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TOWARD A GENRE WRITING CURRICULUM: SCHOOLING GENRES IN THE  
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For Aleksandra, my parents, my sister, and my late grandmother, Mary.

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## ABSTRACT

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The Common Core State Standards (CCSS), published in 2010 and adopted by the majority of U.S. states, established a set of expectations for student writing in K-12 education. In describing these expectations, the CCSS used three general “text type” classifications: Narrative, Informative/Explanatory, and Argumentative. While the CCSS outlines the general expectations for students writing in these text types, the linguistic and genre expectations were not fully expressed. This study examines 34 student exemplar texts provided in an appendix to the CCSS in order to determine the genre and linguistic expectations for student writing in K-12 education. Using a genre typology and linguistic framework from the Sydney-based Systemic Functional Linguistics (Martin & Rose, 2008; Rose & Martin, 2012), this analysis provides detailed functional explanations of the kinds of genres students are expected to write in and the kinds of language students might use in those genres in order to fulfill the CCSS. The results of the analysis shows a series of attested genres organized around six genre families, with a clear developmental trajectory in the Story family, but less clear developmental trajectories in the Chronicles, Reports, Explanations, Procedural, Response, and Argument families. One notable

finding is the presence of a genre unique to U.S. K-12 education: Text Comparison, which is in the Response family. The implications of this study for curriculum and instruction include addressing the genre gaps in the attested developmental trajectory for, mainly, content area writing, such as History and Science. A model of genre-based instruction for K-12 writing education is proposed.

## CHAPTER 1. INTRODUCTION

### 1.1 Introduction

Genre theory has informed writing curriculum and instruction in many schooling contexts around the world. It is a powerful tool for education because it can serve as both an analytical and evaluative tool for teaching writing (Rose & Martin, 2012). Genre theory in the K-12 context has been most thoroughly developed in the work of the Sydney school, which began in the 1980s with Martin and Rothery's *Writing Project* (1980, 1981, 1986). In this project, Martin and Rothery analyzed student texts using Halliday's (1982) Systemic Functional Grammar (known generally as Systemic Functional Linguistics, or SFL) and developed a typology of genres based on a sample of over 500 student-written texts ranging from infant to primary school in Australia. Working with a definition of genre as a "staged, goal-oriented, social process" (Martin & Rose, 2008, p. 6), Martin and Rothery created detailed descriptions of student writing genres and explained the ways language functioned to accomplish the social purposes of genres, which helped inform writing curriculum they used in schools (1980, 1981, 1986).

The project led to the development of a genre-based pedagogy for English literacy called the Teaching-Learning Cycle (TLC), which began to be used in several K-12 school programs across Australia (Rose & Martin, 2012). In the TLC, students learn genres through a set of curriculum stages: 1) Deconstruction, which involves

linguistically and structurally analyzing a model text in the target genre; 2) Joint Construction, which involves collaborative writing of a text in the target genre based on a common experience informed by teacher guidance; and 3) Independent Construction, which involves students engaging in the writing process to independently compose a text in the target genre (Rose & Martin, 2012).

The impact of the *Writing Project* on K-12 literacy education was widespread in Australian schools, where a variety of studies found an increase of up to two English language proficiency levels for disadvantaged students, such as aboriginal students and English Language Learners, following the implementation of the genre-based curriculum and instructional method (Australian Curriculum Studies Association and National Curriculum Services, 2000a, 2000b; Catholic Education Office Melbourne, 2005; Erebus International, 2005; Rose, Gray, & Cowey, 1999). Similar gains were found in studies where the method was implemented abroad in Sweden (Stockholm Education Administration Multilingual Research Institute, 2010a, 2010b) and to a lesser degree in East Africa (Oketch, Ngware, Mutisya, Kassahun, Abuya, & Musyoka, 2014). The writing project continued in higher education with the most recent Scaffolding Literacy in Academic and Tertiary Environments (SLATE) action research project in Hong Kong (Dreyfus, Humphrey, Mahboob, & Martin, 2015). The genre-based curriculum and instruction benefited many students by giving them access to writing knowledge and practices through explicit instruction in the functions and language used in specific genres (Rose & Martin, 2012).



## **1.2 Sydney School Genre Research in the U.S. K-12 System**

In the U.S. K-12 system, the Sydney school genre theory and pedagogy has had less influence, but two strands of research have developed that apply some of the theory and findings to literacy education. The two strands are, broadly, 1) research on existing educational structures with SFL as an analytical framework and 2) research on implemented SFL genre pedagogy in the U.S. classroom. The first and most established strand focuses on directly applying the Sydney school language and genre theories to writing curriculum and proposing implications for pedagogy and teacher education. In this strand of research, the linguistic and discourse analysis methods of the Sydney school have been used to describe the literacies of different K-12 disciplines in the U.S., such as Social Studies/History (de Oliveira 2010, 2011; Schleppegrell & de Oliveira, 2006), Mathematics (de Oliveira & Cheng, 2011), Science (Schleppegrell, 2001), English Language Arts (Maune & Klassen, 2014), as well as academic writing in general (Schleppegrell, 2001). Drawing on the findings of the genre and linguistic research, this strand also includes proposals for SFL genre research in supporting specific issues in K-12 education and teacher education, such as supporting language learning for English Language Learners (Gebhard & Harman, 2011; de Oliveira, Maune, & Klassen, 2014) and establishing teacher knowledge base for academic language (Turkan, de Oliveira, Lee, & Phelps, 2014).

The second strand of SFL genre research in the U.S. involves the implementation and evaluation of the SFL genre pedagogy in a few small qualitative and mixed methods studies (Schleppegrell, 2010; Brisk & Hodgson-Drysdale, 2011; Gebhard, Shin, & Seger, 2011; Harman, 2013; Pavlak, 2013; de Oliveira & Lan, 2014; Ramos, 2014;). These

studies involve some kind of intervention that employed all or part of the SFL genre pedagogy, the TLC, in a K-12 context, usually with a small sample of students—between one and twenty. The data collected included writing samples, interviews with students and teachers, classroom observations, and other ethnographic data. In general, the research shows students who learned to write through the TLC gain more confidence in genre writing and improved use of genre-appropriate language resources, although a few studies (e.g., Brisk & Hodgson-Drysdale, 2011; Gebhard, Shin, & Seger, 2011) illustrate some negative cases where students struggled with certain language practices. While the second strand certainly has made progress in exploring the efficacy of SFL pedagogy in the U.S., the first strand focusing on understanding how SFL can be applied in existing structures stands to be developed given the recent developments in education policy, in particular the rise of the Common Core State Standards.

### **1.3 Rationale for SFL Genre Research on CCSS Student Writing.**

The “generalness” of standard-based reform has been critiqued in the past by Sydney school genre researchers, most notably by the Australian-based Christie and Derewianka (2008), who were part of later evolutions of the Sydney Writing Project. They explain that while some standard initiatives can be beneficial, they “tend to offer their advice in rather general terms, so that what constitutes successful performance is not always easy to see” (p. 216). In particular, they argue that “little precise or practical advice is given about how students’ performances are realized linguistically” (p. 216). However, in contrast to Christie and Derewianka, this lack of precision is not necessarily a failure of standards themselves, but simply characteristic of standards as educational policy. Standards aim to provide abstract goals that teachers can fulfill in ways that seem

appropriate to their context; it is not necessarily within their purview to establish all of the ways or even a generalized way that the standards should be fulfilled, especially when certain goals of writing are realized linguistically in a variety of different ways—which is a foundational belief of Sydney school genre pedagogy (Schleppegrell, 2004). The purview of such specificity is not standards, but teachers and curriculum developers, and to that end, Christie and Derewianka’s following admonition to standards initiatives seems more appropriately directed at these groups: “The model would be more powerful if it were informed by a coherent and properly theorized account of student progress in writing” (p. 217). That is, I argue that the “coherent and properly theorized” Sydney school genre-based pedagogy can more appropriately be applied to developing curriculum aligned to the CCSS, rather than to revising the standards themselves, as Christie and Derewianka seem to argue.

By applying the Sydney school genre theory, informed by Halliday’s Systemic Functional Linguistics (2013), to curriculum development for the CCSS, the issue of writing genres and features raised by the CCSS can be addressed in a “coherent and properly theorized way” (Christie & Derewianka, 2008, p. 217) that respects both the purview of standards and the importance of writing curriculum informed by linguistic theory. The contribution of SFL genre theory to elucidating the language and functions of writing genres and literacy education can be readily seen in Martin and Rothery’s *Writing Project* (e.g., 1981) methodology and results. To begin, they chose the “text” as its point of departure, examining it, as Halliday and Matthiessen (2013) would later put it, “from above” (p. 428). That is, they analyzed the student texts according to their social purposes, asking, essentially, “What does the text do?” Next, they recognized the general

perspective that texts have a beginning, middle, and end—but that these different stages of a text have different social purposes. Therefore, they identified the ways that different stages of texts related to their social context and purpose. The sequence of these stages they identified as the “schematic structure” of the genre (Martin & Rothery, 1981, p. 11). Then, they identified the linguistic structures that realized the contextual variables of Field—or the topic of discourse, Tenor—the relationships between writer and reader, and Mode—the role of language in the discourse (p.14). These contributed to the schematic structure of the genre. Finally, they examined how the genres they identified were related to other genres, identifying clines of writing development for students. These descriptions were fundamental to the later interventions, as they provided the content for writing curriculum—that is, they provided knowledge for students to learn about what they were expected to write (Rose & Martin, 2012).

To some degree, it may seem that the research from the Sydney school should be applied without adaptation, given the extensiveness of their genre typologies and the effectiveness of their pedagogy. Yet a few factors motivate this study to take into account the unique situation in the United States. First and foremost, while the genre typologies and descriptions in Sydney can be helpful, they are bound by theoretical constraints to be only directly applicable to Australia. As Martin and Rose (2008) explain, because language is a tool for meaning in context, the construct of genre itself is bound by its context—that is, its structure and meaning forms and is informed by its context. For Martin and Rose, genre forms and is informed by the context of a culture (p. 16); for this reason, while the *Writing Project* genres are accurate descriptions of genres in the Australian schooling culture, they do not necessarily map one-to-one to the U.S. context.

Certainly one would expect some amount of overlap, given the similarity of cultures: both the U.S. and Australia are former British colonies with aboriginal populations they subjugated by European rule; they are both predominantly English-speaking, capitalistic, and democratic. Yet the different political, economic, and social histories may contribute to U.S. Americans and Australians using their common tongue to accomplish different social purposes in different ways—leading to different genres. This issue of schooling genres and national culture is further explored in Chapter Two. A provisional claim maintained here is that any application of the Sydney school genre-based pedagogy in U.S. K-12 contexts would necessarily require genre descriptions based on texts indigenous to the U.S. K-12 culture.

Secondly, the secondary writing education warrants a particular focus for new research in this area. While the initial *Writing Project* did focus on primary students' writing, later developments (e.g. Rothery, 1994) included genre descriptions of secondary students' writing genres; this was partially motivated by the goal of developing an “ontogenesis” of student writing (Martin & Rothery, 1981), or a general trajectory for how student writing develops, which was fully articulated by Christie and Derewianka (2008). In the context of the U.S., however, a focus on genre descriptions for secondary education student writing is warranted, in part because of its alignment with the CCSS own framing. The CCSS backwards-planned from the College and Career Readiness (CCR) standards developed by the CCSS Initiative before the CCSS proper were written (Rothman, 2011). These standards set overarching goals of what students should know and be able to do in order to be college and career ready upon graduation in Grade 12 (NGA & CCSSO, 2010a). Thus, focusing research on what students should be able to

write by targeting secondary education students follows the general method of the CCSS Initiative, and may be more useful for backwards-planning aligned curriculum.

Furthermore, the most developed SFL-CCSS study at present is Brisk's (2014) curriculum model--but it only covers grades K-5. A gap--namely secondary writing instruction--currently exists in SFL-CCSS research. While some studies have made significant contributions to developing this area (e.g., de Oliveira, Klassen, & Maune, 2015), further research in secondary writing curriculum and instruction needs to be done to fully articulate the scope of genres available to Grade 6-12 students. This study covers genre descriptions and pedagogy for K-12, but focuses specifically on applications for secondary education.

#### **1.4 Research Questions**

In developing this study, the goals for understanding genre writing in the CCSS context are twofold. First, this study aims to understand the genre and linguistic features expected in exemplary student writing as defined by the CCSS. This goal situates the study as basic research, but it can also be used to inform writing curriculum and instruction in CCSS schools specifically. To facilitate this connection between research and practice, this study aims to articulate curriculum and pedagogical implications of the CCSS in genre-based writing. The resulting knowledge would be instrumental in developing language-based writing curriculum aligned to the CCSS. To accomplish these goals, this study will address the following questions:

- (1) What is the full range of written genres available to students to meet the writing expectations of the CCSS as presented in the corpus of exemplary CCSS-proficient student writing?

(2) What are the language expectations of these genres as expressed in the CCSS Appendix C Student Writing Exemplars?

(3) How can this knowledge inform K-12, and specifically secondary, writing curriculum and instruction?

Through understanding what students are expected to write, composition curriculum and instruction can be aligned to the CCSS at the genre and linguistic level, which can enable students to meet the expectations of the CCSS through genre-based instruction.

### **1.5 Systemic Functional Linguistics Genre Theory Framework**

In developing the genre descriptions and analyses for this study, the SFL genre theory and pedagogy serves as the primary theoretical framework. Underpinning the genre theory is Halliday's Systemic Functional Grammar (Halliday & Matthiessen, 2013), which is a theory of language that also informs a particular research orientation and pedagogical approach.

In SFL, language and genres as manifested in writing are instantiations of semiotic systems and structures that are accessible to its users for the purposes of producing different kinds of meaning (Halliday & Matthiessen, 2013). Genres are accessible to users through learning (Christie & Derewianka, 2008). SFL models language and genres objectively, and the descriptions of genres are approximate claims about its social purpose and schematic and linguistic structure in its cultural context (Martin & Rose, 2008). Epistemologically, we can know the different kinds of meaning and genres students produce by collecting samples of text and analyzing them with the systems of SFL genre theory and its models of language (Martin & Rose, 2008). This knowledge can and should be used to advance social justice (Rose & Martin, 2012), such

as enabling disadvantaged students to gain access to genres valued by cultural institutions, such as schools implementing the CCSS.

Methodologically, analysis of written text with SFL models can describe language and genre systems and structures, but those systems and structures are subject to the evolution of language and therefore descriptions are time-sensitive, or synchronic (Martin & Rose, 2008). Descriptions of genres produced in this study reflect current language usage, but the genres may change or disappear with time. Thus, the knowledge and potential applications of this research are limited in time—until the genres described fall out of use and are no longer relevant for the culture.

The understanding and description of the student writing genres is meant as knowledge to be applied to educational contexts in the context of this study—as consistent with the interventionist social justice political tradition of SFL studies (Martin & Rose, 2008; Rose & Martin, 2012). This means that the knowledge produced in this study is ready-made for application for teaching students how to use language to accomplish goals.

The educational theory that informs this study includes the pedagogy developed from Martin and Rothery's *Writing Project*, most fully articulated in Rose and Martin (2012). One of the fundamental assumptions of this pedagogy is that students can learn to write texts through explicit instruction in the language and genre structures and systems informed by SFL (Rose & Martin, 2012). This explicit instruction is critical to student learning because it makes “visible” the “invisible” aspects of writing instruction, a concept borrowed from Bernstein (1975, p. 119-20). The “invisible” aspects of writing pedagogy are often found in process-oriented approaches, which value practice of writing



at the expense of knowledge about language (Rose & Martin, 2012). As a result, the knowledge of writing “criteria” and “rules” are often obscure, general, or absent in writing instruction; the SFL genre pedagogy uses the knowledge of genre from systematic study of texts to inform curriculum content, thus making these “rules” and “criteria” for writing visible and clear to students (Rose & Martin, 2012, p. 16). By analyzing the genres and linguistic practices of the CCSS exemplars and student writing in the CCSS classroom, it can be clear where students’ performance in genre composition differs or aligns with the genre and linguistic expectations of the CCSS based on the exemplars. This, in turn, can make visible the writing content students should learn to meet the expectations of the CCSS for writing.

The possible implications of this study for making visible the writing expectations of the CCSS give this research much practical import. The knowledge gained through this study would provide guidance in aligning writing curriculum to the CCSS. In an age of testing and standards, the issue of alignment is a pragmatic approach to addressing the needs of teachers, students, curriculum developers, and researchers in education. Furthermore, the focus on genre as a linguistic construct allows for developing language-based models of writing curriculum and instruction to supplement the existing abstract expectations represented by the CCSS. That is, while standards can be useful by stating the general expectations for writing, which can help students *set* and *understand* writing goals, a focus on genre analysis can tell us what language structures and systems are used to *accomplish* these goals. For example, linguistic analysis can explicate the structures and language features to produce the “formal style” that is called for in the 6-12 Informative/Explanatory and Argument standards (NGA & CCSSO, 2010a, p. 42-47).

Through this research, CCSS schools can gain valuable knowledge about how to link language with the writing standards and provide critical curriculum for students that spells out what language can fulfill each of the expectations for writing in the standards.

## **1.6 Overview of the Study**

In the following chapters, this study aims to address the aforementioned Research Questions and fulfill the purpose of developing a basis for a genre-based, CCSS-aligned curriculum and pedagogy. In Chapter Two, an extensive theoretical framework is established. The theoretical landscape of genre studies is outlined, along with a rationale for SFL genre theory as a practical framework for fulfilling the goals of the study. The CCSS is also explored from a conceptual and historical-curricular perspective, with an aim to show how SFL genre research and the CCSS can successfully interact and lead to useful genre-based curriculum and instruction.

In Chapter Three, the methods for the genre analysis are outlined. A brief description of the data collection and formatting is followed by a description of the SFL analytical systems that form the basis of the study. The data analysis procedures, roughly adapted from the *Sydney Writing Project*, are articulated.

Chapters Four through Six focus on a general characterization of the genres discovered in the data. A typology and topology of CCSS genres is described, along with the structural features of the CCSS genres in the beginning of Chapter Four. Language expectations for these genres are also explained. These chapters address primarily Research Questions (1) and (2), outlining genre and language expectations of the CCSS. Each chapter addresses the expectations for a different order of genres. Chapter Four addresses the expectations for Engaging genres--namely, the Story genre family. Chapter

Five addresses the expectations for Informing genres, covering the Chronicles, Reports, Explanations, and Procedural genre families. Chapter Six explains the expectations for the Evaluating order of genres, focusing on the Argument family and Response family. Chapter Seven provides the implications of the SFL genre analysis for CCSS curriculum and instruction, addressing Research Question (3). The educational-sociological implications of the CCSS genres are examined within the framework of Bernstein's (1999; 2000) sociology of education. A basis for a genre-based, CCSS-aligned curriculum in K-12 writing instruction is also articulated.

## CHAPTER 2. LITERATURE REVIEW

### 2.1 Introduction

This study centers on two important elements of writing curriculum and instruction in the U.S. K-12 system: genre and the Common Core State Standards (CCSS). As Maune and Klassen (2014) argue, the relation between genre and the CCSS is like “bridging a gap” (p. 207). The CCSS identifies a set of abstract concepts and skills for students to know and be able to do (NGA & CCSSO, 2010a). The writing classroom puts these concepts and skills into practice through concrete lessons and activities. Genre as a theory serves as a bridge between standards and curriculum, translating abstractions too general for teaching--namely, the CCSS text types--into a set of concepts grounded in social processes and language--things that are concretely experienced by students and teachers in the classroom every day.

In this chapter, I will review the two central elements of this study: schools of genre theory and the CCSS. These two elements differ in nature and history. Genre theory is an academic explanation for a social semiotic phenomenon that occurs in various modes of discourse. The CCSS is a set of general principles meant to guide curriculum and instruction in K-12 writing education. On the surface, they are distinct in nature, but they converge in their histories and development. The emergence of genre theory in the 1980s (Martin & Rothery, 1980, 1981, 1986; Miller, 1984) and its

implementation in pedagogy (Devitt, 2004; Rose & Martin, 2012) set the stage for the CCSS, which places both writing process and product on equal standing (NGA & CCSS, 2010a). This review aims to delineate genre theory and the CCSS on their own as complex aspects of writing theory and education, but also to show the convergence of these two elements as they are relevant to the study in order to show how genre can inform curriculum in the context of the CCSS.

## **2.2 Schools of Genre Theory and Pedagogy**

In the post-process era of writing instruction, genre theory has become a prominent construct for innovative pedagogies. The writing process approach, currently the dominant pedagogy in U.S. K-12 schools (Applebee & Langer, 2009), has been instrumental in helping students develop a concept of *how* to write; building on this base, genre pedagogies aim to help students develop a concept of *what* to write (Martin & Rothery, 1981). The emphasis on genre in writing instruction also attempts to lead students to understanding that “literate behavior... underlies disciplinary ‘knowing’” (Applebee & Langer, 2013, p. 7). That is, writing in a particular discipline is a practice that demonstrates disciplinary knowledge--because disciplines use genres to construct their knowledge. As Applebee and Langer (2013) argue, previous form-oriented approaches to writing instruction (e.g., Britton, Burgess, Martin, Mcleod, & Rosen, 1975; Kinneavy, 1980; Moffett, 1968) limited *what* students could produce because they conflated types of writing from different disciplines. A report in history differs in many ways from a report in English Language Arts (ELA), but these previous modes approaches did not readily account for these issues in their typologies. In response, new genre theories and pedagogies

aim to expand students' understanding of writing beyond the writing process to include applicable knowledge on what kinds of writing are appropriate in specific contexts and disciplines and how these kinds of writing show content knowledge.

The development of genre pedagogies, enjoying a relatively recent renaissance, traces back to the 1980s. In the U.S., Miller's (1984) articulation of genre as "social action" stands as marker for a reconceptualization of genre in rhetoric and composition studies. Miller's (1984) genre reconceptualization responded to a long history of discussion and debate within rhetoric and composition and literary theory (Kitzhaber, 1990) around the notion genre; her work likely indirectly influenced later post-process approaches in K-12 education—as Bernstein (2000) would argue, through the pedagogical device (to be discussed later in this chapter). In Australia, the *Writing Project* conducted by Martin & Rothery (1980, 1981, 1986) also serves as a useful starting point for the line of research in K-12 writing. Further along, Swales (1990) again contributed a significant basis for genre theory and pedagogy, focusing mostly on ESL teaching. These three works illustrate what Hyon (1996) identified as the "three traditions" of genre theory and pedagogy: New Rhetoric, Systemic Functional Linguistics (SFL), and English for Specific Purposes (ESP), respectively. These three schools of genre theory have been recognized as drivers of new writing pedagogies (Hyon, 1996; Yasuda, 2012). While this study will focus on one tradition, the SFL genre theory and pedagogy, the other two traditions will be summarized in order to situate SFL within the composition research on genre.

### 2.2.1 Rhetorical Genre Studies (RGS)

The Rhetorical Genre Studies tradition conceives of genre as “typified rhetorical actions based in recurrent situations” (Miller, 1984, p. 159). As Bawarshi and Reiff (2010) explain, Miller’s conceptualization of genre is largely a response to earlier traditions of genre in line with Bitzer’s (1968) development of rhetorical situation theory in the discipline of rhetoric. Bitzer’s “rhetorical situation<sup>1</sup>” is described as a:

...natural context of persons, events, objects, relations, and an exigence which strongly invites utterance; this invited utterance participates naturally in the situation, is in many instances necessary to the completion of situational activity, and by means of its participation with situation obtains its meaning and its rhetorical character. (p. 5)

Miller, while critiquing Bitzer’s objectivist stance on rhetorical situations, drew on parts of the notion of recurrence of rhetorical situations established by Bitzer (p. 13) as the basis for developing rhetorical genre theory. Critically, as Bawarshi and Reiff (2010) show, Miller, in line with Vatz (1973), changes the ontological status of Bitzer’s “situation” from an *a priori* category to a socially defined one. Here, Miller explains that situations are recognized from the “indeterminate material environment” (p. 70) by means of what Schutz (1971) calls the “stock of knowledge” (1971, p. 231), or the past understandings of situation types.

Further developing this recognition of situation as a social construct, Bawarshi and Reiff (2010) recognize Bazerman’s (1994) contribution in suggesting that the

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<sup>1</sup> It is notable that Bitzer’s development of a rhetorical “situation” was influenced in part by Malinowski’s “context of situation”--to which SFL genre theory also owes its own conceptualization of genre.

knowledge to recognize situation types illustrates the “social grounding of cognition” (Bawarshi & Reiff, 2010, p. 73). Bazerman (1994) argues that using genres is a “mutual creation of social moments” (p. 174), where individual actions draw on the social understanding of the situation type, which constrains and creates the different kinds of semiotic actions available to the individual. Bazerman thus combines the cognitive and the social aspects of Miller’s genre theory, developing the concept towards a way of establishing and understanding social order (Bawarshi & Reiff, 2010).

These recurring, typified, rhetorically active, always already mutually created social moments--that is, genres--also exist in relation to one another in several ways described by Devitt (2004): as contexts, repertoires, sets, and systems (Bawarshi & Reiff, 2010). Briefly, “contexts” are all of the genres available in a community; “repertoires” are those genres available to a set of users. “Genre sets” are bounded and local groups; they are used by specific clusters of users in a community and are integral to specific social actions of those users in the community (Devitt, 2004). “Genre systems” refer to the relations between genre sets, showing how genres as a whole mediate the activities of a community through discursive means (Bazerman, 1994; Bawarshi & Reiff, 2010). These complex genre relations allow a community not only to communicate, but to construct their understanding of themselves and the world, which gives genres “ideological power” (Devitt, 2004, p. 158). Because of their ideological power, Devitt advocates for a critical stance towards genre; understanding a genre in the New Rhetoric tradition means being critically aware of the community’s ideology in which the genre is performed. This critical stance has



informed not only field research in RGS genre studies, but also pedagogical applications.

The RGS genre theory articulated here is largely influenced by Hyon's (1996) seminal review of the three genre traditions and Bawarshi and Reiff's (2010) explanation of RGS; it does not necessarily reflect the diversity of views within RGS. Neither can this review fully cover the set of approaches to genre pedagogy within RGS. Perhaps the most unifying aspect of many RGS pedagogies is an emphasis on critical "genre awareness" (Devitt, 2004). Developing this awareness is the focus of New Rhetoric pedagogies, as the critical awareness enables students to respond to many different situations and potentially resist negative ideological aspects of genres that are typically used in those situations. The process of fostering this critical awareness involves discussion of texts and situated writing instruction, focusing on the social context of each situation (Hyon, 1996). Among the great variety of pedagogies influenced by RGS is Wardle and Downs' (2014) *Writing About Writing* approach to first year college composition and Artemeva, Logie, and St-Martin's (1999) situated learning approach in technical communication. Both of these approaches emphasize the typified and situated nature of writing in context and work towards developing critical awareness of genres as they are practiced in different communities.

### **2.2.2 English for Specific Purposes**

The English for Specific Purposes (ESP) tradition has developed models of genre within the concept of discourse communities (Swales, 1990). A genre in the ESP tradition serves the communicative purposes of the discourse community in

which it is used (p. 9). Because the discourse community is the context in which genres exist, ethnographic methods have been used in ESP genre research in order to gain insight into the ways that discourse community understands their own genres (Bawarshi & Reiff, 2010). Swales and Feak conceive of genres as structured by moves and steps. A move is a “bounded communicative act that is designed to achieve one main communicative objective” (as cited in Bawarshi & Reiff, 2010, p. 48). A step occurs within a move and focuses on more local “text patterning and lexico-grammatical features” (Bawarshi & Reiff, 2010, p. 48) that comprise the communicative action of the move.

In developing ESP, Swales’ Creating a Research Space (CARS) model of research article introductions has been influential in marking the pedagogical utility of ESP genre theory and analysis. In the CARS model, Swales contends that writers of research articles generally follow a pattern of moves in composing their introductions. Briefly, the three moves are 1) *Establishing a territory*, 2) *Establishing a niche*, and 3) *Occupying a niche* (Swales, 1990). Within each move are steps, some of which are optional (Swales, 1990). For example, in *Establishing a niche*, writers have several steps to choose from, among them being identifying a gap in the literature--perhaps the most common. This example illustrates the structural concerns of the ESP genre theory while also recognizing that the genre--research article--is situated within a specific discourse community of academia. ESP’s pedagogical applications have been primarily in English as a Second Language (ESL) and English as a Foreign Language (EFL) contexts, and largely with undergraduate and graduate students (Yasuda, 2012), further tying ESP to academic contexts. As Bawarshi and

Reiff (2010) and Hyon (1996) summarize the ESP pedagogy, teachers and students explicate the structural elements of a genre in the context of the discourse community so that students can produce these genres to accomplish the communicative acts that advance the “public goals” (Swales, 1990, p. 24) of the discourse community.

### **2.2.3 SFL Genre Theory**

In order to distinguish the three traditions of genre studies, a brief sketch of SFL genre theory will be outlined here, focusing on the most fundamental elements of the perspective. While there have been discussions and disagreements within the scholarly community of SFL on genre--primarily between the location of genre in the strata of language in context (see Hasan, 1992 vs. Martin & Rose, 2008)--the most prominent strand of SFL genre theory comes from work in Australian schools in the 1980s *Writing Project* (Martin & Rothery, 1980, 1981, 1986). Perhaps the most comprehensive articulation of genre theory within SFL is Martin and Rose’s (2008) *Genre Relations*, which draws on various corpora, including student samples, textbooks, and manuals, to develop both typologies and topologies of current genre structures and linguistic features of genres in the schooling context and other broader contexts, like workplaces. For the purposes of this review, SFL genre theory will refer to the research strand that developed from the *Writing Project* and continued in Martin and Rose (2008).

In SFL, genre is defined as a “staged, goal-oriented, social process” (Martin & Rose, 2008, p. 6). Expanding on this definition, Martin and Rose explain why each component of the definition is important to a comprehensive view of genre:

Staged, because it usually takes us more than one step to reach our goals; goal

oriented because we feel frustrated if we don't accomplish the final steps...;  
 social because writers shape their texts for readers of particular kinds. (p. 6)

As Martin and Rose conceive of genre, the structure--or the staging--of a genre is only one of three major components to a comprehensive view of genre. The purpose, or goal, of a genre mirrors in many ways the view in New Rhetoric that genre is a "social action" (Miller, 1984). The goal-oriented nature of genre, far from simply a way to avoid frustration, is integral to the SFL interventionist stance in linguistics; when disadvantaged groups fail to accomplish the goal of a genre, their disadvantage is reinforced and the status quo remains (Martin & Rose, 2008; Rose & Martin, 2012). Finally, the social process component of genre recognizes that genres play differing roles in social institutions. Genres are a process, meaning that they relate to an activity sequence that takes place as part of a social institution (Martin, 1990, p. 292). As a process, a genre can relate to an activity sequence in two ways: it can accompany the activity, such as in sports commentary, or it can constitute the activity, such as in narratives and most written academic genres. In short, SFL defines genre as a staged social semiotic--a meaning potential for social activity at a cultural level.

SFL genre pedagogy developed out of the 1980s *Writing Project* (Martin & Rothery, 1980, 1981, 1986) in Australia. In later stages of the project, a pedagogical practice was developed in conjunction with other SFL researchers, in particular David Rose, who then began implementing the pedagogy in various schooling contexts (e.g. Australian Curriculum Studies Association and National Curriculum Services, 2000a, 2000b; Catholic Education Office Melbourne, 2005). The practice, which underwent several changes and iterations in response to teacher and scholarly input (as

mentioned in ACSA & NCS, 2000a and Rose & Martin, 2012), became known as the Teaching-Learning Cycle (TLC). The TLC takes as its object a target genre which students learn within the context of its social purpose--that is, if the genre is an Interpretation, the genre should be learned in the context of a literary fiction unit or something similar. The TLC aims to scaffold writing instruction so that, in its final phase, the student is able to produce the genre independently. This is accomplished by frontloading the writing curriculum with explicit instruction in genre structures and purpose along with a joint composition stage that provides “guidance through interaction in the context of a shared experience” (Martin, 2005, p. 252). All together, the SFL genre pedagogy emphasizes explicit genre instruction and scaffolding student understanding of genre in the context in which it is practiced.

#### **2.2.4 Rationale for SFL Genre Framework**

Genre theories and pedagogies in the three traditions described share a common topic and some significant theoretical principles, but they also differ in their emphases of certain aspects of genre, in their pedagogies, and in their philosophical and disciplinary underpinnings. This study uses SFL genre theory as an analytical framework for understanding K-12 student writing and thus favors this particular perspective. SFL genre theory’s pedagogical relevance make it the most appropriate for the questions posed in this study. The relative strengths of the other genre traditions, however, warrant an explanation for their exclusion.

Fundamentally, the choice of SFL genre theory as a framework for this study is a pragmatic one. Because of the history of the *Writing Project*, much more research has been done on K-12 writing using SFL’s genre theory than in other traditions. The

ESP tradition, while demonstrated to be effective in the undergraduate and graduate settings, has not made a significant impact on K-12 education. The RGS tradition, in turn, has developed several pedagogical applications, but again mostly limited to the collegiate context. Any genre research on K-12 writing benefits from SFL's extensive genre typology based on a corpus of over 2000 texts--from a perspective of analysis, there are certainly a great many of examples and tools to use to work on K-12 student writing (e.g. Martin & Rose, 2008; Christie & Derewianka, 2008; Rose & Martin, 2012). Building off of the SFL line of inquiry advances the SFL genre research program, benefits from a critical community of research for support and feedback, and potentially helps the pedagogical political activity of social justice espoused by many SFL genre researchers. In short, given the research questions and the K-12 context of inquiry, the focus of the SFL genre framework represents the most practical choice for this study.

### **2.2.5 Towards Vertical Knowledge Structures in Genre Studies**

In reviewing and comparing the three traditions of genre research, this phenomenon of multiple genre schools may be interpreted in light of Bernstein's (1999) model of knowledge structures. Bernstein's model of knowledge structures aims to explain how knowledge is organized in different disciplines. The humanities and social sciences disciplines are generally characteristic of horizontal knowledge structures, where a series of theories explaining similar phenomena aim to gain prominence within the field. Within genre studies, the horizontal knowledge structure is evident, first made plain in Hyon (1996), where she argued that RGS, SFL, and ESP aim to describe genres in different ways. My individual goal as a scholar is to

move genre studies, and English as a discipline, towards a more vertical knowledge structure, where knowledge is reconciled, consolidated, and built upon a common understanding of phenomena, as argued for in Christie and Macken-Horarik (2007). It is only by improving our theories of genre that we can work towards eventual reconciliation and consolidation--a goal that has been difficult to attain even within SFL (cf. Fawcett, 2008), much less across schools of genre.

The goal of reconciliation and consolidation of theories of genre--and of English studies in general--is not merely an esoteric attempt for elegance in theory. There is a pedagogical rationale that strongly insists on vertical knowledge organization of English studies, articulated most effectively by Christie and Macken-Horarik (2007). Briefly, pedagogy and learning would benefit from consolidating knowledge across genre schools for two reasons. First, it would make it easier to render the largely invisible curriculum of English (Anyon, 1980) into an explicit, visible curriculum. At present, because of the varying approaches to genre theory, genre pedagogy is either siloed (cf. Downs & Wardle, 2008) or conceptualized in an overly broad way, as shown in the CCSS Writing Standards (2010a). The overly broad conceptualization of genre curriculum standards can lead to a nebulous and unclear idea of genre expectations in writing curriculum, rendering the assessed expectations invisible to students.

Secondly, consolidation of genre knowledge would enable the K-12 discipline of English to make the progression of knowledge in the field more explicit. As Christie and Derewianka (2008) demonstrated, the relative complexity of certain genres makes them inaccessible to students who have not already learned and gained

control of less complex genres. This makes an explicit progression of genres a pedagogical and curricular imperative--but the CCSS do not include such a genre progression. But perhaps more important is the issue of continuity in writing instruction across grade levels. The lack of consistency in genre expectations across grades makes each year a process of unlearning and relearning for students, which creates confusion in their understanding of English as a field. While there is some consistency in print code expectations and citation styles--a consistency that makes them *easier* to learn, not less--it is difficult to find such consistency in understandings of genres, perhaps in part because the field of genre studies is so fragmented (cf. Bernstein, 2000).

In short, consolidating and reconciling knowledge across the schools of genre would enable scholars and teachers to develop more explicit curriculum that progresses in a predictable way across grade levels, enabling students to gain more control over the genres of schooling. We need to work together and across our theoretical boundaries, listening, critiquing, understanding, and compromising (perhaps), in order to empower students through a cohesive genre pedagogy.

### **2.3 Genre Theory in SFL**

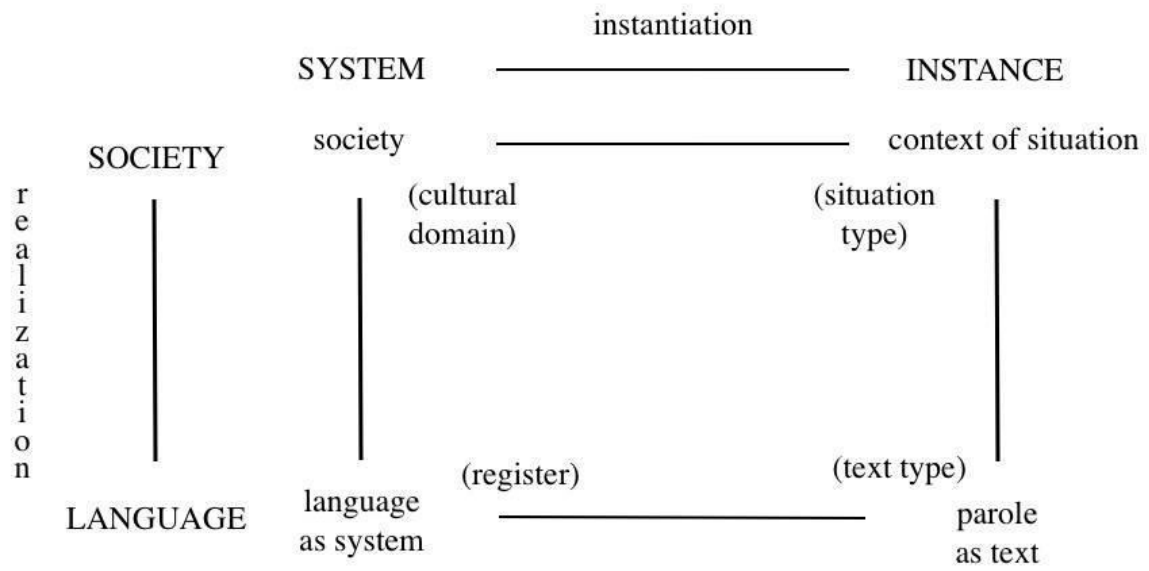
Within SFL, genre work has largely divided into two differing perspectives. The first perspective was developed by Halliday (1999) and Hasan (2009); the second by Martin and Rose (2008), Christie and Derewianka (2008), Rothery (1994), and others. These differing perspectives have both been influential in SFL theory, but the approach led by Martin has been more influential in education (Rose & Martin, 2012) than Halliday's. Because Martin's (Martinian school of SFL genre) view grew out of



Halliday's initial approach, the Martinian approach, which is used in this study, must be seen in the context of Halliday.

### **2.3.1 Hallidayan Perspective on Genre**

Halliday's view of genre developed out of the stratified model of language. In the Hallidayan model, genre is located within register (Halliday & Matthiessen, 2014). Register is a subpotential of the system of language. It sits on the cline of instantiation between the system of language and the instance of language--the latter being text. Put another way, genre is a systematic type of language in use. The critical issue with Halliday in respect to Martin is the relation between the context of situation and the context of culture. Language as a system realizes the context of culture; all language systems encode the culture of the people who speak and write it. For Halliday, the context of situation is an instance of the context of culture; any particular configuration of Field, Tenor, and Mode is an example of the culture in which it exists. For Martin, this relation is quite different and will be discussed in a later section. Thus, it might be said more directly, that genres (registers) realize the context of culture directly; the relation of genre to the context of situation is that of instantiation; a particular situation is an example of a genre.



*Figure 2.1* Hallidayan Model of Realization and Instantiation from Hasan (2009), adapted from Halliday (1999)

According to Martin and Rose (2008), this effectively fixes or locks in the context of situation variables for a particular genre/register--which is problematic for Martin. What the Martinian school, however, does agree with Halliday on is the influence of the system of language on the genre. Genres represent types of language to the degree that they rely on relative frequencies of parts of the language system. In other words, both Martin and Halliday agree that certain language features will show up more often in certain genres than others. Genres are probabilistic; this is similar to Miller's (1980) idea of "typification," where genres represent recurring rhetorical situations. Analysis of genres in SFL relies on understanding the relative frequency of specific parts of the language system. The SFL language system, developed by Halliday (2013), is outlined in the next few sections.

### **2.3.2 Metafunctions of language**

The metafunctions of language are the “basic functions of language in relation to our ecological and social environment” (Halliday & Matthiessen, 2013, p. 30). The metafunctions are the general ways that language is used in society and are realized and made apparent through lexicogrammar--the systems and structures of words and syntax in a particular language (Halliday & Matthiessen, 2013, p. 24). While Martin's work primarily focuses on discourse semantics--which shows how meaning is constructed across clauses, Christie and Derewianka's (2008) work has shown how even at the clausal level, this coding can be useful in establishing intra-clausal relations and related conceptual connections for students.

### **2.3.3 Lexicogrammar**

This section is concerned with lexicogrammar--the convergence of syntax and semantics in the system of language. The three metafunctions of language--Textual, Ideational, and Interpersonal--correspond to different systems in the language. This section will briefly outline the Textual and Ideational systems of language as they relate to the functions of language while also explained how they are used for analysis in this study.

Theme and Rheme are part of a system in the Textual Metafunction of language, which is concerned with how language is organized to create meaning (Halliday & Matthiessen, 2013, p. 88). The function of Theme is to establish the “point of departure” for a clause (p. 89). It establishes the focus of a clause and, later in a text, can be used to build cohesion and expand the complexity of a given topic. The choice of Theme indicates the focus of the writer at that point in the text and

often coincides with previously stated information in the text. The Rheme most often coincides with new information in the clause and the text itself. It is through the Rheme that the topic gains semantic expansion and develops in more complex ways. The Rheme is the language following the Theme in the same clause up to the next clause boundary.

An analysis of the Themes and Rhemes of a text shows how a topic is developed in “wave-like patterns of information” (Rose & Martin, 2012). The “peak” of a wave of information in a clause, or the most prominent point of establishing or developing a topic, is found in the Theme. Whereas the new information, or the trough of the wave, is found in the Rheme. This wave-like pattern extends to larger structures of text of discourse analysis in the system of Periodicity (Martin & Rose, 2007). These larger structures include hyperTheme and hyperRheme, which correspond roughly to traditional topic sentences and their development at the paragraph level (respectively), and macroTheme and macroRheme, which correspond roughly to a thesis statement and its development in the body of a text, respectively (Rose & Martin, 2012). These correspondences are not exact and vary according to the Stages of the genre being analyzed. The identification and analysis of these larger structures show peaks and troughs of information structure at levels higher in language strata than the lexicogrammar; however, the lexicogrammatical Theme+Rheme coding is also a useful place to start in identifying stages and hyperThemes and macroThemes. The Theme+Rheme system is used to reveal Marked Themes, which often signal changes in topic development that coincide with larger structures like hyperThemes. Thus, the Periodicity coding of all texts at the

clausal level and the selective coding of hyper and macroTheme/Rhemes at the level of text shows in various ways how writers develop topics by choosing different points of departure and providing new information on those selected points.

The second Metafunction of language, Ideational, corresponds to the system of Transitivity, which deals primarily with nouns and verbs. Verbs realize Processes; they are used to express the kinds of change (or lack thereof) we experience in the world. The six Processes are divided into three main Processes--Material, Mental, Relational--and three intermediate Processes--Behavioral, Verbal, and Existential. Each kind of Process expresses a different kind of meaning about human experience. Material Processes express doings and happenings; Mental Processes express thoughts and feelings; Relational Processes express having and being; Behavioral Processes express intransitive human behaviors (e.g. laughing, sneezing); Verbal Processes express saying; and Existential Processes posit the existence of things (Halliday & Matthiessen, 2013).

Each of these different kinds of Processes has corresponding Participants, which are usually manifested as nouns or noun phrases. An exhaustive inventory is not necessary for this study, but the full set of Participant choices is explored in Halliday and Matthiessen (2013). However, a brief, cursory overview can show the major categories. Material Processes have Actors, which initiate or cause the action (giving the Actor agency) and Goals, which experience the action. Mental Processes have Sensors, which experience the thought or feeling, and Phenomena, which correspond to the feeling or thought experienced. Relational Processes can be divided into two kinds: Identifying and Attributive. Identifying Processes include an entity

being identified, that is, the Token, and the identity of the Token, that is, the Value. Attributive Processes have Carriers, which are entities that have some attribute or property. Attributive Processes also have Attributes, which are the properties of the Carrier. Behavioral Processes have Behavers, which are the entities that experience the Behavior. Verbal Processes have Sayers, which are a person or thing that says something, and Verbiage, which is what is said. Existential Processes have Existents, which are the things that are said to Exist. Below, Table 2.1 shows example sentences of each of these coding categories.

Table 2.1 *Transitivity Systems Adapted from Halliday and Matthiessen (2013, p. 311)*

Process		Participants	Example Sentence		
Material		Actor, Goal	Genres.	create	different kinds of meaning in a culture
			ACTOR	PROCESS: MATERIAL	GOAL
Mental		Senser, Phenomenon	Students	think	about genre
			SENDER	PROCESS: MENTAL	PHENOMENON
Relational	Identifying	Token, Value	Genres	are	a part of genre.
			TOKEN	PROCESS: IDENTIFYING	VALUE
	Attributive	Carrier, Attribute	Genres	have	stages.
			CARRIER	PROCESS: ATTRIBUTIVE	ATTRIBUTE
Behavioral		Behaver	I	smiled	at the student's writing.
			BEHAVIOR	PROCESS: BEHAVIORAL	

Table 2.1 continued.

Verbal		Sayer, Verbiage	Martin	claims	“Genres are... social.”
			SAYER	PROCESS: VERBAL	VERBIAGE
Existential		Existent	There	are	stages of genres in this text.
				PROCESS: EXISTENTIAL	EXISTENT

These Processes and Participants do not coincide one-to-one with lexical meaning; that is, a particular verb may not always realize the same kind of Process. Because SFL is a functional theory of language, formal mapping of words to functions is not possible or desirable. Kinds of meaning are not fixed in words; instead, words and grammar hold "meaning potential" (Halliday & Matthiessen, 2013, p. 23)--that is, they exist in a dynamic, open system of choices made by writers to create different kinds of meaning depending on purpose and context.

Finally, some clauses have Circumstances surrounding the nucleus of Process and Participant. These Circumstances, again delineated in Halliday and Matthiessen (2013), are important constituents in modifying and clarifying Processes and Participants. They are often headed by prepositions, but may also come in other forms. Their placement in a clause can signal different kinds of reasoning, which shows one way that the Thematic system interacts with the system of Transitivity. For instance, this sentence has a Circumstance in its, Theme and signals the function of providing an example of a principle. In Narrative genres, Circumstances may be used in other ways, such as establishing a setting (e.g. “In the land Mordor where the shadows

lie...” (Tolkien, 2012)). All Circumstances were coded in the full analysis to show their use in the genre, especially those that, as previous research has shown, signal Stage shifts within a text (Martin & Rose, 2008; Christie & Derewianka, 2008).

### **2.3.4 Martinian Perspectives on Genre**

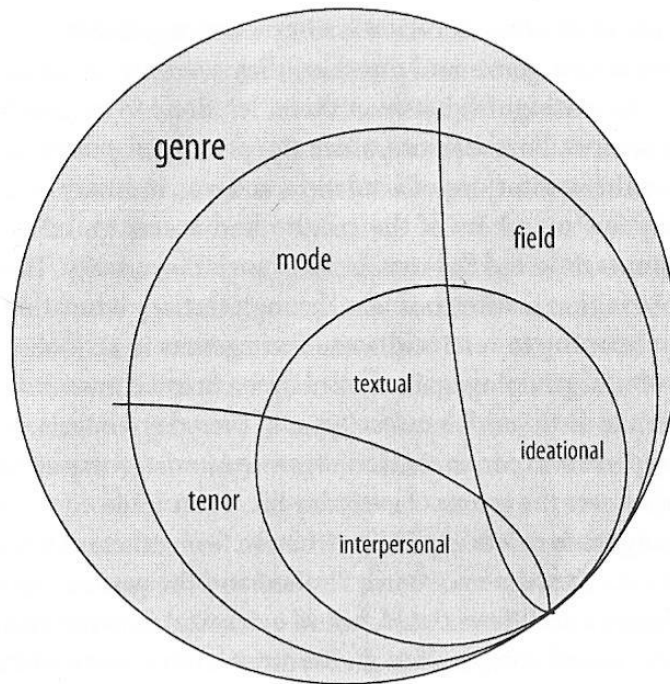
Martinian approaches to genre arose out of the *Writing Project* (Martin & Rothery, 1980) and responded largely to theoretical and pragmatic concerns from that study. The central issue of developing genre for Martin was the problem of the context of situation (Martin & Rose, 2008). If genres fix the variables of context of situation, then how do we explain genres like Narrative, which have such wide variations of Field, for example, such as to defy any useful description? In essence, by locating genre in register, there was not enough room for the machinery of the theory to account for the variation that occurred in the data presented to the researchers in the *Writing Project*. Narratives could be about literally anything; it was difficult to posit a Field for the Narrative genre. Thus the Martinian school of SFL genre aimed to reorganize the language strata to account for this variation.

