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Direct quotations in the rhetorical structure of literature PhD thesis introductions

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Running head: Direct quotations in literature PhD thesis introductions

Abstract
Direct quotation (DQ) use varies considerably across disciplines, from complete absence in hard sciences to relative frequency in social sciences. This study investigates DQs in literature, focusing on PhD thesis introductions in English. A corpus of 15 introductions tagged for move-and-step genre analysis was used to investigate DQ frequency, their distribution in the rhetorical structure of introductions, and source text types used for DQs. The findings show that i) DQs are the most common source use practice in the corpus; ii) DQs are concentrated in three rhetorical steps: reviewing previous research, presenting the analysed literary work, and making topic generalisations; and iii) source text type used for DQs is associated with specific rhetorical steps. These findings suggest that DQs are essential for the realisation of the rhetorical purpose of the steps which carry them and for knowledge construction in literature PhD theses.

Keywords: direct quotation, genre analysis, PhD thesis, introduction, source use

1. Introduction

Effective use of citations plays a central role in constructing and sharing knowledge with members of one's discourse community (Swales 1990; Hyland 2000). The growing body of research on citations has shown that citation use varies across disciplines, levels of study, and between high and low rated texts (e.g., Thompson 2001; Shi 2004; Thompson 2005; Pecorari 2006; Petrić 2007; Samraj 2013; Friedman 2019). One area in which variation in citation patterns is particularly noticeable is the use of direct quotations (DQs), defined as the verbatim repetition of a stretch of text from another source, conventionally signalled by quotation marks and references to the source, including page numbers where the quoted material is located. DQ is one of the three main ways in which content from sources can be integrated into one's text, the other two being *paraphrase/summary*, where the writer expresses the meaning of the source text using different words, and *generalisation from multiple sources*, where the writer paraphrases or summarises an idea expressed by more than one author (Hyland 2000). Given that DQs rely on re-use of other authors' words, it is commonly assumed that it is a simple textual practice, not requiring an advanced level of academic literacy. However, as Petrić (2012) has argued, using DQs effectively is more complex than it seems since DQs may pose a threat to the writers' voice by introducing another author's voice into their text. To mitigate against this, writers must skilfully integrate DQs into their own text both at the micro level, by creating an appropriate lexico-grammatical environment to incorporate the quoted material into their sentences, and at the macro level, by ensuring that the quoted material fits their rhetorical intention. DQs may be used to express various rhetorical functions, ranging from distancing the author from the quoted material, demonstrating objectivity in presentation to providing a vivid or faithful account (see Petrić 2012), which suggests that effective use of DQs requires a high level of rhetorical awareness. Therefore, studies of effective use of DQs are needed to understand how advanced writers handle this type of citation.

Previous research has identified considerable disciplinary differences in the use of DQ. In a corpus-based study of journal articles across eight disciplines, Hyland (2000) reported that while all disciplines used paraphrase/summary and generalisation from multiple sources, they differed markedly in the use of DQs: in contrast to the social sciences, where DQs were found to be relatively common, with 13% of all citations in sociology articles in the corpus containing DQs, they were completely absent in research articles in the sciences. Similar findings were reported in Thompson's (2001) study of citations in PhD theses in agricultural botany, a life science, and agricultural and food economics, a social science, with the occurrence of DQ in the former being negligible (1.88 per thesis), in contrast to their far higher frequency in the latter (28.63). The use of DQs in the more discursive soft fields (humanities and social sciences) and their marginal presence in the hard fields was further confirmed by studies of published writing, PhD theses, and MA and BA dissertations (e.g., Borg 2000; Shi 2004; Ädel & Garretson 2006; Pecorari 2006; Petrić 2012; Maguiro 2020). These disciplinary differences in DQ use reflect the different nature of hard and soft fields: unlike hard fields where facts and procedures are central, soft fields foreground ideas (Hyland 2000) and personal interpretations (Becher & Trowler 2001), whose representation is achieved accurately via DQs rather than paraphrased text (Pecorari 2006). Further, the distancing effect DQs can create by presenting the quoted claim as another author's rather than one's own helps open a space for counter argument (Coffin 2009), which is directly relevant to discursive fields. Finally, in discursive fields using textual analysis, such as linguistics and literary studies, DQs from texts serving as the object of analysis are commonly used. The use of primary and secondary sources in such fields creates a complex source-use landscape, making discursive fields a fruitful arena for investigating the use and patterning of

DQs. Following this direction, this study focuses on literary studies, broadly defined as the study of literary texts, a discursive field involving the use of literary works as primary sources, in addition to academic sources. Academic texts in literary studies therefore lend themselves particularly well to research on source text use in general, and DQs in particular.

To examine how DQs are used in literary studies, we focus on the PhD thesis[1] genre, whose length provides writers with the space to employ diverse patterns of source use more freely than in a research article. At the same time, unlike Master's dissertations writers, who are still in the process of mastering disciplinary discourse conventions, PhD thesis writers are more advanced in terms of both knowledge of their field and the related disciplinary literacies; in addition, as one of the requirements of a PhD thesis is to show extensive knowledge of the topic under investigation, PhD thesis writers must demonstrate greater engagement with sources than is expected from Master's dissertation writers. However, research on source use in PhD theses is scarce (notable exceptions are Thompson 2001, 2005), in contrast to the growing interest in the rhetorical structure of the PhD thesis genre, which has received ample attention in applied linguistics research (for a review, see Thompson 2016), ranging from studies of the PhD thesis macrostructure (Paltridge & Starfield 2007, 2020) to studies of its different sections, such as introductions (e.g., Bunton 1998, 2002; Gil-Salom, Soler-Monreal & Carbonell-Olivares 2008; Soler-Monreal, Carbonell-Olivares & Gil-Salom 2011; Ono 2012, 2017; Kawase 2018), literature reviews (e.g., Ridley 2000; Kwan 2006), and conclusions (e.g., Bunton 1998, 2005). Most of this work draws on Swalesean genre analysis tradition (Swales 1990), which examines rhetorical structure by identifying common communicative-functional textual units (i.e., moves and steps) at the macro level and lexico-grammatical patterning within these units at the micro level. The studies above have uncovered dominant patterns in the rhetorical structuring of PhD theses and their parts, which exhibit both similarities and differences to the rhetorical structure of research articles and display disciplinary variation. While research initially tended to focus on theses in the sciences and social sciences, growing attention is being paid to theses in the humanities (Starfield & Ravelli 2006; Ono 2012; Paltridge & Starfield 2020), which tend to exhibit more complex and diverse types of macrostructure (Paltridge & Starfield 2007). Although few studies in this body of research have focused on literary studies thus far (e.g., Shehzad & Abbas 2016), it is reasonable to expect that patterns of rhetorical structure similar to the humanities theses are to be found in literary studies theses as well.

However, little is known about how DQs are contextualised in the PhD thesis genre and how they interact with its rhetorical structure. We argue that investigating how DQs are embedded within the rhetorical structure in the genres where they occur may provide a deeper insight into their rhetorical structure by enabling us to understand the relationship between the writers' appropriation of other authors' words and their own rhetorical purposes. In this study, we focus on introductions, whose rhetorical structure has been extensively investigated across disciplines and genres (see above), but without considering source use and in particular DQ use. Combining the analysis of the rhetorical structure of introductions with the analysis of DQ patterning will enable us to add a new perspective to this body of knowledge.

Further, in contrast to the large body of research on PhD theses written in English by L2 writers, this study will focus on theses written by L1 English writers in order to identify features of DQ use in texts written by advanced writers who are not constrained by a limited language proficiency repertoire and who are therefore less likely to resort to DQs as a compensation strategy but rather use DQs as a textual choice for particular rhetorical purposes.

[1] In this paper, the term "PhD thesis" is used, as is common in the UK contexts, instead of "PhD dissertation" that is common in the US contexts (Bunton 2002; Thompson 2013).

Thus, this study aims at investigating L1 English writers' use of DQs in literature PhD thesis introductions, focusing on the relationship between DQs and rhetorical structure, in order to uncover the extent to which thesis writers utilise DQs to achieve the rhetorical purposes of specific moves/steps in introductions. The following four research questions are addressed:

1. What is the frequency of DQs in relation to other source use practices in literature PhD thesis introductions?
2. Which rhetorical steps carry DQs in literature PhD thesis introductions?
3. What is the relationship between the steps carrying DQs and those preceding and following them?
4. What types of source texts are used for DQs in literature PhD thesis introductions?

