A Genre Analysis of Prefaces in Chinese Linguistics Monographs

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Abstract: Genre analysis study in the past focused on abstract or introduction of research articles, less attention has been paid to the prefaces to monographs, and linguistic monographs in particular. In addition, previous research on genre analysis study revolved around the structure itself, ignoring the linguistic realization of the structure. Based on an analytical framework and self-constructed corpus consisting of Chinese Linguistics Monographs, the present study tries both to generalize the generic structure of the less-heeded preface of linguistic monographs and to explore the linguistic resources with which the structure is realized. Genre analysis of these prefaces indicated that: there are four moves in prefaces: Move 1 (Introducing the Research), Move 2 (Introducing the Book), Move 3 (Expressing Gratitude) and Move 4 (Self-gradating and Soliciting a Response), among which Moves 1, 2, and 4 are obligatory while Move 3 is not. Analysis of linguistic resources that realize generic structures showed that: among the four processes analyzed, relational process, material process, and mental process occur more frequently in "Introducing the Field", while material process, verbal process and relational process are relatively frequent in "Introducing the Book"; The use of personal pronouns in Moves 1 and 3 are more frequent than in Move 2; Modal verbs occur more frequently in Moves 1 and 2 but less so in Moves 3 and 4, conjunction occurs more frequently in Moves 4 and 3 than in Moves 1 and 2.

Keywords: Moves, Steps, Metafunctions, Prefaces, Chinese Linguistics Monographs

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1 Introduction

Since Swales' genre analysis of research article introductions, increasing attention has been paid to the generic structure of other parts of research articles such as abstract, literature review, methodology, results and discussion, conclusion, a combination of some of them and so on. Efforts has also been later found exerted on the study of generic structure of thesis and dissertation (in addition to abstract, introduction, methods, and so on as in RAs, acknowledgments also appealed to the researchers), grant proposal, conference abstract and presentation, and reprint permission, and so on. The past few years also witnessed impressive generic analysis of book prefaces. The previous studies on book prefaces yielded different findings: the discussion of findings was more often than not in a vacuum; these studies did not properly integrate the analysis of linguistic resources with that of genre structure. Based on 10 prefaces of Chinese monographs on linguistics and applied linguistics, this study attempts to figure out the generic structure and their linguistic realization of the prefaces these books in an effort to deepen people's understanding of the prefaces, to help scholars to write effective prefaces, and also to test the feasibility of *Systemic Functional Linguistics* (especially its metafunction theory) to discourse analysis[1].

1 Halliday makes it clear that his SFL aims to provide a method for discourse analysis [32].

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2 Literature Review

2.1 Introduction to Book Prefaces

Preface generally refers to the "introduction to a book, typically stating its subject, scope, or aims [1]". Bhatia, however, used this term to mean the outlining of "the general purpose and scope of the book, often indicating steps leading to the preparation of the book [2]."

The preface is an important part of a book [3-8], and it helps readers to judge the academic value of a book in a very short time. Living in the age of knowledge explosion, we cannot afford making certain the worth of a book and making the right decision by reading it through. Prefaces, if well-written, could yet give readers a helpful and timely hand in this regard. And more than a decade ago, Lu Zon & Jose rightly pointed out that it [preface] helps readers to have a rough view of the book they are reading, to guide them how to use the book, and even convinces them the value of the book [3]. From preface, readers can also (at least partially) figure out the personality the author, such as whether he is modest or not, whether he is reader-friendly or not, and so on, all of which may influence readers' judgment of the value of the book. Since readers usually begin a book with its preface, therefore, the information which the preface conveyed, to a large extent, helps them to make decisions on matters such as whether to continue reading the book or not, whether to buy it or not, and so on. In a word, the preface of a book has a role to play in readers' decision making.

Compared with other academic genres (e. g., research articles), preface, however, has not yet attracted greater attention among scholars. Zhao Yu pointed out that "… as an academic genre, the genre of preface of academic monographs lacks of much attention [9]", this neglect was echoed by Abdollahzadeh & Salarv who expressed their opinion by saying "Examining book preface as a major types of academic introductions seem to have gone unnoticed [10]." And my hard-to-collect literature confirmed these two claims.

2.2 The Previous Research on Book Prefaces

Previous studies on book prefaces mainly fall into four types: the pragmatic study, genre colonization research, generic and linguistic exploration, and comparison across languages and disciplines.

2.2.1 The Pragmatic Study of Prefaces

Mei Meilian and Yuan Guorong has been found studied preface from pragmatic point of view [11-13]. Through the qualitative and quantitative methods, Mei Meilian examined the politeness strategies in Chinese and English prefaces, and her studies showed that although the strategies used in both Chinese and English prefaces are similar qualitatively but they also differed in a quantitative way [11, 12]. Guided by cognitive pragmatics, Yuan Guorong analyzed generic elements other-prefaces of 35 Chinese Monographs, he found that these elements have different cognitive association to the readers' understanding of the monographs themselves: introduction to the field or discipline, description of the content of the books, values of the books, and weakness of the books have strong cognitive relevance to the readers' understanding of the books; statement of the relationship, introduction of the authors of the books, authors' evaluation have weak relevance to the readers' understanding; reasons for writing the prefaces, self-effacement, anticipation of the research, congratulation for the publication, and recommendation of the books, have no relevance to the understanding of the books [13].