### **2.3.5 Genre as a Strata of Context**

In the Martinian model, genre is located not in register, but in the context of culture. Martin saw genres as configurations of a culture, which were realized by different situations. This allowed the context of situation variables to vary freely within a genre, while also giving genre some sense of systematicity and stability (Martin & Rose, 2008). However, by doing this, Martin reorganized the language strata--that is, he redefined the way that the context of situation was related to context of culture. In the Martinian model, the context of situation is not an instance of



culture--it realizes culture. Each situation encodes the culture in which it occurs for Martin; as opposed to Halliday's model, where each situation is an instance of the culture in which it occurs. This represents a fundamental difference in the theoretical understanding of genre in SFL.



*Figure 2.2 Stratification Model of Language and Context from Martin and Rose (2008, p. 17)*

Within the Martiniana model, which this study uses, the problem of context of situation variables is solved by allowing the variables to move freely. The issue of realization versus instantiation, however, is complex and cannot be fully addressed in this review. Briefly, both theories recognize that the context of culture influences and is influenced by the context of situation. For Martin, the context of situation, or register, realizes the culture; it brings the culture into being through its systems. For

Halliday, each situation slowly builds up the culture. The difference, explained by Martin and Rose (2008), is that “cultures seem to involve a large but potentially definable set of genres, that are recognisable to members of a culture, rather than an unpredictable jungle of social situations” (p. 17). In short, Martin’s view is that the location of genre in register, and by extension being bound by the fixed variables of a given situation, leads to a lack of parsimony since the slightest tweak of a situation--from a report on insects to a report on mammals--can result in an entirely different genre. This is, perhaps, a somewhat ungenerous of Halliday, since Halliday recognizes typification as subpotential (Halliday & Matthiessen, 2013, p. 29)--but the problem of defining the situation variables remains complex. While each perspective certainly has its merits in terms of the linguacontextual relations--one can see how genres might instantiate culture and at the same time recognize how they might realize culture too--the relative methodological and theoretical merits of Martin’s perspective--namely, the ability to vary situational variables and develop a system of genres not bound by register features--makes the Martinian model more pragmatically useful, despite the theoretical issues still in dispute (Martin, 1999, Hasan, 2009 Halliday, 1999).

### **2.3.6 Genre as a Staged, Goal-Oriented, Social Process**

In Martin’s model of genre, located in the context of culture, genres have more global defining features. Genres have Stages; genres have goals, and genres are composed for audiences of certain kinds. These analytical components are critical elements of Martinian genre analysis, and they form the basis for distinguishing and characterizing genres in this study. As global components--or features seen from

above the text--they are more difficult to identify than the more local, clausal elements of lexicogrammatical and even discourse analysis. At present, the relative frequencies of language features required to determine the presence of each genre element have not been codified; much of this is, admittedly, educated guesswork. Therefore, an attempt has been made in this study to begin to identify some preliminary frequencies of language features via chi square analysis--but these frequencies are not very stable given the small size of the corpus. A brief review of each element of the Martinian model will establish the ways they are used in this study.

### 2.3.7 Genre staging

The Stages of a genre, which are predictable and one or more of which are obligatory for the genre to be categorized as a particular genre, are composed of Phases, which are not predictable but may be recurring in texts of the same genre--although, they may also be unique to a particular text (Martin & Rose, 2008). The example in (1) shows a set of genre Stages for a Research Article (Christie & Derewianka, 2008) with which most academics are familiar, written in the preferred SFL notation, where the caret indicates that the Stages are sequential and parentheses indicates optional stages.

(1) (Abstract) ^ Introduction ^ Aim ^ Method ^ Results ^ Discussion ^  
Conclusion ^ (References)

Within each Stage are multiple, unpredictable Phases, although similar Phases recur within the same genre. Thus, while one cannot predict *where* or *when* in a Stage a particular Phase may occur, it is often possible to predict in what Stage a Phase may

occur. An example of a Phase for the above example might be Establishing a Territory or the Identification of a Gap in the literature, which is predicted to occur in the Introduction stage (Swales, 1990). Stages in SFL genre research are usually described as the “schematic structure” of a genre and part of the “configuration” in Martin’s description of genres as “configurations of meaning” (Martin & Rose, 2008, p. 6).

### **2.3.8 Genre Goals**

The goal of a text, as Martin and Rose (2008) explain, is a criterion for determining a genre because of the frustration one feels if the goal is not met. The goal criterion is also an established part of other genre theories, such as Miller’s (1984) description of genre as “social action.” There are several ways the goal of a genre interacts with a social action to accomplish it. Genres can constitute or accompany a social process (Martin, 1990). In some genres, most of the social process is accomplished through non-verbal means, such as a market transaction (Mitchell, 1957), where the physical exchange of currency and the identification and acquiring of goods and services occur as material phenomena. These genres accompany social actions.

However, other genres--for example, schooling genres--constitute the social process being attempted. That is, the social purpose or goal of the social process is primarily accomplished through linguistic means (Martin, 1990). In these genres, the goal of the genre may be expressed in terms of the metafunctions of language--the kinds of meaning expected in that social situation. This includes Ideational, Interpersonal, and Textual meaning. For Ideational and Textual meaning: if certain

content or organization is absent from a genre, then it may not have accomplished its goal. For Interpersonal meaning: if the relationship enacted between the author and audience through language choices is inappropriate for the social context, it also may not be accomplishing the goal of the genre. For example, if a Biography lacks relevant content of early parts of a person's life, such as their birth or childhood, it may not accomplish the goal of a Biography. This does not mean that the text is genre-less. It may be an instance of another genre, like a Recount, which relays an event that happened. But if a Recount is produced in a social situation that is typically associated with a Biography, then it can be said that the goal of that social process is not satisfied with a Recount. For example, if a teacher provides a prompt for a class: "Tell about the life of a famous person," the social process of responding to this prompt typically entails mention of the person's early life, usually organized chronologically. If a Recount is produced in response to this prompt that details one episode of a person's mid-life but omits relevant parts of early life, then the goal of the social process (genre) is frustrated.

Goals of social processes can also be expressed in relation to staging. Genres that constitute social processes have typically developed a sense of "closure" (Martin, 1990, p. 503). That is, they have a semiotic marker--in the case of constituting genres, this coincides with linguistic markers--that signals the bounds of the genre. Furthermore, the social process may be seen to be working towards some endpoint, thus extending the goal across all obligatory stages to the final stage. In a Research Article, if the Introduction, Methods, and Results are present, but there is no Discussion stage, then a critical stage of meaning is lost, and the goal of the process is

frustrated. Without the final stage of Discussion, the interpretation and implications of the results are not fully articulated, and the social process of disseminating research is not fully accomplished.

While this study takes as its premise the Martinian articulation of genre goals, the current understanding of goals in SFL genre research is largely under-analyzed, according to Hasan (1999). Hasan notes that goal has often been equated with outcome, but at times genre users reach an outcome for their text that does not match their goal--such as when there is a misunderstanding between writers in an email chain or when an argument fails to persuade. Therefore, Hasan proposes the notion of “design” as a means to understanding goal (p. 234-237).

For Hasan (1999), “design” is “the near ritualisation of ways of doing something with some others by using such semiotic media as are at our disposal” (p. 236). This definition may easily be compared to Miller’s (1984) concept of typification in genres, showing some agreement between RGS and SFL. Since design is equivalent to “ways of doing something,” it constitutes social knowledge of a process. It is accessible to the individual by virtue of its location in the knowledge of the society or culture. Again, this might compare to the “stocks of knowledge” concept from Schultz (1971) employed by Miller (1984) to describe genres. Genre users choose a design that attempts to align their goals with the outcome of the social process of the genre. To be sure, designs are learned; for students learning a genre, the design of a genre is not immediately apprehendable. The process of learning a genre involves understanding its design and its relation to goals.

For Hasan (1999), goal is distinguished from design in that goal is a subjective intention; whereas, design is social knowledge of actions. Outcome, also distinguished from goal, is an objective effect of the discourse. Hasan's notion of goal, design, and outcome, however, needs to be reconciled somewhat with Martin (1992), whose theory is the basis of this study. For Martin, "goals are defined in terms of systems of social processes at the level of genre" (p. 503). On the surface, this distinguishes the Martin and Hallidayan models of genre in the location of genre in linguacontextual strata. But more importantly, it distinguishes Hasan and Martin in their understanding of goal: for Hasan, goals are subjective (i.e., psychological) intentions; for Martin, they are sociological purposes. In this respect, Hasan's "design" is more closely aligned with Martin's "goal." Both Martin's "goal" and Hasan's "design" are social knowledge of ways to engage in social processes; both are configurations of register and/or the context of situation. As configurations, they may be modeled in terms of the systems of the context of situation.

Hasan's (1999) critique of goal highlights that goal as a construct is not fully understood in SFL. As modeled by context of situation variables of Field, Tenor, and Mode, the researcher still needs to make an induction. We may be able to identify the topic of discourse, the relations between actors, and the mode of discourse, but these elements as a configuration do not automatically suggest a single goal or design. Questions then arise: On what basis is a goal inferred? How does a configuration of Field, Tenor, and Mode interact systematically to produce a goal/design as a social object? The interpretation of this configuration is thus not fully modeled and needs

further development. A provisional operational definition of goal is proposed in Chapter Three, but it certainly needs further theorizing.

### **2.3.9 Genre as a Social Process**

Finally, the audience for a text has several potential identities. Because language realizes relationships (Halliday & Matthiessen, 2013), the implied or represented audience as realized in the text in particular or a genre is a significant audience; this audience may or may not align with the audience of the assessor, namely the teacher, or the audience meant to be invoked, which would be stipulated by the assignment. The potential audiences in each text may be modeled using Martin's (1992) axes of "status" (p. 523) and "solidarity" (Martin & Rose, 2008), which describe the relationship between the audience and the writer, or to borrow from the context of situation model, the Tenor of the text. Along the status axis, values range from equal to unequal; along the solidarity axis, values range from close to distant (Martin & Rose, 2008). The relative value on each axis will make predictions about accepted linguistic norms for writing to a particular audience. This is particularly present in Modality choices, where levels of certainty and obligation, among other factors, are expressed through different linguistic phenomena and influenced by the relative status and solidarity between the audience and the writer (Halliday & Matthiessen, 2013; Schleppegrell, 2004). These factors are embedded within a more traditional identification of audience, such as the administration of a school or an English teacher. The identification of such audience features can, again, be helpful for teachers using genre to evaluate student writing.



## 2.4 Teaching Genre in Education

The Martinian genre model was developed with a pragmatic goal: to teach students what to write. As Martin & Rothery (1981) explain, “Children are taught to write in school, but they are not taught to write anything” (p. 3). With the dominance of the process model in K-12 writing instruction (Applebee & Langer, 2009), some emphasis has diminished on the product that students are meant to write. While the process model has led to demonstrable gains for student writing in some areas (Applebee & Langer, 2013), the *Writing Project* researchers saw some systemic problems in their observation of writing process pedagogy in Australian schools. Of particular concern was the practice of teachers feeling that they must withhold information from students about writing in order for the students to construct the knowledge themselves through the writing process and gain ownership over their writing (Martin & Rose, 2008, p. 30). This phenomenon was based largely on the “teacher as facilitator” role in writing process pedagogy; a perhaps unintended result was a stifling of teachers explaining writing product expectations. In absence of such explanations, Sydney researchers questioned how students were meant to know *what* to write.

The conclusion that Martin and company drew was that students needed explicit instruction in genre expectations. This conclusion has been questioned by other genre theorists, particularly those in RGS (Devitt, 2004; Freedman, 1993, 1999). The seminal critique of explicit genre instruction was made by Freedman in the 1993 special issue of *Research in the Teaching of English* focusing on genre. Freedman’s

argument contained two hypotheses: the Strong Hypothesis and the Restricted Hypothesis. The Strong Hypothesis stated:

Explicit teaching is unnecessary; for the most part, not even possible; and where possible, not useful (except during editing, for a limited number of transparent and highly specific features). Further, whenever explicit teaching does take place, there is risk of overlearning or misapplication. (p. 226)

The Restricted Hypothesis, developed to account for some potential lack of certainty in the research backing the Strong, argued:

Explicit teaching is neither necessary, nor for the most part possible or useful, and... [there is] potential for harm in such teaching.... Under certain conditions and for some learners, explicit teaching may enhance learning. (p. 226)

These hypotheses, elaborated extensively by Freedman (1993, 1999), were supported by research (p. 227-237) showing that students do tacitly learn genres even when they are not explicitly taught them. At the time of Freedman's initial articulation of the critique, rhetorical and functional genre description was only just emerging, and thus she reasoned that knowing genres well enough to teach them may not be possible--and even if it were possible, composition theorists might be prone to misunderstanding genres created in social contexts with which they were not familiar. Finally, students who are taught genres explicitly may overgeneralize rules or misapply them, thus leading to misconceptions and poor writing performance.

The response to Freedman was undertaken by Fahenstock, Williams, and Colomb, followed by a rejoinder by Freedman. Drawing on these criticisms of

Freedman's critique, the issue of explicit genre teaching was adequately defended. In brief, the Strong and Restricted Hypotheses suffer from a few substantial weaknesses. First, while the experience of students learning genres tacitly without explicit instruction is granted and assumed, this does not presuppose that explicit genre teaching is not without merit (Williams & Colomb, 1993), especially if research can show a comparative effectiveness of explicit genre teaching. Research abounds for the effectiveness of explicit genre teaching, notably by Williams and Colomb's own *Little Red Schoolhouse* program (1993). In addition to Williams and Colomb, a host of 20 research reports produced after Freedman's (1993) critique demonstrated the effectiveness of SFL genre pedagogy, illustrated in Table 2.2.

Table 2.2 *Empirical Research of the Efficacy of SFL Genre Pedagogy*

Participants	Quantitative	Qualitative	Mixed Methods
<b>K-12</b>	Oketch et al., 2014	<i>New South Wales Project</i> Erebus International, 2005; OBS, 2006 <hr/> <i>IESIP Strategic Results Project</i> Rose, Gray, & Cowey, 1999 <hr/> Brisk & Hodgson-Drysdale, 2011; Gebhard, Shin, Seger, 2011; Harman, 2013; Pavlak, 2013; Schleppegrell, 2010	<i>IESIP Strategic Results Project</i> ACSA & NCS, 2000a, 2000b <hr/> <i>Stockholm Education Administration Multilingual Research Institute Project</i> SEAMRI, 2010b; SEAMRI, 2010a <hr/> CEOM, 2005
<b>Undergraduate</b>	Rose, Rose, Farrington, Page, 2008		Carstens, 2009; Chaisiri, 2010; Yasuda, 2012
<b>Adult Education</b>		Rose, Lui-Chivizhe, McKnight, & Smith, 2003	

But for comparative effectiveness, findings could be demonstrated perhaps most effectively through a controlled experimental design; the most substantial research within the SFL school was conducted in East Africa in a randomized controlled study with a sample size of nearly 13,944 K-12 students. The results showed modest comparative gains in students receiving explicit genre instruction in Uganda and no comparative gains in Kenya (Oketch et al., 2014). A features-based genre pedagogy (most closely aligned with RGS) study by Early and DeCosta-Smith (2011) also showed significant improvement by students (n=41) receiving explicit genre instruction over a control in a senior high school writing class. In short, while it may be difficult to disprove Freedman's claim that explicit genre instruction is "unnecessary" (although this will be interrogated in short order), research produced following her critique demonstrates that explicit genre instruction is possible and is effective in helping students become better writers.

Second, the issue of the *possibility* of teaching genre is tied to Freedman's claim that we just do not understand genre well enough to teach it: "The rules for our language have not yet been described adequately even by the most sophisticated linguists" (p. 232). This argument is a product of history, and current understandings of genre have so far advanced, especially in RGS and SFL, that such a claim is unsupportable for the majority of genres taught in schools. The *Sydney Writing Project* was an exhaustive effort in solving this problem. Furthermore, Fahenstock (1993) argues that genre has been taught throughout the history of rhetoric, from antiquity with Aristotle until now. The idea that genre could not be taught is not consistent with the historical record of rhetorical education.

Finally, the argument that teaching genre explicitly is potentially dangerous because of student misapplication also is problematic. As Williams and Colomb (1993) note, “Overgeneralization is normal and is hardly confined to explicit learning” (p. 256). Students may overgeneralize in every educational situation; this is not unique to explicit learning. This is product of learning in general. Freedman’s (1993b) rebuttal to this issue also seems unsatisfactory. She argues: “Attention during the process of composing becomes misdirected: What should be ‘subsidiary’ becomes ‘focal’ (in Polanyi’s terms), distorting both process and product as a result” (p. 277). This cryptic response seems indicative of a horizontal knowledge structure divide between process and product pedagogy in general, where the process is in some way more important than the product. What, in fact, should be “focal?” Certainly one might be concerned if students are overly concerned with grammatical “correctness” over the ability to express ideas in writing. But explicit genre teaching ties ideas and form together; it does not elevate one over the other. Similarly, the Teaching-Learning Cycle (discussed below) developed out of the *Writing Project* includes a stage for the writing process and the potential for workshop that is critical to student learning of genres. Thus, the argument of dangers seems to misunderstand the nature of explicit writing teaching and the general realities of formal education.

#### **2.4.1 Sydney Writing Project and the Teaching-Learning Cycle**

The most established explicit genre pedagogy--namely the Teaching-Learning Cycle--developed out of the 1980s *Writing Project* (Martin & Rothery, 1980, 1981, 1986) in Australia. In the early stages of the project, researchers gathered a corpus of student texts from teachers to develop a linguistic model of the kinds of writing

students were being expected to produce (Martin & Rothery, 1980, 1981). In later stages, a pedagogical practice was developed in conjunction with other SFL researchers, in particular David Rose, who then began implementing the pedagogy in various schooling contexts (e.g. Australian Curriculum Studies Association and National Curriculum Services, 2000a, 2000b; Catholic Education Office Melbourne, 2005). The practice, which underwent several changes and iterations in response to teacher and scholarly input (as mentioned in ACSA & NCS, 2000a, and Rose & Martin, 2012), became known as the Teaching-Learning Cycle (TLC). Specific instantiations of this pedagogy were also joined with reading pedagogy, culminating in a set of practices collectively known as Learning to Read: Reading to Learn (LRRL). The LRRL pedagogy, far from being exclusively a reading program, drew explicit connections between reading and writing, focusing on the ways that linguistic constructions created different kinds of meaning (Rose & Martin, 2012).

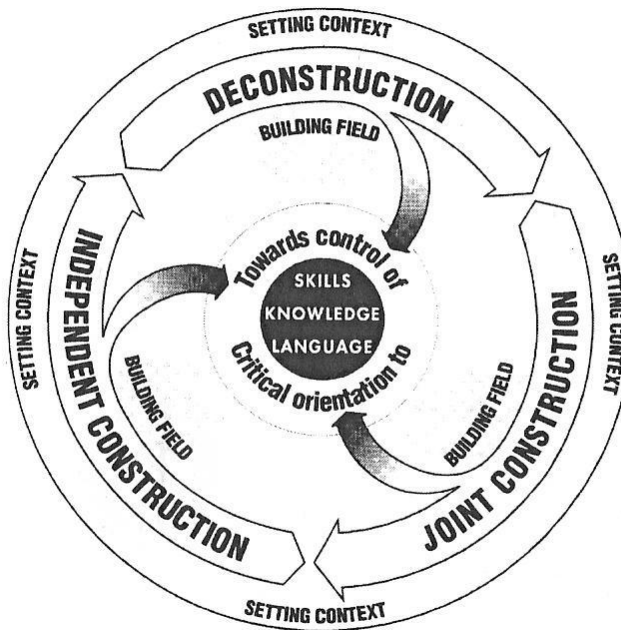


Figure 2.3 Teaching Learning Cycle Model from Rose and Martin (2012, p. 66)

The primary pedagogical practice for writing, however, remains the TLC. The TLC takes as its object a target genre which students learn within the context of its social purpose--that is, if the genre is a Character Analysis, the genre should be learned in the context of a literary fiction unit or something similar. The TLC aims to scaffold writing instruction so that, in its final phase, the student is able to produce the genre independently. This is accomplished by frontloading the writing curriculum with explicit instruction in genre structures and purpose, all “in the context of a shared experience” (Martin, 2005, p. 252).

The TLC consists of three main phases. The first phase, called Deconstruction, involves the joint reading of a model text in the same genre as the target genre. First, the teacher provides direct instruction in the content, genre, and organization of the text, called “Preparing for Reading” (Rose & Martin, 2012, p. 147). Students are then

guided by the teacher in a process called “Detailed Reading” (Rose & Martin, 2012, p. 154) similar to the Close Reading expected in the CCSS (National Governors Association & Council of Chief State School Officers, 2010c, p. 3) that involves teacher questioning, annotating, and analysis of the ways words and phrases create meaning.

There are three main discourse moves that the teacher and students engage in during Detailed Reading: Focus, Identify, and Affirm. The teacher selects a phrase and connects its linguistic construction with its meaning by asking a Wh-question relevant to the type of semantic function it serves. The student then Identifies the phrase, and the teacher Affirms the student, creating success for the student in reading. The teacher optionally can Elaborate when necessary to expand on the meaning being constructed. In Figure 2.4, an example from Rose and Martin (2012, p. 157) illustrates Detailed Reading as it is practiced in ELA during a reading of *Fantastic Mr. Fox*:



Teacher	Prepare	<i>Then it says how far he crept out of his hole.</i>
	Focus	<i>[student name] Can you see how far he crept?</i>
Student	Identify	<i>A little further</i>
Teacher	Affirm	<i>Brilliant.</i>
	Direct	<i>Everyone highlight a little further.</i>
Teacher	Prepare	<i>Then there are three little dots, and he kept going.</i>
	Focus	<i>[student name] Can you see after those dots, how he kept going?</i>
Student	Identify	<i>And further still.</i>
Teacher	Affirm	<i>Fantastic.</i>
	Direct	<i>Highlight further still.</i>
	Elaborate	<i>Further still means he crept even more. The three little dots mean that time passed, and then he crept further out. So he's creeping out really slowly.</i>

*Figure 2.4 Detailed Reading of Fantastic Mr. Fox with discourse moves from Rose & Martin (2012, p. 157)*

Through the process of Detailed Reading, students develop a repertoire of different linguistic constructions for creating different kinds of meaning. In the case of Figure 2.4, the students are learning a way to add a Circumstance of Extent to the Narrative genre (Halliday & Matthiessen, 2014, p. 313), although the terminology is not used here. In the Elaborate move, teachers may also solicit suggestions for alternative ways for students to construct the same kind of meaning, although in the example above, the teacher does this by introducing the paraphrase “kept going” as a synonym for “crept further.”

In Detailed Reading, global constructions, such as genre stages, are also a topic of discussion in addition to the local constructions shown in Figure 2.5.

Teachers can guide students by labeling a projected version of the selected text and

instructing students to label their own copies for reference in later phases of the TLC, as is shown in Figure 2.5. These labels describe the different Narrative phases of this particular selection of the text.

setting	He crept a little further out of the hole ... then further still. He was almost right out in the open now. He took a last careful look around. The wood was murky and very still. Somewhere in the sky the moon was shining.
problem1	Just then, his sharp night-eyes caught a glint of something bright behind a tree not far away. It was a small silver speck of moonlight shining on a polished surface.
reaction	Mr Fox lay still, watching it. What on earth was it?
problem2	Now it was moving. It was coming up and up ...
reaction	Great heavens! It was the barrel of a gun!
reaction	Quick as a whip, Mr Fox jumped back into his hole
problem3	and at that same instant the entire wood seemed to explode around him. Bang-bang! Bang-bang! Bang-bang!

*Figure 2.5 Detailed Reading of Fantastic Mr Fox with genre stages labeled from Rose & Martin (2012, p. 161)*

The process of labeling the genre phases serves as a scaffold to help students understand how different kinds of linguistic constructions serve different functions in the completion of the genre's purpose. Combined with local constructions highlighted, the annotated copy of the text provides a scaffold for students in writing the target genre (in the case of Figures 2.4 and 2.5, a Narrative).

The second stage of the TLC is Joint Construction. In Joint Construction, the teacher and students choose a new topic relevant to the target genre and work together to compose a text in that genre. The students compose the text on the board, while the teacher serves as "authoritative guide for language choices" (Rose & Martin, 2012, p. 162). In this process, "guidance through interaction in the context of shared

experience” (Martin & Rose, 2005, p. 252) serves an important principle for scaffolding writing in the target genre. While writing instruction often involves students writing on disparate topics of their own interest, the Joint Composition process aims to help students learn the genre before independently writing it by providing common background experience and knowledge and an authoritative guide in the teacher. The interaction with the teacher and students scaffolds the knowledge of genre writing and also provides all students with a similar social context and purpose, which is especially important for students from special populations (e.g., English language learners, indigenous students, socioeconomically disadvantaged students) who may have different literacy experiences than their peers from the dominant culture (Schleppegrell, 2004).

During the Joint Construction phase, the annotated copy of the model text and other notes are projected or otherwise available as a reference during the composition phase. The teacher again uses the discourse moves of Focus, Affirm, and Elaborate to direct the composition of the text, but the students Propose (rather than Identify) possible wordings to construct different kinds of meaning relevant to the stage or phase of the genre the students are composing. Figure 2.6 illustrates how this is done with a Report genre text with a biology Field. In the biology text lesson, the teacher uses the Focus move to direct students to construct a certain kind of meaning. In the first sentence, the teacher directs students to establish a HyperTheme (similar to topic sentence) of definition, establishing the primary feature of a cell that will be discussed in that phase of the Report. The teacher then uses guiding questions to solicit parts of the sentence, leading to “All cells are covered in a thin skin called a membrane.” The

teacher adjusts some words the students propose to academic register (similar to “recasting” in ESL practices, c.f., Long & Robinson, 1998), such as “have” to “are covered with,” which establishes the teacher’s role as authority in language choices. Because it is a time consuming phase, Joint Construction usually results in an abbreviated version of the target genre (Rose & Martin, 2012). In the next phase, both the Joint Construction and Deconstruction are scaffolds and referents for Independent Construction.

Independent Construction is the final phase of the TLC. It provides students with an opportunity to show their understanding of the genre. In this phase, the student moves beyond Vygotsky’s (1978) Zone of Proximal Development (p. 84) and composes a text in the target genre independently. The topic of the text in Independent Construction is “a new field that has been independently researched” (Rose & Martin, 2012, p. 194). The Independent Construction phase is inclusive of the writing process approach, including steps like drafting and conferencing, with some alterations. For example, as Rose and Martin (2012) explain, “Conferencing... is reconceived as a consultative process, with teachers in an authoritative mentoring role” (p. 63). As Rose and Martin (2012) describe it, the mentoring role of the teacher in the TLC contrasts with the facilitating role teachers play in more canonical process writing (e.g., Atwell, 1987) and allows the teacher to provide more authoritative guidance on language choices. Finally, the Independent Construction phase also allows for “creative exploitation of the genre once it [has] been mastered” (Rose & Martin, 2012, p. 64). This is consistent with the SFL genre theory recognition that

genres are not static; they evolve and are part of how situations and meaning are constructed (Martin & Rose, 2008).

Teacher	Focus	<i>OK, what's the <b>first structure</b> we need to write about? [pointing at notes]</i>
Students	Identify	<i>Cell membrane</i>
Teacher	Affirm	<i>Right.</i>
	Prepare	<i>So in our <b>first sentence</b>, let's <b>define</b> what a membrane is.</i>
	Focus	<i>What did we say it was?</i>
Students	Propose	<i>A skin</i>
Teacher	Affirm	<i>Right, a thin skin.</i>
Teacher	Prepare	<i>So let's start the <b>sentence</b> with what our readers already know, the object we're talking about.</i>
Students	Propose	<i>Cells</i>
Teacher	Affirm	<i>Yep.</i>
	Focus	<i>How many cells have a membrane? Just some cells?</i>
Students	Propose	<i>All cells</i>
Teacher	Affirm	<i>Great.</i>
	Direct	<i>[student name] Can you come and write that up here?</i>
Student		<i>[student scribes 'All cells']</i>
Teacher	Affirm	<i>Beautiful</i>
	Elaborate	<i>So that's the starting point of our <b>sentence</b>. We call that the <b>Theme</b> of the sentence, what it starts with.</i>
Teacher	Focus	<i>Now, what do all cells have?</i>
Students	Propose	<i>A membrane</i>
Teacher	Affirm	<i>Right</i>
	Focus	<i>And what did we say a membrane is?</i>
Students	Propose	<i>A thin skin</i>
Teacher	Affirm	<i>Exactly</i>
Teacher	Prepare	<i>So let's put that next, and then the name 'membrane' at the end as the <b>new information</b>.</i>
	Focus	<i>So what's our <b>sentence</b> going to be? We have three bits of information - All cells, thin skin and membrane.</i>
Students	Propose	<i>All cells have a thin skin</i>
Teacher	Affirm	<i>Great.</i>
	Elaborate	<i>Let's say they're covered with a thin skin.</i>
	Focus	<i>Called?</i>
Students	Propose	<i>A membrane.</i>
Teacher	Affirm	<i>Brilliant</i>
	Direct	<i>[student name] Can you write that? All cells are covered in a thin skin called a membrane.</i>
Students		<i>[student scribes]</i>

Figure 2.6 Joint Construction with cell topic from Rose & Martin (2012, p. 190-191)

## 2.5 Common Core State Standards

The process-product divide as a curriculum issue in writing education, which the Sydney *Writing Project* and TLC attempted to address, was most recently addressed in the U.S. in 2010 with the Common Core State Standards (CCSS). The CCSS is a national curriculum initiative that established, via a multi-state coalition, a set of standards for K-12 English and Mathematics. The standards instantiated the issues of process and product through its Writing standards, which address simultaneously the writing process and genre issues. The CCSS, as a curriculum document that addresses genre, illustrates the complex relationship genre and genre pedagogy can have on the society in which it exists. Exploring this relationship and the history and development of the Standards shows that, far from an esoteric theoretical construct, genre and genre pedagogy can have a significant impact on students and their future roles in social structures. Furthermore, by examining the history of the CCSS, connections between the Australian *Writing Project* schooling genres and the Common Core Student Writing Exemplars become clear. Finally, the development of the Standards also demonstrates the importance of secondary education writing and its warranted focus in this study.

### 2.5.1 History and Development of the Standards

To understand the general relationship between a society and K-12 schooling, I will draw on a sociological model of knowledge transmission and pedagogy theorized by Bernstein (1975, 2000), which has been frequently incorporated in SFL research (e.g. Rose & Martin, 2012; Christie & Macken-Horarik, 2007). This model, centered around Bernstein's "pedagogic device," can explain why culture-specific

genre descriptions might be helpful in K-12 writing education and why there might be overlap in the genres across the Anglophone nation states. Bernstein's (2000) "pedagogic device" is a set of rules, fields, and processes that explains how knowledge produced in a society, in universities and other sites of research, is recontextualized in K-12 curriculum, which leads to reproduction of social structures, like social class. In the process of recontextualizing knowledge for curriculum, two fields of agents and institutions operate, with differing degrees of cooperation, to develop curriculum, which later affects pedagogic practice and discourse--the discourse of the classroom realized in student writing, among other things. The two fields are the Official Recontextualizing Field (ORF)--which is "created and dominated by the state and its selected agents and ministries" (p. 33)--and the Pedagogic Recontextualizing Field (PRF)--which "consists of pedagogues in schools and colleges, and departments of education, specialised journals, private research foundations" (p. 33). These fields of recontextualization exist in both the Australian and U.S. education systems, and their agents and institutions both converge and diverge in different respects.

The Common Core State Standards Initiative (CCSSI), which developed the CCSS, is an instance of the ORF as a proxy state agent, and its recontextualization of knowledge is realized in the CCSS and the student writing exemplars in Appendix C. However, the CCSSI also took guidance from the PRF in its development of the standards (Rothman, 2011). Teachers and education professors were part of the working groups and the feedback groups that helped develop the standards (NGA & CCSSO, 2009a); additionally, feedback and consultation came from the National



Council for Teachers of English (NCTE) (National Council of Teachers of English, 2009; NCTE, 2010a; NCTE, 2010b) and members of the public, many of whom were educators (NGA & CCSSO, 2009b). This establishes the unique agents of the U.S. ORF and PRF that recontextualized knowledge to develop the Common Core. These agents do not generally coincide with the Australian recontextualizing fields--since Australia has their own education ministries and universities--and thus may limit their ability to shape the genres represented in U.S. K-12 education. In this way, the U.S. educational system can be seen as a context of culture distinct from Australia with potentially different genres.

However, this view is limited by time; the schooling genres of the CCSS did not develop outside of a historical context. The historical context of U.S. K-12 education as a recontextualizing field--and more specifically, the context of culture of writing education--shares historical agents and institutions with Australia's recontextualizing field. The most prominent of these are the agents of the PRF that developed writing process pedagogy. As Rose and Martin (2012) explain, in the 1980s, progressive education had become what Bernstein (2000) would call the dominant "pedagogical model" (p. 44) in the Australian recontextualizing field; this mirrored similar developments in the U.S. up until the 1960s-1970s. (Pinar, Reynolds, Slattery, & Taubman, 2002). While curriculum development in the U.S. during the 1980s was marked by more conservative back-to-basics pedagogical models spawned by national reports (e.g., *Nation at Risk*, 1983; Pinar et al., 2002), there were notable progressive movements in ELA generally with the Whole Language movement (Pearson, 2011) and in writing pedagogy specifically with the writing process

movement (e.g., Graves, 1983). Process writing developed in the U.S. migrated to the Australian education system, where it was recontextualized in curricula and became the dominant pedagogical model for writing instruction (Rose & Martin, 2012). Conversely, some Australian SFL research, albeit by U.S. researchers (namely, Schleppegrell), informed the research base for the CCSS (NGA & CCSSO, 2010b). In both cases, the recontextualizing fields of ELA in different nation states overlap through the PRF by adopting scholarship from each other. As a result, Bernstein's "pedagogical device" along with the SFL genre model would predict that some curricular structures--like schooling genres--will have some similarities in the U.S. and Australian education contexts of culture.

Overall, this analysis supports the use of the Australian-based SFL genre typologies in this study on the CCSS by virtue of converging PRFs; it also allows for the possibility of differences in genres based on divergences in the recontextualizing ORFs and PRFs of each context of culture. In narrowing the context of culture further, secondary writing education warrants a particular focus for new research. While the initial *Writing Project* did focus on primary students' writing, later developments (e.g., Rothery, 1994) included genre descriptions of secondary students' writing genres; this was partially motivated by the goal of developing an "ontogenesis" of student writing (Martin & Rothery, 1981), or a general trajectory for how student writing develops, which was fully articulated by Christie and Derewianka (2008). In the context of the U.S., however, it may be more appropriate to focus genre descriptions on secondary education student writing, in part because of its alignment with the CCSS's own framing. The CCSS backwards-planned from the College and

Career Readiness (CCR) standards developed by the CCSS Initiative before the CCSS proper were written (Rothman, 2011). These standards set overarching goals of what students should know and be able to do in order to be college and career ready upon graduation in Grade 12 (NGA & CCSSO, 2010a). Thus, focusing research on what students should be able to write by targeting secondary education students follows the general method of the CCSS Initiative and may be more useful for backwards-planning aligned curriculum.

### **2.5.2 Writing Standards**

The CCSS Writing Standards define what “skills and understandings” (NGA & CCSSOa, 2010, p. 42) students need to have when writing. The scope of the Standards includes both writing process and text types, as well as research skills. The CCSS explain:

Whereas some writing skills, such as the ability to plan, revise, edit, and publish, are applicable to many types of writing, other skills are more properly defined in terms of specific writing types: arguments, informative/explanatory texts, and narratives. (p. 8)

The process/product divide is present, as the CCSS acknowledge both universal skills (process) but also unique skills specialized to certain “writing types” (product). These writing types, or text types, are defined later in the Standards as a set of writing skills, while also including content relevant to each text type.

The Writing Standards define text types with broad expectations, then further detailed explanations of the features of each of these text types. One writing standard is reproduced below in Figure 2.7.

Grades 9–10 students:	
Text Types and Purposes	
1.	Write arguments to support claims in an analysis of substantive topics or texts, using valid reasoning and relevant and sufficient evidence.
a.	Introduce precise claim(s), distinguish the claim(s) from alternate or opposing claims, and create an organization that establishes clear relationships among claim(s), counterclaims, reasons, and evidence.
b.	Develop claim(s) and counterclaims fairly, supplying evidence for each while pointing out the strengths and limitations of both in a manner that anticipates the audience's knowledge level and concerns.
c.	Use words, phrases, and clauses to link the major sections of the text, create cohesion, and clarify the relationships between claim(s) and reasons, between reasons and evidence, and between claim(s) and counterclaims.
d.	Establish and maintain a formal style and objective tone while attending to the norms and conventions of the discipline in which they are writing.
e.	Provide a concluding statement or section that follows from and supports the argument presented.

*Figure 2.7 CCSS Argument Writing Standards for Grades 9-10 from NGA & CCSSO (2010b, p. 45)*

In this writing standard, the Argument text type is defined as a skill in the first part of the standard, then delineated further in standards a-e. Although these standards focus on skills by virtue of starting with verbs, the way they are organized also introduces some knowledge about language relevant to the Argument text type. For example, standards a, b, and e introduce the structure of an Argument and its functions. The Introduction “introduce[s] precise claim(s), distinguish[es] claims from alternate or opposing claims, and create[s] an organization that establishes clear relationships among claim(s), counterclaims, reasons, and evidence” (p. 45). The ideas of “claims, counterclaims, reasons and evidence” introduces content that is essential for crafting the Argument text type. The body and conclusion of an argument are also explained in terms of skills and content in standards b and e, establishing the Introduction, Body, Conclusion structure, but specialized for Argument texts. These expectations in the Writing Standards define in a broad and general way of how Argument texts are

structured and what they do. As noted in Chapter One, this generalness of standards motivates the more detailed SFL genre analysis of Appendix C in order to inform curriculum and instruction.

### **2.5.3 Text Types and Genre**

In this study, the relationship between the CCSS's construct of "text types" and SFL's construct of genre is hierarchical. "Text types" are the more general concept to which genres are subordinate. The CCSS Appendix A (2010c) describes the relationship for one text type, Informative/Explanatory, thusly:

Informational/explanatory writing includes a wide array of genres, including academic genres such as literary analyses, scientific and historical reports, summaries, and précis writing as well as forms of workplace and functional writing such as instructions, manuals, memos, reports, applications, and résumés. (p. 23)

Because the CCSS describes Informational/Explanatory as both a "text type" and a kind of "writing," there are two possible ways it could be construed. First, as a "kind of writing," text types could be seen as rhetorical modes (e.g., Kinneavy, 1971). That is, the text types are ways of writing that accomplish certain rhetorical orientations. Indeed, some textbooks and teachers maintain the use of rhetorical modes as an organizing principle for writing instruction. The rhetorical modes approach, however, has fallen out of favor since at least the late 20th century (Connors, 1981). A focus on modes, according to Connors (1981), was replaced by an emphasis on more universal aspects of writing, such as a focused thesis and coherence paragraphs. The fact that the CCSS has returned to considering different kinds of writing is a welcome

development, and the text types may suggest a return to modes. But Connors (1981) warns against the unsound notion of modes, namely because they are “divorced from the composition process” and lack the ability to connect with a student’s purpose for writing (p. 454). In contrast, genres include a focus on both product, as modes did, but also purpose.

From the perspective of “text type,” which is the perspective of this study, the idea of genre families from Martin and Rose (2008) seems most analogous to this relationship. Genre families are sets of genres related topologically. They share a certain set of discourse analytical and lexicogrammatical features that are often tied to a general common goal. Pedagogically, however, the aims of the CCSS and SFL genre pedagogy are not quite aligned in respect to genre families. As Christie and Derewianka (2008) show in their ontogenesis of student writing, certain genre families are lexicogrammatically and discourse analytically more complex than others and thus need to be taught at different times in writing development. This ontogenesis of genres generally starts with the Story family, working up towards more complex Argument genres. This allows teachers to scaffold more complex genres with less complex genres. The CCSS (2010a), however, expects students to learn each text type simultaneously, allowing for less complex Argument texts in grades K-2 (called “Opinion,” presumably because early childhood is perhaps not the best time to teach claims and evidence). While within the context of a school year, it is possible for a teacher to scaffold, perhaps, some concrete Story genres towards the more abstract Argument genres, it is hardly the ideal situation from Christie and Derewianka’s perspective. This study maintains that Christie and Derewianka’s ontogenesis is

sound, but works to accommodate the CCSS-simultaneous approach in proposing curricular and pedagogical implications

#### **2.5.4 Control of Genre and Critical Pedagogy.**

The goal of SFL genre pedagogy is to empower students to control genres that they learn through the TLC. The notion of control is drawn from Vygotsky's Zone of Proximal Development (1978), where student learning occurs in a zone that slightly exceeds their current development. Once students have the ability to produce a genre without support--that is, without any scaffolds--they have the competence or control of the genre (Rose & Martin, 2012, p. 61). The ability of the student to control a genre assumes the existence of the genre as a social construct, curricularized through the PRF and ORF. As such, when students learn a genre and gain control over it, two things happen. First, they are empowered to use the genre to accomplish their own goals. Thus, the TLC is a political act, enabling students to use existing genres in their own self-interest. Second, the student is exposed to the ideology realized by the genre (Martin, 1992; Martin & Rose, 2008) and has the potential to assimilate to that ideology by virtue of genre control. An uncritical approach to the TLC seems to make ideological assimilation through genre learning likely. Taking this into account, Sydney researchers proposed a dual goal of the TLC, as illustrated in the model produced below. Students in the TLC work "towards control of" but also develop a "critical orientation to" genres and the language, skills, and knowledge realized by them (Rose & Martin, 2012, p. 66).

The issue of genre control and cultural assimilation is an issue fraught with political implications for students. At a broader scale, attempts to mitigate the

potential assimilation of cultural norms through teaching writing have been attempted, such as NCTE's statement on "Students' Right to their Own Language" (1974).

Before trying to mitigate these issues, however, it is worth considering whether assimilation is even avoidable. As Bizzell (1992) argues: "If we acknowledge that participating in a discourse community entails some assimilation of its world view, then it becomes difficult to maintain the position that discourse conventions can be employed in a detached, instrumental way." Swales (1990), recognizing this specific argument, maintains the position that genre control can be learned without assimilation. Briefly, his argument in favor of instrumental explicit teaching of genre includes three pieces of evidence.

First, spies and deception exist. If spies were not able to take on the discourse practices of their infiltrating institution or state without assimilating, they would not be able to do their jobs. Denying the ability of instrumental genre control means denying the existence of spies, which is an absurd notion. Second, people often participate in multiple discourse communities at the same time, and it is not necessary for all of those discourse communities to have the same worldview. Finally, "to deny the instrumental employment of discourse conventions is to threaten one common type of apprenticeship and to cast a hegemonical shadow over international education" (Swales, 1990, p. 476). While this argument is, perhaps, weaker than the others since it focuses on consequences of the impossibility of instrumental learning and not on the issue itself, it does raise the question of whether we are prepared to cast all of apprenticeship and international education as an essentially hegemonic exercise. How would one avoid such a hegemony? Would it not involve abandoning all



apprenticeship program and keep all students in their own countries to study, instituting an international segregationist policy in order to avoid worldview assimilation? The implications are astounding.

If Swales' argument is valid, then students can learn genre control without assimilating. But this is not a necessary consequence of teaching; it is certainly *possible* for students to adopt the worldview of the genres they learn to control. The question then becomes: what structures exist in the TLC to avoid this? As it currently exists, it seems entirely possible to use the TLC as a tool for assimilation. While the goal of the TLC is twofold--including critical orientation to genre--the three stages, at their core, do not require critical orientation. It is telling that the "critical orientation" goal was added in later instantiations of the TLC (Rose & Martin, 2012); it suggests that the current pedagogical structure is perhaps built for assimilation, and that critical analysis of genres can be "added on."

There are reasons for valuing control, perhaps even more than critical analysis. Critical theory at least raises the idea of whether genres of power--genres that are used by the hegemon to maintain hegemony--should even be taught at all to students, since the students may adopt the worldview of these genres and continue the oppression the genres realize. Martin and Rose (2008) argue against this critical objection in a tour de force of invective and social justice:

To our mind, in a world under threat from the rapidly technologising pursuit of profit, that relentlessly seeks out whatever resources it can to exploit, this is a silly fantasy; ecologically, economically, socially, culturally, too much damage has been done, and there is just no time left to waste. We now need

our powerful genres and those which will evolve from them more than ever; and for life as we know it to have any chance of survival we have to pass those genres around--and have them reworked by people who will use them a lot more sensibly than the remorseless short-sighted patriarchs who manage them now. (p. 260)

Martin and Rose's critique comes from not a moral absolutist position, as the critical theory position seems to come from, but a pragmatic necessity. Students who do not learn genres of power will not be empowered by learning genres indigenous to their culture at the expense of powerful genres; the system of hegemony is so entrenched that these students will simply be disenfranchised. It is, therefore, better for students to learn genres of power and "rework" them for purposes less destructive than to deny them access to those genres and remove all hope of less destruction.

Critical theory can deconstruct that argument, as it is wont to do. It can probably deconstruct its own arguments against teaching genres of power as well. Martin and Rose and many SFL genre pedagogues (this author included) say, "Enough! We're wasting time." The TLC is an attempt at giving students access to genres of power, but it is without a structure for critical orientation towards genres. The goal of critical orientation, as has been argued, can be omitted by assimilationist teachers. A structural reformation of the TLC might lend itself to more critical orientation so that students who learn genres of power can use them in less destructive ways. One possible structure, as hinted at in Martin and Rose's (2008) notion of "reworking," is a possible structure to follow Independent Construction where students creatively rework the genre they now control: a Reconstruction stage.

This idea might take the form of, as Pinkert (personal communication, April 29, 2009) puts it, “remediation,” where students take content from the Independent Construction and translate it, drawing on other genres and language resources, into another genre--perhaps one less powerful. This Reconstruction phase would enable students to practice critical orientation through contrastive analysis of the genre taught and the genre Reconstructed.

The issue of genre control is a central part of the CCSS Writing Standards, as students are expected to know and be able to produce the text types and the genres that they are a part of. In particular, the CCSS place significant importance on control of the Argument text type and its subordinate genres (NGA & CCSSO, 2010c). In this prioritization of Argument, the worldview of the CCSS starts to take shape. The worldview values appeal to logos over pathos and ethos, constructing a sphere that is disinterested and objective. Furthermore, the overall aim of the CCSS is “college and career readiness” (NGA & CCSSO, 2010a, p. 3). This utilitarian approach adds to the objectivity of the Argument prioritization and contrasts with a liberal arts approach to curriculum. Extrapolating a worldview from the Standards, one imagines a world where everyone makes decisions based on logical reasoning and evidence and only learns things so they can go to college or a job. It is, perhaps, a useful worldview, but certainly not one a person could build a life on. It is, at best, a practical position; at worst, it reinforces capitalist obsessions with efficiency and distrusts of emotion and character. But the CCSS is not presenting a neutral worldview, and neither are the genres its structure includes and focuses on.

Students learning in CCSS schools may gain control of genres of power, but they may not have any critical orientation towards those genres. They might adopt the worldview of the Standards without structural protections that mitigate assimilation. In this study, a Reconstruction of the genres in the TLC may be one way to address this. But the Deconstruction phase may also be useful. The genre analyses presented in the following chapters attempt to address not only linguistic realities of the genres of the CCSS Appendix C, but also the ideologies they realize. In these Deconstructions, the ideologies come to light and can be questioned. But only through Reconstruction or some other structural reformation can students begin to truly challenge ideologies of genres of power. Raising awareness is and never has been enough. Action is necessary. Reworking is necessary. Or else Martin and Rose's (2008) doomsday seems more certain.

## **2.6 SFL Genre Research in the Context of the CCSS**

At the intersection of SFL genre research and the CCSS is an emerging body of research focused on the pedagogical implications of SFL genre pedagogy for K-12 education in CCSS schools. The CCSS-SFL research draws from a larger body of work on genre, register, and systemic functional grammar theory and pedagogy in the U.S., pioneered largely by Schleppegrell (2004), whose work influenced the CCSS (NGA & CCSSO, 2010c, p. 29), and others, such as de Oliveira (2011), Gebhard (2010), Harman (2013), and Brisk (2015). The goal of the larger research program is multifaceted, exploring the ways SFL can aid in understanding literacy in U.S. education, as well as developing and disseminating pedagogical applications of SFL in U.S. classrooms.

The focus on the CCSS in U.S. SFL research began shortly after the Standards were published and widely adopted in 2010. CCSS-SFL research began in earnest in a variety of SFL sites; one of the most productive was the research team at Purdue University, headed by de Oliveira, of which this author was a part. The initial goal of this research was to understand the language demands of the CCSS for ELL instruction (de Oliveira, Klassen, & Maune, 2012; Klassen & Maune, 2012). With SFL as an analytical framework, the program developed to explore the language of the Standards themselves and the relationship between SFL's conceptualization of genre and the CCSS text types (de Oliveira, Klassen, & Maune, 2012; Klassen, & Maune, 2012). Later related work focused on further pedagogical applications, including establishing a teacher knowledge base for teaching the CCSS to ELLs (de Oliveira, Maune, & Klassen, 2014) and mapping the CCSS to ELL proficiency standards, such as WIDA (Klassen, Maune, & de Oliveira, 2013).

