Chapter 2
Theoretical Foundation

Abstract The present research is mainly informed by Sydney School SFL genre theories (predominantly from Martin 2004; Martin and Rose 2008; and Rose and Martin 2012). In alignment with these theories, it analyzes its data at three interrelated levels: register, genre, and ideology. Lee's (2011) study of the ESL classroom genre is used as a baseline in order to reveal how the Mock Teaching discourse simulates and adapts the pedagogic genre. It brings in Bernstein's (1990, 1996, 2000) theory of pedagogic identity to discuss the privileged pedagogic identity realized in the post-contest comments on the Mock Teaching genre given by the contest adjudicators. This chapter briefly introduces these theories in turn and explains how they are related with the present research.

2.1 Approach to Genre

2.1.1 SFL Theory

According to Halliday and Hasan (1989, pp. 5–10), the SFL theory of context is indebted to prior works of Malinowiski, Firth, and Hymes. Malinowiski was an anthropologist interested in the environment of language use. He proposed the concepts of context of situation and context of culture. He used context of situation to refer to the environment of language and context of culture to refer to the cultural background of the language users. Firth was a sociolinguist interested in the context of language. He built Malinowiski's explanation into his own linguistic theory but focused on language, proposing that the context of situation comprises the participants in the situation, the action of the participants, and the effects of the verbal action. Hymes extended the concept by proposing eight dimensions of context of situation: the form and content of the message, the setting, the participants, the intent and effect of the communication, the key, the medium, the genre, and the norms of interaction.

The original version of this book was revised: The book series title has been updated. The erratum to this book is available at 10.1007/978-981-10-3686-6_7

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N. Liu and D. Irwin, *Genre Changes and Privileged Pedagogic Identity in Teaching Contest Discourse*, SpringerBriefs in Education,
DOI 10.1007/978-981-10-3686-6_2

Halliday (1978) initiates the study of interrelationship between language and context from the perspective of register, which is a linguistic realization of social context:

> A register is what you are speaking (at the time) determined by what you are doing (nature of social activity being engaged in), and expressing diversity of social process (social division of labour). (p. 35)

SFL theory is therefore different from the aforementioned studies in that it is a dialectic observational framework for the interrelationship between context and language. In other words, systemicists approach language as both determined by the context in which it is used, while also simultaneously revealing the context.

2.1.2 Sydney School SFL Genre Theory

Sydney School SFL genre theory is represented by SFL scholars such as Prof. J.R. Martin and his students and colleagues at the University of Sydney and surrounding institutions. Martin expands the scope of Hallidayan studies of context, claiming "for me register is a contextual category (comprising field, tenor, and mode) realised through language; but for Halliday it is a linguistic category oriented to the realisation of field, tenor, and mode" (2012, pp. 4–5). More specifically, Martin argues that context and register interact more expansively than Halliday does. As is shown in Fig. 2.1, Martin (2004) proposes that context is a series of connotative semiotics comprising spheres of register, genre, and ideology; therefore, language is a series of denotative semiotics comprising spheres of semantics, lexico-grammar, and phonology/graphology. The notion of text can only be understood when linguistic text-forming resources are interpreted against the background of contextual ones (p. 405). Following SFL dialectic traditions, this taxonomic category provides us with two research perspectives. First, by exploring the characteristics of register, genre, and ideology in a given context, we can understand why language in the context is used in certain ways; second, by analyzing the semantics, lexico-grammar, and phonology/graphology of a given text, we can understand the register, genre, and ideology from which the language is derived. Each of the strata in this diagram are interrelated through a relationship of realization, which means that language construes, is construed by and reconstrues social context (Martin 2000, p. 4). All these changes in the connotative spheres of the framework, viz. register, genre, and ideology, can be realized in any spheres of the denotative spheres, viz. semantics, grammar, and phonology/graphology.