2.2.2 Genre Colonization of Prefaces

The study of prefaces from genre colonization perspective has been found mainly done by Wang Xiaowen and a few other researchers. Basing on a modified framework of Bhatia [14] by incorporating Halliday's tenor from register theory, Wang Xiaowen, Wang Xiaowen & Li Ming, and Wang Xiaowen, Li Ming and Lu Hongmei investigated genre colonization of book advertising over book prefaces in three self-built corpuses, namely, the corps of English advertisement (CBA), the corpus of English book prefaces written before 1900 and after 2000 respectively (CBP1, and CBP2) [15-17]. Comparison CBP1 and CBP2 in terms of intertextuality and with CBPA on the plane of genre and register showed that post-2000 book prefaces share a greater degree of intertexutality with book advertising than pre-1900 book prefaces, suggesting the colonization of advertisement on book prefaces. In addition to indicating the colonization of book advertising over book prefaces, Wang Xiaowen, Li Ming and Lu Hongmei also proved that register (especially tenor) is an important perspective in studying genre colonization [17]. From the perspectives of generic

structure potential, appraisal theory and multimodality, Ji Weining and Xin Bin diachronically explored the changes of textbook prefaces in China from 1966 to 2010 and found that textbook preface genre has undergone a change from a traditional academic introduction genre to a mixed and promotional genre presenting the trend of "commodification" with the social-cultural blending of academic discourse and promotional discourse [18].

2.2.3 Generic and Linguistic Study of Prefaces

Comparatively, those who studied the prefaces from generic structures and linguistic features are rather strong. Luzón & Jose's analysis of genre and moves and their realization of informative and promotional university textbook prefaces revealed that the preface is used by author both to help the audience use the book and to convince them of the value of the book; the prefaces are replete with frequent use of textual metadiscourse and the pervasive evaluation [3]. The persuasiveness of textual metadiscourse and evaluative expressions has been confirmed by Li Jian [5].

Feng Wenhe and Qin Dihui analyzed the structure of prefaces in a very general way with the former comparing prefaces written by both Chinese and westerners while the latter focusing on the prefaces written by Anglo-Americans [4, 19]. Feng Wenhe compared twenty prefaces (ten each by Chinese and westerners), and found that both Chinese and Westerners are similar in that they expounded purposes and introduced content of the books, and even 85% authors also expressed gratitude for help; Chinese authors differed from the westerners in that the former evaded copyright matter while latter did not, and the former used self-degrading expression when evaluating their works while latter did not [4]. Qin Dihui analyzed the general structures of the prefaces of Anglo-American scientific books, and found that a preface was generally composed of three parts: authors' opening, chapter introduction and acknowledgements [19].

Through analysis, Li Jian [5] and Zhao Yu [9] identified moves and steps in book prefaces; in addition, Li Jian distinguished obligatory from optional components of generic moves. Based on theory of Hasan's "Generic Structure Potential" and Swales' and Bhatia's genre models, and with qualitative and quantitative methods, Li Jian analyzed generic patterns of English textbook prefaces, in addition to the persuasiveness of textual metadiscourse and evaluative language, this study also found that there are eight moves (and seven steps)

concerning prefaces of the textbook prefaces: Move 1, *Stating the Purpose or the Intended Scope (five steps are:*1, making general introduction; 2, stating general field or subject of the book; 3, stating the specific topic(s) covered in the book; 4, stating purpose or objective of the writing of the book; and 5, describing the subject treatment in the book); Move 2, *Describing and Justifying the Elements Included in the Text*); Move 3, *Explaining Terms and Conventions Used in the Book (two steps are:*1, defining terms used in the book; 2, explaining conventions and notations used in the book); Move 4, *Describing the Contents of Each Chapter*; Move 5, *Giving Instruction on How to Use the Book*; Move 6, *Stating origin of the book*; Move 7, *Describing the audience*; and Move 8, *Making acknowledgments*. Among these eight moves, Move 1, Move 2, Move 5, Move 7 and Move 8 are obligatory whereas Move 3, Move 4 and Move 6 are optional, the move sequence is changeable except Move 1 and Move 8, which appeared invariably at the beginning and in the end respectively [5]. After an analyses of genre structure (and linguistic patterns) of self-prefaces of 60 linguistic monographs, Zhao Yu found that the generic structure of the prefaces of academic monographs in linguistics are mainly composed of seven moves: Move 1, *Justifying the book* (two steps are: Gap in the current research; Significance of present study); Move 2, *General information of the book* (three steps are: Origin and development of the book; Territory of the book; Referential sources), Move 3, *Establish credentials*; Move 4, *Book Description* (four steps are: Targeting the readers; Goals and theme; Organization and contents; Features & Advantages); Move 5, *Usage of the book* (three steps are: Editorial arrangement; Reading suggestions, Additional words); Move 6, *Acknowledgments* (Thanks for academic assistance, providing resources, comment and suggestion, family and friends); Move 7, *Future prospects* (three steps are: Responsibility; Expectations; Belief), and among these seven moves, the obligatory ones are only Move 4 and Move 6 [9]. In addition to book prefaces, Alireza Jalilifar & Zeinab Golkar Msavi analyzed introduction and foreword of seventy-five books in applied linguistics, they found that preface, foreword and introduction share a lot on the schematic structures: *Describing the Books' Focus*; *Expressing Gratitude*; *Specifying the Purpose*; *Specifying the Readership*; *Claiming Centrality*, while introduction lacks *Establishing the Genesis of the Book* and foreword *Outlining Organization* [20].