This study is a continuation of one strand of the research program that began at Purdue, namely developing a theoretical and pedagogical understanding of the genres expected by the CCSS, which harkens back to the original goal of understanding the language demands of the Standards for ELLs. Beginning with an analysis of a few texts in the Appendix C corpus, de Oliveira, Maune, Klassen, and several others began to describe the genres of the CCSS and articulate the pedagogical applications of such descriptions, especially in relation to current pedagogical trends in the U.S. (de Oliveira & Iddings, 2014; more recently in Caplan & de Oliveira, 2016). Relying largely on the TLC and the principle of “guidance through interaction in the context of shared experience” (Martin, 1999, p. 126),

further research elaborated on pedagogical strategies for teaching the genres within the Text Type structure to ELLs in CCSS classrooms (de Oliveira, Klassen, Maune, 2015).

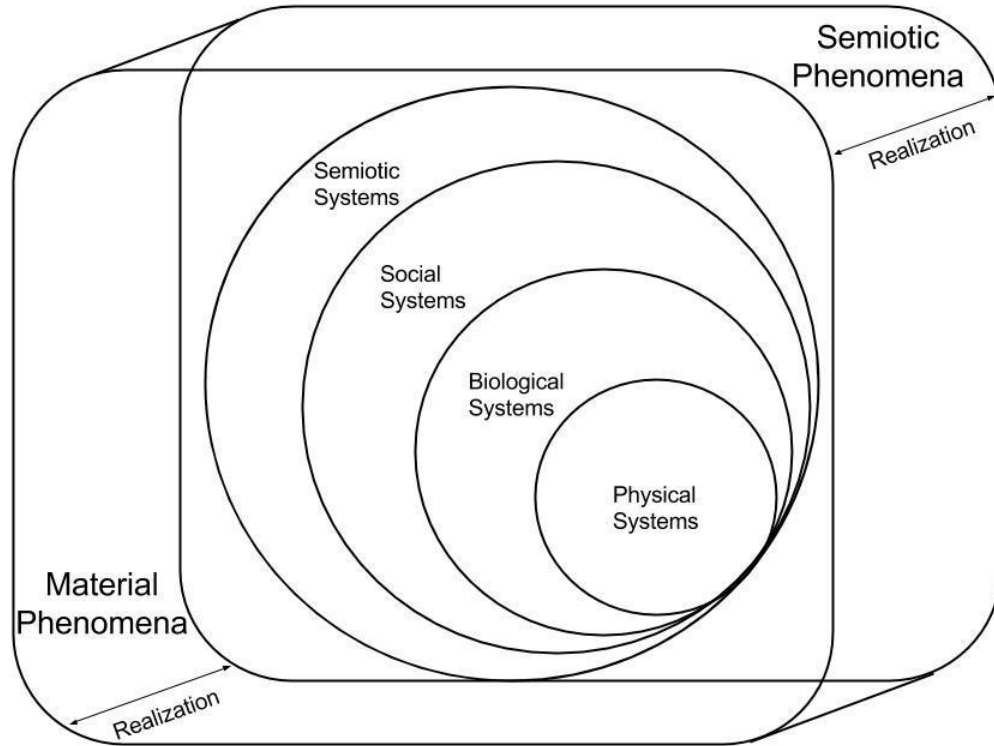
This research program at Purdue correlated with other such efforts, most notably Brisk's work on establishing an SFL genre-based program in K-5 CCSS schools (Brisk, 2014). Brisk (2014) articulated a curriculum outline for teaching the writing of different genre families in elementary school, arguing, in the tradition of Schleppegrell's (2003) "pathway" genres (p. 4), for a topological approach that recognizes the linguistic complexity of certain genres within the same genre family and teaches them developmentally. Much like Brisk (2014), de Oliveira, Klassen, and Maune's (2015) work for 6-12 ELA instruction for ELLs focuses on pedagogical implications, while also providing genre analyses of some Appendix C texts. The application focus of the U.S. CCSS-SFL research program draws on the tradition of interventionist pedagogy that developed from the *Writing Project* (Martin & Rose, 2008; Rose & Martin, 2012). This study continues that tradition in Chapter Seven, while also contributing to the theoretical understanding of genre as it is realized in U.S. K-12 student writing in Chapters Four through Six.

## **2.7 Paradigmatic Concerns**

In developing the genre descriptions and analyses for this study, the SFL genre theory and pedagogy serves as the primary theoretical framework. Underpinning the genre theory is Halliday's Systemic Functional Grammar (Halliday & Matthiessen, 2013), which is a theory of language that also informs a particular research orientation and pedagogical approach. As a theory of language, SFL carries

with its certain philosophical underpinnings. But it does not easily fit into any of the categories of established paradigms used in education research (cf., Denzin & Lincoln, 2013). For example, SFL is historically associated with a Marxist interventionist political perspective (Martin & Rose, 2008), advocating for social justice in its many applications. This likely locates it in the interpretivist tradition of qualitative research; indeed, it has been influenced by but also critical of critical theory (Christie & Martin, 1997; Martin & Rose, 2008).

However, ontologically, it sees language as an order of phenomenon that can be described in a single--albeit stratified--reality (Halliday, 2003), which diverges from the interpretivist paradigm. Halliday's model of reality is composed of two taxonomies: systems and phenomena. Halliday recognizes four different systems that comprise reality, or the "world which we inhabit" (p. 2): physical, biological, social, and semiotic. These systems are ordered in a strata related thusly: Semiotic systems are "socially constructed, biologically activated and exchanged through physical channels" (p. 2). These systems, however, have no substance; they are a set of ordered choices. To fill this hole, Halliday proposes two phenomena, which are opposed in a binary: material phenomena and semiotic phenomena. These phenomena compose the systems of reality, mixing as it were, but separate. Halliday describes this relation thusly: "Meaning needs matter to realize it; at the same time, matter needs meaning to organize it" (p. 3).



*Figure 2.8 Ontological Model of Reality based on Halliday (2003)*

SFL has a seemingly realist ontology, but it also holds that language is socially-constructed; indeed, SFL is somewhat unique in that it is a social semiotic theory of language (Halliday, 2003). This paradigmatic perspective is unique in qualitative research: the phenomenon (language) is socially constructed, but that phenomenon exists in a single reality (the world) shared by those who experience and construct the phenomenon. The phenomenon can be described by a common set of systems and structures for each variant of the phenomenon (each language). In this way, the assumptions of SFL genre theory present some commensurability issues that are beyond the scope of this review. For the purposes of this study, the paradigm



presented by SFL will be maintained, along with its philosophical tensions, with regards to genres and their role in education and society.

## CHAPTER 3. METHODS

### 3.1 Research Design

The overarching design of this study draws on the *Sydney Writing Project* (Martin & Rothery, 1980, 1981, 1986). The premise of the *Writing Project* was that a case study of representative and exemplary student writing samples would reveal genres (Christie & Derewianka, 2008). Following this model, this study uses a case study design with representative and exemplary sampling criteria, along with theoretical comparisons (Corbin & Strauss, 2008), to describe schooling genres expected in Common Core contexts. The case study design might be considered a linguistic collective case study, following Stake (1994). The case of the student writing exemplars thus represents a set of cases of student writing characterized by exemplariness for the CCSS context; the goal of the study is to understand these cases.

Underlying this design is an assumption that student writing is assessed by virtues within the text itself. With this assumption comes a causal structure that is helpful for understanding why this study may be useful for CCSS curriculum and instruction. The independent variables of the study include student texts being analyzed from the Appendix C case. In selecting these texts, a few constants inform the selection and manipulation of these independent variables. First, the grade bands of the students are held constant in order to respect the representativeness of the sample, following the

tradition of the Christie and Derewianka (2008), and to justify differing levels of developmentally appropriate assessments of texts as “Exemplary”; that is, it would not be reasonable, for example, to judge a Kindergartner’s writing as poor simply because it is worse than and does not meet the standards of Grade 12 writing. Second, the text type is held constant in order to respect the relative frequency of the text types and inclusive genres in the Appendix C corpus, which represent the exemplary qualities of student writing but also the relative importance of certain text types (i.e., Informative/Explanatory and Argument) to the secondary grade bands in the CCSS (NGA & CCSSO, 2010a, p. 5). Third, the standards are held constant as the point of this comparison is to inform curriculum that aligns to the CCSS, but also for the purposes of determining an assessment of Exemplariness; that is, Exemplariness is determined by fulfillment of the *same* set of grade level and text type standards for writing in both cases.

In this project, the dependent variables are the general assessment of the texts in fulfilling the CCSS for writing. In the CCSS exemplars, the texts have an assessment value of “Exemplary” for that grade level and that text type. This status is explicitly stated in the Appendix C introduction: “Each of the samples exhibits at least the level of quality required to meet the Writing standards for that grade” (NGA & CCSSO, 2010c, p. 2). The Exemplary assessment value, though, must be understood as relative to the grade and text type constants.

An intervening variable exists from SFL genre theory that explains the relationship between the the text itself (independent variable) and the assessment of a text (dependent variable). The intervening variable is how the text is composed by the student’s choices in genre and linguistic resources. In SFL genre theory, the various

structures and systems of a language are considered resources used to create different kinds of meaning (Schleppegrell, 2004), and thus their variation in text to create certain meanings explains the effectiveness of a text in accomplishing the social purpose of the assigned text. Understanding these variations is critical for explaining the differences within the exemplary writing in the different texts and thus identifying differences that can be addressed in a genre-based curriculum aligned to the CCSS.

In defining the universe of this study, the U.S. K-12 system that is implementing the CCSS seems most appropriate, as this is where the study has most promise to be applicable. A further narrowing of the universe might restrict its scope to U.S. K-12 writing education, as this is the primary topic of the study.

The causal relationship to be explored is the relationship between the text and its assessment as determined by genre and linguistic features that construct the meaning of the text. The exemplary status of the students' writing is caused by these genre and linguistic choices, as described by Martin's genre theory, and thus explain the variation in fulfillment of the CCSS by the texts. That is, when student writers make genre and linguistic choices in their writing that are similar to those made in the CCSS exemplars, they are more likely to be considered in fulfillment of the CCSS. Put another way: if a student's linguistic choices are similar to those of the genres expected by the CCSS, they are said to have *control* over the genre, meaning that they should be able to produce it with success independently. When the student choices differ from the exemplars, they are more likely to be considered as not meeting the standards for writing. These language choices are social expectations, and students of varying ability and backgrounds may or may not have access to these choices in their language repertoire. The goal of this study,

then, is to isolate and describe the features of the intervening variable, the student genre and linguistic choices, so that they can be taught in school and thus be added to the students' repertoires. This, in turn, would aid the students in reaching the dependent variable of an Exemplary assessment.

The causal link between the texts and the assessment bears some explanation, as the causal wording raises some significant issues about the intervening variable of student linguistic and genre choices. First, it is assumed that assessment of student writing is based on the text itself and not, for example, the teacher's perception of the student's ability, the difficulty of the assignment, or the effort the student put into the writing. These factors may play a role in traditional classroom assessment (Cizek, Fitzgerald & Rachor, 1995); however, in this study, it is assumed that the CCSSI assessed the student writing without regard to these other factors.

Second, the choice of genre and language choices may be seen as ignoring other potential intervening variables, such as student socioeconomic and/or racial status or home literacy practices. These are, in fact, factors that correlate with school assessment in literacy (Heath, 1983; Australian Curriculum Studies Association & National Curriculum Services, 2000a; ACSA & NCS, 2000b). They also influence the set of genre and linguistic resources the student has available as a repertoire to draw from when writing (Schleppegrell, 2004; Rose & Martin, 2012). But they do not have a direct causal link to assessment; they are indirectly related through the expectations constructed for assessment (the exact relationship is addressed in Chapter Two). Student texts in this study were not assessed based on these non-linguistic factors, but on the writing choices. And from an SFL perspective, any given student text is an instantiation of a system; it

represents the set of choices the student made from the set of choices available in the system. These systems of genre and grammar may not be fully evident--either explicitly or tacitly--to the student; but the systems represent the available choices in the context of culture and the context of situation (see Chapter One).

This brief outline of the design illustrates the systematic nature of qualitative research being attempted, which serves to validate the findings of the research from a post-positivist perspective. The trustworthiness of the results should demonstrate the usefulness of the genre and linguistic analysis to inform a curriculum that will support aligning student writing to the CCSS.

### **3.2 CCSS Exemplar Sample**

The CCSS exemplar sample of texts was used as a standard to infer and abstract the genre and language expectations for the CCSS Writing Standards. The CCSS exemplar sample consisted of the student writing exemplars in the CCSS Appendix C (NGA & CCSSO, 2010b). These texts were selected for several reasons. First and foremost, they are part of the curricular documents developed by the Common Core State Standards Initiative (CCSSI) and appear on the CCSS official website, <http://www.corestandards.org>. The writing samples, which will be referred to collectively as Appendix C, were selected by the CCSSI because they “exhibit at least the level of quality required to meet the writing standards for that grade” (NGA & CCSSO, 2010b, p. 2). In this respect, they are exemplary texts in that they serve as examples of the kinds of writing students should be able to produce to meet the CCSS for English Language Arts and Literacy in History, Science, and Technical Subjects. This feature is consistent with the methodology of Christie and Derewianka’s (2008) work, where texts

are chosen because “they were assessed as being good—or at least promising—by their teachers or examiners, thereby providing a benchmark of what is possible at each phase of development” (p. 5). The CCSSI not only affirmed the texts’ fulfillment of the CCSS but, in addition, provided detailed annotations of the texts that “illustrate the criteria required to meet the Common Core State Standards for particular types of writing—argument, informative/explanatory text, and narrative—in a given grade” (p. 2). These annotations in Appendix C further demonstrate these texts’ exemplariness and make their selection for this study consistent with the methodological choices Christie and Derewianka (2008) made and within the tradition of SFL genre research.

The current operationalization of Exemplariness warrants an explanation in the socio-political context of the CCSS. As argued in Chapter One, the CCSS expectations for writing were developed in concert with agents and institutions of the ORF and PRF in the context of the U.S. education system. These expectations carry with them the inherent bias of the agents of the ORF and the PRF--that is, the CCSSI and those who develop and implement the CCSS. The CCSS writing exemplars represent exemplariness and, by extension, the biases of the ORF proxy state agents and PRF agents of university and industry. Exemplary writing, then, is defined by these biases, which are explored more in-depth in Chapter Two and shown in the findings in later chapters. Exemplariness, then, should be read as a *relation* to the CCSS and not an *inherent quality* of the student’s writing in general, writing ability in general, or cognitive ability. Exemplariness is a qualitative relation between student performance and expectations; it is not a quality of student intellect.

The CCSS Appendix C exemplars were approved by the Purdue IRB as a public dataset.

### **3.3 Global Analysis: Genre Classification and Coding.<sup>2</sup>**

The primary structures determined during analysis were genres. The operational definition of a “genre” is taken from Martin and Rose (2008), along with a rationale which is quite succinct and efficient in its explanation:

As a working definition we characterised genres as staged, goal oriented social processes. Staged, because it usually takes us more than one step to reach our goals; goal oriented because we feel frustrated if we don’t accomplish the final steps... ; social because writers shape their texts for readers of particular kinds. (p. 6)

Thus, in identifying a genre, the following features were observed and described: Stages, a goal, and an audience. Each of the features serve as criteria for this study’s analysis and require further description and operationalization.

The operational definition for this study is that stages are stable, predictable patterns of meaning that recur across multiple instantiations of the same genre and that vary in size but are, individually, exclusive of the entire text. Phases, in contrast, are variable, unpredictable patterns of meaning that may or may not recur across multiple instantiations of the same genre and that vary in size and may or may not be inclusive of an entire Stage of a text.

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<sup>2</sup> Many of the technical linguistic concepts that inform the genre classification described here are explained in the next section on Linguistic Features. The omission of description of these linguistic concepts is done to provide a BRIEF overview of the genre classification process. The location of this section before the Linguistic Features is done to match the order of coding—as global coding happens before local coding in Martin and Rothery’s methods.



Taking into consideration each facet outlined here, the goal of a genre (here referring to constituting, or schooling genre) may be operationalized as the genre's socially-constructed, typically-expected meanings and stages that lead the social process to closure or completion. The issue of goal fulfillment is significant for this study because lack of goal fulfillment may be a contributing factor to the assessment of the text by the CCSSI. If the goal is not accomplished, the social process of the genre is frustrated, and this may translate to an assessment value below Exemplary. In the case of the student writing in this study, goal accomplishment seems to be assumed by the Exemplary assessment, but the degree of goal accomplishment may differ based on grade level and complexity of the genre, among other factors.

For this study, audience is operationalized as the social element of a genre that includes a text-invoked reader, a material reader (e.g., teacher), and the typical audience for the social process of the genre. In determining an audience, contextual data from the corpus was used, as well as linguistic inferences based on relevant SFL systems, such as the Interpersonal metafunction.

Classification of genres was accomplished using Martin and Rothery's (1980, 1981, 1986) and Martin and Rose's (2007, 2008) methodology. Coding at the text level sought to identify the three elements of the genre definition: Stages, goal, and audience. In classifying and coding the text at the genre level, repeated readings attending to meaning patterns informed by SFL provided a basis for identifying recurrent global meanings and asking probing questions (Martin & Rose, 2007) of the text based on the distinguishing criteria in the existing genre system networks (i.e., typologies) as described in Martin and Rose (2008), Rose and Martin (2012), and Christie and

Derewianka (2008). When a text's global meaning patterns satisfied all of the criteria for an existing genre, it was classified as such. The goal was established by comparing it to the general goal of the genre from the existing typologies and combining that with the specific Ideational and Interpersonal meanings, as well as staging, unique to the text, as determined by selective analysis of peaks in the Textual waves of meaning (discussed below). The audience was determined by comparing it to the common audiences of the genre and the material audience, and by combining this with the specific Interpersonal meaning patterns of the text, again focusing on peaks in Textual meaning. Finally, the stages were determined by comparing it to the general stages of the genre as identified in Martin and Rose (2008) and Rose and Martin (2012) and combining that with the specific Ideational, Interpersonal, and Textual meanings unique to the text, again focusing on peaks in Textual meaning. Sections of the text that satisfied the features of the stages as described by existing typologies received a coding designation based on those existing sets of stages.

In such coding and analysis, theoretical comparisons (Corbin & Strauss, 2008) took precedence over novel classifications of genres. That is, whenever possible, texts will be classified by existing SFL genre theory and not given new designations and classifications if the genres are identical to genres already identified. This analytical choice is driven by parsimony in the genre typology; it favors fewer genres to explain more texts over generating multitudes of genre descriptions. From a theoretical perspective, this gives the genre more explanatory power to analyze the patterns and variation in a particular text. From an educational perspective, this makes the genre concept an even more useful tool for teachers and researchers; while in some instances

teachers may have specific expectations that vary from existing identified genres, the ability of students to recognize and produce texts of similar genres enables them to transfer their knowledge in similar situations inside and outside of school more easily (Brown & Cocking, 2000, p. 62).

While theoretical comparisons accounted for many texts, novel genres were identified when a text did not adequately address the probing questions of the existing genre system network. That is, there was no match for the text and the existing typology. When new genres are classified, which occurred in some instances because the dataset is from a different context of culture than the *Writing Project's*, description of texts relied on the patterns of meaning in the texts and the contextual information provided in Appendix C. This established the Field, Tenor, and Mode, which gave insight into the Ideational, Interpersonal, Textual meanings of the texts. Genre classification, as well as identification of the goal, stages, and audience, drew on repeated readings that focus on global meanings as described above, while also comparing these patterns of meanings with patterns from genres in the same family, which were determined by isolating where in the genre system network the initial probing questions failed to give an adequate answer for this text. These combined global meanings were synthesized to produce a proposed new genre description; the global meanings were necessarily situated within the network based on existing and reorganized criteria for that particular node(s) of the network, as well as corresponding probing questions the text answers. The genre classification of a new genre was primarily motivated by the gap in the system network the text seems to fill—which informed the identification of goal, stages, and audience.

Foregrounding theoretical comparisons over novel classifications raises some methodological issues. Genres are social processes that evolve out of the context of culture; genre research attempts to abstract the structures and meanings of these genres, which are always already embedded in the social context. The researcher, then, through abstracting from the data, may be seen to be producing the genre structure rather than the community. This raises an issue of authority: who creates a genre? As a social process, genres emerge from contexts of culture--the discourse communities in which they are used (Swales, 1990); as a theoretical concept, genres may emerge from several sources. To understand these sources and their relation, it is useful to consider a methodological framework that seeks equal respect of local and academic knowledges. In a participatory methodological framework, which emerged as an ethical critique of traditional research models, (Brydon-Miller, Kral, Maguire, Noffke, & Sabhlok, 2013), the description of a genre would evolve through interaction with the users of the genres, situating authority for developing the theory of genres equally between the researchers and the community. The goal of this critical framework is to respect local knowledge, placing it on equal footing to the knowledge of researcher (Brydon-Miller, et al., 2013). To some extent, SFL genre research has involved some level of a participatory framework through professional development with teachers in assessing student writing from a genre perspective (Catholic Education Office Melbourne, 2005; Stockholm Education Administration Multilingual Research Institute, 2010a, 2010b). However, a critical difference between a traditional participatory framework and those used in SFL genre research is the source of authority for genres; the implementation of SFL genre pedagogy through professional development involved in teaching educators an established genre

typology for schooling genres--albeit with some negotiation throughout. Therefore, the genre concept was not built through equal research with teachers and researchers.

Martin and Rothery's *Writing Project* (1980, 1981, 1986) drew on teachers' feedback for development of the genres; similarly, this study draws on classroom contextual factors for genre classification and development, but this work is primarily done through researcher analysis and abstraction. As the researcher is a qualified English teacher in secondary education with teaching experience in middle school and high school English, to some extent the community is represented by the researcher, being a member of the context of culture. But this claim has limitations because the researcher has not taught regularly in a CCSS school. Thus, some ethical limitations (in relation to the participatory model) arise by proposing genres that are not fully developed in equal concert with the context of culture.

Following the ethical stance of the critical participatory framework, however, raises significant issues of colonization. If SFL genre research were to be applied in this model, one might take the approach of other participatory field researchers in linguistics (Viñas-de-Puig, Balna, & Benedicto, 2012) wherein the tools of linguistics are taught, voluntarily, to the members of a community. The members of the community would then develop, in collaboration with the researchers, models of genres for the community to use in education. But even this potentially betrays the ethical stance of post-colonialism that is part of participatory research (Brydon-Miller, et al., 2013), because the difference between "sharing knowledge" and "colonizing" is a particularly fine line (Seth, 2009). "Genre" in SFL may be seen as an ideological colonization of the local knowledge of the community--even if it was voluntarily introduced--because of the embedded ideology of

the discourse (Martin, 1990). In schools, the introduction of linguistics and a socially-oriented conception of genre may be a novel enterprise, given the existing writing process model that holds sway. The adoption of these new lines of thought into the local knowledge may be seen as attempts at assimilation to one school of thought in the academy--and in the U.S., a foreign one, since SFL genre is deemed the "Sydney school." If such collaborative endeavors are fraught with potential colonization, what is left but local knowledge and a research question? Thus the notion of egalitarianism in a participatory model is potentially problematic--even within the post-colonial paradigm it situates itself in.

The theoretical foregrounding of the established genre model follows the self-aware interventionist approach seminally articulated by Martin and Rose (2008). While SFL takes seriously the critical admonition from participatory research to respect local knowledge and the discourses of the disenfranchised (as demonstrated in work done in genre analysis of Australian indigenous groups: eg., Martin & Rose, 2008; Rose, Gray, & Cowey, 1999), this model and other critical models like it, when its ethical demands are taken seriously, ultimately disenfranchises those it hopes to empower because it potentially restricts knowledge sharing (in this case, SFL genre theory with its existing models) and leaves local communities only with their already disenfranchised discourses. What Martin and Rose (2008) argue is something like a benevolent intrusion with a critical awareness:

In an enterprise of this kind no single discipline can presume to have a monopoly on meaning, let alone insight. We have learned a lot, and have much more to learn, from our affine disciplines...[and] lay discourses.... With respect to all of this

complementary insight, our basic strategy is trespass. We try our best to go in and model what is going on as functional linguists, and thus produce a social semiotic account which reads practices as genres. This means treating everything as information, an imperial recontextualisation if ever there was one--privileging linguistics as its informing discipline, and involving massive reconstitutions of perspective, most radically perhaps in the context of physical and biological materiality. But we intend our incursion as a friendly one. We visit the territories of others because in our experience productive dialogue across disciplines is only possible when they focus on a comparable object of inquiry, map out overlapping claims, and then begin to talk--a process which is considerably enhanced by shared political commitment. We have to intrude we have found, to listen; trespass to hear. That at least is our experience in language education, where our interest in schooling, together with Bernstein's conception of pedagogic discourse, engendered negotiations that we are proud to look upon as genuine transdisciplinary work (Bernstein 1990, 1996, Christie 1999). Yes we are intruding, but with our ears and eyes open, trying our best to learn. (p. 260-261)

Here, I want to extend Martin and Rose's defense of interdisciplinary theory building to the methodology of SFL genre research. In developing genre models which "privilege linguistics as the informing discipline," foregrounding the theory over local knowledge, imperialism is happening. In disseminating this knowledge to schools for curriculum development, colonization from agents of the PRF is happening. By using contextual data from the classroom, the colonization can be mitigated, but it cannot be stopped. Member checking would be another way to mitigate colonization, but due to time constraints, it is

not included in this methodological protocol, and is thus a limitation of the study. But even if it were included, the theoretical foregrounding stance would still be what it is: a hegemon of SFL genre methodology.

Martin and Rose's (2008) "eyes and ears open" critical awareness stance is, at best, a mitigation of imperialism and not an abolitionary measure. But, as they argue, "Are we being called upon [by critical theorists] to imagine a utopian plenum in which abstract discourse is not required and alternative discourses, enjoying equal status one to another, abound" (p. 260)? Martin and Rose, rightly, call this notion "silly" (p. 260) given the damage done by imperialism. They argue for intrusion and sharing of genres of power--as this study attempts to do--to those who are disenfranchised in the hope of "[having] them reworked by people who will use them a lot more sensibly than the remorseless short-sighted patriarchs who manage them now" (p. 260). In this study, the researcher creates the genre model drawing on the "abstract discourse" of SFL genre theory and contextual information from the teachers, taking a critically aware interventionist stance to help teachers, administrators, parents, and other stakeholders see how the genres of the CCSS operate on a genre and linguistic level. This is done in the hope of advancing the shared political aims of critical theory and SFL genre theory--to empower the disenfranchised.

### **3.4 Local Analysis: Linguistic Features**

In conjunction with the global coding and analysis, corresponding local analysis to identify recurrent linguistic features began with coding the datasets according to the systems corresponding to the three metafunctions of language (Halliday & Matthiessen,



2013). Thus, these features were coded at the lexicogrammatical level and were used to analyze the components of a genre, namely its stages and phases.

One category in local coding that is relevant to genre classification was Thematic analysis (Halliday & Matthiessen, 2013). Thematic analysis is a primary focus of genre analysis because it involves the development of information through linguistic features, a concept that is an important part of the CCSS for Writing (NGA & CCSSO, 2010a, p. 18). The full combined corpus was coded for Theme and Rheme using the UAM Corpus Tool.

Another category of local coding was Experiential meaning, which is concerned with the Participants, Processes, and Circumstances involved in clauses as they construe experience of the world (Halliday & Matthiessen, 2013). In coding this category, the researcher relied on the structures and system of Transitivity to provide insight into how experience is construed in a genre. The Transitivity coding, again completed through the UAM Corpus Tool, is rather expansive as delineated by Halliday and Matthiessen (2013), where it is part of the Ideational Metafunction of language, but is fundamentally based on six different Processes that are construed normally through verbs.

Finally, the last category of universal local coding is the system of Mood, which is concerned with the way that clauses construe Interpersonal meaning (Halliday & Matthiessen, 2013). Again, this coding was done through the UAM Corpus Tool. The Mood system includes (but is not limited to) the Imperative to create commands, the Interrogative to create questions, and the Declarative to make statements (Halliday & Matthiessen, 2013, p. 162). While Mood is not always particularly revealing in genre analysis, some elements of the Mood system contributed to classification and analysis. The second system of Interpersonal meaning coded (selectively) is Modality, which

concerns levels of certainty and obligation construed in a text (Halliday & Matthiessen, 2013; Schleppegrell, 2004). While all the linguistic constructions that realize Modality were coded, levels of certainty, obligation, etc. were coded selectively after the initial coding.

In certain selected texts, other elements of Halliday's Metafunctions and Martin's discourse semantics were used to illustrate ways that students were using language to show control of a particular genre. The choice of selected texts was determined by a number of criteria such as: its fit, or lack thereof, within existing descriptions of genres; its characteristic or non-characteristic use of particular linguistic resources; and innovative or atypical linguistic choices for that particular genre. Of the metafunctions, the Modality system from the Interpersonal metafunction shows how students use language to enact social relationships embedded in a particular genre. The Modality system includes modal verbs and other linguistic constructions, such as adverbial phrases, to signal levels of certainty, obligation, usuality, and inclination (Halliday & Matthiessen, 2013, p. 182). These linguistic choices vary according to genre, such as Median Modality in many academic writing genres (Schleppegrell, 2004), and the selective coding of these elements was useful in categorizing texts by genre or identifying variations in a particular genre.

From Martin's discourse semantics (Martin, 1990; Martin & Rose, 2007), the systems of Periodicity, Ideation, Appraisal, Conjunction, Negotiation, and Identification were used, again, to show how student writing demonstrates their control over various genres. Periodicity involves the development of information across clausal boundaries in waves and peaks. Ideation is a system of construing experience as different structures,

such as taxonomies, orbits, and activity sequences. The Appraisal system analyzes how writers evaluate people and events and express various emotional states through linguistic choices. These include Affect, to realize emotional reactions; Appreciation, to evaluate things and events; and Judgment, to evaluate people. Conjunction examines how activities and ideas are developed across a text through logical connections. Negotiation examines how social relationships are realized through choices of various discourse systems. Identification tracks the development of meaning through different Participants--people, places, and things--as they occur throughout a text (Martin & Rose, 2007). These various linguistic choices show how a text creates a semantic unit and contributes to the larger construct of genre in the contexts of situation and culture.

### **3.5 Summary of Methodology**

Overall, the process of data analysis proceeded thusly: Student texts from the CCSS Appendix C were coded completely at the genre level, using the genre structures of Stages and Phases as well goal identification and social context.

Next, all texts were coded at the clausal level using Thematic, Mood, and Transitivity systems. This coding was carried out using the UAM Corpus Tool software. The UAM Corpus Tool is an SFL-based corpus linguistics tool that includes modules with SFL coding schemes and auto-coding capability, which aids in producing accurate analysis. Unfortunately, the UAM Corpus Tool used an alternative English grammar based on Halliday's SFL--namely, the Cardiff grammar developed by Fawcett (1980, 2000) and others. The most significant surface difference between Fawcett's and Halliday's grammars is the absence of Behavioral processes in the Transitivity system, although there are other differences. As most of these differences did not alter genre

classification, this was considered an acceptable limitation of the study, and where appropriate, Halliday's grammar superseded Fawcett's in coding and analysis.

Selected clausal and genre coded texts were then analyzed in the UAM Corpus Tool through discourse analysis systems. The goal was to identify enough patterns in discourse analysis to aid in a genre classification.

Finally, genre descriptions were completed by analyzing the texts for marked and unmarked linguistic and structural features. The descriptions were developed in comparison to established research on each genre (e.g., Christie & Derewianka, 2008; Martin & Rose, 2008), focusing on typological as well as topological features. The descriptions were then analyzed in the context of the Teaching-Learning Cycle (Rose & Martin, 2012) and Bernstein's sociological theory of education (e.g., 2000) for their pedagogical and curricular implications.

This methodology aims to fulfill the goal of this study to make useful knowledge that can inform writing curriculum in a CCSS school; it may potentially lead to future studies that feature the implementation of this study's genre descriptions in a K-12 writing curriculum informed by SFL genre theory and the CCSS.

## CHAPTER 4. GENRE AND LANGUAGE EXPECTATIONS OF ENGAGING GENRES

### 4.1 Introduction

The goal of Chapters Four through Six is to present a comprehensive genre and linguistic analysis of the Common Core Appendix C student writing exemplar corpus. First, the SFL schooling genres typology will be discussed, along with a few additions made based on the U.S. corpus. This will establish the genre framework that supports the classifications of each text. The majority of this chapter and later Chapters Five and Six will describe in detail the genre classifications of selected texts and the language features that distinguish and mark each text. The goal of the genre descriptions is to provide the basis for a genre-based pedagogy for K-12 CCSS writing curriculum and instruction.

### 4.2 SFL Genre Typology

For this study, the domain of K-12 U.S. education establishes the context of culture for genre analysis. The K-12 U.S. education represents the bounds of culture and thus serves to inform what genres are possible for students to write and, conversely, what genres are not likely to occur. The results of the 1980s Australian *Writing Project* (Martin & Rothery, 1980, 1981, 1986), along with years of development of the Teaching-Learning Cycle (Rothery, 1994; Rose & Martin, 2012), have provided a fairly comprehensive set of genres used in K-12 education culture. While there is much overlap in the various articulations (e.g., Martin & Rose, 2008; Christie & Derewianka, 2008;

Rose & Martin, 2012) of the K-12 education schooling genre typology, there are some inconsistencies depending on the researchers and the time frame in which the typology was articulated (i.e., the genre typology was refined over the years).

In order to establish a framework for classifying the genres of the CCSS Appendix C corpus, the various articulations of the K-12 education genre typology need to be reconciled. Because this study takes a Martinian approach toward grammar, the research from Martin and colleagues has been privileged over alternative approaches. The main exclusion is the work of Christie and Derewianka (2008), which recognized genre families similar to Martin and Rose (2008; 2012), but identified different genres within those families. Christie and Derewianka (2008) also focus more on a topological approach, which privileges genre feature similarities over distinguishing differences. It might be possible to reconcile these two frameworks, such as classifying Christie and Derewianka's (2008) Character Analysis and Thematic Analysis genres as a subset of the Interpretation genre identified in Martin and Rose (2008; 2012), as Christie and Derewianka (2008) suggest might be possible (p. 60). However, this study, for the sake of theoretical consistency, works strictly within the Martinian framework.

The main reconciliation of genre typologies, then, occurs between the two major Martinian contributions to SFL genre theory and typology--that is, Martin and Rose (2008) and Rose and Martin (2012). In Rose and Martin (2012), a rather comprehensive typology is articulated, presented below in Figure 4.1. In this typology, most of the genres identified in the *Writing Project* are present. The typology takes the form of a system network, a common structure in SFL. A system network is a model of the meaning potential of a language structure; a system network states what kinds of

meanings are available for a language user based on certain conditions (Halliday, 2003, p. 8-9). Given the entry condition of genre, the network shows that student writers may choose primary goals of “engaging,” “informing,” or “evaluating.” This does not preclude other goals for a genre; it merely models the primary goal (Martin & Rose, 2008).

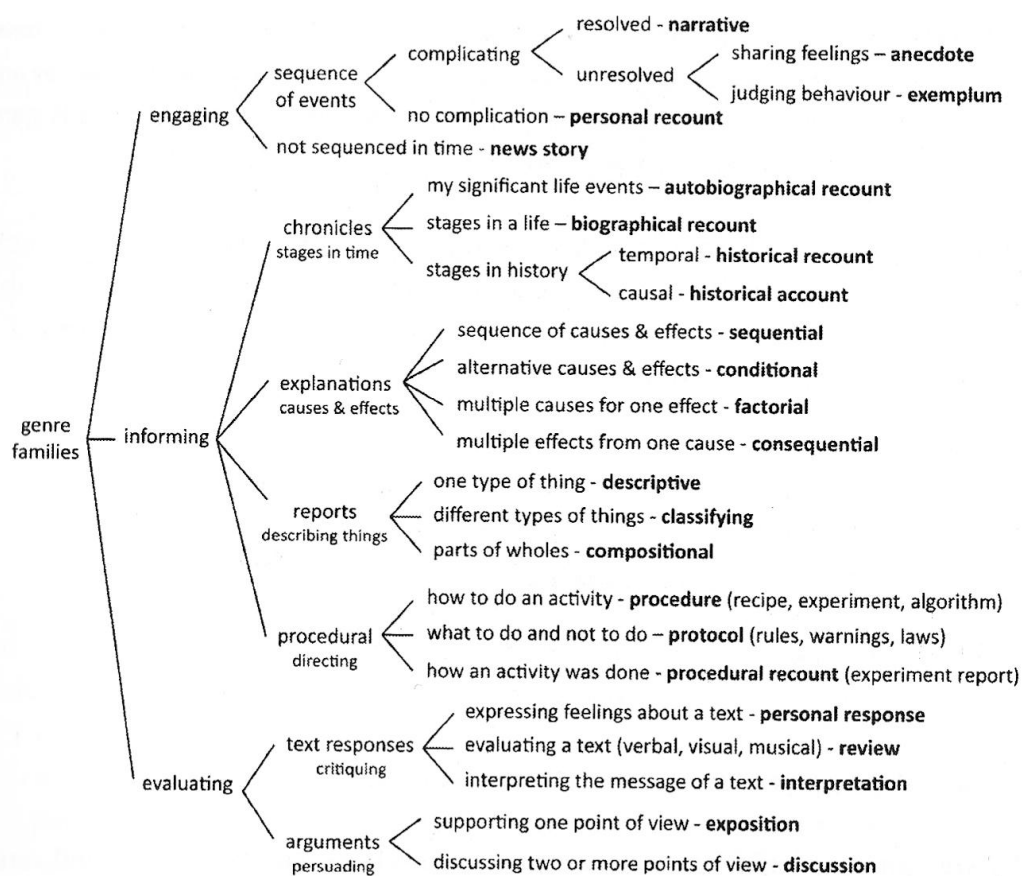


Figure 4.1 SFL Schooling Genre Typology from Rose & Martin (2012, p. 128)

While this model is useful, especially in its translation of SFL jargon, it does oversimplify some aspects of the system networks presented in Martin and Rose (2008). Namely, the Rose and Martin (2012) typology model excludes certain subsystems in

Martin and Rose (2008) that reveal specific goals of certain genres. Where the Martin and Rose (2008) systems indicate specific entry conditions for certain genres, such as the CAUSAL EXPLANATION entry condition under the general Explanation family node, which splits into Factorial and Consequential, the Rose and Martin (2012) typology simply breaks the genre families up into seemingly co-equal genres. In the CAUSAL EXPLANATION condition example, the Rose and Martin (2012) typology masks the pedagogically useful information that Factorial and Consequential explanations are both about trying to explain causes and effects, except one works from causes to effects (Consequential) and the other works from effects to causes (Factorial). In order to preserve some of the pedagogically useful entry conditions, a reconciled typology is presented below in Figure 4.2, which also includes one new genre unique to the U.S. educational culture--the Text Comparison genre in the Response family of genres. This reconciled genre typology also uses distinguishing goals in its nodes; however, in Figure 4.1, these nodes are mapped to specific genre names, which can be more useful in teaching the genres.

A brief description of the genre typology will clarify the organization of the genres in the typology and provide a cursory sketch of the genre families. Starting at the top and moving horizontally to the right on the network by one node shows a set of genre families--a set of genres related by language, goal, and social process. The four nodes following the Informing goal each represent a different family of genres: Chronicles, Explanations, Reports, and Procedurals. Chronicles typically relay information about real-life events or people in a time-sequence and can be either biographical or historical; Chronicles are often used in history classes. Explanations are used for describing some



kind of process and can include the causes and effects that occur in a process;

Explanations are typically used in science and technical courses. Reports involve the description of simple or complex entities from a variety of perspectives; like

Explanations, they occur frequently in science classes. Procedural genres deal with how people can accomplish certain activities, and they are often used in technical and industrial classes. This group of genres classified under the Informing node nicely maps to the Informative/Explanatory text type in the CCSS.

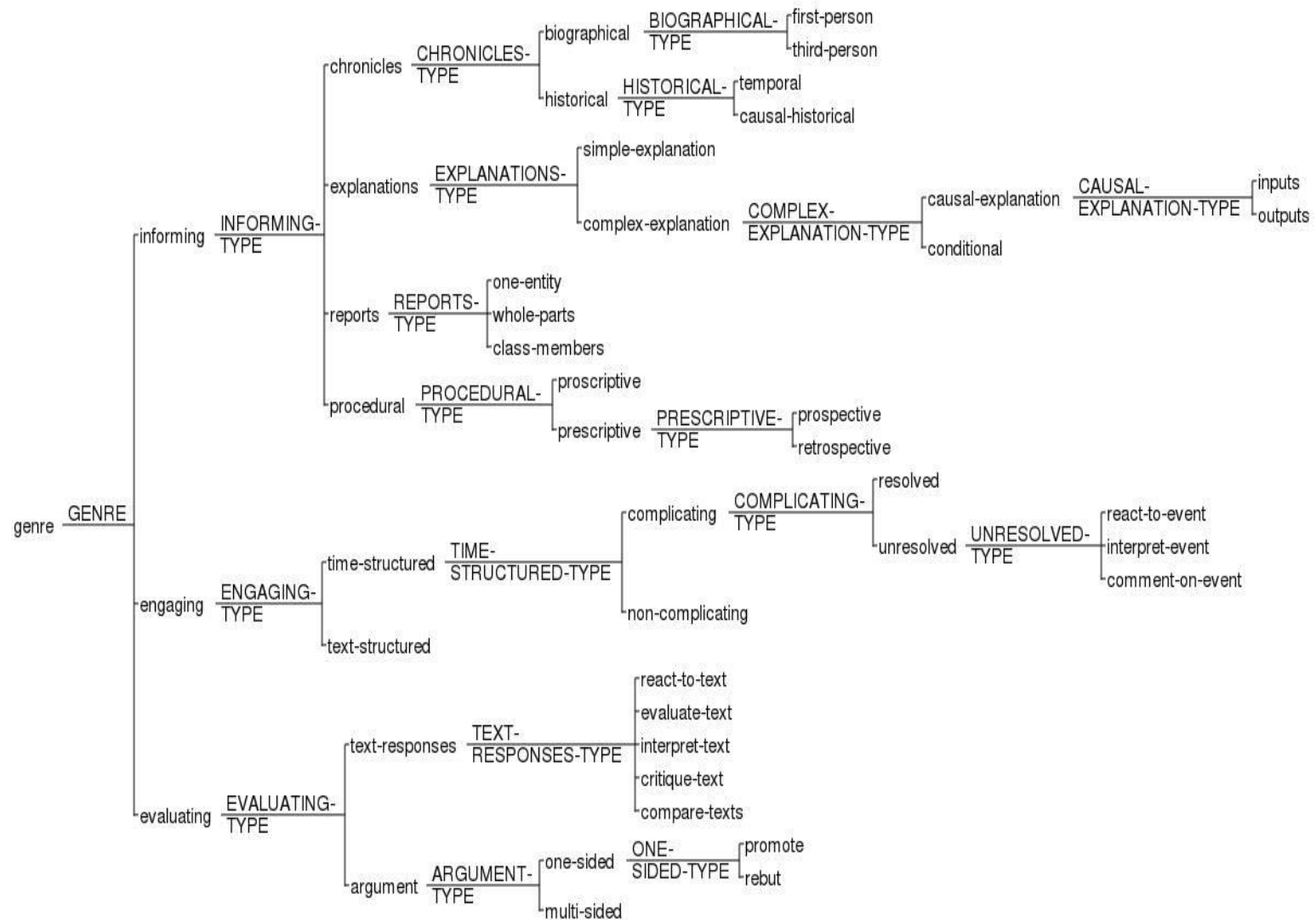


Figure 4.2 SFL Genre Typology for U.S. Schooling Genres

The Engaging set of genres are typically called Stories, which are the most common genre taught in English classes, especially in K-5. This includes the familiar Narrative, but also other genres common in elementary school, such as Anecdotes, Exemplums, and Personal Recounts. The Stories genre family also includes the News Story genre--which is distinguished by its non-time sequencing. The Stories family maps to the Narrative text type in the CCSS. As a result, these genres also take on the relative developmental importance of the Narrative text type as established in the CCSS. While they remain a staple in ELA instruction throughout the K-12 sequence, they should, according to the CCSS, comprise only 20% of student writing in all subjects by Grade 12 (NGA & CCSSO, 2010a, p. 5). This diminishing importance of the Story genre family is also reflective in the Appendix C corpus; no Story genres occur in the samples representing grades 9-12.

Finally, the Evaluating goal points to two genre families: Responses and Arguments. The Response family plays a critical role in ELA literacy instruction; it consists of the genres that involve students responding to texts they read. This family does not easily map to a single text type, and there are instances of these genres occurring in Informative/Explanatory and Argument text type exemplars. The Argument family of genres, which maps to the Argument text type, includes genres where students take a position on an issue and provide logical reasoning to support that position. This family of genres holds a special place in the CCSS, as articulated in the research-focused CCSS Appendix A (NGA & CCSSO, 2010b). The Argument family of genres is essential to college and career readiness, as Argument genres are commonly used in college courses in major assessments (p. 24-25).

While this typology accounts for the vast majority of texts in the corpus, there are two complicating issues with genre classification. First, some texts do not fit easily into the typology; some show anomalous language features, such as the “Wood Joints” text, or seem to have different goals from any other recognized genre, such as the “Author Response: Roald Dahl” text. In these instances, it is tempting to simply propose a new genre; genres, after all, change through use. But given the small sample size of 34 student texts, it is somewhat difficult to justify new genres, and a substantial argument is presented in this chapter for the introduction of one new Response genre. In general, when texts do not fit easy classification, it is helpful to draw on a topological perspective and the cline structure that is central to SFL. Language is systemically indeterminate, as Halliday notes (Halliday & Matthiessen, 2013). Anomalous texts are not a bug in the program; they are a feature of the system, and instantiation of genres always exists on a cline of similarity to the genre schematic structure and linguistic relative probabilities. Texts like the “Roald Dahl” response show that the student has control over multiple language resources to create kinds of meaning that are similar to certain genres (namely, Text Comparison) but also different and new.

The second issue that arises in genre analysis is more straightforward: genres can embed within one another (Martin, 1994), and thus a single text may not instantiate a single genre. The correspondence need not be one-to-one. For example, the “Fact vs. Fiction” text, noted in the CCSS Appendix A (NGA & CCSSO, 2010b) as a text that “blends” text types (p. 24), embeds a Story genre within an Argument genre. This again shows that the student has control over multiple linguistic resources and is able to construct texts that convey different kinds of meaning to fulfill their individual goals and

the expectations of their audience. The embedding principle of genres, an analog of Halliday's principles of constituency (Halliday & Matthiessen, 2013, p. 9-10), is a complex skill that can and should be taught at the secondary level; its inclusion in the CCSS corpus illustrates the variety of ways students can create meaning as they develop in their writing education.

### **4.3 Genres in the CCSS Corpus**

The first and primary research question of this study is concerned with describing the full range of written genres available to students to meet the writing expectations of the CCSS as presented in the corpus of exemplary CCSS-proficient student writing. In addressing this question, Table 4.1 provides a brief overview of the titles of the student texts in the corpus, the genre that they instantiate, the text type of the exemplars, and the grade level. Organized by grade level, Table 4.1 illustrates the relative frequency of each text type in the various grade levels and the significant variety of genres that realize each text type.

Two notational symbols in Table 4.1 also indicate the genre relations in the corpus. The caret symbol (^) indicates sequence and can be read as "followed by." In these texts, one genre is instantiated, and then followed by an instantiation of a different genre. Following the principles of constituency, this is analogous to complexing, and it seems to be rare in the student texts at the primary and secondary level. The quadruple brackets, shown as [[[]]], indicate genre embedding and may be read as "with an embedded x." In this text, one genre is embedded within an instantiation of another genre. This practice is extremely rare, and only occurs once in the corpus. Both of these

notations are used to describe texts where students have sufficient control over multiple genres to create a text that instantiates more than one genre.

The following sections describe the genres of each text, some significant genre features, and their representative significance to the corpus. When a genre appears in the corpus, it can signify a variety of things. The presence of a genre in the corpus might suggest an expectation of control; that is, students at that grade level should be able to write in that genre. However, because the CCSS is organized by text type and not genre, such a strong prescriptivism is perhaps unwarranted. A more likely and useful interpretation is that genres in the corpus are part of a menu of genre options for students writing in that text type, as indicated by Appendix A (NGA & CCSSO, 2010b, p. 23). Thus, from a pedagogical and curricular perspective, these genre descriptions can be useful as options in the writing curriculum, and not necessarily a mandate that students write strictly in that genre. Genres are part of language, and language is systemically indeterminate (Halliday, 2003) and constantly changing (Martin & Rose, 2008). While these descriptions are useful for pedagogical purposes, they only represent one instantiation of the meaning potential of a genre; genres can be instantiated in a variety of ways, as the corpus shows. And they can change even as the students work with them, always already instantiating and altering the meaning potential of the genre itself.

