

use of language
persuasively

**RHETORICAL STRUCTURE IN MASTER OF ARTS (MA) RESEARCH
PROPOSALS OF KENYATTA UNIVERSITY**

BY

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**A thesis submitted in partial fulfilment of the requirements for the degree of
Master of Arts in English Language of Kenyatta University.**

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*Rhetorical structure
in Master of Arts***



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Declaration

This thesis is my original work and has not been presented for a degree in any other university or any other award.

Signature  Date 21/12/99

Geoffrey Mokua Maroko

We confirm that the work reported in this thesis was carried out by the candidate under our supervision.

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ACKNOWLEDGEMENTS

DEDICATION

For Anita Kerubo
(30/5/97 - 22/6/98)

*A territory with
such an ineffable charm.*

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Many hands make light work. I must admit that this work is a product of a concerted effort to which I have accumulated many debts, only a proportion of which I have space to acknowledge.

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ABSTRACT

This study set out to investigate rhetorical structure (persuasion) in Master of Arts (MA) research proposals of Kenyatta University. This was by comparing the Kenyatta University Faculty of Arts (KUFA) model of proposal writing with the Create a Research Space (CARS) model of Research Article (RA) introductions which is claimed to epitomize rhetorical structure. The study also investigated if the presentation of the gist in the statement of the problem (Section 2A) in the KUFA model and citations in the KUFA proposal have particular linguistic signalling features which enhance rhetorical structure. This was an attempt aimed at contributing to research in **Genre Analysis**.

A qualitative research design was used for this purpose. Data were drawn from six randomly selected research proposals of the Academic Year 1997/98 in the Faculty of Arts and classified into two: textual and intuitional. These data were analyzed using the three theoretical approaches that guided this study namely: the Swales' (1990) CARS model of RA Introductions, Chubin and Moitra's (1975) Citation Typology and Thomas and Hawes' (1995) Citation as Persuasion.. The following findings emerged:

- The KUFA model of proposal writing corresponds to the CARS model of RA introductions.
- The gist in the statement of the problem (Section 2A) in the KUFA model is signalled by sets of linguistic features that enhance persuasion.
- Citations in the KUFA research proposal may be classified into three: supplementary, negational and affirmative. They are marked by sets of linguistic features which enhance rhetorical structure.

This study, consequently, recommends the need to use a **genre-based teaching approach** when instructing learners how to write a persuasive research proposal. Such an approach, it is believed, will enable the learner to enter a particular discourse community and learn how researchers organise research proposals.

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LIST OF ACRONYMS

- BPS - Board of Postgraduate Studies
- CARS - Create a Research Space
- CCA - Content Citation Analysis
- EAP - English for Academic Purposes
- ELR - English Language Research
- ELT - English Language Teaching
- ESL - English as a Second Language
- ESP - English for Specific Purposes
- KUFA - Kenyatta University Faculty of Arts
- MA - Master of Arts
- RA - Research Article
- RAI - Research Article Introduction

CHAPTER ONE

1.0 INTRODUCTION

1.1 Background to the Problem

In the rapid development of the teaching of English for Specific Purposes (ESP) over the last twenty years, the requirements for research to inform needs analysis and syllabus design has frequently been noted (Sinclair, 1980). This observation is in tune with what Dudley-Evans (1986:129) later observes that the concerns of Text Analysis is with 'top-down' analysis that seeks to establish general features of all texts. It hardly focuses on the analysis of particular types of text. It is certain that there are features that can be identified as 'typical' of a particular context of use and which, therefore, the learner is more likely to meet in the target situation.

This may be the motivation behind Swales' (1981) work in which he begins to provide a bridge between the concerns of Discourse and Text Analysis and the need, in ESP work, for models of communicative activities that will inform materials production. Hence studies such as those of Dudley-Evans (1986, 1994), Swales (1981, 1990), and Dudley-Evans and Henderson (1990) focus on a model based genre analysis in written discourse texts. Swales, for example, advances a Move Analysis approach (see Swales, 1981) and later modifies it (see Swales, 1990), to be used to analyse Academic Writing on the basis of whether or not academic papers follow the general format of the approach.

Along this line, research in academic writing in general and proposal composition in particular, has recently drawn some interest in Kenya. Such studies include, for example,

Nyagah (1995), Mulusa (1990), Mwiria (1995) and Eshiwani (1980). What has emerged from these studies is the emphasis on what constitutes the major parts of a research proposal and what each (part) comprises of. A close look at these studies reveals that they hardly address the concept of rhetorical structure in the research proposal as a genre.

Rhetoric in its academic use is closely related to the idea of persuasion. More particularly, it is an attempt by the writer to persuade a reader or the audience on the validity of an argument. Rhetorical structure, in this study, is taken to encompass rhetorical organisation: a researcher's use of linguistic signalling features to present the gist of his argument in a way that persuades the reader(s).

Kenyatta University Faculty of Arts, has over the years developed several models of research proposal writing to guide researchers when composing research proposals. According to a model designed in 1987 by the then dean of the Faculty of Arts, an adequate research proposal comprises the following sections: introduction; statement of the problem; justification; literature review; and methodology. However, this model was later criticised for inherent shortfalls. For instance, the model lacked the Hypotheses section where researchers should present thesis statements about the possible outcome of their studies. Secondly, the model was criticised for lacking the Theoretical Framework section, which is pivotal in the analysis of data.

To correct the shortcomings noted above, a committee comprising representatives from each department in the Faculty of Arts, chaired by the then chairman of the Foreign languages department, was constituted to improve the 1987 model. Consequently, the committee designed a new model in 1995, which is currently in use, to guide proposal writing in the Faculty of Arts. The model has the following additional sections: background to the study; hypotheses; objectives; rationale; scope and limitations; theoretical framework; provisional summary of chapters of the resultant study; budget, and a timetable for the research (*cf.* 3.3; Appendix II). The committee argued that with this comprehensive model, the quality of research in the faculty would improve. It is this format that, in this study, is regarded as the Kenyatta University Faculty of Arts (KUFA) model of Proposal Writing.

On similar lines, Swales (1990) develops a model of analysis, the Create a Research Space (CARS) model, to facilitate the concept of rhetorical structure in academic writing. Generally the model comprises of three **moves** which in turn are subdivided into a number of **steps**. The three main moves identified by the model are: establishing a territory, establishing a niche, and occupying the niche (*cf.* 2.7).

The Kenyatta University Faculty of Arts (KUFA) model of proposal writing and the Create a Research Space (CARS) model of article introductions are two formats that may guide researchers in composing research proposals. Constituent parts of this type of genre are outlined and described (by these models).

Despite the availability of the two models or formats for academic writing, most prospective researchers take - unnecessarily - long periods to write an appropriate research proposal before going to the field. This may be attributed to many factors among which is inadequate control of English necessary for Academic writing Purposes [EAP] (Nyamasyo, 1992). It is in this light that researchers need to be sensitised (either before or in the process of writing) to rhetorical effects and rhetorical structure that tends to recur in thesis proposals. This will develop, for instance, an understanding of what it is that allows researchers to recognise a section such as theoretical framework or the literature review, and what allows them to argue that one section is more effective than the other.

Since such issues have hardly been raised and measures put in place to develop English for Academic writing Purposes (EAP), it is therefore necessary that an investigation beyond identification and description of proposal parts be done. This would, for example, focus on the need to persuade a reader.

1.2 Statement of the Problem

There is need to convince readers to accept a text in academic writing. This is the role of rhetoric. An acceptable text persuades and/or convinces a reader, since it has rhetorical structure. However, questions arise whether researchers take this into account when *composing research proposals*.

In this study, the following aspects (with due regard to rhetorical structure in MA research proposals of Kenyatta University) have been investigated. First, the work seeks to investigate whether the rhetorical organisation of the KUFA research proposals compares with the framework of the Create a Research Space (CARS) model of article introductions as advanced by Swales (1990). Secondly, it attempts to investigate whether the gist, in the statement of the problem section, is presented via a set of linguistic signalling features in a manner that contributes to the rhetorical structure of the genre. Thirdly, the study describes the use of citations and how they (through a set of linguistic signalling features) enhance rhetorical structure in research proposals.

1.3. Research Questions

This study has attempted to answer the following questions:

- Do sections of a research proposal as outlined in the Kenyatta University Faculty of Arts (KUFA) model of proposal writing correspond to the CARS model of Research Article Introductions?
- Which linguistic features signal each section of a research proposal and to what effect?
- What are the linguistic signalling devices and how do they highlight the gist in the statement of the problem section in the MA proposal of Kenyatta University?
- What types of citation can be identified in the KUFA research proposal?
- Which linguistic signalling features characterise these citations and how do they enhance rhetorical structure?

1.4. Objectives of the Study

The main objective of this study involves the investigation of the rhetorical structure in the MA research proposal of Kenyatta University. More specifically, the study has attempted to fulfil the following objectives:

- Assess the rhetorical organisation of MA research proposals of Kenyatta University in the light of the KUFA model in an attempt to establish if it corresponds to the CARS model (which is an epitome of rhetorical structure).
- Describe how rhetorical structure is enhanced by vivid presentation of the gist of the study.
- Identify citation procedures used by researchers in a bid to discuss their role in facilitating rhetorical structure in MA research proposals.

1.5. Research Assumptions

This study was based on the following research assumptions:

- The rhetorical organisation of the Kenyatta University Faculty of Arts research proposals corresponds to the CARS model of article introductions.
- An important aspect of rhetorical structure in research proposals is the precise presentation of the gist of the study.
- Well-presented citation facilitates rhetorical structure in MA research proposals.

1.6. Rationale of the Study

This study provides some insight in the area of Applied Linguistics and, particularly, Genre Analysis in Academic Writing. Thus, knowledge of the rhetorical divisions in a

research proposal and their signalling is given. This could be a useful contribution not only in pedagogy but also in illuminating the process of communication in this genre.

Though works such as Mulusa (1990), Eshiwani (1980), Nyagah (1995), Mwiria (1995), and Okoronkwo (1985) have addressed issues of proposal writing, they seem to be unanimous in the description of proposal parts. This study, however, is different since it looks into how language use facilitates the rhetorical structure of this genre. In other words, those aspects of language that enhance persuasion have been investigated. This is a contribution to a functional or communicative approach to academic writing, which Nyamasyo (1992) advocates.

The findings of this study attempt a reconstruction of proposal composition and are expected to guide researchers at not only the initial stages of postgraduate research but also further on since, it is believed, they offer clues to a dimension of proposal writing based on the linguistic characteristics that facilitate rhetorical structure.

1.7. Delimitations and Limitations

This study focuses on the rhetorical structure in the KUFA research proposals. Thus, it is the product (that is, the written proposals) that was investigated. The proposals registered at the faculty are referred to as product because they have undergone various stages like pre-writing, drafting, sharing the written draft, commenting on the draft and revising it, which characterises the process of writing. Specifically, focus was on the rhetorical organisation of the proposal, the gist in the statement of the problem section,

and citation. This study sample was picked from proposals written in the 1997/98 Academic Year. The year was chosen purposively for two reasons. In the first place, as stated in 1.1, the models that guide proposal writing in the Faculty of Arts at Kenyatta University have changed over the years. Therefore, the Academic Year 1997/98 falls within the time frame within which the latest model is in use. Secondly, it is believed, and indeed was confirmed in a pilot study, that in this year, the proposals were readily available for reliable sampling.

Since this study focused solely on product, the process or what Swales (1981) calls 'personal communication', could not be visited. This study agrees with Murray's (1982:18) reason for disassociating process and product which is encapsulated in his celebrated dictum that 'process cannot be inferred from product any more than a pig can be inferred from a sausage'. Thus, the amount of effort (in the process of writing) is ultimately deemed not material, since at the end of the day it is the product that counts (Swales, 1990:128). Secondly, this study has not focused on the stylistic features such as repetition, metaphors, and similes, although they could also enhance the persuasive tone of a text. These aspects do not form the scope of the persuasive signalling features identified by the CARS model of RA introductions (*c.f.* 2.7) which guides this study.

Lastly, although there are other formats that guide proposal writing such as the Board of Postgraduate Studies (BPS) format of Kenyatta University, (*c.f.* Appendix V) that would have been used in this study, focus was on the KUFA model of proposal writing. This was due to the consideration that the BPS format affects all the Faculties at Kenyatta

University while the study was particularly interested in the Faculty of Arts model alone which has its own format. Besides this, the BPS model has only seven sections as opposed to the twelve sections in the KUFA model. The inclusion of the section for an abstract not exceeding 500 hundred words in the BPS model was envisaged to pose difficulty in comparing it with the CARS model. This is because the CARS model has eleven steps and none of these is necessarily a section on an abstract.

1.8. Methodology

1.8.1 The Research Design

This study adopted a qualitative design in which an analysis (of directly observed phenomena from written research proposals) was employed to specify, delineate, or describe rhetorical structure in the KUFA research proposals. A study using this design is said to be deductive, since it begins with preconceived hypotheses or assumptions (Seliger and Shohamy, 1989:124). This is in line with the assumptions that guided this study (*cf.* 1.5).

The nature of the research questions determined the choice of the qualitative design adopted here and not other types of approaches. The qualitative research design attempts to present the data from the perspective of the research subjects (who are treated as homogeneous in this study) so that the intellectual biases of the researcher do not distort the collection, interpretation, or presentation of the data. Secondly, owing to the nature of this study, this design is best suited to discover phenomena such as the language of stating a problem in a research proposal from the perspective of the researchers

themselves. Thirdly, this design is deemed adequate to assist this study in arriving at what Corder (1981) calls 'plausible reconstruction' of proposal composition as accurately as possible.

1.8.2 Area of Study and Study Corpus

The main data for this study was drawn from research proposals from the Faculty of Arts of Kenyatta University. This faculty comprises of twelve departments namely: English, Kiswahili, Literature, Foreign Languages, Music, Geography, History, Religious Studies, Philosophy, Fine Art, Sociology, and Economics. The faculty has developed a format for research proposal writing which is expected to be followed by all researchers (within the faculty).

The area was selected to form the scope of this study to find out if the CARS model's tenet of rhetorical structure obtains in research proposals in the social sciences and humanities. Previous studies, using the model, have drawn data from science-based disciplines - the argument being that these are the only areas with a research tradition. For instance, Swales (1981) tested the model on Pure Sciences and Biological Sciences respectively. Dudley-Evans (1986) tested it on dissertations written in the department of Plant Biology at the University of Birmingham. The motivation behind testing the workability of this model, in this study using the KUFA model proposals, lies singularly in the argument that it has been observed to enhance rhetorical structure in article introductions (Swales, 1990).

The specific material forming the data for this study was drawn from six proposals of the Academic Year 1997/98. All sections of the selected proposals constituted the corpus for this study. This was for the purpose of testing the rhetorical organisation of the KUFA proposal on the CARS model. Then, focus was on the statement of the problem sections and citations and how their signalling enhances the rhetorical structure of the genre.

This study limited itself to a sample of six proposals because previous research work on Genre Analysis has demonstrated that large samples are unnecessary (*c.f.* Dudley-Evans, 1986; Hopkins 1985). This is because texts in the same discourse community are guided by a common model and are expected to have similar linguistic identifying units (Swales, 1990). Romaine (1982:109) refers these units to as linguistic data. She further notes that it is these units that are manipulated for descriptive purposes. In this study therefore, a sample of six proposals provided an ideal set of rhetorical devices (linguistic data) to be described by the tenets of Swales' (1990) categories of linguistic signalling features (*c.f.* 3.4).

1.8.3 Sampling Procedures

It was established that during the 1997/98 Academic Year at Kenyatta University, fifteen research proposals were presented to be considered for research at the Faculty of Arts. Out of these, two were from English, three from Religious Studies, three from Geography, two from Literature, one from History, two from Sociology, and two from

Music departments respectively. With reference to the selected textual data, the following five departments had not submitted proposals at the faculty: Kiswahili, Economics, Foreign Languages, Fine Art, and Philosophy. In order to arrive at a sample of six research proposals, which could be exploited adequately for the purposes of this study, the simple random sampling procedure was used at the departmental level with the aim of identifying one proposal per department. A target population of seven proposals was, therefore, arrived at.

The table of random numbers was, then, used to select the final six proposals to be dealt with. In this procedure, the proposals were numbered (1 - 7). Using a table of random numbers six numbers were picked. Matching the numbers with the respective departments of the selected proposals, the following table was drawn.

Table 1.1 The selected Textual Data

Number of Proposal	Department
1	English
2	Music
3	Geography
4	Religious Studies
5	Sociology
6	Literature

NB: The study uses numbers and not the researchers' names for anonymity.

The two random sampling procedures were used after two considerations. First, as Mulusa (1990:97) observes, a sample picked by chance is representative. As such, this

number, though not derived from the twelve departments, is representative of the number of proposals registered in the Faculty of Arts for the MA degree. Secondly, he argues, to make random sampling more systematic, a table of random numbers arranged by a computer should be used.

1.8.4 Data and Data Collection Procedures

The data for this investigation was further listed into two categories: textual and intuitional. Such a categorisation was arrived at in the light of the existence of a reciprocal relationship between the research questions and the design of this investigation. The selected proposals all form the textual material. This includes all the content citations, which were identified and written on a separate sheet.

This was, then, followed by the elicitation of intuitional data by identifying characteristic linguistic signalling devices (linguistic data) in the textual material (*cf.* Appendix I, III, and IV). According to Corder (1981:60), intuitional data is the information about learners' interlanguage, which they do not care to reveal voluntarily. Such data is intuitional, in this study, because it perhaps indicates the level of a researcher's ability in the use of English for Academic writing Purposes.

To ensure that the data collection procedures outlined above, were consistent and accurate, a criterion of reliability was used. Specifically, **regrounding** was used whereby the study data was revisited in order to compare the patterns obtained with the patterns obtained the first time round.