2.2.4 Comparative Studies Across Languages and Disciplines

Comparative studies on generic structure of prefaces have been conducted by Cai Hongnv, Abdollahzadeh & Salarvand's, Hoda Mohsenzaden, Wang Shuhui, and Lu Yun. Cai Hongnv made a contrastive study on the macro-level of rhetorical characteristics and micro-level of interpersonal rhetorical strategies between Chinese and English book prefaces in economic books, she found that at the macro-level there were no intrinsic differences between Chinese and English though differences exist in *Gap* move and *Acknowledgement* move; the analysis of interpersonal resources such as modal verbs, hedges and pronouns showed both Chinese and English use similar devices to establish a desirable relationship with readers though English writers are better in pulling the readers closer while the Chinese writers are likely to distance themselves from the readers [21]. To identify the generic structure, linguistic features and potential disciplinary differences of prefaces, Abdollahzadeh & Salarvand focused on academic book prefaces from three disciplines, namely, management, metallurgy and mathematics, and they found that there was no significant difference in using the moves and steps among the book prefaces in the three disciplines on the whole, and that book prefaces fulfilled a promotional purpose besides their common informative purpose [10]. Hoda Mohsenzaden's comparison of move analysis of forty literature book prefaces between English and Persian (twenty in each language) indicated that the obligatory moves in the English corpus were found to be *General Statement about or General Decision of the Book*, *Information about the Chapters or Other Volumes*, while the obligatory moves in Persian prefaces were found to be *The Significance of the Topic*, *General Explanation* about the Topic, and *Acknowledgements* [22]. Through qualitative and quantitative methods, Wang Shuhui analyzed the generic structure and linguistic features of forty self-prefaces in linguistic monographs (twenty for Chinese and English respectively), and she found that generic structure of self-prefaces in both Chinese and English linguistic monographs consisted of seven moves: Move 1, *Stating the Field*; Move 2, *General Information of the Book*; Move 3, *Book Description*; Move 4, *Usage of the Book*; Move 5, *Acknowledgements*; Move 6, *Self-abasement*; and Move 7, *Signature*. The study also found that each move contained several steps; that Chinese and English differed in the distribution and use of moves in self-prefaces, namely, in Chinese prefaces, Move 1, Move 2, Move 6 and Move 7 are obligatory while in English, Move 1, Move 2 and Move 3 are; that the use of modal verbs, pronouns, voice, tense and parallelism were different in Chinese and English self-prefaces [23]. Based on Martin & White's appraisal framework, Lu Yun compared 10 other-prefaces in English and Chinese respectively, she found that in terms of Attitude, the evaluative resources in Chinese and English share overall distribution though differences in realization also exist; in terms of Engagement, evaluative resources share similar distribution though differences are also found in their lexical realization, especially at the level of Dialogic Expansion; in terms of Graduation, evaluative resources in both distribution and realization display an apparently similar pattern at the level of Force [24].

2.3 Comments on Previous Studies on Preface

Although the previous research on book prefaces has generated interesting findings, at least three inadequacies have been found. Firstly, most of these studies separated the analysis of linguistic features from that of generic structures (e.g., move), in other words, they dealt sequentially with generic structures first and then some linguistic features, but did not explore how genre structure (e.g. move) were realized by linguistic means. Secondly, the findings from these research were not related to each other, in other words, researchers just went their own ways while discussing their findings. A research is more meaningful in terms of intertextuality, namely, the significance of a research is made salient when it is related to previous ones. Thirdly, the previous work on preface lacked a reasonable analytical framework for linguistic part, thus did not contribute considerably to the study of book prefaces. Based on a carefully thought-out analytical framework, the present study aims to examine the book prefaces by integrating generic structure with linguistic analysis, and to discuss its findings in relation to those of the previous scholars.

3 Research Design

3.1 Research Questions

This study attempts to address the following two questions:

(1) What are the macro-structures (moves and steps) of the prefaces Chinese linguistic and applied linguistic monographs?

(2) How are these macro-structures (e.g., moves) realized by linguistic resources?

3.2 Analytical Framework

To address the two above-mentioned research questions, in addition to generic structure analysis (moves and steps) as usually practiced by previous scholars, I will also try to conduct a meta-function (ideational, interpersonal and textual) analysis of prefaces[2]. The framework for this study is as follows.

1. Genre analysis

(1) Moves

(2) Steps

2. Meta-function analysis

(1) Ideational function, mainly transitivity (and process types in particular)

(2) Interpersonal function, mainly modal verbs and personal pronouns

(3) Textual function, mainly conjunctions

Swales' Genre Analysis Model, since its inception, has been confirmed and modified by later scholars, is now quite mature, I will transfer the essence of this model (not the exact move and steps) in my analysis. In the following section, I will explain a little bit about the incorporation of meta-function analysis in the above mentioned framework.

There are three levels in Bhatia's multi-dimensional models for written discourse analysis, namely, discourse as text, discourse as genre, and discourse as social practice [25]. And in his later model, "discourse as professional practice" [14] had been added, but in Bhatia's model and its modified version, "discourse as text" and "discourse as genre" has not been bridged. Systemic-functional linguists, however, held that genre is realized by register, which in turn is realized by language [26-29]. Dudley-Evan suggested Martin's classification be adopted [when doing discourse analysis] [30], namely, adding register between genre and language. According to systemic-functional linguistics, the field, tenor and mode of register corresponds to three ideational, interpersonal and textual (three meta-functions of language), as is indicated in Table below:

Table 1 The Relationship between Register and Meta-function

Register	Meta-functions
field	ideational
tenor	interpersonal
mode	textual

According to Halliday, register and metafunction are hooped up, thus, though register bridges the gap between genre and language [31, 32], in my framework, I focus on metafunction since field, tenor and mode of register are intangible for detailed linguistic analysis.

3.3 Corpus

This study is intended as part of a large project named as "Genre Hybridization in Prefaces and Forewords", for which English and Chinese will be involved in terms of language, history, law, economics, and linguistics from humanities, and chemistry, physics, electronics, medicine from natural sciences in terms of disciplines. 30 prefaces and forewords from each discipline will be collected, and 240 prefaces and forewords respectively will hopefully be collected.

As far as the present study is concerned, I will merely focus on genre and linguistic analysis of 10 prefaces in Chinese linguistic monographs. These 10 prefaces have been extracted from monographs based on authors' doctoral dissertation in linguistics and applied linguistics. The size (characters) of prefaces is set as Table 2 below[3]:

Table 2 The Size of Preface Corpus.

No.	Number of Characters	No.	Number of Characters
1	3348	6	3090
2	1668	7	1990
3	1599	8	2274
4	1872	9	2386
5	2104	10	1270

4 Results and Discussion

4.1 A Genre Analysis of Prefaces

My analysis of data (10 texts) reveals 4 moves: Move 1, *Introducing the Research*, Move 2, *Introducing the Book*, Moe 3, *Expressing Gratitude,* and Move 4, *Self-gradating and Soliciting a Response*.[4] In addition, 12 steps have also

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2 The analysis of moves (and steps) together with evaluative lexis, modal verbs and pronouns so on is not new, however, my study differs from the previous ones in following a framework with new element (transitivity).