Table 4.1 CCSS Appendix C Grades K-12 Student Exemplar Texts Classified by Genre, Text Type, and Grade Level

Text	Genre	Text Type	Grade Level
My fabit Book is do you Want to be my FRIEND	Personal Response	Argument	K
Fraggs (Frogs)	Sequential Explanation	Informative/Explanatory	K
I Went to Disnand	Recount	Narrative	K
My Big Book About Spain	Descriptive Report	Informative/Explanatory	1
I bot a little cotton ball	Anecdote	Narrative	1
Owl Moon	Personal Response	Argument	2
My first tooth is gone	Anecdote	Narrative	2
Horses	Descriptive Report	Informative/Explanatory	3
When my Puppys Ranaway	Narrative	Narrative	3
Zoo Field Trip	Exposition	Argument	4
Glowing Shoes	Narrative	Narrative	4
Author Response: Roald Dahl	Text Comparison	Informative/Explanatory	5
Getting Shot and Living Through It	Narrative	Narrative	5
Dear Mr. Sandler	Challenge^Exposition	Argument	5

Table 4.1 continued.

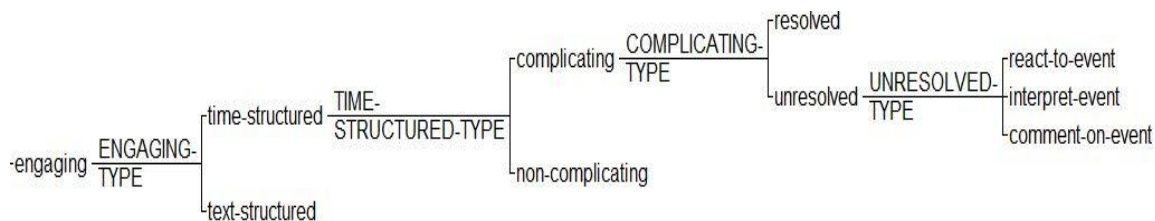
Text	Genre	Text Type	Grade Level
A Pet Story About My Cat . . . Gus	Exposition	Argument	6
Video Cameras in Classrooms	Challenge	Argument	6
A Geographical Report	Procedural Recount	Informative/Explanatory	7
Football	Descriptive Report	Informative/Explanatory	7
The Old Man and the Sea	Interpretation	Informative/Explanatory	8
Miss Sadie	Narrative	Narrative	8
The True Meaning of Friendship	Text Comparison	Argument	8
Lives on Mango, Rides the Whale	Text Comparison	Informative/Explanatory	9
Untitled essay on civil disobedience in India	Historical Account	Informative/Explanatory	9
_____ School Bond Levy	Challenge^Exposition	Argument	9
Animal Farm	Interpretation	Informative/Explanatory	10
Marching to His Own Beat	Interpretation	Informative/Explanatory	10
Summary of Key Points	Compositional Report	Informative/Explanatory	11
Untitled essay on dress codes	Exposition	Argument	11
Freedom From Structure	Exposition	Argument	12
In the Wake of the Spanish Lady: American Economic Resilience in the Aftermath of the Influenza Epidemic of 1918	Consequential Explanation[[[Historical Account]]]Consequential Explanation	Informative/Explanatory	12
Fact vs. Fiction and All the Grey Space in Between	Discussion[[[Observation]]]Discussion	Informative/Explanatory	12
The Making of a Human Voice and How to Use It	Procedure	Informative/Explanatory	12
Wood Joints	Procedure[[[Classifying Report]]]Procedure^Protocol	Informative/Explanatory	12
TIG/GTAW Welding	Procedure[[[Classifying Report]]]Procedure^Protocol	Informative/Explanatory	12



#### **4.4 Engaging Genres (Story genre family) Analysis and Discussion**

As stated above, the Engaging genres are one and the same as the Story genre family, which is also one and the same as the Narrative text type. In the corpus, Engaging genres represent 40% of the K-5 texts and 5% of the 6-12 texts. This indicates two things. First, the already established relative importance of the Narrative text type at the elementary levels is reflected in the corpus. But more importantly, the developmental trajectory of learning the Narrative text type seems to reach its ceiling at Grade 8, where the last Narrative genre text--“Miss Sadie”--an accomplished and tightly structured Narrative, occurs. By middle school, students should have control over most Story genres, having focused on them extensively in their elementary years. Their use in the secondary level is, it seems, in the service of other genres, as the Grade 12 text “Fact vs. Fiction and All the Grey Space in Between” (henceforth, “Fact vs. Fiction”) illustrates with its Observation genre embedded in a Discussion.

The Narrative genres form a system shown in Figure 4.3 below. They are distinguished by their goals, stages, and social processes, but also by the discourse analysis system of Appraisal. The system of Appraisal is a way by which evaluation occurs through language across an entire text (Martin & Rose, 2007). In its current form, the Appraisal system recognizes three main kinds of evaluation that can be expressed in language: Affect, Judgment, and Appreciation. Affect is the expression of the personal emotions of people; Judgment is the expression of a person’s “character”; and Appreciation is the evaluation of things (Martin & Rose, 2007, p. 29). Each Story genre focuses on a different kind of Appraisal feature, which makes up the distinctions in the genre typology.



*Figure 4.3 Story Genre Family Typology*

In the Kindergarten exemplars, there is one instantiation of the Story family. The text “I Went to Disneand” (“I Went to Disneyland” and henceforth “Disneyland”) is a Recount. A Recount is usually a retelling of a personal experience, and is, crucially, non-complicating. That is, nothing goes wrong in a Recount; they are without a significant conflict or “disruption” (Martin & Roses, 2008, p. 51). This aspect of the Recount represents the social process of the genre; it is enacting a retelling of a sequence of events without a disruption. The goal of this genre and, perhaps, all Story genres is engagement of the audience’s attention, as the entry condition in the typology suggests. The stages of the Recount include the following schematic structure: Orientation^Record^Reorientation. The Orientation establishes the setting and characters; the Record retells the events; the Reorientation establishes either a new setting or returns the characters to the original.

In “Disneyland,” shown in Table 4.2 and revised for spelling, the student shows control over the stages of the genre and the general goal and social process. The use of Material Processes (action verbs), which is a mainstay of all Story genres, generally construes the plot. Because this is a Kindergarten text, the Material Processes are significantly limited, as the student only uses “went” repeatedly to construe the action of the plot. The events are related in (one would think) some kind of sequential order,

although there are no typical Thematic markers of time. Recounts do not focus on any particular part of the Appraisal system, and thus the single instance of Appreciation with the clause, “I had a **fun** vacation” does not distinguish it from other genres; the student has used appropriate linguistic resources to evaluate a particular aspect of the Recount. This text shows the general trajectory of the Story genre family development, as recognized in Christie and Derewianka’s (2008) ontogenesis study. Recounts are the simplest of the Story family, not having a complication nor a particular Appraisal feature to control. In Kindergarten, the exemplar shows, students might begin with the developmentally appropriate Recount genre as a point of departure for gaining control over the whole Story genre family.

Table 4.2 *Genre Analysis of “I Went to Disneyland”*

<p style="text-align: center;"><b>I Went to Disneyland<sup>3</sup></b>  Kindergarten Personal Recount  Appreciation in <b>bold</b>  Material Processes in <u>underlined</u></p>
<p>ORIENTATION  I <u>went</u> to Disneyland</p>
<p>RECORD  and we <u>went</u> through the desert. I had a <b>fun</b> vacation at Disneyland. I saw lots of rides. I <u>went</u> to my house. I <u>went</u> on the Matterhorn. I <u>went</u> on the ferris wheel. I <u>went</u> on a merry-go-round. I <u>went</u> on a pole.</p>
<p>REORIENTATION  I <u>went</u> to my house.</p>

The next instantiations of the Story genre family in the corpus are a pair of Anecdotes, one, “I bot a little cotton ball” (“I bought a little cotton ball” and henceforth

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“Cotton Ball”), from Grade 1, the other, “My first tooth is gone” (henceforth “First Tooth”) from Grade 2. Anecdotes are part of the Complicating set of genres in the Story family; in these genres, something goes wrong (Martin & Rose, 2008). Anecdotes are written to express some kind of emotional reaction to an event and are distinguished from other Story genres by their use of Affect in the final stage of the genre, the Reaction. The staging of an Anecdote includes three stages: Orientation^Remarkable Event^Reaction. The Remarkable Event stage records a significant event where the complication occurs. Following the Remarkable Event is an emotional Reaction to the event, realized through the Affect resource.

In “First Tooth,” shown in Table 4.3, the student writer describes losing their first tooth and the “Tooth Fairy’s” gift of two dollars. The student shows control over a variety of linguistic resources that demonstrate language development. First, the continued use of Affect marks the Reaction stage, with the parents’ facetious “surprised” reaction to the two dollar recompense for the tooth. However, unlike the Recount in Kindergarten, this Grade 2 Anecdote shows the use of several Textual Themes--commonly called “transitions”--that indicate the relationship of one clause to the next. Most notably, the student has acquired an essential linguistic resource for Story genres: Themes of time. The student uses “then” twice to indicate the sequence of events, both in the time period of the story, but also to signal how one clause relates to the other. In comparison, the “Cotton Ball” text, an Anecdote about a child getting a hamster and the joy of holding her new pet, also demonstrates similar linguistic resources. The text, similarly, uses “then” as a Theme of time to sequence events in the Anecdote before using Affect in the Reaction Stage, stating “I **didn’t want to return her** because she was

so soft and cuddly.” These Anecdote exemplars thus show a range of limited linguistic resources appropriate for the developmental stage and for the genre.

Table 4.3 *Genre Analysis of “My First Tooth is Gone”*

<p><b>My First Tooth is Gone<sup>4</sup></b>  Grade 2 Anecdote  Affect in <b>bold</b>  Textual Theme of Time in <u>underline</u></p>
<p><b>ORIENTATION</b>  I recall one winter night. I was four. My sister and I were running down the hall</p>
<p><b>REMARKABLE EVENT</b>  and something happened. It was my sister and I had run right into each other {her}. Boy! did we <b>cry</b>. But not only did I <b>cry</b>, my tooth was bleeding. <u>Then</u> it felt funny. <u>Then</u> plop! There it was lying in my hand. So that night I put it under my pillow and in the morning I found something. It was not my tooth it was two dollars. So I ran down the hall, like I wasn't supposed to, and showed my mom and dad.</p>
<p><b>REACTION</b>  They were <b>surprised</b> because when they lost teeth the only thing they got is 50¢.</p>

As students advance in the elementary grades, they are expected to graduate to a full Narrative, which is the most complex of the Story genre family. The previous Story genres are less complex in that, while they are sequenced in time and some, like the Anecdotes, include a complicating event or events, they do not require resolution of the complication (Martin & Rose, 2008). The Narrative adds the next level of goal complexity by asking the student to resolve the complication introduced in the story. The Narrative genre, perhaps one of the most researched of all genres (c.f., seminal Labov & Waletzky, 1967 and Martin & Rose, 2008, p. 49-51 review), includes a more complex, four-part schematic structure with an optional final stage and the possibility of stage

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recursion (Martin & Rose, 2008). The schematic structure may be described as:

(Abstract)^Orientation^Complication^Evaluation^Resolution^(Coda) (Christie &

Derewianka, 2008; Martin & Rose, 2008). The Abstract provides some thematic preview

to the text; the Orientation provides exposition; the Complication establishes various

conflicts in the text; the Evaluation provides some form of reaction to the Complication;

the Resolution tells about the Complication's eventual ending, and the Coda, like the

Abstract, provides a thematic review of the text (Martin & Rose, 2008; Christie &

Derewianka, 2008). It is worth noting that Rose and Martin (2012) omit the Evaluation

stage of the Narrative genre, possibly to simplify the structure for pedagogical purposes.

The Evaluation stage involves some kind of Appraisal in relation to the Complication

stage. It seems to be collapsed into either the Complication or Resolution stages in Rose

and Martin (2012). Since it is helpful in describing the genre, it is included in this

analysis.

The Grade 3 text "When my Puppys Ranaway" (henceforth "Puppies") is a

Narrative, which demonstrates the Narrative expectation at the the middle-elementary

level. This rise in genre complexity coincides with a marked difference in the CCSS for

the middle elementary grade levels, as shown in Table 4.4.

Table 4.4 *CCSS Narrative Writing Standards for Grade 2 and Grade 3*

Grade 2 Narrative Text Type CCSS	Grade 3 Narrative Text Type CCSS
Write narratives in which they recount a well elaborated event or short sequence of events, include details to describe actions, thoughts, and feelings, use temporal words to signal event order, and provide a sense of closure.	Write narratives to develop real or imagined experiences or events using effective technique, descriptive details, and clear event sequences. a. Establish a situation and introduce a narrator and/or characters; organize an event sequence that unfolds naturally. b. Use dialogue and descriptions of actions, thoughts, and feelings to develop experiences and events or show the response of characters to situations. c. Use temporal words and phrases to signal event order. d. Provide a sense of closure.

Grade 3 introduces the standard of “narrative technique” (NGA & CCSSO, 2010a, p. 20), which may map to more complex Story genres. In the “Puppies” text, the student resolves the complications of the runaway puppies, albeit somewhat unsatisfactorily, as she states simply: “I’ve got over them leaving because mom says we can get 2 new puppies very soon.” This shows limited control over the genre, but still enough control to complete all of the stages of the genre, including the Evaluation stage, as shown in Table 4.5.

Table 4.5 *Genre Analysis of “When My Puppys Ranaway”*

<p style="text-align: center;"><b>When My Puppys Ranaway<sup>5</sup></b>  Grade 3 Narrative  Theme of Time in <u>underline</u>  Clause Complex marked with      Clause boundary marked with   </p>
<p style="text-align: center;"><b>ORIENTATION</b></p> <p>    <u>One night when the air</u> was warm,    my puppy's were sleeping on the back porch.     Me and my sisters were getting ready for bed.     <u>When I</u> was in bed,    I read a chapter from my Nancy Drew book.     <u>When I</u> finished the chapter    I turned out my lamp.     I couldn't go    to sleep.    </p>

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Table 4.5 continued.

<p>    I went into the living room.     I saw my mom    getting ready    to walk out the door.     I asked    "where are you going"?     "Just for a drive"    she replied.     She had a worried expression on her face.    </p> <p>    I knew    something was wrong.    </p> <p>    I thought    maybe if I went outside    and played with my puppies.    I would forget about moms worried expression    and go to sleep.    </p>
<p style="text-align: center;">COMPLICATION</p> <p>    When I opened the back door    I expected my puppies Maggie and Tucker    to jump up on me.     They didn't come at all.     I called,    they still didn't come.    </p> <p>    <u>Now I</u> knew    something was wrong.     I went    and woke up my dad,    he said    moms got it under control    I thought    mom had taken them to the vet    because something was really wrong.     Dad wouldn't tell me anything else.     I went to my room    and cried.     That's all I remembered about that night    because I fell asleep.    </p> <p>    <u>The next day I</u> still worried.     I worried all through school.     <u>When I</u> got home from me    and my mom made a snack for sisters.</p> <p>    I asked my mom,    "So were are the puppies"?     Her eyes started    to fill with tears    as she answered my question with 3 words,    "I don't know,"    </p>
<p style="text-align: center;">EVALUATION</p> <p>    she burst into tears.     So did I.     She hugged me.     "If we never find them    I am sure    they will have a good home.    </p> <p>    I went outside    and sat in moms rocking chair.     I cried some more.     Mom came out    I got up.     She sat down    and motioned me    by waving her hand    to come    and sit on her lap.     I went over    and cried on her shoulder.</p>
<p style="text-align: center;">RESOLUTION</p> <p>    <u>After dinner that night we</u> went looking for them,    we couldn't find them at all.    </p> <p>    My dad after work each day went to the pound    to see    if they had picked them up.     They didn't at all.    </p> <p>    I've got over them leaving    because mom says    we can get 2 new puppies very soon.    </p>



In the “Puppies” text, the student does show their repertoire of language resources has increased in Grade 3, with multiple marked Themes of time and clause complexes that are more sophisticated than the Grade 1 text. The variety of Themes of time has increased. The student uses more than just the “then” present in the Grade 1 text; the presence of “after,” “when,” “next,” and “now” all show increased repertoire of Thematic resources, which the student employs in increasingly sophisticated ways via clause complexing. Clause complexing, or clause combining, is a structural feature of English identified and described in Halliday and Matthiessen (2013). The use of dependent clauses to indicate time sequencing of following independent clauses shows that the student can construct a more complex story, graduating from the unresolved Story genres to the resolved Narrative genre.

The clause complexing and Themes of time occur at Stage boundaries. For example, the Orientation Stage is marked by a clause complex headed by a clause with a Theme of time:

(1) ||| One night when the air was warm, || my puppy's were sleeping on the back porch. |||

In (1), the student writer orients the reader by establishing the time sequencing with a dependent clause that includes a Theme of time: “One night when the air.” The following independent clause, which introduces the characters of the puppies, is thus situated in time by the dependent clause that starts the clause complex. Unlike the more simplistic Grade 1 text, this Grade 3 text shows that student writers can combine clauses to express more complex ideas. The complexing occurs again at a Stage boundary at the beginning of the Resolution, shown in (2).

(2) ||| After dinner that night we went looking for them, || we couldn't find them at all. |||

Although the student does commit a prescriptivist error of comma omission and splicing, the overall structure shows a dependent clause combining with an independent clause, again with the dependent clause headed by a Theme of time to situate the independent clause in some time sequence. The use of marked Themes of time and clause complexing is a regular tool students may use in Story genres to both signal time sequencing and to mark Stage boundaries.

In later elementary, student Narratives become longer, with additional content in each Stage and a variety of new linguistic features to realize new and different meanings. The Grade 4 text “Glowing Shoes” and Grade 5 text “Getting Shot and Living Through It” (henceforth, “Getting Shot”) both exhibit attributes of this developmental stage and provide examples of important generic and linguistic resources. In the “Glowing Shoes” text, the student uses Stage complexing to alternate between the Complication and Evaluation stages, adding more and more complications to develop the Narrative. The Narrative tells the story of a child walking to school in a new pair of shoes that seem to attract cats to him. In Table 4.6, the student writer establishes a Complication, evaluates it, then introduces another Complication to advance the Narrative.

Table 4.6 *Genre Analysis of “Glowing Shoes”*

<b>Glowing Shoes<sup>6</sup></b> Grade 4 Narrative
<p style="text-align: center;"><b>COMPLICATION 1</b></p> <p>As I walked on, I observed many more cats joining the stalking crowd. I moved more swiftly. The crowd of cats' walk turned into a prance. I sped up.</p>
<p style="text-align: center;"><b>EVALUATION</b></p> <p>I felt like a rollercoaster zooming past the crowded line that was waiting for their turn as I darted down the sidewalk with dashing cats on my tail.</p> <p>When I reached the school building . . . SLAM! WHACK! "Meeyow!" The door closed and every single cat flew and hit the door.</p> <p>Whew! Glad that's over! I thought.</p>
<p style="text-align: center;"><b>COMPLICATION 2</b></p> <p>I walked upstairs and took my seat in the classroom.</p> <p>"Mrs. Miller! Something smells like catnip! Could you open the windows so the smell will go away? Pleeaaaaase?" Zane whined.</p> <p>"Oh, sure! We could all use some fresh air right now during class!" Mrs. Miller thoughtfully responded.</p> <p>"Nooooooooo!" I screamed.</p> <p>When the teacher opened the windows, the cats pounced into the building.</p>

The repetition of these genre Stages also illustrates complexing at a higher level of language strata. The ability of language to complex is part of the basic principles of constituency (Halliday & Matthiessen, 2013, p. 9-10), and it has been observed in macrogenres (Martin, 1994; Martin & Rose, 2008) where one genre will follow another in the same text. The Stage complexing occurring in “Glowing Shoes” happens below the

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genre level, further showing that complexing is a general principle at all levels of language. While clause complexing was both a developmental outcome and an expectation in the Grade 2 and Grade 3 stories, Stage complexing, especially the Complication Stage of Narratives, may be seen as an expectation in Narrative development in higher elementary levels.

The “Getting Shot” text, which recalls a child receiving a malaria shot with their friends, exhibits not only Stage complexing, adding more complications throughout the text, but also challenges advice often given in writing instruction. The Orientation stage of “Getting Shot” exhibits many Relational and Existential clauses, often realized through “be” verbs. The common advice in writing instruction advises against overuse of “be” verbs in order to show more action in the text and avoid “weakening” the writing with passive constructions. Indeed, most Narratives are characterized by Material Processes that realize the action of the plot moving forward (Christie & Derewianka, 2008; Martin & Rose, 2008; Rose & Martin, 2012). However, in the Orientation Stage, which may include Phases such as Setting and Description (Martin & Rose, 2008, p. 82), the uses of Relational clauses and “be” verbs to construe exposition is a normal and expected aspect of Narrative writing, as shown in Table 4.7.

Table 4.7 *Genre Analysis of “Getting Shot and Living Through It”*

<p style="text-align: center;"><b>Getting Shot and Living Through It<sup>7</sup></b>            Grade 5 Narrative            Relational Processes in <b>bold</b>            Existential Processes in <u>underline</u></p>
<p style="text-align: center;">ORIENTATION</p> <p>We <b>were</b> in the darkness filled, mountain-top cold, waiting room. We were preparing for the shots of our lives. Getting shots for malaria and more.</p> <p>There <u>were</u> many benches all shoved to the right. It <b>was</b> hard to see the color in the murky dark but it <b>seemed to be</b> some sort of faded brown. The room <b>was</b> big, no huge which <b>gave</b> it all the more reason to be terror bringing. Who knew what would be lurking in the corner! Rats, monsters, anything! There <b>were</b> also doors. Three doors, which <b>were</b> also brown and also faded. One <b>was</b> the way in. Not the way out unfortunately. Another <b>was</b> the way to the other evil places. With the evil hallway and the evil office. The last door <b>was</b> the most evil, The Shot Room.</p> <p>The rest of the room <b>was filled</b> with families. Including my family of five. My five year old self, my three year old brother, and my one year old sister. Then there <u>was</u> my mom and dad. Some of the other children were screeching or crying or not knowing what would happen to them. So they would just be playing. I was in the middle of both. I was playing with fear, playing, knowing what would happen, knowing that the worst moment of my life was coming ever closer. It was like knowing dementors, waiting to take a ride in the Electric Chair.</p> <p>I had had shots before. They <b>were</b> not your best friend.</p>

In “Getting Shot,” the student creates Setting Phases, which establish “identities, activities, [and] locations” (Martin & Rose, 2008, p. 82), with Existential Processes, such as “Then there was my mom and dad,” and Relational Processes. The student also creates Description Phases, which provide “sensual imagery” to establish context (Martin & Rose, 2008, p. 82), with clauses like: “We **were** in the darkness filled, mountain-top cold, waiting room.” These examples show the linguistic tools for fulfilling the Grade 5 Narrative standard: “Orient the reader by establishing a situation and introducing a

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narrator and/or characters; organize an event sequence that unfolds naturally” (NGA & CCSSO, 2010a, p. 20). The use of Relational and Existential Processes--or “be” verbs, primarily--are not as anathema to exemplary writing as current writing instruction would advise. These kinds of verbs serve specific functions within specific genres--in this case, providing exposition in Narratives. Thus, part of the genre and linguistic expectations for Narratives includes the appropriate use of “be” verbs to construct exposition in the Orientation of Narratives and other Story genres.

The final major instantiation of the Narrative genre in Appendix C is the Grade 8 “Miss Sadie” text. “Miss Sadie” tells the story of a (presumably) white girl’s friendship with an older, African-American woman one summer. The older woman develops Alzheimer’s disease and can no longer remember the child, which saddens the narrator. The story concludes with a remembrance of all that the older woman taught the girl. This text was previously analyzed in Maune and Klassen (2014), and this analysis builds off of and revises some of its conclusions. As has been shown, the early and middle elementary grades focus largely on developing from simple, non-complicating Story genres to Narratives to even more sophisticated Narratives, with complexing occurring at the sentence and Stage level. A variety of resources have been described, from marked Themes of time used to sequence events to Relational and Existential clauses used to establish the Orientation Stage. The “Miss Sadie” text, shown in Table 4.8 represents, to some degree, the pinnacle of expectations for schooling Narratives.

Table 4.8 *Genre Analysis of “Miss Sadie”*

<p><b>Miss Sadie<sup>8</sup></b>  Grade 8 Narrative  Mental Processes in <b>bold</b>  Verbal Processes in <u>underline</u></p>
<p>ABSTRACT</p> <p>Miss Sadie no longer sits in her rocking chair on her porch on summer days. But I still can <b>see</b> her, the old chair squeaking with every sway of the big, brown body. Her summer dresses stained from cooking her sweet smelling kitchen. I <b>see</b> her gray hair pulled back in that awful yellow banana clip. Most of all, I <b>hear</b> that voice. So full of character and wisdom.</p>
<p>ORIENTATION</p> <p>I used to bring Miss Johnson cookies every summer day of 1988. I miss the days here I would sit on that shabby old porch and listen to her stories, "Mellisa!" She would <u>holler</u>. "What 'chu doin' here?" Come <b>see</b> me and my poor self, have ya?"</p>
<p>COMPLICATION 1</p> <p>She once <u>told</u> me of her grandmother who <b>escaped</b> slavery, back when white men could only do anything, she would <u>say</u>. Her grandma ran for miles without food or water. It wasn't too long before her master came looking for her and took her home to whip her.</p>
<p>EVALUATION</p> <p>I <b>thought</b> of how Black are treated today. I sighed. She would sing in her soulful, blaring voice, old negro hymns passed down from her mother and grandmother. I would sit there in amazement.</p>
<p>COMPLICATION 2</p> <p>Once, Jimmy Taylor came walking by us yellin, "Melissa! Whattaya <b>want</b> with that old, fat, Black lady, anyways?"</p>
<p>EVALUATION</p> <p>Before I could retaliate, Miss Johnson <u>said</u> to me, "Now you mustn't. We must <b>feel</b> sorry for that terrible child. His mother must have done gone and not taught him no manners!"</p>
<p>RESOLUTION (temporary)</p> <p>She actually <b>wanted</b> me to bow my head and pray for him. (Even though I went to his house and punched him out the next day.)</p>

<sup>8</sup> Copyright 2010 California Department of Education. Used with permission.

Table 4.8 continued.

COMPLICATION 3
My friends would tease me for spending the whole summer with Sadie Johnson, "The cuckoo of Connecticut" they called her.
EVALUATION
But I'm so very glad I did.
RESOLUTION (temporary)
She taught me then, to not care what other people <b>thought</b> . I learned that I could be friends with someone generations apart from my own.
COMPLICATION 4
My visits became less frequent when school started. I had other things to <b>think</b> about. Boys, clothes, grades.
EVALUATION
You <b>know</b> , real important stuff.
COMPLICATION 5
One day I was <b>thinking</b> , I haven't <b>seen</b> Miss Sadie in a while. So after school I trotted up to her house amidst the twisting, autumn leaves.
I rang her bell. The door cracked open and the woman adjusted her glasses. "May I help you?"
"Miss Sadie, it's me, Melissa."
"I-I" she'd <u>stuttered</u> . "I don't <b>remember</b> ", she <u>said</u> and shut the door. I <b>heard</b> crying. I rang the door again and she <u>screamed</u> , "Please leave!" in a scared, confused voice.
I went home bewildered and my mother <u>told</u> me to stop <u>bothering</u> Miss Sadie. I <u>said</u> I wasn't <u>bothering</u> her. Mama said, "Miss Johnson has a disease. Alzheimer's disease. It makes her <b>forget</b> things...people, family even. And so, I don't <b>want</b> you over there anymore, you hear?"
EVALUATION
Then, I didn't realize or comprehend how someone so special to you could forget your own existence when you'd <b>shared</b> a summer so special and vivid in your mind.



Table 4.8 continued.

<p style="text-align: center;">RESOLUTION</p> <p>That Christmas, I went to bring Miss Johnson cookies. She wasn't there. I learned from a family member that she was in the hospital and that she'd die very soon. As the woman, a daughter maybe, spoke, my heart broke.</p> <p>"Well, you make sure she gets these cookies," I <u>said</u>, my voice cracking and tears welling in my eyes.</p>
<p style="text-align: center;">CODA</p> <p>Today, I've learned to <b>love</b> old people. For their innocence, for their knowledge, I've learned to always treat people with kindness, no matter how cruel they may seem. But mainly I've learned that you must cherish the time spent with a person. And memories are very valuable. Because Miss Sadie no longer sits in her rocking chair on her porch on summer days. I'm glad that I can still <b>see</b> her.</p>

The “Miss Sadie” text features more complexing than the other Narratives, is significantly longer at 653 words (compared to the others which reached a maximum of 497 words), and features a variety of linguistic resources to realize the various complex meanings of the text. One of the more significant features of the text is its significantly higher number and several uses of Mental (thinking, feeling, and perceiving verbs) and Verbal Processes (saying verbs). In “Miss Sadie,” the student writer uses Mental Processes to generally provide insight to the characters’ thoughts and feelings, as a means of characterization, as seen in sentences like: “She actually **wanted** me to bow my head and pray for him.” However, in the Abstract and Coda, the use of the Mental Processes serves to realize the action of recalling images of Miss Sadie. The act of remembrance is a major theme in the story, and thus the Mental Processes of “seeing” and “hearing” contribute to constructing the story’s theme in these Stages. The use of these verbs is also significant because it involves some level of metaphor. While normally “see” and “hear”

construe the physical perception of sight and sound, these verbs metaphorically map to thought rather than perception, showing that more complex linguistic tools are expected at higher levels in Narrative texts.

The use of Verbal Processes is characteristic of advanced Narratives and helps the students meet the expectations of the Grade 8 writing standard for Narrative: “Use narrative techniques, such as dialogue, pacing, description, and reflection, to develop experiences, events, and/or characters” (NGA & CCSSO, 2010a, p. 43). In “Miss Sadie,” the student writer has employed not only the prototypical “said” to construct dialogue, but also Verbal Processes inflected for Affect in the use of “stuttered” and “screamed.” This increased variety of linguistic resources and conscious effort to construe Affect through dialogue tags further develops the complex web of language expectations for students writing Narratives.

This analysis of Story genres in the CCSS Appendix C includes two notable omissions. First, the discussion of Material clauses is almost entirely absent, although Material clauses are significantly featured in the texts and help the students to construe the plot. However, analysis of Material clauses in schooling Story genres has been more than adequately addressed in previous research (c.f., Christie & Derewianka, 2008; Martin & Rose, 2008; Rose & Martin, 2012) and their use in these texts does not significantly differ from previous research. Secondly, one Story genre occurs in a later text--the Grade 12 text, “Fact vs. Fiction and All the Grey Space in Between” (NGA & CCSSO, 2010b, p. 89-91). In this text, an Observation is embedded within a Discussion, thus making the text a Macrogenre. This Observation embedding will be discussed in Chapter Six.

In summary, the schooling Story genres of the CCSS demand a significant amount of sophisticated genre knowledge and language resources for mastery as students develop. The general developmental trajectory follows the ontogenetical argument presented in Christie and Derewianka (2008), where early childhood writers learn simple, non-complicating Personal Recounts before graduating to complicating genres, like Anecdotes, in early and middle elementary. In later elementary, students begin to work on and refine their control over the complicating and resolved genre of Narrative, with even more complex linguistic expectations at the junior high and high school levels. A summary of the genre and linguistic expectations is presented in Table 4.9. The expectations here are based on what is attested in the corpus and this analysis, although, as stated before, they do not represent the full range of expectations for Story genres.

Table 4.9 *Summary of Genre Expectations for Story Family*

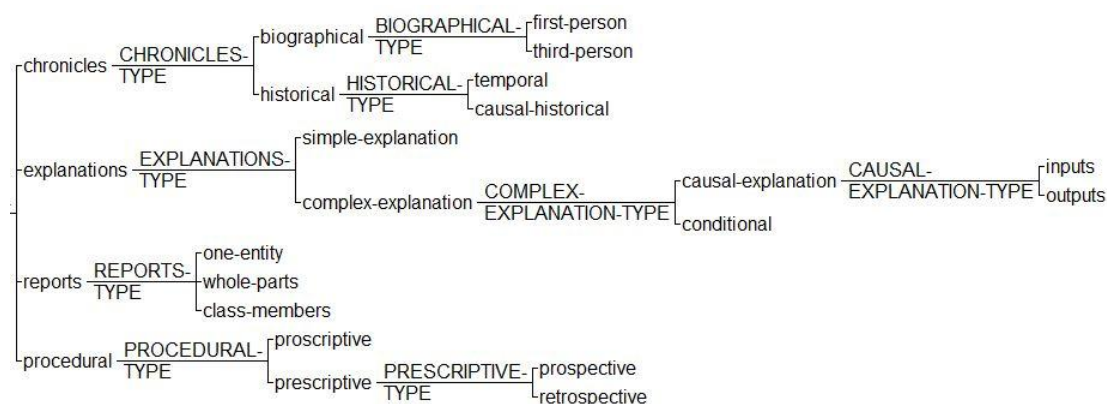
Grade Level	Genre & Staging Expectations	Exemplars in Appendix C	Language Expectations
Kindergarten	<b>Personal Recount</b> <i>Orientation</i> <i>Record</i> <i>Reorientation</i>	<b>Personal Recount</b> “I Went to Disneand” (p. 9)	<ul style="list-style-type: none"> <li>Doing verbs (Material processes) to realize plot.</li> <li>Emotional words (Appraisal resources) to evaluate characters, events, and share emotional reactions.</li> </ul>
Grades 1-2	<i>All of the above, and...</i> <b>Anecdote</b> <i>Orientation</i> <i>Remarkable Event</i> <i>Reaction</i>	<b>Anecdote</b> “I bot a little cotton ball” (p. 13) “My first tooth is gone” (p. 17)	<i>All of the above, and...</i> <ul style="list-style-type: none"> <li>Transitions to sequence events (Themes of time)</li> <li>Dependent clauses to situate events in time (clause complexing)</li> </ul>
Grades 3-8	<i>All of the above, and...</i> <b>Narrative</b> <i>(Abstract)</i> <i>Orientation</i> <i>Complication</i> (may repeat in Grades 4-8) <i>Evaluation</i> (may repeat in Grades 4-8) <i>Resolution</i> (may repeat in Grades 4-8) <i>(Coda)</i>	<b>Narrative</b> “When my Puppys Ranaway” (p. 22) “Glowing Shoes” (p. 27) “Miss Sadie” (p. 52)	<i>All of the above, and...</i> <ul style="list-style-type: none"> <li>“Being” and “having” verbs (Relational &amp; Existential Processes) to establish setting and provide description in Orientation Stage</li> <li>Perceiving, thinking, and feeling verbs (Mental Processes) to provide insight to characters and develop themes</li> <li>Saying verbs (Verbal Processes) to construct dialogue and express emotions</li> </ul>
Grades 9-12	<i>All of the above</i> Story genres embedded in <b>Macrogenre</b> texts	<b>Observation (embedded)</b> “Fact vs. Fiction and All the Grey Space in Between” (p. 89)	<i>All of the above</i>

## CHAPTER 5. GENRE AND LANGUAGE EXPECTATIONS OF INFORMING GENRES

### 5.1 Informing Genres

The Informing genres, which generally map (with a few exceptions) to the Informative/Explanatory text types of the CCSS, include four genre families: Chronicles, Explanations, Reports, and Procedures. Each family is represented in some form in the corpus, although the grade levels vary widely. When counting text types, the Informative/Explanatory type accounts for 50% of the corpus texts, again reflecting their relative importance to the CCSS as a whole. The genre developmental trajectory is not nearly as established in the corpus as the Story genre trajectory, and thus the ontogenesis established by Christie and Derewianka (2008) can only serve as a rough guide to the expectations for the CCSS. This marked difference is significant in distinguishing the U.S. and Australian genre developmental expectations.

The Informing genres, shown in brief in Figure 5.1, include genre families that are often subject specific.



*Figure 5.1* Informing Genre Order Typology

Chronicles are often written in English class, as in the case of Biographies, or History class, as in the case of Historical Recounts and Accounts. Explanations and Reports are staples of Science and History as well. The Procedural genres are represented as part of Science and Industrial Technology, although they may occur in other classes as well. This analysis will focus on one family at a time, examining major instantiations of the genres in each family.

## 5.2 Chronicles Analysis and Discussion

In the Informing entry condition, the first node of Chronicles, which is topologically related to the Stories family through time sequencing, among other features, includes genres such as the Autobiographical Recount, Biographical Recount, Historical Recount, and Historical Account. The sole member of the Chronicles family represented in the corpus is the Historical Account, instantiated in two texts: the Grade 9 “Untitled essay on civil disobedience in India” (NGA & CCSSO, 2010b, p. 64; henceforth “Civil Disobedience”) and the Grade 12 “In the Wake of the Spanish Lady: American Economic Resilience in the Aftermath of the Influenza Epidemic of 1918” (NGA & CCSSO, 2010b,

p. 80-86; henceforth, “Spanish Lady”). The Historical Account is characterized by the following schematic structure: Background^Account (Martin & Rose, 2008). The Background stage provides sufficient exposition of the locations and people involved to explain the Account stage, which occurs in phases of activity (Martin & Rose, 2008). In a Historical Account, a student writer moves beyond simple time-sequenced retelling of historical events to the goal of establishing causal relationships between events.

Because the Historical Account in “Spanish Lady” is part of a larger, Macrogenre text that features more prominently a Consequential Explanation, its analysis is treated in the section on Explanations. The “Civil Disobedience” text, which itself only realizes a Historical Account, is a relatively short text<sup>9</sup> that establishes causal relationships between Gandhi’s “civil disobedience” and the independence of India (NGA & CCSSO, 2010b, p. 64). This causal relationship is established, as previous research by Halliday (1994) and Martin (1992) has shown, through causal reasoning within the clause. For example, the student writes in (3):

(3) Gandhi *led* India to **independence** *by using civil disobedience and non-violent resistance*. (NGA & CCSSO, 2010b, p. 64, causal relationship in italics; grammatical metaphor in bold)

In (3), the student creates a causal relationship between Gandhi and India’s independence through the Material Process “led.” This use of Material Processes is a common means of causal reasoning in History classes in the U.S. (de Oliveira, 2006). This suggests one of the linguistic resources expected of students in History writing by the CCSS is the use of reasoning within clauses via various Processes--in this case, Material Processes.

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<sup>9</sup> The full text of “Untitled essay on civil disobedience in India” is not reproduced here due to copyright restrictions. It can be read on page 64 of Appendix C.

The sentence in (3) also illustrates another linguistic resource frequently used in Historical Accounts--namely, grammatical metaphor. One of the principles of SFL is that the relationship between the structure of language and the system of language is normally congruent. This means that when a writer wants to express some kind of action or state, they use a verb. When they want to identify a person, place, or thing, they use a noun, and so forth. This is a congruent relationship: the meaning and the part of speech match. But in grammatical metaphor, the meaning and the part of speech don't match (Halliday, 2003). In (3), the grammatical metaphors of “**independence**,” “**civil disobedience**,” and “**non-violent resistance**” are nouns that are describing actions and properties. These grammatical metaphors are revealed in the English morphology of -ence and -ance endings, which are derivational morphemes that change the grammatical category of the root into a noun--a process called “nominalization.” In this case, the adjective “independent” becomes a noun “independence.” The verb “disobey” becomes a noun “disobedience.” And the the verb “resist” becomes “resistance.” In normal speech, these ideas might be conveyed congruently through longer clauses, such as shown in (4).

(4) Gandhi led India to **become independent** of the British by **civilly disobeying** unjust laws and **non-violently resisting** the British colonial government  
(congruent expressions in bold).

The act of grammatical metaphor in (3) allows the student writer to condense ideas into shorter expressions and to create causal relationships by nominalizing actions and properties (Schleppegrell, 2004).

The general use of nouns as Participants in Material clauses of cause is not restricted to nominalized Processes and properties, but also includes the use of mass and



collective nouns. The student writer uses collective nouns such as “India,” “all of India,” and “Britain” to refer to the nation states and the people of those nation states that function as Participants in the causal sequence of events that led to an independent India. Again, previous research has demonstrated that the use of nominalization and collective nouns is part of writing in History classes in the U.S. (de Oliveira, 2006) and part of the Historical Account genre in general (Halliday 1994, Martin, 1992).

In summary, the expectations for the CCSS in the Chronicles family of genres are relatively slim. The “Civil Disobedience” essay is only 173 words long, and this is the only instance of the family in the corpus. However, the Historical Account genre is well-represented and the generally attested linguistic features of the genre show that intra-clausal reasoning through Material Processes, collective nouns, and nominalization are general language expectations for students, most likely to be used in history classes. Perhaps most notable about this genre family is the genres that are absent in the corpus--Biographical Recount, Autobiographical Recount, and Historical Recount. These genres, mostly written in History and English classes, certainly fall within the Informative/Explanatory text type, but are not mentioned in Appendix A, where possible genres of each text type are delineated (NGA & CCSSO, 2010c, p. 23). While this absence does not preclude these genres, the general lack of model guidance for these genres is concerning, especially since only one other instance of pure history writing occurs in the corpus--the Grade 12 text “Spanish Lady” (NGA & CCSSO, 2010b, p. 80-86). A few others, such as the “My Big Book on Spain” (NGA & CCSSO, 2010b, p. 11) cover general social studies topics of geography, but not history. Thus, unlike the Story family, which has a clear developmental trajectory for students, with models of simpler

genres graduating to more complex genres in later grades, the subject of History has only two instances of model writing, and they both represent advanced genres, with no pathway genres of Biographical Recount or Historical Recount at lower grades to bridge the students' understanding of the expectations. This gap in the genre developmental trajectory will be discussed in depth in Chapter Seven.

Table 5.1 *Summary of Genre Expectations for Chronicles Family*

Gray areas are NOT attested in Appendix C. The recommendations are based on previous research from Brisk (2014), Christie and Derewianka (2008), Martin and Rose (2008), Rose and Martin (2012), and Schleppegrell (2004)			
Grade Level	Genres and Staging Expectations	Exemplars in Appendix C	Language Expectations
K-5	<b>Autobiographical Recount</b> <i>Orientation</i> <i>Record of Stages</i>  <b>Biographical Recount</b> <i>Orientation</i> <i>Record of Stages</i>		<ul style="list-style-type: none"> <li>Time sequencing words (Themes of time) (see Narrative family)</li> <li>Proper nouns (specific Participants) to describe the people and places of the Recount</li> </ul>
6-8	<i>All of the above, and...</i> <b>Historical Recount</b> <i>Background</i> <i>Record of Stages</i>  <b>Historical Account</b> <i>Background</i> <i>Account</i>		<i>All of the above, and...</i> <ul style="list-style-type: none"> <li>General nouns (Participants) to talk about large groups of people, states, or institutions</li> </ul>
9-12	<i>All of the above</i>  Chronicles embedded in Macrogenre texts	<b>Historical Account</b> Untitled essay on civil disobedience in India (p. 64)  <i>Embedded in larger text</i> “In the Wake of the Spanish Lady: American Economic Resilience in the Aftermath of the Influenza Epidemic of 1918” (p. 80)	<i>All of the above, and...</i> <ul style="list-style-type: none"> <li>Explaining causes and effects within a sentence using doing verbs (Material Processes) and general or collective nouns (Participants)</li> <li>Condensing information by turning actions and properties into nouns (Nominalization and other grammatical metaphor)</li> </ul>

## 5.2 Explanations Analysis and Discussion

The Explanation family of genres involves describing sequences of events, usually in the subjects of Science and History. The Explanation family includes genres such as Sequential Explanation, Factorial Explanation, Consequential Explanation, and Conditional Explanation. This genre family is represented in the corpus with a relatively clear developmental trajectory, although there are fewer instances of this family (which is attested in Rose & Martin, 2012, p. 40 as well) than other families like the Story family. The Explanations in the corpus include two texts: “Fraggs (Frogs)” (NGA & CCSSO, 2010b, p. 7) and “Spanish Lady” (NGA & CCSSO, 2010b, p. 80-86). The “Frogs” text is a Kindergarten text in the Sequential Explanation genre; the “Spanish Lady” text is a Grade 12 text in the Consequential Explanation genre and was published in the *Concord Review*, which focuses on History writing from Anglophone high school students (“About,” 2016).

The “Frogs” text serves as an instance of the pathway genre, Sequential Explanation. A Sequential Explanation, and all Explanation genres, have a similar schematic structure: Phenomenon^Explanation. The Phenomenon Stage identifies and generally characterizes some process to be described; the Explanation Stage delineates the steps in the process and the relations between the steps in that process (Rose & Martin, 2012). A Sequential Explanation, as a pathway genre, is simpler than the other genres in that it does not focus primarily on causal relations between the steps, but instead focuses on relaying a simple time-sequenced series of events. It is then appropriate that the Sequential Explanation occurs in early childhood, as it draws on less complex linguistic resources than other Explanation genres.

The “Frogs” text, shown in Table 5.2, is a Sequential Explanation that describes the student’s observations of tadpoles in the classroom science center transforming into frogs. It is a prototypical Sequential Explanation in some ways, but illustrates the developmental resources of Kindergarten in its general limited vocabulary for realizing time sequencing. As first shown in the Anecdotes in Chapter Four, the Themes of time play a role in organizing the events of the text in chronological order. In “Frogs,” the Themes of time “before,” “when,” and “then” are used to indicate the order of events for the tadpoles’ transformation into frogs. Thus the linguistic expectations of Sequential Explanations in elementary coincide with the linguistic explanations of Story genres in this respect, allowing for scaffolding from one genre family to another.

However, one area where the Story genre family and the Explanation genre family differ is their realization of Participants. In Story genres, Participants are generally singular characters, referred to by name or pronouns. In Explanations, the use of collective nouns begins to occur more frequently. In this student’s text, The use of collective nouns may be seen as occurring in two ways: to refer to the specific tadpoles/frogs in their science center and to refer to the general animal of frogs and their characteristics. It is entirely possible to extrapolate too much from the Kindergartner’s writing, as it is marked by invented spellings (the text in Table 5.2 is a translation) and lack of control over some aspects of English grammar. But the student shows control over some inflectional morphology by adding the -s to “frog” in several instances and using the irregular past tense markers in “*had*,” “*read*” and “*laid*.” It is entirely possible to read this text as a general lack of control over the inflectional morphology, and thus read all of the Participants as referring to the specific tadpoles/frogs in the student’s

science center. However, the consistent use of the present tense verbs suggests that the student, because of the background reading on frogs mentioned in the Phenomenon stage, is starting to utilize collective nouns to talk about frogs in general as well. Thus, this text may suggest that one expectation of Sequential Explanations in the CCSS is the use of collective nouns to talk about kinds of things, rather than just specific things. At the Kindergarten level, this kind of abstraction is rare in student writing in the corpus, but it is certainly a possibility given that this is an exemplary text.

Table 5.2 *Genre Analysis of “Frogs”*

<b>Frogs</b> <sup>10</sup> Kindergarten Sequential Explanation Themes of time in <u>underline</u> Selected Participants in <b>bold</b> Material Processes in <i>italics</i>
<b>PHENOMENON</b> <u>Today before</u> we had reading groups, Mrs. John <i>read</i> us a story about <b>frogs</b> . We had to <i>write</i> about <b>frogs</b> . We have <b>a tadpole</b> in the science center. <b>It</b> has two back legs,
<b>EXPLANATION</b> and <u>when</u> <b>it</b> has two front legs, its tail <i>disappears</i> and it cannot <i>eat</i> when its mouth is <i>changing</i> . <u>Then</u> the skin gets too little and <b>the frogs</b> <i>pull</i> off their skin and they <i>eat</i> it. <b>Some of the frogs</b> <i>blow</i> bubbles. <b>Frogs</b> <i>laid</i> eggs that look like jelly and the fish <i>eat</i> some but <b>some</b> <i>hatch</i> into tadpoles. <b>It</b> <i>grows</i> bigger and bigger and bigger.

Finally, the student uses the hallmark of the Explanation genre--Material processes, or doing and happening verbs (Martin & Rose, 2008; Schleppegrell, 2004). These Material Processes construe the action of the change occurring in the Phenomenon. At the Kindergarten level, the student’s Process vocabulary seems quite advanced, as befits an exemplar text. Material Processes like “*disappears*” and “*grows*” shows that the student

<sup>10</sup> Copyright 2010 National Center on Education and the Economy on Behalf of New Standards. Used with permission.

can talk about activities that just happen with intransitive verbs; Material Processes like “*pull*,” “*eat*,” and “*blow*” show the student can also discuss activities where there is some agency with transitive verbs and relevant Actors and Goals. Thus, the student shows through grammatical choices how the tadpole transformation into a frog involves both the passive experience of the tadpole “changing” and “growing,” but also the active participation of the frog in their own transformation, with clauses like “**the frogs** *pull* off their skin” and “**Frogs** *laid* eggs.” In these examples, “**frogs**” serve as the Actors in transitive Material clauses. The use of Material Processes in Explanations pervades all of the Explanation genres; the “Frogs” text exemplifies fairly well the general functions of these verbs in the genre.

The second Explanation in the corpus is the Grade 12 “Spanish Lady” text shown in Table 5.3. It instantiates a Consequential Explanation with an embedded Historical Account serving as the Phenomenon. A Consequential Explanation describes a process and connects the steps in the process through a consequential relationship; that is, it describes a Phenomenon, and then Explains the effects of that Phenomenon. In “Spanish Lady,” the student writer describes the two waves of the Spanish flu in 1918 in the U.S. and then explains the medical and economic consequences of those outbreaks on the U.S. social and economic systems. This text is one of the most complex in the corpus and demonstrates a variety of genre and linguistic expectations for students to understand and show.