1.9 Summary

This chapter has argued that in academic writing and particularly in research proposal composition, there is need to investigate rhetorical structure. This is an area that has received inadequate attention as yet. In genre analysis, a text with rhetorical structure is persuasive. The chapter argues that comparing the rhetorical organisation of the KUFA research proposals with the CARS model (an epitome of rhetorical structure), investigating the statement of the problem section and the role of citation in proposal writing, with respect to persuasion, will lead to that end. The chapter has also proposed that the nature of this study requires the qualitative design in order to achieve its objectives. This is partly because such a design does not allow the intellectual biases of the researcher to influence the collection and interpretation of data.

CHAPTER TWO

2.0 LITERATURE REVIEW

2.1 Introduction

This chapter continues the process started in chapter one, especially in 1.1, of providing the background knowledge needed to understand this study. In this chapter, literature related to this study is reviewed. To begin with, the chapter argues that in Text Analysis Lexico-grammar based and Interactive approaches are useful. Secondly, the chapter explores various studies on Genre Analysis in a bid to identify gaps to justify this study. The chapter also explains that rhetoric in academic writing refers to the notion of persuasion and proceeds to describe rhetorical analysis on whose tenets this study is based. Furthermore, patterns of text organisation are described which include the problem-solution discourse pattern. Lastly, the chapter describes the CARS model and other theoretical approaches that guide this study.

2.2 Approaches to Text Analysis

2.2.1 Lexico-grammar based Approaches to Text Analysis

These approaches focus their analysis on strictly linguistic properties (Ogutu, 1996). In their analysis, elements of text such as anaphoric pronouns, logical connectors and lexical-semantic relations are identified. The studies of cohesion and lexical repetition, for example; Halliday and Hasan, (1976); Hasan, (1984, 1985); and Hoey, (1991) belong here.

According to Halliday and Hasan (1976), cohesion is created in five ways namely: reference, substitution, ellipsis, conjunction, and Lexical organisation. A similar categorisation is presented in Perera (1989:83-86) and Malkajar (1995). **Reference** entails that there are certain items in every language which, instead of being interpreted semantically in their own right, make reference to something else for their interpretation as shown in example 1 drawn from the data in this study:

1. Pond (1993) sees guides as ambassadors representing their regions. This role demands that they project their countries' political philosophy, economy, culture etc. positively. (proposal 1)

In this example, *This role* refers back to *representing their regions*. In other words, items that refer are directives indicating that information is to be retrieved from elsewhere.

Substitution is simply a replacement of one item by another according to Halliday and Hasan (1976). It is a device for abbreviating and for avoiding repetition as illustrated by example 2 below:

2. Nairobi has been chosen because it hosts a large and well established *Jua Kali* sector particularly motor vehicle repairers and metal workers who are mainly situated in Kamukunji and Ziwani areas. The two groups have been found to be the main contributors to the problem of waste in the *Jua Kali* sector. [substitution] (proposal 5)

In this example, *The two groups* substitutes *motor vehicle repairers and metal workers*.

Ellipsis is a process of omitting an item (Halliday and Hasan *Ibid.*). Like substitution, ellipsis is used to avoid repetition. Another important reason for ellipsis is that, by

omitting shared items, attention is focused on new material. Consider example 3 below:

3. The review of literature for this study will be divided into four categories. First, Ababukusu indigenous religion. [ellipsis] (proposal 3)

In example 3, *category* is ellipted in the second sentence.

Conjunction is a semantic relation whereby a specification of the way in which what is to follow is systematically connected to what has gone before. Halliday and Hasan (1976) identify categories in this broad class and which occur as cohesive devices. These include additives, contrastives, and adversatives. Example 4 drawn from this study data shows how conjunction is used to enhance cohesion;

4. This coincides with Bromley's (1979) and Maser's (1979) observation that few people in the informal sector are covered by environmental regulations. Thence, this raises a number of examinable questions. (proposal 5)

In example 4 *Thence* is an additive cohesive device since it links the second sentence to the preceding one.

Lastly, **lexical organisation** as in the case of lexical cohesion is the cohesive effect achieved by the selection of vocabulary. This phenomenon may be referred to by the term **reiteration** (Halliday and Hasan, 1976:278). In their definition, reiteration is explained as a form of lexical cohesion which involves the repetition of a lexical item, at one end of the scale; it may, for example, involve the use of a general word to refer back to the lexical item, at the other end of the scale; or even the use of a synonym, near-synonym, or a superordinate term as in example 5 below.

5. Bob has a Mercedes Benz. He drives the car fast.

In example 5 *car* refers back to *Mercedes Benz*; and *car* is a superordinate of *Mercedes Benz* - that is, a name for a more general class.

Evidence drawn from the data in this study indicate that these elements of text as described by Halliday and Hasan (*ibid.*) constitute part of the signalling devices that characterise research proposals. This is, of course, with regard to cohesion, which plays an important role of creating textuality in every section of a research proposal. For instance, it has been noted that the statement of the problem sections, in the data in this study, have been stated using various lexical and grammatical signalling devices to enhance cohesion and, therefore, the readability of the section (*cf.* 3.5).

2.2.2 Interactive Approaches to Text Analysis

Interactive Approaches underline the fact that a text is written with the purpose of communicating with the reader. Therefore, interaction between the text and its reader is expected. Ogutu (1996:11) notes that these approaches, for instance, look at how the lexical and grammatical elements of a text facilitate the interaction between the text and its reader. The approaches use clauses and sentences as setting up expectations during the reading process. This relates to the concept of clause relations. Leech and Svartvik (1975:156) subscribe to this approach when they note that, whether in speech or in writing, one helps people to understand a message by signalling how one idea leads on from another; for the words and phrases which have this connecting function are like 'sign posts' on a journey.

Such works as Winter (1977); Hoey (1979 1983) and Crombie (1986) are proponents of these approaches to text analysis. According to Crombie (1986), for example, the concept of clause relations (which is considered central) can be classified into two: Semantic relations between propositions (inter-clausal) and semantic relations within the proposition (intra-clausal).

Inter-clausal relations can hold between independent sentences in a discourse as examples 6 and 7 drawn from proposal 5 in the data in this study show;

- 6 Do the artisans experience any problems in the disposal of wastes and if so, how do they deal with these problems?
- 7 Do the artisans experience any problems in the disposal of wastes. If so, how do they deal with these problems?

According to Hoey (1983) and Crombie (1986), examples of **relations** holding clauses together in this category include: the chronological relation, the general causative relation, the simple contrast relation, the condition-consequence relation, and the concession-contradiction relation.

Chronological Sequence Relation according to Crombie (1986), may be achieved by subordinators, prepositions, conjuncts, time adjuncts and so on. In text 8 drawn from proposal 6 in this study data, for example, *In addition* and *and* are markers of the Chronological Sequence Relation.

8. The broadest definition of Popular Literature, in the Western sense, is the literature that aims at pleasure and entertainment, fiction that the unsophisticated reader has chosen for pleasure. In addition, it is a literature that does not make a great intellectual. (proposal 6)

The **General Causative Relation** seeks answers to the question, 'What caused such-and-such event'. In example 9 drawn from the data in this study, it is the *female folk* who cause the act of *singing*.

9. Singing among the Samia is commonly done by the female folk. (proposal 2)

The **Simple Contrast Relation** describes a situation where if two circumstances are in contrast, it means that one is surprising or unexpected in view of the other and is marked by such words as *however*, *whereas*, *(al)though*. In example 10 from this study data, *However* is used to show this relation.

10. Speakers need to share socio-cultural background knowledge, which should place them on the same wavelength during their conversations. However, it is observable that four guides and tourists from diverse linguistic and cultural backgrounds involve themselves in verbal interaction in their daily activities. (proposal 1)

Intra-clausal relations, on the other hand, are called semantic roles within propositions according to Crombie (1986:101 *ff.*). These include: Causal roles, participation roles, orientation-transition roles and relational roles. **Participation Roles**, for example, are concerned with the non-causal involvement of an entity or abstraction in an activity or with a process. Consider example 11 drawn from this study data below:

11. As mentioned earlier, our theoretical framework will also be informed by some tenets of the Speech Accommodation Theory [SAT]. (proposal 1)

In example 11, *our theoretical framework* participates as the **experiencer**, that is, the sentient entity directly involved in an experiential state.

Proper use of the lexical and grammatical elements of a text that facilitate the interaction between the text and its reader will make a well-written research proposal communicative. The interactive lexical and grammatical elements of a text are manifested in clause relations, which fall under the Interactive Approaches to text analysis. Since this study investigates rhetorical structure in thesis proposal writing, then, Interactive Approaches to text analysis are useful.

2.3 Studies on Genre Analysis

Swales' (1981) pioneering study on *Genre analysis* is based on the introductions of forty-eight research articles (RAI) drawn from areas in Pure and Applied Sciences. He proposes that the introductions are structured around a model with four moves namely:

Move 1: Establishing the field

Move 2: Summarising previous research

Move 3: Preparing for present research

Move 4: Introducing present research.

From the analysis of his data, Swales concludes that all the articles investigated can be identified to have the 4-move structure. However, this model has been criticised by researchers in Genre Analysis such as Bley-Vroman and Selinker (1984) and Crookes (1986) since they could not make a clear-cut distinction between Move 1 and Move 2. Their argument is that the two moves could be conflated into a single one, **Handling Previous Research**. In essence, this prompts Swales to reconstruct his original 4-move model to a 3-move model (see Swales, 1990: 140-141) to take account of the criticisms.

Hence in the new model, the number of moves are reduced to three within which a number of steps are identified..

In a study on *The Introduction and Discussion Sections of M.Sc. Dissertations*, Dudley-Evans (1986) analyses seven dissertations written by mature English speaking students following an M.Sc. course on 'The Conservation and Utilisation of Plant Genetic Resources'. His aim, in this study, is to establish a model for the teaching of dissertation writing to overseas students taking the course. Dudley-Evans notes, from his study data, that there are six moves namely:

- introducing the field
- introducing the general topic
- introducing the particular topic
- preparing for present research
- outlining purposes; and
- introducing present research.

In a further study seeking for an approach to Text Analysis for *English for Specific Purposes* (ESP), Dudley-Evans (1994) observes that Genre Analysis is useful as a starting point for the English for Specific purposes (ESP) writer. In his view, genre analysis in ESP has generally been associated with the Move Analysis developed by Swales (1981). However, he notes, genre analysis is more than just move analysis. Put in another way, it is not enough to look at the sections of a text only. There is also need to look at the rhetorical aspect, which is crucial.

The studies described above (by Swales and Dudley-Evans, respectively) are relevant to this investigation since they focus on the Move Analysis approach which guides this study. It should, however, be noted that the Move Analysis approach is basically the CARS model (*cf.* 2.7).

In another study on genre analysis, Ogutu (1996) analyses cohesion and coherence structure in texts written by secondary school ESL learners in Kenya. In her study, Ogutu investigates the role of cohesion in coherence. Her argument is that although some texts are held together by some schemata such as chronological ordering, others such as persuasive texts, however, often seem to have coherence that is explicitly marked by substantive textual features, wording, and organisation. In this study, an attempt is made to establish if this upholds in research proposal writing.

2.4 Rhetoric in Academic Writing

According to Maki (1993), rhetoric refers to the persuasive tone of a written text. Accordingly, in academic writing, he stresses the need for writers to convince the reader of the plausibility of the arguments they are presenting. One of the ways in which writers can address this is through the written persuasive constructions. This process of the construction of facts persuasively has also been described by Meyer (1992) in his comparison of the role of rhetoric in science texts and articles. He observes that knowledge claims are those 'speculations' that researchers wish to have accepted by the discourse community. Though knowledge claims constitute facts, he warns, it is necessary to persuade readers of the existence of these facts.

In an attempt to search for a way of persuading the reader, McCloskey (1987, 1990) observes that a writer needs to use literary devices such as metaphor and analogy. He also argues that persuasion ultimately relies on good writing style. In the same vein, Edmondson (1984) contends that a persuasive text makes use of the following eleven figures: order, emphasis, repetition, amplification, hiptotyposis (vivid description), metaphor, example, humour, argument from authority, and reticence.

Though the foregoing discussion leads to the notion of persuasion in writing, in this study, it is noted that persuasion is addressed from the perspectives of vivid rhetorical organisation, clarity of the statement of the problem section, and precise citation, as is discussed in (3.0 *ff.*). However, this study agrees that a text needs to be persuasive for it to be credible and acceptable to the reader as Maki (1993), Meyer (1992), McCloskey (1987, 1990), and Edmondson (1984) argue.

2.5 Rhetorical Analysis.

According to Hutchinson and Waters (1987:11), rhetorical analysis focuses on sentence grammar. It is noted here that attention has shifted to understanding how sentences are combined - in discourse - to produce meaning. This implies, therefore, that the concern of research in rhetorical analysis needs to identify the organisational patterns in texts and to specify the linguistic means by which these patterns are signalled.

The rhetorical analysis approach has a more or less tacit assumption that the rhetorical patterns of text organisation differ significantly between specialised areas of use: for

example, the rhetorical structure of science is regarded as different from that of commercial texts. To understand this, Swales (1985:70), suggests that rhetorical rules of specialised areas of use need to be learned by prospective writers. He adds that these rules could be identified via a study of the rhetorical functions of sentences and observes that knowledge of these rules presents choices to be made on the basis of 'rhetorical' considerations.

Rhetorical considerations, to be more precise, are taken to include judgements concerning the order of the presentation of information, within the paragraph and within the total piece of which the paragraph is a part, and judgements on clarity and precision of exposition. It should be added that rhetorical considerations often do determine the semantic structure of a given sentence. And this semantic structure thus required will, in turn, determine the grammatical choices that the writer must make (for instance, the choice of tenses).

It is evident from this study data, for example, that the statement of the problem section of a research proposal is characterised by the **Problem-Solution** discourse pattern. The pattern is signalled by adversative sentence connectors, problem-raising statements, logical conclusions, just to mention a few (*c.f.* 3.5). Putting this example in the perspective of rhetorical analysis, it may be argued strongly that this study attempts to confirm this approach and, endeavours to make necessary contributions to it. This, in essence, is a step in the direction of improving the quality of the academic materials produced.

2.6 Patterns of Text Organisation

Winter (1977) and Hoey (1979, 1983) contend that one discourse element (e.g., problem) combines with another (e.g., solution) to produce a discourse relation (problem - solution). This is what Crombie (1986:57) refers to as a **discourse macro-pattern**.

Hoey (1983:31) defines pattern as a combination of relations organising (part of) a discourse. In the problem-solution pattern, discourse elements of a text will normally be made explicit in the actual language used via a combination of lexical and syntactic signals. He assumes that discourses and passages are organised, at least in part, in a hierarchical manner. Accordingly, he notes that a discourse structure may contain the following elements in that order: situation, problem, response and evaluation.

In the components of the problem-solution pattern outlined above, background information establishes the situation and anticipates the remainder of the discourse by advising the reader that a problem is coming. Hence, out of the situation, a problem is identified. As Couture (1986:131) notes, a problem is an aspect of situation requiring a response. This implies that the response is the next component. In this pattern, the solution component resolves the problem identified. This solution eventually undergoes evaluation, which may be either positive or negative.

This discourse pattern seems to characterise research proposals since, in them, the background to the study problem compares with situation while the statement of the study problem compares to problem. The research methodology section compares with response since it indicates how a researcher anticipates to tackle a research problem

while the rationale section of a research proposal compares with evaluation. This is because, in the rationale section, an evaluation is made of the importance of the anticipated findings of a study. Many discourse genres use this pattern as Crombie (1986:62) observes:

Since much of the communicative process in general can be seen in terms of problem-solution behaviour, it is not surprising to find that the problem and the solution may constitute core elements of many discourse genres.

Another type of discourse organisation is that which governs the writing of a research proposal. The argument here is that a research proposal needs to be written following the conventions of an academic community. Studies that are presented on such works as Nyagah (1995), Mwiria (1995), Mulusa (1990), and Eshiwani (1980), outline the general format of a research proposal. These are crystallised in the Kenyatta University Faculty of Arts (KUFA) model of proposal writing (see Appendix II) whose sections also include: the background, review of related literature, and methodology.

The studies outlined above also proffer criteria for the construction of each section of the research proposal. Mulusa (1990) for example, attempts to make a case for learning how to write a research proposal and then describes its main elements. In his view, a research proposal explains what will be done in the study, the materials required for the study, the tools to be used, the cost of the proposed study and, most importantly, it justifies the value of the study to be undertaken.

These studies relate to the current study since the general format of a research proposal they offer, relates to the KUFA model of proposal writing which is tested against the

CARS model of article introductions (see 3.3).

2.7 Theoretical Framework

In this study the Create a Research Space (CARS) model of article introductions as outlined and developed in Swales (1990) has been adopted. The model stresses that a text should be analysed in terms of moves. Moves describe the larger sections of a text, which may further be broken down into smaller sections (steps). The moves reflect both a writer's purpose and the conventions of the 'discourse community' regarding the composition of the text being constructed. Swales (*ibid.*), claims that moves could be powerful both as a way of understanding how a text works and also as a vehicle for the teaching of conventions of the academic community to relatively inexperienced writers. In his model, Swales observes that, research articles are structured around three moves namely:

Move 1: establishing a territory,

Move 2: establishing a niche,

Move 3: occupying the niche.