2. Related literature

2.1 Rhetorical structure of PhD thesis introductions

Swales (1990) proposed the *Create a Research Space* (CARS) model which illustrates the constituent elements (i.e., *move*, *step*) in research article introductions (see Appendix 1). The CARS model comprises three rhetorical purposes: 'establishing a territory' (move 1), 'establishing a niche' (move 2), and 'occupying the niche' (move 3). 'Establishing a territory' is defined as setting up an area of research by providing general information about the research topic selected. 'Establishing a niche' means narrowing down the research topic to specify the issue, question, need, or problem the present research focuses on. 'Occupying the niche' means announcing what the present research is going to do mainly by stating the research purpose and outlining the method or approach. Each move consists of one or more *steps*, lower-level units which support the rhetorical purpose of the move to which they belong. For instance, move 1 may include the following three steps: *claiming centrality*, *making topic generalisations(s)*, and/or *reviewing items of previous studies* (Swales 1990). While Swales (1990) claimed that the research article introductions basically follow the sequence of moves 1, 2, and 3, his revised model (2004) indicated a cyclical nature of moves 1 and 2 and the use of source texts in any move (see Appendix 2). In other words, moves 1 and 2 can appear repeatedly more than once throughout the introduction, such as the sequence of moves 1, 2, 1, 2, 3. The CARS model has been employed and revised to analyse rhetorical structures of various genres beyond research article introductions, such as PhD thesis introductions (e.g., Bunton 1998, 2002; Soler-Monreal et al. 2011; Ono 2012, 2017; Kawase 2018) and Master's dissertations (e.g., Samraj 2008), and introductions and discussions of MSc dissertations (Dudley-Evans 1986). Thus, the CARS model has become a fundamental framework for genre analysis and has influenced the way in which writing is taught using genre-based pedagogy (Hyland 2004; Tardy 2009).

Genre analyses of PhD thesis introductions have shown that move-step structures vary across disciplines. Bunton (2002), for example, investigated the rhetorical structure of PhD thesis introductions written by L1 and L2 writers in 10 disciplines including the fields of science, technology, social science, and humanities. He found that the sequence of moves 1, 2, and 3 was a common arrangement and that moves 1 and 2 often appeared in a cyclical manner followed by move 3. The findings also indicate that the thesis introductions contain discipline-specific rhetorical steps such as *defining terms* (engineering, arts, social sciences) in move 1, *question-raising* (arts, social sciences) and *continuing a tradition* (medicine, social sciences) in move 2, and *work carried out* (engineering, social sciences), *product of research* (engineering), *model proposed* (social sciences), *theoretical position* (social sciences), *application of product* (engineering), and *evaluation of product* (engineering) in move 3.

Bunton's (2002) model was used in further studies of PhD thesis introductions, which compared introductions in different languages (e.g., English and Spanish in Soler-Monreal et al. 2011; English and Japanese in Ono 2012, 2017) and explored the variation in move-step patterning in other disciplines (applied linguistics in Kawase 2018; literature in Ono 2012, 2017). While these studies identified moves and steps from Bunton's (2002) model, they also found both language-related and discipline-specific variation. For instance, Spanish PhD thesis introductions were found to often lack move 2, which Soler-Monreal et al. (2011) related to the Spanish thesis writers' preference for non-antagonistic stance, while PhD introductions in applied linguistics were found to display a wide variation in the overall structure, combining multiple moves and steps repeatedly (Kawase 2018).

Of particular relevance to this study are the findings of Ono's (2012) study of literature PhD thesis introductions, which revealed considerable variation in the move-step sequence. The most significant findings from the analysis of the English corpus are the following: First, the study identified two steps specific to the discipline of literature out of the total of 18 steps. These steps are as follows: *presenting fictional work and/or its author* and *writer-centred statement* (for definitions and examples of steps, see Appendix 3). Secondly, the study revealed that while most steps always occurred within a single move, five steps were move-independent, i.e., they were used in more than one move. These were: *making topic generalisations and giving background information*, *definitional clarifications*, *presenting fictional work and/or its author*, *reviewing previous research*, and *writer-centred statement*. Finally, the study established that the following six steps were obligatory, i.e., they occurred in all introductions in the corpus: *announcing present research descriptively and/or purposively*, *stating the writer's approach*, *reviewing previous research*, *outlining the structure of chapters*, *presenting fictional work and/or its author*, and *writer-centred statement*. Ono's (2012) study therefore showed that the rhetorical structure of PhD thesis introductions in literature is particularly complex. This study aims to further the analysis by further by investigating the role of sources, in particular DQs, in the complex rhetorical patterning of literature thesis introductions.

Source use is closely linked with rhetorical functions of some steps and moves, such as the *reviewing previous research* step, which appears cyclically throughout the introduction (Swales 2004; Ono 2012, 2017). This step is expected to display the use of DQs, especially in theses in the humanities. That DQs can serve as a linguistic realisation of move 1 is one of the findings of Chang and Schleppegrell (2011), the only study we are aware of that combines rhetorical move structure analysis with another analytical lens, in this case the Systemic Functional Linguistics Engagement framework. Focusing on authorial stance, the authors analyse four introductions to research articles in the field of education, one of which contains an instance of a DQ in move 1, which is used to present another author's view (i.e., the *reviewing previous research* step). As Chang and Schleppegrell (2011) comment, the writer then signals that s/he does not endorse the view presented, which shows that the DQ can be used to present and review previous research while at the same distancing oneself from it. This suggests that the use of DQs in introductions may perform important rhetorical functions, which may be challenging for novice writers to master.

However, it is not clear whether sources, and in particular DQs, are used only in this step, or they are also present in other steps in the introductions. Although previous research has indicated that academic discourse in the soft fields tends to favour DQs (e.g., Hyland 2000), little is known about whether literature PhD thesis introductions use DQs and how they are used in relation to the rhetorical purpose of moves and steps. Hence, more research needs to shed light on this issue.

2.2 DQs in student writing

While there is a large body of research on source use in students' writing, particularly on weaknesses in L2 students' source use such as plagiarism, studies specifically focusing on DQs in academic writing are rare. The few studies investigating DQs have uncovered the complexities involved in managing the lexico-grammatical aspects of textual integration of DQs and the fit between their rhetorical function and the writer's intention.

Petrić (2012) compared the use of DQs in eight high and eight low rated MA dissertations written in English by L2 writers of various linguistic backgrounds in the field of gender studies, focusing on DQ frequency and length. Interviews with 13 students were also conducted, revealing students' reasons for quoting directly. Petrić (2012) found that high-rated dissertations contained almost three times as many DQs as low-rated ones; however, more successful writers primarily used quotation fragments (i.e., stretches of text shorter than a clause), whereas low-achievers mostly relied on clause- and sentence-length DQs, which can be inserted into the writer's text without any modification. Further analysis of DQ fragments revealed that this category of DQs included terms and concepts quoted to attribute them to their originators, but there was a tendency to quote them repeatedly throughout the dissertation; in addition, DQ fragments included strings of common words, reflecting writers' poor choice of what to quote directly or inability to paraphrase. Petrić (2012) concluded that although high-rated texts displayed more sophisticated DQ practices than low-rated texts, they nevertheless exhibited aspects of ineffective use of DQs.

Verheijen (2015) compared DQs in 173 essays written for English academic writing courses by Dutch Masters, pre-Masters and Bachelor students and in 120 L1 English academics' research articles in various disciplines, focusing on a range of lexico-grammatical and typographical features. Differences between DQs in the two corpora were found along numerous dimensions, showing that students' use of DQs is less complex and sophisticated than that of experts. For instance, students used significantly more stand-alone quotes than experts, and significantly fewer combined quotes (i.e., two or more quotation fragments used in a single sentence), both of which were also identified by Petrić (2012) as features distinguishing low-rated dissertations from high-rated ones.

Closest to our study in terms of its disciplinary focus is Docherty's (2019) study of DQs in 188 Czech and Slovak literary studies essays written in L2 English. The study found a high occurrence of DQs overall; however, there was a considerable individual variation. Various problems in DQ use were identified, such as excessive use of free-standing DQs, which were poorly integrated into the writer's text. Also of interest to the present study is Docherty's (2019) comparison of DQs in essays focusing on metric literature (e.g., poetry) and those focusing on non-metric literature (e.g., novel). Differences were identified in preferences in terms of DQ length: while the former had a higher percentage of short DQs, the latter predominantly used longer DQs.

While the existing research on DQs has revealed the complexity of effective use of DQs and students' struggles to master it, it has mostly focused on integration of DQs at the sentence level. This study aims to go a step further by examining the positions of DQs within the rhetorical move structure of thesis introductions. As mentioned above, Chang and Schleppergell (2011) found that DQs can be used as the linguistic realisation of the *reviewing previous research* step; in the example they discuss the DQ performed the function of distancing the author from the views reviewed. It is of interest to gain a fuller understanding of how DQs support the realisation of the rhetorical steps in introductions. Further, while the studies above focused on L2 student writers, or on comparison between student L2 writing and L1 expert writing, the present study aims to reveal DQ patterns in PhD theses written in L1 English, which may reveal patterns that are a more appropriate goal for L2 student writers than the highly sophisticated writing of L1 experts.