Table 5.3 *Genre Analysis of “In the Wake of the Spanish Lady: American Economic Resilience in the Aftermath of the Influenza Epidemic of 1918*

<p style="text-align: center;"><b>In the Wake of the Spanish Lady: American Economic Resilience in the Aftermath of the Influenza Epidemic of 1918<sup>11</sup></b>            Grade 12 Consequential Explanation[[[Historical Account]]]Consequential Explanation            Material Processes in <i>italics</i>            Participants in Material clauses in <u>underline</u>            Themes in grey highlight</p>
<p style="text-align: center;">PHENOMENON            [[[Historical Account]]]            BACKGROUND</p> <p style="text-align: center;">1</p> <p>America in the years <i>leading up to 1918</i> was as confident in its medical ability as it had ever been. In only one century, it had seen the successful vaccination, containment, or cure for the notorious menaces of smallpox, anthrax, rabies, meningitis, typhoid, malaria, yellow fever, diphtheria, cholera, and tetanus. Due to the new strides in bacteriology, germ theory, and sanitation, as well as new methods <i>devised to control food</i>-, water-, and insect-borne diseases, <u>Americans</u> were <i>experiencing an era of unprecedented health</i>. Whereas in all previous wars, <u>more American soldiers</u> were <i>lost to disease</i> than in action, American troops in World War I <u>saw an all-time low</u> in the number of deaths due to disease. Army camp inspections, <i>carried out by William Henry Welch</i>, the respected doctor and assistant to the <u>Army Surgeon General</u>, revealed that, though camps were overcrowded, “the health of the army proved to be as good as any reasonable doctor could expect.” <u>Unfortunately, the new light that had been shed on disease control</u> did not <i>apply</i> to air-borne viruses. Because neither antibiotics nor a way to control <u>the spread of air-borne diseases</u> had been <i>invented</i> yet, America was as vulnerable to the deadly grip of influenza <u>that would befall it</u> in 1918 as <u>Medieval Europe</u> had <i>been</i> to the Bubonic Plague of the 14th century.</p> <p style="text-align: center;">2</p> <p><u>More people</u> <i>died</i> of the Spanish Flu in the 10 months that <u>it devastated the world</u> than had <i>died</i> of any other disease or war in history. <u>A commonly cited estimate of deaths</u> is 21 million worldwide, yet prominent demographer Kingsley Davis estimates that <u>the disease killed approximately 20 million</u> in the Indian subcontinent alone. <u>The actual number of deaths</u> will never be known, but the modern estimate is somewhere between 50 and 100 million. If an equal percentage of the world population died today, that would be close to 2 billion victims. <u>A bare minimum of 550,000 Americans, or .5 percent of the American population,</u> <i>died</i> in the apocalyptic pandemic. Yet, due to some historical and demographic particulars of the 1918 flu, <u>the American economy—which nearly collapsed in some areas during the outbreak—</u>was not <i>crippled</i> in any lasting way.</p>

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Table 5.3 continued.

<p style="text-align: center;">3</p> <p>The flu is not generally thought of as a killer. <u>Instead, it is perceived as a pesky annual virus, slightly more troublesome than the common cold, but nothing serious. In reality, the average yearly flu is an extremely virulent disease, infecting anywhere from 30 to 60 million Americans annually, of whom about 36,000 die (usually the very old or the very young.) It mutates so frequently that humans are never fully immune to it, so a yearly vaccine must be produced to counteract it, whereas most viruses require only one vaccination in a lifetime.</u> The killer flu of 1918, <u>dubbed the Spanish Flu or the Spanish Lady</u>, was a particularly deadly mutation of this influenza virus. <u>In comparison to the .1 percent of infected who die of the annual flu, it killed 2.5 percent of those who contracted it. This mutation had a propensity to cause pneumonia, untreatable at the time, and clogged its victims' lungs with bloody sputum until their faces turned dark purple and they died of suffocation.</u></p>
<p style="text-align: center;">ACCOUNT</p> <p style="text-align: center;">4</p> <p>The origins of the Spanish Flu are uncertain, <u>but most experts believe that the first wave in the U.S. emerged in Fort Riley, Kansas, on March 11, 1918, when one of the men came down with a milder form of the mysterious illness. As of the next day, 414 soldiers had contracted the virus, and by the end of the week at least 500 were sick. In total, 48 men died from the first influenza-pneumonia strain by the time it had run its course in the camp—too low a number to merit any concern in the medical community in 1918. Even though the virus struck at least 13 other military camps, there was sparse evidence that civilians were similarly affected, and, besides, disease was a fact of life in any military camp. So, little attention was directed to the budding pandemic. America instead focused on the new draft calls, the war in Europe, the suffragette movement, and the Bolshevik tumult in Russia, while ignoring the mild outbreak of a hard-to-identify flu.</u></p> <p style="text-align: center;">5</p> <p>As expected, <u>the flu subsided quickly with a forgettable number of casualties. Unforeseen, however, was the deadlier second wave that would emerge that August to explode in September with unprecedented virulence. Influenza viruses thrive in cold, dry weather, which is why flu season tends to be during the winter. The fact that it exploded like it did in August, which is neither cold nor dry, makes this flu remarkable. The epidemic first struck Camp Devens, an overcrowded military camp thirty miles from Boston, on September 8 after brewing in Europe for about a month. From there, it spread to the rest of the United States in an unsettlingly erratic manner, hitting most of the East coast, then some of the Midwest and the Gulf Coast region, then the West coast, and ultimately striking the interior. Although at times slow in reaching certain regions, the Spanish Flu was horrifyingly thorough in its damages.</u></p> <p>[[[Historical Account]]]]</p>

Table 5.3 continued.

EXPLANATION
<p style="text-align: center;">6</p> <p>Nearly every city in the United States was <i>affected</i> economically by the flu in the short-term. In many places, the workforce was paralyzed because 21-to-29-year-olds suffered the greatest casualties. So many people died at uncommonly young ages that the average life expectancy dropped 12 years, from 51 in 1917 to 39 in 1918. Whether or not the infected had been young, healthy, and robust prior to contracting the flu was of little consequence. The military, which consisted of a particularly young, healthy, and robust demographic, was hit the hardest of any social group in America: 40 percent of the Navy and 36 percent of the Army developed the flu in 1918. With victims' average age being 33, the volume of death claims by flu victims blind-sided the life insurance companies. One life insurance company handled \$24 million worth of unanticipated death claims for 68,000 deaths. The fact that the majority of victims were in the prime of their lives defied actuarial projections, confusing insurance companies, destroying families, and disrupting the economy at large.</p>
<p style="text-align: center;">7</p> <p>In the most severe stages of the flu, the “essential services” of cities verged on collapse as policemen, firemen, garbage collectors, telephone operators, and even the doctors, nurses, and social workers who were struggling to fight the flu, were absent from work. The Bureau of Child Hygiene strove to handle an overwhelming population of orphans as the fathers and mothers of America, those in the most vulnerable age-range, were decimated by influenza. Employment standards plummeted, the only requirement in some places being “two hands and willingness to work.” Worst off of any “essential service” were the processors of the dead. As morgues filled up, in some places with bodies stacked three and four high, corpses accumulated in the streets, spreading bacteria and the residual influenza virus. In some situations, the dead were left untended, festering in their homes for days. The primary emergency during the flu was in these “essential services,” which could not have held out much longer than they did. While those services continued functioning, even at a minimal level, the rest of the economy was able to rebound to normal capacity within three years, the “Roaring Twenties” as evidence of this resilience. Despite the chaos, the nation persisted.</p>
<p style="text-align: center;">8</p> <p>In “The Review of Economic Statistics” of December 1919, the year 1919 was deemed a “year of readjustment,” one in which the United States was healing from the tensions of 1918. According to the article, in 1918, “industries were straining their energies to meet the unusual demands occasioned by the war,” yet it should be noted that the strain was also partially due to the Spanish Flu. In one county in West Virginia, during the fall of 1918, the three months of flu had left 6,000 ill, of whom 500 died. This sapped the county economy to near-collapse as 80 percent of the labor force fell ill. Coupled with the large population overseas for the war, situations like this compromised cities across the nation, especially with Surgeon General of the Army William Crawford Gorgas shipping thousands of America’s fittest young doctors and nurses to Europe, where he believed they were most necessary. The doctors and nurses who continued to serve at home, like many of the civilians who remained, were generally too old, or too young, or too disabled to adequately respond to the Spanish Flu.</p>

Table 5.3 continued.

9

When the epidemic *reached* cities with a deficient work force and incompetent, sparse medical care, the critical damage to the economy was *compounded* by restrictive public health ordinances. In an effort to *restrict exposure* to the virus, the Surgeon General had *issued* public health ordinances that *prohibited* most public gatherings and required gauze masks to be *worn* at all times. In Philadelphia alone, it is estimated that theaters, cinemas, and hotels *lost* \$2 million to the flu from the ordinances, while saloons *lost* \$350,000. These ordinances *turned out to be* fairly pointless: *even in places that strictly adhered to the recommendations of the Surgeon General* the case and death rates were no lower than those in lenient cities. On a smaller scale, tobacco sales *dropped off* about 50 percent in places that strictly *required* cotton face masks because men could not *smoke* while *wearing* masks. These masks *turned out to be* completely ineffective, because the weave of the gauze *proved* too porous to *stop* a virus, usually a tiny sphere with a diameter of about 1/10,000 of a millimeter. The futile public health ordinances and gauze masks temporarily *damaged* business during the flu crisis, yet the economy *rebounded*.

10

When contagious diseases *attack* a society, it *tends to hit* the poorest sector of economy the hardest. One of the reasons for this is that they are more prone to *infect* people who have cramped living quarters, poor hygiene, inadequate water and food supplies, and exposure to parasites—some of the consequences of poverty. Because the working class would be disproportionately affected by disease, the work force would be disproportionately affected by disease, the work force would be disproportionately *diminished* in the lowest-paying, most essential jobs during an epidemic. By contrast, the Spanish Flu, being an air-borne disease (and thus not preventable through good hygiene and health), *affected* all sectors of the economy equally. It killed vast numbers of people, but, as noted by historian Alfred W. Crosby, it “*ignored the differences between rural and urban, patrician and peasant, capitalist and proletarian, and struck them all down in similar proportions.*” Because it was so unbiased in its selection, no social hierarchies were *overturned*, nor were any particular divisions of employment gutted of laborers. Influenza’s only prejudice was that it *ravaged* the young, healthy age-range—something fairly irrelevant to economic status—and thus the only long-term economic imbalance was proportional: there were fewer people to *work* and fewer people *sharing* in the wealth.

Table 5.3 continued.

11

Although the Spanish Flu killed a lower percentage of the population than *it affected* and *lasted* for a shorter period of time, the economic benefits of the epidemic can be compared to those of the Black Death. One of the peculiar positive effects of the Black Death, *according* to historian Norman Davies, was that *it marked* “the decisive point in the decline of the feudal system in Western Europe.” Although *social upheaval* may have already been *gaining momentum*, the deadly epidemic that *killed approximately one-third of Europe* *allowed formerly impoverished and powerless serfs to assert their independence*. With an absence of competition in the work force and a high demand for menial labor, serfs were able to *gain comparative economic freedom with rising pay*. *This escalation of the price of labor and goods during the plague is echoed* in the aftermath of the Spanish Flu epidemic. The Review of Economic Statistics of December 1919 observes the post-influenza wage inflation, noting that the “efficiency of labor, unfortunately, has not materially improved and is still generally below the prewar level,” yet “rates of wages have remained high during 1919 and have continued to rise rather than decline.” The Review also remarks on the oddity that “unemployment has not *developed*, in spite of the demobilization of the army; and in many sections labor is still reported to be scarce.” The unusually high wages and low labor supply despite the re-absorption of troops into the work force could be attributed to the fact that so *many people* had *succumbed* to the pandemic on the home front that *the re-entry of troops* had *normalized*, rather than *overwhelmed*, the labor market.

12

In the years *following* 1918, the influenza pandemic, though surely *seared* in the memories of those it personally *affected*, quickly *subsided* from national consciousness. Even during the epidemic, the flu was rarely mentioned in the papers or truly noticed on a national level. As noted by Crosby, “The Reader’s Guide to Periodical Literature, 1919-1921 has 13 inches of column space *devoted* to citations of articles about baseball, 20 inches to Bolshevism, 7 to Prohibition, and 8 inches to the flu.” As *the United States emerged* victorious from the devastations of World War I, the brief but deadly nightmare of the Spanish Flu was *lost to the national memory*. *The war* had *put pressure* on Americans to *sacrifice* as much as possible: *the government urging people to grow what food they could, eat less meat and fewer luxury foods, buy war bonds, and serve in the army as required* by the draft. *Wartime America* was *dealing* with death on a regular basis as *the war casualties continued to grow*, ultimately *reaching approximately 117,000 deaths*—about 53,000 in battle, the remainder due to disease. With *such a high proportion of war losses due to disease and the influenza deaths accompanying the hardships* on the home front, the flu must have seemed so intricately enmeshed in the reality of war that *it* became unremarkable.

Table 5.3 continued.

13

After the war had *ended* and the flu had essentially *run* its course in most places, the thrifty attitudes about consumption *enforced* by the war effort and the strict public health ordinances were immediately *discarded*. Americans had a brief attention span for such restrictions—they were only *heeded* during the war for patriotic reasons or in the midst of a deadly, dramatic pandemic. The Review of Economic Statistics of December 1919 remarked that “extravagant expenditure, both public and private, is *found* on every hand.” San Franciscans—who *endured* the worst hit of the Spanish Flu on the West Coast—had complied with the October-November 1918 masking ordinance that had required gauze masks be *worn* at all times. Yet, a mid-December *masking* recommendation of that same year *met* the fierce opposition of 90 percent of the city and was *struck* down by the San Francisco Board of Supervisors. The intolerance for what were thought at the time to be potentially life-saving health measures reflects the prevalent mood at the time of impatience with inconvenience *that trumped even fear of death*.

14

Perhaps the Spanish Flu would have *drawn* more attention if only it had *left* the scar of a long depression in its wake. Yet, after the crippling 10 months of the flu, the American economy was not only undamaged, but booming. Following the “year of readjustment” of 1919, the United States *experienced* a sunny era of unprecedented prosperity. The national income, which had *remained* stagnant from 1890 to 1918, *rose* more than \$200 per capita and laborers *enjoyed* a workday *diminished* from 12 to eight hours, as well as a *paid* annual vacation. With the advent of mass-production due to the innovations of the assembly line and *expanded* industrial exploitation of electricity, *productivity* *soared* to unheard-of levels.

15

In the mere 30 years between 1899 and 1929, industrial production *expanded* by 264 percent. All of this was *accomplished* by a *manufacturing* labor pool that, according to historian William E. Leuchtenburg in his book *The Perils of Prosperity*, contained “precisely the same number of men in 1929 as it had in 1919.” The workforce to *attain* these new heights was the same workforce that been described in 1919 as generally sufficient, yet which was in many sectors “still reported to be scarce.” In the same way that the Renaissance *thrived* in the wake of the Black Plague by *benefiting* from capital redistribution to a greater demographic, the destruction of the Spanish Flu had *opened* up a decade of culture and materialism to a population that *benefited* from the *resulting* availability of jobs and higher wages.

Table 5.3 continued.

16
<p>With thousands of the fittest soldiers, doctors, and nurses overseas and the stress of <i>coping</i> with wartime and its strict economic regulations, a flu epidemic was the last thing that Americans of 1918 needed, or expected. It was especially traumatic when even the enormous strides <u>that</u> had been <i>made</i> in recent years in the medical community were insufficient to <i>control</i> <u>this epidemic of a traditionally unobtrusive disease</u>. Disturbingly, young, healthy adults were the most likely to succumb to the virus and die of a violent, delirious pneumonia. With the backbone of the economy debilitated and inept medical care, <u>U.S. society</u> could have <i>collapsed</i>. However, <u>the flu lasted for a short enough time that it</u> did not permanently <i>disable</i> <u>the workforce</u>. Also, because <u>the primary target was an age-group</u> rather than a class, <u>the virus infected different socioeconomic sectors</u> evenly. As a consequence, though in many places the workforce was <i>reduced</i> to the point of near-collapse, <u>the population retained its socioeconomic balance</u>. Finally, because <u>the flu took place for 10 months</u> during and after World War I, <u>the most devastated demographic</u> was <i>replaced</i> <u>by the return of soldiers who could then be reabsorbed easily into society, thereby alleviating the labor-pool crisis</u>. From the perspective of its victims and their loved ones, the 1918 influenza was a tragedy; however, viewed within an economic paradigm, the Spanish Lady smoothed the transition from the turbulence of the 19th and early 20th centuries into the prosperity of the 1920s.</p>

The “Spanish Lady” text shows genre embedding, making it a Macrogenre text (Martin & Rose, 2008). Macrogenres are texts that realize more than one genre and are common in schooling contexts, namely in the form of textbooks. For a student to create a Macrogenre text means that the student has control over multiple genres, in this case the Historical Account and Consequential Explanation. The student also shows the use of the embedding principle at the clausal and genre level, with multiple instances of clausal embedding throughout and the use of the Historical Account as a genre embedded within one stage of the major genre, the Consequential Explanation.

It is possible to analyze this text as merely a complexing relation, with the Historical Account simply preceding the Consequential Explanation. However, this analysis leaves out the critical Phenomenon Stage of the Consequential Explanation, which is construed in paragraphs 1-5. The final paragraph of the Historical Account could

be read as the Phenomenon Stage, but there are a number of reasons not to accept this analysis. The paragraph begins with a hyperTheme, or topic sentence, of: “*As expected, the flu subsided* quickly with a forgettable number of casualties.” The Theme of the clause, “*As expected, the flu*” clearly connects to previous parts of the text with the modal adjunct of prediction “as expected” (Halliday & Matthiessen, 2013, p. 109). Furthermore, it does not adequately characterize the Phenomenon, having only described the “second wave” of the flu virus. It is also possible to read the first paragraph as the Phenomenon of the Consequential Explanation, but again this paragraph does not adequately address the entirety of the Phenomenon and splits up the text in a way that leads to the simpler explanation of genre embedding. This complex use of genre resources by the student suggests that the CCSS expects not only that students understand the general goals of the Stages of each genre, but also ways to develop those Stages to adequately address the goal. In other words, it is not enough to know that a Consequential Explanation begins with a description of a Phenomenon; students must also know ways to develop and characterize that Phenomenon. In a History text, an appropriate way to do this is to embed a Historical Recount or Account in the Phenomenon Stage.

One final typological issue supports the embedding analysis. The text could be analyzed as simply having a rather long Phenomenon Stage--and indeed, that is what has occurred. But the linguistic patterns within the Phenomenon Stage--namely, the sequential ordering and the causal reasoning shown in the “Civil Disobedience” Historical Account text--suggest a semantic complexity beyond merely describing a simple Phenomenon. The student chronicles at great length the waves of the virus and some of the the causes of its spread. Thus, it is clear that the student is drawing on

multiple resources to accomplish more than the goal of describing a simple Phenomenon- they are addressing the way the Phenomenon situates in time and the causes of the Phenomenon. These goals point to a Historical Account.

The Consequential Explanation realized in “Spanish Lady” thus includes a Historical Account as part of its Phenomenon Stage followed by an Explanation that focuses on the consequences of the flu on the U.S. economy and the working class. Because the cause and effect relationship is central to the genre, the use of Material Processes to express causal relations recurs frequently, as it did in the Historical Account. This is illustrated in sentences like (5).

- (5) When the epidemic reached cities with a deficient work force and incompetent, sparse medical care, the critical damage to the economy was *compounded* by restrictive public health ordinances.

The Material Process “*compounded*” in the major independent clause shows the causal relationship between the “restrictive public health ordinances” and the “critical damage to the economy.” In this passive construction, the Actor role is assigned to the “health ordinances” and the Goal assigned to the “critical damage to the economy.” The causal relationship of “compounding” illustrates the effect of the “health ordinances” on the existing “damage to the economy”--namely, that the “health ordinances” made the “damage” worse. Beyond the use of Material Processes is the notable employment of grammatical metaphor in constructing the Goal; the “critical damage,” more naturally a verb, is nominalized in (5) to make it able to be affected by the Actor. The Actor in the clause also includes an instance of a general noun- “ordinance”--and shows a level of abstraction that is significant for History writing. In this case, the abstraction of the



“ordinance,” itself a law that is inert but gains agency through execution, becomes capable of action through the student’s use of it in a Material clause. As previous research on language in History in the U.S. has shown (de Oliveira, 2010), this use of nouns and Material Processes is one of the expectations of History writing in the U.S. In History genres like Explanations, ideas and abstractions can *do* things; students writing to address the CCSS need to be able to express how abstract concepts can cause other things to happen throughout history. The use of Material Processes enables this causal reasoning in Explanations.

Because of the length of this text, textual cohesion is a major issue that the student writer had to address. A number of linguistic resources are available to student writers for creating cohesion (c.f., Halliday & Hasan, 1976; Halliday & Matthiessen, 2013); one major resource used by the student in “Spanish Lady” is the repetition of words and concepts in the Thematic position of clauses. For example, the word “flu” occurs 22 times in Thematic position in the text, holding the text together and keeping its focus on the topic of the flu. Similarly, “America” occurs seven times in Thematic position, and references to the “workforce” or “working class” occur seven times. This establishes the context of the flu--the U.S.--and the primary population that the student wants to focus on--the working class. This illustrates one of the expectations for Consequential Explanations and Informing genres in general: the use of repetition in the Theme to create a consistent focus on a single topic or several related topics. This linguistic resource works to develop texture and the semantic unity of the text.

The Thematic position in “Spanish Lady” clauses not only ties the text together, but also illustrates other ways to express causal relations. Cause and effect can be

expressed in unmarked Themes such as the Theme for the second sentence of paragraph 10: “One of the reasons for this...” The topical Theme includes the causal relation word “reason” that establishes the student is discussing causes of something--in this case, the causes for a disease’s ability to affect poorer communities worse than more affluent ones. However, the student also makes use of multiple non-topical Themes to realize causal relationships, either implicitly or explicitly. Explicit causal Themes include the use of “because,” prominently featured at the end of paragraph 16 and occurring nine times in the text, but also the less obvious Thematic “with,” occurring six times throughout the text in sentences like paragraph six’s: “With victims’ average age being 33, the volume of death claims by flu victims *blind-sided* the life insurance companies.” This establishes a complex causal relationship of the age of flu victims, the number of “death claims,” and the “life insurance companies.” Namely, the young age of the majority of the flu victims overwhelmed the life insurance companies’ abilities to address death claims. The causal Theme “with” introduces and establishes the three-variable causal relationship. This further illustrates the multi-faceted role of Themes in Consequential Explanations to not only create texture but also realize causality.

The student also makes use of Thematic structures at higher discourse levels, employing hyperThemes, or topic sentences, near the beginnings of paragraphs, and macroThemes near the beginning of each genre. The hyperThemes not only preview the topic of the paragraph that later sentences will develop, but they often create cohesion by referring back to previous concepts in the text. In (6), a hyperTheme for paragraph 15, the student previews the topic for the paragraph in the topical Theme “industrial production.”

(6) In the mere 30 years between 1899 and 1929, industrial production *expanded* by 264 percent.

However, (6) also makes reference to the hyperRheme of paragraph 14, shown in (7), by drawing on the “productivity” increase caused by “the innovations of the assembly line and expanded industrial exploitation of electricity.”

(7) With the advent of mass-production due to the innovations of the assembly line and *expanded* industrial exploitation of electricity, productivity *soared* to unheard-of levels.

The repetition of the “produc” morpheme connects the two paragraphs together, creating textual unity for this phase of the Explanation, which addresses the relatively minor effect the flu had on the productivity of the U.S. economy.

Finally, the use of macroThemes, or thesis statements, to unify and preview the two genres in this text further establishes the language expectations for writing Explanations and History texts in general. The macroTheme for the Historical Account, shown in (8) from paragraph one, previews the general topic of the first genre of the Macrogenre text.

(8) Because neither antibiotics nor a way to control the spread of air-borne diseases had been *invented* yet, America was as vulnerable to the deadly grip of influenza that would *befall it* in 1918 as Medieval Europe had *been to the Bubonic Plague of the 14th century*.

The use of the macroTheme in (8) further establishes that “Spanish Lady” is not a single genre text; it is a Macrogenre text. The focus of the Historical Account--effectively paragraphs 1-5--is the spread of the Spanish flu in the U.S. as a result of the lack of “a

way to control the spread of air-borne diseases.” The later hyperThemes in the Historical Account confirm this topic focus, as they trace the spread and causes of the disease in two waves in 1918, such as in the hyperTheme of paragraph five: “Unforeseen, however, was the deadlier second wave that would *emerge* that August to *explode* in September with unprecedented virulence.” The topic then drastically shifts after paragraph five towards explaining the effects of the disease on the U.S. economy and the working class. Predictably, the macroTheme for the Explanation Stage of the Consequential Explanation, shown in (9), is found at the end of the Phenomenon Stage, which coincides with the end of the Historical Account.

- (9) Although at times slow in reaching certain regions, the Spanish Flu was horrifyingly thorough in its damages.

The macroTheme in (9) previews the main kind of effect that the “Spanish Flu,” here occupying the topical Theme of the clause, in the Rheme of the clause with the the Circumstance “in its damages.” The remainder of the Consequential Explanation, in the Explanation Stage, delineates the various “damages” that the Spanish Flu caused on the U.S. economy and its society, specifically the working class.

In summary, the expectations for the Explanation include control over two genres of the Explanation family: Sequential Explanations and Consequential Explanations. The presence of a simple and complex genre in the family lends credence to the possibility of a curricular pathway across the grade levels for Explanations, but there are some limitations in using these models. First, they are from the two extremes of the developmental spectrum: Kindergarten and Grade 12. Grades in between, especially later elementary and middle school, would not be served well by these models, as they may be

seen as too easy or too complex. The genres themselves, however, should be possible for students to write if they start with Sequential Explanation and move upward in complexity. The models also illustrate the range of subjects that the Explanation family usually addresses--namely, Science and History. But the absence of any complex Scientific Explanation models is problematic from a curricular perspective. Finally, the model texts demonstrate a variety of linguistic resources for Explanations, most notably the use of Material Processes to express causality through general nouns and grammatical metaphor, as well as the multi-faceted use of the Theme position in clauses to order events sequentially, express cause and effect, and create semantic unity at paragraph and genre levels.

Table 5.4 *Summary of Genre Expectations for Explanations Family*

Gray areas are NOT attested in Appendix C. The recommendations are based on previous research from Brisk (2014), Christie and Derewianka (2008), Schleppegrell (2003; 2004), Martin and Rose (2008), and Rose and Martin (2012)			
Grade Level	Genres and Staging Expectations	Exemplars in Appendix C	Language Expectations
K-5	<b>Sequential Explanation</b> <i>Phenomenon</i> <i>Explanation</i>	<b>Sequential Explanation</b> “Frogs (Frogs)” (p. 7)	<ul style="list-style-type: none"> <li>• Time sequencing words (Themes of time) to show the flow of events</li> <li>• Doing and happening verbs (Material Processes) to construe the changes in the Phenomenon</li> <li>• General nouns (Participants) to name and discuss the Phenomenon</li> <li>• Repetitions of nouns (Participants) to create cohesion</li> </ul>
6-8	<i>All of the above, and...</i> <b>Factorial Explanation</b> <i>Phenomenon</i> <i>Explanation: factors</i>  <b>Consequential Explanation</b> <i>Phenomenon</i> <i>Explanation: consequences</i>  <b>Conditional Explanation</b> <i>Phenomenon</i> <i>Explanation: conditions</i>		<i>All of the above, and...</i> <ul style="list-style-type: none"> <li>• Doing verbs (Material Processes) to express cause and effect</li> <li>• Complex noun groups (Participants) to name large groups and institutions (in History) and complex phenomena (in Science)</li> <li>• Function words and phrases at the beginning of sentences that show cause and effect (Themes of reason, cause)</li> <li>• Thesis statements (macroThemes) and topic sentences (hyperThemes) to create cohesion across the entire text</li> <li>• Condensing information by turning actions and properties into nouns (Nominalization and other grammatical metaphor)</li> </ul>
9-12	<i>All of the above</i> Explanation genres embedded in <b>Macrogenre</b> texts	<b>Consequential Explanation</b> “In the Wake of the Spanish Lady: American Economic Resilience in the Aftermath of the Influenza Epidemic of 1918” (p. 80)	<i>All of the above</i>

### 5.3 Reports Analysis and Discussion

The Reports family of genres includes three genres: the simple Descriptive Report, and the more complex Compositional Report and Classifying Report. Appendix C includes two examples of the Descriptive Report genre: the Grade 1 “My Big Book About Spain” (NGA & CCSSO, 2010b, p. 11; henceforth “Spain”) and the Grade 3 “Horses” (NGA & CCSSO, 2010b, p. 18-19). The corpus also includes an instance of the more complex Compositional Report in the Grade 11 “Summary of Key Points” (NGA & CCSSO, 2010b, p. 73), an embedded Classifying Report in “Wood Joints” (NGA & CCSSO, 2010b, p. 98-101), and a complexed Classifying Report in “TIG/GTAW Welding” (NGA & CCSSO, 2010b, p. 103-105). With the numerous models of the Report family, including pathway genre texts in the lower Elementary levels, a clear genre learning trajectory is suggested in the corpus.

Both the “Spain” and “Horses” text realize clear Descriptive Reports. A Descriptive Report has as its goal mainly the general description of some single entity (Martin & Rose, 2008). It is structured with two Stages: Classification^Description. Within the Classification Stage, the student writer situates the entity in some hierarchy or composition; they explain what kind of thing it is (Martin & Rose, 2008, p. 142). The remainder of the genre is dedicated to Phases of Description focused on a variety of aspects of the entity. In “Spain,” shown in Table 5.5, the student writer describes the geography and culture of Spain.

Table 5.5 Genre Analysis of “My Big Book About Spain”

<p><b>My Big Book About Spain<sup>12</sup></b>  Grade 1 Descriptive Report  Relational Processes in <b>bold</b>  Participants in Relational clauses in <u>underline</u></p>
<p><b>CLASSIFICATION</b>  (1) <u>Spain</u> <b>is</b> <u>in Europe</u>. (2) Spain is located in the southwestern tip of Europe. (3) <u>Europe</u> <b>is</b> <u>a far away place from here</u>.</p>
<p><b>DESCRIPTION</b>  (4) <u>Spain</u> <b>has</b> a lot of fiestas. (5) In some of the fiestas they make masks and make special food too. (6) <u>Spain</u> <b>has</b> bull fights, and I would want to see one. (7) I think Spain looks like an upside down hat. (8) In some of the fiestas, <u>the people</u> <b>are</b> <u>loud</u>. (9) <u>Some of the fiestas</u> <b>are</b> <u>even beautiful</u> and colorful. (10) <u>Spain</u> <b>has</b> a lot of different people. (11) In the bull fights they make the bulls tired and make them fall out. (12) <u>Spain</u> <b>is</b> <u>very colorful</u>; even if you go there <u>you will see I’m right</u>. (13) <u>Spain</u> <b>has</b> 5 neighbors. (14) <u>Spain’s neighbors</u> <b>are</b> <u>France, Andorra, Algeria, Portugal and Morocco</u>. (14) One day when I am a researcher, I am going to go to Spain and write about it!</p>

The Classification Stage of “Spain” situates the entity--the country of Spain--in the geographical composition of Europe. This shows the student has the genre knowledge to understand that Reports move from general to specific in their textual organization. The Description Stage involves several Phases or topics of Description: fiestas, bullfights, color, and geographical proximity to other countries. In both Stages of the Descriptive Report, the student writer makes use of an essential linguistic resource for description: Relational Processes. Relational Processes usually take the form of being and having verbs, prototypically with those same verbs: “be” and “have.” In the first sentence that construes the main classification, “Spain is in Europe,” the student uses the “be” verb “is” to connect “Spain” and “Europe.” The relation between the two is Attributive, with “Spain” being the Carrier, and the circumstantial Participant “in Europe” being the

<sup>12</sup> Copyright 2010 National Center on Education and the Economy on Behalf of New Standards. Used with permission.



Attribute, or property, of “Spain.” The third sentence further situates Spain as a part of Europe, with the statement: “Europe is a far away place from here.” Again, the Attributive Relational Process “is” is used to connect “Europe,” the Carrier, with “a far away place from here,” the Attribute. This Stage demonstrates the student has control over two important linguistic resources: the ability to create thing-property relations through “be” verbs and the recognition that properties can be both things realized through Participants (“a far away place”) and Circumstances (“in Europe”). This means the student can use both nouns and prepositional phrases in Relational clauses to classify things--a skill they further demonstrate in the Description Stage.

The Description Stage is marked by a significant change in Relational verbs, from “be” to “have,” and as a result features many possessive Attributive clauses. In sentences (4), (6), (10), and (13), the “have” verb is used to describe possessive properties of Spain--that is, things that Spain “has.” This kind of clause usually marks the beginning of a new Phase of Description and signals a new aspect or topic the student will describe about Spain. In some cases, the following sentence repeats elements from the possessive Attributive clause preceding it to create cohesion and further develop the topic, as seen in sentences (4) and (5): “Spain has a lot of fiestas. In some of the fiestas they make masks and make special food too.” However, this textual cohesion does not always occur, as in sentences (6) and (7): “Spain has bull fights, and I would want to see one. I think Spain looks like an upside down hat.” It is not until sentence (11) that the topic of bullfights introduced in sentence (6) reappears, establishing the textual link. In sentences (8) and (9), the student picks up the topic of fiestas again, creating cohesion from the previous phase, but abandoning the previously introduced topic of bullfights. This suggests the student

writer, at Grade 1, is struggling with controlling topic focus and cohesion within a text-- which is most likely a feature of their lower level of development as a writer. The Grade 3 Descriptive Report, “Horses,” does not show this topic straying, which suggests that this feature of the “Spain” text is a developmental one. The “Spain” and “Horses” texts both illustrate similar expectations for the Descriptive Report genre: the Classification^Description Staging and the use of Relational Processes to classify and describe different properties of an entity.

In developing control over the Reports family, the Grade 11 “Summary of Key Points” shows the next major step in the developmental trajectory with the Compositional Report. A Compositional Report, like the Descriptive Report, has a schematic structure of Classification^Description, but the Description Stage is narrowed to identifying the parts of a whole entity. The “Summary of Key Points” text describes the human brain and its various parts as revealed through MRI technology. As partially shown in Table 5.6<sup>13</sup>, Relational Processes, including the possessive Attributive Processes shown in the “Spain” Descriptive Report, are used to describe the properties and functions of different parts of the brain. Notable in this text, produced in an Anatomy and Physiology class, is the use of scientific vocabulary to identify the parts of the brain. In sentence (4), the student uses “Prefrontal cortex” as a Carrier in a possessive Attributive clause. This construction allows the student to describe a property that the “Prefrontal cortex” has while building the Field of the brain’s composition at the same time. In the following sentence (5), the use of “This part of the brain” as a Carrier in an Attributive clause further develops the Field, adding the functions of the “Prefrontal cortex.” However, as “This part of the brain”

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<sup>13</sup> The full text of “Summary of Key Points” is not reproduced here due to copyright restrictions. It can be read on page 73 of Appendix C.

is also an unmarked Theme that refers back to “Prefrontal cortex” with the deictic “this,” it additionally creates cohesion within the paragraph. This kind of cohesion is important for each phase of description; the description of each part of the entity needs cohesive devices to create semantic unity.

Table 5.6 *Genre Analysis of “Summary of Key Points”*

<p><b>Summary of Key Points</b> Grade 11 Compositional Report Relational Processes in <b>bold</b> Participants in Relational clauses in <u>underline</u></p>
<p>CLASSIFICATION</p> <p>(1) MRI technology has changed that because now scientists can examine healthy brains at all stages of development, including getting functional results that show areas of the brain that "light up" while performing tasks. (2) Therefore, <u>scientists</u> <b>are now able</b> to measure how the brain works.</p>
<p>DESCRIPTION OF PARTS</p> <p>(3) 95% of the brain has been formed by age 6, but through MRI studies researchers now know that changes in the brain structure continue to occur late in child development. (4) <u>The prefrontal cortex</u> <b>has</b> a growth spurt just before puberty and then prunes back in adolescence. (5) <u>This part of the brain is responsible</u> for reasoning, controlling impulses, and making judgments.</p>

The “Summary of Key Points” text includes a concluding paragraph that summarizes the main points of the essay through the use of abstract nouns that collectively refer to the compositional nature of the brain, as shown in (10).

(10) Confirming that different parts of the brain mature at different times and that the brain **has** structural changes through adolescence is very important... (NGA & CCSSO, 2010b, p. 73)

In (10), the student constructs a Thematic equative, with a long clause serving as a Carrier in an Attributive clause that assigns the property of “very important” to the information in the long clause. The long clause in (10) condenses the information from the previous paragraphs through the use of general nouns, like “parts” and “changes,”

which refer back to more specific elements described in the earlier part of the Description Stage. The use of clausal embedding with the two “that” clauses also allows the student to construct a much more complex Carrier for the Attributive clause; it allows the student to state more than one thing is important in a shorter amount of space. The clausal Carrier also shows that the student understands that clauses can be Participants, or things, in sentences. This is an important grammatical concept for the student because, much like grammatical metaphor, it allows the student to package actions, ideas, and abstractions as things that can have properties in Relational clauses, and do things in Material clauses. Clausal embedding and clausal Participants, along with general nouns, are important resources for students to manage and condense complex scientific information into single linguistic units so that they can be described; they represent some of the language expectations for students writing in the Reports family of genres.

Finally, the text includes a short paragraph under the subheading, “How is this article relevant to my future?” (NGA & CCSSO, 2010b, p. 73) This paragraph attempts to connect the knowledge of the brain and its development with the teenage writer’s own life. This kind of paragraph is not uncommon in the corpus, occurring in four other Informing texts: “Horses,” “Football,” “Wood Joints,” and “TIG/GTAW Welding.” As this anomaly appears to occur in multiple genres and seems unique to the U.S. corpus, it will be addressed more thoroughly in Chapter Seven.

In summary, the Report family of genres is represented by two genres in the corpus: Descriptive Report and Compositional Report. Students need to know that the staging of these Report genres generally begins with Classification followed by Description. In the Descriptive Report, students are expected to organize their

Description in phases of features, keeping like ideas together to build a cohesive Field around different aspects of the entity. In the Compositional Report, students are expected to describe an entity with a whole-part organization. Students are also expected to make use of general nouns to classify and characterize the things they describe in Reports. In secondary education, the use of scientific vocabulary and more complex Participants, such as clausal Participants, is expected for students to be able to describe the features and actions of more abstract ideas. Finally, the use of Relational clauses pervades the Report genre family, and students are expected to make use of “being” and “having” verbs to render descriptions of the entities in Reports.

Table 5.7 *Summary of Genre Expectations for Reports Family*

Gray areas are NOT attested in Appendix C. The recommendations are based on previous research from Brisk (2014), Christie and Derewianka (2008), Schleppegrell (2003; 2004), Martin and Rose (2008), and Rose and Martin (2012)			
Grade Level	Genres and Staging Expectations	Exemplars in Appendix C	Language Expectations
K-5	<b>Descriptive Report</b> <i>Classification</i> <i>Description</i>	<b>Descriptive Report</b> “My Big Book About Spain” (p. 11) “Horses” (p. 18)	<ul style="list-style-type: none"> <li>• “Being” and “having” verbs (Relational Processes) to classify the entity and describe the properties of the entity</li> <li>• Noun phrases (nominal Participants) and prepositional phrases (circumstantial Participants) to describe the properties of the entity</li> </ul>
6-8	<i>All of the above, and...</i> <b>Compositional Report</b> <i>Classification</i> <i>Description: parts</i>  <b>Classifying Report</b> <i>Classification</i> <i>Description: kinds</i>		<i>All of the above, and...</i> <ul style="list-style-type: none"> <li>• Technical and abstract nouns and noun phrases (Participants) to show understanding of the topic and material (Field)</li> <li>• Modifying clauses (embedded clauses) to further develop the description of entities</li> <li>• Clauses connected with “being” and “having” verbs (Thematic equatives) to show complex relationships between entities</li> </ul>
9-12	<i>All of the above</i> Report genres embedded in <b>Macrogenre</b> texts	<b>Compositional Report</b> “Summary of Key Points” (p. 73) <i>Embedded in larger text</i> “Wood Joints” (p. 98)  <b>Classifying Report</b> <i>Embedded in larger text</i> “TIG/GTAW Welding” (p. 103)	<i>All of the above</i>

#### 5.4 5.5 Procedures Analysis and Discussion

The final family of Informing genres represented in the corpus is the Procedural family of genres. Procedures have the general goal of describing how to engage in an activity or reporting the results of a systematic activity. The Procedural family includes Procedures, Procedural Recounts (Experiment Reports), and Protocols (Rose & Martin, 2012). All three genres are represented in the corpus. The Procedural Recount, or Experiment Report, is represented by one Grade 7 text, “A Geographical Report” (NGA & CCSSO, 2010b, p. 42-44). The Procedure genre is shown in the Grade 8 text, “Football” (NGA & CCSSO, 2010b, p. 47), and three Grade 12 texts, parts of “The Making of a Human Voice and How to Use It,” (NGA & CCSSO, 2010b, p. 94-95), “Wood Joints,” (NGA & CCSSO, 2010b, p. 98-101) and “TIG/GTAW Welding” (NGA & CCSSO, 2010b, p. 103-105). The Protocol genre is embedded at the end of the “TIG/GTAW Welding” text and elements of Protocol appear in the “Wood Joints” text. While all genres in the family are represented, a clear developmental trajectory is not immediately clear, as there are no elementary level instances of the Procedural family.

The Procedure genre generally is realized in the following schematic structure: Purpose^Equipment^Steps. The Purpose Stage aims to identify the goal of the activity; the Equipment Stage identifies the items needed to engage in the activity, and the Steps Stage usually delineates a time sequence to accomplish the activity (Rose & Martin, 2012). In Appendix C, the Grade 7 text explains how American football can be played well; the three Grade 12 texts describe how to make a violin, wood joints, and various welds. None of these texts, in the main, show in any kind of relatively high frequency one of the most typical features of Procedures: time sequencing. While this issue is significant

for classification and identifying linguistic features, it suggests a more fundamental issue in the typology that may be unique to the U.S. context and will be addressed in Chapter Seven in detail.

All of the aforementioned Procedure texts exhibit similar genre and linguistic patterns consistent with a Procedure, including non-time sequenced structures (addressed below and in Chapter Seven). However, the “Wood Joints” text exhibits a wider variety of linguistic resources and thus serves as a better model for understanding the overall expectations for the genre, even though the Grade 8 “Football” may aid in understanding the expectations at a lower level of development. The “Wood Joints” text, shown in Table 5.8 is a Macrogenre text with a major genre of a Procedure and an embedded Classifying Report in the Purpose Stage. The text was produced as part of a “career and technical class” (NGA & CCSSO, 2010b, p. 98) and explains how to make a variety of wood joints. As the creation of multiple kinds of wood joints is discussed, resulting in multiple activity sequences, the text shows a similar structure to the Report family of genres, with Phases of activity rather than description. Multiple linguistic resources used make this an extremely complex text, and its register choices, which differ significantly from the general academic register of previous texts, are included in this analysis.



Table 5.8 Genre Analysis of “Wood Joints”

<p style="text-align: center;"><b>Wood Joints<sup>14</sup></b>  Grade 12 Procedure[[[[Classifying Report]]]]Procedure  Modality features in <b>bold</b>  Imperative clauses in <u>underline</u>  Second person pronouns in <i>italics</i></p>
<p style="text-align: center;">PURPOSE  [[[[Classifying Report]]]]  CLASSIFICATION</p> <p style="text-align: center;">1</p> <p>Have <i>you</i> ever wondered how to design complex wood joinery? The types of wood joinery have been around for thousands of years. There are only twelve different main types of joints but there are many that combine more than one for aesthetics or strength. The first step in designing joints is understanding the different types and what their uses are. After <i>you</i> understand the strengths and weaknesses of the different joints <i>you</i> <b>can</b> compare and <u>contrast</u> the joints for aesthetics. This and a lot of practice are what make excellent wood joinery.</p>
<p style="text-align: center;">DESCRIPTION OF TYPES</p> <p style="text-align: center;">2</p> <p>The first step in designing joints is to figure out what way the wood <b>will</b> move so it won't destroy the joint. <u>Then figure in the stresses that <b>will</b> be put on the joint.</u> The three types of stresses on joints are compression, tension, and shear. Compression is the weight pushing down on another piece and making it crush down. Tension is things being pulled apart. Shear is when a piece breaks off when overloaded.</p> <p style="text-align: center;">3</p> <p>There are two categories of joints there are sawed joints and shaped joints. A sawed joint is one that <b>can</b> be cut in one pass with a saw. The shaped joints <b>can</b> be complicated and take multiple cuts. Joints are either made to lock together which are the shaped ones or to make glue surfaces to glue together which are the sawed ones. The twelve types of joints are the butt joints, miter joints, rebate joints, dado joints, groove joints, and lap joints are sawed joints. Scarf joints, finger joints, dovetails, mortise and tenon, dowel joints, and spline joints are shaped joints.</p> <p>[[[[Classifying Report]]]]</p>

<sup>14</sup> Copyright 2010 Randolph Technical Career Center in Vermont. Used with permission.

Table 5.8 continued.

EQUIPMENT
<p style="text-align: center;">4</p> <p>To lay out good joints there are a few tools necessary. <i>You need</i> a good square that is accurate, a steel ruler for measuring, a miter square, a sliding bevel, a protractor, and a caliper. The square is to draw perfect ninety-degree lines. The miter square is so <i>you can</i> check your miters for accuracy. The sliding bevel and protractor is to draw angles other than forty-five degrees. The caliper is to make sure the pieces getting joined are the right thickness.</p>
<p style="text-align: center;">5</p> <p>For a good joint the fit <b>should</b> be tight. But if it is too tight it is not good because the wood joint <b>could</b> crack or <u>break</u>. It <b>should</b> be tight enough that <i>you can</i> either push it together or give it a light tap with a hammer to seat it. Another reason it <b>can't</b> be too tight is because when the glue is applied the wood <b>will</b> expand. Then it <b>may</b> not fit. The reason the wood expands is because putting the glue on is like putting water on it.</p>
<p style="text-align: center;">6</p> <p>The way to make a tight joint is in the layout. A marking knife is a lot more accurate than a pencil. <u>Also make sure you use the same ruler throughout the project because there could be slight variations in different ones.</u> <b>Always</b> mark the waste side of the line and <u>make sure you follow on the right side of the line.</u> If <i>you</i> cut on the wrong side of the line it <b>will</b> not be tight enough.</p>
<p style="text-align: center;">7</p> <p>Now that <i>you</i> know what tools to use the next thing in tight joinery is to make sure all the pieces are the same thickness or the thickness needed. Boards <b>should</b> be cut to a rough length so they are easier to run through the machines. This <b>will</b> leave less room for error because the pieces won't be so bulky. <u>Also make sure that the plywood is the thickness it's claimed to be because it could be off 1/64 of an inch.</u> Whenever possible <u>trace the mate for the joint to ensure a good fit.</u></p>
<p style="text-align: center;">8</p> <p>If the joint is cut too small there are four different repairs. <i>You can</i> fill small gaps with a mixture of sawdust of the same species of wood and glue. For loose parts <i>you can</i> add shims and sand or <u>file to fit</u>. <i>You could</i> also make a design feature for loose parts. A slot cut in the end of a loose tenon with a wedge put in it makes a nice design feature. But if it is real noticeable <i>you should</i> just replace it. <u>When buying lumber, always make sure you buy a couple of extra boards for mistakes or defects you didn't notice when you bought it.</u></p>

Table 5.8 continued.

STEPS
<p data-bbox="846 317 867 344">9</p> <p data-bbox="277 352 1422 646">Out of the twelve different joints, I'll start with the ones easiest to make. Butt joints are the easiest joints to make. A butt joint is wood joined face to edge or edge to end. There are several ways to attach the two pieces. They <b>can</b> be nailed or screwed together but <b>should</b> have a pilot hole drilled or the pieces <b>may</b> split. Corrugated or metal fasteners <b>can</b> be used. Also <i>you</i> <b>can</b> make wooden triangles or blocks to strengthen up corners. The pieces <b>can</b> also be doweled together, which is one of the stronger ways to attach the two pieces. The two pieces <b>can</b> also be biscuit jointed together which is another fairly strong way to attach them.</p>
<p data-bbox="841 646 872 674">10</p> <p data-bbox="277 682 1422 905">Another fairly simple joint is the lap joint. The lap joint is where the two pieces of wood to be joined are cut so only half the thickness of each piece is left. They are then glued, nailed, or screwed together. The lap joint is mostly used for frames that <b>will</b> have plywood on them. The joint is also used in latticework, which is used for decoration in different pieces of furniture. The downside to this joint is that it isn't very strong but it does look nice in some applications.</p>
<p data-bbox="841 905 872 932">11</p> <p data-bbox="277 940 1422 1199">The next joint is a little more complicated but still fairly simple. The only thing complicated about the miter joint is figuring out the angles for different shapes. A square is simple but <i>you</i> have to make sure the saw is exactly square or the joints <b>won't</b> fit tight. But as <i>you</i> get into different sided shapes the angles are harder to figure out, especially if they have to be a compound miter. That is where it is cut on an angle in two different directions. The miter joint looks good because there is no end grain but it isn't very strong. But biscuits <b>can</b> be added for some extra strength.</p>
<p data-bbox="841 1199 872 1226">12</p> <p data-bbox="277 1234 1422 1409">The next joint is the dado joint. Dados are slots cut across the grain. They are cut using a dado blade in the table saw, on a router, or hand chiseled. The uses of a dado are for putting shelves in the sideboards of a bookcase or other piece of furniture. The dado <b>can</b> be stopped short of the edge of the board to form a stopped dado. This is useful when <i>you</i> don't want the joint to be seen.</p>
<p data-bbox="841 1409 872 1436">13</p> <p data-bbox="277 1444 1422 1642">A joint similar to the dado is a groove. A groove runs with the grain instead of against it. There are several ways to cut a groove. <i>You</i> <b>can</b> use a dado blade, router, molder, or shaper. A groove is <b>usually</b> used in making raised panels. It is what holds the pane in between the rails and stiles.</p>

Table 5.8 continued.