In this model, moves sub-divide a research article (RA) introduction into three macro-parts, which are further sub-divided into a number of micro-parts (steps). The model is illustrated as follows:

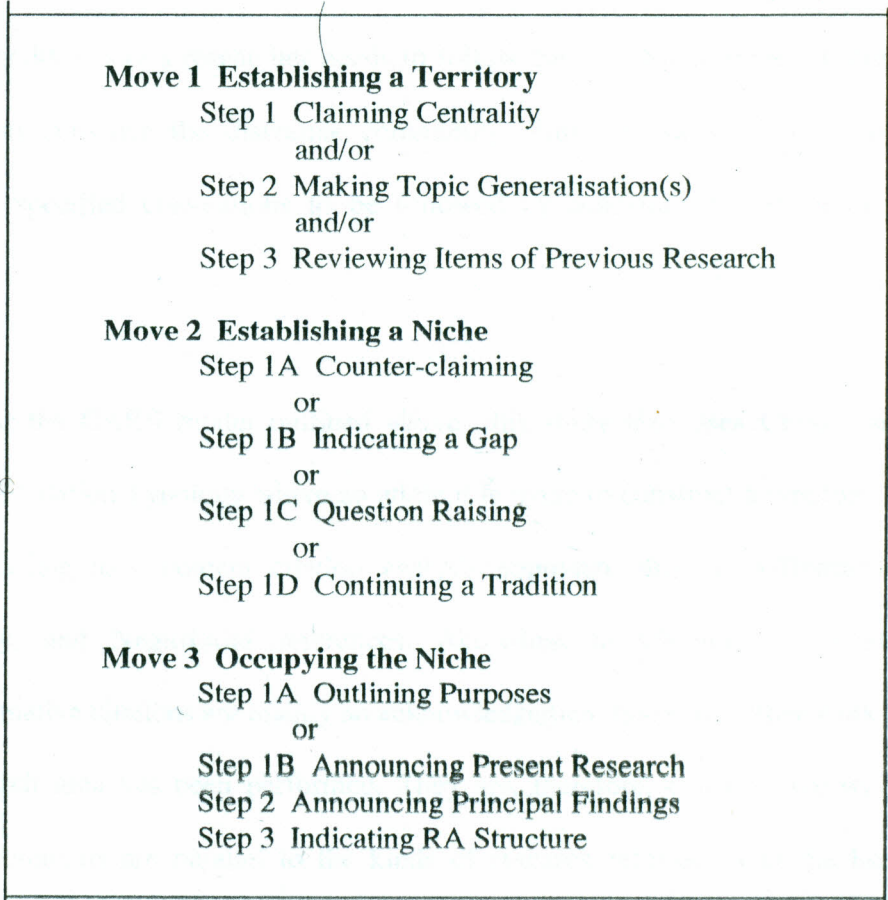
Move 1: (Establishing a territory) is made of three steps. Step 1 involves claiming centrality; Step 2 focuses on making topic generalisations while Step 3 reviews items of previous research. Generally, in this move, claiming centrality asserts the importance of the topic of research, whereas topic generalisations states current knowledge of the topic (by drawing generalisations based on what is known). The last step in this move, reviewing items of previous research, reviews the literature related to the topic based on studies already conducted.

Move 2 (Establishing a niche). As in Move 1, Move 2 has the following steps: (1A) counter-claiming; (1B) indicating a gap; (1C) question raising; (1D) continuing a tradition. It is in these steps that the writer indicates those potential areas of research that could be investigated. These areas are created from previous research. The move will generally open with an adversative sentence connector such as *however, nevertheless, yet, unfortunately, or but*. The most important step is 1B - that of indicating a gap (Swales, 1990:154). Most of the gaps are signalled lexically in: the verb (for example, *suffer, is limited to*), adjective phrases (for instance, *not sufficiently accurate, inadequate*), and in verb negation (*like, can not explain*).

Move 3: (Occupying the niche). This is the last move in the CARS model and, like Move 1 and 2, it has the following steps: (1A) outlining purposes (1B) announcing present research (2) announcing principal findings (3) indicating Research Article (RA) structure. Within this move, the writer is able to state the objective (aim) of the research, describe briefly the work carried out, justify the research, announce principal findings of

the study, and indicate the structure of the research article. As noted earlier, these 3 moves constitute the CARS model as diagrammatised below:

Figure 2.1. An Adapted CARS Model of Article Introductions



Source: Swales (1990:141)

As Dudley-Evans (1994) observes, each one of the moves in the CARS model and the use of steps within them shows an acute awareness of the need for persuasion and for convincing the reader of the justification of the research. In an analysis of the rhetorical structure of research proposals by MA level writers, as in this study, this model is considered adequate in relation to the linguistic features identifying each section of such materials.

The main tenets of this model helps to show an awareness of the social role of the academic writer. In other words a researcher writing a research article, with the moves and steps, satisfies the expectations of the discourse community (with regard to what is considered an adequate article). This relates to the writing of a research proposal at Kenyatta University where a researcher needs to follow the laid down format in order for the work to convince the discourse community. Thus, discourse communities generally have specified conventions to be followed by academic writers in those communities. ○

To complement the CARS model outlined above, this study also uses Chubin and Moitra's (1975) Citation Typology where an attempt is made to construct a typology of references according to a content citation analysis approach, that is, **Affirmative**, **Supplementary**, and **Negational** references. According to Chubin and Moitra (1975:42), affirmative citations are mainly an acknowledgement that some other work in the same research area has been performed. They are, therefore, confirmative while supplementary citations are parallel to the kinds of research referred to in the head citation. The aim of supplementary citations is to show that, in a parallel study, similar conclusions were arrived at. Negational citations, on the other hand, are critical in perspective. They are used where there is a dispute about the correctness of the findings proposed in the cited work (*c.f.* 4.2 for an elaboration of this typology). A similar attempt to classify citations is also made in Swales (1986) and Thomas and Hawes (1995).

In order to signal the three types of citations mentioned above an approach by Thomas and Hawes (1995), **Citation as Persuasion**, is used. According to this approach, citation, which contributes to the generic identity of the research article, adds to its communicative purpose (Thomas and Hawes, 1995:92). It is further noted that an important aspect of citation is that, by reporting other researchers' findings, it creates inter-textual links among the texts produced by different researchers within the same field. This approach also hypothesises that citations are primarily introduced into the body of an article to support or be supported by other propositions in the context.

To realise this persuasive motivation in citation, Thomas and Hawes (1995:95), outline the following categories of signals (see 4.4 for their illustration):

- a reporting/reported clause structure and a reporting verb
- 'according to' as an adjunct of reporting
- named mention of the author
- verbs of assertion
- connectives and
- metatextual terms

These categories of signalling devices support the assumption that, in constructing citations, researchers aim at making their work acceptable. Thus, Thomas and Hawes observe that:

Citation can be used by a writer to persuade potential readers of his/her membership of the research community and to enhance the significance and acceptability of the arguments in the article (Thomas and Hawes, 1995:97).

As presented above, the main tenets of Chubin and Moitra's (1975) citation typology and Thomas and Hawes (1995) Citation as Persuasion approach are essential to this study as it is possible, through them, to identify for content analysis the linguistic signalling devices that characterise the citation feature in proposal writing. These two approaches compliment the CARS model, which hardly addresses the role of citation in enhancing rhetorical structure in writing.

The CARS model, Chubin and Moitra's (1975) Citation Typology and Thomas and Hawes (1995) Citation as Persuasion approaches are, therefore, placed in good stead (in this study) compared to other approaches to text analysis such as the one outlined in Halliday and Hasan (1976). It is important to note that the approach here is lexicogrammar in orientation and focuses its analysis on purely linguistic properties or what may be referred to as formal textual features (*cf.* 2.1.1).

Beaugrande and Dressler (1981) also present the **procedural approach** to text analysis. This approach argues that all levels of language are to be described in terms of their utilisation. Accordingly, a **text** is defined as a communicative occurrence which meets seven **standards of textuality**, namely **cohesion** and **coherence** (which are text centred), and **intentionality**, **acceptability**, **informativity**, **situationality**, and **intertextuality** (which are all user-centred). These seven standards function as the **constitutive principles**, which define and create communication.

In *Intentionality and Acceptability*, for example, de Beaugrande and Dressler (1981:113) note that a language configuration must be **intended** to be a text and **accepted** as such in order to be utilised in communicative interaction. The notion of intentionality, on the one hand, is introduced to subsume the intentions of text producers. In the most immediate sense of the term, the producer intends the language configuration under production to be cohesive and coherent text. Acceptability, on the other hand, subsumes acceptance as the active willingness to participate in a discourse and share a goal. It is, thus, shown that acceptance is an action in its own right and entails commitment into discourse interaction with all attendant consequences. As de Beaugrande and Dressler (1981) argue, participation in discourse would be assumed to imply acceptance.

The Halliday and Hasan and Procedural approaches hardly take account of rhetorical structure from the parameter of persuasion in academic writing as captured by the CARS model. This places the CARS model at the centre of this study.

2.8 Summary

This chapter has described how Lexico-grammar based and Interactive approaches may be used for the analysis of texts. It has also noted that studies conducted so far on Genre Analysis hardly touch on rhetorical structure which persuades and/or convinces a reader. Consequently, a gap is evident. This therefore will form the scope of the next chapter (*cf.* Chapter 3 *ff.*). This chapter also presents patterns of text organisation such as the Problem-Solution pattern, a feature that emerges later on in the study in the statement of the problem section of a research proposal (see 3.5). Lastly, the chapter has detailed the

main features of the CARS model and presents it as the main framework that guides this study. As the chapter has indicated, the data for this study is analysed by a combination of the CARS model, Chubin and Moitra's (1975) Citation Typology, and Thomas and Hawes' (1995) Citation as Persuasion approach..

CHAPTER THREE

3.0 THE KUFA MODEL AND RHETORICAL STRUCTURE

3.1 Introduction

The previous chapter has reviewed literature related to this study and argued, for example, that a genre needs to be analyzed using moves as explained in the CARS model. This chapter attempts to confirm if this trend holds *vis a vis* the KUFA model of proposal writing. To achieve this, the chapter briefly provides a brief account on the processing of the data for this study and goes on to highlight the purpose of this study by trying to establish if the sections of a research proposal, as outlined in the MA proposals at Kenyatta University compare with the CARS model of article introductions which is supposed to epitomize rhetorical structure. This chapter also attempts to analyze emerging linguistic features that signal each section of the KUFA research proposal and to what effect. The chapter subsequently investigates rhetorical structure by analyzing the statement of the problem section of the KUFA proposals (*c.f.* 1.8.3).

3.2 Data Presentation

In any given study, the data collected needs to be organized into significant patterns to reveal its essence (Patton, 1990). In this study, therefore, the following steps have been followed to achieve this.

Firstly, the six proposals have been tested on the CARS model to determine how many correspond to it. Those linguistic signalling features that are characteristic in each section of

a proposal (*cf.* Appendix III) have also been identified and extracted from the texts for content analysis. It is believed that these elements enhance the rhetorical structure of the research proposal.

Secondly, on rhetorical structure in the statement of the problem section, each research problem (as stated in the section) has been examined closely to ascertain how the gist in the section is presented. This entails identifying and discussing the linguistic signalling features that characterize the statement of the problem sections (*cf.* Appendix D).

Consequently, in the light of the respective stages of analysis outlined above, description, comparison and interpretation (as methods of analytical discussion) have been used to present the observations.

3.3 Comparing the KUFA and CARS Models

According to the 1995 Kenyatta University Faculty of Arts (KUFA) model of proposal writing, the structure of a research proposal comprises the following sections:

- (1) background to the study problem
- (2) statement of the study problem
- (3) hypotheses of the study
- (4) objectives of the study
- (5) rationale of the study

- (6) scope and limitations
- (7) literature review
- (8) theoretical framework
- (9) the research methodology
- (10) provisional summary of chapters of the resultant study
- (11) budget estimates of the proposed study and
- (12) time schedule for the research.

These sections are described as follows: To begin with, it is a requirement of the KUFA model that a brief background to the study be provided. This is identified as Section 1 in which some literature review is done with a view to embedding the study in a specific field of research. According to this model, a background is necessary such that the emergence of the study problem, within a determined area, is clear.

The second section of the proposal according to this model is the statement of the problem. The essence of a problem is, in the context of research, a gap created in the background to the study section, which has not been filled by other researchers. This section may be formulated as a **direct** or **indirect question**.

The hypotheses of the study constitute the third section in the KUFA model. These are statements, which predict the possible outcome of a study from the point of view of the

researcher. Interestingly, in this study data, some researchers have used premises or assumptions in the hypotheses section. This has been noted in proposal 4 and 1 respectively.

The hypotheses section is followed by the objectives of the study section which states the aim(s) the researcher wants to achieve. These objectives are drawn from the statement of the study problem and they reflect on the hypotheses of the study.

The next section in the KUFA model is the statement of the conceptual and/or empirical rationale. In this section, a researcher is required to provide the strong point why the study needs to be carried out. A researcher is expected to show what contribution the proposed study will make to the existing body of knowledge.

A broad literature review is the next section where relevant literature to the proposed study is presented with a view to arriving at a suitable theoretical model (or framework) to guide the study. It is here too that gaps in existing knowledge are highlighted. This section is followed by the theoretical framework where a number of theoretical models are discussed. One of them, or a synthesis of two or more, is finally selected to guide the study.

An elaborate description of the scope and limitations follows. In this section researchers are expected to indicate the boundaries of their studies. This entails indicating the area the studies will cover.

In the research methodology section that ensues, researchers are required to explain how the hypotheses will be tested. Therefore, in this section researchers should describe the research design, mode of data or evidence collection in relation to the research objectives and mode of data or conceptual analysis.

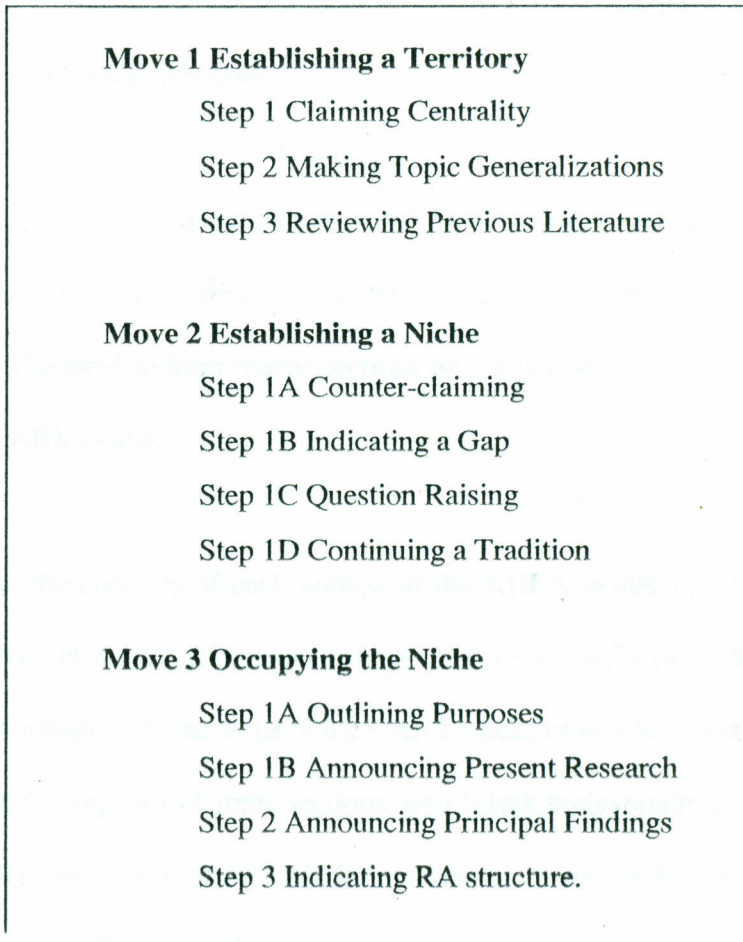
The KUFA model also stipulates that a research proposal should have a summary of chapters or divisions of the resultant report as the next section. This is followed by a research budget section, which should provide tentative expenditure estimates for the study period. This is linked to the time table section in which researchers are expected to provide time-frames indicating which activity would be carried out on which date during the study period.

As has been observed, the KUFA model of proposal writing as described in 1995 comprises of twelve sections which may be viewed as units of the same rank since they are not subdivided into smaller units as in the CARS model (*c.f.* 2.7). These are summarized in Figure 3.1.

Figure 3.1 The KUFA Model of Proposal Writing

Section 1 Background to the Study Problem
Section 2A Statement of the Study Problem
Section 2B Research Questions
Section 3 Hypotheses of the Study
Section 4 Objectives of the Study
Section 5 The Rationale of the Study
Section 6 Scope and Limitations of the Study
Section 7 The Literature Review
Section 8 The Theoretical Framework
Section 9 The Methodology
Section 10 Summary of Chapters
Section 11 Budget Estimates of the Study
Section 12 Time Schedule

The CARS model of article introductions as presented in Swales (1990), on the other hand has the following parts identified as moves: **establishing a territory**, **establishing a niche**, and **occupying the niche**. These moves are further sub-divided into steps. Figure 3.2 illustrates this model:

Figure 3.2 The Adapted CARS Model of RA Introductions

Source: Swales (1990)

Figures 3.1 and 3.2 above indicate that the KUFA model comprises of twelve sections whereas the CARS model comprises of three moves which are further sub-divided into a number of steps some of which are optional. It is apparent in Figure 3.2 that the CARS model has units of a high rank (moves) which are sub-divided into units of a lower rank (steps). It is reasonable, therefore, to infer that moves divide a Research Article (RA)

introduction broadly into three parts. This observation ties up with an argument in Kay and Dudley-Evans (1998) that moves represent the writer's social purpose and comprise steps which are optional textual elements.

However, in Figure 3.1, it is evident that the KUFA model has units of the same rank (sections) which mark the various divisions of the research proposal. Sections, in this model, are not clustered to form macro-sections in a way that compares with steps *vis a vis* moves in the CARS model.