2.3 Types of sources

Research has found disciplinary differences in the preferences for different types of sources, which is closely related to publishing preferences in terms of types of research outputs preferred in different fields. Journal articles are a preferred research genre in the sciences while monographs have traditionally been preferred in the soft and soft-applied disciplines; these preferences are also reflected in source and citation practices (Becher & Trowler 2001) although more recently the journal article genre has become the most esteemed genre in some soft fields as well. Findings regarding types of sources used in doctoral theses are broadly in line with these tendencies. A large-scale cross-disciplinary study of over 9,000 sources in 629 Master's and doctoral theses in the US (Kushkowski, Parsons & Wiese 2003) showed that journals constitute more than 70% of sources in biological and physical science theses in contrast to 29% of sources in arts and humanities, where 66% of the sources used are monographs. Pecorari (2006) found similar disciplinary differences in preferred source types in her study of citation practices in PhD theses and drafts of Master's dissertations in four disciplines: biology, civil engineering, education, and linguistics, showing that the biology texts predominantly cited journal articles; in contrast, journal articles made less than a quarter of the sources used in the other three disciplines. Of particular interest here is the study by Afful and Janks (2013), who compared types of sources used in doctoral theses in animal, plant and environmental sciences, literary studies, and sociology. They found that journal articles, books and book chapters were the main sources used in all three disciplines; however, journal articles were the dominant type of source in animal, plant and environmental sciences (70.0%), while monographs were preferred in literary studies and sociology theses, accounting for 64.4% and 31.7% of all sources respectively. Literary studies theses had the lowest proportion of journal articles (15.6%) of the three disciplines. Book chapters occupied a similar proportion of sources in literary studies (14.5%) and sociology (14.2%), in contrast to their lower presence in animal, plant and environmental sciences (8.4%).

However, these studies did not investigate whether these disciplinary preferences also apply to DQs. Although it is expected that monographs will be the dominant source type used for DQs in soft discipline theses in line with the disciplinary preferences for monographs as a source type in general as reported above, this remains to be verified empirically. Further, the findings on the proportions of different source types used in literary studies theses reported above do not reveal the use of works of literature as primary sources specific to this discipline. It is therefore of interest to examine the extent to which PhD thesis writers quote directly from literary works in their introductions.

3. Methods

3.1 Corpus

The corpus of this exploratory study used a subset of the corpus in Ono (2012) and comprised introductions from 15 PhD theses in the field of literature written by L1 speakers of English between 2003 and 2008 (see Appendix 4). The thesis introduction was operationalised as the first chapter in the thesis and included all textual elements that belonged to it, i.e., main text, epigraphs and explanatory footnotes. In all the 15 theses the first chapter was titled "Introduction". Theses were collected from three different British universities (five theses from each university) to eliminate the possible impact of a single institution's specific thesis requirements. In selecting the three universities, expert advice was sought from four disciplinary experts, literature studies scholars, who recommended three

comparable departments in terms of their disciplinary orientation and high research reputation. Experts were also consulted on thesis topics. Accordingly, theses in the corpus were categorised as either single-author focused (e.g., the novels of Tony Morrison) or literary-genre focused (e.g., detective stories in the Victorian era). Theses focusing on poetry or drama were excluded as not all three universities focused on these areas. In all, eight single-author and seven literary genre theses were selected.

The size of the corpus was 99,473 words. Descriptive features of the corpus were as follows: the average number of words in the introduction was 8549, and the mean number of pages in the introduction was 26.15, which accounted for 9.73 percent (Standard Deviation = 5.56) of the entire thesis (Ono 2017).

The corpus was already tagged for the elements of rhetorical structure using Ono's (2012) framework (see Ono 2012 for more detail). As shown in Table 1, this model comprises two different types of steps, namely move-specific (n = 13) and move-independent (n = 5) steps. The former are restricted to a particular move (move 1, 2, or 3) while the latter appear in more than one move. While 13 steps were categorised as move-specific ones, the remaining five were categorised as move-independent ones, among which *presenting fictional work and/or its author* and *writer-centred statement* are thought to be specific to literary studies and related fields. In *presenting fictional work and/or its author*, the thesis writer introduces fictional work or provides information on the literary material and/or its author. Thus, this step is different from that of *reviewing previous research,* which refers to academic works published in the field. On the other hand, *writer-centred statement* is characterised as a statement that shows the thesis writer's own opinion, evaluation of, attitude toward, interest in, or experience with the topic and/or his/her own work. Examples of each move and step that appeared in the corpus are shown in Appendix 3.

Table 1. *The Rhetorical Structure Model of Literature PhD Thesis Introductions Based on the CARS Model* (adapted from Ono 2012).

Move-Specific Steps	Move-Independent Steps
MOVE 1: ESTABLISHING A TERRITORY	[TOPIC] Making topic generalisations and giving background information (M1/M3)
[CLAIM] Claiming centrality	
MOVE 2: ESTABLISHING A NICHE	
[GAP] Indicating a gap in research	[DEFINITION] Definitional clarifications (M1/M3)
(a) [LACK] A lack of research	
(b) [PROBLEM] A problem	
(c) [NEED] A need	
(d) [COUNTERCLAIM] A counterclaim	
[QUESTION] Question-raising	[PRESENTATION] Presenting fictional work and/or its author* (M1/M3)
[ADDITION] Adding to what is known	
MOVE 3: PRESENTING THE WRITER'S RESEARCH	
[AIM] Announcing present research descriptively and/or purposively	[REVIEW] Reviewing previous research (M1/M2/M3)
[APPROACH] Stating the writer's approach	
[POSITION] Stating the writer's theoretical position or perspectives	
[VALUE] Stating the value of the present study	[W-STATEMENT] Writer-centred statement* (M1/M2/M3)
[OUTCOME] Announcing principal outcomes	
[T-STRUCTURE] Outlining the structure of the thesis	

[C-STRUCTURE] Outlining the structure of chapters [C-RELATION] Describing relations between chapters [JUSTIFICATION] Positive justification and reasoning	

Note. M1 = move 1, M2 = move 2, M3 = move 3. * indicates steps specific to literature PhD thesis introductions.

3.2 Identification of DQs and other source use practices

We identified all occurrences of source use in the corpus by following Hyland's (2000) criteria for identifying citations, i.e., instances of authors' names and instances where reference was made to a specific work mentioned earlier in the text without authors' names (e.g. 'this volume', 'her article') were included while expressions not referring to specific authors and works, such as 'some early theorists' and 'Foucauldian', were excluded. We then classified the instances of source use in the corpus drawing on Hyland's (2000) framework, which consists of (a) *summary/paraphrase*, (b) *quotation*, (c) *block quotation*, and (d) *generalisation from multiple sources* (see definitions in the introduction). In addition to these four types of source use, all of which represent ways of integrating content from source texts into the writer's text, we added the category of (e) *further reference* for instances where the writer directs the reader to one or more source texts with a brief commentary but without content integration. This type of source use, also noted by Thompson (2001) and Petrić (2007), was observed in the corpus frequently enough to warrant a separate category. The following is an example from a footnote:

[1] Example of *further reference* (U6: 5)

> For a discussion of the impact and importance of novels on the reading public of all classes in the nineteenth century, see Richard D. Altick, *The English Common Reader* (Chicago: Chicago UP, 1957).

In identifying DQs, we took into account conventional signals of verbatim repetition of words from another source, i.e., quotation marks, authors' name and page number(s). Instances where quotation marks were not accompanied by a citation and page numbers (where, for instance, quotation marks are used to signal the writer's questioning stance) were excluded. One-word quotations were included if signalled by quotation marks and accompanied by citations. We followed Hyland's (2000) distinction between *quotation* and *block quotation*; the latter being longer than the former, separated from the main text and typographically marked as DQs (e.g., narrower margins and/or smaller font). Epigraphs are regarded as a *block quotation* in the analysis. Once all occurrences of source use in the corpus were identified and classified, the number and percentage of each type of instances was calculated.

Next, DQs were classified according to their location: the main text, epigraph, and footnote. The main text refers to the body of the introductory chapter. The epigraph refers to standalone text that is associated with the main theme or the subject matter of the chapter, located at the beginning of the chapter above the main text, as in the example below.

[2] Example of epigraph (3E: 1)

> Leaving Cuba is a story one tells over and over, often looking for details that reveal themselves through repetition.
>
> *Román De La Campa*

Footnotes, located at the bottom of the page and indicated by numbers, are used to offer an explanation or supplementary information related to the main text.

Next, we examined the location of DQs in the main text, using Ono's (2012) model comprising three moves and 18 steps as shown in Table 1. We then analysed the quotation environment, i.e., the steps preceding and following DQs. For this, we used information from the already tagged corpus (see Methods).