14

A joint similar to a groove is the spline. The spline joint **can** either be a solid spline like tongue and groove. That is where one board has a groove and another one has a piece with both edges are cut off leaving the middle. A loose spline is a board with two grooves cut and then a piece of wood inserted in the tow grooves and glued. The uses good for the spline is siding and paneling. It also works fairly well in making large panels because the tongue helps to keep the boards aligned. *You can* dress up the spline joint by putting a chamfer or bead on the edge of the boards.

15

A good joint for joining backs to furniture is the rebate joint. It also works well for joining the tops and bottoms of furniture. A rebate joint is a dado at the end or edge of a board and **usually** has a piece of wood in it the same thickness as the dado. The wood is **usually** nailed or screwed into place. Another version of the rebate joint is one that is stopped. The stopped rebates are used when *you* don't want the joint to show.

16

A joint that **can** be quite complicated is the scarf joint. The scarf joint is used to make two boards into a longer one. This joint is mostly used in timber frames. The joint came around in Europe when they had cut all the long big trees down and had to find a way to make the long beams needed for their buildings (Ramuz, 279). Then when the settlers came to America, they didn't need it for another hundred years or so until they did the same thing over here. The joint is **usually** about eight times longer than the width of the board or beam. It is made to have a lot of glue surface to make it a fairly strong joint. But it is not as strong as a full-length board or beam.

17

Another joint that **can** be quite complicated until *you* have the jig made for it is the finger joint. The finger joint is easy once the jig is made *you* just have to stand at the table saw and keep running the boards over the dado bade. The finger joint is several grooves on the end of a board with the other board cut to mate. They are very strong because it really increases the glue surface. The joint **can** also be used as a hinge if the corners are rounded and a dowel put all the way through the joint.

18

The last two joints left are some of the most complicated ones to design and cut. These joints are the real give away of quality joinery. If these joints are done properly they **can** last for hundreds of years and **will** really make your work look professional. The two joints are the mortise and tenon and dovetails. *You can* either cut these by hand or machine. If cut by machine, they aren't as complicated to make as they are when *you* cut them by hand. The joints aren't cut by hand as much anymore, but when they are *you can* take more pride in your work.

Table 5.8 continued.

19

I **will** start with the mortise and tenon. The mortise and tenon has been around for hundreds and hundreds of years. There are many uses including timber frame, attaching aprons to the legs on tables, and attaching rails and stiles on doorframes. Mortise and tenon are very strong joints. The timber frame barns and buildings are still standing after hundreds of years. The only reason they fall is because of decay and neglect. The mortise is a square hold cut to a certain depth and size. A through mortise is a square hole that is cut all the way through the board or beam. The tenon is the mate to a mortise. It is a square cut on the end of a board or beam. They are **usually** in the center of the board but **can** be offset if there is going to be more than one joint in the same spot. It also **could** be offset if it was going to be close to the edge of the other post or leg. A through tenon **can** look good with a wedge, or *you can* peg the tenon for strength. Mortises **can** be cut with a mortise, router, or drilled out and squared up with a chisel. Tenons **can** be cut by router, table saw, or by hand. But whatever way *you* do it they still mean good quality work.

20

The other hallmark of quality wood joinery is the dovetail. Dovetails **can** either be cut by a router and template or by hand with a lot of practice. A dovetail is similar to a finger joint except that it has angles.

21

The dovetail has been around for thousands of years and there is a reason why. It is very aesthetically pleasing and strong enough to last for a very long time. Dovetails are very strong because it is made to pull apart in only one direction so from any other direction it **can** handle extreme loads.

22

Now to make dovetails by hand *you need* to take your time and be patient. They aren't as hard as *you may* think but does take practice. When the joint is completely cut it **should** fit together with a light push and **should** be very stiff. Dovetails are used in making drawer frames and the main box in cabinets. There are two types of dovetails and they are through dovetails and half-blind dovetails. Through dovetails are the ones where both boards go all the way through each other leaving the joint exposed. Half-blind dovetails are **usually** used to attach drawer fronts to the rest of the frame. On those, only half of the joint is visible because the other half ends short by 1/8 inch or more.

Table 5.8 continued.

23

Now that *you* know the basics, here are a few more things *you* **should** know to make strong dovetails. If creating dovetails out of softwood, *you* **should** have a slope of 1 to 6 on the dovetails. If making them out of hardwood, the angle **should** be 1 to 8 (AM-wood.com). The reason for this is because softwood splits easier, this way the dovetail won't spread the wood as much when pulled on. If *you* are making multiple joints it is better to make a pattern so they are all the same. Plus it won't take as long because *you* won't have to lay them out every time. Dovetails are made up of two parts and they are pins and tails. It doesn't matter which ones *you* choose to cut first but *you* **should always** trace its mate to get a perfect fit.

24

That is all twelve woodworking joints. Now let's talk about beefing them up a little. Sure there are nails, screws, and other mechanical fasteners, but I'm talking about shop made ones. Dowels and biscuits are excellent ways to strengthen joints unnoticeably. But wedges, pegs, and wooden blocks are good ways and **could** even add some decoration. On through tenons, *you* **can** cut slots in the end of the tenon and add some wedges as a design and a way to keep it from pulling out. On mortise and tenons *you* **can** drill a hole and insert a peg for strength and looks.

25

To sum it all up there is a lot of information on the twelve different wood joints. Some of them **can** be quite complicated but with practice *you* **could** become an amateur woodworker. I have learned a lot about the different joints and techniques behind them. This research helped a lot in deciding what joints to use and how to construct them for my tech project. My tech project is designing and building a gun cabinet. In my gun cabinet I'm going to use rebates, grooves, dados, lock miters, dovetails, mortise and tenon and lap joints. I hope *you* have learned as much as I have about choosing and creating joints in wood. There is still more to be learned but this is a very good start in becoming a professional woodworker.

As a Procedure, the "Wood Joints" text makes use of the Speech Function system, which is part of Negotiation. The usual Speech Function utilized in Procedures is Command, as consistent with the genre goal of directing a person how to engage in an activity. A first reading of "Wood Joints" in relation to the other texts in the corpus makes note of the abundant use of "you" and the Imperative Mood, which occurs at a significantly higher rate than in the majority of the corpus. The higher use of the Imperative Mood is typical of the Procedure genre, as it is the unmarked Mood choice to

give Commands. The choice of the “you” pronoun makes up roughly 32% of all pronouns in the text, compared to roughly 8% of pronouns in the rest of the corpus according to a Stanford Parser analysis. This relative high use of “you,” mostly in the Subject of clauses, is used to create more explicit Commands by designating who does the action. The choice of “you” thus increases the student writer’s choices for creating Commands, and in “Wood Joints,” four choices for realizing the Command Speech Function emerge. The student uses Imperative Mood and Declarative Mood, alternating between second-person and first-person plural (you and I) for Imperative Mood Commands and third-person and second-person subjects in the Declarative Mood Commands. These four choices are shown in Table 5.9

Table 5.9 *Mood and Person Choices in “Wood Joints”*

MOOD	PERSON	EXAMPLE
Imperative	2nd	<u><b>Always</b> mark the waste side of the line and make sure <i>you</i> follow on the right side of the line.</u>
Imperative	1st plural (you and I)	<u>Now let’s talk about beefing them up a little.</u>
Declarative	3rd	The wood is <b>usually</b> nailed or screwed into place.
Declarative	2nd	<i>You</i> <b>can</b> either cut these by hand or machine.

Most of the Commands in this Procedure are realized as Declarative clauses, which makes them indirect Commands. The use of indirect Commands is often a function of social relationships realizing authority (Martin & Rose, 2007). While the Imperative Command automatically confers a level of authority to the writer, the indirect Command realized in the Declarative Mood muddies the waters, so to speak. Indirect Commands often hide social hierarchies, as has been shown in Iedema’s (1997) study of

administrative genres. In the case of the “Wood Joints” writer, a Grade 12 career and technical education student, the Imperative Command certainly construes earned authority on the subject of wood joints after extensive study. The indirect Declarative Commands may be a further realization of this authority, as it asserts the Command for any given reader through general second and third-person pronouns. This level of authority, however, is complicated by the Modality choices in the text.

The student makes use of various Modality resources, including modal verbs. The number of the modal verbs “can” and “should” is significantly higher in this text compared to the whole corpus. According to a Stanford Parser analysis, the modal verb “can” makes up roughly 47% of all modal verbs in the text compared to 24% of modal verbs in the rest of the corpus; “should” makes up roughly 15% of the modal verbs in “Wood Joints,” compared to 4% of the modal verbs in the rest of the corpus. Perhaps even more notably, approximately 25% of all modal verbs in the corpus occur in “Wood Joints.” This suggests that Modality may be a key feature for constructing Procedures in the CCSS. In this text, the modal verbs “can” and “should” are choices in realizing the level of obligation the writer confers upon the action being Commanded. “Can” construes low obligation and “should” confers median obligation (Halliday & Matthiessen, 2013, p. 695) to the task. This complicates the “authoritative” reading of the indirect Commands previously suggested, as authority is usually construed through modal verbs of high obligation like “must.”

The second modal resource used, adverbs of usuality, clears up the issue of authority somewhat. The student uses “always” and “usually” frequently throughout the text to indicate how usual or frequent a Command is meant to be done. “Always” is a



marker of high usuality; “usually” is a marker of median usuality (Halliday & Matthiessen, 2013, p. 189). While usuality is not as directly tied to authority as obligation is, it shows that the student wants to convey some level of expert knowledge that generalizes to any given person engaged in the activity. If a person uses high usuality in their writing, they presume to speak for any and all cases of the task being commanded; this implies a level of knowledge about all the possibilities available for the task. Whether the authority the audience gives to the student writer is justified is irrelevant; the student writer is construing authority through their language choices. For example, the sentence in Table 5.8, “**Always** mark the waste side of the line and make sure *you* follow on the right side of the line,” shows the use of both the Imperative and the high usuality “always” to confer authority on the student writer. The use of adverbs of various kinds further develops the linguistic resources for expressing authority on the activity in a Procedure.

The use of the low obligation modals like “can” and “may” seems to challenge the level of authority of the student, but this is, in fact, a feature of more advanced Procedures produced outside the schooling environment, as documented in Martin and Rose (2008). The “Wood Joints” text shares many features in common with the non-schooling Procedural genres called a Conditional Procedure (p. 192). The Conditional Procedure makes use of low obligation modals in order to realize choices that must be made in an activity, along with Themes like “if” and “or” that realize conditions and alternatives in choices, respectively. These conditional procedures are shown in sentences like the one in Table 5.8: “*You* **can** either cut these by hand or machine.” The low obligation modal “can” allows the reader to make choices between either cutting the

mortoise and tendon or dovetail joints “by hand *or* machine” (emphasis mine). The “or” conjunction realizes the two alternatives in the choices. This conditional structure is shown not just at the clausal level, but at the phase level as well. The text is structured to explain the procedure for producing twelve different kinds of wood joints; it is not one procedure, but several procedures conditioned upon different purposes. It would be possible, then, to do a closer analysis of the text, identifying the Staging within each mini-Procedure. For example, paragraph 21, which is part of the dovetail Phase, functions like the Purpose Stage of a Procedure by explaining the reasons to create dovetail joints. The iterating Procedure analysis holds somewhat, but it does ignore the issue of Staging, as most Phases do not have a separate Equipment Stage. Most joints can be constructed with the tools identified in the main Equipment Stage in paragraphs 4-8. Therefore, a more generally acceptable analysis of the text is that of a single Procedure with multiple conditions.

This “Wood Joints” text, while somewhat more advanced than a typical, recipe-like Procedure, exhibits a number of important genre structural choices for students to use in constructing Procedures, as this analysis has attempted to demonstrate. First, it shows that students are expected to use general Procedure Staging, with Purpose, Equipment, and Steps Stages. The Step Stage, with its multiple Phases and conditional structure, provides one model for students wanting to write more complex Procedures and is certainly an expectation influenced by grade and developmental level. While the Procedure is a pathway genre to Procedural Recount, “Wood Joints” is not a great pathway text as a whole because of its complexity in Staging; parts of the text may be useful for showing specific Stages.

The Procedural Recount genre reflects on the results of an activity, often a scientific experiment, for which a Procedure text may have been used--thus establishing the pathway connection between the two genres. The Grade 7 “A Geographical Report” text is a Procedural Recount, previously analyzed in Klassen and Maune (2015), that generally follows the schematic structure identified in Martin and Rose (2008):

Purpose/Equipment and Materials^Method^Results^(Conclusion). This structure is familiar to scientists and may be seen as a schooling pathway genre to the professional Research Article genre (Martin & Rose, 2008, p. 200). The text, shown in Table 5.10, describes a student’s primary research methods and results in answering the question: “How can you establish vernal pools being thought of as a geographical asset?” (NGA & CCSSO, 2010b, p. 42). The student includes a description of their methods of primary and secondary research, followed by a report of their findings. The text concludes with a plan of action for saving the vernal pools, a feature documented by Christie and Derewianka (2008) in their Field Study genre texts, which is a related genre. This illustrates the general topological features school science genres increasingly share.

Table 5.10 Genre Analysis of “A Geographical Report”

<p style="text-align: center;"><b>A Geographical Report<sup>15</sup></b>  Grade 7 Procedural Recount/Experiment Report  Modal verbs in <b>bold</b>  Specific Participants (Proper nouns) in <u>underline</u>  Material Processes in <i>italics</i></p>
<p style="text-align: center;">PURPOSE</p> <p style="text-align: center;">1</p> <p>My report is on a very rare and unique wetland that many people do not even <i>know exists</i>. They <i>occur</i> only in a few places around the world.</p> <p style="text-align: center;">2</p> <p>My topic is <i>created</i> by a specific geographical condition. Vernal pools in <u>San Diego</u> <i>occur</i> only on the local mesas and terraces, where soil conditions <i>allow</i>, but these are the ideal place for much of the city's urban and agricultural development. Is it possible to <i>find</i> a balance between the two <i>conflicting</i> purposes of expansion and preservation?</p> <p style="text-align: center;">3</p> <p>This <i>raises</i> an interesting question; how <b>can</b> you <i>establish</i> vernal pools being thought of as a geographical asset?</p>
<p style="text-align: center;">METHOD</p> <p>Methods</p> <p style="text-align: center;">4</p> <p>To <i>answer</i> my question I had to <i>get</i> information on vernal pools: what they are, where they are, and how they are a sensitive natural habitat. Then I needed to <i>examine</i> how city expansion is <i>affecting</i> vernal pools, and if it is apt to <i>continue</i>. I needed to know what <u>the City</u> thinks about the problem and what they are <i>planning</i> to <i>do</i>.</p> <p style="text-align: center;">5</p> <p>First I <i>looked</i> for any information available on vernal pools at public libraries, but I <b>couldn't</b> find what I was <i>looking</i> for. The topic is apparently too obscure. Next I <i>went</i> to a university library that had an environmental department to <i>get</i> as much information as possible (<u>University of San Diego</u>).</p>

<sup>15</sup> Copyright 2010 National Center on Education and the Economy, on Behalf of New Standards. Used with permission.

Table 5.10 continued.

<p style="text-align: center;">6</p> <p>I also <i>interviewed</i> several authorities in the field: the district representative for the <u>U.S. Army Corps of Engineers</u>, the federal agency responsible for the protection of wetlands; a senior environment planner with the <u>City of San Diego</u>, who <i>wrote</i> the <u>City's Resource Protection Ordinance (RPO)</u>; the <u>Station botanist</u> at <u>Miramar Naval Air Station</u>, who is in charge of their vernal pool management plan on the land that has the largest number of pools remaining in the <u>City of San Diego</u>; a biologist <i>working</i> for <u>RECON (Regional Environmental Consultants)</u>, a firm which is <i>mapping</i> the vernal pools for the <u>City of Hemet</u>, (another city in <u>San Diego County</u> <i>facing</i> the same issues); and finally a geographer <i>working</i> for <u>SANDAG (San Diego Association of Governments)</u>, a regional organization that <i>gathers, records, and analyzes</i> data associated with regional planning and environmental issues. They <i>answered</i> many questions and offered their own ideas and information, including additional articles on my subject. I <i>looked</i> at several maps and photos of vernal pools locations, and charts of <i>changing</i> land use.</p> <p style="text-align: center;">7</p> <p>To decide how much education <b>may</b> be needed about vernal pools, I <i>made</i> a questionnaire, and <i>surveyed</i> two classrooms of elementary students, and a group of forty-two adults, trying to <i>cover</i> most age groups.</p>	<p style="text-align: center;">RESULTS</p> <p>What Vernal Pools Are</p> <p style="text-align: center;">8</p> <p>Vernal pools are a unique and rare form of wetland. Wetlands are areas that are <i>covered</i> or <i>soaked</i> by water enough to <i>support</i> plants that <i>grow</i> only in moist ground. Some examples of wetlands are bogs, swamps, marshes, and edges of lakes and streams. These are what people think of when they hear "wetland". But vernal pools are different than these other types of wetlands. They are <i>located</i> on dry and flat places. No one <b>would</b> expect to <i>find</i> a wetland in such a dry area!</p>
<p style="text-align: center;">9</p> <p><u>San Diego</u> vernal pools are <i>surrounded</i> by small mounds <i>called</i> "mima mounds". The name mima mounds <i>come</i> from the <u>Mima Prairie near Olympia, Washington</u>. People don't know for sure how mima mounds are <i>formed</i>. Some think that they were <i>formed</i> by gophers <i>piling</i> up the earth. Others think that ice wedges from glaciers <i>caused</i> the upheaval, or maybe the wind <i>pushed</i> loose dirt, <i>catching</i> in clumps of shrubs. Mounds <b>can</b> be <i>found</i> on prairies or terraces with a hardpan or clay layer underneath.</p>	<p style="text-align: center;">10</p> <p>Vernal pools are depressions between the mima mounds. In winter the pools are <i>filled</i> by rain storms. In spring the pools <i>look</i> their best, when plants <i>are</i> in full splendor. By summer the pools are dry and <i>look</i> only like a dry pothole, (<i>See</i> illustration of pool cycles and typical cross section.) A vernal pool does not <i>dry</i> by <i>soaking</i> into the ground; the layer of clay or rock underneath the pool <i>prevents</i> the water from <i>soaking</i> through. Instead they <i>dry</i> out from evaporation, or <i>use</i> by the plants. The mima mounds are not impervious so one pool tends to <i>drain</i> into another. Therefore, the pools have to be on flat land; the pools <b>cannot</b> be on a slope or the water <b>would</b> <i>run</i> off, and the pools <b>would</b> not be <i>filled</i>.</p>

Table 5.10 continued.

### Why Vernal Pools Are So Important

11

Vernal pools are a very rare, specific habitat. Hardly any are *left*, so we don't have many to *lose*. There used to be vernal pools on many of the mesas and terraces of San Diego County, and the Central Valley of California. Now there are almost no vernal pools in the Central Valley, and an estimated 97% have been *lost* in San Diego County. An estimated 80% of the remaining pools in San Diego are *located* on Miramar Naval Air Station. (See map, next page.)

12

It does not *take* much to *disturb* a vernal pool. Even grazing or off road vehicle use in the summer, when pool species are dormant and people **could** think they are just a dry hole, **can damage** them. Most are disturbed by *grading* and *flattening* of their habitat, or by breakup of the impervious layer. With just flat land there **would** be no depressions for vernal pools to *form*; what **would** form **would** be "vernal mud". With no impervious layer the water **would** just *sink* into the ground, and **would** be there only for a short period of time, not enough for wetland plants.

13

The mima mounds have to be *protected* too. If the watershed for the pools is *changed*, the condition of the pools *changes*. If there isn't enough water from runoff, then all plant or animal life in them *disappears*, because they need enough moisture at the right time, to *live*. If there is too much water, then the pool **may** *turn* into another kind of wetland, such as a bog.

14

Although people have begun to *study* them, there is still a lot to learn. One thing scientists know is that they are a part of a larger environment. Many animals *travel* from other areas to *feed* on plants or animals, or *drink* from the vernal pools. For example, water fowl from many other places **will** *stop* at the pools to *eat* the fairy shrimp and snack on the plants.

15

Vernal pools have a large assortment of rare and exotic flora and fauna (plants and animals). Five of them are on the federal list of endangered species, and one more is a candidate for listing. The plants and animals in vernal pools are unusual because they have only *developed* recently *compared* to other changes in evolution. As scientists *study* the pools more intently they are *finding* more and more unknown species. There are temporary pools in other places around the world, but California's vernal pools are different because of their long drought phase, which *causes* the plants and animals to *adapt* to the climate. They *go* into a dormant phase. For example, fairy shrimp *lay* eggs before the drought which *hatch* when it *gets* moist enough to *be* active. Some plants, in a short period of time, *develop* seeds; others appear to *die* out, but quickly *spout* again from the rain. Many of these species **cannot survive** outside vernal pools, and some are "endemic" (species *found* only in a very *restricted* geographical area).

Table 5.10 continued.

CONCLUSIONS	
Protection Techniques	
	16
The first step is to try to <i>keep</i> development away from vernal pools. But to <i>do</i> this you first need to know where the pools are. Thanks to regional mapping efforts, existing vernal pools have been fairly well <i>identified</i> in <u>San Diego County</u> .	
	17
There are already laws against disturbances of vernal pools. You <b>could</b> go to jail or get <i>fined</i> a large sum of money for <i>disturbing</i> a wetland. <u>The U.S. Fish and Wildlife Service</u> <i>protects</i> the listed endangered species present, and <u>the U. S. Army Corps of Engineers</u> <i>makes</i> sure you don't <i>fill</i> any kind of wetland habitat, including vernal pools. The local office of <u>the U.S. Army Corps of Engineers</u> has <i>submitted</i> a proposal to <u>Washington</u> for a stricter permit process for vernal pools.	
	18
When possible the vernal pools <b>should</b> be part of a large preserve of open space. That way the pools <b>would</b> not be isolated islands, but part of their natural communities, and <b>would</b> be <i>protected</i> by a buffer of distance. Fences <b>should</b> not be <i>put</i> directly around the vernal pools unless it <b>cannot</b> be <i>avoided</i> , because it <b>would</b> <i>keep</i> some animals out, such as rabbits which <i>spread</i> plant seeds around when they <i>eat</i> them.	
RESULTS	
	19
It is important to <i>educate</i> people about vernal pools so they know how important they are and what they <i>look</i> like, and so they know how to <i>preserve</i> them. To see how much education <b>may</b> be needed in <u>San Diego</u> , I <i>surveyed</i> ninety-two people (forty-two adults and fifty elementary students to <i>try to cover</i> all age groups). I asked them if they had heard of vernal pools, and if they knew what they were. About 21% thought they had heard of them, but only 7% really knew what they were. (See pie chart.) I found that much education is needed.	
	20
At <u>N.A.S. Miramar</u> the <u>Station botanist</u> has been <i>putting</i> articles <i>dealing</i> with vernal pools in almost every issue of the base newspaper. Now most people on the base know about vernal pools, and know how valuable they are.	

Table 5.10 continued.

CONCLUSIONS	
Recognizing an Asset	
	21
Education is a key to <i>preserving</i> vernal pools. Vernal pools are very unique and we do not have many to <i>lose</i> . <i>Making</i> new ones does not <i>work</i> . Studies <i>done</i> at <u>the University of California, Santa Barbara</u> , have <i>shown</i> that after five years their complexity <i>goes</i> down.	
	22
First, vernal pools <b>must</b> be <i>protected</i> . There <b>could</b> be different ranges of accessibility, from remote (available to research only), somewhat accessible (good for guided seasonal visits), to readily accessible (which <b>may</b> have to be <i>protected</i> by fencing or supervision). The most accessible ones <b>would</b> be a great educational opportunity for the general public. The pools closer to development <b>could</b> be <i>developed</i> into nature centers, with raised boardwalks to <i>protect</i> the habitat, as is <i>done</i> over the hot springs in <u>Yellowstone</u> . (See illustration.)	
	23
Interpretive signs and docents <b>could</b> <i>provide</i> information. <i>Being</i> very unique, vernal pools <b>would</b> <i>make</i> interesting learning centers. People <b>would</b> learn how the plants and animals <i>adapt</i> to the seasonal changes. This <b>would</b> <i>teach</i> people the importance of vernal pools, how complex they are, how to <i>identify</i> them, and how to <i>preserve</i> them when wet or dry. A park in the <u>Sacramento</u> area has an adjacent vernal pool with hiking trails around it; and it seems to <i>work</i> there because the people there know how important and delicate it is.	
	24
Ecotourism, a popular concept now, <b>would</b> be another idea. <u>San Diego</u> is a place where tourists already <i>come</i> . The very climate and geography that <i>brings</i> people here is what <i>created</i> vernal pools. Ecotourism <b>would</b> be easy to <i>add</i> to the other attractions, and <b>would</b> indirectly <i>benefit</i> the city. A tour company <b>might</b> be <i>authorized</i> to place advertisements to <i>bring</i> people to learn the importance of vernal pools and their ecosystem. With many people outside <u>San Diego</u> knowing about vernal pools and concerned about their well-being, there <b>would</b> be widespread support for vernal pool protection.	
Conclusion	
	25
The problem of <i>endangering</i> vernal pools <b>will</b> not <i>go</i> away, because <u>the City</u> <b>will</b> need more land to <i>develop</i> . However, vernal pools remain a rare and unique wetland, and need protection. Even though there are laws <i>made</i> to <i>protect</i> them, pools are still being <i>lost</i> . Education is needed. Widespread education <i>showing</i> how important vernal pools are, and how easy they are to <i>disturb</i> , <b>will</b> <i>create</i> widespread support for protection.	
	26
A balance between expansion and preservation <b>will</b> not <i>come</i> easily, but if the public <i>views</i> vernal pools as a geographical asset, the balance <b>will</b> <i>shift</i> toward long-term vernal pool preservation.	



The general linguistic features of Procedural Recounts include Material clauses to show the action of the experiment and the findings, usually in the past tense to indicate that the experiment or observation has already occurred. Specific Participants mark this genre in contrast to the Report and Explanation families, as the Procedural Recount recalls things and events that the student writer directly observed (Schleppegrell, 2004). In the “Geographical Report,” these features are shown in Table 5.10, along with modal verbs, which become increasingly more important in the final Stage.

Material Processes dominate this text given its social purpose of recounting activities--that is the gathering of information, the giving of a survey, and the call to action. Material Processes are most notable in the Method Stage, where the student uses action verbs to construe the activity of research, as shown in (11), a sentence that serves as a hyperTheme to paragraph six.

(11) I also *interviewed* several authorities in the field:...

The Material Process “interviewed” realizes the methods of the student, along with situating the events in the past with the past tense marker. What follows the colon in (11) is a list of specific Participants that realize the student’s study participants--that is, the people that he interviewed and engaged with.

Within this long listing, the student uses Material Processes to indicate the jobs of the study participants. An example is shown in (12).

(12) a biologist *working* for RECON (Regional Environmental Consultants), a firm which is *mapping* the vernal pools for the City of Hemet, (another city in San Diego County *facing* the same issues)...

While the participant is not referred to by name with a specific Participant, or proper noun, the student uses an embedded non-finite clause headed by the Material Process “working” followed by the specific Participant and proper noun “RECON (Regional Environmental Consultants). This is significant for two reasons. First, it shows the student’s control over clausal embedding to expand Participant descriptions, which condenses the information into a smaller space--a common practice in academic register (Schleppegrell, 2004). It also allows the student to construe another important feature of the Procedural Recount--anonymity of participants. While certainly not a requirement, this feature prepares the student for college research writing and the descendent Research Article genre through practicing grammatical strategies for referring to participants without identifying them specifically.

Material Processes continue in the Results Stage of the Recount, construing the activities occurring in and around vernal pools, as shown in paragraphs 10 and 15. The student also employs Material Processes to describe the actions of people that negatively affect the vernal pools, as shown in paragraph 12. The student then shifts in the Conclusion Stages towards employing Material Processes and modal verbs to construe a plan of action to protect the environmental feature. The paragraph 22 sentence shown in (13) shows how the student uses a modal verb “must” in front of the Material Process “protected” to indicate the high level of obligation people have to preserve the vernal pools.

(13) First, vernal pools **must** be *protected*.

The use of the modal verbs abounds in the Conclusion Stage, as the student elaborates on various strategies for saving the vernal pools. The modal verbs “could,” “would,” and

“should,” which are frequently used, indicate low and median certainty of the preservation actions they modify. The predominance of “would” in particular, a median level certainty modal, reflects the student’s confidence that these actions would help save the vernal pools. Like the Procedure above, the low and median modal verbs also construe alternative choices for vernal pool preservation. Any and all of the actions could satisfy the requirement of protecting the vernal pools.

The final genre in the Procedural family shown in the CCSS is the Protocol genre--a type of procedural writing that aims to “restrict rather than enable behavior” (Martin & Rose, 2008 p. 213). This genre occurs in a prototypical form at the end of the “TIG/GTAW Welding”(NGA & CCSSO, 2010b, p. 103-105) text and in prosodic waves (Martin & Rose, 2008, p. 214) throughout the “Wood Joints” text. The Protocol genre has not evolved an established schematic structure, but often emerges as a list of prohibitions. Given the essay form of the Procedural texts in the CCSS--and indeed, most of Appendix C--the list structure is not used. Instead, the student writer composes a cohesive paragraph identifying proper safety procedures for welding activities, as shown below in Table 5.11.

Table 5.11 *Genre Analysis of “TIG/GWAT Welding”*

<p style="text-align: center;"><b>TIG/GWAT Welding</b>  Grade 12 Protocol  Second-person pronoun in <i>italics</i>  Modal verbs in <b>bold</b>  Non-finite clauses of purpose in <u>underline</u></p>
<p>Now that <i>you</i> know about some recommendations on <u>how to improve your weld abilities</u>, I <b>will</b> explain <u>how to protect yourself during welding</u>. Safety is a huge deal when it comes to welding in general. <i>You</i> <b>need</b> the proper protective equipment <u>to make your job or experience as safe as it <b>can</b> be</u>. <i>You</i> <b>need</b> <u>to protect your eyes, skin, and lungs</u>. <i>You</i> <b>need</b> a proper welding helmet <u>to protect your eyes</u> and face from the bright arc and spatter. <i>You</i> <b>will</b> also <b>need</b> thick gloves and a long sleeve cotton shirt <u>to protect your skin from burning from the bright light</u>. <i>You</i> <b>should</b> leave no skin uncovered or unprotected. Burns <b>can</b> lead to blindness and skin cancer. <i>You</i> <b>should</b> also have pants and steel toe boots <u>to protect against further burns or falling objects</u>. A respirator <b>should</b> be used when welding specific metals <u>to protect your respiratory system from cancer and other damage</u>.</p>

In this Protocol, the use of the second-person pronoun in Declarative clauses is used to realize Commands, along with third-person declarative clauses. The lack of Imperatives here is noticeable, but also illustrates that the student has developed other linguistic resources to realize Commands beyond the congruent and simple Imperative clause structure. Modal verbs, like “should,” “will,” and “need,” occur throughout the text to express the varying levels of obligation of the specific Commands, between median and high. This emphasizes the intensity of obligation of the Commands; some low Modals are used, but not in Commands.

Finally, as Iedema (1997) has previously shown in administrative directives, rationale and motivation play an important role in legitimizing the Commands in this Protocol. The student wants the reader to know *why* these strict Commands should be followed. The use of non-finite clauses in this Protocol usually follows a Command,

revealing the purpose of the Command. This draws on a system of logico-semantic relations called Enhancement, where additional clauses are added to a sentence in order to “qualify” the sentence in specific ways (Halliday & Matthiessen, 2013, p. 476)--in this case, to qualify the purpose of the Command in the previous clause. One of these non-finite clauses of purpose is shown in (14).

(14) *You **should** also have pants and steel toe boots to protect against further burns or falling objects.*

In (14), the student uses the second-person “you” and the Modal verb “should” to realize the Command speech function in a declarative statement advising the wearing of “pants and steel toe boots.” This Command on its own would classify the text as a Protocol as it restricts the wardrobe of the welder (i.e., pantsless and bootless welding is not advised); the additional non-finite clause “to protect against further burns or falling objects” provides nonessential information. But the rationale can be helpful in establishing, again, the authority of the student writer and legitimizing the use of the high and median Modals of obligation. The non-finite clause of purpose further builds the authoritative relationship between the student writer and the audience by providing the audience with an understanding of why the Command should be followed; if the audience accepts the argument in the non-finite clause, the student writer has built more of an authoritative relationship by gaining the audience’s acquiescence to the proposition.

In summary, the Procedural family of genres is represented in Appendix C by five texts, and each genre in the family--Procedure, Procedural Recount, and Protocol--is present, suggesting that students need to know each of these genres to some extent. The general structure of each genre is consistent with previous research (Martin & Rose, 2008;

Rose & Martin, 2012); when students write Procedures, they are expected to produce a Purpose^Equipment^Steps structure; when they write Procedural Recounts, they are expected to produce a Purpose^Method^Results^(Conclusion) structure.

In the Procedure and Protocol genres, students are expected to make use of a variety of linguistic resources to realize Commands, including the Imperative Mood and Declarative Mood. The frequent use of Declarative “you” clauses suggests that these clauses are included as one of these options, despite the frequent prohibition of “you” in academic college writing (Maune, et al., 2016). This suggests a developmental scaffolding, allowing students to build linguistic resources in K-12 before graduating to a more proscribed academic register in college. Modal linguistic resources are also expected to allow students to express probability, certainty, and especially obligation of the statements and Commands that they make in their Procedures and Protocols. In order to express rationale for Commands and develop an authoritative relationship with the audience, the use of non-finite clauses and other linguistic resources may be expected.

In the Procedural Recount, students are expected to make use of Material Processes, or doing verbs, to express how they did their research, what they found, and, in many instances, what should be done about it. In this genre, students need to develop a new set of noun resources, namely specific Participants realized as proper nouns, to connect their methods and findings with the specific context in which their research applies. Conclusions in Procedural Recounts may include a call to action, which may be realized through a variety of linguistic resources, including Modal verbs to express differing levels of obligation.

Table 5.12 *Summary of Genre Expectations for Procedural Family*

Gray areas are NOT attested in Appendix C. The recommendations are based on previous research from Brisk (2014), Christie and Derewianka (2008), Brisk (2014), Martin and Rose (2008), Rose and Martin (2012), Schleppegrell (2003; 2004)			
Grade Level	Genres and Staging Expectations	Exemplars in Appendix C	Language Expectations
K-5	<b>Procedure</b> <i>Purpose</i> <i>Equipment</i> <i>Steps</i>  <b>Procedural Recount</b> <i>Purpose/Materials/Equipment</i> <i>Method</i> <i>Results</i> <i>(Conclusion)</i>  <b>Protocol</b>		<ul style="list-style-type: none"> <li>• “Doing” and “happening” verbs (Material Processes) to describe actions of activities</li> <li>• Commands in Imperative Mood to show what should be done in activity (Procedure)</li> <li>• Statements in Declarative Mood to describe what was done in activity</li> <li>• Proper nouns (specific Participants) to name the things involved in activity (Procedural Recount)</li> </ul>
6-8	<i>All of the above</i>	<b>Procedure</b> “Football” (p. 47)  <b>Procedural Recount</b> “A Geographical Report” (p. 42)	<ul style="list-style-type: none"> <li>• <i>All of the above, and...</i></li> <li>• Technical and abstract nouns and noun phrases (Participants) to show understanding of the topic and material (Field)</li> <li>• Second and third-person statements in Declarative Mood to make Commands</li> <li>• Modal verbs and adverbs to show levels of obligation, certainty, and alternative choices</li> <li>• Modifying clauses (non-finite clauses of purpose) to explain why activities should or should not be done</li> </ul>

Table 5.12 continued.

9-12	<i>All of the above</i> Procedural genres embedded in <b>Macrogenre</b> texts	<b>Procedure</b> “The Making of a Human Voice and How to Use It” (p. 94) “Wood Joints” (p. 98) “TIG/GTAW Welding” (p. 103)  <b>Protocol</b> <i>(embedded and phased in larger text)</i> “Wood Joints” (p. 98) “TIG/GTAW Welding” (p. 103)	<i>All of the above</i>
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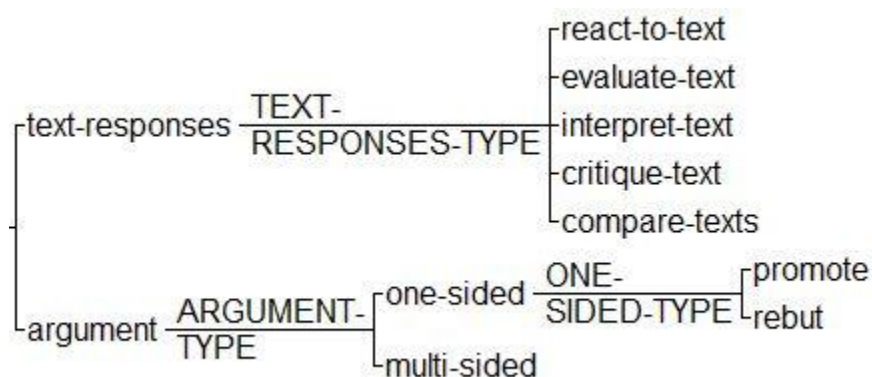
## CHAPTER 6. GENRE AND LANGUAGE EXPECTATIONS OF EVALUATING GENRES

### 6.1 Evaluating Genres

The Evaluating genres generally map to the Argument text type in the CCSS. This order of genres includes two genre families: Arguments and Responses. While each family of genres is represented in Appendix C, not every genre in each family is represented. One new genre, the Text Comparison, emerges from the Response family as a genre unique to the U.S. context. Multiple instances of the Text Comparison genre support its inclusion in the typology. The Evaluating genres are generally well-represented across grade levels as well, with instances from each family occurring in the elementary, middle school, and high school grade bands. This makes for a clearer trajectory of genres and language features, although the lack of some genres, such as the Review genre or Critical Response, make a developmental trajectory somewhat tenuous to extrapolate.

The Evaluating order of genres, shown in Figure 6.1 includes the Argument family, which has been attested in History classes frequently in both the Australian genre research (Martin & Rose, 2008; Christie & Derewianka, 2008) and U.S. research (Schleppegrell, 2004; de Oliveira, 2009). However, in Appendix C, very few Arguments feature historical content; most deal with Fields in current events. This suggests a gap in the models for arguing in History, which is problematic given its integral status in content and language learning in the discipline (de Oliveira, 2006;

Schlepppegrell, Greer, Taylor, 2008). The second family of Evaluating genres is the Response family, where students respond in some way to a text they have read. This family is common in English classes, and its typology in the U.S. seems to differ somewhat from the Australian model.



*Figure 6.1* Evaluating Order Genre Typology

## 6.2 Responses Analysis and Discussion

The Response family of genres are an important genre set for content-area learning in English, as they allow students to form opinions and interpretations on literature and share them in a reasoned, academic register. This family draws on and develops Appraisal resources to evaluate texts and elements of texts, like characters. The Response family as described in the Martinian model (Martin & Rose, 2008; Rothery & Stenglin, 1997) includes four main genres: Personal Response, Review, Interpretation, and Critical Response. The Personal Response genre, commonly used in elementary as a pathway to more complex genres, is represented in the Kindergarten text, “My favorite Book is do you Want to be my FRIEND” (NGA & CCSSO, 2010b, p. 6; translated “My Favorite Book is ‘Do You Want to Be My Friend?’” and henceforth “Favorite Book”) and the Grade 2 text, “Owl Moon” (NGA & CCSSO, 2010b, p. 15). The Interpretation

genre, a more advanced, secondary-level genre, is represented widely in the three texts: Grade 8 “The Old Man and the Sea” (NGA & CCSSO, 2010b, p. 49-50; henceforth “Old Man”), Grade 10 “Animal Farm” (NGA & CCSSO, 2010b, p. 68), and Grade 10 “Marching to His Own Beat” (NGA & CCSSO, 2010b, p. 70-71). All three of these Interpretation texts are classified as exemplars of the Informative/Explanatory text type, which conflicts with the SFL Martinian classification of Interpretation as a fundamentally evaluative--and thus argumentative--genre. This discrepancy, while not as problematic as it immediately seems, will be addressed in Chapter Seven.

The final genre represented in the Response family is the Text Comparison genre, a genre that may be unique to the U.S. context. The Text Comparison genre is instantiated in three texts in Appendix C: the Grade 5 text “Author Response: Roald Dahl” (NGA & CCSSO, 2010b, p. 29-30), the Grade 8 text “The True Meaning of Friendship” (NGA & CCSSO, 2010b, p. 58), and the Grade 9 text “Lives on Mango, Rides the Whale” (NGA & CCSSO, 2010b, p. 60-61). These instantiations show that the genre is primarily a secondary-level text, but can be taught as early as Grade 5. Given the gap of the elementary Personal Responses and the middle and high school Interpretations, it may seem that the Text Comparison is an intermediary step. However, because Text Comparison draws on conceptual and linguistic features of the Interpretation genre, it is more likely that the gap in the corpus is simply that: a gap. Appendix C lacks an exemplar of the less-complex Interpretation genre at the elementary level, which makes the Grade 5 text even more exemplary.

The pathway genre to more complex genres in the Response family is the Personal Response. The Personal Response genre aims to “express one’s feelings about a

text” (Martin & Rose, 2008, p. 93), and thus draws primarily on Appraisal resources to share their emotional response to the text. The schematic structure for a Personal Response is Orientation^Text Description^Comment (Rothery, 1994), which is illustrated in the “Favorite Book” text in Table 6.1 below. In the Orientation, the student introduces the book with the title and evaluates it with the Appreciation resource “favorite.” As to be expected, at the Kindergarten level, the linguistic resources are limited for sharing students’ feelings, as was shown in the Personal Recount. The repetition of “favorite” later illustrates the the linguistic developmental level. However, the student writer does reconstruct part of the story in the Text Description, mostly relying on Verbal Processes to construe the dialogue of the story (punctuation was added for clarity). This is somewhat atypical, as most Personal Responses rely on Material Processes to reconstruct the plot of the story or significant events and Mental Processes to share the student writer’s feelings and thoughts about the story (Martin & Rose, 2008; Rothery, 1994). The nature of the storybook the student is evaluating may have relied heavily on dialogue, which may explain the differing linguistic choices of the student. Finally, in the Comment Stage, the student evaluates a specific part of the book with the sentence: “My **favorite** part was the horse,” again using Affect to react to the story, focusing on an element rather than the entire composition. As a pathway genre, the Personal Response at the Kindergarten level allows the student to draw on simple and existing linguistic resources to construct a reaction to the text.

Table 6.1 *Genre Analysis of “My Favorite Book is Do You Want to Be My Friend?”*

<b>Personal Response<sup>16</sup></b> Kindergarten “My Favorite Book is <i>Do You Want to Be My Friend?</i> ” Verbal Processes in <u>underline</u> Affect in <b>bold</b>
<b>ORIENTATION</b> My <b>favorite</b> book is do you want to be my friend.
<b>TEXT DESCRIPTION</b> The mouse <u>asked</u> the horse if you will be my friend. The horse <u>said</u> , "No." The little mouse <u>said</u> , "Yes." They dug a hole in the ground.
<b>COMMENT</b> My <b>favorite</b> part is the horse.

As students’ linguistic resources develop through aging and instruction, the Personal Response genre becomes more complex, as shown in the Grade 2 “Owl Moon” text. The student, albeit through a series of run-ons and comma splices, combines multiple clauses, both finite and non-finite, in this text to express reasons for their feelings on the text with “because” and “when” clauses. The student’s feelings are realized through a variety of Appraisal resources, showing the development from Kindergarten to second grade, using different adjectives like “good” and “happy.” The student begins to use Mental Processes, namely “like” and “feel,” to realize Affect as well; while there is no reason to believe the Kindergartner does not have this resource, it is notable that in Grade 2, the Affect resources expands beyond the simple adjective-noun grammatical structure in the Kindergarten text. The student also uses the noun “hope” to construe the positive emotion they felt after experiencing the theme of the story. In short, the Personal Recount serves as a suitable genre for beginning writers in English classes to

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draw on and develop various linguistic resources, namely Appraisal, to construe meanings about a text they have read.

Table 6.2 *Genre Analysis of “Owl Moon”*

<p><b>Personal Response<sup>17</sup></b>  Grade 2 “Owl Moon”  Mental Processes in <u>underline</u>  Affect in <b>bold</b>  Clause Complex marked with      Clause boundary marked with   </p>
<p>ORIENTATION</p> <p>    “When you go owling,    you don’t need words or worms or anything but <u>hope</u>.”     This is the book of Owl Moon.     This book is written by Jane Yolen.    </p>
<p>TEXT DESCRIPTION</p> <p>    I <u>like</u> that phrase    because the boy was <b>happy</b>    because he got    to go owling    and he has been <u>wanting</u>    to go owling for a long time,    and he finally got    to go.     When other kids are <b>happy</b>    that makes me <b>happy</b>.    </p>
<p>COMMENT</p> <p>    I <u>like</u> it    because it makes me <u>feel</u> <b>good</b>    because you don’t have    to have words    to go owling,    but you have    to have <u>hope</u>    to see an owl.    </p>

It is worth noting, at this point, the absence of the Review genre, which is a useful pathway to the more complex Interpretation. The Review genre is notable for its expansion of Appraisal resources beyond Affect to Appreciation and Judgment (Martin & Rose, 2008; Rothery, 1994). The lack of a Review exemplar makes it difficult to extrapolate expectations, but more importantly its absence in the presence of two Personal Response models shows a possible conflict about the value of each genre in English education in the U.S. and Australian models. Martin and Rose (2008) argue that

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Personal Responses are “actually the least valued response type in formal examinations” (p. 93). This potential conflict will be addressed in Chapter Seven.

The last Martinian genre present in the CCSS Appendix C is the Interpretation genre. The Interpretation genre is composed of three Stages: Evaluation^Synopsis of Text^Reaffirmation. As shown in Table 6.3, the “Old Man” text (previously analyzed in Maune & Klassen, 2014) shows these Stages clearly in an Interpretation. In the Evaluation, the student conveys their interpretation, or the “message” of the story, through a thesis statement or macroTheme (Martin & Rose, 2008; 94). In the Synopsis Stage, the student “selects certain elements of the story to illustrate the message” (p. 94). In the Reaffirmation, the thesis or “message” of the text is restated and a summary of support is provided (p. 94). In “Old Man,” the student argues that the character of Santiago shows “determination” in the face of overwhelming tragedy; this thesis is supported by plot points and quotes from the text and is reaffirmed in the final Stage.

Table 6.3 Genre Analysis of “The Old Man and the Sea”

<p style="text-align: center;"> <b>The Old Man and the Sea</b><sup>18</sup>            Grade 7 Interpretation            Material Processes in <b>bold</b>            Appraisal features in <u>underline</u>            “Showing” verbs in <i>italics</i>            Themes in hyperThemes in grey highlight         </p>
<p style="text-align: center;">EVALUATION</p> <p style="text-align: center;">1</p> <p>In the book The Old Man and the Sea, Ernest Hemingway tells the story of an <u>old Cuban fisherman</u> named Santiago who, considered by the villagers to be the <u>worst type of unlucky</u>, is still <u>determined</u> to <b>win</b> a battle against a giant Marlin off the coast of Cuba. Santiago <b>succeeds</b>, but his successes do not <b>come</b> without <u>great hardship and struggle</u>. He <b>spends</b> three days being <b>dragged</b> in his skiff by the enormous marlin with minimal food and water, all the while enduring acute physical <u>pain, tiredness</u>, and an unending <u>loneliness</u> due to the absence of his young friend, Manolin. It is only after Santiago’s <u>prize fish</u> is completely <b>devoured</b> by sharks that he <b>returns</b> home to the village scorners and the <u>safety</u> of Manolin’s trust. As his <u>suffering</u> and <u>loss</u> compound, we can see that Hemingway’s quote “a man can be <b>destroyed</b> but not <b>defeated</b>” offers a key insight into Santiago’s life.</p>
<p style="text-align: center;">SYNOPSIS OF TEXT</p> <p style="text-align: center;">2</p> <p>As the story begins, we learn that Santiago has <b>gone</b> eighty-four days straight without <b>catching</b> a fish. Young Manolin’s parents will no longer allow the two to fish together, for they do not want their son being <b>exposed</b> any more to this type of <u>failure</u>. Santiago and Manolin are deeply <u>saddened</u> by this news, but Santiago does not <b>let</b> the <u>loss</u> of his friend or the <u>defeat</u> that others see him <u>suffering</u> <b>keep</b> him off the sea. Rather, with <u>bright</u> and <u>shining</u> eyes he thinks “maybe today. Every day is a new day” (pg. 32), and prepares to catch the biggest fish of his life. This <i>shows</i> that even though almost all of Santiago’s acquaintances feel that his <u>fishing career is over</u>, he sees it about to <b>reach</b> its all time <u>high</u>. Though he knows he <b>is</b> physically <u>older</u> and <u>weaker</u> than most of his fellow fisherman, he <b>refuses</b> to <b>let</b> their opinions and stereotypes <b>destroy</b> his <u>confidence</u> and <u>determination</u>.</p>

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Table 6.3 continued.