The present research considers genre changes in the SFLEP contest based on this framework. When the pedagogic genre is borrowed into the Mock Teaching discourse, its genre changes are realized by its register features (and are meta-redundant, or redound through the lower strata, as per Lemke 1984). Likewise, when the contest

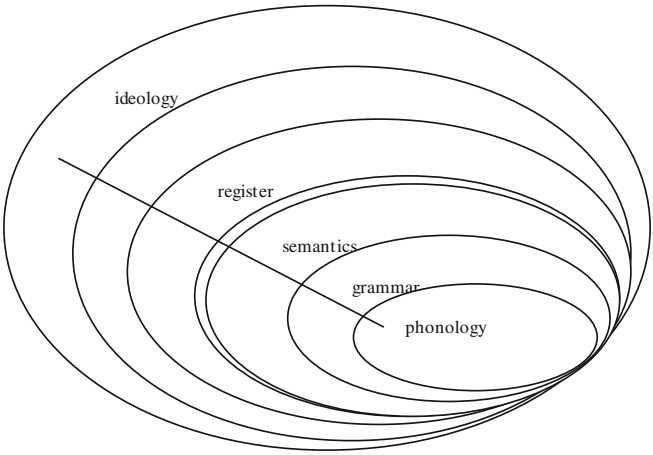


Fig. 2.1 Language and its semiotic environment (cf. Martin and Matthiessen 1991, p. 183)

adjudicators evaluate the Mock Teachings, their comments are relevant to both the strata of register and genre. All these comments, then, reveal the contest adjudicators' ideology of appropriate pedagocial practice.

2.2 Change of Pedagogic Discourse in Mock Teaching in SFLEP Contest

In alignment with Sydney School SFL genre theories, the change of pedagogic discourse in the context of SFLEP contest can be analyzed at three levels: register, genre, and ideology.

2.2.1 Register Shifts of Pedagogic Discourse in Mock Teaching

SFL identifies register as three dimensions of social context that have an impact on texts, viz. field, tenor, and mode. In terms of field, the degree of familiarity with the topic that each text-producer is assuming can be reflected in the contrast between technical and everyday vocabulary between texts; in terms of tenor, the roles played by each text-producer can be illustrated in the absence/presence of attitudinal and evaluative choices between texts; in terms of mode, the degree of feedback between text-producers and audience can be illustrated in the difference in the formality between the texts (Martin and Eggins 1997, p. 164). In alignment with this framework, the register of teaching discourse shifts when the discourse is borrowed from

the ESL pedagogical context and adapted into the Mock Teaching context. However, it does so less in terms of field, in the sense that the topic and the vocabulary are in fact the crux of the language event in both the classroom and the Mock Teaching; however, in the classroom we can argue that the field is *constitutive* of the social purpose of language learning, whereas in the Mock Teaching environment it is *demonstrative* of the social purpose of representation and ultimately adjudication.

From a tenor perspective, the interactions in the Mock Teaching context are different from those in the authentic classroom. There are various types of contest participants: the contestant teachers in the contest, the audience students, the contest adjudicators, the contest audiences on site, and the photographers. These participants can be divided into two groups: direct participants and indirect participants. The contestant teacher and 12 audience students in any one particular Mock Teaching are the direct participants. The other participants who do not interact with the contestant teachers are indirect participants. Though the contestant teachers are ostensibly mainly interacting with the audience students, they are also very aware of the participation of the indirect participants, who ultimately judge the success of the interactive event.

There are mode shifts from the pedagogic context to the Mock Teaching context. In authentic teaching, the teachers usually focus on the interaction between participants and the students. The communication between them is more likely to be dialogical. However, in Mock Teaching, interaction is less important than communicating pedagogical efficacy to the contest adjudicators. Therefore, the Mock Teaching discourse tends to be more monologically-oriented, though there are still some interactions between the contestant teachers and the audience students.

2.2.2 *Mock Teaching in SFLEP Contest as a Genre*

According to the Sydney School approach, genre is "a staged, purposeful social process" (Martin 1984a, p. 9) or more specifically, "goal-oriented social process, actualised in stages (or schematic structures)" (Martin 1984b, p. 63). Martin and Rose later formalize the definition of genre as follows:

> For us a genre is a staged, goal-oriented social process. Social because we participate in genres with other people; goal-oriented because we use genres to get things done; staged because it usually takes us a few steps to reach our goals. (2007, p. 8)

In alignment with this definition, the Mock Teaching in the 2nd SFLEP contest can be viewed as an educational event genre. First, it is a social process, where contestant teachers from different universities participate in the contest. Second, it is goal-oriented, in that the common social purpose is to demonstrate and adjudicate the contestant teachers' skills. Third, it is a staged process, such that all of the contestant teachers approach the event in similar ways: greeting, demonstrating teaching procedures, and bidding farewell. Moreover, this social process is routinized, as it is rehearsed several times prior to its performance.