Finally, we examined source types from which DQs were taken, using bibliographic information provided in the theses. Source types were divided into four categories: (i) literary work(s) that is/are the topic of the thesis, (ii) other literary work(s), (iii) academic source (e.g., monograph, article in an edited volume, journal article, thesis/dissertation), and (iv) non-academic source (e.g., newspaper article, pamphlet). The distinction between the first two categories was made to examine the use of literary sources in more detail. We first coded 13% of the corpus independently, and inter-coder reliability was high (Cohen's kappa coefficient: κ =.88). Discrepancies were discussed until an agreement was reached and the remaining data were coded independently.

4. Results

4.1 DQs and other source use practices in PhD thesis introductions

The results show that *summary/paraphrase* is, as found in previous research (e.g., Hyland 2000) and as expected, the most common source use practice in the corpus (see Table 2).

Table 2. *Source Use Practices in the Literature PhD Thesis Introductions*

Types of source use practices	Distribution (N = 15)	N of instances	% of all instances
Summary/paraphrase	15/15	509	44.11
Quotation	15/15	476	41.25
Block quotation	13/15	90	7.80
Generalisation from multiple sources	11/15	30	2.60
Further reference	9/15	41	3.55

However, the frequency of DQs was surprisingly high. When *quotations* and *block quotations* are combined into a single DQ category (n = 566, 49.05%), their frequency surpasses the other types of source use in the corpus. On average, approximately 38 DQs were found per thesis introduction (5.7 DQs per 1000 words). These results indicate that DQs play a vital role as a source use practice in the literature PhD thesis introductions and its active, dominant use is characterised as one of the disciplinary rhetorical conventions.

DQs were spread throughout the thesis introductions and were not restricted to the main text, but also occurred in the footnotes and as epigraphs (see Table 3).

Table 3. *Location of DQs in the Literature PhD Thesis Introductions*

Location	Introduction (N = 15)	N of instances	% of all quotations	Mean	DQs per 1000 words
Main text	15	480	84.80	32	4.83
Footnote	13	78	13.80	6	0.78
Epigraph	5	8	1.41	1.6	0.08

Table 3 shows that, as expected, most DQs (84.80%) were found in the main text. However, the high occurrence of DQs in the footnotes is rather surprising: almost all introductions (13 out of 15) contained DQs in footnotes, i.e., six DQs on average, which suggests that using DQs to provide additional information in footnotes is a common practice in this corpus. It is worth noting that while the use of bibliographic footnotes is related to citation styles such as the *Chicago Manual of Style* and the *MLA Style Manual and Guide to Scholarly Writing*, our focus in this analysis was on explanatory footnotes. On the other hand, only one-third of the thesis introductions (5 out of 15) contained DQs in the epigraph (n = 8). Thus, epigraphs are a relatively common although not compulsory rhetorical convention in the literature thesis introductions.

4.2 Distribution of steps and DQs

A total of 1096 steps and 480 DQs were identified in the 15 theses (see Table 4), with almost half of the steps having DQs (43.5%), which shows their widespread occurrence. Interestingly, DQs occur in all moves although the frequency of their occurrence across steps varies substantially. DQs are highly concentrated in the move-independent steps (n = 462; 96.3%), while their presence in the move-specific steps is marginal (n = 18; 3.7%), where only APPROACH contains them in more than one introduction.

Table 4. *Distribution of Steps and DQs in the Thesis Introductions*

Step	N of introductions containing the step	N of instances of the step (% of all steps)	N of introductions containing a DQ in this step	Total N of DQ in this step (% of all DQs)
MOVE 1: ESTABLISHING A TERRITORY				
[CLAIM] Claiming centrality	9	14 (1.28)	1	2 (0.42)
MOVE 2: ESTABLISHING A NICHE				
[GAP] Indicating a gap in research	13	49 (4.47)	1	2 (0.42)
(a) [LACK] a lack of research	10	22 (2.01)	0	0
(b) [PROBLEM] a problem	5	11 (1.00)	0	0
(c) [NEED] a need	3	3 (0.27)	0	0
(d) [COUNTERCLAIM] a counterclaim	5	13 (1.19)	1	2 (0.42)
[QUESTION] Question-raising	7	20 (1.82)	0	0
[ADDITION] Adding to what is known	1	1 (1.09)	0	0

MOVE 3: PRESENTING THE WRITER'S RESEARCH				
[AIM] Announcing present research descriptively and/or purposively	14	55 (5.02)	1	1 (0.21)
[APPROACH] Stating the writer's approach	15	147 (13.41)	5	9 (1.88)
[POSITION] Stating the writer's theoretical position or perspectives	10	20 (1.82)	1	2 (0.42)
[VALUE] Stating the value of the present study	7	10 (0.91)	1	1 (0.21)
[OUTCOME] Announcing principal outcomes	12	44 (4.01)	1	1 (0.21)
[T-STRUCTURE] Outlining the structure of the thesis	7	8 (0.73)	0	0
[C-STRUCTURE] Outlining the structure of chapters	15	108 (9.85)	0	0
MOVE-INDEPENDENT STEPS				
[TOPIC] Making topic generalisations and giving background information	15	125 (11.41)	8	34 (7.08)
[DEFINITION] Definitional clarifications	6	10 (0.91)	3	7 (1.46)
[PRESENTATION] Presenting fictional work and/or its author	14	224 (20.44)	13	113 (23.54)
[REVIEW] Reviewing previous research	14	179 (16.33)	14	305 (63.54)
[W-STATEMENT] Writer-centred statement	12	82 (7.48)	2	3 (0.63)
Total		1096		480

Among the move-independent steps, the most frequent location of DQs was REVIEW (n = 305), with approximately two thirds of all DQs located within this step, and almost all (14) thesis introductions containing at least one DQ in their REVIEW step. REVIEW is also the only step containing more than one DQ on average (1.7 DQs per REVIEW step).

[3] Example of REVIEW (1G4: 3)

> In a legal context, the academic Jack Campisi has long argued that "nothing analogous to the modern concept of tribe existed before the seventeenth century" in the Americas (72).

As the purpose of REVIEW is to review previous research using academic sources, the use of DQs in this step contributes to its purpose by helping writers to present previous research accurately and, if necessary, allowing them to distance themselves from another author's view, as in the example from Chang and Schleppegrell (2011) discussed earlier. The high frequency

of DQs in REVIEW is accounted for by the fact that REVIEW is a common step that occurs multiple times throughout a thesis introduction. Some REVIEW steps contained more than one DQ in a single step: more specifically, a total of 179 REVIEW steps in 14 thesis introductions contained 305 DQs (see Table 4). Thus, density of DQs in REVIEW is far higher than that in the other steps. Although REVIEW can appear in all three moves, REVIEW with DQs tended to be present more often in move 1 than in move 2 or 3, further highlighting the alignment of DQ use with the purpose of reviewing previous research as part of establishing the territory for the study.

The second most frequent location of DQs was PRESENTATION (*n* = 113), in which most (13 out of 15) thesis introductions had DQs.

[4] Example of PRESENTATION (1A2: 19)

> In an interview with Francisco Soto Arenas revealed that he was 'basically interested in two things in the narrative world.' The first, he tells us, 'is the exploration of my personal life, my experiences, my sufferings, my own tragedies. The other is the historical world. To take that history to a completely fictitious plane. To interpret history perhaps like the people who suffered it experienced it.'[43]

Example [4] only shows a part of PRESENTATION; the PRESENTATION steps tend to be longer. As in example [4], a single PRESENTATION step can have multiple DQs, which is similar to REVIEW. PRESENTATION, whose purpose is to present the fictional work under analysis and/or its author, is a step specific to literary studies. It is implied that DQs are also highly related to this step because they provide a means of achieving this function in an accurate and vivid manner. While move 3 can contain PRESENTATION, most DQs in PRESENTATION, as in the case of REVIEW, appeared in establishing a territory in move 1.

The third frequent location of DQs, although considerably less commonly than REVIEW and PRESENTATION, was TOPIC (*n* = 34), where nearly half (8 out of 15) of the thesis introductions contained DQs.

[5] Example of TOPIC (2G6: 22)

> Through marriage a woman's legal identity was eclipsed by her husband's, in a process called 'coverture' dating back to the Norman period.[38]

This example illustrates that a topic or an issue related to subject matter in the thesis can be introduced through DQs. Unlike REVIEW and PRESENTATION, DQs in TOPIC tended to be short with just one keyword being quoted as seen in example [5]. This is similar to quotation fragments used to attribute terms and concepts to their originators (see Petrić 2012). Furthermore, it was observed that DQs in TOPIC were likely to occur in move 1 and seldom in move 3.