A close look at the contents of each section in the KUFA model in relation to each step within the moves in the CARS model reveals that, to a large extent, the sections in the KUFA model correspond to the steps of the CARS model of article introductions. However, the KUFA model comprises of some sections, which lack corresponding steps in the CARS model. Similarly, the CARS model includes some steps, which lack corresponding sections in the KUFA model. The units of comparison therefore are sections for the KUFA model, and steps for the CARS model. Perhaps this is because the moves of the CARS model only name the macro-parts of an article introduction while the steps give a detailed view of the RA introduction. Therefore, it is steps that compare with the sections of the research proposal because, like steps (CARS) sections (KUFA) describe in detail material forming the research proposal.

It is, then, apparent that the KUFA model has respective descriptions of the sections that make up the research proposal. Similarly, the CARS model describes its respective steps. The two models have striking characteristics, which necessitate this comparison. First, both models perform the function of guiding the writing of persuasive academic texts. Secondly, the CARS and KUFA models may be used to analyse genres: article introductions and research proposals respectively. Lastly, although both models share the preceding characteristics, the CARS model features prominently in the literature on Genre Analysis unlike the KUFA model. Perhaps the comparison of both models will assert the KUFA model. How, then, do the models compare?

In the first place, according to the CARS model, Move 1, Step 1 (**claiming centrality**) refers to those appeals by the researcher to the discourse community to accept that the research about to be reported is part of a lively, significant, or well established research area (Swales 1990:144). Swales asserts that researchers can make a centrality claim in a number of ways including: Claiming interest or importance and claiming that there are many other investigators active in the research area. This step compares with Section 5 (**rationale**) in the KUFA model in which the researcher states the grounds for the study. It is similar to providing the significance of the study. This means that the section highlights the viability of a research area and the audience that stands to gain from the study. From these descriptions, it is possible to conclude that rationale (KUFA) and claiming centrality (CARS) actually correspond.

Secondly, with regard to the KUFA model, **hypotheses** (Section 3) are conceptual or empirical theses adopted for use as tentative solutions to the study problem(s). Partly, this section is a position researchers and, in its defence, they advance conceptual and/or empirical arguments. This section compares with Step 2 in Move 1, that is, **making topic generalizations** in the CARS model. According to the model, a topic generalization is a general statement about knowledge or practice and/or phenomena (Swales 1990:146). In other words, it is an innovation that provisionally promises a knowledge claim. This ties up with the KUFA model, which creates an understanding that a hypothesis is a general statement about a possible outcome of a study.

Thirdly, it is apparent that the **literature review** section in the KUFA model conforms with Step 3 in Move 1 (**reviewing items of previous research**) in the CARS model. The KUFA model states that the review of literature is conducted with a view to arriving at a suitable theoretical model (or framework) for a study besides showing how the study problem emerges. The section reviews previous studies with a view to creating research gaps. This section, in addition, deals with the review of one or more items deemed important by authors to be relevant to that establishment (Swales 1990:148). The **literature review** section in the KUFA model conforms with this step since it requires that researchers review literature related to their areas of study and show clearly how their studies benefit (from the literature).

Fourthly, Step 1B in Move 2, (**indicating a gap**) in the CARS model entails that on the basis of previous studies, researchers need to find gaps in existing knowledge (Swales, 1990:154). It is these gaps that constitute research problems. Similarly, the **statement of the problem** (section 2A) in the KUFA model, could be said to be in conformity with **indicating a gap** in the CARS model. This is because, like the CARS model, the KUFA model requires that a research problem be arrived at by indicating a gap/gaps in existing knowledge.

Fifth, **question raising** which is Step 1C in Move 2 in the CARS model, is another way of establishing a gap. According to Swales (1990:154) researchers may raise questions in those areas seen to be having gaps. Similarly, **research questions** (Section 2B) which are a supplementing way of stating a problem of study according to the KUFA model, may be said to correspond to the question-raising step. As the KUFA model states, a research problem may be formulated as a direct or indirect question.

Sixth, in the CARS model, Step 1A in Move 3 - **outlining purposes** - researchers need to state the purpose of their studies. This compares with outlining the **objectives of the study** (Section 4) which is highlighted in the KUFA model. This section spells out the aims the studies seek to achieve.

Seventh, **announcing present research** that is, Step 1B in Move 3 according to the CARS model requires researchers to give a description on how they intend to fill the created gap, answer the specific question(s), or continue the rhetorically established tradition (Swales 1990:159). This compares with the KUFA model's **research methodology** (Section 9) which incorporates the population size, sampling technique(s), and the data analysis technique(s).

Lastly, **indicating RA structure** that is, Step 3 in Move 3 in the CARS model entails indicating, in varying degrees of detail, the structure and occasionally the content of the research article (RA). This is in line with the KUFA model which stipulates that a **summary of chapters** (Section 10) needs to indicate the provisional chapters of the research report (thesis).

To sum up this part, it may be noted that eight out of the twelve sections in the KUFA model have corresponding counterparts (steps) in the CARS model. This information is summarized in Table 3.1.

Table 3.1 The Corresponding Sections-Steps in the KUFA/CARS models.

The KUFA model	The CARS model
Section 5 Rationale Section 3 Hypotheses Section 7 Literature review/Section 1 Background to the study Section 2A Statement of the Problem Section 2B Research questions Section 4 Objectives of the study Section 9 Methodology Section 10 Structure of thesis	Move 1 Establishing a Territory Step 1 Claiming centrality Step 2 Making topic generalizations Step 3 Reviewing previous research Move 2 Establishing a Niche Step 1B Indicating a gap Step 1C Question raising Move 3 Occupying the Niche Step 1A Outlining purposes Step 1B Announcing present research Step 3 Indicating RA structure

It is evident from Table 3.1 that some sections in the KUFA model do not have corresponding steps in the CARS model. These, for example, include: the scope and limitations (Section 6), theoretical framework (Section 8), budget (Section 11), and time schedule (Section 12). On the other hand, two steps in the CARS model lack corresponding sections in the KUFA model. These are: Counter claiming and continuing a tradition - steps 1A and 1B in Move 2 respectively.

It may also be noted from Table 3.1 that the sequencing of sections (KUFA) and steps (CARS) differ in the two models. First, it is interesting to note that while the background to the study is the first section in the KUFA model, in the CARS model, on the other hand, its corresponding step (reviewing items of previous research) is the third in Move 1. Secondly,

whereas the hypotheses of the study is Section 3 in the KUFA model and comes immediately after the statement of the problem (Section 2A), in the CARS model, its corresponding part: making topic generalizations (Step 2 in Move 1) comes before indicating a gap (Step 1B in Move 2) which, as has been noted, compares with the statement of the problem section in the KUFA model.

Thirdly, the statement of the problem (Section 2A) in the KUFA model comes before the literature review (Section 7). In the CARS model, however, the corresponding Step 1B (indicating a gap) occurs after reviewing items of previous research (Step 3 in Move 1) which, as has been noted, compares with the KUFA model's literature review section. Furthermore, the rationale of the study (Section 5) in the KUFA model comes after the objectives of the study (Section 4) but in the CARS model, its corresponding step is the first element in Move 1.

3.4 KUFA Model Proposal Sections and their Signalling

Before describing the signalling of the KUFA proposal sections it was deemed vital to establish first whether the six proposals which comprise this study sample follow the KUFA model of proposal writing. In this regard, the proposals were tested on this model. The results are presented in Table 3.2.

Table 3.2 Faculty Proposals and the KUFA Model

Proposal	Department	Sections Present	Sections omitted
1	English	12	-
2	Music	12	-
3	Geography	12	-
4	R. Studies	12	-
5	Sociology	10	Structure of thesis Scope and limitations
6	Literature	12	-

It is evident from Table 3.2 above that out of the six proposals, only one (proposal 5) is deficient of two sections (the structure of the thesis and scope and limitations) with regard to the 12 sections as observed in the KUFA model. The format for these proposals as shown in Figure 3.1 (*c.f.* 3.2) and in Table 3.2 provides evidence that the Faculty of Arts of Kenyatta University (KUFA) model is actually in use. This therefore provides the scope for the comparison of the two models (that is, the KUFA and CARS). This withstanding, the question that arises is **how, then, are these sections signalled?**

The data in this study has revealed that in the presentation of the sections of a research proposal, there are respective clues/signals in each (section). According to Crombie (1986:72) the purpose for the use of signals is to create a certain expectation in the reader. She adds that this tension is interest-sustaining. Georgapoulou and Goutsos (1997:89) provide an analogy that signals in writing are reminiscent of road signs on a motor-way

which enable the reader to anticipate what is coming next in the text and to understand how that ties in with what came before. It is interesting to note that in this study data particular sentences, semi-finished sentences, phrases and words have been identified and picked as signals that are believed to sustain the reader's interest (see Appendices I, III and IV).

Swales (1990) identifies several categories of signals, and provides examples of each, which will be used to classify the signals in each section of the research proposal that constitute this study data. These include:

(a) Statements about knowledge or practice.

This category represents more neutral kinds of general statements that represent topic generalizations. Typically, these statements express, in general terms, the current state of the art-of knowledge, of technique, or of current requirements for further progress. In the CARS model, this category signals Step 2 in Move 1 - making topic generalizations. Consider examples 12 - 14 below:

12. There is much evidence to support the hypothesis that...
13. The aetiology and pathology of...is well known.
14. There are many situations where...

As Swales (1990:146) notes, examples 12 - 14 are neutral and are used to establish a territory. They compare with hypotheses in the data in this study which, apart from determining an area of study, predict its possible outcome.

(b) Centrality Claims

In this category, statements indicate appeals regarding the importance and/or justification of the research area under investigation. The signalling here may indicate claiming interest, emphasizing the importance of the study or claiming that there are many other researchers who stand to gain from the study. Consider examples 15 - 17 below:

15. Knowledge of...has a great importance for...
16. A central issue in...is the validity of...
17. Recently, there has been wide interest in...

As these examples of signals indicate, the importance and interest in a study may be claimed. In addition, example 17 indicates that a large number of researchers have interest in particular studies.

(c) Integral and Non-integral citation

The signals in this category relate *what has been found* (or claimed) with *who has found it* (or claimed it). More specifically, the signals provide a *specification* (in varying degrees of detail) of previous findings, an *attribution* to the researchers who published those results, and a *stance* towards the findings themselves. An integral citation is one in which the name

of the researcher occurs in the actual citing sentence as an element of structure in the sentence. For example:

18. Brie (1988) showed that the moon is made of cheese.
19. The moon's cheesy composition was established by Brie (1988).

In a non-integral citation, on the other hand, the name of the researcher occurs in parenthesis. Consider examples 20 and 21 below:

20. Previous research has shown that the moon is made of cheese (Brie, 1988).
21. It has been shown that the moon is made of cheese (Brie, 1988).

Reviewing items of previous research (Step 3 in Move 1), in the CARS model, is signalled by this category.

(d) The Adversative Connectors

This category includes such adversative connectors as *however*, *nevertheless*, *yet* and *unfortunately*. These connectors are used to signal the unexpected. A researcher may disagree with some aspect of previous research. An adversative connector signals this disagreement as example 22 suggests:

22. However, the previously mentioned methods suffer from some limitations.

In example 22 the adversative connector *however* signals *suffer from some limitations* to indicate a gap

(e) Negative or Quasi-negative Quantifiers

This category of signals includes such quantifiers as *no*, *little*, *none (of)*, and *few/very few*.

In this category, the preferred choice of the negative quantifier format may be connected at some level of consciousness, with a wish to signal early that a niche is now being established. Consider this example:

23. However, there is little research that...

In this example, the quasi-negative quantifier *little* follows the adversative *however*, but is preceded by existential *there*.

(f) Lexical Negation

In this category, lexical items with negative connotations are used to signal the existence of a gap in a determined field of research. Such lexical items may be drawn from verbs, adjectives or nouns as in *fail*, *misleading*, and *failure* respectively. This category may signal the indication of a gap as in examples 24 - 26 below:

24. Previous researchers have failed to address...

25. The theory of change adopted in Brian (1988) seems to overlook...

26. The failure of previous researchers to address...

As may be deduced from these examples 24-26, *failed* and *failure* imply a strong disagreement with previous research work while *overlook* implies oversight.

(g) Negation of the Verb Phrase

In this category, a verb phrase is negated using such lexical items as, *not*, *rarely* and *ill*. Swales (1990) notes that this category may signal indicating a gap (Step 1B in Move 2). It is somewhat contra-indicated when referring to the work of others. He explains that it is possible that the use of *not* in *indicating a gap* in conjunction with many verbs is seen as providing a potentially hostile depiction of previous work. He provides these examples (see Swales 1990:156);

27. We do not yet know...
28. Researchers in Linguistics rarely venture into Psycholinguistics...

As examples 27 and 28 indicate, gaps for research are eminent.

(h) Expressed Needs/Desires/Interests.

This exponent includes signals that express needs/desires/interests such as:

29. The differences need to be studied to ...
30. It is desirable to ...
31. It is of interest to ...

As may be noted from these examples, a need, a desire and an interest are expressed respectively. These indicate the existence of a gap of research and the reason why it should be bridged.

(i) Logical Conclusions

This category of signals presents logical conclusions, which are drawn from previous research. A gap may be indicated this way as examples 32-35 indicate:

- 32. One would, therefore, intuitively expect...
- 33. In view of this, there is a need...
- 34. The question that arises is...

It may be noted from these examples that on the basis of what has been researched earlier, logical deductions arise that signal eminent gaps. However, Swales (1990) observes that *Expressed Needs/Desires/Interests* and *Logical Conclusions* categories of signalling seem to be chosen when there is a weaker challenge to the previous research.

(j) Contrastive Comments

In this category of signalling, statements indicating those potential areas of research overlooked by previous researchers are presented. A researcher contrasts his point of view with the views of previous researchers on a phenomenon. In this category, signalling may be through explicit lexical items as in examples 35 and 36 or implicit lexical structures as in example 37:

- 35. The research focuses on..., rather than...
- 36. They centre on..., rather than...
- 37. The previous theory of...has not addressed...

In example 41, there are two functions of the *to*-infinitive form of the verb: the subject and the complement respectively. Although this is not a Swales' category, it has been adopted to compliment the *deictic references category* as presented in Swales (1990) to signal objectives of the study (Section 4) in the data in this study. This owes to the observation in this study data that this section is characterized by the *to*-infinitive form of the verb, a category which does not feature in Swales' categories of signals.

The signalling categories outlined above are used to signal steps in a Research Article introduction (Swales, 1990). As has been described in 3.3, several sections in the KUFA model have corresponding steps in the CARS model. It is reasonable, therefore, to argue that these categories signal sections in the KUFA model. The signalling of these sections is described below:

3.4.1 Section 1 - Background to the Study Problem

Evidence in this study data indicates that this section may be signalled by the Swales' **contrastive comments** category. In this category, researchers present background knowledge in the fields of their interests with a view to arriving at particular areas within those fields, which have been given inadequate attention. It has been observed in this study data that, in the presentation of this section, researchers begin by establishing the *General Field of the Study*, then, *Introducing a General Topic* within that field and, finally, narrowing it down into a *Particular Topic*, that is, the subject of the study. This

organization is consistent with Dudley-Evans' (1986) work in which he observes that introductions are governed by the following pattern.

1. Introduction to the field
2. Introduction of the general topic
3. Introduction of the particular topic

The three divisions of the background to the study section are signalled by the contrastive comments category as the following examples drawn from the study data illustrate:

(a) Some signals of the *Introduction to the Field* in this study data include:

42. Samia is a sub-ethnic group of the Luhya ... (proposal 2)
43. In 1965, a World Bank mission was invited to study the ... (proposal 3)
44. For the better part of the 20th century, many global economies ... (proposal 5)

(b) Signals of the *Introduction of the General Topic* in this study data include:

45. Scholars of discourse largely agree that ... (proposal 1)
46. There is need to study the societies involved ... (proposal 3)
47. This calls for an investigation into the factors ... (proposal 4)

(c) Signals of the *Introduction of a Particular Topic* include:

48. The proposed study is an investigation of ... (proposal 1)
49. To correct the anomaly, the study sets out to observe ... (proposal 2)
50. The proposed study will focus on some of these conflicts ... (proposal 5)

According to the *contrastive comments* category, the signals in (a) and (b) give the background knowledge of the research field in which researchers have interest. Those in (c) show how researchers set out to investigate aspects they claim to have been overlooked by previous research work. This is where the persuasive power of this section rests. A reader may, perhaps, be convinced about the originality of a study since previous research work has been presented and a gap indicated.

3.4.2 Section 2A - Statement of the Study Problem

In this study, it has been argued that the statement of the problem (Section 2A) in the KUFA model, compares with Indicating a gap (Step 1B in Move 2) in the CARS model. The various Swales' categories that describe this step therefore may also describe the Problem-solution pattern (*cf.* 2.6) which characterizes the statement of the problem (Section 2A). These categories include, *adversative sentence connectors, negative and quasi-negative quantifiers, lexical negation* and *expressed needs/desires*. The signalling of this section will be described in detail in a following section (*cf.* 3.5).

3.4.3 Section 3 - Hypotheses of the Study

Since it has been argued that the hypotheses (Section 3) in the KUFA model compare with making topic generalizations (Step 2 in Move 1), then, the Swales' **statements about knowledge and practice** category of signals which describes this step may also signal the hypotheses section.

It has been observed in this study corpus that researchers present their hypotheses in either positive or negative declarative forms (that is, null forms). Out of a total of twenty one hypotheses in the study sample, eleven are positive declaratives while ten are negative declaratives. This information is summarized in Table 3.3.

Table 3.3 Hypotheses Types in Proposals

Proposal	Number of Hypotheses	Positive Declaratives	Negative Declaratives
1	2	2	-
2	4	4	-
3	5	-	5
4	3	3	-
5	4	-	4
6	3	2	1
Totals	21	11	10

As Table 3.3 shows, the six proposals constituting the data for this study had a total of 21 hypotheses. Out of these, 11 were in positive declarative form while 10 were in negative declarative form.

The signals for the hypotheses stated in the positive declarative form and those in the negative declarative form highlight the **statements about knowledge or practice** category as illustrated below.