3 The total number of the characters of the prefaces is 21601 in character.

4 At present there is no tool that can automatically tag move and steps.

been revealed[5]. Compared with previous research, the moves in mine are fewer in number. For example, Li Jian found eight moves [5], while Wang Shuhui seven [23], the differences may lie in corpus differences or different ways of categorizing moves. Li Jian's corpus consists of English textbook prefaces, in which *Explaining Conventions Used in the Book*, *Giving the Instruction on How to Use the Book*, and *Describing the Audience* may be particular to textbooks [5], while my corpus is about monograph prefaces, the conventions are almost known to academic circles, readers accessing to monographs are presupposed to know how to use academic works, and readers are intended to be scholars which may be marked by notice through series as Text 1, 7 or 8, the information, either supposed or marked, needs no explicitly mentioning in prefaces. There are seven moves in Wang Shuhui's study because she divided mine "*Introducing the Book*" into "*General Information of the Book*" and "*Book Description*", and added "*Usage of the book*", and "*Signature*" [23]. It is my belief that Wang's division of my Move 2 into two is not necessary, since they both introduce the book though one in general while one in detail; as mentioned above, readers of monographs are supposed to know how to use a book, especially in linguistics field; signature, meaning-thin and individualistic, the mentioning of which could not help a preface to gain added value.

The moves and steps that realized them will be exemplified hereafter. For Move 1 (*Introducing the Research*), there are four steps, "Introducing the field/topic", "Reviewing the previous research", "Indicating the problem/gap", and "Justifying the research". These four steps are illustrated with Examples 1 to 4.

Example 1:写作能力的培养是外语／二语学习者面临的最大难题之一(Developing writing ability is one of the obstacles facing foreign or second language learners). Introducing the field/topic, Text 4

Example 2: 语言学界对及物性的研究一般是从两个角度进行的：一是词汇语法，二是语义。二者从互不干涉到相互影响，尤其是语义角度日益得到人们的重视 (Research on transitivity in linguistic circle is usually conducted from two perspectives, one of which is lexico-grammatical while the other is semantic. Originally these two perspectives paralleled while now they interfere,

and semantic perspective is increasingly attracting researchers' attention). Reviewing the previous research, Text 2

Example 3: 但目前，人们对二语语篇阅读理解中预期推理的加工过程及影响其加工的因素仍不甚了解 (However, up till now, we have not yet known much about the process of expectable inference during L2 reading and the affecting factors). Indicating the research gap, Text 5

Example 4: 本研究还结合现有的写作模式对学生语篇呈现的语类结构进行了评价，提出了较为完善的语类结构模式，以利于更好指导中国学生的论文写作，使之更快地与国际英语学术论文写作接轨 (After evaluating the genre structure emerged in students' essays with available modes of writing in view, this study proposed a quite reasonable genre structure, so as to better help Chinese students in their argumentative writing and to help them to keep pace with international English academic writing). Justifying the research, Text 6

In Move 1, these four steps help the readers to know the background of the research, the topics or gap to be addressed, and the purpose of the research topic. This move brings the readers closer to a field, serves the basis for the content to be introduced in Move 2 below, and has a sketchy view of the contribution of the research.

For Move 2 (*Introducing the Book*), there are also four steps, "Introducing the origin of the book", "Defining terms"[6], "Introducing the content of the book", and "Introducing the value of the book". These steps are exemplified with Examples 5 to 8[7].

Example 5: 本书作为上海外语教育出版社"英语博学文库"中的一本，是在我的博士论文基础上进一步完善而成的(As one among the "English Learned Series" published by Shanghai Foreign Education Press, this book grew out my Ph.D thesis but with further revision). Introducing the origin of the book, Text 7

Example 6: 预期推理是读者对语篇中将要发生的事件的预测 (Expectable inference refers to readers' prediction on the events about to occur in the text). Defining terms, Text 5

Example 7: 在本书中笔者使用在线和离线相结合的实验方法，考察二语语篇阅读理解中预期推理的加工

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5 Some steps may occur in other moves as well, for instance, "Reviewing the previous research" may occur in "Introducing the research", "Introducing the book", and even in "Self-gradating and soliciting response", in this study we count a step once even though it may occur more than once.

6 Also occur in Move 1, but rarely.

7 Examples for Step 3 in Move 2 (Introducing the content of the book) are too long, we only exemplify with part of the example for space's sake.

过程及影响预期推理激活和编码的因素(Through empirical methods combining both online and offline, the author explored the process of expectable inference in L2 reading and the factors that influence inference priming and coding). Introducing the content of the book, Text 5

Example 8: 本研究的发现在理论、研究方法和二语写作教学三个方面均有比较重要的意义(This study is important in terms of three aspects: theory development, research method, and L2 writing instruction). Introducing the value of the book, Text 3

Examples 9 to 12 exemplify how the three steps, "Expressing gratitude to supervisor(s)", "Expressing gratitude to other teachers or scholars from other institution(s)", "Expressing gratitude to family members" realize Move 3. These three steps help the readers to gain a further understanding of the research, especially its value, both theoretical and practical. The steps in Move 2, together with steps in Move 1, through their information and evaluation, to a large extent, help the readers to judge the academic contribution of the book, are thus more important in their final decision-making. Comparatively, Move 3 and the steps realizing them, showing authors' awareness of being thankful academically, are auxiliary. The steps are illustrated with Examples 9 to 11 below.