Another interesting finding about the move-independent steps concerns the use of DQs in DEFINITION although only three thesis introductions showed a total of seven instances of this DQ use.

[6] Example of DEFINITION (1G4: 1)

> Thus my use of terminology in this work is subject to what Gayatri Spivak defines as 'strategic essentialism': the "vigilant" use of essentialism "without necessarily making an overall commitment to th[is] kind of concept" (The Postcolonial Critic 11).

[7] Example of DEFINITION (2G9: 6)

> In a discussion on the definition of Utopia Ernst Bloch and Theodor Adorno concur that there are 'very different types of Utopian consciousness [...] because there is nothing like a single, fixable Utopian content'.[3]

These examples of DQs in DEFINITION are instances of thesis writers' interventions in the quotes. In example [6], the writer adds "[is]" to slightly modify the definition. By doing so, the writer's ownership is shown while maintaining the original meaning of the quoted text. Example [7], on the other hand, omits some information using "[…]", with only the parts the writer considers relevant selected for the DQ. As the purpose of DEFINITION is to explain the meaning of key terms and concepts that will be used in the thesis, DQs support the function of this step by increasing precision of expression and accuracy of representation as exact or slightly modified wording of definitions is provided from the original sources. Although only three DEFINITION steps use DQs, it is worth noting that only six introductions contained this step (see Table 4); therefore, DQs appeared in nearly half of the introductions where this step occurred, in seven out of the total of ten DEFINITION steps. The relatively low occurrence of this step in the corpus may be explained by disciplinary expectations that key terms and concepts should be elaborated in later thesis chapters rather than the introduction.

In sum, the use of DQs in the literature thesis introductions varied considerably among the steps, yet the move-independent steps, especially REVIEW, PRESENTATION, and TOPIC, which together accounted for 94.2% (452 of 480) of all DQ locations, tended to carry DQs more frequently than the move-specific ones. Further, DQs tended to be present in these steps when they were part of move 1 more often than when they occurred in move 2 or 3, helping the writer to establish the territory for the thesis.

4.3 Quotation environment

The relationship between DQs and their surrounding steps was scrutinised by determining the steps that precede and follow each of the DQs identified in the corpus. Table 5 shows the steps preceding the DQs. As seen here, in most instances (318 out of 413; 77%), the preceding step was the same as the quoting step. Among such steps, REVIEW appeared most frequently before the quoting steps, with 14 thesis introductions having 202 such instances. The second most frequent step was PRESENTATION, with 12 thesis introductions showing 74 instances. The third most frequent step was TOPIC, where eight thesis introductions showed 26 instances.

Table 5. *Steps Occurring Before DQs*

Step	Same as the quoting step		Different from the quoting step	
	Introduction (N = 15)	N of instances	Introduction (N = 15)	N of instances
MOVE 2: ESTABLISHING A NICHE				
GAP	1	2	6	6
(a) LACK	0	0	1	1
(b) PROBLEM	0	0	2	2
(d) COUNTERCLAIM	1	2	3	3
QUESTION	0	0	3	3
MOVE 3: PRESENTING THE WRITER'S RESEARCH				

AIM	0	0	7	10
APPROACH	5	6	7	11
POSITION	0	0	2	2
VALUE	1	1	0	0
OUTCOME	1	2	3	3
C-STRUCTURE	0	0	4	4
MOVE-INDEPENDENT STEPS				
TOPIC	8	26	10	18
DEFINITION	3	4	2	2
PRESENTATION	12	74	9	19
REVIEW	14	202	3	4
W-STATEMENT	1	1	6	13
Total		318		95

In contrast, the quoting steps differed from the preceding ones in less than a quarter of all instances (95 instances; 23%). The most frequent such steps were three move-independent steps; more specifically, 10 thesis introductions had TOPIC appearing before the quoting steps (n = 18), nine had PRESENTATION before the quoting steps (n = 19), and six had W-STATEMENT preceding the quoting steps (n = 13). For move-specific steps regarding move 3, on the other hand, seven thesis introductions had AIM before the quoting steps (n = 10) and seven had APPROACH preceding the quoting steps (n = 11).

The quotation environment after quoting steps was also investigated, and Table 6 shows a similar pattern in that in most instances (302 out of 409; 74%), the step following the DQ is the same as that that contains a DQ. In line with the results shown in Table 5, the same three move-independent steps occurred frequently after the quoting steps, namely REVIEW (14 thesis introductions: n = 198), PRESENTATION (13 thesis introductions: n = 72), and TOPIC (8 thesis introductions: n = 22). These three steps together accounted for 96.7% (292 of 302) of all the steps following the quoting step that belonged to the same step.

Table 6. *Steps Occurring After DQs*

Step	Same as the quoting step		Different from the quoting step	
	Introduction (N = 15)	N of instances	Introduction (N = 15)	N of instances
MOVE 2: ESTABLISHING A NICHE				
GAP	1	1	7	14
(a) LACK	0	0	3	3
(b) PROBLEM	0	0	3	5
(d) COUNTERCLAIM	1	1	4	6
QUESTION	0	0	2	3
MOVE 3: PRESENTING THE WRITER'S RESEARCH				
AIM	2	2	5	8
APPROACH	1	1	7	12
POSITION	0	0	4	5
OUTCOME	1	1	4	5
C-STRUCTURE	0	0	1	1

MOVE-INDEPENDENT STEPS				
TOPIC	8	22	11	18
DEFINITION	3	4	0	0
PRESENTATION	13	72	10	18
REVIEW	14	198	7	12
W-STATEMENT	1	1	6	11
Total		302		107

In contrast, 107 steps (26% of the total) occurring right after the quoting steps were different. A wide variation in steps was observed after the quoting steps, including frequent steps related to move 2 (i.e., GAP: n = 14) and move 3 (i.e., AIM: n = 8, APPROACH: n = 12) as well as move-independent steps (i.e., TOPIC: n = 18, PRESENTATION: n = 18, REVIEW: n = 12, W-STATEMENT: n = 11). Thus, there does not seem to be a dominant pattern of specific steps following the quoting step when steps are different.

The excerpts presented below are instances of frequent combinations of DQs and the steps that follow. Example [8] shows a combination of REVIEW and GAP (PROBLEM). In this instance, DQ appears after a colon instead of being embedded in the sentence. The following GAP refers to the information presented in the REVIEW step using the phrase "In this context" to link them.

[8] Example of REVIEW + GAP (2E: 3)

> **[REVIEW]** The imperial origins of the 'tribe' are apparent in the implicitly imperial concept of 'naming.' The Anishinaabe (Ojibway-Chippewa) critic Gerald Vizenor, for instance, argues that contemporary tribal names are themselves imperial impositions: "the christened names of discovery and dominance" (*Manifest Manners* 10). **[GAP: PROBLEM]** In this context, many tribes have in recent years begun to reject the imposed names of imperialism. Consequently, the majority of tribal groups in the United States have chosen to overwrite these names with terms that derive from their own languages, and from their own perceptions of themselves as a people.

REVIEW and GAP are strongly connected in making a niche with or without DQs, and, as Table 6 shows, any substep of GAP (LACK, PROBLEM, and COUNTERCLAIM) can follow DQs in move 2.

Another interesting pattern is DQs followed by thesis writers' critical evaluations, including criticism, counterclaim, disagreement, and agreement (W-STATEMENT). Example [9] illustrates a combination of PRESENTATION and W-STATEMENT in which the thesis writer's positive evaluation is demonstrated.

[9] PRESENTATION + W-STATEMENT + PRESENTATION (9W: 6-7, emphasis added)

> **[PRESENTATION]** Glissant's essays, in addition, relate such notions to a distinctive vision of the black diaspora. Invoking Brathwaite's phrase "[t]he unity is submarine", and articulating a shared experience of dislocation, he conceives of "the subterranean convergence of [Caribbean] histories". He writes, "[w]e are the roots of a cross-cultural relationship. Submarine roots: that is floating free, not fixed in one position in some primordial spot, but extending in all directions in our world through its network of branches. We, thereby, live … this shared process of cultural mutation".[18] **[W-STATEMENT]** Glissant's interpretation of rootedness is illuminating for my

consideration of cultural dislocation and connection in Morrison's fiction. **[PRESENTATION]** He as well, however, describes suggestive oceanic imagery, finding the "depths" not only to connote the losses and horrors of the Middle Passage, but also to constitute "the site of multiple converging paths".[19]

In this example, the writer uses DQs to provide relevant details about the quoted work (i.e., Glissant's essays), which is followed by the presentation of his/her positive view on the quoted information ("Glissant's interpretation is … illuminating") in W-STATEMENT. This positive evaluation also serves as the rationale for using the work in the writer's thesis ("for my consideration … Morrison's fiction") in W-STATEMENT. Example [9] also illustrates instances where PRESENTATION occurs in a cyclical manner, with W-STATEMENT embedded between two PRESENTATION steps to show the thesis writer's evaluation of the information in the preceding step.