(a) The signals highlighting the research hypotheses stated in the positive declarative form in this study data include:

51. Misconceptions do arise between tourists and tour guides... (proposal 1)
52. It is possible to compose and arrange folk tunes using Western Conventional Notation... (proposal 2)
53. The interrelationship between faith and practice, and *Da'wah* are some of the reasons behind the persistence of Islam... (proposal 4)
54. Literary works, in general, can be both popular and serious; in particular Dawood's works exhibit this duality. (proposal 6)

(b) The signals highlighting the research hypotheses stated in the negative declarative form include:

55. There is no difference between the socio-economic and social factors influencing fertility in the rural and urban areas. (proposal 3)
56. Socio-economic and cultural factors do not influence fertility. (proposal 3)
57. ... have no significant influence on ... (proposal 5)
58. The concepts of Popular and serious Literature have not been adequately addressed in Kenya. (proposal 6)

With regard to Swales' *statements about knowledge or practice* category, the signals in (a) and (b) above represent two classes of general statements that represent topic generalizations. Such generalizations will only be drawn after adequate review of literature related to a particular field of research. If hypotheses are precise and show good knowledge of available literature, then, a reader's interest may be sustained.

3.4.4 Section 4 - Objectives

As Mulusa (1990:158) observes, a statement of the problem is like a loaf of bread. To consume it, one must first cut it into slices, which are convenient to hold and to bite. The statement of the problem is similarly broken down into research objectives and/or questions.

It has emerged earlier (see Table 3.1 in 3.3) that the KUFA model's objectives (Section 4) corresponds to outlining purposes (Step 1A in Move 3) in the CARS model. Swales (1990) argues that this step may be described by the **deictic references** category which signals Step 1A in Move 3 - outlining purposes. It, therefore, seems reasonable to strongly argue that this category may signal the KUFA model's Section 4 - the objectives.

Hence, it has been observed that, in this study data, the objectives section makes reference to the present study by using *deictic references* category of signals. The signals to this effect include:

59. The research objectives are ... (proposal 1)
60. The general objective of the proposed study is ... (proposal 2)
61. The purpose of this study is to ... (proposal 3)
62. The study will seek to achieve the following objectives ... (proposal 6)

Evidence from these examples indicates that *the* is more common than *this*. The examples also show that in most cases deictic references occur sentence initially. This observation is consistent with Swales' (1990) argument that deictic references to the present text mark the

onset of promissory statements. Thus, referring the reader to the present study via deictic references may, therefore, be persuasive.

Another category that signals the objectives section in this study data is the *to-infinitive*.

'to' is used with such verbs as *describe, investigate, identify, examine, assess, and analyze*.

The following examples of the *to-infinitive* form of the verb have been observed in the data in this study:

63. To describe the types of communication events the tour guides and tourists are involved in.(proposal 1)
64. To analyze the two creative works...(proposal 2)
65. To investigate the socio-economic and cultural factors which...(proposal 3)
66. To identify and discuss the factors behind the...(proposal 4)
67. To assess the impact and significance of work...(proposal 6)

It is apparent from the examples given above that verbs that occur with *to* in the objectives of the study (Section 4) in the data in this study, include analyze, describe, investigate and determine. According to Jordan (1990) **identify** and **describe** involve pointing out and saying what something is like. **Investigate, find out** and **determine** are used where discovering and examining all the facts about something is involved. Lastly, **discuss, examine, analyze, and assess** are used to consider something from different points of view and for giving one's opinion.

When formulating the objectives of the study, these verbs should be known well for appropriate use. This is because a study problem is broken down into objectives for convenient research. If the use of the *to-infinitive* in the objectives section reflects the statement of the problem section, then a reader's interest may be sustained.

3.4.5 Section 5 - Rationale of the Study

Section 5 (rationale) in the KUFA model has been found to correspond to the CARS model's Step 1 in Move 1 (claiming centrality). It therefore follows that this category most probably describes the rationale section in the KUFA model.

In this study data, therefore, to describe the signalling of this section, an attempt has been made to sub-categorize the rationale section into four as follows:

(a) The importance of the present study. Signals to this effect from this study data include:

- 68. It is important, therefore, to find out why ... (proposal 1)
- 69. ... has been chosen because ... (proposal 5)
- 70. Our choice of ... is based on the importance of ... (proposal 1)

(b) What is known already in that field of study. The following examples of signals drawn from this study data illustrate this:

- 71. This study aims to fill the gap in ... (proposal 1)
- 72. This study will contribute towards the understanding of ... (proposal 3)

73. Very little has been written about ... (proposal 4)

(c) How the study is unique. Examples of this from this study data include,

74. No study to the best of our knowledge has ... (proposal 1)

75. The proposed study is justified as it will contribute ... (proposal 3)

76. The study will hopefully provide the information that is lacking and ... (proposal 4)

(d) To whom are the findings likely to be useful? In this study data the following examples emerge;

77. This study will not only benefit ... but also ... (proposal 1)

78. Academically, the findings will presumably contribute to the existing knowledge in the field of ... (proposal 5)

79. This will benefit scholars of ... (proposal 4)

It is apparent from the signals above that this section presents the main case for proposing a study. In other words, this is where researchers must account for the selection of their research problems. As Mulusa (1990:67) observes, this is the section that can 'sell' the study. The appropriate signalling of this section, therefore, may enhance its rhetorical structure.

3.4.6 Section 6 - Scope and Limitations

The data in this study reveals that five out of six proposals have the section on scope and limitations (Section 6) thus indicating its centrality. Although this section lacks a corresponding step in the CARS model, it may, however, be signalled by the Swales'

contrastive comments category of signals which further delimits the topic of research. In the analysis of the data in this study, the signalling of this section has been divided into three parts:

(a) The need to delimit a study. This part indicates the specific area a study covers.

Examples of these drawn from this study data include:

- 80. The study will examine mainly ... (proposal 1)
- 81. The study will limit itself to ... (proposal 3)
- 82. ...the study will also be interested in... (proposal 4)
- 83. ... there is a need to narrow the study ... (proposal 6)
- 84. The study is limited specifically to ... (proposal 2)

(b) The need to provide a rationale for such a delimitation. The area selected for study is justified in this part. Examples of respective signals for this from the data in this study include:

- 85. This is done to avoid previous error ... (proposal 2)
- 86. There is the problem of...(proposal 3)
- 87. This area is chosen because...(proposal 4)

(c) The need to indicate those areas within the topic not covered by the present study. This shows that a researcher is conversant with a particular field of study. Examples of respective signals in this study data include:

- 88. The researcher does not wish to cover...(proposal 2)

89. The district chosen has only five tribes...(proposal 3)
90. The selected texts within this study are few compared to...(proposal 6)

With reference to these examples of signals drawn from this study data, it may be inferred that to determine the scope of a study, it is necessary to delimit it. This ties up with Mulusa (1990:66) who advises that the first step in fixing boundaries of a study is to formulate the statement of the problem precisely. The study is delimited when the problem statement is broken down to specific guiding questions. Thus, the precision of the statement of the study problem and the linkage between the problem statement and the guiding questions is the beginning of a well thought out study.

3.4.7 Section 7 - Literature Review

This chapter has shown that Section 7 (the literature review) in the KUFA model corresponds to Step 3 in Move 1 (reviewing items of previous research) in the CARS model. Swales explains that this step can be described by **integral and non-integral citation** category of signals which show that what has been found is related with who found it. This category may, therefore, signal the *literature review* section in the KUFA model.

Thus, the signals that highlight this section in this study data include:

91. However, the above views are refuted by Abdallah (1971) and Muhammed (1984) who observed that ... (proposal 4)

Example 91 is an integral citation in which the name of the researcher is a passive agent.

92. Schmidt ed. (1983), and Scollon (1981), analyzed inter-ethnic communication using the Politeness theory to assess the communication difficulties between Canadian Athabaskan Indians and Monolingual English speakers. - (proposal 1)

Example 92 is an integral citation in which the names of the researchers function as the subject.

93. However, as for the *jua kali* sector, the Government promotes it by constructing sheds without provision for disposal of generated wastes (Kenya 1986, Ogutu 1996). (proposal 5)

Example 93 is a non-integral citation in which the names of the researchers occur sentence finally in parenthesis.

As Swales (1990) observes, the **integral and non-integral** category of signalling citations gives a specification of previous findings, an attribution to the researchers who published those results and a stance towards the findings. A similar observation is also made by Weissberg and Buker (1990:41) who note that the review of literature serves three important functions namely:

- To continue the process, started in the background to the study, of giving a reader background information needed to understand an area of study
- to assure the reader that the researcher is familiar with important research that has been carried out in the area and
- to establish the research being undertaken as a link in a chain of research that is developing and enlarging knowledge in that field of research..

The persuasive aspect in this section is embedded in integral and non-integral citations whose distinction has the merit of being easily applicable because it depends merely on

recognizing surface features of text. These include, the name of the researcher who has published in an area, and the year of publication.

3.4.8 Section 8 - Theoretical Framework

Examples drawn from the data in this study generally show that there is use of theories/models. This explains how central this section is in the research proposal.

Although the theoretical framework section in the KUFA model has no explicit corresponding step in the CARS model, it may most probably be described by the **statements about knowledge or practice** category. This is because, in this category of signals, the current state of the art of knowledge, of technique, or of current requirement for further progress are made (Swales, 1990). The signalling of this section in the data in this study seems to agree with this argument. Hence, the signalling is divided into three parts as follows:

(a) The need to use more than one theory as in the following signals from this study data:

94. This study will use an eclectic approach... (proposal 1)
95. This study will be guided by two theoretical approaches... (proposal 5)
96. The theory will be used alongside the theory of...(proposal 4)

(b) The need to outline the tenets of the theory(ies) used. The following examples have been observed in this study data:

97. One of the tenets of this theory is ... (proposal 1)

- 98. The study will use the theory of ... which involves ... (proposal 2)
- 99. The theory describes ... (proposal 3)
- 100. One of the preferred concepts is ... which emphasizes that ... (proposal 4)

(c) The need to provide a strong rationale for choosing a particular theory and not any other. This may be illustrated by the following examples of signals drawn from this study data:

- 101. The theory will be useful in our analysis of ... (proposal 1)
- 102. The theory will be useful in ... (proposal 3)
- 103. ... can, therefore, be better explained by the theory of ... (proposal 4)

As may be deduced from these examples, to come up with a good theory to guide a study, a researcher needs to focus on the problem to be studied, the sources of data and the most appropriate information to be tapped, and the resources and time available for the study.

Theories should emerge from this thinking and planning process. Mulusa (1990) also observes that models of research should be seen as a set of tools, which assist in the research process. This fact coupled with appropriate signalling of this section may be persuasive in the eyes of the reader.

3.4.9 Section 9 - Research Methodology

It has also been noted that Section 9 (research methodology) in the KUFA model compares with Move 3, Step 1B - announcing present research - in the CARS model (*cf.* 3.3). Swales (1990) shows that the **deictic references** category signals this section. It is therefore logical

to infer that the same category may be used to signal the research methodology section in the KUFA model. However, in this study, the signalling of this section is done in four stages:

(a) The need to describe the **research design** to be used. Thus, in proposals 2, 3, and 5 in this study data, there is articulated a research design part as opposed to proposals 1, 4, and 6. The part is signalled, in the data in this data, thus:

104. The study will use empirical and descriptive survey methods ... (proposal 2)

105. The research applies the comparative design, which allows ... (proposal 3)

106. The survey design has been adopted so as to ... (proposal 5)

(b) The need to present the **population** and describe various **sampling techniques** as the following examples of signals drawn from the data in this study show:

107. The study will work on a random sample based ... (proposal 1)

108. The study will employ different sampling techniques ... (proposal 4)

109. From the sample frame of ... a sample size of ... will be covered ... (proposal 5)

(c) The necessity to describe the **type of data** and their collection techniques. Signals to this effect in this study data include:

110. The main research instruments will be ... (proposal 1)

111. Both the primary and secondary data will be used ... (proposal 5)

(d) The need to describe the prospective **data analysis and discussion**. The following examples of signals occur in this study data:

- 112. The data analysis will begin with ... (proposal 1)
- 113. The folk tunes collected will be analyzed according to categories ... (proposal 2)
- 114. Depending on our findings, we will be able to account for ... (proposal 6)

As Swales (1990) notes, this category variously offers to substantiate the particular counter-claim that has been made or give a response to the identified gap. This is done by describing how researchers intend to fill the created gap and answer the specific questions precisely. This relates to methodology section in the KUFA model. In line with this, Peter (1996) provides four stages of research methodology thus: preparation to collect data, collection of the data, and the presentation and interpretation of the data in the form of a thesis, dissertation, or research report. The signalling of these using deictic references to the present study will establish a research space that justifies the study (Swales, 1990). This may sustain the interest of the reader.

3.5 Signalling the Statement of the Problem (Section 2A)

It is noted in the CARS model (see 2.7) that in a RA introduction a gap is identified in the move - Establishing a niche. This is Swales' Move 2 whose Step 1B (indicating a gap) is coterminous with the statement of the problem (Section 2A) in the KUFA model of proposal writing. It may be strongly argued, therefore, that this section is the nerve centre in

a research proposal from which other sections branch. As such, it is very important that appropriate signalling is used in its construction.

Several Swales' categories of signals which signal Step 1B in Move 2 (Establishing a niche) in the CARS model may also characterize the statement of the problem (Section 2A) in the KUFA model. This owes to the previous argument that Section 2A of the KUFA model compares with this step. Some of these categories, therefore, are *adversative sentence connectors, negative or quasi-negative quantifiers, lexical negation, negation of the verb phrase and deictic reference*.

Before describing the signalling of this section, it is interesting to note that evidence from this study data indicates that all the proposals' statement of the problem sections are characterized by the **Problem-Solution** discourse macro-pattern described by Hoey (1983) and Crombie (1986). Although it is claimed in 2.6 that this discourse pattern describes the whole proposal, the statement of the problem section, on its own, in the data in this study seems to conform with it. This section perhaps falls under the *lower levels of discourse* which, as Hoey (1983:33) claims, are associated with the paragraph.

According to this pattern, a text should have a *situation, problem, response* and an *evaluation*, which may be either positive or negative. Hoey (1983.) explains that background information establishes the situation and anticipates the remainder of the text by signalling to the reader that a problem will ensue. The problem which is identified from the

situation will signal a response. The response has to be evaluated positively or negatively. Zappen (1983) adopts a similar approach to the study of a RA introduction. In a study, *A Rhetoric for Research in Sciences and Technologies*, he views RA introductions as encapsulated problem-solution texts. In his study, he relates *goal, problem current capacity* and *criteria of evaluation* to Hoey's *situation, problem, response* and *evaluation* respectively.

In the data in this study, examples of signals indicate that the beginning of the statement of the problem section is *the current knowledge in a researcher's area of study*. This is compared with *situation* in Hoey's problem-solution pattern. The data in this study also reveals that in the middle of this section, *a gap is identified*. This compares with Hoey's *problem* element in the problem-solution pattern. It is also noted in this study data that the end of this section provides *the response* to the problem just as in the problem-solution pattern.

However, interestingly, the data in this study does not include *evaluation* in the statement of the problem section. Perhaps this is due to the fact that evaluation later emerges in the rationale section of the research proposal. In spite of this, this trend is not surprising as McCarthy (1997:31) notes:

The number of elements in the sequence situation-problem-solution-evaluation may be varied, but we do normally expect all the elements to be present in a well formed text. Where the sequence is varied, signalling plays an even more important part in sign posting the text, that is, showing the reader around it.

It has, therefore, emerged that knowledge in a researcher's area of interest, identifying a gap and providing a response are coterminous with situation, problem, and response respectively as presented in Hoey (1983). The signalling of these three divisions in the statement of the problem section using the Swales' categories is illustrated as follows:

(a) The current knowledge in a researcher's area of interest (Situation).

Evidence from this study data indicates that the Swales' **contrastive comments** category of signals perhaps signals *current knowledge in a research field* with a view to indicating gaps.

The signals for this from this study data include:

- 115. Many studies have tended to concentrate on ... rather than...(proposal 4)
- 116. Focus on ... has been narrow ... (proposal 3)
- 117. Previous studies have not considered ... (proposal 2)

In example 115, the explicit lexical signals *concentrate on* and *rather than* indicate the direction previous researchers have taken to establish and develop a research field.

Examples 116 and 117 are implicit contrastive comments that indicate the inadequacy of available literature in a determined field of study. Such comments are said to be contrastive because they seem to go against the drift of the research that has been conducted. In other words, putting these comments in perspective, it may be noted that their composers have taken a position against some point of view. This is motivated by the presence of inherent gaps. This category of signals makes clear to the reader that researchers are conversant with

their fields. It is on this basis that the subsequent gap may be anticipated. This may have the interest-sustaining effect on the written material as a reader anticipates the gap that emerges.

(b) Identifying a gap (Problem).

For this part, examples drawn from the data in this study indicate that identifying a gap may be signalled by various Swales' categories of signals. To begin with, the **adversative sentence connectors** category is used. It has emerged that the only adversative sentence connector used, immediately after a statement that indicates the current knowledge in a researcher's area of interest in Section 2A (the statement of the study problem), is *however*.

This is evident in proposals 1 and 4 as the following examples from this study data indicate;

118. However, it is observable that tour guides and tourists from diverse linguistic and cultural backgrounds involve themselves in verbal interaction in their daily activities. (proposal 1)
119. However, certain aspects of the religion received from the people. (proposal 4)

It is however noted that *despite* (another adversative connector) occurs in proposals 3 and 4 but it does not perform the function of indicating a gap. This is so because the connector does not supercede the opening statement in Section 2A which spells the current knowledge in a researcher's area of interest for this is where a gap should be indicated.