Example 9: 在此要感谢我的导师 Prof. Steve Andrews, Dr. Jasmine Luk、Prof. Chris Davison 和 Dr. Gary Harfitt (I am grateful here to my supervisor Prof. Steve Andrews, Dr. Jasmine Luk, Prof. Chris Davison and Dr. Gary Harfitt). Expressing gratitude to supervisors, Text 9

Example 10: 其次，感谢上海外国语大学的老师。通过选修认知语言学、语义学、社会语言学、语用学、英

语测试、文学理论等课程，我领略到诸多名家风采，受益良多(Secondly, I want to thank my teachers from SISU. I have known quite a lot about these famous scholars and benefited considerably from them from their classes such as cognitive linguistics, semantics, sociolinguistics, pragmatics, English testing, literary theory, and so on). Expressing gratitude to other teachers, Text 7

Example 11: 同时感谢我的家人和朋友，没有他们的默默支持和奉献，我难以顺利完成此书(I should also thank my families and my friends without whose support and help, it would be extremely difficult for me to complete this book). Expressing gratitude to family members, Text 7

Auxiliary roles are also played by Move 4 and steps realizing it, which show the authors' quality of being modest. This Move is realized by two steps, namely, "Indicating possible shortcomings" and "Soliciting a response", which are illustrated by Examples 11 and 12.

Example 12: 但由于篇幅所限，难免挂一漏万，在讨论的深度上也有欠缺,……(Due to the limit on the length, it is evitable that I have neglected something. In addition, something is also desired in terms of the depth of the discussion,…) Indicating possible shortcomings, Text 1

Example 13: 请读者朋友不吝赐教(Please feel free to offer your comments and suggestions). Soliciting a response, text 10

The combination of the moves and steps is expected to help the readers to better judge a book and then make an wise decision. The distribution of moves and steps in preface are set in Table 3 below.

Table 3 The Moves and Steps in the Preface

Moves/steps	Distribution in corpus
Move 1 Introducing the research	1, 2, 3, 4, 5, 6, 7, 8, 9, 10
Step 1 Introducing the field/topic	1, 2, 3, 4, 5, 6, 7, 8, 9, 10
Step 2 Reviewing the previous research	1, 2, 3, 4, 5, 6, 7, 8, 9, 10
Step 3 Indicating the problem/gap	1, 2, 3, 4, 5, 6, 7, 8, 10
Step 4 Justifying the research	1, 2, 3, 4, 5, 6, 7, 8, 9, 10
Move 2 Introducing the book	1, 2, 3, 4, 5, 6, 7, 8, 9, 10
Step 1 Introducing the origin of the book	1, 7, 8
Step 2 Defining terms	1, 2, 5, 8
Step 3 Introducing the content of the book	1, 2, 3, 4, 5, 6, 7, 8, 9, 10
Step 4 Introducing the value of the book	1, 2, 3, 4, 5, 6, 7, 8, 9, 10
Move 3 Expressing gratitude	7, 8, 9
Step 1 Expressing gratitude to supervisor(s)	7, 8, 9
Step 2 Expressing gratitude to other teachers or scholars from other institution(s)	7, 8, 9
Step 3 Expressing gratitude to family members	7, 8, 9
Move 4 Self-degradation and soliciting a response	1, 5, 6, 7, 8, 10
Step 1 Indicating possible shortcomings	1, 5, 6, 7, 8, 10
Step 2 Soliciting a response	1, 5, 6, 7, 8, 10

It can be seen from Table 3 that Moves 1, 2 and 4 are "obligatory" [27] in that Moves 1 and 2 occur frequently in all the texts of our corpus[8], while Move 4, though not as frequent as Moves 1 and 2, occur quite frequent, all of these three moves met the cut-off point (60%). Move 3 are "optional" (ibid) (only 30%, less than 60%, the cut-off point). Our findings are partly in line with the previous research such as Li Jian, Zhao Yu, and Wang Shuhui [5, 9, 23], and so on. Part of Li Jian's Study showed that "Stating the purpose or intended scope" and "Describing and justifying the elements included" are obligatory [5], which is similar to or is covered in "Introducing the Research" and "Introducing the Book" in our research; Zhao Yu's study indicated that "Book Description" is one of the obligatory moves and this is similar to "Introducing the Book" in the present study [9]; Wang Shuhui's study showed that "Stating the Field", "General Information" in Chinese are obligatory [23], which is similar to our "Introducing the Field". Our study shares part of the findings with the previous research because all of us have focused on the same genre: prefaces, which are mainly informative though also persuasive to some extent. However, differences can also be found between our study and the previous ones. For example, Li Jian's research indicated "Acknowledgements" occurred at the end of a preface [5], while our showed that "Self-grading and Soliciting a Response", if there is one, it always ends a preface, the difference may lie in the fact that different nature of corpus: Li Jian focused on English textbooks while mine linguistics monographs.

Also in Table 3, we can see that "Indicating the problem/gap" in Move 1 did not appear in Text 9. A close examination of this text showed that the author had claimed her study is the first one in China context, implying there is no so called "problem/gap" at that time.

In Move 2, "Introducing the origin of the book" and "Defining terms" occurred in four texts and three texts of the corpus respectively. For the former, we find these three books were included in the series for doctors' monographs, and mentioning the origin of the book may establish credential for the work and help the authors to gain more readerships. For the later, we find that three out of the four texts are mainly about theoretical linguistics,

thus defining terms may be extremely necessary, without which readers unfamiliar with the terms will feel daunting and might give up reading at last. While in the fourth one which is applied linguistics in nature, the term "预期推理" (expectable inference), the backbone of the research, is a psychological term, differing from the term's normal use, if not properly defined, it may not arouse readers interest in the research/book.

From Table 3, we can also see that "Expressing Gratitude" exist only in three texts in our corpus, this is also the case with the three steps, which is similar to Feng Wenhe, Hoda Mohsenzaden and Wang Shuhui [4, 22, 23]. Feng Wenhe's comparative study of the prefaces written by Chinese and westerners indicated that 85% of the authors expressed gratitude for help, [of course an obligatory move] [4]. While in the latter two studies, "Acknowledgments/Expressing Gratitude" (similar or same to my "Expressing Gratitude") is either optional or occurs infrequently [22, 23]. In addition, "Expressing Gratitude" in my study differs from Li Jian and Zhao Yu, and Alireza Jalilifar & Zeinab Golkar Msavi as well, in these three studies "Acknowledgments/Expressing Gratitude" is obligatory [5, 9, 21]. One thing might be certain, that is, the texts in my corpus are based on PhD thesis, for which "Acknowledgments" is a must, while turning the theses into books, in addition to following the publisher's requirements, the authors found the preface is the right place for them to express thanks to those who once helped him or her during the thesis writing. Since I have not seen the corpus of the previous studies involved here, I could not give the "Expressing Gratitude" a reasonable account here.

