이 상대적으로 약하고, 작가의 주요 논지 전개를 위해 독자 참여 유도 전략이 효과적으로 기능하지 않고 있음을 발견하였다. 또한 지시명령어 사용에서도 한국 학생들은 독자에게 부과되는 부담이 상대적으로 적은 지시명령어(textual directive)를 선호하였고, 특정한 선행 연구나 개념에 주목하도록 하는 역할을 하는 경우가 많은 데 반해, 작가의 주요 주장 및 논의를 위해서는 효과적으로 사용되지 못했다. 이들이 사용한 질문하기 전략 또한 대부분 서론 및 결론 부분에 한정되어 나타났고, 중요한 논지 전개와 동떨어져 개괄적인 질문을 던지는 것에 그치는 경향을 보였다.

본 연구는 한국 대학원생들이 학술 목적 영어글쓰기를 더 상호적인 과정으로 인식하고, 독자에게 호소력 있는 논지 전개를 하기 위해 독자 중심적 전략들을 적극적으로 활용할 필요가 있음을 시사한다. 이를 위해, 학생들이 스스로를 독립적이고 대등한 연구자로서 인식할 것이 요구된다. 또한 특정한

학문담화 공동체 내에서 더 구체적인 독자를 상정하여 이들을 적극적으로 논지 전개과정에 개입시킴으로써, 더 설득력 있는 학술 글쓰기를 할 수 있을 것이다.