The fact that other adversative connectors like *nevertheless*, *yet*, *unfortunately* and *but* do not feature in this division of Section 2A in the data in this study is in line with Swales'

observation that across various samples of RA introductions, the mostly used connector is *however* (Swales, 1990:154).

Wherever an adversative connector occurs, it signals the unexpected (Quirk, 1985). When it occurs in the statement of the problem section, it signals to the reader that the researcher differs with some aspects contained in the current knowledge within a particular research field. *However*, seems to be preferred to other adversatives in indicating a gap. As such, in its use, a reader is bound to ask, **why does the researcher seem to differ with the current knowledge in this field of study?** It is this that may persuade such a reader to look for more information in the proposal.

Secondly, the **negative or quasi-negative quantifiers** may be used to indicate a gap. As Swales (1990) explains, these quantifiers either occur sentence initially (or following an adversative); or may occur when merely preceded by an existential *there*. Some of the examples that emerge in the study data include:

120. The arrangers or composers may have had no consideration of the Luhya and more so that ... (proposal 2)
121. Kenya has a profusion of technical demographic studies pinning down birth and death rates with the latest techniques of inference from incomplete data but its population researchers have shown little interest in the... (proposal 3)
122. Due to this, only a few people adopted the religion... (proposal 4)

In examples 120-122 *no* implies that some aspect may have been ignored totally whereas *little* implies that not much interest has been shown in some aspect and *a few* implies not many people have... The persuasive power in these quantifiers lies in the fact that what they attempt to propose appears as a new ground which has hardly been exploited by previous researchers.

Thirdly the use of **lexical negation** to signal a gap has also emerged in this study data. This category of signals employs lexical items with negative connotations to indicate a gap. These may be illustrated by the following examples of signals drawn from this study data:

123. They overlooked factors that have interfered with ... (proposal 2)

124. ... many studies tend to concentrate on ... (proposal 5)

The use of *overlook*, for instance in the example 123, implies oversight while *concentrate on* in example 124 implies a certain narrowness of vision. The reader may most likely want to know how the current researcher wants to address such aspects. This renders lexical negation a powerful rhetorical tool in the statement of the problem section.

Fourthly, **negating a verb phrase** category may signal a gap. Swales (1990:155) notes that such lexical items as *not*, *rarely*, and *ill* are used in the context of verb phrases to signal negation. He goes on to explain that this type of exponent is relatively infrequent. In the data in this study, it has emerged that *not* is the only lexical item that negates a verb phrase in the statement of the problem section. Some examples of these signals, therefore, include:

125. ... have not considered ... (proposal 2)
126. ... however, has not been studied ... (proposal 3)
127. ... studies have not been comprehensive ... (proposal 5)

The use of *not* in the statement of the problem section is perhaps a clear manifestation that a researcher has identified an unexplored field. This aspect may be persuasive although, as observed by Swales (*ibid.*), it is possible that the use of *not* in conjunction with many verbs is seen as providing a potentially hostile depiction of previous work.

Furthermore, a gap may be signalled via **expressed needs/desires/interests** category of signals. Similar examples that occur in this study data include;

128. It is important that ... be addressed ... (proposal 3)
129. More research is needed to elucidate ... (proposal 3)
130. I propose to investigate ... (proposal 6)

In the examples given above, the underlined words imply expressed need, desire and interest respectively.

Thus, the underlined words as shown in the examples given above will most probably persuade the reader to visualize the importance of the study problem a researcher wants to undertake. Such words may, therefore, be said to contribute to the rhetorical effect in the statement of the problem section of a research proposal.

Finally, the use of **logical conclusions** may favourably signal the existence of a gap in existing knowledge. Examples 131-134 have been observed in this study data:

131. This situation has prompted this study ... (proposal 2)
132. In view of this, a number of questions arise ... (proposal 4)
133. Thence, this raises a number of examinable questions ... (proposal 5)
134. The problem that arises is whether ... (proposal 6)

Examples 131-134 indicate that with regard to current knowledge in a research field, a logical conclusion may show the existence of a gap that requires investigation. Logical conclusions indicate the need to carry out a particular study since they are based on background information. This justifying quality most probably gives logical conclusions, as examples 131-134 indicate, rhetorical characteristics.

(c) The response.

The data in this study reveals that after identifying gaps inherent in the 'current knowledge in a research field' researchers attempt, in a statement or so, to indicate how they wish to address or provide a response to them (the gaps). In the problem-solution pattern (*cf.* 2.6), this is referred to as the response. The Swales' **deictic references** category signals this part as examples 135-137 from the data in this study indicate;

135. The investigation will look beyond ... (proposal 1)
136. This study aims at investigating the ... (proposal 3)
137. I propose to investigate ... (proposal 6)

From examples 135-137, it may be inferred that a response may be provided in a kind of promissory statement which is marked by the absence of references to the previous research and the use of deictic references to the present text like *The*, *This* and *I* in the examples 135, 136 and 137 above. These attributes show that the current study can focus on an aspect of the subject area that the reader may also want to know. The deictic signals will draw the reader's attention towards noticing the writer's response.

3.6 Summary

This chapter has shown that the KUFA model of proposal writing is in many aspects related to the CARS model of article introductions which is an epitome of rhetorical structure. This is because most sections of the KUFA model have corresponding steps in the CARS model. The linguistic signalling devices characteristic in each section offer insight into the interaction that makes the research proposal a persuasive genre. Thus, the chapter has shown the need for researchers to strengthen their background knowledge of the formal rhetorical organizational structure (formal schemata) of the research proposal. This has the effect of being facilitative of quick understanding and interpretation for the reader(s).

Secondly, the chapter has argued that Section 2A (the statement of the problem) in the KUFA model is probably the most central section in a research proposal. This owes to the fact that all other sections of the research proposal draw from this section. Its gist is signalled by various Swales' categories of signals which highlight the problem-solution

pattern described by Hoey (1983). It is noted that appropriate signalling of this pattern in this section will enhance rhetorical structure.

CHAPTER FOUR

4.0 CITATIONS, THEIR SIGNALLING AND RHETORICAL STRUCTURE

4.1 Introduction

In chapter three, it has been argued that in each section of a research proposal there are different linguistic features which identify them. These features contribute toward enhancing rhetorical structure in the research proposal. This chapter advances this argument further by describing the role of citation in enhancing rhetorical structure in the research proposal. The chapter classifies citations into three types namely: supplementary, negational and affirmative. This is in line with Chubin and Moitra's (1975) Citation Typology. The chapter, then, highlights the need for citation in writing. Finally an attempt is made to explore some linguistic signalling devices that characterize these citation types and to discuss their role in enhancing rhetorical structure.

4.2 Classification of Citations.

According to Swales (1986:39), studies of citing behaviour of researchers and scholars in their construction of academic texts are sometimes referred to as Content Citation Analysis (CCA). He, however, notes that other scholars have viewed the analysis of citation to entail studies of bibliographic references rather than studies of citations in a continuous text. Notwithstanding, citation analysis entails making reference to the study of content citations.

To analyze content citations, it is important to have a citation typology. Swales (1986:40) observes that it is necessary to develop a system, or more specifically, sets of systems for

categorizing citations so that their quality and weight can be properly accounted for. He bases quality and weight on the support role of citations in writing. Using examples drawn from this study data, it may be argued that probably the support role of citations should be described adequately in the light of citation types.

Hence, using various examples from this study data, it emerges that citation procedures go on to classify citations broadly into three groups:

- affirmative
- supplementary and
- negational

This classification conforms with Chubin and Moitra's (1975) Citation Typology. In the data in this study, the classification has been arrived at via identifying the features that seem to signal citation types which include the use of reporting verbs, verbs of assertion, named mention of the author and *that*-nominals (*c.f.* Thomas and Hawes, 1995).

However, out of the two hundred and seventy citations collected for this study, only one hundred and seventy seven have been classified according to Chubin and Moitra's (1975) citation typology (*c.f.* Table 4.1). The rest could not be classified since they lacked the linguistic signalling features by Thomas and Hawes (1995). The three citation types are described as follows;

(a) Supplementary Citations

According to Chubin and Moitra (1975) and Swales (1986:41) supplementary citations are used to show similarity to previous findings. This seems to be consistent with the views of Thomas and Hawes (1995) who observe that supplementary citations are used where there are parallels to the kinds of research in the head citation. Examples drawn from this study data indicate that the citations that occur in a study give it its current relevance as they highlight the similarity of the results in a new research context. The presentation of these citations seem to be consistent with the semantic relation: - matching compatibility - advanced by Hoey (1983) as may be illustrated by examples 138 and 139 drawn from this study data:

138. Muthwii (1996) on a similar cultural/linguistic problem in multilingual Kenya observes that despite the cultural diversity in Kenya, inter-cultural communication successfully takes place ... (proposal 1)

In example 138, the explicit signal, *on a similar* is an assertion of the compatibility between the writer's set of results and the currently approved hypothesis in the area.

139. The strongest element in African music in general and Samia music in particular is the solo-chorus pattern, its complex rhythms and the repetitive nature of the [sic] melodies. Akin Euba, a Nigerian composer, in his contribution, to the *Choral Journal* of May 1993, observes that the contemporary aspects of African music are due to the introduction of Western musical instruments which have facilitated the musical change experienced in the continent. (proposal 2)

In example 139, the signal, *in his contribution*, asserts the compatibility between what Akin Euba has found out in research and the currently approved hypothesis on musical change.

In examples 138 and 139 above, it may be added that the underlined structures are explicit markers of the matching compatibility that holds between two studies. This gives a researcher a basis for justifying a research field. However, as Thomas and Hawes (1995) note, such examples are drawn by analogy from other research in the field and the reported information does not provide direct support in the form of a basis. This implies that, by including this type of citation a researcher wants to show that in the parallel study, similar results were obtained or that similar conclusions were arrived at.

(b) Negational Citations

Negational citations, on the other hand, are support denying according to Chubin and Moitra (1975) and Thomas and Hawes (1995). They note that these citations are introduced to the discourse to be negatively evaluated. The following cases of negational citation as the underlined signals suggest have been observed as in examples 140 and 141 drawn from this study data:

140. However, the above views are refuted by Abdallah (1971) and Muhammed (1984) who observed that the expansion of Islam in Mumias and Kitui respectively, declined with the advent of colonialism. - (proposal 4)

141. This study will differ from Ogalo's (1995) as shown below; ... (proposal 2)

Thomas and Hawes (1995) note that the function of negational citations is to deny support although their negative evaluation serves the writer's purpose. Similar views are borne out by Swales (1986) who contends that negational citations are critical. He adds that they are used where there is a dispute about the correctness of the findings proposed in the cited

work. Researchers justify their research areas by offering criticism to previous studies.

(c) Affirmative Citations

Chubin and Moitra (1975) and Swales (*ibid.*) posit that affirmative citations are an acknowledgment that some other work in the same research area has been performed. While the Chubin and Moitra's and the Swales' view of affirmative citations is that they are confirmative, Thomas and Hawes (1995) view them as supporting and supported reports. They give the following as examples of explicit signals of support - *supports, in support of, is supported by, is borne out by, is consistent with, further indication, similar and also.*

In this study data, cases consistent with the above arguments on affirmative citations have been observed as text 142 below shows.

142. 1. Serious literature concerns itself with the momentous events in a society which are immediate and central to the lives of the people of the society in which it thrives.
 2. Ime Ikiddeh, in a foreword to Nazareth's *The Third World Writer* (1978), registers similar sentiments when he observes that literature should validate its claims to life by offering a dynamic social purpose. (proposal 6)

In text 142, the signal, *registers similar sentiments* gives sentence 2 its support role on sentence 1 which functions as the Head. Therefore, the Head-Support semantic relation may be said to hold.

As this example shows, the support notion requires two obligatory elements: the supporting and the supported element. Thomas and Hawes (1995) observe that in case of two obligatory elements, one is necessarily a citation while the second element can be either a

citation or a writer's statement. They add that the support role of a citation in a text can be manifested explicitly in a text specific manner to capture the attention of the reader.

Interestingly, from the data in this study, it has emerged that supplementary citations are the most frequently used, followed by negational citations, and lastly, affirmative citations as summarized in Table 4.1 as follows:

Table 4.1. Typology of Citation Procedures

Proposal	Affirmative citations	Supplementary citations	Negational citations
1	4	42	1
2	1	13	2
3	1	14	10
4	3	16	9
5	7	27	10
6	2	12	3
Totals	18	124	35

Table 4.1 shows that supplementary citations are the most frequently used forms in this study data compared to negative citations and affirmative citations across all the proposals. Perhaps this is because most studies are comparative in approach and citing is used with the aim of showing that the findings of a study compare to those of a previous one. In this way, supporting studies are shown to be of contemporary importance as they show the similarities in new research contexts. For negational citations, it could be argued that researchers use them to indicate gaps in existing knowledge that constitute their research

problems. Lastly, affirmative citations are the rarest of the citation types perhaps because researchers have the feeling that acknowledging work related to their studies may be regarded as replication. It is most probable that researchers believe that a replicated study lacks originality.

4.3 The Importance of Citation in Writing

The purpose of a research proposal in the Faculty of Arts at Kenyatta University is to make known research interests and knowledge claims to the rest of the research community. This purpose which attempts to identify the research proposal as a genre is achieved, in part, through a significant identifying feature - citation. Citation is (in this study) considered to be the attribution of propositional content to a source outside the writer of the research proposal and may be marked by some signal of attribution. Thus, citations are references to the work of previous researchers.

An important function of citation may be to act as a device to obtain support for arguments that the writer is putting forward. In an article *Citation as Persuasion*, Thomas and Hawes (1995:96-97) define support as a term used to refer to the use of information from any particular study to contribute to the advancement of the argumentation underlying the claims of another study. This contribution, they explain, may take the form of a study building on the foundations of the supporting study or the use of concepts in one study necessary for understanding the work in another. Alternatively, it may take the form of information on which the findings of the second study depend and the provision of

independent but supporting evidence for a claim.

Secondly, Thomas and Hawes (1995) explain that citation delimits the area of research and, by summarizing relevant previous studies, serves to contextualize the researcher's current study. This point of view ties up with that of Swales (1986:39) who notes that citation analysis is a useful tool for historians of particular scholarly topics or controversies in their attempts to establish the origin and distribution of particular ideas and discoveries, and to trace major networks of influence, collaboration, and dependence. From these views, it may be argued that an important aspect of citation is that, by reporting other researchers' findings, it allows for interplay between the knowledge claims of different researchers within the same discipline. Citation, therefore, may be said to play a significant role in giving the research proposal its communicative purpose and in setting it apart, in terms of genre.

Lastly, according to Thomas and Hawes (1995), citations attempt to achieve the aim of a written text - **the successful persuasion of readers**. A similar observation is made in Latour and Woolgar (1979) where it is observed that the role of the academic writer is to report a research in a marketable form for the consumption and persuasion of its readers. One may, then, infer that citation is a rhetorical element which contributes significantly to the overall persuasive tone of a text. This persuasion, it is believed, lies in accounting linguistically for citations in research proposals.

4.4 Signalling Citations

While it has been argued that citation is considered to be the attribution of propositional content to a source outside the author of the research proposal and that it is marked by some signal of attribution, it may be added that the signals are criterial in identifying a citation. There is evidence in examples drawn from this study data that various categories presented in Thomas and Hawes (1995) are used to signal the three major types of citations - supplementary, negational and affirmative. These categories are: a reporting/reported clause structure and a reporting verb, 'according to' as an adjunct of reporting, *that*-nominals, named mention of the author, verbs of assertion and metatextual terms as illustrated below:

4.4.1 A Reporting/Reported Clause Structure and a Reporting Verb

In this sub-category, Thomas and Hawes (1995) explain that a citation provides support and comprises of a reporting/reported clause structure and a reporting verb. Their view of the support notion is that it requires two obligatory elements: the supporting and the supported element. They note that one of these is necessarily a citation while the second element can either be another citation or a writer's statement (authorial comment). They further explain that optional elements are signals of support and, as an illustration, provide the following structure to this effect:

Supporting Element (+ Signal of Support) + Supported Element

The signals of support are within parentheses to indicate that they are optional.

It has been observed in examples drawn from this study data that citations, especially the supplementary and affirmative types, may be signalled by this structure as in the following examples :

143. Interactional Sociolinguists such as Gumperz (1982) [supporting element] argue [reporting verb] that participation in conversation for first and second language speakers require more than grammatical competence in the language [supported element]...(proposal 1)
144. The theory of change [supporting element] recognizes [signal of support] the stability of cultures and their ability not to change whole and overnight (Blacking, 1987) [supported element] (proposal 2)

As examples 143 and 144 show, the citations begin with **supporting elements**: *Interactional Sociolinguists such as Gumperz (1982)*, and *The theory of change*. This is followed by **reporting verbs** *argue* and *recognizes* which are signals of support. Finally, are the **supported elements**; *that participation...*, and *the stability of cultures...*

From these examples, it may be argued that reporting/reported clause structures signalled by a reporting verb are used in research proposal writing to provide support for claims made. Thomas and Hawes (1995) agree with this observation when they remark that citation provides support to claims made by the researcher. This structure arguably makes the citation feature persuasive because of the support role which it advances.