2.2.3 Genre Relations in SFLEP Contest

As a routinized social event, genre is instituted in the SFLEP contest on the basis of envelopment, by which the whole contest macro-genre is constituted by genres of contest segments, which in turn consists of other more elemental genre types. This constitutional relation can be explained with Martin's theories of macro-genre and elemental genre. According to Martin (1994, 1995, 1997), a longer text can be termed as a macro-genre if it combines several elemental genres. He argues that the more elemental genres such as report, procedure, explanation, exposition, anecdote, exemplum, and recount represent units of meaning that sink from consciousness when their structure is learned. In alignment with this view, the whole SFLEP contest in Fig. 1.1 (refer Chap. 1) is a macro-genre, within which each of the sub-stages represents its own organizational unit. Thus, the contest segments embedded in the SFLEP contest are micro-genres in terms of their relations with the whole contest process; however, these embedded genres can also be considered macro-genres themselves, as they also consist of more elemental genre types.

As is shown in Fig. 2.2, the 2nd SFLEP contest as an event macro genre comprises three intermediate genres: the preliminary contest, the intermediate

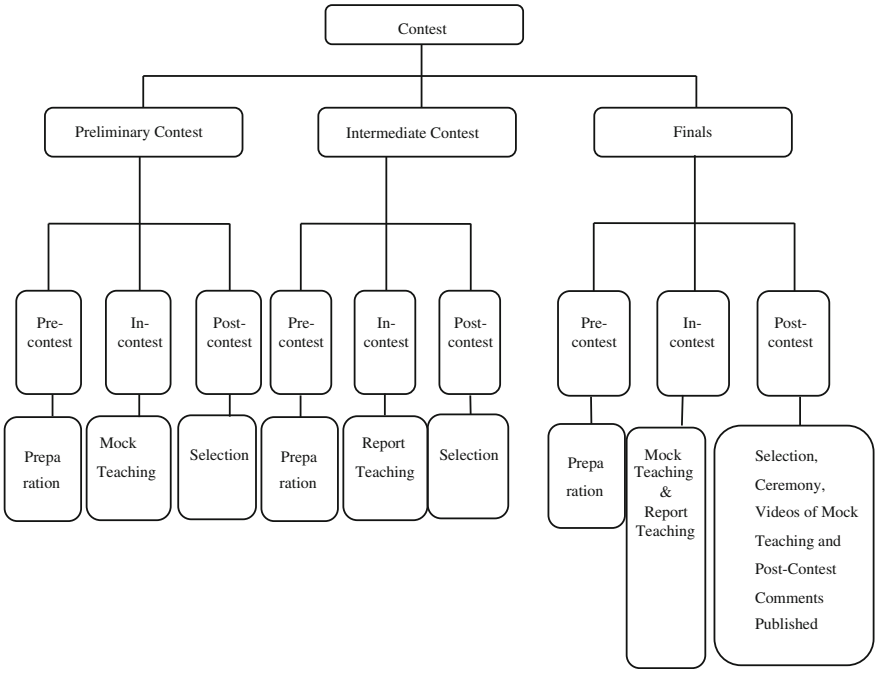


Fig. 2.2 Wining mock teachings and adjudicators' comments in the finals of SFLEP contest genre

contest, and the finals, which are largely similar events. Each of these in turn comprises three more micro-genres: the pre-contest, the in-contest, and the post-contest, all of which are different in kind. Each contest segment can then be further divided up as they each consists of more micro-genres.

2.2.4 *Social Purpose of SFLEP Contest Realized in Genre Relations*

To paraphrase Martin, a genre type can be positioned as related to other genre types with respect to gradient rather than categorical criteria. And the functionality of different genres in a genre family provides a brief description of their shared social purpose (Martin 1997, p. 203). In this sense, genres in an organized social event such as the SFLEP contest are a succession of social processes oriented to realize a certain purpose. Therefore, the social purpose of the embedded genres of successful Mock Teachings and adjudicators' post-contest comments in the Finals of the contest can also reflect the ultimate social purpose of the whole contest genre. In alignment with the realization principle, the social purpose of the overall contest event macro-genre is realized through its constituting micro-genres and the social purpose of the micro-genres is realized by the more elemental genres which constitute them.