4.4 Source types used for DQs

The analysis of source types used for DQs shows that, as expected, academic sources are most frequently used for DQs (n = 435 or 90.6%; see Figure 1 and Table 7). Among academic sources, monographs are by far the most common source, with all introductions using monographs for DQs (n = 326). The second most popular source for DQs is articles in edited volumes, with 13 thesis introductions having 63 DQs from this source text type. Journal articles, on the other hand, are not as often used for DQs, with 12 thesis introductions containing 43 DQs from this type of publication. Compared to academic sources, literary works are far less common sources for DQs, with only seven thesis introductions containing ten such DQs. Comparing the two categories of literary work provides an interesting insight: when the literary work is the topic of the thesis, the number of DQs is much higher (n = 36) than when it is not (n =10), even though such DQs are used in the same number of theses. It is also noteworthy that a wide range of non-academic sources were used for DQs, including brochures, pamphlets, newspaper articles, and posters.

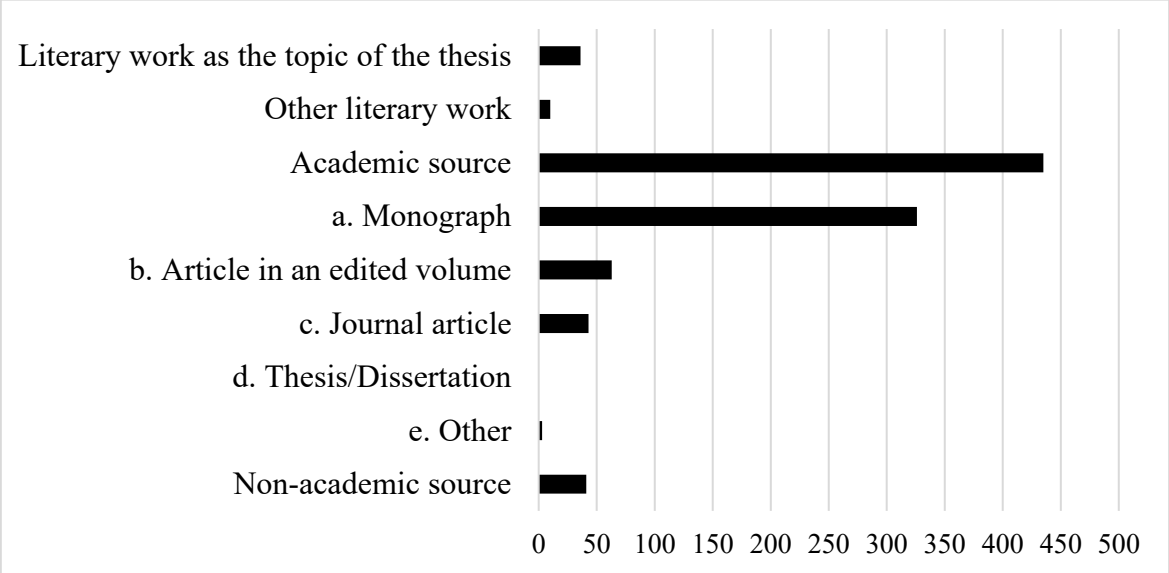

Figure 1. Source types of DQs in the literature PhD thesis introductions.

Table 7. *Source Types of DQs in the Literature PhD Thesis Introductions*

Source type	Introduction (N = 15)	N of instances	Normalised (per 1000 words)

Literary work as the topic of the thesis	7	36	0.36
Other literary work	7	10	0.10
Academic source	15	435	4.37
a. Monograph	15	326	3.28
b. Article in an edited volume	13	63	0.63
c. Journal article	12	43	0.43
d. Thesis/Dissertation	0	0	0
e. Other	2	3	0.03
Non-academic source	10	41	0.41
Total		522	5.22

Next, the relationship between source types of DQs and the rhetorical function is considered by focusing on the five steps (i.e., REVIEW, PRESENTATION, TOPIC APPROACH, and DEFINITION) that frequently carried DQs (see Table 8).

Table 8. *Major Source Types of the Steps Containing the Highest Numbers of DQs*

Source type	REVIEW (n = 305)	PRESENTATION (n = 113)	TOPIC (n = 34)	APPROACH (n = 9)	DEFINITION (n = 7)
Literary work as the topic of the thesis	10	30	0	1	0
Other literary work	1	3	0	1	2
Academic source	266	68	29	5	5
a. Monograph	192	62	18	3	5
b. Article in an edited volume	43	2	6	2	0
c. Journal article	29	4	5	0	0
e. Other	2	0	0	0	0
Non-academic source	28	12	5	2	0
Total	305	113	34	9	7

Table 8 reveals an interesting difference in the distribution of DQs across steps depending on the type of source used: while academic and non-academic sources are predominantly used for DQs in REVIEW, literary works are primarily used in PRESENTATION, both when they are the topic of the thesis and not. Another interesting difference is that literary works, unlike other source types, are not used for DQs in TOPIC. These findings suggest that literary works are used for DQs for rhetorically different purposes from academic and non-academic sources. A curious finding is that although DEFINITION contains DQs from academic sources, more precisely monographs, as expected, in two instances literary works are used for this step as well. As shown in the excerpt below, the thesis writer quoted the information from two

literary works entitled *Tree and Leaf* and *The Virago Book of Fairy Tales* to define the key concept, "fairy tales."

[10] Example of DEFINITION (W25: 7-8)

> Tolkien, however, proposes that fairy tales are
>
> > not in normal English stories about fairies or elves, but stories about Fairy, that is *Faērie*, the realm or state in which fairies have their being […] it holds the seas, the sun, the moon, the sky; and the earth, and all things that are in it: tree and bird, water and stone, wine and bread, and ourselves, mortal men, when we are enchanted.[13]
>
> Fairy tales, then, according to Tolkien, need not contain fairies; they are in fact, as Angela Carter says, 'thin on the ground'.[14]
>
> [13] J.R.R. Tolkien, *Tree and Leaf* (London: George Allen & Unwin, 1964), p. 16.
> [14] Angela Carter, 'Introduction' in *The Virago Book of Fairy Tales*, ed. By Angela Carter (London: Virago Press, 2003), pp. ix-xxii (p. ix).

A combination of block quotation and quotation clarifies the definition of "fairy tales" in a detailed manner. Using DQs from literary works for DEFINITION is likely to be a discipline-specific practice which merits further study. As for academic sources, monographs are the most frequent source type used for DQs both overall and within each step investigated, and is the only source type used for DQs in all five steps.

5. Discussion

5.1 What is the frequency of DQs in relation to other source use practices in literature PhD thesis introductions?

This study has found that DQs are the most common source use practice in literature PhD thesis introductions, closely followed by *summary/paraphrase*. This is a surprising finding, since previous research reported that DQs are relatively common but not the dominant type of source use in the humanities and soft fields in general (e.g., Hyland 2000; Pecorari 2006; Maguiro 2020). Little directly comparable data is available in the literature due to lack of similar studies. The closest is Thompson's (2001) study of source use in doctoral theses in agricultural botany, a life science, and agricultural and food economics, a social science, which found 1.88 and 28.63 DQs per thesis, respectively. Compared to these figures, which refer to complete thesis texts, the figure of 38 DQs per thesis in the present study, which concerns thesis introductions only, is considerably higher. Such large degree of disciplinary variation in the use of DQs has also been found in the research article genre. For instance, Maguiro (2020), in a study of research articles in three interdisciplinary fields, Educational Neuroscience, Economic History, and Science and Technology Studies, found that the numbers of DQs in the three subcorpora, each consisting of 150 journal articles, ranged from 19 to 164 to 339, respectively (mean values of 0.13, 1.09 and 2.26 per article). She explains the differences with reference to the nature of the interdisciplinary fields and the relationship between the subdiscipline within each of them. Writers' preferences for DQs in our study can also be related to the specific nature of literary studies. Similar to all other soft fields, writers in the discipline of literature use DQs in the process of constructing knowledge to foreground ideas (Hyland 2000) and personal interpretations (Becher & Trowler 2001). In addition, the discipline-specific focus on the examination of literary texts increases the need

for writers to use DQs for accurate and vivid presentation of works under literary analysis thus contributing to their higher occurrence.

However, this study has also identified a high degree of individual variation, similarly to previous research on DQ use (Petrić 2012; Docherty 2019). The variation may be due to the specific topic, or the thesis writers' preference for DQs over other source use practices such as paraphrasing/summarising (Thompson 2005; Samraj 2013).