4.4.2 'According to' as an Adjunct of Reporting

Swales (1990) and Thomas and Hawes (1995) note that integral citations may show the name of the author as an adjunct of reporting. This adjunct, according to Quirk *et al.* (1985), is a **complex preposition** sub-divided into a two-word sequence - the adverb *according* and the preposition *to*. From the data in this study, researchers use 'according to' to signal the three citation types. However, out of the one hundred and seventy seven citations occurring in this study data (*c.f.* 1.8.2), only seven instances of the use of 'according to' occur. Out of these seven, in six instances 'according to' has been found to be the first element in the citations. In only one instance does it occur in the middle of the citation. Some of the examples drawn from this study data include:

145. According to Grice (1975), implicatures are arrived at when speakers flout the conversational maxim...(proposal 1)
146. According to Merrian (1964), change is a constant human ...(proposal 2)
147. According to Zenoga-Zake (1986) African music is characterized by tradition...(proposal 2)
148. According to this theory, children are seen a special kind of good...(proposal 3)

Quirk *et al.* (1985) note that **according to** is among the many formulas by which a writer may identify an authority. They add that this adjunct is also used to identify not so much a reaction to, as an interpretation of events as the example in sentence 149 below shows:

149. According to Grice (1975), implicatures are arrived at when speakers flout the conversational maxims. (proposal 1).

In example 149, *according to Grice (1975)* identifies the author presented as an adjunct of reporting while the rest of the citation implies both a reaction to what other researchers have said about implicatures and an interpretation on the same concept. A reader may find a reaction to what previous researchers have found important to understand the present study. It is therefore felt strongly that when adjuncts of reporting signal an authority, a reaction to something or an interpretation of something in citations, then these may enhance rhetorical structure.

4.4.3 *That*-nominals

It is noted in Thomas and Hawes (1995) that *that*-nominal clauses are subordinate and function as the object of a citation. It is further claimed that these nominal clauses occur frequently in citations.

However, Leech and Svartvik (1975) observe that *that*-nominals function as all nominal clauses in that they may occur as subject, object, complement, appositive, and adjectival complement as the following examples show:

150. Subject: That university students are riotous is true.

S

151. Direct Object: He knows that I was lying.

D.O

152. Subject Complement: The truth is that our economy is mismanaged.

S.C

153. Appositive: The truth, that the economy is mismanaged, is painful.
App.
154. Adjectival Complement: I am doubtful that things will improve.
Adj. Comp.

From the data in this study, it has been observed that out of the one hundred and seventy seven citations used for content analysis, ninety comprise of the *that*-nominal clause and these contain the three types of citation outlined above. This provides evidence to the fact that the *that*-nominal clause is quite frequent in citations. Interestingly, *that*-nominal clauses used in the data in this study to signal citations only occur as the direct object (D.O) as the following examples indicate:

155. Scholars of discourse such as Gumperz (1982) largely agree that conversation is a cooperative venture...(proposal 1)
S V D.O
156. Chernoff (1979) observes that in African Music, rhythm is to ...(proposal 2)
S V D.O
157. Hawley (1950) argues that the main task of human ecology...(proposal 5)
S V D.O

As may be inferred from examples 155-157, *that*-nominal clauses occur as **direct objects** of the main verb in the main clause. This is the function this type of nominal clause plays in the citations in this study. The examples above also show that *that*-nominal clauses are subordinate and as Quirk and Greenbaum (1976) note, they approximate in function as noun phrases. *That*-nominal clauses, therefore, complete the meaning of citations they mark. It should be added that the information contained in these clauses, typically, provides the support role of these citations. This may persuade the reader into developing keen interest

in a research proposal.

4.4.4 Named Mention of the Author

This category of signalling citations as presented in Thomas and Hawes (1995) requires that researchers mention the names of the authors they choose to cite. This confirms Peter's (1996:171) observation that a researcher needs to acknowledge the authority of a citation. He adds that the authority should be put in parentheses. This signal seems to occur in the three types of citations already dealt with above (*c.f.* 4.2).

In several examples drawn from this study data, it is interesting to note that in some citations the name of the author is mentioned as the first element while in others the name of the author occurs as the last element in the citation. Those that indicate the name of the author as the first element may be illustrated thus:

158. Were and Wilson (1968) observe that when the Luo migrated from Sudan they passed through...(proposal 2)
159. Salim (1973) confirms this when he states that local chronicles...(proposal 4)

Winkler and McCuen (1989) refer to such citations as illustrated through examples 158 and 159 as **author prominent**. In such examples the author is given primary importance. It may also be correctly observed that when researchers begin their citations with the names of the authorities, then, it is the year of publication that is put in parentheses.

Examples drawn from this study data that indicate the name of the author as the last element in a citation include:

160. Intercultural communication has been examined through studies of interaction between native and non-native speakers (Neil, 1996:17). - (proposal 1)
161. We are critical about new profit motive that undermines form in Literature. Half fabricated and banal plots are given to the public for money (Wanjala, 1980:233). - (proposal 6).

It is important to note from examples 160 and 161 that the page numbers are separated from the years of publication using a colon. When researchers present the names of their authorities at the end of the citation, as shown in the above given examples, then, the surname of the author, date of publication and page number are put in parentheses. In such an instance if a page number occurs, it is separated from the date of publication by a colon.

The basis of mentioning the name of the author in a citation is two-fold. One, researchers provide proof to readers that they have knowledge of those people who have published in a particular field of research. Two, by mentioning the name of the author, researchers refer their readers to a particular work for further information. These two factors, it is argued, contribute to the rhetorical structure of a text since the credibility of a research work is created this way.

4.4.5 Verbs of Assertion

These are verbs, according to Thomas and Hawes (1995), that declare and/or state clearly the researcher's beliefs about the cited works. Quirk and Greenbaum (1976:24) and Quirk *et*

al (1985:83) contend that assertive verb forms are associated with positive statements, the quality which characterizes citations. Swales (1990:151) supports this view and notes that the use of verbs of assertion asserts the author's commitment to the attendant proposition.

Examples drawn from the data in this study indicate that among the verbs of assertion used to signal the three types of citation (*c.f.* 4.2) are *base*, *argue*, *point out*, and *propound*. It may, therefore, be argued that these verbs of assertion signal the three types of citation. The following examples occur in this study data:

162. Searle (1969) based the theory of illocution of indirect speech acts on the observation that a speaker may, in uttering a sentence, mean what he says and something more. - (Proposal 1)
163. Wagner (1949), Lusweti (1974) and Wanjala (1984) argue that before the coming of Islam, the Abakusu worshipped their god *Wele*. - (proposal 4)
164. Bauni (1990) points out that the culture and socio-economic background of Kenya's people in terms of population are little known. - (proposal 3)

From examples 162-164, it is plausible to suggest that verbs of assertion occur in declarative citations. These verbs have emotive characteristics and may be used by researchers to draw the attention of the reader to the cited work which is intended to justify the present research. As Swales (1990:151) notes, this type of verbs is a powerful rhetorical tool in researchers' attempts to create research spaces for their studies because it allows them to signal early whether claims are to be taken as substantiated or not.

4.4.6 Connectives

This sub-category makes use of linking signals that help the reader to understand a written message by signalling how one idea leads on from another (Thomas and Hawes, 1995,

Leech and Svartvik, 1975). In this study data, it has been observed that **connectives** are used to signal supplementary and affirmative citations. These are grouped according to the similarity of their meaning as follows:

(a) Listing

According to Jordan (1990) listing includes **Enumeration** and **Addition**. Enumeration indicates a cataloguing of what is being said in a text. Examples of this, drawn from the study data, include:

165. Secondly, Levinson (1978:2) attributes a lot of misinterpretations in communication to politeness and the social functions of language...(proposal 1)
166. Other works include Arudo (1993) in Migori and Kamaara (1994) in Kenyan urban centres...(proposal 3)

Addition is normally made to what has been previously indicated. Examples of these from this study data include:

167. This is further compounded by low public awareness...(NEAP, 1994) (proposal 5)
168. Besides this, illegal waste combustion, other disposal methods...(Mbugua, 1980) (proposal 5)

(b) Equation

Equation is used where there is a similarity with what has preceded. The following examples drawn from this study data illustrate this further:

169. Similarly, the contribution of waste incineration to the... (U. K., 1993) (proposal 5)
170. Equally, the disposal of these wastes has been found wanting...(Gicheha, 1990) (proposal 5)

171. Similar views about Logoli are stated by Bode (1978) and Baker (1950).(proposal 4)

(c) Result

This tends to express the consequence or result of what was said before as exemplified by these signals from this study data:

172. Therefore, there is a need to identify activities...(NEAP, 1994) (proposal 5)

173. Thus, open dumping and uncontrolled land filling...(WB, 1992) (proposal 5)

(d) Concession

This indicates the unexpected, surprising nature of what is being said in view of what was said before. Examples drawn from this study data include:

174. In spite of this, the country has a low percentage of women of reproductive...(Kamaara, 1994) (proposal 3)

175. Despite all the government efforts the natural population growth...(Kenya, 1966) (proposal 3)

176. However, even when budgets are adequate for collection...(Baukering *et al.* 1996) (proposal 5)

Connectives, therefore, when properly applied, it may be argued, make a text to cohere.

This is important since it enhances the readability of a research proposal. This, in part, makes the research proposal acceptable and persuasive as shown in text 177 drawn from proposal 4 in this study data.

177. Osogo (1966), Were (1967) and De Wolf (1977) state that the Ababukusu though living from [sic] the Kenyan Coast, got in touch with Islam though Asian traders and Swahili merchants. They further argue that Swahili agents were also used by colonial administrators to collect hut tax among the Ababukusu of Bungoma.

The example given above shows how connectives may be used to list as *further* suggests. Thus, a reader of such a text must link the second sentence with the aforementioned one because of the use of *further*.

4.4.7 Metatextual Terms

This sub-category entails the argument that in the theme positions of citations, metatextual terms are used. Halliday (1985) defines theme as the initial unit of a clause. Hence, metatextual terms occupy initial positions in citations. These terms, according to Thomas and Hawes (1995) create inter-textual links within the context of their use.

In this study data, an observation similar to that of Thomas and Hawes is made in that in the theme positions of the reviewed citations, researchers use **metatextual terms**. Since they occupy the theme positions, it can reasonably be said that such terms, when they occur, function as subjects of the citations. Metatextual terms have been found to signal supplementary and affirmative citations. Examples of these terms drawn from this study data include:

- 178 Interactional Sociolinguists argue that participation in conversation...(Gumperz, 1982) (proposal 1)
- 179 Other works include Arudo (1993) in Migori and Kamaara (1994)...(proposal 3)
180. The reviewed literature has clearly shown that waste is... (Korea, 1995), Lamba, 1994) (proposal 5)
181. Networks have been promoting particularly environmental...(Habitat, 1996) (proposal 5)

With reference to examples 178-181, it is appropriate to suggest, therefore, that metatextual terms establish inter-textual links. For instance, the signal *Interactional Sociolinguists*, in example 178, is the theme of the citation and will tend to link what they (Interactional Sociolinguists) say to the study which the proposal writer is proposing. This observation ties up with that of Quirk and Greenbaum (1976:412) where they note that the theme is the most important part of a clause from the point of view of its presentation of a message in sequence. It may, therefore, be argued here that the use of metatextual terms, in the theme positions of citations, in research proposal writing is intended to persuade the reader to accept the text, hence making metatextual terms a powerful rhetorical tool. This quality enhances the communicative nature of a research proposal and, therefore, its persuasiveness.

4.5 Summary

In this chapter, an effort has been made to show that citations in the Kenyatta University Faculty of Arts proposals may be classified into three: affirmative, supplementary and negational. Out of these, supplementary citations are the most prominent with the affirmative citations being the least prominent. It has been argued that this is so because supplementary citations compare several studies to show the reader that researchers are well versed in their areas of study besides showing that the present studies are of contemporary importance as they show the similarity in a new research context. The chapter has also discussed several categories that signal the three citation types which include, *that*-nominals, 'according to' as an adjunct of reporting and metatextual terms. The chapter notes that the citation feature in research proposals is made persuasive by its appropriate signalling using these categories.

CHAPTER FIVE

5.0 CONCLUSIONS, IMPLICATIONS AND RECOMMENDATIONS

5.1 Introduction

The previous four chapters have attempted to describe in detail a study on rhetorical structure in Master of Arts research proposals of Kenyatta University. This chapter collates the findings arising from the various research questions that guided this study. It proceeds to proffer recommendations and suggestions for the way forward, with due regard to further research in genre analysis.

5.2 Summary of Findings

The study set out to investigate answers to the following questions:

- Do sections of a research proposal as outlined in the Kenyatta University Faculty of Arts (KUFA) model of proposal writing conform with the CARS model of RA Introductions?
- Which linguistic features signal each section and to what effect?
- What are the linguistic signalling devices and how do they highlight the gist in the statement of the problem section in the MA proposal of Kenyatta University?
- What types of citation can be identified in the KUFA research proposal?
- What linguistic signalling features characterize these citations and how do they enhance rhetorical structure?

It has emerged, generally, that the research proposal is written with a purpose which is achieved through its schematic structure and linguistic features. The following is a summary of the findings:

The CARS model of RA Introductions (*c.f.* 2.7) has units of a high rank (moves) which mark the three wider parts of such introductions. Within these high ranking units, there are a number of steps (the units of a low rank) that describe the smaller parts making the larger parts of a research article introduction. The KUFA research proposal model, on the other hand, has units of the same rank (sections) that describe the divisions of the research proposal (*cf.* 3.3). Perhaps this is because for the KUFA model, an attempt has not been made to cluster sections with similar characteristics together into larger ones as the CARS model has done. Notwithstanding, the sections as observed in this model detail the main contents of a research proposal just as the steps in the CARS model.

It may be observed that, on the basis of this study data, the KUFA model of proposal writing corresponds to the CARS model of RA Introductions. This owes to the observation that eight out of the twelve sections of the KUFA model have corresponding steps in the CARS model. Only four sections in the KUFA model do not have corresponding steps in the CARS model. These are, the scope and limitations (Section 6), theoretical framework (Section 8), budget (Section 11) and time schedule (Section 12). On the other hand, it is important to note that only two steps in the CARS model namely; Step 1A in Move 2, and Step 1B in Move 2 (*c.f.* 2.7) lack corresponding sections in the KUFA model (*cf.* 3.3).

It has also emerged that although a number of sections in the KUFA model have corresponding steps in the CARS model, the sequencing of the corresponding sections (KUFA) and steps (CARS) differ in the two models. The statement of the problem (Section 2A) in the KUFA model, for instance, comes before the literature review (Section 7). In the CARS model, however, the corresponding Step 1B in Move 2 (indicating a gap) occurs after reviewing items of previous research (Step 3 in Move 1) which compares with the KUFA model's literature review (Section 7) (*cf.* 3.3).

Since it has emerged, in this study, that the KUFA model of proposal writing corresponds to the CARS model of RA Introductions which, as explained in Swales (1990) is an epitome of rhetorical structure, then, it may be argued that the KUFA model also epitomizes rhetorical structure. Evidence for this is provided by specific linguistic identifying features in each section of the research proposal that sustain the interest of the reader. Various Swales' categories of linguistic signalling features have been used to identify the respective sections of the KUFA research proposal. For instance, the **statements about knowledge or practice** category which describes neutral kinds of general statements that represent topic generalizations is used, in this study, to signal Section 3 - Hypotheses of the study (*cf.* 3.4).

The statement of the problem (Section 2A) in the KUFA model research proposal is coterminous with Step 1B in Move 2 - indicating a gap in the CARS model of RA Introductions. The gist in this section is characterized by the **problem-solution** pattern described by Hoey (1983). To highlight this pattern, various Swales' categories, which

signal Step 1B in Move 2, are used. These include, *adversative sentence connectors*, *negative or quasi-negative quantifiers*, *lexical negation* and *deictic references*. Appropriate use of these categories of signals enhances the gist in the statement of the study problem [Section 2A] (*cf.* 3.5).

Three types of citation have been observed in the data in this study. These are: supplementary, negational and affirmative. This conforms with Chubin and Moitra's Citation Typology (1975). Out of these, supplementary citations are the most frequently used than the negational and affirmative citations respectively (*cf.* 4.2). It has been hypothesized that researchers opt for supplementary citations to show the reader that they are conversant with the prevailing literature that shows similarities in their areas of study.

Finally, it has been noted that the Thomas and Hawes (1995) categories of linguistic features that characterize citations, may be used to signal the three citation types (*cf.* 4.2) observed in this study. These categories of linguistic features are: a reporting/reported clause structure and a reporting verb, *that*-nominal clauses, named mention of the author of the cited work, verbs of assertion, connectives and metatextual terms (*cf.* 4.4). It has been argued that the correct use of these linguistic features may portray the writing expertise of the research proposal writer. It is therefore argued that these categories of signals make the citation feature persuasive in proposal writing.

5.3 Pedagogic Implications

Following Swales' (1990) concept of genre which, it is noted, comprises a class of communicative events the members of which share some set of its communicative purposes, the research proposal is viewed as one. Based on the findings of this study, it may be argued that there is need to use a **genre-based teaching approach** when instructing learners how to write a research proposal. This study proposes the genre-based approach to teaching because of two considerations. First, a genre-based approach will enable the learner to enter a particular discourse community, and discover how writers organize texts (Kay and Dudley-Evans, 1998:310). It is believed that this will promote flexible thinking and, in the long-run, informed creativity. Secondly, such an approach will probably instill confidence in the learners and enable them to produce research proposals that serve their intended purposes. This is because, as this study has revealed, a genre offers a model to guide the writing process. Such a model is considered to provide a means where learners could analyze the effectiveness of their own proposals and that of their colleagues.

Secondly, the findings of this study have implications for teaching Communication Skills. The scope of this study will help the learner understand those aspects of writing that enhance rhetorical structure such as rhetorical organization of an academic paper. Information on citation and rhetorical structure will also help in improving the citation feature in academic papers. It is strongly felt that this will help in producing persuasive academic texts such as essays, term papers and seminar papers.

5.4 Recommendations

Since it has been observed that the KUFA model of proposal writing corresponds to the CARS model of RA Introductions which epitomizes rhetorical structure, then, there is need to make researchers in the Faculty of Arts at Kenyatta University aware of the CARS model as well. This will give them an opportunity to consider the two models when composing their research proposals.