In this sense, the contest discourses are interrelated based on the interrelations between their social purposes. In other words, each contest segment can be regarded as a genre because they are routine, staged, and social-purpose oriented; yet they are fundamentally interrelated because they share the same overarching social purpose, realized in the macro- contest genre.

Ms. Wu, the honorary director of the contest organization committee, clarifies the social purpose of the contest as follows:

> Establishing such a platform for teachers to the demonstration of and competition in their pedagogies contributes to the improvement of teachers' professional skills, the improvement of teaching methods, the innovation of teaching techniques; to the construction of high-quality teachers, the bridging of differences between different institutions and different territories, the communication, spreading, and promotion of advanced teaching philosophies; to the change of the current tendency in valuing researches more than teaching, the encouragement of teachers to lay emphases on classroom teaching, and ultimately the cultivation of talents (2nd SFLEP National College English Teaching Contest 2012, p. 7).

These purposes are realized by different types of genres constructed in different contest segments. The Mock Teaching is a type of discourse of action in service of the purpose of pedagogic demonstration, while the adjudicators' comments are a type of discourse of reflection in service of the purpose of re-creating a meta-pedagogic criteria in the contest. The present research explores the interrelated social purposes of the winning Mock Teachings and the contest adjudicators' post-contest comments. By doing so, it reveals how the two discourses jointly present a privileged pedagogic identity to the contest viewers.

2.2.5 *Mock Teaching Genre Generated from Pedagogic Genre*

Genre is a collective semantic choice among a group of individuals when they are oriented to accomplish a certain social purpose. A genre may evolve when the individuals are posited in a strange context with a particular social purpose and need to appropriate existing language patterns to satisfy this social purpose. According to Martin and Rose (2008), genre is also a "configuration of meanings" (p. 6) therefore enabling the discourse constructor to consciously recontexualize their linguistic resources so as to make the genre appropriate in a novel situation.

Eggins (2004) claims that "genres are open, flexible and responsive to users' needs" (p. 84). She therefore proposes that the author of Harry Potter, J.K. Rowling, uses a "blended genre" in catering to different readers' interests (ibid. pp. 81–84). However, Martin and Rose (2008) do not agree with the concept of "blended genre." They point out that not all individual texts fit neatly into a genre. Some texts shift from one genre-determined configuration of meaning to another one. They therefore perceive such examples as mixed texts which instantiate multiple genres, but not a "mixed genre" or "blended genre" (pp. 241–242). Martin and Rose (ibid.) propose that these are discourse types which are yet to become a new genre type, yet are different from the source genre from which they are developed, termed "shifting gears" (p. 242). In other words, Harry Potter could be better seen as a mixed text which hybridizes multiple genres, instead of claiming that it represents a blended genre.

Martin and Rose (ibid.) further propose that mixed texts are the source of new genres. When mixed texts are instantiated often enough and their social purposes are routinized, a new genre emerges (p. 242). This process comprises two stages: shifting gears and genre genesis, the latter of which forms a new genre type.

Chapter 5 of the present book compares Mock Teaching discourse and the ESL pedagogic genre. In doing so, we propose an emergent genre of Mock Teaching discourse which appears substantially different than could be explained by shifting gears, and yet still entains (macro-) genre genesis. Admittedly, the rudimentary difference between the ESL pedagogic genre and the Mock Teaching genre is that they are derived from different contexts. Specifically, the former derives from a real educational context while the latter derives from a virtual context which is oriented for competition. However, the two genre types are substantially linked, as prior research implicitly assumes.