3

As the story **progresses**, Hemingway *presents* an even more vivid picture of Santiago **refusing** to be **destroyed** by the forces that **threaten** to **defeat** him. Even after he **accomplishes** the difficult task of **hooking** the giant Marlin, he **finds** his skiff being **dragged** by the fish for over two days. Living in the small boat is no easy task for Santiago, and soon injury and suffering seem to **take** over his entire body. His back is sore from **sitting** so long against the stiff wood, his face is **cut** from fishing hooks, his shoulders **ache**, and his eyes have trouble **focusing**. Most difficult to **endure** though **is** the terrible condition in which he **finds** his hands. The left one is **weakened** from a period of being tightly cramped, and both are extremely mutilated from the burn of the **moving** fishing line. It would have been so much easier for Santiago to simply **give** up and **release** the fish, yet he knows that if he endures a little longer, victory will be his. Even when it seems he has no effort **left**, Santiago promises himself “I’ll **try** it again.” (pg. 93) This is Santiago’s real inner determination coming through. He has **encountered** so many obstacles during the past few days, yet he will not **let** them **defeat** his dream of **killing** the fish. There is no outside force promising a splendid reward if he succeeds, only those that **threaten** to ridicule him if he is **destroyed**. Santiago is **working** solely on his own desire to **fulfill** his dream and **prove** to himself that, although his struggles may **cost** him his life, he can **accomplish** even the seemingly impossible.

4

After three long days and nights, Santiago’s determination **pays** off, and at last he **manages** to **catch** and **kill** the Marlin. It is only a very short time that he has to relish in his triumph though, for a few hours later vicious sharks **begin** to **destroy** the carcass of the great fish. For hours, Santiago **manages** to **ward** them off, but this time it is not he who **wins** the final battle. Spirits low and pain at an all time high, Santiago **returns** to the village, **towing** behind him only the bare skeleton of a treasure that once was. It seems as though Santiago is ready to just **curl up and die**, and indeed he has reason to feel this way. Yet as he **rests** alone and talk with Manolin, we *see* a hint of Santiago’s determination, that has **characterized** his personality throughout the entire story, **begin** to shine through. Upon **reaching** home, he **begins** to **make** plans with Manolin about future adventures they will have together. Hemingway tells us that Santiago, in his youth, had loved to **watch** the majestic lions along his home on a white sand beach in Africa, and he still **returns** to those dreams when **searching** for contentment. That night, as Santiago drifts off to sleep, Hemingway tells that he was indeed “dreaming about the lions.” (pg. 127) This *is* perhaps the truest test of how much courage and determination a person has. If even when they have suffered the biggest defeat of their life, they are able to **look** to the future and realize the wonderful things they still possess. Though the forces of nature and time **destroyed** Santiago’s prize fish, he **refuses** to **let** that fact **ruin** the rest of his life. No one can **take** away his love for Manolin or memories of what once was, and because of this, no one can ever truly **defeat** Santiago.

Table 6.3 continued.

REAFFIRMATION
5
In conclusion, throughout the entire story <i>The Old Man and the Sea</i> , Santiago <b>refuses</b> to <b>surrender</b> to the forces <b>working</b> against him. He ignores the comments of those who think he is <u>unlucky</u> , <b>endures</b> great <u>physical pain</u> , and <b>ris</b> es up from the depths of <u>sorrow</u> over the <b>lost</b> Marlin to <b>find</b> <u>happiness</u> in what he does <b>possess</b> . Hemingway's quote "a man can be <b>destroyed</b> but not <b>defeated</b> " truly does <i>display</i> the amount of <u>determination</u> that Santiago <i>shows</i> throughout his life.

Appraisal resources that evaluate Santiago, other characters, and events in the story. In supporting the thesis, the student uses Appreciation to evaluate the situations Santiago faces, with specific Appreciation like "terrible condition in which he **finds** his hands" and "bare skeleton of a treasure that once was" (the latter referring to the fish Santiago caught). Judgment is also used to evaluate the physical and mental state of Santiago in nominalizations like "suffering" and "hardship," and in Material Processes like "**threaten** to **defeat** him." In contrast to these negative Appreciations and Judgments, the student uses positive Judgment to characterize Santiago, with adjectives like "courage" and "determination." This variety of Appraisal resources, both in kind and grammatical realization, shows the developmental expectations for secondary-level Response family Appraisal.

In construing the events of the story, the student writer makes use of several Material Process types. Moreover, in construing the plot points of the story that support the student's thesis, the use of Material Processes dominates the text. In paragraph three, the student relates one part of the plot through heavy use of Material Processes, focusing on the action of the story: "Even after he **accomplishes** the difficult task of **hooking** the giant Marlin, he **finds** his skiff being **dragged** by the fish for over two days." This

Material Process resource is a carryover from the student's earlier mastery of the Story genres. As this is a response to a Narrative, and the goal of the Synopsis Stage requires a kind of linguistic recontextualization of the relevant plot points of Hemingway's Narrative, it is expected that the student use the same linguistic resources in the Synopsis Stage as they would in constructing a Narrative. However, because this retelling of the Narrative is not a mere summary, but fundamentally Evaluative, the student often construes the action of the story with Material Processes that have Appraisal value, such as the frequent use of "destroy" and "defeat" to Judge the threat to Santiago's body and character, which he ultimately overcomes. Thus, the expectations for recontextualizing the story in an Interpretation include not only general doing and happening verbs, which the student generally already has control over, but also verbs with Appraisal value to create multiple levels of meaning and fulfill the goal of the genre.

The Interpretation genre also requires that the student construe the relationship between the story and the message they are arguing for. This is frequently done through what Christie and Derewianka (2008) call "showing verbs" (p. 71). Showing verbs are not part of the general system of Transitivity, and are a specific function necessary for Response genres of complexity, like Interpretation, Critical Response, and Text Comparison. They often realize Relational and Verbal Processes (Christie & Derewianka, 2008, p. 71) and are frequently preceded by demonstrative pronouns like "this," creating a cohesive tie to previous parts of the student text and to the story being analyzed. As shown in (15) from paragraph two, the student construes a Relational Process through the verb "shows" to connect the previous part of the paragraph to the student's interpretation of the text.

(15) This *shows* that even though almost all of Santiago's acquaintances feel that his fishing career is over, he sees it about to **reach** its all time high.

The previous part of the paragraph relates the struggles Santiago has had with his fishing and the negative attitudes of the people in his village towards him. The student does some heavy semantic lifting by making use of “this” as a Reference tool to refer to an entire series of events related in the several sentences before. This packaging of multiple events into a single word requires a great deal of abstraction from the text, but it is a significant expectation in the Interpretation genre. Moving forward in (15), the “this” Carrier followed by the showing verb construction is then further followed by a relative “that” clause, two instances of Appreciation, and Mental Processes comparing the feelings of Santiago and Santiago's “acquaintances.” This latter part of the clause, the embedded clausal Attribute, is also the evaluative message that the student is arguing for. Thus the student effectively connects the plot with the message through Attribution. The showing verb construction is a clear expectation for the Interpretation genre, and may be used in more advanced genres like Text Comparison and Critical Response as well.

Finally, in organizing the text, the student makes use of Themes of time and location in the hyperThemes of each paragraph to organize the Interpretation. The student makes reference to time periods in Hemingway's text to organize the relevant plot points in the order that they occur in the story. This strategy is shown in hyperThemes for paragraphs two, three, and four, starting with “As the story begins.” Themes of location also occur in the first hyperTheme, with the phrase: “In the book The Old Man and the Sea.” This metaphorically refers to the text as a place, using the preposition “in” as the

locative word to situate the student's message or interpretation, which is stated in the Rheme through Appraisal resources:

Ernest Hemingway tells the story of an old Cuban fisherman named Santiago who, considered by the villagers to be the worst type of unlucky, is still determined to **win** a battle against a giant Marlin off the coast of Cuba. (NGA & CCSSO, 2010b, p. 49)

That is, the Theme of location is used to locate the message of the text *in the text*. This locative metaphor coincides with the “New Critical” approach that characterizes the literary critical orientation of the CCSS (Clakins, Ehrenworth, Lehman, 2012, p. 26). While certainly the locative metaphor is a commonplace of literary criticism, SFL illustrates how simple grammatical choices can be seen to betray a host of philosophical assumptions. In sum, the text thus illustrates that the general organizational expectations for the Interpretation genre include Themes of time and location in hyperTheme or topic sentences.

The final Response genre instantiated in Appendix C is the Text Comparison genre, a unique genre for the U.S. context. In a Text Comparison, a student writer compares two or more texts according to a series of criteria and evaluates the texts, usually ranking one text over others on the basis of the criteria. This genre is primarily instantiated in the Grade 9 texts “The True Meaning of Friendship” (NGA & CCSSO, 2010b, p. 57-58) and “Lives on Mango, Rides the Whale” (NGA & CCSSO, 2010b, p. 60-61). The Grade 5 text “Author Response: Roald Dahl” (NGA & CCSSO, 2010b, p. 29-30) exhibits many typological features common in the Text Comparison, and is thus classified as such. However, because it is written at a lower developmental level, it may

not show the clearest expectations for the genre. As a text difficult to classify, the “Roald Dahl” piece may represent yet another U.S. genre--perhaps indicated in its title, an Author Response. However, because it is unique in the corpus, it is difficult to make a case for it being a new genre; genres are patterns in meaning, and one datapoint does not make a pattern. Indeed, the Text Comparison genre classification based on two data points of “The True Meaning of Friendship” and “Lives on Mango, Rides the Whale” is at best an extrapolation, but there is substantial evidence for their instantiation of a new genre in the typology, which will be presented in the analysis below.

The emergence of the Text Comparison genre in the U.S. corpus stands in contrast to the already classified Response genres. There is some relation of Text Comparison to the Interpretation and Review genres, in that the students are interpreting and reviewing texts in all three. But the interpretation and reviewing goals in Text Comparison texts are usually subordinate to the comparison purpose. The genre is not complete if only one text is interpreted. Similarly, if the two texts are interpreted in tandem, the genre is not complete. There needs to be comparison between the texts. At the view from above, as Halliday would say (Halliday & Matthiessen, 2013), the purpose of a Text Comparison and the purpose of an Interpretation or Review are different, although because they are in the same genre family they do share some similarities. Because they are part of the Response genre family, they share the purpose of responding to texts. The kind of response varies, and this has been the general organizing principle for this genre family. The Review evaluates a text as a whole; an Interpretation abstracts the message of a text; a Critical Response challenges the meaning of a text. Within a Critical Response, interpretation necessarily happens--but the Critical Response purpose

supercedes the interpretation goal of the genre. Therefore, there is a precedent set for the inclusion of certain functions that are superceded by others. Likewise, the use of number as an organizing principle for the genre classification also has a precedent in the Argument genre family (discussed in the next section), where entry conditions include One-Sided, leading to Promote or Rebut, and Multi-Sided, which realizes a Discussion. Therefore, there is evidence from above that the two texts coded as Comparison constitute a new genre.

There is grammatical evidence for the realization of the comparison meaning in the texts, as shown in the analyses for “The True Meaning of Friendship” in Table 6.4 and “Lives on Mango, Rides the Whale” in Table 6.5. In the Comparison genre, comparison is realized largely in the Circumstances of the text. This is to be expected, because the embedded meaning of interpretation occurs in the nucleus of most clauses. So while the Participants and Process continue to interpret and summarize the text--as they do in all the Response genres--the Circumstances of the interpretation vary substantially from the Interpretation and Review genres. A good example of this occurs in “The True Meaning of Friendship,” where the writer interprets the text in a Material clause: “Bruno’s extreme innocence about his mother and situation at Auschwitz are magnified by the use of irony.” Following this, the writer adds a Circumstances of Location realizing the comparative meaning, “**in both the movie and the book.**” Like Interpretations and Reviews, the use of Circumstances of Location are used metaphorically to refer to the text, but in the Comparison, the same resource is used to compare and find similarities between two texts as well. Contrastive meaning is also present: “**Unlike the movie,** the irony in the book leads the reader to ponder on the

barbarity of the German leaders during the Holocaust.” The student writer uses a Circumstance of Manner to address the contrast between the book and the movie. Again, this is unique to the Comparison genre because of its focus on comparing texts, using resources of interpretation.

Table 6.4 *Genre Analysis of “The True Meaning of Friendship”*

<p><b>The True Meaning of Friendship<sup>19</sup></b>            Grade 9 Text Comparison            Circumstances realizing comparison in <b>bold</b>            Clauses realizing comparison in <u>underline</u></p>
<p>MATCHUP            1</p> <p>John Boyne's story, <i>The Boy in the Striped Pajamas</i>, tells the tale of an incredible friendship between two eight-year old boys during the Holocaust. One of the boys is Bruno, the son of an important German commander who is put in charge of Auschwitz Camp, and the other is Shmuel, a Jewish boy inside the camp. Throughout the story their forbidden friendship grows, and the two boys unknowingly break the incredible racial boundaries of the time. They remain best friends until Bruno goes under the fence to help Shmuel find his father when they are both killed in the gas showers of the camp. <b>By comparing and contrasting supporting characters, irony, and the themes in the movie and the book, <u>it is clear that the movie, <i>The Boy in the Striped Pajamas</i> (Mark Herman, 2008) is not nearly as good as the novel of the same title.</u></b></p>

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Table 6.4 continued.

<p style="text-align: center;">COMPARISON</p> <p style="text-align: center;">2</p>
<p>Characterization is very important to a story and influences how a person interprets the novel or movie, and one important way that <u>the book differs from the movie</u> is how Bruno's mother is characterized. <b>In the movie</b>, she is unrealistically portrayed as an honest woman with good moral values, and is almost as naive as Bruno is about what is going on at Auschwitz. When she discovers what her husband is doing to people at the camp she is deeply disturbed. Mortified by her husband's cruelty, their relationship declines. In contrast, she is a far more sinister character in the book. Though Bruno is too young to understand what his mother is doing, one of the reasons he dislikes Lieutenant Kotler is that, " . . . he was always in the living room with Mother and making jokes with her, and Mother laughed at his jokes more than she laughed at Father's" (162). Bruno's mother is very unhappy in her new situation away from Berlin, and her discontent leads her to cheat on her husband. This also leads her to unknowingly hurt her son, for Bruno is upset that she is paying more attention to Lieutenant Kotler than she is to his father, and the damage she causes could be magnified if she continues to disrupt their family. Further examples of her abysmal character and unfaithfulness are revealed when Bruno's mother finds the young lieutenant and says, "Oh Kurt, precious, you're still here . . . I have a little free time now if—Oh! she said, noticing Bruno standing there. 'Bruno! What are you doing here?'"(166). Her disloyalty further allows the reader to see that her character is far from virtuous, <b>contrary to the opinion of a person who viewed the movie</b>. Throughout the story, it also becomes apparent that Bruno's mother is also an alcoholic, and, "Bruno worried for her health because he'd never known anyone to need quite so many medicinal sherries" (188). Unable to come to terms with her new circumstances and strained relationship with her husband, Bruno's mother tries to drink away her problems, further conveying that she is a weak character. Bruno's extreme innocence about his mother and situation at Auschwitz are magnified by the use of irony in both the movie and the book.</p>
<p style="text-align: center;">3</p>
<p><b>In some ways the book and the movie have similar aspects</b>, and one of these aspects is how irony is used to emphasize Bruno's innocence and to greatly emphasize the tragic mood of the story. In the final climactic scene of the movie—just after Bruno has gone under the fence to help Shmuel find his father—the two boys are led to the gas showers to be killed. Unaware of what is about to happen to them, Bruno tells Shmuel that his father must have ordered this so it must be for a good reason, and that they are going into the air-tight rooms to stay out of the rain and avoid getting sick. This statement is incredibly ironic because, unbeknownst to Bruno, his father has unknowingly commenced his own son's death sentence. In addition to this, the soldiers have no intention of keeping their prisoners healthy. It never occurs to Bruno that anyone would want to destroy another human being or treat them badly, and his innocence makes his premature death all the more tragic. <b>Although the movie may be incredibly ironic in a few specific instances</b>, the book contains a plethora of ironic events that <b>also</b> accentuate Bruno's childishness and naivety. A profound example of this is exhibited when Bruno thinks to himself that, " . . . he did like stripes and he felt increasingly fed up that he had to wear trousers and shirts and ties and shoes that were too tight for him when Shmuel and his friends got to wear striped pajamas all day long" (155). Bruno has no clue that the people in the "striped pajamas" are being cruelly treated and murdered, and is jealous of what he thinks is freedom. Bruno once again reveals his innocence when he asks</p>

Table 6.4 continued.

Pavel, the Jewish man from the camp who cleans him up after a fall, "If you're a doctor, then why are you waiting on tables? Why aren't you working at a hospital somewhere?" (83). It is a mystery to Bruno that a doctor would be reduced to such a state for no transparent reason, and his beliefs should be what all adults think. Though what he says is naive, it points out the barbarity of the German attitude toward the Jews. If an uneducated child could be puzzled by this, then how could learned adults allow such a thing? Through Bruno's comment, John Boyne conveys the corruptness of the German leaders during the Holocaust, an idea that the movie does not relay to the watcher nearly as well. The book impels the reader to think deeper about the horrors of the Holocaust, and all this ties into the true theme of the story.

## 4

The Boy in the Striped Pajamas and its movie counterpart both have different themes, but it is the book's theme that **accurately** states the author's message. The movie ends with a race against time as Bruno's family searches for him in the camp, trying to find him before he is killed. They are too late, and Bruno and Shmuel die together like so many other anonymous children during the Holocaust. The theme of the movie is how so many children died at the ruthless hands of their captors; but the book's theme has a deeper meaning. As Bruno and Shmuel die together in the chamber, " . . . the room went very dark, and in the chaos that followed, Bruno found that he was still holding Shmuel's hand in his own and nothing in the world would have persuaded him to let it go" (242). Bruno loves Shmuel, and he is willing to stay with him no matter what the consequences, even if it means dying with him in the camp that his father controls. They have conquered all boundaries, and this makes the two boys more than just two more individuals who died in Auschwitz. The Boy in the Striped Pajamas is not the story of two children who died in a concentration camp; this story is about an incredible friendship that triumphed over racism and lasted until the very end. It is the story of what should have been between Jews and Germans, a friendship between two groups of people in one nation who used their strengths to help each other.

## DISTINCTION

## 5

Based on the analysis of supporting characters, irony, and themes of John Boyne's The Boy in the Striped Pajamas and the movie, it can be concluded that *the book is far superior to the movie*. Though Bruno's mother is a dishonest woman **in the book**, her bad character is more realistic for the time when compared to the mother **in the movie who is horrified by Auschwitz**. John Boyne uses many examples of irony **in the book to emphasize Bruno's innocence and to magnify the tragedy of his death**. Unlike the movie the irony in the book leads the reader to ponder on the barbarity of the German leaders during the Holocaust. The book's theme of long lasting friendship gives purpose to the story, while the movie's theme of the cruelty of concentration camps does not lead the viewer to delve deeper into the story. It is necessary for the person to read this book in order to understand the true message of friendship and cooperation in the story, a message that a person who had only seen the movie could not even begin to grasp.

Table 6.5 Genre Analysis of “Lives on Mango, Rides the Whale”

<p><b>Lives on Mango, Rides the Whale<sup>20</sup></b>  Grade 9 Text Comparison  Circumstances realizing comparison in <b>bold</b>  Relational clauses realizing comparison in <i>italics</i>  Material clauses realizing comparison in <u>underline</u>  Mental clauses realizing comparison in grey highlight</p>
<p>MATCHUP</p> <p>1</p> <p><u>More than 8,000 miles of land and sea separate two seemingly contrasting young women.</u> One young girl lives in the urban streets of Chicago, depicted in <i>The House on Mango Street</i> by Sandra Cisneros (1984), while the other thrives in the countryside of New Zealand, as shown in <i>Whale Rider</i>, directed by Niki Caro (2003)—one an immigrant from a foreign country and the other a native Maori descendent. <u>Both girls struggle for change, fighting their own quiet wars.</u> <b>Despite the vast differences in lifestyle and culture, both Esperanza Cordero of Chicago and Paikea Apirana of New Zealand are destined to be leaders of their generation in spite of the multitude of traditions and expectations that define them as individuals and their role as women in society.</b> <i>These two natural-born leaders are bridging the gap between the ancient customs and modern-day life.</i></p>
<p>COMPARISON</p> <p>2</p> <p><b>While culture has a huge impact on the Cordero and Apirana families, the protagonists of both groups are affected the most.</b> In <i>Esperanza's</i> world, women are put down and locked inside their husband's houses, having no rights and absolutely no say in their own households. The patriarchal society overwhelms every aspect of life, and <i>Esperanza</i> demands change through rebelling in her own quiet war. "I have decided not to grow up tame like the others who lay their necks on the threshold waiting for the ball and chain" (<i>The House on Mango Street</i>). She plans to set her own example, to forge her own path, in the hopes that the oppressed women of <i>Mango Street</i> will realize alternative options. Desperately seeking an opportunity to flee <i>Mango Street</i>, <i>Esperanza</i> dreams of the day when she will leave just another crippled house to seek her own way in the world. However, she states, "They will not know I have gone away to come back. For the ones I left behind. For the ones who cannot get out" (<i>The House on Mango Street</i>). <b>Paikea, on the other hand</b> is a native of New Zealand. According to legend, her ancestor and namesake rode on the back of a whale to this land and her family has been there ever since. Because of her rich and influential history, <i>Pai</i> is very proud of her culture. She wants the best for her people and she understands that the village and tribe must modernize and change with the times or else they may lose everything. For example, in the movie <i>Whale Rider</i>, <i>Pai</i> walks into her kitchen to find three elder women smoking cigarettes. Hiding the evidence, the conversation dies as soon as she enters the room, but she</p>

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Table 6.5 continued.

says to them, "Maori women have got to stop smoking." Pai loves her culture and the significance of the whale, yet she, like Esperanza, demands change, starting with her grandfather Koro accepting the fact that Pai is destined to become the first female chief of the village. Both girls dream of the day where their women will be respected and treated as equals in their patriarchal societies.

## 3

Family also plays an important role in both The House on Mango Street and Whale Rider. The Corderos are one happy group, with lots of strong and inspirational individuals, binding relatives together like a ribbon on a present. Esperanza, the namesake and great-grandmother of the young protagonist, was a strong-willed woman. "My great-grandmother. I would've liked to have known her, a wild horse of a woman, so wild she wouldn't marry" (The House on Mango Street). Another prominent man is Esperanza's Uncle Nacho. At a baptism, Uncle Nacho convinces Esperanza to dance; despite her sad brown shoes, she in fact does with her uncle telling her how beautiful she is, making her forget her discomfort and hatred of her shoes. Even though Esperanza may be loved in her family and close community, she is of low social status in general. She, like Geraldo in the vignette "Geraldo No Last Name," is "just another brazer who didn't speak English. Just another wetback. You know the kind. The ones who always look ashamed." Her father is a gardener at rich people's houses, and her mother watches over the four children (Esperanza, Nenny, Carlos, and Kiki). From a typical Mexican family, Esperanza is not poor but also has never really experienced any luxury other than a used car.

## 4

**On the other hand, Paikea** comes from a broken family. Her mother died during childbirth, along with her twin brother. After feeling the depression of loss and loneliness, Pai's father Porourangi left New Zealand to live in Germany, where he sculpted and sold Maori art. Pai was left to be raised by her grandparents Koro, the current chief, and Nanny Flowers. Similar to Esperanza, Pai shares common family members that inspired them and encouraged them through their trials, Nanny Flowers, for example, raised Pai to be the woman she is—independent and tough. Regardless of the criticism from Koro, Nanny Flowers encourages Pai to do what she knows is best, even if that results in harsh consequences. For example, during the movie, Pai and the young boys of the village attend a school lesson taught by Koro. Pai is last in line, but sits down on the front bench with the others, although Koro tells her to sit in the back, the proper place for a woman. She refuses to move even when her grandfather threatens to send her away, which he does because Pai will not give up her seat. As she walks away from the group, Nanny Flowers has a proud little smile on her lips, for she knows that Pai is ordained to be the next leader. Because Pai is next in line to become the chief, she is of very high status, just below the current chief.

Table 6.5 continued.

5

A prominent figure on Mango Street, Esperanza presents an alternative to the oppression of women in the community. In the outside world, however, she is just another young girl with parents who immigrated to the United States in the hopes of a better life for their children. Esperanza wants to set an example for the women trapped in their houses, to provide an escape for those ensnared in the barbed wire of marriage. Above all, she dreams of the day where she can leave Mango Street, yet she knows that it is her duty to return to free her friends. As told by the Three Sisters, "You will always be Esperanza. You will always be Mango Street. You can't erase what you know. You can't forget who you are." These three women told Esperanza that she was special and was meant to be a strong and leading person, just like Pai and the whales. Because of the rich diversity and influences in her neighborhood, Esperanza learns through her friends and experiences they share. Marin, Rafaela, Lucy, Rachel, Sally, and Alicia all provided a learning experience in one way or another. As all of these young ladies are in a similar age range with Esperanza, they undergo multiple trials side-by-side.

6

**Contrastingly, Paikea** has the blood of a leader running through her veins. She is a native, a leader, and a change. **Pai, like Esperanza**, is a leading figure amongst the women of her community. Always aware of the outer world, Pai knows that her people must adapt to the changing times or they will be swept away by the current of technology. She holds a great love and respect for her culture and people, and she wants what is best for them, even if it involves changing ancient traditions and ways. Pai knows it is her duty to stay, and her desire keeps her rooted in her little village. Once, Pai's father offered to take her to Germany with him to start a new life, and she agreed to go with him. However, in the car ride along the beach, a whale calls from the depths of the ocean and it is then that Pai knows she cannot leave her people. She asks her father to turn around and she returns to the village of her people. Due to having little to no interaction with kids her age, Pai must learn from her elders and through Koro's reactions. The children of the village tease and taunt Pai for her name and her big dreams, yet she pays them no attention. **Unlike Esperanza**, Pai knew from the beginning that she was destined to be great and is different from others her age.

Table 6.5 continued.

<p style="text-align: center;">7</p> <p><i>Finally, the personalities of these two protagonists are exceedingly different.</i> <b>Esperanza, although older than Paikea</b>, has low self-esteem and little self-confidence. She is afraid of adults, and as shown in "A Rice Sandwich," she often cries when confronted by her elders. Throughout the novel, Esperanza is shamed by her actions, other's actions, and other's words. All this young girl wants is to make friends and be loved by others, but she gets in her own way. However, when the world seems against her and she is all alone, Esperanza writes to escape. As directed by her deceased Aunt Lupe, she continues the poetry and short stories that free her from the chokehold of Mango Street. While she finds joy in pencils and paper, she does not in her name. "Esperanza" in Spanish means "hope" and "waiting," two words that describe this girl perfectly. She is the hope for the oppressed but she must wait for her opportunity to leave. <b>In contrast to Pai</b>, she actually did have a childhood, a carefree times of playing and having fun with friends before the burden of responsibility is placed on their shoulders, like the sky on Atlas's.</p> <p style="text-align: center;">8</p> <p><b>Paikea, alternatively</b>, is a proud and confident girl. She knows what is best and what her people must do in order to survive. Starting with the women, she tells them to change their ways at the ripe old age of ten. Pai is a serious and mature child, with a grown mannerism and demeanor. Little can shame her, except for her grandfather; all Pai wants is to be loved and accepted by Koro. While everyone in the village can see that Pai is fated to become the next chief, Koro stubbornly refuses to believe until the very end. In her position, she takes her ancestry very seriously. Pai was named after her ancestor who rode the back of a whale to New Zealand, and she is exceedingly proud of her name, unlike Esperanza. <b>And unlike Esperanza</b>, it seems as though Pai has no time for boys or any relationships between them. She considers herself "one of the boys," and shows no interest. Growing up with her situation and the multiple responsibilities that followed left little time for an actual childhood.</p>	<p style="text-align: center;">DISTINCTION</p> <p style="text-align: center;">9</p> <p><u>In the end, the fate of two different cultures rests in the hands of two different young girls.</u> <b>While they both strive for freedom from oppression and change</b>, <i>Esperanza Cordero and Paikea Apirana have different techniques</i> <u>through which they reach those goals.</u> Esperanza, a quiet and ashamed girl of 13 or 14, chooses a singular path to walk. She chooses the road she must walk alone, unaccompanied but free from patriarchal domination. While fighting to free those sitting at the window, Esperanza finds her own destiny as the change needed on Mango Street. Paikea, a strong and confident girl of 10 or 11, walks the forbidden path, the path of a chief. She chooses to defy her grandfather and all traditions in order to modernize her people. In order to save them, she must change them. <u>Both young women, influential and inspiring, search for the key to free the ones they love.</u></p>
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There are instances of comparative meaning being realized through the nucleus of the clause as well. For example, from “The True Meaning of Friendship,” the writer engages in complex comparative evaluation: “Based on the analysis of supporting characters, irony, and themes of John Boyne’s *The Boy in the Striped Pajamas* and the movie, it can be concluded that **the book is far superior to the movie.**” Similarly, in “Lives on Mango, Rides the Whale,” “**Both girls struggle for change**, fighting their own quiet wars.” The writer here uses simple grammatical resources of number to realize the comparative meaning, combining the protagonists of two books and grouping them in a single clause to realize their common experience of “struggle for change.”

Other grammatical evidence occurs at the discourse level, where students’ choices in Periodicity mark a difference from the Interpretation and Review genres. For example, in “The True Meaning of Friendship,” the macroTheme is expressed this way: “**By comparing and contrasting supporting characters, irony, and the themes in the movie and the book**, it is clear that the movie, *The Boy in the Striped Pajamas*, is not nearly as good as the novel of the same title.” In the macroTheme, the writer explicitly previews the comparative meanings that follow throughout the text. In “Lives on Mango, Rides the Whale” hyperThemes realize comparative meaning. For example: “While culture has a huge impact on the Cordero and Apirana families, **the protagonists of both groups are affected the most.**” Here the writer previews the following two paragraphs with a comparison between the protagonists, focusing the role that culture plays in their lives. Thus at the lexicogrammatical and discourse levels, the realization of comparison distinguishes the Comparison genre from the other genres in the Response genre family.

The staging of the Comparison genre is also distinct from existing genres. The beginning Stage, while potentially including elements from Interpretation and Review like Evaluation and Description, has a unique concern. It needs to establish the texts being compared, distinguish the texts from each other, note their similarities, and indicate the analytical work being done--for example, the focus on irony and themes in "The True Meaning of Friendship." Because its primary concern is establishing the texts and comparing them, this stage shows some similarity to an antecedent genre from U.S. sportscasting. Before broadcasting a game, a sportscaster will engage in what is called the "Matchup." The Matchup describes the two teams playing, highlights their strengths and weaknesses, and previews what the viewers might expect to see in the opinion of the sports journalists. Because of this similarity, the initial stage is appropriately called, "Matchup."

The middle stage, where the comparative analysis occurs, is the Comparison. The writer highlights similarities and differences between the texts and explains why those differences occur. They may also engage in some interpretation, providing an analysis of the various meanings they have drawn from the text. In the case of "The True Meaning of Friendship," more evaluative meanings arise to illustrate why one text is superior to the other. The Comparison stage not only expresses the writer's comparative analysis, but also serves to preview and justify the final stage, the Distinction.

While similar to the Matchup Stage--and in this way similar to Interpretation's Reaffirmation stage--the Distinction Stage serves, again, a unique purpose. It establishes the fundamental differences between the texts and their fundamental similarities. In this Stage writers are likely to engage in generalization and abstraction, utilizing various



grammatical resources to realize these meanings. In “Lives on Mango, Rides the Whale,” the writer notes similarities but ultimately distinguishes the two protagonists: “While they both strive for freedom from oppression and change, **Esperanza Cordero and Paikea Aspirana have different techniques through which they reach these goals.**” Here, the writer uses the abstraction of “different techniques” to refer to and review the various actions highlighted in the Comparison Stage. Similarly, in “The True Meaning of Friendship,” the writer distinguishes the value of the book over the movie, as noted above, and in the final sentence: “It is necessary for the person to read this book in order to understand the true message of friendship and cooperation **in the story, a message that a person who had only seen the movie could not even begin to grasp.**” The writer here realizes the fundamental differences between the texts through abstracting the “true message of friendship and cooperation” (itself an abstraction reviewing the Comparison Stage) in the noun phrase “a message” which the writer claims the movie does not realize.

The case for the inclusion of the Text Comparison genre in the U.S. genre typology seems strong. As such, this genre constitutes one of the expectations for CCSS writing in English classes. The fundamental goal of the genre to compare and evaluate two or more texts is realized in the staging and grammatical choices, which in turn become the expectations for the genre. Students need to use Circumstances of location to alternate between texts and Circumstances of manner to contrast one text from the other. Relational clauses and plural Participants may also be used to illustrate the points of comparison. Students also need to use thesis statements and topic sentences to state the main points of similarity and difference. Finally, students are expected to have a clear Matchup Stage to preview the texts being compared and their main points of comparison

and contrast, a developed Comparison Stage that shows these points of comparison, and a Distinction Stage that reiterates the fundamental differences between the texts.

Table 6.6 *Summary of Genre Expectations of Response Family*

Gray areas are NOT attested in Appendix C. The recommendations are based on previous research from Brisk (2014), Christie and Derewianka (2008), Brisk (2014), Martin and Rose (2008), Rose and Martin (2012), Schleppegrell (2003; 2004)			
Grade Level	Genres and Staging Expectations	Exemplars in Appendix C	Language Expectations
K-5	<b>Personal Response</b> <i>Orientation</i> <i>Text Description</i> <i>Comment</i>	<b>Personal Response</b> “My Favorite Book is <i>Do You Want to Be My Friend?</i> ” (p. 6) “Owl Moon” (p. 15)	<i>All of the above, and...</i> <ul style="list-style-type: none"> <li>Emotional language (Affect resources) to express reactions to a text</li> <li>Saying verbs (Verbal Processes) to reconstruct dialogue from the text</li> <li>Thinking and feeling verbs (Mental Processes) to share the students reactions to the text</li> <li>Modifying clauses to explain reactions to the text</li> </ul>
	<b>Review</b> <i>Context</i> <i>Text Description</i> <i>Judgment</i>		
6-8	<i>All of the above and...</i> <b>Interpretation</b> <i>Evaluation</i> <i>Synopsis</i> <i>Reaffirmation</i>  <b>Text Comparison</b> <i>Matchup</i> <i>Comparison</i> <i>Distinction</i>	<b>Interpretation</b> “The Old Man and the Sea” (p. 49)  <b>Text Comparison</b> “Author Response: Roald Dahl” (p. 29)	<i>All of the above, and...</i> <ul style="list-style-type: none"> <li>Doing and happening verbs (Material Processes) to reconstruct the plot and action of the story being analyzed</li> <li>Emotionally charged words and phrases (Appraisal resources) to evaluate characters and events of the story</li> <li>Showing verbs (Relational, Verbal Processes) that connect parts of the text to some particular meaning or message</li> <li>Transitions at the beginnings of sentences to show progression of the plot and locate the action and meaning in the text being described (Interpretation genre)</li> </ul>

Table 6.6 continued.

9-12	<i>All of the above</i>	<p><b>Interpretation</b>  “Animal Farm” (p. 68)  “Marching to His Own Beat” (p. 70)</p> <p><b>Text Comparison</b>  “The True Meaning of Friendship” (p. 57)  “Lives on Mango, Rides the Whale” (p. 60)</p>	<p><i>All of the above, and...</i></p> <ul style="list-style-type: none"> <li>• A variety of linguistic resources to realize comparison between texts, including prepositional phrases (Circumstances), main and modifying with including doing, happening (Material), being, and having (Relational) verbs, plural demonstrative pronouns (both, these), and transitions (Textual Themes of comparison)</li> </ul>
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### 6.3 Argument Analysis and Discussion

The second family of Evaluating genres is the Argument family, shown in Figure 6.1 and characterized by its focus on developing a claim and supporting it with evidence. As a rhetorical genre family, Arguments occur in many subjects, but are mostly associated with History in the existing U.S. and Australian genre research (c.f., de Oliveira, 2006; 2011; Martin & Rose, 2008; Schleppegrell, Greer, & Taylor, 2008). The genres in the family include Exposition, Challenge, and Discussion. In the CCSS Appendix C, these texts are rarely said to be produced in History contexts, and are at times produced as part of timed assessments, as is the case with “Untitled essay on dress codes” and “Video Cameras in Classrooms.” As such, the instantiations of these genres in the corpus are somewhat unique and a form of decontextualized writing common in standardized assessments in the U.S.

The Exposition genre is instantiated fully or in part in six texts: the Grade 4 “Zoo Field Trip” (NGA & CCSSO, 2010b, p. 25), Grade 6 “Dear Mr. Sandler” (p. 36), Grade 6 “A Pet Story About My Cat... Gus” (p. 38), Grade 9 “\_\_\_\_\_ School Bond Levy” (p. 65), Grade 12 “Untitled essay on dress codes” (p. 76), and Grade 12 “Freedom From Structure” (p. 78). The Challenge genre is instantiated in full or in part in three texts: the Grade 6 “Dear Mr. Sandler” (p. 36), Grade 6 “Video Cameras in Classrooms” (p. 40; henceforth, “Video Cameras”), and Grade 9 “\_\_\_\_\_ School Bond Levy” (p. 65). The Discussion genre, the most advanced of the Argument genres, is instantiated in the Grade 12 text “Fact vs. Fiction and All the Grey Space in Between” (p. 89; henceforth, “Fact vs. Fiction”). With instantiations of the Exposition and Challenge genres at all the major developmental levels, the expectations for these genres are clear and a trajectory is

possible to determine. The advanced Discussion genre, which shows multiple points of view on an issue, is only represented at Grade 12, which makes its lower developmental expectations harder to determine.

The Exposition and Challenge genres are both one-sided arguments. They are distinguished by their rhetorical force--either to promote or rebut a proposition (Martin & Rose, 2008). The Stages for Expositions include Thesis^Arguments^(Reiteration). The Grade 4 “Zoo Field Trip” (see Table 6.7) shows the elementary expectations for the Exposition genre. In the Thesis, the student states the proposition they are arguing for: that their class should go on a zoo field trip. In the Arguments Stage, multiple reasons are provided to support the Thesis. It does not include a Reiteration Stage, which generally restates the Thesis.

Like the Procedural genres, the Argument genres rely on Modality resources to realize levels of obligation and certainty. In the “Zoo Field Trip” Exposition, the student uses Modal verbs “will,” “would,” and “should” to express a generally median level of obligation and certainty in their propositions. In the macroTheme, or thesis statement, for the text, the student states: “If we took a field trip to \_\_\_\_\_ our problem **would** be solved.” The median Modal verb “would” conveys the student’s level of certainty that the negatively Appreciated “problem” of lack of conservation education would be solved by the zoo field trip. At the median level, the student constructs an attitude of reasonableness (Schleppegrell, 2004) that is appropriate for the academic setting. Later, in the Arguments Stage, the student uses the median level “will” repeatedly to construe the level of certainty that the zoo field trip would reap the benefits claimed, further

constructing the reasonable stance of the student in relation to the audience, presumably a couple of enough power to authorize and/or fund the field trip.

Table 6.7 *Genre Analysis of “Zoo Field Trip”*

<p style="text-align: center;"><b>Exposition</b><sup>21</sup>            Grade 4 “Zoo Field Trip”            Modal verbs in <b>bold</b>            Textual Reference resources in <i>italics</i>            Attitude resources in <u>underline</u></p>
<p style="text-align: center;">THESIS</p> <p>Dear Mr. _____ and Mrs. _____,</p> <p>We have a <u>problem</u>. The wildlife here in _____ is very <u>limited</u>. There is not a lot of opportunity to learn about <u>conservation</u> and <u>wildlife preservation</u>. If we took a field trip to _____ our <u>problem</u> <b>would</b> be <u>solved</u>. _____, _____, _____ and I <b>would</b> like to take our class for a <u>great</u> learning experience. In addition, we <b>will</b> provide a study guide to _____ to identify the animals and provide information about conservation of endangered wildlife.</p>
<p style="text-align: center;">ARGUMENTS</p> <p>If we went on a field trip, we <b>will</b> learn about the wildlife from around the world and how _____ provides a natural habitat for them to live and breed. <i>This</i> information <b>would</b> <u>help</u> us to <u>understand</u> the importance of science in our day to day life. We <b>would</b> use math to make a budget and figure out a way to earn money. <i>These</i> skills <b>will</b> be very <u>useful</u> again and again. We <b>will</b> learn how to make a schedule with target dates. <i>This</i> <b>will</b> provide us with a plan that covers the entire project from start to finish. The preparation of the study guide <b>will</b> require lots of research and organization of information.</p> <p>The first thing to do is research, research, research! Next, we <b>will</b> choose a fund raiser (with your approval, of course). <i>This</i> <b>will</b> earn money for the field trip. The parents <b>will</b> <u>hopefully</u> chip in their time and money, if we don’t get enough. We <b>will</b> prepare a plan schedule. <i>This</i> <b>will</b> provide the dates that team members <b>will</b> need to accomplish the steps toward our goal. My <u>competent</u> adult model is the Unofficial Guide to Walt Disney World. It shows us step by step how to plan a trip and what to see.</p>

<sup>21</sup> Copyright 2010 National Center on Education and the Economy, on Behalf of New Standards. Used with permission.

Table 6.7 continued.

Now, you are asking why **should** I approve a trip to \_\_\_\_\_? How does *this* help \_\_\_\_\_ and the students? Besides the fact that the project planning, fund raising, budgeting and reporting **will** provide an excellent learning opportunity, it **will** provide education. It **will** also provide awareness of wildlife and the importance of conservation. *This* project **will** be evaluated by its successful planning and its ability to involve our class in wildlife conservation. The trip **will** be evaluated by the student participation on the trip and a plan of conservation that identifies what we **can** all do to protect and respect wildlife so they **will** still be around when we have children. Sincerely, \_\_\_\_\_

In further supporting their thesis, the student uses positive Appraisal resources to portray their position in the best light. They begin by establishing a negative situation to contrast their positive zoo field trip with, construing the lack of conservation education situation with the negatively Appreciated noun “problem.” The student then describes the trip as a “great learning experience,” an instance of positive Appreciation, and later as an “excellent learning opportunity” to the same effect. Perhaps more importantly, the student uses positively Appreciated nominalizations “conservation” and “wildlife preservation” to construe the primary benefit of the zoo field trip. In sum, the Exposition genre expectations include positive Appraisal resources to describe the thesis and supporting arguments, while negative Appraisal resources may be used to construct a problem or otherwise contrast with the thesis and arguments.

Finally, the student makes use of the Reference system previously discussed in the Interpretation text. This shows the topological relationship between the two Evaluating families, which draw on not only similar goals but also similar linguistic resources. In (16), the student uses the demonstrative “these” to refer back to the mathematical skills mentioned in the previous sentence.



(16) We **would** use math to make a budget and figure out a way to earn money.

*These* skills **will** be very useful again and again.

The mathematical skills mentioned in the first sentence are part of the general outcomes of the zoo field trip. The student uses Reference to condense all of the information in the previous sentence, adding the noun “skills” for clarity, and then proceeds to link through an Attributive Process the condensed Carrier “this” with the positively Appreciated Attribute “very useful.” The use of median Modal verbs compounds the effectiveness of this argument by again sounding reasonable in certainty. In short, the student compacts multiple levels of meaning through median Modal verbs, positive Appraisal of the thesis and arguments to persuade the audience of their reasonable proposition, while condensing information through Reference resources--all of which make up some of the expectations for an advanced elementary Exposition.

In the Grade 12 Exposition (see Table 6.8), “Dress Codes,” a college placement essay that argues for the student’s school to adopt dress codes, these expectations are expanded in several ways. First, this text, like similar Expositions in History (de Oliveira, 2010), makes use of generalized Participants, usually realized through complex plural nominal groups. This construes the generalizability of the claims and arguments by extending the scope and number of the Participants who benefit from the thesis. In other words, the Participant choice shows that dress codes will help many people and the arguments will apply in many situations. Secondly, the student develops a stronger organizational structure than the “Zoo Field Trip” text with clear hyperThemes that preview each reason that the dress codes should be adopted, as shown in the sentences, “Perhaps the most important *benefit* of **adopting dress codes** would be creating a *better*

learning environment,” and “Another *benefit* of having a dress code is that it will prepare **students** to dress *properly* for **different places**.” In these hyperThemes, the already established resources of Appraisal positively evaluate the Arguments with the phrases “*better* learning environment” and “dress *properly*,” all occurring under the umbrella of the positively Appreciated word “*benefit*.” These hyperThemes are also thematic equatives, with the Theme of each sentence being equal to the Rheme, related through an Identifying Process. This is a useful construction for its symmetry and easy templatization, which will be discussed in Chapter Seven. In short, the “Dress Codes” essay adds to the Exposition and Challenge genre expectations more generalized Participants to enhance the scope and reach of the claims and arguments and the clear organizational strategy of hyperThemes, particularly in the Arguments Stage, to preview each major reason that supports the thesis and defends the proposition.

Table 6.8 *Genre Analysis of “Untitled essay on dress codes”*

<p style="text-align: center;"> <b>Untitled essay on dress codes</b><sup>22</sup>            Grade 12 Exposition            Plural Noun Groups in <b>bold</b>            Textual Themes in <u>underline</u>            Attitude in <i>italics</i>            hyperThemes in grey highlight         </p>
<p style="text-align: center;"> <b>THESIS</b>            I believe that it would be <i>beneficial</i> for <b>our schools to adopt dress codes</b>. ...         </p>

<sup>22</sup> The full text of “Untitled essay on dress codes” is not reproduced here due to copyright restrictions. It can be read on page 76 of Appendix C

Table 6.8 continued.

ARGUMENTS
Perhaps the most important <i>benefit</i> of <b>adopting dress codes</b> would be creating a <i>better</i> learning environment. <i>Inappropriate</i> clothing can be <i>distracting</i> to <b>fellow students who are trying to concentrate</b> .
Another <i>benefit</i> of having a dress code is that it will prepare <b>students</b> to dress <i>properly</i> for <b>different places</b> . When you go to a party you do not wear <b>the same clothes you wear to church</b> .... Having a dress code in high school will help <b>students</b> adjust to the real world.

Students need to know not only how to propose and promote a claim, but also how to argue against a claim, which is the goal of the Challenge genre. The Challenge genre represented in “Video Cameras” (see Table 6.9) exhibits many of the same linguistic attributes of the Exposition. For example, the use of Modality resources is comparable to the Exposition, with median modality “would” and “should” constructing the reasoned stance of the student writer. The Challenge also shares with the Exposition a similar schematic structure: Thesis ^Rebuttal^Reiteration. The Thesis and Reiteration Stages have similar as their Exposition counterparts, but the Rebuttal Stage is marked by a switch in the polarity of the Appraisal resources used. In the Exposition, because the goal was to promote the thesis, the Appraisal resources tended to be positive in order to link the reasons for accepting the thesis with positive valuation. In the Rebuttal, because the goal is to challenge and counter a thesis, the use of negative Appraisal dominates, linking the rebutted position with negative valuation. This is shown in the clauses calling the cameras “*unnecessary*” and the frequent causal relationship construed between cameras and “*trouble*.” Furthermore, the student evaluates the cameras’ effects on students’ emotions with negative Affect resources, such as “*flustered*,” “*nervous*,” and “*distracted*.” These negative Appraisal resources mark the distinct linguistic expectations

of the Challenge genre in contrast to the positive Exposition genre.

Table 6.9 Genre Analysis of “Video Cameras in Classrooms”

<p><b>Video Cameras in Classrooms</b><sup>23</sup>  Grade 7 Challenge[[[Observation]]]Challenge  Modal verbs in <b>bold</b>  Appreciation in <i>italics</i>  Selected Grammatical Metaphor in <u>underline</u></p>
<p>THESIS  [[[Observation]]]  EVENT DESCRIPTION</p> <p>You are seated in class as your teacher explains and points things out on the whiteboard. You twitch your hand, <i>accidentally</i> nudging your pencil, which rolls off your desk and clatters to the floor. As you lean over to pick up your pencil, your cell phone falls out of your coat pocket! <i>Luckily</i> you catch it without your teacher seeing, but it is in plain view of the video camera’s shiny lens that points straight at you. The classroom phone rings, and after a brief conversation, your teacher walks over to your desk and kneels down beside you. “About that cell phone of yours . . .”</p>
<p>COMMENT</p> <p>How did that get you in <i>trouble</i>? How <b>could</b> it possibly be a <i>good</i> idea to put cameras in classrooms?</p> <p>[[[Observation]]]</p>
<p>REBUTTAL</p> <p>When students are in their classrooms, teachers are in the classroom too, usually. But when a teacher goes out of the classroom, what usually happens is either everything goes on as usual, or the students get a little more <i>talkative</i>. Cameras aren’t there because people talk a lot. It is the teacher’s job to keep people quiet. If something <i>horrible</i> happened, somebody in class <b>would</b> usually report it, or it <b>would</b> just be obvious to the teacher when he came back that something had happened. If we already have cameras in the halls, why spend the money to get thirty more cameras for all the different classrooms? Our school district already has a <i>low budget</i>, so we <b>would</b> be spending money on something completely <i>unnecessary</i>. There hasn’t been <u>camera-worthy trouble</u> in classrooms. <u>Cameraworthy trouble</u> <b>would</b> be <i>bad behavior</i> every time a teacher left the room. There is no reason to install cameras that <b>might</b> just cause <i>trouble</i>, both for the students and for the budget.</p>

<sup>23</sup> Copyright 2010 Washington Office of Superintendent of Public Instruction. Used with permission.