From Table 3 we can still see that "Self-degradation and Soliciting a Response" is rather frequent in prefaces, this is different from Feng Wenhe [4] but similar to Wang Shuhui [23]. Feng showed that when evaluating their works, westerns did not use self-expressions, implying westerners' confidence in their works [4]. Similar to mine, Wang indicated that "Self-abasement" is an obligatory move in Chinese book prefaces, which may be due to our Chinese virtue of being modest [23]. Following "Self-Gradation" is "Soliciting a Response", similar to Zhao Yu's "Expectations", which may show either authors' eagerness to interact with readers [9], or just as a way of being polite since all the authors did not leave behind contact methods of any kind.

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8 Though a step appears once, we may count it in; Jing Weining and Xin Bin determined whether a move is obligatory or nor with the cut-off percent of no less than 95% [18], while Hoda with 60% [23], we refer to the latter because the former is too rigid.

4.2 Meta-functional Analysis of Prefaces

Halliday made it clear that his aim [of writing Functional Grammar] "has been to construct a grammar for purpose of text analysis: one that would make it possible to say sensible and useful things about any text, spoken or written, in modern" [31]. Since his grammar was originally based on the study of Chinese, it is reasonable to believe that it may also be applicable for us to analyze Chinese discourse. And in this study we try to use Halliday's SFG to analyze prefaces.

Halliday's metafunction consists of three integral parts: ideational, interpersonal, and textual. Ideational function enables us to use language to talk about our experience of the world [33]. Interpersonal function helps us to use language to interact with other people, to establish and maintain relations with them, and so on [34]. Through textual function, we organize our messages in ways that indicate how they fit in with the other messages around them and with the wider context in which we are talking or writing [33]. Metafunction is extremely delicate, thus we are unable to display it in our analysis in an all around way. When analyzing ideational function, we will focus on four main processes of transitivity system; as for interpersonal function, we will concentrate on modal verbs and personal pronouns; while for textual function, we will pay attention only to conjunctions.

4.2.1 Transitivity Analysis in Ideational Function

The transitivity system construes the world of experience into a manageable set of processes [32]. It has been studied extensively in stylistic [34] and critical linguistics [35], and also in scientific discourse[9]. Huang Ping (2008) was one among those used transitivity analysis in [English] academic discourse [36]. These previous studies have proved transitivity system an effective tool for discourse analysis in English texts. We, in this study, try to use transitivity system in Chinese discourse analysis.

According to Halliday and Halliday & Mathiessen, there are three major processes (material, mental, and relational) and three minor ones (behavioral, verbal, and existential) for transitivity [31, 32]. In this study, we focus on the three main processes and a minor one (verbal process) which is quite frequent in Move 1 (*Introducing*

9 Refer to Huang Ping [36].

the book). The four processes will be defined and illustrated with examples in the sections below.

Material processes are processes or doing or happening. Its typical formula is "Actor + Process (Material) + Goal", in which *Actor* is [the participant that is] the doer of an action, *Goal* is [the participant] that is affected [33]. Material process is exemplified through Examples 14 and 15 below.

Example 14 语篇类型的及物性制约 [Goal/Agent affected]就是集这两个学科的精髓[Manner]产生的 [Pro-Creative] (The constraints on transitivity of text type comes from the essence of these disciplines). Text 2

Example 15 全球化程度的日益深入[Actor]，提升了 [Pro-Transformative]英语作为文化资本的价值(The deepening of globalization has added value to English as a cultural capital). Text 10

Example 14 represents a material process in which the essence of two disciplines: *Systemic Functional Linguistics* and *Cognitive Linguistics* (两个学科的精髓), which leads to the constraints of transitivity on text type (语篇类型的及物性制约), and is thus creative. Since English existed before globalization, therefore in Example 15, the further development of globalization (全球化程度的日益深入) has added value to English as a cultural capital (英语作为文化资本的价值), and it is thus transformative.

Mental processes are processes of sensing, such as perception, emotion, reaction, recognition and so on, there are four types, namely, perceptive, emotive, cognitive, and desiderative [33]. Its typical formula is "Sensor + Process (Mental) + Phenomenon", in which the sensor is usually animate being. Mental process is illustrated through Examples 16 and 17 as follows.

Example 16 所收集的证据[Sensor]既可以证明、支持 [Process-Cognitive]自己的假说(The evidences collected help prove and corroborate one's own hypothesis) [Phenomenon]. Text 2

Example 17 在英语教育实践过程中，教育决策部门 [Sensor]在编写教材、设计测试和进行学习评估以及教师在课堂教学过程中，需要考虑[Process-Desiderative] 社会阶层的因素(The authorities need to take into account the factor of social class when compiling textbooks, designing tests, conducting evaluation, so does teachers during their classroom teaching). [Phenomenon]. Text 10

In SFL, verbs like *know* (知道), *support* (支持) and so

on, are typical of cognitive process, and *want* (想), *need* (需要), and so on of desiderative process. In Example 16, therefore, the evidence collected (所收集的证据) can help one to make his or her own hypothesis (自己的假说) stand, leading to cognitive triumph. In Example 17, "…the authorities need to take into account the factor of social class" (教育决策部门需要考虑社会阶层的因素) shows the researcher's desirability or hope from the relevant department to better [English] teaching practices.

Relational processes are to set up the relationship between two concepts, and there are two types of relationships, one is attributive in which an object possesses a quality, and another is identifying in which one entity is identified in terms of another [33]. They are illustrated through Examples 18 and 19.