The inter-connections are realized in two aspects. First, the EFL pedagogic models chosen from the SFLEP contest are very similar in their teaching focuses to those of ESL pedagogic models. Zuo (2008) summarizes the development of Chinese EFL teaching into four stages: (1) ABC English for Beginners from late 1970s to early 1980s. In this period, English just became a part of Chinese National Entrance Examination for higher education and the majority of students were still beginners. Therefore, the classroom teaching method was mainly via grammar-translation. (2) EFL for the low levels from early to mid- 1980s. In this

period, as there were increased opportunities for Chinese students to go abroad, the demands for oral-aural skills in English also boomed. Both language skills and grammar knowledge were therefore focused on by the EFL teachers in their classroom teaching. (3) EFL for low-intermediate from late 1980s to mid- 1990s. In this period, the standardized EFL tests, viz. Band-4 and Band-6, became a key element for Chinese undergraduates to get their degrees. Classroom activities which emphasized test-taking skills became popular. (4) From late 1990s to the time when the article was written. In this period, the Chinese Ministry of Education launched a new campaign to reform Chinese EFL education. This is actually the background for the formation of the SFLEP contest. As this reform expected the Chinese tertiary EFL education to emphasize students' English skills in international communications, content-based, topic-based, and task-based ESL models were brought into the Chinese EFL classroom.

The dominant Chinese EFL pedagogies at present therefore focus on students' communicative skills in authentic contexts and are very similar to those of ESL pedagogies. Further, the contestant teachers actually simulate the authentic teaching genre when doing their Mock Teaching because they regard this contest as a competition for teaching skills and therefore maintain some discourse features of the ESL pedagogic genre. In other words, the pedagogic genre is borrowed from an authentic educational context into a virtual context. Martin and Rose (2008) propose that genres within one context can be taken as a genre system which represents the culture of the context, therefore certain genres are more delicate genres which are derivational in nature. Though the Mock Teaching genre is not a more delicate form of genre derived from the ESL pedagogic genre, we argue here that the Mock Teaching discourse simulates the ESL pedagogic genre while entering into another system which represents the contest culture.

2.2.6 Genre Instantiation and Individuation

Halliday and Matthiessen (2004) regard the underlying meaning potential of a language as the system, while the language is instantiated as a set of texts. The relationship between the system and the text is analogous to the relationship between climate and weather. Though they are the same phenomenon, they are seen from different standpoints of the observer, where the former is seen from a greater depth than the latter. Therefore, climate is to weather what system is to a text (pp. 26–27). SFL scholars regard the relationship between the system and the text as a cline of instantiation (ibid., p. 27). Figure 2.3 illustrates how Martin (2010) relates instantiation to his explanation of genre and register, where system is located at the upper pole of the cline, while text is located at a lower pole of the cline. Between these two poles, there are two intermediate patterns: genre/register and text type. Text type refers to the patterns that texts share in a certain register. Therefore, in a specific social activity, the system of meanings as a whole is related to specific genre and registers, which in turn take the form of shared text types (Martin 2010,

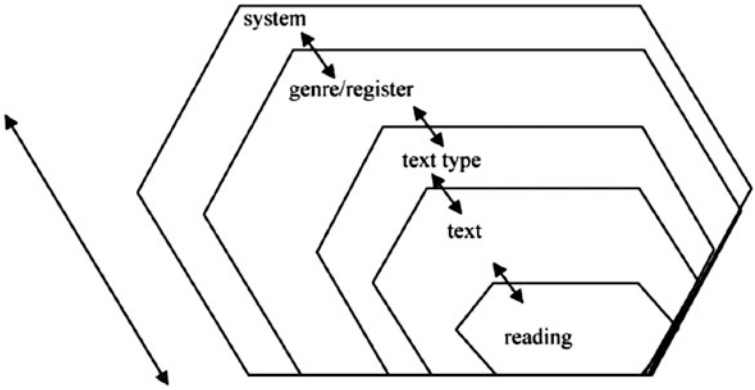


Fig. 2.3 The hierarchy of instantiation (adapted from Martin 2010, p. 24)

p. 23). Martin adds reading to the cline as an additional pole. He claims that social subjectivity of the reader/listener enforce them to interpret the texts differently (ibid., p. 23). According to Lai (2012), the same genre is instantiated by different texts in different ways, and this is because individuals use different ways to realize the purpose.

In this sense, different contestant teachers instantiate the Mock Teaching genre in different ways, although all the Mock Teachings share the same ultimate social purpose in the contest.