5.2 Which rhetorical steps carry DQs in literature PhD thesis introductions?

The findings show that DQs occur in all moves in thesis introductions, which is partly in accordance with Swales (2004) who indicated that source use (including DQs) is required in move 1 but is optional in moves 2 and 3. However, the frequency of occurrence of DQs varies considerably among moves and steps, with the vast majority of DQs appearing in move-independent steps, which occur cyclically throughout introductions. More specifically, DQs predominantly appear in REVIEW, PRESENTATION, and TOPIC steps. The high frequency of DQs in these steps is partly explained by these steps' frequent occurrence in the thesis introductions (Ono 2012, 2017), which provides more opportunities for DQs to be used. Another reason for predominant occurrence of DQs in these steps is related to the rhetorical functions of these steps, since their realisation requires citations to sources which the writer reviews, presents or uses to introduce and explain topics, which writers may choose to do by using DQs alone or in combination with *summary/paraphrase*. This explanation, particularly regarding DQs in the REVIEW and TOPIC steps, is in line with Swales' (2004) revised CARS model, in which reviewing previous literature occurs repeatedly using citations throughout research article introductions. Although thesis and research article introductions are different genres, they share the same rhetorical purpose (i.e., creating a research space), as shown by previous studies (e.g., Bhatia 1997; Bunton 2002; Soler-Monreal et al. 2011; Kawase 2018); therefore, this explanation applies to thesis introductions as well. As regards DQs in PRESENTATION of fictional work and/or its author, a step specific to the discipline of literature, the fact that half of the PRESENTATION steps in the corpus contain a DQ, with almost of a quarter of all DQs in the corpus occurring in this step, shows the importance of DQs for the realisation of this step and thus also the important contribution DQs make to fulfilling the discipline-specific rhetorical purpose of thesis introductions.

Another remarkable finding is that multiple DQs are often used in a single step, especially in REVIEW, which is the only step containing more than one DQ on average, but also in PRESENTATION, and TOPIC. This is accounted for by the characteristic features of these steps: they tend to be long, involve a large amount of information, and use multiple sources. The frequent use of DQs in these steps suggests that they are an important means for writers to achieve the rhetorical purposes of these steps since DQs enable writers to provide objective and faithful representations of other authors' work and to create a discursive space for writers' own stance where required. The patterns observed in the use of DQs in these steps, such as the use of single-word DQs in TOPIC to introduce terms and concepts (also found in Petrić 2012) and the use of intervention techniques such as adding or omitting text to make the quoted material fit the writers' purpose, show that writers invest effort to weave DQs into their writing while maintaining their ownership over the text.

5.3 What is the relationship between the steps carrying DQs and those preceding and following them?

The quotation environment is complex in literature PhD thesis introductions because there is a wide variety of combinations of the quoting steps and those preceding and following them. This is because the rhetorical structure of literature thesis introductions varies from thesis to thesis (Ono 2017) unlike the three-move structure of research article introductions in

the sciences (e.g., Swales 1990, 2004). A close look at the steps that occur before and after DQs showed that steps preceding and following DQs are likely to be the same as the quoting step. This finding indicates that DQs are often located in the middle of the step. This tendency was most prominent in move-independent steps, namely REVIEW, PRESENTATION, and TOPIC. However, when the step preceding and following the quoting step was different from it, no clear pattern was dominant and a wide range of sequences was observed.

One of the interesting patterns identified is DQs followed by thesis writers' evaluation or comments (W-STATEMENT). This step, which may appear immediately or a few sentences after the quoting step in the same paragraph, indicates writers' stances on the quoted text and is vital in understanding thesis writers' authorial voice. The use of DQs in such instances is likely to be motivated by their rhetorical function of distancing from the quoted text, which creates a discursive space for the writer's own contribution. However, this remains to be examined in future studies using interviews with thesis writers.

5.4 What types of source texts are used for DQs in literature PhD thesis introductions?

The results show that a variety of source types – academic, non-academic, and literary works, were used for DQs in thesis introductions although to varying extents. As expected given the research genre of the PhD thesis, academic sources were by far the most frequently used source for DQs in all thesis introductions. Among academic sources, monographs were the most common source for DQs, which is consistent with Becher and Trowler's (2001) finding that monographs are most favoured for citations in the soft disciplines and with studies focusing on doctoral theses in literary studies specifically (Kushkowski, Parsons & Wiese 2003). Monographs were also the only source type found to be used for DQs in all investigated steps (REVIEW, PRESENTATION, TOPIC, APPROACH, DEFINITION). However, the findings did not completely follow expectations based on previous research in that the second most common source for DQs was book chapters, followed by journal articles, while previous research on literary studies theses shows that journal articles were used more frequently than book chapters (Kushkowski, Parsons & Wiese 2003).

Non-academic sources were also used for DQs in thesis introductions, most frequently in REVIEW and PRESENTATION steps, but were also present in TOPIC and APPROACH. The presence of non-academic sources is an interesting feature of literature thesis introductions that merits further research.

Literary works as sources for DQs were the least frequent in thesis introductions. This is expected, since literary works are more likely to be analysed in detail, and therefore quoted, in later chapters of the thesis. However, when literary works were used for DQs, their pattern of occurrence differed from that of other sources in that while academic and non-academic sources were most frequently used for DQs in REVIEW, literary sources were most frequently used for DQs in PRESENTATION. As this step is specific to literature, where fictional works and their authors are presented, it is interesting that DQs are used to support the rhetorical function of this step, which is likely related to DQs's rhetorical function to objectively and accurately present the source rather than to their distancing function. Also of interest is the use of DQs from literary works for DEFINITION, which is another possible discipline-specific practice worth exploring further.

Overall, the findings indicate that source types are associated with the rhetorical steps in introductions. Unlike hard fields, where the journal article is often the only source for citations (Becher & Trowler 2001), wide variation of source types and preference for monographs seem to characterise disciplinary patterns of source use in literature.

6. Conclusion

This study of the DQ practice in the rhetorical structure of literature PhD thesis introductions written by L1 English PhD candidates has found that DQs are the most common source use practice in literature PhD thesis introductions, closely followed by *summary/paraphrase*. DQs appear not only in the main text, but also in the footnotes and are occasionally used as epigraphs. In terms of their contribution to the realisation of the rhetorical purposes of thesis introductions, DQs are mainly used for the purpose of *reviewing previous research*, *presenting fictional work and/or its author*, and *making topic generalisations and giving background information*. These move-independent steps displayed a far stronger association with DQs and more frequent adaptation of DQs than move-specific steps. While use of sources in general was related to *reviewing previous research* in previous research, our study shows that DQs, as a specific source use strategy, support this rhetorical step in literature thesis introductions. Another novel finding this study offers is that DQs support the discipline-specific step of *presenting fictional work and/or its author*, and thesis writers tend to use literary sources in addition to academic and non-academic sources for this purpose. Finally, the study has made a contribution in examining DQs by mapping them onto the rhetorical structure of introductions, thus combining genre analysis with DQ analysis. This has proved to be a fruitful approach since it enabled us to go beyond establishing DQ frequencies and understand how DQs are aligned with and help support the rhetorical purposes of the steps that carry them.

Although the corpus used in the study was small, therefore not allowing us to make generalisations, the findings open up avenues for further research, such as combining textual analysis with interviews with writers to understand their rhetorical intentions regarding the use of DQs more fully. An interesting question in this line of research would be to investigate when and why DQs are used by writers as a rhetorical choice as opposed to a compensation strategy. Another promising research direction is to analyse thesis writers' intervention strategies (e.g., addition, omission, translation) and their strategies for integrating DQs into their writing at the sentence and step level, particularly in instances where multiple shorter DQs are incorporated within single steps.

The findings of this study also have important pedagogical implications. While general academic writing courses tend to advise students to avoid overuse of DQs, our findings about frequent use of DQs in literature suggest that such advice may not be appropriate in case of literature and possibly other humanities. Instead, L2 and novice L1 students in such disciplines should be provided with instruction on effective discipline-specific use of DQs. For instance, students may be asked to analyse textual integration and rhetorical purposes of DQs in excerpts such as the ones in this study. However, teaching DQ use should be incorporated into genre-based writing instruction (Hyland 2004) rather than taught in isolation. Thus, genre analysis of selected thesis introductions with a focus on DQs and other types of source use would help develop writers' genre awareness and rhetorical consciousness. Finally, activities requiring writers to analyse their own introduction drafts in terms of moves/steps and their source use practices, including DQs, can be followed by discussion tasks requiring them to justify their quoting decisions. The discipline-oriented writing instruction and practice is expected to deepen writers' discipline-specific genre knowledge and familiarise them with disciplinary writing culture.