Example 18 语篇类型的及物性制约研究的[Identifier] 是[Process]作为小句构成关系的语言与作为语篇构成关系的语言之间的关系[Identified] (The study on the constraints on transitivity of text type tries to identify the relationship between language and culture constructed by language as clausal configuration and language as textual configuration). Text 2

Example 19 从社会阶层视角来探究学生学习动机 [Carrier]也 [Process-Omitted]不多见[Attributive] (Few studies have been found exploring learners' motivation from the perspective of social class). Text 10

In Example 18, what the constraints of transitivity on text type studied (语篇类型的及物性制约研究的) and the relationship between language as clausal configuration and language as text configuration (作为小句构成关系的语言与作为语篇构成关系的语言之间的关系) are the same, the former is used to identify the latter, in other words, their places can be exchangeable without affecting meaning conveyed. In Example 19, studies on learners' motivation from the perspective of social class (从社会阶层视角来探究学生学习动机) is the Carrier, which has the attribute of being few (不多见). They both exemplify the relation between two things (entities). It should be noted that in English, link verbs such as "be" should be made explicit, while in Chinese link verbs may be omitted as Example 18 shows.

Verbal processes are the process of "saying" with the typical formula "Sayer + Process + Verbiage" in which the "Sayer" is the conveyor of message (not necessarily human being) and the "Verbiage" is the message to be conveyed [33]. They are illustrated with Examples 20 and 21.

Example 20 第三、四、五章 [Sayer]进一步阐释 [Process-Verbal]并改进系统功能语法原有的及物性观点 [Verbiage] (Chapters Three, Four, and Five will elaborate and amend the original views on transitivity from the perspective of systemic-functional grammar). Text 2

Example 21 第三章 [Sayer]开篇详细阐述了 [Process-Verbal]本研究的两个核心研究问题以及与之相关的八个研究假设[Verbiage] (Chapter Three begins by elaborating the two key research questions of this study and eight hypotheses related to these questions). Text 10

For verbal process, the typical verbs are *say* (说), *tell* (告知), *explain* (解释、阐释), and so on. In Example 20 and Example 21, the authors tried to convey message in Chapters Three to Five and Chapter Three respectively to the readers.

The frequencies of the four processes used in the moves are set in Table 4 below[10]. Note that we use permillage (calculated by (frequency/whole size of text) *1000) instead of percentage because of the limited size of our corpus.

Table 4 The Frequency of the Processes Types in the Moves

Moves Processes	Introducing the Field		Introducing the Book	
	Text 2 (1203)	Text 10 (826)	Text 2 (526)	Text 10 (384)
Material	16(13‰)	8(10‰)	9(17‰)	3(7‰)
Mental	11(9‰)	7(8‰)	2(3.8‰)	0
Relational	18(15‰)	8(10‰)	4(7.6‰)	3(7‰)
Verbal	0	1(12‰)	7(13‰)	6(16‰)

From Table 4, it can be seen that among the four processes, relational process, material process, and mental process occur more frequently in "Introducing the Field", while in "Introducing the Book", material process, verbal process and relational process are relatively frequent. This suggests that different parts of the prefaces (moves) favor different processes types; material process and relational process are favored by both "Introducing the Field" and "Introducing the Book". The findings here are not the same with what Halliday's (2000) claim about transitivity system that material process, mental process, and relational process are three major processes while verbal

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10 "Expressing gratitude" did not appear in either Text 2 or Text 10; "Self-Gradating and Soliciting a response" did not occur in Text 2 but in Text 10 (once in mental process, twice in Existential process). The frequencies of processes in these two moves are not reported in Table 4.

process belongs to minor process [31]. This may be due to the fact that Halliday based his research on general English corpus, mine on academic Chinese. Mine is similar to Martinez, Huang Ping, and Behnam and Zamanian [36-38]. Martinez's study on the impersonality on research article showed that there was a different concentration of voice in the sections: The "Introduction" contained the highest percentage of verbal and mental processes; "The Method" section was dominated by material processes, with a low percentage of verbal, mental and relational processes; "The Result" section and the "Discussion" section was dominated by relational and existential processes [37]. Huang Ping's study on RA abstracts in English showed that, to a large extent, mental process occurs less frequent than verbal process [36]. Behnam and Zamanian's study of RA abstracts showed that in "Results" and "Discussion" sections, verbal process occur more frequently than material process in both *Applied Linguistics Journal of Tabriz* and *Applied Linguistics Journal of Oxford*; in *Applied Linguistics Journal of Oxford*, verbal process also surpasses mental and relational process in "Introduction" and "Method" sections [38]. Small as our corpus is, while with the research by Martinez, Huang Ping, and Behnam and Zamanian [36-38], we may tentatively draw a conclusion that processes in transitivity system may vary across text types, move types and languages.

4.2.2 Personal Pronouns and Modal Verbs

In addition to trying to convey their research to readers in an objective manner (informative), preface authors, in order to fulfill their promotional purposes, also try to interact with potential readers. Personal pronouns and modal verbs are two typical resources for the latter purposes.

Tools at our disposal cannot help us to tag personal pronoun or modal verbs automatically, thus we first tagged our corpus in terms of pronouns and verbs, then we did concordance with tags (/r for pronouns and /v for verbs), and finally we manually checked to determine personal pronouns in concordance lines of "pronouns" and modal verbs in "verbs". The tool for tagging our corpus is Corpus Words Parser released in 2013 by The Ministry of Education Institute of Applied Linguistics. And the concordance tool for our corpus is AntConc 3.4.4, a free tool functionally comparable to Wordsmith Tools.

The use of personal pronoun and modal verb are illustrated in Examples 22 and 23 below[11].

Example 22 关注/v 通感/n 的/u 认知共性/n，/w 我们/r 是不是/v 可以/vu 对/a 其/r 文化/n 个性/n 进行研究/v (As for the cognitive commonality of synaesthesia, we may explore its uniqueness of cultural aspect). Text 8

Example 23 收集/v 的/u 证据/n 可以/vu 证明/v 、/w 支持/v 自己/r 的/u 假说/n (The evidences collected help to corroborate one's own hypothesis). Text 2

The use of "we" (我们) in Example 22 helps to get the readers involved, bringing them closer to preface writer, similar purpose was achieved by preface writer in Example 23 through "could"(可以), which sounds less absolute and shows that the researcher is modest, thus may help to win the readers over.