In order to discuss ideology, Martin adds "individuation" as a new dimension to this framework, which refers to the meaning potential of the system according to individual discourse constructors (Martin 2010). As is shown in Fig. 2.4, a culture can be divided into different sub-cultures through master identities, such as gender, class, and generation. In this cline, culture can be further differentiated into different sub-cultures. Moreover, the individual personas align themselves with different sub-cultures (ibid., p. 31). Discourse analysts can therefore analyze texts to reveal what master identity that the personas are affiliated with in a culture, and thus what particular personas exist in the culture. Lai (2012) also proposes that a genre can be observed from two perspectives. From the perspective of affiliation, the genre users within the same culture are subordinate to an overall master identity; from the

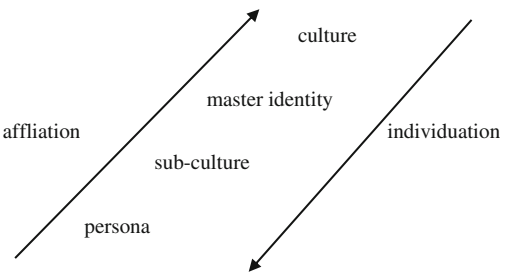


Fig. 2.4 Individuation and affiliation (adapted from Martin 2010, p. 32)

perspective of individuation, this master identity is also individualized as different personas by these users.

Individuation contributes to our discussion of privileged pedagogic identity; on the one hand, all the winning Mock Teaching discourses as a genre represent a master pedagogic identity privileged in the contest, while on the other hand, each contestant teacher also represents his or her individual pedagogic persona. In the contest adjudicators' post-contest comments, the pedagogic identity is further refined, because some of the personas are valued while the others are devalued.

2.2.7 *Bernsteinian Theory of Pedagogic Identity*

Bernstein's approach to identity is as follows:

> Identities here are what they are, and what they will become, as a consequence of the projection of that knowledge as a practice in some context. And the future of that context will regulate the identity. The volatility of that context will control the nature of the regionalization of the knowledge and thus the projected identity. (Bernstein 2000, p. 55)

Here, identity is the result of projecting knowledge as a social practice in a certain context. Moreover, identity is to be regulated and regionalized when the context changes.

The development of Bernstein's theory of pedagogic identity is derived from his classification of pedagogical types. This classification can be seen in the following:

Bernstein utilizes visible and invisible pedagogies to overarch the pedagogical classifications. Visible pedagogies refer to pedagogies oriented to make learners develop by going through clear developmental stages; invisible pedagogies refer to pedagogies without clear steps or principles which orient to implicit development of the learners. In order to further classify visible and invisible pedagogies, Bernstein identifies two intersecting dimensions for instructional theories. The horizontal classification divides pedagogies based on whether the knowledge is transmitted by the instructor or acquired by the learners. The vertical classification divides pedagogies based on whether they focus on group changes or individual changes. Based on this classification, behaviourist pedagogy lies in the upper right quadrant, progressive/constructive pedagogy lies in the upper left quadrant, critical pedagogy lies in the lower left quadrant, and social pedagogy lies in the lower right quadrant (Bernstein 1990). Social pedagogy is further explained as interventional pedagogy by Rose and Martin (2012).

Bernstein (2000) re-adapts this diagram. He divides pedagogic practices into two contrasting models: the competence model and the performance model. The competence model refers to the pedagogic model which emphasizes the implicit development of the acquirer's competence, while performance model refer to the pedagogic model which emphasize the specific output of the acquirer, upon particular texts and specialized skills necessary for this output (ibid., pp. 41–50). In other words, competence model refers to the invisible pedagogies while

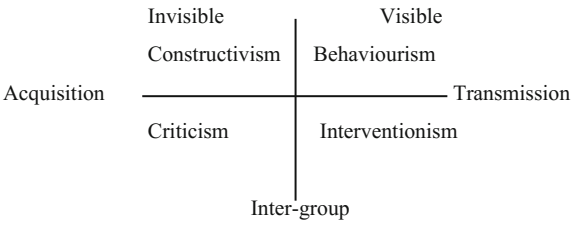


Fig. 2.5 Classification of pedagogies (adapted from Bernstein 1990, p. 63; Rose and Martin 2012, p. 318)

performance model refers to the visible pedagogies. As is shown in Fig. 2.5, each of the models in turn creates three pedagogic modes, a more delicate classification of pedagogies compared to his earlier paradigm.