Table 6.9 continued.

<p>Different students react differently when there is a camera in the room. Some students get <i>nervous</i> and <i>flustered</i>, trying hard to stay focused on their work with a camera focused on them. 90% of students claim that they do <i>better</i> work when they are <i>calmer</i>, and cameras are not going to help. Other students look at cameras as a source of <i>entertainment</i>. These students will do things such as <i>wave at the camera, make faces, or say hi to the people watching through the camera</i>. This <b>could</b> be a big <i>distraction</i> for others who are trying to learn and participate in class. Still other students will try to trick the camera. They will find a way to block the lens or do something that the camera will not be likely to catch. All of these different students will be <i>distracted</i> by the cameras in their classrooms.</p>
<p style="text-align: center;">REITERATION</p> <p>Instead of <i>solving problems</i>, cameras <b>would</b> cause the <i>problems</i>. That is why I disagree with the idea to put cameras in classrooms. This plan <b>should</b> not be put to action.</p>

In the final paragraph of the Rebuttal, the student makes use of another negative Appraisal resource in calling the silly behavior of students in front of cameras a “*distraction*,” which illustrates not only the Appraisal expectations, but also the expectations to use grammatical metaphor. In the Challenge genre and other Argument genres, grammatical metaphor is a powerful tool for condensing information, referring to other parts of the argument, and construing properties and actions as things (Martin & Rose, 2008). The “*distraction*” example construes three levels of meaning. First, in construing Experience, it condenses all of the previous Processes of students using the cameras as “*entertainment*,” (itself a nominalization) into a single, nominal Participant, “*distraction*.” Second, from the Textual Metafunction perspective, it makes use of anaphoric Reference, calling back to the previous sentences in the text. This text is somewhat unusual in that it uses more cataphoric References in the grammatical metaphors “*entertainment*,” “*camera-worth trouble*,” and “*talkative*,” all three of which

refer to clauses that occur later in the text. The Reference resources allow the student to develop their rebutting argument across multiple sentences. Finally, as already established, the Interpersonal meaning is construed through the negative Appraisal of the student's actions, themselves a consequence of the cameras, as a "distraction." The grammatical metaphor expectation in Argument genres, thus, is a multi-faceted resource for meaning-making.

The "Video Cameras" text is also a Macrogenre text, including an embedded Observation in the Thesis Stage of the major genre Challenge. The use of Story genres in Argument texts seems to be a common expectation, as it also occurs in the "Fact vs. Fiction" text, itself a Discussion. The "Fact vs. Fiction" text (NGA & CCSS, 2010b, p. 89-91), shown in part in Table 6.10,<sup>24</sup> illustrates the general schematic structure of the Discussion genre, with the Issue Stage outlining several perspectives on the topic of classifying books as either nonfiction or fiction--namely, that some consider it a binary and others a "gradient" (p. 91). In the Sides Stage, each perspective on the topic is given a fair hearing. In the Resolution Stage, the student renders their own perspective, generally siding with the gradient view. In developing the Sides Stage, the student embeds a nonfiction (irony noted) Observation that raises questions about the topic through illustration, showing that many people hold different views on the topic. This use of genre embedding, as has been shown in previous texts, is contingent upon control of lower complexity genres. The Observation genres embedded in both "Fact vs. Fiction" and "Video Cameras in Classrooms" show students using simple Story genres that they likely learned in elementary school as a way to build meaning within a particular Stage of

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<sup>24</sup> The full text of "Fact vs. Fiction" is not reproduced here due to copyright restrictions. It can be read on pages 89-91 of Appendix C.

the Argument genre. Genre embedding seems to be an expectation relegated to high school, when control over simpler genres is at its highest.

Table 6.10 *Genre Analysis of “Fact vs. Fiction and All the Grey Space in Between”*

<p><b>Fact vs. Fiction and All the Grey Space in Between</b><sup>25</sup>            Grade 12 Discussion[[[[Observation]]]]Discussion            Grammatical Metaphor in <b>bold</b>            Relational Processes in <i>italics</i>            Textual Themes in <u>underline</u></p>
<p>ISSUE (macroTheme)</p> <p>A number of questions have arisen: What sparked the booming interest? Where exactly <i>is</i> the line that <i>separates</i> fiction from nonfiction, <u>and</u> how far can the line be stretched until one becomes the other? Are there <b>intermediaries</b> between the two, <u>or</u> must we classify each piece of literature as one or the other? Do authors do this purposefully, or with no <b>intent</b>? The answers to these questions <i>are</i> often circular <u>and</u> simply lead to further dispute. In modern times, the line between the <b>classification</b> of literature as either fiction or nonfiction has <i>become</i> blurred and unclear; the outdated <b>definitions</b> and <b>qualifications</b> have sparked the <b>development</b> of new genres and challenged the world's idea on the <b>differences</b> between the two.</p>
<p>SIDES</p> <p><u>Though</u> it had <i>been</i> a fairly relevant and known topic to members of the literary world, the idea that a book <i>is</i> not always completely fiction or nonfiction seemed to <i>be</i> an obscure and unnecessary subject for the public to ponder.</p>
<p>[[[[Observation]]]]</p> <p><u>However</u>, the average Monday <b>morning watercooler conversation</b> was forever changed when what has become known as the "Million Little Lies Scandal" broke out in early 2006. It started on October 26, 2005 when author James Frey appeared on The Oprah Winfrey Show. ...</p> <p>[[[[Observation]]]]</p>
<p>Fiction and nonfiction: they're two words that <i>are</i> surprisingly hard to define. It's difficult to ascertain what the <b>words</b> have <i>meant</i> in the past, what they each encompass today, and how past and present <b>definitions</b> have been molded and shaped by the literature of the time. Traditionally, fiction <i>is</i> 'a tale drawn from the <b>imagination</b>' and nonfiction <i>is</i> 'a statement of fact'; however, the two <i>are</i> so much more complex than that. For many, the word 'fiction' <i>is</i> associable with the word 'story,' as if the two <i>are</i> equal or interchangeable.</p>

<sup>25</sup> The full text of “Fact vs. Fiction” is not reproduced here due to copyright restrictions. It can be read on page 89-91 of Appendix C.

Table 6.10 continued.

RESOLUTION
Fiction and nonfiction <i>are</i> two polar opposites on a scale that today offers little to no <b>gradient</b> .... [However,] an update <i>is</i> long overdue—both an update to the <b>definitions</b> currently used to classify books, and an update in which we <i>create</i> new areas into which <b>books</b> can be classified.

Like the other Argument genre texts, the “Fact vs. Fiction” text makes use of a variety of linguistic resources to realize the positions, reasons for and against, and the ultimate resolution of the debate. In this particular text, abstraction through grammatical metaphor is a central function, as shown in the macroTheme:

In modern times, the line between the **classification** of literature as either fiction or nonfiction has *become* blurred and unclear; the outdated **definitions** and **qualifications** have sparked the **development** of new genres and challenged the world's idea on the **differences** between the two. (NGA & CCSSO, 2010b, p. 89)

While the student offers a position on the Issue here, the remainder of the essay is spent exploring the different sides and arguments for and against the binary vs. gradient classification. The level of abstraction is extremely high throughout the text, but especially in the macroTheme, where the central issues, defying specific instances, are realized primarily through nominalizations like “classification” and “definitions.” In describing the different sides, the student makes use of Relational Processes to define perspectives: “Traditionally, fiction *is* 'a tale drawn from the **imagination**' and nonfiction *is* 'a statement of fact'; however, the two *are* so much more complex than that.”

Relational Processes may also be used to describe properties and generally characterize one side of the issue: “For many, the word 'fiction' *is* associable with the word 'story,' as if the two *are* equal or interchangeable.” The grammatical metaphor and Relational



Process expectations in this genre combine to allow the student to construct a highly abstract argument.

In organizing the Discussion, the use of internal conjunction (Martin & Rose, 2007) to sort and distinguish perspectives (Martin & Rose, 2008) occurs in the Themes of clauses, thus marking the Discussion as distinct linguistically from the Challenge and Exposition genres. The conjunction “and” occurs twice in the macroTheme, shown in (17), as a textual theme indicating addition.

(17) A number of questions have arisen: What sparked the booming interest?

Where exactly is the line that separates fiction from nonfiction, **and** how far can the line be stretched until one becomes the other? Are there intermediaries

between the two, **or** must we classify each piece of literature as one or the other?

Do authors do this purposefully, or with no intent? The answers to these questions are often circular **and** simply lead to further dispute.

In the first instance, the idea of the “line that separates fiction from nonfiction” is extended to “how far can the line be stretched until one becomes the other?” Here the student uses internal conjunction to extend the thesis beyond one of categorical distinctions to a metaunderstanding of categories themselves and their criterial boundaries. This introduces the idea of fuzziness to the discussion of categories and allows for the positions in the discussion to fall on a cline rather than in a binary. Thus the conjunction resource allows the student to extend a thesis from binary to cline, making its semiotic work conceptually immense in relation to the entire text. In the second instance, “and” does less work, again as an additive textual theme, by extending the characterization of the discussion from “The answers to these question are often

circular” to “simply lead to further dispute.” The “lead” clause here “simply” adds to the notion of circular answers a consequence of “further dispute.”

The use of “or” in the Issue Stage also illustrates internal conjunction in shaping the thesis of the Discussion. As with the first instance of “and,” “or” also carries much semiotic weight. It functions as an alternative textual theme, establishing two options in the analysis of texts as fiction or nonfiction. Again the student explores metaunderstanding of categories--namely fiction or nonfiction--by suggesting two options for categorical analysis: “intermediaries,” or categories that exist in between fiction and nonfiction, and the strict binary of fiction or nonfiction. The student reiterates the cline versus binary distinction; because the distinction had already been introduced in the first sentence of (17), the relation between the clauses could not be additive. The alternative conjunction “or” establishes these options as the only two possible analyses rather than merely suggesting a new analysis for texts. This illustrates nicely the idea of internal conjunction; outside of the text we might come up with other analytical options for dealing with the fiction versus nonfiction problem, but within this particular text, the use of internal conjunction--namely, “or”--creates only two options, the cline or the binary. This again is reflected as the students presents each analysis throughout the text.

The issue of internal conjunction continues in the Sides Stage of the Discussion, organizing the “points of view” on the categorical distinction between fiction and nonfiction. For example, in (18) the student writer uses a concessive unexpected *but* to characterize and further define the notion of fiction as not merely having an entertaining function, but also an educating one.

(18) Fiction is largely assumed to be a form of art or entertainment, and in many cases this is true—science fiction and romance novels are two examples of how we are entertained by a good book. *But* frequently, stories are told to educate—to raise awareness regarding a certain topic about which the author is concerned.

In summary, the Discussion genre, the most advanced genre of the Argument family, requires greater linguistic and genre resources than the simpler one-sided Arguments, drawing on greater levels of abstraction through grammatical metaphor, Relational Processes to describe and define the perspectives, and a complex use of internal conjunction to develop and distinguish differing perspectives on Issues.

Table 6.11 *Summary of Genre Expectations for Argument Family*

Grade Level	Genres and Staging Expectations	Exemplars in Appendix C	Language Expectations
K-5	<b>Exposition</b> <i>Thesis</i> <i>Arguments</i> <i>(Reiteration)</i>	<b>Exposition</b> “Zoo Field Trip” (p. 25)	<ul style="list-style-type: none"> <li>• Modal verbs to express levels of certainty and obligation</li> <li>• Evaluative language (Appraisal resources) to judge the thesis and the positive effects on supporting or negative effects of rejecting the thesis</li> <li>• Demonstrative pronouns (Reference) to condense information, connect previous and future parts of the text, and elaborate on reasons</li> </ul>
6-8	<i>All of the above and...</i>  <b>Challenge</b> <i>Thesis</i> <i>Rebuttal</i> <i>Reiteration</i>	<b>Exposition</b> “Dear Mr. Sandler” (p. 36) “A Pet Story About My Cat... Gus” (p. 38)  <b>Challenge</b> “Dear Mr. Sandler” (p. 36) “Video Cameras in Classrooms” (p. 40)	<i>All of the above, and...</i> <ul style="list-style-type: none"> <li>• Topic sentences (hyperThemes) to mark parts of the argument as claim and reasons, often using transitions (Textual Themes)</li> <li>• Plural nouns (generic Participants) to generalize about the effects of the thesis</li> <li>• Positive evaluative language (Appraisal resources) for Expositions and negative evaluative language for Challenges</li> </ul>
9-12	<i>All of the above and...</i>  <b>Discussion</b> <i>Issue</i> <i>Sides</i> <i>Resolution</i>  Story genres embedded in Argument-focused <b>Macrogenre</b> texts	<b>Exposition</b> “_____ School Bond Levy” (p. 65) “Untitled essay on dress codes” (p. 76) “Freedom From Structure” (p. 78)  <b>Challenge</b> “_____ School Bond Levy” (p. 65)  <b>Discussion</b> “Fact vs. Fiction and All the Grey Space in Between” (p. 89)	<i>All of the above, and...</i> <ul style="list-style-type: none"> <li>• Grammatical metaphor to realize abstractions that characterize the thesis and its effects</li> <li>• Being and having verbs (Relational Processes) to generally characterize the different sides of the issue in a Discussion</li> <li>• Conjunctions to develop and distinguish varying points of views on an issue</li> </ul>

## CHAPTER 7. IMPLICATIONS OF GENRE ANALYSIS OF APPENDIX C FOR COMMON CORE STATE STANDARDS CURRICULUM AND INSTRUCTION

### 7.1 Introduction

The goal of this chapter is to address the implications of the analysis in Chapter Four through Six for CCSS curriculum and instruction. The analysis of the CCSS Appendix C has shown the myriad of genres and language constructions students can use, but as consistent with the interventionism that guides SFL genre research (Martin & Rose, 2008), the genre and linguistic knowledge needs to be recontextualized to empower students and teachers to gain access to genres of power--that is, the genres of the CCSS. In this chapter, using models and methods from Bernstein (1999; 2000), Martin and Rose (2008), and Christie (1993), the genres and language expectations will be examined and situated curricularly to form a sociological-educational model of the genres in the context of the U.S. CCSS system. An overall analysis will show how the genre and linguistic expectations realize a unique context of culture for the U.S. through shaping curricula in different ways. Finally, continuing the tradition of de Oliveira, Maune, and Klassen (e.g., Maune & Klassen, 2014; de Oliveira, Klassen, & Maune, 2015), a basis for a CCSS SFL genre-based curriculum and instruction model will be proposed.

## 7.2 Curriculum Implications

As was argued in Chapter Two, the Australian and U.S. schooling systems share a great deal in common as Anglophone countries; they represent unique contexts of culture that are realized by unique genre and language instantiations and expectations. The genre analysis of Appendix C has shown that some of the expectations for U.S. students in CCSS schools differ from the expectations for Australian students. These unique expectations represent the work of the CCSSI as an agent of the ORF in conjunction with agents of the PRF, such as NCTE and the schools that contributed exemplars to the Appendix C corpus, to shape what students need to “know and be able to do” (NGA & CCSSO, 2010a, p. 9). An examination of some of the more U.S. specific elements can show how the genre and linguistic expectations of the CCSS shape students’ understandings and direct students to construe certain kinds of meaning, engage in specific kinds of social processes, and thus realize a context of culture that aligns with the goals of the agents of the PRF and ORF to shape U.S. writing curriculum.

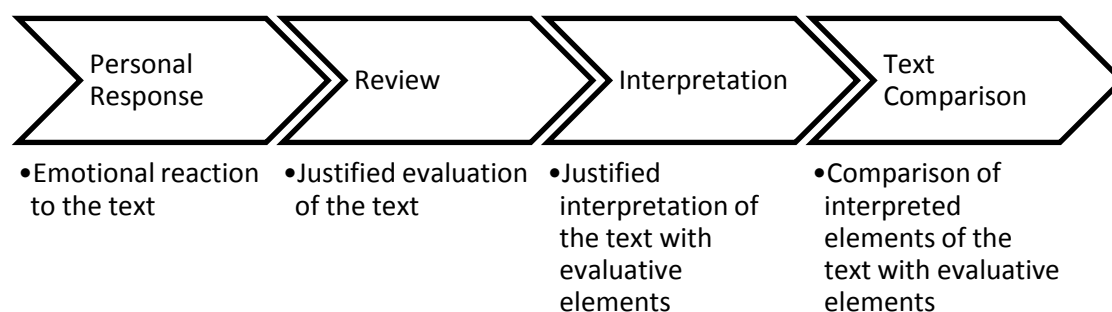
### 7.2.1 Implications for English Language Arts Curriculum

From a developmental curricular perspective, the genre analysis of Appendix C shows a relatively clear trajectory for Story genres. Story genre texts are expected to be produced in elementary and middle school, increasing in complexity of genre and linguistic resources over the grade levels, culminating at the end of middle school with control over the Story genres. In middle and high school, students may begin to experiment with genre embedding, using Story genres as illustrations in other genres, like Arguments, to create Macrogenre texts. This aligns generally with the developmental trajectories proposed in Christie and Derewianka (2008) and the U.S. research by

Schleppegrell (2003) and Brisk (2014). The relative frequency of the Story genres in the elementary grades matches the expectations set forth in the CCSS (NGA & CCSSO, 2010a), with a curricular focus on developing simple Story genres, namely Personal Recounts, Anecdotes, and presumably Observations (given their presence in the secondary texts), in the early grades, and then gradually developing control over the complex Narrative genre from Grades 3-8.

The Response genre developmental curricular trajectory is not nearly as clear cut. The Personal Response marks the general writing curriculum for K-2. While Martin and Rose (2008) cite previous research (e.g., Macken-Horarik, 1996) arguing that the Personal Response genre is not valued as much as more complex genres, its presence in the corpus indicates that in the U.S., some value is placed on Personal Responses in English writing curriculum. However, as the Personal Response is a pathway genre that is not instantiated in later texts, not even embedded in a Macrogenre text, Martin and Rose's (2008) contention seems to be borne out in the evidence from the corpus. Personal Responses are a stepping stone to more complex meaning-making in English class, but there is a noticeable gap in curricular models between Grades 3-6 inclusively. Table 6.6 in Chapter Six attempted to extrapolate genre developmental trajectories based on previous research, but the Response family developmental expectations are not certain. The gap points to the notable absence of the Review genre as a pathway genre to the more complex Interpretation and Text Comparison instantiated in the corpus. While perhaps logistical issues constrained the CCSSI in producing an exemplar Review text for Appendix C, it seems clear from the analysis that this is an oversight in guiding curriculum. There is no scaffolding text to support students' development of primarily

Appraisal resources beyond Affect in the Response family. The curriculum gap necessarily needs to be filled with the Review genre to serve as a bridge between the Affect-heavy Personal Response and the vastly more evaluatively complex Interpretation and Text Comparison genres. This genre pathway is illustrated in Figure 7.1.



*Figure 7.1* Curricular Pathway for Scaffolding Response Genre Family

The classification of some of the models in the Evaluative Response family as Informative/Explanatory raises some questions about how these genres should be taught—as primarily argumentative or primarily informative? Rose and Martin (2012) acknowledge that all texts have “multiple purposes” (p. 128), and so it is not inconsistent to say that a Response can be both evaluative and informative. However, the fact that the CCSS classifies some Responses as Informative/Explanatory does lend credence to Calkins, Ehrenworth, and Lehman’s (2012) thesis that the CCSS is oriented toward New Criticism. If a Response to a text is fundamentally informative, then interpretation of literature is more of a matter of fact than of rhetoric. This may be troubling to critically-minded English educators, and the dichotomy presents them with an uncomfortable choice in curricular orientation. On the side of the critically-minded English teacher is the linguistics; the language choices in the Response texts greatly differ, especially in Modality and Appraisal, from the texts in the Informing genre families. If a compromise



position is possible, it may be realized by drawing from both the Informative/Explanatory and Argument standards—the Informative/Explanatory with its emphasis on analysis and conceptual structures like classification and definition to, for example, establish traits and kinds of characters, (NGA & CCSSO, 2010a, p. 42) and the Argumentative with its emphasis on supporting claims with evidence (p. 42).

In the Response family, the curriculum expectations include one genre that distinguishes the U.S. context of culture and the Australian context of culture. Where did the Text Comparison genre come from and what are its implications for English curriculum? It may have evolved as a consequence of the rise of thematic units as a curricular organizational strategy (Pearson, 2011). Thematic units draw on the two subject English traditions outlined in Christie (1993): the “cultural heritage” and the “personal growth” model, the latter of which developed following the 1966 Dartmouth conference. The “cultural heritage” model emphasizes the “great works” of literature for their “enriching” qualities (p. 96). The “personal growth” emphasizes the individual student’s search and construction of meaning in their life (p. 77). As a result of the rise of the “personal growth” model, as Christie argues, English became a “contentless” discipline (p. 98), focusing on everything in life and on its meaning. This made it difficult to plan an English program, as Christie notes (p. 99), and the thematic unit may have been an attempt to fill the void of content. The thematic unit has features of the “cultural heritage” model inasmuch as it focuses on literature at the expense of writing; but it is more closely related to the “personal growth” model as the exploration of various themes is most often related to improving a student’s life choices or exploring deeper ideas of truth, morality, and ethics. Textbooks organized thematically mix texts of different genres

organized around a common theme, with the focus being split between the literature, its devices, the message the literature conveys, and the differing views each text brings to the theme. This, again, bears resemblance to the “personal growth” model, where the individual must seek out their own meaning, presumably through exploring what others have written and through discussion of these works.

Because the thematic unit is such a popular curricular frame, its wide use in U.S. education would likely influence the texts written for the CCSS exemplars. The evidence is present in the Response genre texts--many, such as “Marching to His Own Beat” (NGA & CCSSO, 2010b, p. 70-71) emphasize theme. The emergence of the Text Comparison genre is an outgrowth of the focus on theme across multiple texts. A logical assignment from a thematic unit is the comparative treatment of the theme across multiple texts. This is explicit in “Lives on Mango.” In “True Meaning,” the comparison leads to an evaluation, which makes it closely related to the Review genre. But even in this text, the reason the book is superior to the movie is that the movie does not do justice to the theme of the book. Therefore, even in the Review-related Text Comparison, the presence of theme suggests a likely antecedent thematic unit. The rise of this curricular model in the U.S. may have led to the emergence of the genre as a consequence of seeking to develop students’ “personal growth” and the need for writing assessment tied to the literature being read in the ELA classroom.

What this analysis shows is the way that the CCSS exemplars and the subsequent expectations reinforce existing curricular frameworks that are established by the agents of the PRF. In this case, there is evidence that one agent, NCTE, supports thematic units as a curricular framework. From 1975-1981, the NCTE Committee on Thematic Units

produced four publications on thematic units in English classes (Spann & Culp, 1975; Culp & Span, 1977, 1980, 1981), suggesting the organization's endorsement of the curricular framework. The expectation of Text Comparisons in the CCSS seems to show the influence of the agents of the PRF in directing English curriculum towards thematic units. Thematic units, along with their philosophical underpinnings, are one curricular framework that works within the context of the CCSS.

Simultaneously, the CCSS exemplars also seem to direct curriculum towards New Criticism, as argued by Culkins, Ehrenworth, and Lehman (2012). In the Response genres, the use of Circumstances of location in conjunction with Participants naming the text support Culkins, Ehrenworth, and Lehman's position. Perhaps another piece of evidence for the New Critical orientation is the choice of Response genre texts that lack any citations beyond the texts themselves; the student writers construct their message in Interpretations only through abstracting and inferring from the primary source document. This is curious given the fact that CCSS Writing Standards 7-9 at the secondary level require the use of citations by implication, as the students are expected to include sources "while avoiding plagiarism" (NGA & CCSSO, 2010a, p. 41). This might be explained by the developmental reading level required to read most literary criticism--a problem Martin and Rose (2008) have noted. Yet, many of the texts from the Informing order of genres, such as "Wood Joints" and "Spanish Lady," include citations from complex sources. It seems likely that the CCSSI, as an agent of the ORF, is directing the writing curricular expectations towards a New Critical approach to literature education. This also illustrates that the exemplars in Appendix C do more than drive writing curriculum; they have an effect on the literature curriculum as well.

The effects of the Appendix C Response genre family models extend to a more broadly conceived complex orientation in the CCSS expectations towards what May and Sleeter (2010) call “liberal multiculturalism” (p. 3). In liberal multiculturalism, the focus on understanding individual cultural differences supercedes attention to systemic power structures tied to those cultural differences. Its contrasting curricular approach, “critical multiculturalism,” seeks to address the structural power relations through a variety of curriculum and instructional models (May & Sleeter, 2010). A liberal multicultural orientation is shown in a number of texts, perhaps most notably in the Response genre texts. There is no shortage of attention to cultural differences, often showing up in generalized Participants like “racial boundaries” in the Matchup for “True Meaning” ((NGA & CCSSO, 2010b, p. 57) or “lifestyle and culture” in the Matchup for “Lives on Mango” (NGA & CCSSO, 2010b, p. 60). These nominalizations of culture, from a critical multicultural perspective, are seen as seeking to “essentialize and depoliticize culture--treating culture as a thing, while at the same time ignoring the wider social and political context” (May & Sleeter, 2010, p. 6).

The Response genre texts certainly use grammatical metaphor to abstract and render cultures “things.” But they do not all ignore the “wider social and political context” (p. 6). Some texts, like “Marching to His Own Beat,” an Interpretation of Richard Wright’s *Black Boy*, do show a lack of consideration of structural power relations in their treatment of the texts they analyze. The “True Meaning” text construes one of the themes of the two texts compared as being “break[ing] the incredible racial boundaries of the time” ((NGA & CCSSO, 2010b, p. 57). But some, like the Text Comparisons “Lives on Mango,” directly address power relations, with “Lives on Mango” showing two young

women characters challenging the directly cited Participant “patriarchy” (NGA & CCSSO, 2010b, p. 60). This complicates the analysis of the CCSS as strictly oriented towards liberal multiculturalism, as some elements of critical multiculturalism are apparent in the conceptual and linguistic choices of the texts.

The genre analysis presented in Chapters Four through Six may also be helpful for teacher education as a way to prepare pre-service teachers to understand the range of student writing as well as the potential socio-political implications of what students produce. First, the genre analysis in the previous chapters might serve as a model to help pre-service teachers understand the language development of student writers, as well as suggest the general trajectory for scaffolding genres of different families. The exemplars can be so much more than just models for K-12 students; they can be models for teacher educators to show pre-service teachers what their students’ abilities linguistically might be at each grade level. Additionally, as was shown in the analysis of the Text Comparisons, genre analysis can serve as a tool for raising questions about the nature of power relations as realized through language choices; this can instill in pre-service teachers a critical awareness of the kinds of writing that they assign and teach. Finally, as a pedagogical practice, genre analysis might serve the teacher educator well enough to pass it on to their pre-service teachers in English Education; that is, the TLC might be a method that English teacher educators might teach in their methods courses as a way to prepare pre-service teachers for writing instruction.

### **7.2.2 Implications for Writing Curriculum in History/Social Studies**

The implications of SFL genre analysis for History and Social Studies curriculum include a focus on Argument in current events education and a lack of Argument in

History. The genre instantiations in the corpus point primarily to Informing genres in History, shown in the “Civil Disobedience” Historical Account and the massively rich “Spanish Lady” Consequential Explanation. The noticeable dearth of History-oriented texts in the corpus again points to an oversight: there are no Historical or Biographical Recounts, which are necessary curricular pathway genres to the Historical Account and Consequential Explanation. Accordingly, Tables 5.1 and 5.4 in Chapter Five attempts to extrapolate the curricular pathway, but the guidance for History writing education is slim.

What can be said is that History writing should focus on causal relationships, a conclusion supported by previous SFL U.S. research on History writing (e.g., de Oliveira, 2006). The realization of causal relationships occurs through language resources like reasoning within clauses with Material Processes, generalized Participants, and Textual Themes of reason. These language resources are no small feat to include in a History curriculum already sagging from the weight of coverage. As will be noted in the later content-area curriculum sections, the complexity of language demands in History genres points to renewed focus on content-area literacy in teacher education. For History curriculum in CCSS schools, particularly at the secondary level, a partnership between ELA and History may facilitate the need to teach Historical Accounts and Explanations through team teaching, personal learning communities, and cross-curricular thematic units. Certainly not all language teaching can be outsourced to ELA, but the teaching of genres topologically related to Historical Account and Explanations, such as Interpretations that focus on cause and effect of a character’s choices, may facilitate some of the necessary language development to support control over the instantiated and expected History genres.

Perhaps most striking about the History curriculum implications from Appendix C is that there are no Arguments about History. Based on Appendix C, the purpose of History writing in the CCSS is to inform, not to argue. This supports a liberal multicultural perspective on the CCSS, with an orientation that matters of history are settled fact, with no cultural mechanism to challenge accepted interpretations of historical events. The CCSS for Writing challenge this implication, however, with a clear set of Argument standards for Social Studies and History (NGA & CCSSO, 2010a, p. 65). The absence of an exemplar of a Historical Argument text is likely a logistical oversight, but it does raise questions about the value of Historical Argument genres over Historical Informing genres. In the U.S. context of culture, Appendix C seems to suggest that the practice of History is primarily a matter of informing, while current events is the domain for argument. This is borne out in the four Argument genre texts that address current or recent events: “Zoo Field Trip,” “Video Cameras in Classrooms,” “\_\_\_\_\_ School Bond Levy,” and “Untitled essay on dress codes.” One anomaly that should be noted is the Discussion “Fact vs. Fiction,” which develops its Sides Stage with historiographical research on different instances of fiction and nonfiction. However, this text was produced in an English composition class (NGA & CCSSO, 2010b, p. 89) and thus does not represent History writing proper. Thus, in short, Appendix C suggests an informative writing curriculum for History and an argumentative writing curriculum for current events, construing a generally non-critical perspective towards History in the U.S. context of culture.

### 7.2.3 Implications for Writing Curriculum in Science

As with History, Appendix C provides little curricular guidance on writing in Science, although the CCSS do outline expectations for Informative/Explanatory and Argumentative writing in the content-area. Three texts generally guide Science writing curriculum: “Frogs,” “Horses,” and “A Geographical Report.” These map nicely as token examples of the three genre families traditionally associated with Science writing: Explanations, Reports, and Procedures (respectively). From the perspective of genre families, this range of genre instantiations is helpful for planning scientific writing curriculum, as it allows students to construe multiple kinds of scientific meanings related to scientific classification, processes, and experimental methods. However, the developmental expectations are less clear, as the different genre families do not necessarily relate topologically in an established hierarchy; it would be more helpful to have pathway and more advanced instantiations of each genre family in the Science subject area.

The language curriculum for Science drawn from the Appendix C genre analysis should emphasize the use of generic Participants, often realized through plural nouns, such as “horses” and “frogs.” In Explanations of scientific processes, Material Processes to construe the actions of the scientific phenomena and relevant scientific vocabulary are necessary for students to gain control over the genres. In Reports, Relational Processes between generic Participants and either other Participants or properties should be a focus. The Procedural Recount in the corpus, “A Geographical Report,” provides a guide to the necessary language curriculum, with specific Participants coming to the fore along with an increase in Modal verbs to construe obligation if a call to action is necessary. But the



text is not a prototypical scientific Procedural Recount--or what Martin and Rose (2008) call an Experiment Report, as it draws largely on social science methods for data collection. This marks an absence of a Procedural Recount with methods from the physical and biological sciences--a major oversight in providing overall curriculum guidance for Science writing. The Experiment Report is a mainstay genre in science education (Martin & Rose, 2008; Christie & Derewianka, 2008), and its absence in Appendix C is a tremendous gap in modelling the most highly-valued genre of school science writing. A science writing curriculum aligned to the CCSS, despite the lack of clear modelling in the corpus, would necessarily include it.

Again, the partnership with ELA to facilitate language learning for the content-areas would support the science writing curriculum, but the connection is less strong between Science and ELA than between History and ELA. Relevant topologically-related genres between ELA and Science for students to develop necessary language resources do not abound; the language-learning would more than likely have to occur in the Science classroom. Science textbooks can provide excellent models for students to produce science genres, as Martin and Rose's (2008) research has shown. With the relative lack of developmentally appropriate models in Appendix C for each of the families traditionally represented, and especially given the lack of an Experiment Report model, the science textbook would be the best resource for science writing curriculum planning.

#### **7.2.4 Implications for Writing Curriculum in Technical Subjects**

Appendix C provides some guidance for writing curriculum in technical subjects, and it differs significantly from the existing research in Martin and Rose (2008) and the prescriptions offered in Brisk (2014). The technical subjects, such as Industrial Arts and

Home Economics, frequently use genres from the Procedural family to engage in their attendant social processes. That is, genres in technical subjects are more likely to use genres alongside social processes, rather than to use genres to construe social processes (Martin & Rose, 2008; Martin, 1990). For example, a recipe may be propped up next to a cook to accompany their physical action of cooking. The recipe, itself a Procedure, exists to accompany social action, not to construe it. This differs categorically from other genres, like the Response genres, where the social process is construed through the genre itself. The social process of Response genres is meaning-making; the social process of Procedural genres in technical subjects is often physical action (Martin, 1990).

To facilitate this accompanying function, Procedural genres have often been construed in list format, in order to construe the order of steps in a physical, top-to-bottom orientation, with distinct boundaries for each step (Martin & Rose, 2008; Brisk, 2014). However, the Procedural texts in Appendix C forego this convention in favor of an essay format. They do make use of multimodal resources, incorporating diagrams to convey spatial relationships, among other things, in the procedures being described. But the lack of the list format signals a potential curricular difference between Australia and the U.S. Appendix C models Procedures as essays because the Procedural writing that students do in technical subjects in the U.S. is usually a summative assessment demonstrating knowledge. These texts, while potentially able to accompany action, are primarily meant to construe student understanding--that is, to make meaning. This is suggested by a number of language and genre choices, such as the dominance of the third-person and second-person declarative clauses to realize Commands in “Wood Joints” and the embedding of a Classifying Report in “TIG/GWAT Welding.”

The Procedural genres in technical subjects in the U.S. have evolved as a result of a social need--a summative assessment of student knowledge. This highlights the influence of one of the agents of the ORF, namely the federal government and its mandate for standardized testing. The preference of standardized writing assessments to take on the essay format may be one way to explain the technical Procedural exemplars in Appendix C. The standardized essay assessment may have driven a technical writing curriculum that differs from the traditional school technical genres discussed by Brisk (2014) and Rose and Martin (2012). The texts are unusual in that they suggest a language curriculum that predominately uses Declarative Mood to realize Commands and makes little use of Themes of time to organize sequences. The result looks more like bureaucratic discourse (Iedema, 1997) than the traditional sequentially ordered lists that usually accompany activities in the technical subjects.

Another addition to the rather untraditional genre expectations evolving in Procedural genre family is the anomaly of what might be called a Statement of Relevance Phase, which occurs in “Wood Joints,” “TIG/GWAT Welding” and a few other Informing texts that span disciplines like Science and (most likely) English Language Arts. The Statement of Relevance Phase usually involves a first-person or third-person expression of why the content of the preceding essay is relevant to the student. This might mean practical relevance, as with the case of “Wood Joints,” or more personal relevance, as with the case of “Horses.” The emergence of this Phase as an inter-family Phase suggest that it addresses a curricular issue that is characteristic of the CCSS curricular orientation as a whole. It implies a utilitarianism to school curriculum—that it should be useful to students. Indeed, the anchor standards for each domain in the CCSS

are called “College and Career Readiness Standards” (NGA & CCSSO, 2010a). The CCSS emphasize an orientation towards utility—that the knowledge and skills learned through the CCSS should prepare the students for two social processes: college or career.

This utilitarian orientation might stand in contrast to a liberal arts orientation towards curriculum and the general stance of knowledge for knowledge’s sake is an essential good. The presence of this Phase shows how student writing construes not only meanings relevant to demonstrating knowledge of content, as Informing genres generally do, but also the construing of a general ideology of utilitarianism as part of the context of culture in K-12 U.S. education. From Martin’s (1992) Bernstein’s (2000) perspective, this Phase and the meaning it construes likely reinforces existing ideological utilitarian commitments in the ORF and PRF that shaped the standards. This ideology trickling down into the curriculum and shaping the meanings students are expected to make shows a potential for a context of culture that lacks the values of the liberal arts, such as intellectual curiosity. This Statement of Relevance Phase, as innocuous as it seems, could indicate a significant curricular orientation shift in the U.S. education system towards utilitarianism.

Despite this relatively fluid state of the Procedural genre family, a writing curriculum for technical subjects can draw on the genre analysis of Appendix C to inform it. Some recommendations might include recontextualizing of Procedures described in technical subject textbooks into essay format through translating Commands into Declaratives and through focusing on Modality to convey differing levels of obligation and certainty for Commands. A technical writing curriculum would make use of Procedure and Protocol genres, but also Report genres like Classifying Reports to allow

students to demonstrate knowledge about the science and technical specifications of the materials used in the social processes of technical subjects. And, depending on the ideological commitments of the educator, Statement of Relevance Phases might be used to help tie their content knowledge to their lives outside the classroom.

### **7.3 Recommendations for Writing Instruction**

The CCSS explicitly state that they do not “define... how teachers should teach” (NGA & CCSSO, 2010a, p. 9). Accordingly, an analysis of Appendix C does not have any necessary implications for writing instruction. Instead, the following are recommendations for CCSS-aligned, SFL genre-based writing instruction that makes use of the genre analysis in Chapters Four through Six. The teaching strategies and principles are based on SFL pedagogical research and the authors own innovations. These recommendations are primarily for secondary education, as per the Research Questions for this study, and as Brisk (2014) provides more than enough guidance for SFL genre-based pedagogy for K-5.

#### **7.3.1 Teaching-Learning Cycle**

The TLC, outlined in Chapter Two, is the most developed pedagogical strategy for making use of genre analysis. The three main Phases of activity--Deconstruction, Joint Construction, and Independent Construction--can be used in conjunction with other writing instructional strategies, such as writing workshop, to facilitate students’ learning of new genres. A general procedure is described below for aligning instruction to the CCSS through genre analysis provided in Chapters Four through Six and the curriculum implications discussed in this chapter.

### 7.3.2 Deconstruction Phase

The Deconstruction Phase should begin with a selection of a target genre that is developmentally, content-area, and curricularly appropriate. This target genre may serve as the objective for a writing unit, although in a content-area unit, the target genre may function as a summative assessment, such as in a thematic unit in English, as the CCSS suggests. Deconstruction begins with building sufficient background knowledge for the students to be able to understand the model text; this may be accomplished through Preparing to Read activities that include non-linguistic and linguistic support, such as diagrams and labeled pictures to teach concepts relevant to the genre (Rose & Martin, 2012). In beginning to teach the genre itself, teachers should also provide an understanding of the goal and social process of the genre--that is, explain who writes in this genre, to whom they write, and what they hope to accomplish through this genre. Following the explanation of the general goals and social process of the genre, the teacher may then begin to discuss the schematic structure of the genre. This may best be represented through a graphic organizer, such as the one presented in Table 7.1 for the Text Comparison genre.

Table 7.1 *Model Graphic Organizer for Teaching Text Comparison Genre*

Stage 1	TEXT MATCHUP
Definition of Stage 1	Explain which texts you are comparing, why you are comparing them, and what their main points of comparison and difference are.
Moves in Stage 1	<p><i>Text Identification</i> (name the texts you are comparing)</p> <p><i>Text Description</i> (briefly describe each text and where it came from)</p> <p><i>Thesis</i> (state what the main points of comparison and difference are, which text is better at handling the topic, and why)</p>

Table 7.1 continued.

Stage 2	TEXT COMPARISON
Definition of Stage 2	Explain the areas where each text is similar and where each text is different. Show where each text is different or similar by providing quotes and paraphrases.
<b>Moves in Stage 2</b>	<p><i>State Similarity</i> (state one feature of the texts that is similar; explain whether they are both good or both bad)</p> <p><i>Evidence for Similarity</i> (tell where this similarity occurs)</p> <p><i>Explanation for Similarity</i> (why does this similarity occur; why are the texts both good or bad on this feature)</p> <p><i>State Difference</i> (state one feature of the texts that is different in each text; explain which text deals with it better)</p> <p><i>Evidence for Difference</i> (tell where this difference occur)</p> <p><i>Explanation for Difference</i> (why does this difference occur; why is one text better than the other on this particular feature)</p>
Stage 3	TEXT DISTINCTION
Definition of Stage 3	Explain the fundamental differences and similarities between the two texts.
<b>Moves in Stage 3</b>	<p><i>State Fundamental Difference</i> (explain an overall difference between the texts)</p> <p><i>State Fundamental Similarity</i> (explain an overall similarity between the texts)</p> <p><i>Evaluate Text</i> (explain which text better handles the topic and why)</p>

In completing the Deconstruction Phase, the teacher and students should go through an activity that essentially walks the students through the structure and linguistic expectations of the genre mediated through a mentor text from Appendix C. The annotated tables in Chapters Four through Six may serve as a guide for this process. The

walk-through of the genre may be facilitated in a number of ways. A teacher may assign small group work for students to analyze specific features of the text, such as kinds of nouns and verbs (Transitivity) or the beginnings of sentences (Thematic analysis).

Following the small group analysis, the teacher then may engage the students in a discussion of the patterns found in the text and the purposes for those patterns.

Alternatively, the Deconstruction with the mentor text from Appendix C may also be done as a general lecture with points for discussion. With a blank copy of the mentor text projected on the board and hard copies in the hands of the students, the teacher may guide the student in the structural and language features through guided annotation, alternatively explaining and questioning to help students learn the language choices expected and the purposes of those language choices.

### **7.3.3 Deconstruction Phase: Metalanguage**

Often the most challenging part of the Deconstruction Phase is the development of students' ability to talk about language--that is, to use metalanguage. The metalanguage of SFL can be complex at times, as the genre analysis of Appendix C has shown. I have attempted to provide some translation throughout the analysis, especially in the tabular summaries at the end of each genre family section, in order to ease integration of the analysis into instruction. Schleppegrell's (2004) work can be helpful in translating the SFL metalanguage into terms easier to understand for students just beginning to engage in genre analysis and those generally at lower developmental levels, and her terminology has been used throughout the genre analysis of Chapters Four through Six. In small group language analysis activities, teachers may use a more general metalanguage to guide students. The teacher may divide the class into groups and assign



each group a different section of the text and a metafunctional focus. Some groups will do Transitivity analysis; some groups will do Thematic analysis; and some groups will do Mood or Modality analysis. However, general metalanguage may avoid the technical lexis of SFL through translation. The teacher may tell the Thematic groups to look at “starts” of sentences; Transitivity groups to look for nouns and verbs, which may be called the “stuff” of the genre; and Modality groups to look at Modal verbs to find out how the text “sounds.” The metafunctions also link to three perennial questions asked by students when writing in a new genre. Thematic analysis addresses: “How should I start?” Transitivity analysis answers: “What should I say?” And Mood and Modality analysis addresses: “How should it sound?” The discourse analysis systems associated with each metafunction, such as Appraisal to realize Interpersonal meaning and address the “How should it sound?” question, may also be used as frameworks for small group analysis, alternatively addressing these perennial questions of writing students.

**7.3.4 Joint Construction** Following the Deconstruction Phase, students then, with the guidance of the teacher, begin to write in the target genre as a group. The Joint Construction Phase is based on the principle of “guidance through interaction in the context of a shared experience” (Martin, 2005, p. 252). This means that teachers need to select a “shared experience” that all of the students have and that can serve as the content of the Joint Construction in the target genre. In a thematic unit with the Text Comparison target genre, a “shared experience” may be two or more texts that the students have read as part of their literature study. In order to generate the main points of comparison and the ultimate comparative evaluation that will serve as the content and meaning realized through the Text Comparison genre, students might engage in small group literature circle discussions or the teacher might facilitate a large group discussion on the points of comparison. In this Phase, the writing process should be modeled with the students, beginning with pre-writing and invention activities. In the Text Comparison example, the results of the comparative discussion activity might be consolidated into a set of common notes for the class, which in turn may be translated into an outline for the Text Comparison Joint Composition. The use of graphic organizers to show students what each Stage needs to include can facilitate the building of a class outline. Then, with a student acting as class scribe, the drafting process begins.

### **7.3.5 Joint Construction: Genre and Language Templates**

The Joint Construction drafting stage may seem daunting, as any white piece of paper can be, but the use of genre and language templates may scaffold the learning of the genre and manage the complexity of the task. Simple genre templates, like Table 7.2 below, can help give students a sense of the organizational and experiential meaning expected in the genre. They can also be a useful heuristic for outlining before drafting.

Table 7.2 *Model Genre Template for Teaching Text Comparison Genre*

Text Comparison
<p><b>MATCHUP</b> Explain which texts you are comparing, why you are comparing them, and what their main points of comparison and difference are.</p>
<p><b>COMPARISON</b> Explain the areas where each text is similar and where each text is different. Show where each text is different or similar by providing quotes and paraphrases.</p>

Table 7.2 continued.

<p><b>DISTINCTION</b> Explain the fundamental differences and similarities between the two texts.</p>
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In conjunction with genre templates, language templates for specific Phases in the genre or more general goals of the genre may be used to scaffold student understanding of the language expectations of the genre. For example, in many Response genres, the use of quotes supports claims about the interpretation or evaluation of a text. A quote template

using translated SFL metalanguage may aid in the Joint Construction Phase, as shown in (1):

(1) [Author] + [Saying Verb] + [Quote] + [In-Text Citation].

In the more complex Text Comparison and Interpretation genres, the use of Christie and Derewianka's (2008) showing verbs can lead to another useful template, shown in (2):

(2) [Reference to Text or Author] + [Showing Verb] + [What the Text Means]

In guiding the students through the Joint Construction of a Response genre, English teachers can use the showing verb template to scaffold students' ability to express their interpretations of different parts of the text. These templates translate the work of the Deconstruction Phase, which involves finding complex grammatical patterns that realize the meanings in the genre, into useful heuristics to support development of genre control for the students.

### **7.3.6 Independent Construction**

The Independent Construction Phase is the time for students to develop control over the genre. This Phase may be facilitated through varying levels of scaffolding from teachers; Atwell's (1987) writing workshop model may work well during this Phase in order to give students individual attention in their development of genre control, as consistent with Rose and Martin (2012). Conferencing with students during the Independent Construction Phase is made easier by the abundant resources generated through the Deconstruction and Joint Construction Phases. If a student is struggling with some part of the paper, the teacher can say, "Well, let's look at how our mentor text did it" or "Remember how we did this in the Joint Composition?" Certainly the Independent Construction Phase can turn up new problems to address, but the goal of the previous

Phases was to provide a sufficient background and confidence in the student to attempt an independent composition in the target genre by themselves. The teacher's guidance can frequently refer to not just general writing principles, but specific examples that form part of the students' shared experience constructed through the previous Phases. The student can feel more confident in their ability to write in complex genres because they have seen how others have done it, and they have already written in the genre together with classmates and the teacher.

#### **7.4 Conclusion**

In this study, the genre and language expectations of the CCSS as instantiated by the student exemplars in Appendix C have been generally characterized. These expectations shape the curricular direction of CCSS schools; in time, these curricular emphases will manifest in the U.S. context of culture outside of the classroom, even as this study has shown that they have been informed by different sociological agents. The analysis of Appendix C has shown what the CCSS considers genres of power and how they can be realized by students. This points to one of the primary goals of this study and of SFL genre pedagogy in general: to empower students through genre awareness and control and allow them to become sociological agents in shaping their own communities. Martin and Rose's (2008) call to action has never been so relevant:

We now need our powerful genres and those which will evolve from them more than ever; and for life as we know it to have any chance of survival we have to pass those genres around--and have them reworked by people who will use them a lot more sensibly than the remorseless short-sighted patriarchs who manage them now. (p. 260)

The effects of student empowerment through genre awareness and control are not just the immediate test scores, but the ripples throughout a culture of students using and transforming genres to accomplish new things. A CCSS-aligned, SFL genre-based pedagogy informed by this study's analysis can not only facilitate the curricular goals of the CCSS, but also lay bare the societal implications of these genres and the social processes they accompany and construe. With this critical and linguistic awareness, teachers can help students gain confidence in their control over genres of power while also guiding them to challenge the ways genres reinforce structural inequalities, enabling students to use the genres of power, as Martin and Rose (2008) put it, "a lot more sensibly" (p. 260) and for purposes aligned with their own self-interests and their communities' interests.

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Natural Language Processing Certificate, Purdue University, 2011

Transition to Teaching Program Certificate, Anderson University, 2008

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**AWARDS**

Kneale Award in Linguistics Honorable Mention, Purdue Literary Awards, 2013

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English Instructor, *University of Arkansas Community College at Hope-Texarkana*, Hope, AR, 2015-2016

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## SCHOLARLY PUBLICATIONS

Maune, M.J. & Klassen, M. (2014) Filling in the Gaps: Genre as a Scaffold to the Text

Types of the Common Core State Standards. In L. Oliveira & J. Iddings. *Genre Pedagogy Across the Curriculum Theory and Application in U.S. Classrooms and Contexts*. Sheffield: Equinox.

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