The frequencies of personal pronouns and modal verbs under each move are set in Table 5 below. Note that we use permillage as we did with process type in Table 4.

Table 5 The Frequency of personal pronouns and modal verbs in moves

	Move 1 (6107)	Move 2 (3297)	Move 3 (1282)	Move 4 (574)
Personal Pronouns	52(8.5‰)	18(5.5‰)	48(37.2‰)	3(5.2‰)
Modal verbs	49(8‰)	16(4.9‰)	9(7‰)	5(8.7‰)

It can be seen from Table 5 that the use of personal pronouns ordered from most frequent to least frequent in terms of move is: Move 1 > Move 3> Move 2 >Move 4. Move 1 and Move 3 show more preference over Move 2 on the personal pronouns because in Move 1, the preface authors, more often than not, compare their own research with the previous ones, in order to avoid unnecessary repetition, they may use personal pronouns to refer to themselves and previous scholars, also because they use possessive pronouns to refer to their own research or to those of the previous researchers. In Move 3, after mentioning the person(s) or institution the authors want to thank, they often use pronouns to show their impersonality. While in Move 2, the preface authors usually introduce their own research, comparison with others' research is not as common as in Move 1, and expressing impersonal meaning is not necessary, thus personal pronouns do not occur frequently.

It can also be seen from Table 5 that the occurrence of modal verbs from the most to the least in terms of moves is: Move 1>Move 2>Move 3>Move 4. When introducing

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11 Examples here and hereafter are concordance lines, not the full sentences.

the field (Move 1), the preface writers usually harbor some reservations when they compare their research with the previous scholars' (reviewing the previous research) and they try to avoid being criticized by others when indicating a research gap, they prefer to use some hedges to avoid being too critical, modal verbs is an alternative for this purpose. In Move 2, the authors are expected to introduce their research (research question, participants, procedures, materials and so on), objectivity is more important, thus the preface authors do not use too many hedging devices for which modal verbs is only one type.

4.2.3 Conjunctions

Conjunction is one kind of the most important resources for constructing a text. Using conjunction may help readers to better follow the author, thus in this study we try to use conjunction as a lens to see to how the authors organize their prefaces so as to help their intended readers to figure out what they want to convey in an efficient as well as effective way. According to Halliday and Hasan's Cohesion Model, there are two kinds of cohesive devices, namely, intrasentential and intersentential [39], as the names suggest that the former is the devices within a sentence and the latter between sentences. As one category of cohesive devices, conjunction can also be divided into two groups: intrasentential and intersentential, both kinds will be illustrated respectively by *at the same time* (同时) in Example 24 and *however* (但) in Example 25.

Example 24 观念/n 对/a 投资/v 行为/n 产生/v 直接/a 影响/n，/w 同时/c 对/a 学生/n 英语/n 学习/v 动机 /n 产生/v 间接/ a 影响/n (Concept affects investment behavior directly, meanwhile it affect learners' motivation indirectly). Text 10

Example 25 这/r 无疑/d 是/vl 一条/r 假想/v 的/u 捷径/n. /w 但/c 在/p 科学/n 探索/v 的/u 漫长/a 道路 /n 上/p... (This is indeed an imagined path, but on the way to the long route of scientific exploration …) Text 2

Since tagging of conjunction is possible for almost all kinds of parsers or taggers, using the parser and concordance tool mentioned in Section 4.2.2, we tagged and then extracted with tag (/c) the frequency of conjunctive items in our corpus. The frequencies of conjunction used in moves are presented in Table 6 as follows. Note that permillage is also used here.

Table 6 The Frequency of conjunction in Moves

Move 1 (6107)	Move 2 (3297)	Move 3 (1282)	Move 4 (574)
151(24.7‰)	314(23.6‰)	37(29‰)	25(44‰)

On surface, it can be seen from Table 6 that the occurrence of conjunctions ordered from most frequent to least frequent in terms of move is: Move 4 > Move 3> Move 1 >Move 2. However, this conclusion is as tentative as we did with personal pronouns and modal verbs, first because the corpus size is not large (only 21260 in character); Secondly because Moves 1 and 2 are shared by all the ten texts while Texts 7, 8, and 9 have Move 3, and Texts 1, 5, 6, 7, 8, 10 Move 4. The uneven distribution of Moves 3 and 4 among the corpus also prevents us from drawing a firm conclusion here. It is certain that more work should be done to figure out the use of conjunction [as well as personal pronouns and modal verbs] in prefaces. Though this is the case, we can find that Moves 1 and Move 2, being mainly informative, use conjunctions in a similar way, while Moves 3 and 4, mainly interpersonal, differ considerably in using conjunctions, indicating the use of conjunctions may vary more or less across moves (e.g., purposes).

5 Conclusion

Through analysis of the generic structures and linguistic features of ten Chinese monographs in the field of linguistics and applied linguistics, we find that in these prefaces, there are four moves and twelve steps, some moves and steps are obligatory while others are optional; some occurs in some kind of texts but not in other texts. As for transitivity analysis, among the four processes, relational process, material process, and mental process occur more frequently in "Introducing the Field", while in "Introducing the Book", material process, verbal process and relational process are relatively frequent. The use of personal pronouns in Moves 1 and 3 are more frequent than in Move 2. Modal verbs occur more frequently in Moves 1 and 2 but less so in Moves 3 and 4. The use of conjunction display radically different route, it occurs more frequently in Moves 4 and 3 than in Moves 1 and Move 2. Move and Steps vary to fields of prefaces as well as parts of it; Transitivity, pronouns, modal verbs, and conjunctions vary to the moves and steps and to the fields the prefaces belong as well.

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