As can be seen here, the competence model creates liberal/progressive, populist, and radical modes. The performance model creates specialist, regionalized, and generic modes. On the side of the competence model, the pedagogic modes are different from each other based on the number of learners they concern. In particular, liberal/progressive competence mode focuses on the development of competence of all individuals, populist competence mode focuses on the development of competence intrinsic to certain local cultures, and radical competence mode focuses on the competence development of members of a certain group. On the side of performance model, the pedagogic modes vary from each other based on the degree that one discourse is mixed with another. In particular, the specialist mode focuses on the development of a specialized discourse within a particular field, the regionalized mode focuses on recontextualizing singulars (knowledge structures whose creators give themselves a unique name and a specialized discourse) into larger units in both intellectual field and external practice, and the generic mode focuses on the construction of competence external to pedagogic recontextualizing fields (ibid., pp. 51–56). The end result is that this classification makes the cline from Intra-Individual to Inter-Group in Fig. 2.6 more delicate.

In alignment with Bernstein's definition of identity, a given social context will naturalize certain pedagogic model or mode and thereby project certain identities. Bernstein therefore proposes that the identity constructed in the performance model is projected identity. This is because the development of knowledge in this model is externally linked to the development of social practices within this educational

Competence	Performance
Liberal/Progressive	Specialist
Populist	Regionalized
Radical	Generic

Fig. 2.6 The recontextualizing field (adapted from Bernstein 2000, p. 56)

context. Likewise, he proposes that the identity constructed in competence model is introjected identity. This is because the development of knowledge in this model is internally linked to specialised divisions of discursive labour privileged by certain administrative levels (ibid., pp. 54–55).

Bernstein's interest in pedagogic identity lies in his intention of using the pedagogical discourses constructed in certain societies to predict the official knowledge in that society (ibid., p. 65). He defines pedagogic identity as "the result of embedding a career in a collective base" (ibid., p. 66), proposing four different pedagogic identity types: retrospective, prospective, de-centered market, and de-centered therapeutic. The difference between these types of pedagogic identities lies in their different constructive resources. Decentered pedagogic identities are constructed from local resources; retrospective pedagogic identities are constructed from past resources such as grand narratives, cultural, and religious models; prospective identities are constructed from new resources which provides the pedagogic identities with a new collective base and thereby re-center them (ibid, p. 76).

2.2.8 Privileged Pedagogic Identity in Contest Adjudicators' Post-contest Comments

Though the research context here is not an authentic teaching environment, it is by nature a social practice in which the contestant teachers project how they believe good teaching practice should be, whereupon the contest adjudicators evaluate the relative value of these projected teaching practices. The projection of pedagogic identities is embodied in three aspects of the contest discourse. When performing their Mock Teachings, the contestant teachers affiliate themselves to certain pedagogic positions in terms of their performances in the contest. When evaluating these performances in their post-contest comments, the contest adjudicators adhere to one of these categories by evaluating or devaluating the Mock Teaching instances. When viewing the contest, the contest audiences observe an event that represents education. From this event, they view an idealized national-level pedagogic identity being privileged.

As a result, the teaching contest can be regarded as a social event oriented to institutionalize a particular idealized meta-pedagogic identity. The way it is institutionalized is represented by the winning contestant teachers' Mock Teachings refined by the contest adjudicators in their post-contest comments. The positive comments made by the contest adjudicators represent a particular discourse type that the contest producers want their viewers to receive.

Bernstein's framework is used in the present research to categorize the performance of the contestant teachers' meta-pedagogic identities in the event and explore what categories are privileged by the contest adjudicators in their post-contest comments. In this sense, the book does not imply that the contestant teachers

employ these pedagogic identities, but proposes that they perform their Mock Teachings within the framework. Moreover, it is important to note that we are not arguing that the contest adjudicators evaluate any actual pedagogic identities in an educational context, but rather that they evaluate the performance of these identities in the contest. These evaluated performances are no less important, though, as they are held up as examples of best pedagogical practice for all Chinese EFL teachers to emulate.

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http://www.springer.com/978-981-10-3685-9

Genre Changes and Privileged Pedagogic Identity in Teaching Contest Discourse

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2017, X, 76 p. 18 illus., 5 illus. in color., Softcover
ISBN: 978-981-10-3685-9