Secondly, in formulating research problems, researchers need to consider the use of the **problem-solution** pattern and signal it appropriately using the Swales' (1990) categories (*c.f.* 3.4) that signal Step 1B in Move 2 - indicating a gap in the CARS model. This is because, apart from giving the research proposal rhetorical structure, it meets the quality of an adequate research problem; that is, it is one of the most important parts of research

Lastly, there is a crucial need for researchers to diversify citation procedures by appropriate use of the Thomas and Hawes (1995) linguistic signalling features such as verbs of assertion, metatextual terms, *that*-nominals, connectives and reporting verbs. These have, as has been argued (*c.f.* 4.4), the effect of creating rhetorical structure in a research proposal.

5.5 Suggestions For Further Research

Since this study has limited itself to proposals drawn from the Kenyatta University Faculty of Arts only, it may be interesting to compare the CARS model with research proposals drawn from other faculties such as Home Economics, Environmental Studies and

Commerce. The CARS model was formulated with data drawn from Hard Sciences (*c.f.* Swales, 1990).

Since the study has revealed that the CARS model (though an epitome of rhetorical structure) is lacking some steps that may correspond to some sections in the KUFA model, a study geared toward adapting the model with a view to incorporating the apparently missing steps will be of interest. This will strengthen the model to suit the proposal composition guidelines in the Faculty of Arts at Kenyatta University.

This study has not focused on the use of stylistic features such as repetition, euphemism and symbolism to enhance rhetorical structure in the research proposal. It will be interesting to take a step toward that direction.

It is desirable to conduct a study that combines the proposal as a finished product and the writing process. Such an approach would combine knowledge about the genre product with the opportunity to plan, draft, revise, and edit work, as well as provide an opportunity for greater interaction.

As Littlefair (1991) and Hammond (1995) have argued, genres exist in speech and writing, and this knowledge of genres can be drawn upon in the teaching of speaking, listening and reading. It will be interesting, therefore, to study the use of genre in reading the research proposal. A study on reading the research proposal seems a potential endeavour to establish if the communicative nature of the genre enhances comprehension.

Lastly, it will be interesting to extend the notion of rhetorical structure to the composition of discussion sections of a thesis, notably the Data Analysis, Discussion and Conclusion sections.

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APPENDICES

APPENDIX I

Signals in the Statement of the Problem (Section 2A)

Proposal 1 - English Department

- Interactional Sociolinguists argue....
- However, it is observed...
- This study will firstly address the following question....
- This study is in investigation of....
- It aims to investigate...
- The investigation will look beyond...

Proposal 2 - Music Department

-have not considered...
-not been taken into account.
- They overlooked factors that have interfered with...
-may have had no consideration of....
- This situation has prompted this study.
- This study is going to be concerned with...

Proposal 3 - Geography Department

-focus on....has been narrow.
-noted this shortcoming.
-also noted this narrow focus.
- Despite....growth rate has increased
-population researchers have shown little interest in....
- This study aims at investigating the.....
-however, has not been studied.
- It is important that...be addressed.
- A few researchers....have pointed out.....
- More research is needed to elucidate.....

Proposal 4 - Religious Studies Department

- When Islam reached....its adoption depended on...
- However, certain aspects received resistance.....
- Due to this, only a few people....
- Despite this, some Abakusu still embraced.....
- In view of this a number of questions arise....
- What facilitated the Islamization.....
- What is the impact of....
- Why has Islam persisted....

Proposal 5 - Sociology Department

-many studies tend to concentrate on.....
- Few studies have touched on.....
-studies have not been comprehensive.
- Thence this raises a number of examinable questions....
 - What type of wastes are generated.....
 - How are these wastes managed.....
 - Do the artisans experience problems.....
 - Does the government offer any support...
- The main purpose of this study is therefore to.....

Proposal 6 - Literature Department

- Pursuant to the background of the debate on serious and popular literature, certain things....
- While some critics like Wanjala categorized others like Angus Calder were uncomfortable with such a dichotomy.
- The problem that arises is whether.....
- I purpose to investigate.....
- To investigate this, I will use.....

APPENDIX II**The 1995 KUFA Model of Proposal Writing**

- (1) Give a brief background to the study section. This serves the purpose of embedding the study in a specific field of research. A background is necessary such that the emergence of the problem is clear.
- (2) State the problem(s). The essence of a problem is, in the context of research, lack of knowledge which has not yet been eliminated by other researchers, and, at the same time, knowledge. Structurally, a problem is a system of statements or questions. Hence it can always be formulated as a direct or indirect question.
- (3) State the hypotheses. These are conceptual or empirical theses as tentative solutions to the problem(s). These theses, in a narrower sense of the term, are a position a researcher takes and, the defence of which s/he advances conceptual and/or empirical arguments.
- (4) State the research objectives based on the research implication. Note particularly that the research implication, in turn, implies that conceptual and/or empirical evidence will lead to a certain research result.
- (5) State the conceptual and/or empirical rationale (i.e., the grounds) for the study. Note that the justification and significance of the study are one and the same side of the coin.
- (6) Conduct a literature review with a view to arriving at a suitable theoretical model (or framework) for your study. The literature review also shows how the problem emerges.
- (7) Discuss a number of relevant theoretical models before choosing one of them, synthesizing at least two of them or replacing all of them by a new one.
- (8) State or elaborate the scope and limitations of the study.
- (9) Show how the hypotheses are to be examined by describing the research design, mode of data or evidence collection in relation to the research objectives, and mode of data or conceptual analysis.
- (10) Give a provisional summary of chapters or divisions of the resultant study.
- (11) Present a budget for the study.
- (12) Present a time schedule for the study.

APPENDIX III

Signalling the Sections of a KUFA Research Proposal

(a) The Background to the Problem

- Samia is a sub-ethnic group of Luhya...
- In 1965, a World Bank mission was invited to study the...
- For the better part of the 20th century, many global economies...
- Scholars of Discourse largely agree that...
- There is need to study the societies involved...
- This calls for an investigation into the factors...
- The proposed study is an investigation of...
- To correct the anomaly, the study sets out to observe...
- The proposed study will focus on some of these conflicts...
- Studying and interpreting utterance in a discourse is important...
- This study seeks to find out how these arguments...

(b) The Hypotheses

Proposal 1 - English Department

- Misconceptions do arise between...
- Despite the...speakers employ...

Proposal 2 - Music Department

- ...can be notated...without distortion.
- It is possible to compose...by selecting...
- ...determines...
- ...may change if...is interfered with.

Proposal 3 - Geography Department

- ...do not influence...
- There is no difference between.....

Proposal 4 - Religious Studies Department

- ...influenced the...
- ...are some of the reasons that...
- The inter-relationship between... are some of the factors that...

Proposal 5 - Sociology Department

- ...does not pose...
- ...have no significant influence on...
- The lower the...the higher the...
- ...has no significant impact on...

Proposal 6 - Literature Department

- ...have not been adequately addressed.
- ...can be both popular and serious
- ...enhance the total meaning...

(b) Objectives

- The research objectives are...
- To describe...
- To investigate...and establish...
- To identify and discuss...
- To make recommendations...
- The general objectives of the proposed study is...
- Specific objectives will be...
- To collect...
- To adapt and arrange...
- To compose and write a piece...
- To analyze...
- To transcribe...to classify them.
- The purpose of this study is to study....
- The specific objectives are...
- To investigate..
- To compare the...
- To find out...
- To examine...with a view to determine...
- To identify and evaluate the...
- To examine the...
- To identify and discuss...
- To find out....and determine...
- To determine.....and examine...
- To assess...
- The study will seek to achieve the following objectives...
- To investigate whether...

(c) Research Questions

- The study will seek to answer the following questions...
- What are the types...
- How does...arise?
- In what ways can...be remedied?
- Why has...
- What are the basic causes...
- What is the place...
- How can the population cater for...
- What alternatives exist...

- How relevant is...
- What facilitated the...
- What is the impact of... on...
- Why has Islam persisted...
- What type of...
- How are these related...
- Do the...if so, how do they...
- What is the level...and how does it affect...
- Does the Government offer...

(d) Rationale

-need to be aware.
- It is important therefore to find out how...
- This study will deal with...
- Our choice of....is based on the importance of....
- No study to the best of our knowledge has been...
- This study aims to fill the gap in...
- A study of this nature will provide us with valuable information and knowledge about...
- This knowledge of...will benefit the...remarkably
- This study will not only benefit...but will also...
- ...has been chosen because...
- The findings of the study will therefore inform...
- Significantly, it is hoped that the findings of the study will guide...
- Academically, the findings will presumably contribute to the existing knowledge in the field of...
- This study will contribute towards the understanding of...
- Data from...have failed to herald the triumph...
- The proposed study is justified as it will contribute towards...
- ...there was no attempt to analyze...using criteria...
- The study will shed light on...
- It will articulate opinions that...
- It is hoped that this study will benefit...
- Very little has been written about...
- They do not give a thorough scholarly attention on...
- Factors which facilitated...are left to speculation.
- The study will hopefully provide this information that is lacking and hence will fill the gap...
- This will benefit scholars of...
- This study will enhance the understanding of...
- Scholars will have a wide scope of evidence to inform...
- The proposed study will also contribute to literature on...
- ...the composers made artistic arrangement without paying attention to...
- ...the dialect has been distorted.

- The proposed arrangement and composition will maintain...
- ...the work will be a source of information for students pursuing...
- The information will be used for the purpose of...
- It will also help those...
- ...will deal with...
- ...will be a source...
- ...will emphasize...

(e) Scope and Limitations

-will examine mainly....
-will also be studied.
-the study would also be interested in...
- However,....
- The study is restricted specifically to...
- The researcher does not wish to cover...
- This is done to avoid previous error.
-may not be notated because of lack of....
- The study will limit itself to...
- There is the problem of...
-will be centred on....
-this area is chosen because...
- ...has been overlooked by...
- Little is known about...
-chosen purposely because..
-need to narrow the study.
- The district chosen has only 5 tribes...
- The selected texts in this study are few compared to....
- ...although more sites would have been used.
- Also some Samia musical elements may not be notated because of lack of appropriate notational signs to be used.

(f) Literature Review

- Various studies in Linguistics have focused on....
- Research in intercultural communication has been conducted by various scholars of...
- The Athabaskans emphasized...
- Our study will apply the concepts of solidarity...
- Giourel (1985) carried out several studies on...
- This has strong implications to our study where...
- Our study will take these differences in norms into consideration while analyzing.....
- Samia 'Afro-classics' composition as a topic has not attracted many scholars.
-there is hardly any literature for reference...
- However, there are a few works worth mentioning which are related to this study...
- Musumba (1992) observes thus,....

- She further contends...
- In view of the above observations, the merger of the Samia folk tune and Western Music elements will help fill a gap that exists.
- The African population conference of 1987 in Dakar Senegal noted that...
- This study will analyze the effect of education on...
- This study will investigate how the place of....
- This study aims at finding out the salient features of...
- The review of literature for this study will be divided into four categories...
- They further observed that.....
- Our study seeks to examine the role played by...
- The above scholars further state that...
- Similar views about....are stated by...
- Their works are therefore inadequate.
- It is in the interest of this study to investigate...
- It is the gaps of information that we are unable to fill with the available literature that we are going to uncover.
- In contrast, recycling in developing countries...
- Similarly, the contribution of wastes...
- Thus, if properly applied, incineration can....
- Besides this, illegal waste combustion, other...
- This study was thus an attempt to fill up things...
- The reviewed literature has clearly shown....
- These are the issues underscoring the need for this study which will focus on...
- Thus, it is important to review some literature on...
- The debate on Popular Literature...
- These critics have concentrated on the choice of the...
- The present study will investigate the...
- The second group of critics recognize and evaluate...
- My conclusion is that Popular Literature requires scholarly attention for it to be appreciated fully.

(g) Theoretical Framework

- This study will use an eclectic approach in its choice...
- It will use some tenets of....
- This theory explains behaviour...
- According to this theory...
- Our study will also use...theory.
- One of the tenets of this theory is...
- The study will use the theory of...which involves...
- The theory will be used along with the theory of...
- The proposed study adopts a perspective that...
- A developmental approach is applied in...
- Common features of the theory include...

- The theory describes...
- The theory is applicable in....
- The theory will be useful in...
- The expanded model elaborates....
- Scholars have used various concepts and theories to explain....
- One of the preferred concepts is...which emphasizes that...
- This concept will help us to examine...
- Hence this concept is not adequate for the present study.
-can therefore be better explained by the theory of...
- This theory states that....
- To this end, this theory seems to address the objectives of this study.
- This study will be guided by two theoretical approaches...
- Thence, to explain this, the study will rely on the network approach.
- The main argument of this approach borders on the fact that..
- In this section I will summarize two critical approaches to Literature...
- This theory is based on...
- Its dismissal of works...is a serious limitation for the approach.
- Put simply, this approach sees a text as...
- The major tenets of this theory that makes it suitable in the present study can be summarized as follows.

(h) Methodology

- Our methodology is guided by...
- The study will work on a random sample based on...
- The main research instruments will be...
- The data analysis will begin with...
- The study will use empirical and descriptive survey methods...
- The study intends to use the snowball and purposive sampling methods...
- Oral interviews will be conducted in order to....
- The folk tunes collected will be analyzed according to the categories...
- The research applies the comparative research design which allows...
- Data on... will be obtained by the use of a questionnaire..
- Proportionate sampling will be done based on...
- Cross-tabulation will be used to compare....
- The study will employ different sampling techniques....
- Some data gathered will need transcription and translation into.....
- The survey design has been adopted so as to.....
- From the sample frame of....a sample size of....will be covered....
- Both primary data and secondary data will be used.
- ...both quantitative and qualitative data analysis will be one.....
- In this study, I have selected....for textual analysis.
- The selected texts will be arrived at by purposive sampling...
- This being a textual study, will entail three phases of research.

APPENDIX IV**Signals of Citation**

- Secondly...
- ...largely agrees that...
- ...according to...
- ...argue that...
- ...attributes...
- ...has been examined..
- ...develops...
- ...based...
- ...states...
- ...says....
- ...observed that...
- ...urged...
- ...claimed that....
- ...analyzed...
- ...agrees that...
- ...it was reported that...
- ...forecast that...
- ...sees guides as....
- ...asserts that...
- ...discusses....
- ...also used....
- ...have agreed...
- ...used....
- ...postulates that...
- ...describes....
- ...proposes...
- ...also made a contribution...
- According to Grice....
- ...pointed out that...
- ...also argued that...
- ...observed that...
- ...also observed that...
- ...propounded by....
- ...also studied...
- ...carried out...
- ...outlines...
- ...presupposes that...
- ...viewed...as....
- ...also outlined by....
- ...defines...as....

- ...show...
- ...projected...
- ...also noted that...
- ...adds that...
- ...gives an example that...
- ...mentioned....
- ...using....
- ...will differ from....
- ...has the following observations to make....
- ...incorporated....
-further observes...
- ...contends that....
- ...gives....
- In spite of this....
- ...adopted...
- Despite all this....
- Other works include....
- ...hypothesized that....
- ...have failed to....
- ...for example accorded....
- According to this....
- ...have little impact on...
- ...place great stress on....
- ...conform...
- ...estimated that....
- ...are hardly investigated...
- ...clearly states that...
- ...has an advantage over...
- ...provides...
- ...for instance...
- Despite...no...
- ...is in line with...
- ...have not been quite comprehensive...
- ...admitting that....
-include...
- ...does not agree...
- ...will handle...
- Besides this...
- ...was developed by...
- ...however,...
- ...accounted for...
- In contrast....
- Similarly....

- Unfortunately...
- Incidentally....
- ...was later considered by...
- ...identified....
- ...confirms this when...
- ...only dedicated....
- ...has also been confirmed in...
- ...explains the....
- ...also claimed that....
- ...share this view...
- ...had the same point of view...
- ...state the same....
- ...are refuted by...
- Similar views are stated...
- Another noted agent...
- ...further state...
- In the same vein...
- ...emphasizes that...
- ...will analyze...
- ...and adds that...
- Drawing support from...
- ...share similar sentiments...
- ...were uncomfortable with...
- ...focuses on...
- ...accuses...
- ...equate...
- Therefore...
- Thus...
- Interactional Sociolinguists....
- Other works...
- The reviewed literature....
- Networks....
- The Athabaskans....
- Various studies in Linguistics.....
- Were and Wilson (1968)....
- Bauni (1990).....
- Salim (1993)....
- Greenblatt (1980)....
-(Neil, 1967:17).

APPENDIX V**The BPS Proposal Format of Kenyatta University**

The Research Proposal Should Comprise:

(a) Introduction

- Background to the study
- Statement of the problem, objectives and originality of the study
- Significance of the study

(b) Literature Review

- Must show evidence of understanding of current research work on the subject matter

(c) Methodology

- The proposed methods should be appropriate to the study

(d) Budget

- Must identify sources of funding

(e) Format of the research proposal should be as follows:

- It should be typed on one side of A4 paper and double spaced
- Illustrative materials and details of instruments may be attached to the proposal as an appendix
- It should have an abstract not exceeding 500 words

APPENDIX VI**Titles of MA Proposals used in This Study and their Authors**

1. Mwanatumu, A.H., (1997/98), Communication in Inter-cultural Discourse: Tour Guides and Tourists in Mombasa.
- 2..Musungu, G.J., (1997/98), Samia Afro-classics: A Creative Composition.
3. Githinji, S.W., (1997/98), Socio-economic and Cultural Factors that Influence Implementation of Family Planning Programme in Kenya: A Case Study of Nairobi City and Kericho District.
4. Kassilly, J.N., (1997/98), Penetration of Islam among the Ababukusu of Bungoma District upto 1998.
5. Wanyama, T., (1997/98), Management Problems of Solid and Liquid Wastes in the Jua Kali Sector: A Study of Kamukunji and Ziwani Jua Kali Associations of Nairobi, Kenya.
6. Kairu, K.B., (1997/98), The Popular and the Serious in Yussuf K. Dawood's Works.

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