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Appendix 1: A CARS model (adapted from Swales 1990: 141)

Move 1 Establishing a territory

Step 1 Claiming centrality
and/or
Step 2 Making topic generalization(s)
and/or
Step 3 Reviewing items of previous research

Move 2 Establishing a niche

Step 1A Counter-claiming
or
Step 1B Indicating a gap
or
Step 1C Question-raising
or
Step 1D Continuing a tradition

Move 3 Occupying the niche

Step 1A Outlining purposes
or
Step 1B Announcing present research
Step 2 Announcing principal findings
Step 3 Indicating RA structure

Appendix 2: A revised CARS model (adapted from Swales 2004: 230, 232)

Move 1 Establishing a territory (citation required)
via
Topic generalisations of increasing specificity

Move 2 Establishing a niche (citation possible)
via
Step 1A Indicating a gap
or
Step 1B Adding to what is known
Step2 (optional) Presenting positive justification

Move 3 Presenting the present work (citation possible)
via
Step 1 (obligatory) Announcing present research descriptively and/or purposively
Step 2* (optional) Presenting RQs or hypotheses
Step 3 (optional) Definitional clarifications
Step 4 (optional)Summarising methods
Step 5 (PISF**) Announcing principal outcomes
Step 6 (PISF) Stating the value of the present research
Step 7 (PISF) Outlining the structure of the paper

*Step 2-4 are not only optional but less fixed in their order of occurrence than the others
**PISF: Probable in some fields, but unlikely in others

Appendix 3: Definitions and examples of each step in the literature PhD thesis introductions (definitions were adapted from Ono 2012)

Move-Specific Steps

Move 1: Establishing a territory

Step	Definition	Example
Claiming centrality (CLAIM)	The writer claims that his/her research field or topic is important, well-established, or popular.	Detective fiction is powerful vehicle of literary exploration, an interpretive framework by which significant social, racial and sexual issues in society are revealed. (1E: 1)

Move 2: Establishing a niche

Step	Definition	Example
Indicating a gap in research (GAP)	The writer points out a gap in previous research to be filled by the present study, by stating:	

(a). A lack of research (LACK)		There is no critical work on Mitchison which assesses her fiction in purely literary terms, considering style, figures of speech and formal qualities without reference to history, politics and ideas. (4E: 13)
(b). A problem (PROBLEM)		As suggested above, many of the terms employed to locate culturally Defoe's personal and religious background are problematic enough before even engaging in questions of authorial personae. (12U: 12)
(c). A need (NEED)		To gain true understanding of the story the reader needs to consider how and why the events of the novel occur as they do; discuss Kelman's handling of the cyclical and fragmented narrative structure and, perhaps most importantly, assess the consequences Kelman's use of language has for that narrative. (5E: 5)
(d). A counterclaim (COUNTERCLAIM)		Yet, again, this only ambiguously describes one possible feature of Kelman's writing and does not account for the socio-political contest over discourses and the authority of discourses which becomes particularly explicit in Kelman's later fiction. (5E: 7)
Question-raising (QUESTION)	The writer raises questions regarding the topic or previous research conducted in the field.	How specifically different were the functions of wills in the seventeenth century from the practice of previous centuries? (6W: 11)
Adding to what is known (ADDITION)	The writer extends or supports previous knowledge by using theories, approaches, or methods used in previous research.	Ette's collection has provided me with an important framework through which to read Arenas and that is the notion of two Cuban literatures—of inside Cuba and of outside of Cuba. I develop this idea of writing inside and outside of the island throughout this thesis where explore the boundary, the in-betweenness of Arenas' existence as an exile, as elucidated in his writings. (3E: 33)

Move 3: Presenting the writer's research

Step	Definition	Example
Announcing present research descriptively and/or purposively (AIM)	The writer states a research purpose or a research question or gives an outline of the present research.	The aim of this thesis is to analyse the various effects that death and inheritance procedures have on literature in the seventeenth century. (6W: 39)

Stating the writer's approach (APPROACH)	The writer indicates methods or approaches used in the present study.	I compare Mitchison's conception of slavery with that of other writers in Britain in the 1930s, … (4E: 16)
Stating the writer's theoretical position or perspectives (POSITION)	The writer states his/her theoretical position or perspectives to be taken in the present study based on previous researchers or literature.	I utilise this theoretical framework in my reading of the *Pentagonía* as whole where we see the borders between abject and subject bleed into one another. I also employ Barbara Creed's reworking of Freudian and Lacanian theorising of the mother figure, whereby the mother is consuming, castrating figure. I follow this line of thinking through to its logical conclusion with the mother, rather than the father, constituting the Law. (3E: 39)
Stating the value of the present study (VALUE)	The writer states the significance or originality of the present study or contributions to the field.	This present study hopes, also, to contribute to this real need for critical engagement on a textual level. I also hope to contribute to a fledgling archive of criticism on Arenas' *Pentagonía*. (3E: 34)
Announcing principal outcomes (OUTCOME)	The writer provides findings or outcomes of the present study.	I argue that in Hammett's work, the plight of the individual self is dramatized in the detective's internal and external struggle to locate truth and meaning behind the events in the tales. Yet the detectives remain conscious that in an increasingly corrupt society, embroiled in struggles between political and economic discourse, no such truth can ever be found. (1E: 9)
Outlining the structure of the thesis (T-STRUCTURE)	The writer provides the overall structure of the thesis.	The first three chapters of this study follow these changes, although each chapter is complete in itself; the thesis consists of series of essays, rather than single argument. (4E: 15)
Outlining the structure of chapters (C-STRUCTURE)	The writer provides the organisation and/or a brief synopsis of chapters/volumes/parts/sections.	Chapter Two analyses the stylistic achievement of Raymond Chandler, who by contrast, locates truth in his private eye Philip Marlowe. (1E: 10)

Move-Independent Steps

Step	Definition	Example

Making topic generalisations and giving background information (TOPIC) [Moves 1 & 3]	The writer makes general statements about knowledge, theme, practice or phenomena in the field or provides background information about the field or topic.	The formula of detective fiction, the unravelling of mystery and the method of deduction leading to solution mirrors the reading process itself. It is means of presenting an individual society as text to be read; its uncertainties and contradictions are laid bare in order for solution to be found. It echoes the universal narrative process of revelation and explanation, during which the textual body is uncovered and its nakedness explored. Delving into its depths enables the reader to explore his own dark heart, in order to seek out essential truths about the self and society. (1E: 1)
Definitional clarifications (DEFINITION) [Moves 1 & 3]	The writer clarifies terminology or key words in the field.	Since my emphasis is firmly upon self-definition, am employing the terms 'America' and 'American' in reference to the popular, popularised and idealised self-image of the United States. (2E: 4)
Presenting fictional work and/or its author (PRESENTATION) [Moves 1 & 3]	The writer summarises fictional work or provides background information about material and/or its author.	The first detective story as recognisable form in English was Edgar Allan Poe's short story, 'The Murders in the Rue Morgue' (1841). The influence of this tale and the later two, 'The Mystery of Marie Roget' (1842-43) and 'The Purloined Letter' (1844)[4] involving Dupin, Poe's prototype detective, have been immense, profoundly affecting both readers and writers of the genre. (1E: 3)
Reviewing previous research (REVIEW) [Moves 1, 2, & 3]	The writer refers to previous studies to provide an overview of the field/topic or to raise an issue relevant to the present study.	According to Philippe Lejeune the autobiography can be clearly distinguished from other narrative forms, such as the novel, through the convergence of authorial signature and narrator: the protagonist, narrator and author must share the same name.[20] (3E: 10)

Writer-centred statement (W-STATEMENT) [Moves 1, 2, & 3]	The writer states his/her own attitude, opinion, evaluation, experience, motivation or interest about his/her own work and/or the topic.	Although I would recommend both these biographies of Mitchison as considered, well-written and informative works, I am engaged in critical study, which concentrates on published fiction written by particular author, rather than biography, which prioritises the life of its subject through linear temporality that stresses causation. (opinion, attitude, 4E: 8, emphasis added) It is crucial to achieve balance of gender when considering literature, both in examining relationships with authorship and in evaluating women's role in inheritance across the period. (evaluation, 6W: 18, emphasis added) My concern in this thesis is with the representation and reproduction of the home as literary trope and material space in the work of number of twentieth century working-class authors. (interest, 7W: 3, emphasis added)

Appendix 4: List of PhD theses examined[2]

1. Barker, E. (2008). American detective fiction: Four transformations. [literary genre]

2. Tillett, R. (2003). Contentious repertories: Political dialogues of contemporary native American storytelling. [literary genre]

3. McMahon, W. (2008). Dislocated identities: Exile and the self as (m)other in the work of Reinald Arenas. [single author]

4. Shaw, S. (2003). Traces of empire, seeds of desire: Africa and woman in the novels of Naomi Mitchison. [single author]

5. Bewick, M. (2003). Reading James Kelman: Writing from authority. [single author]

6. McKenzie, S. (2003). Death, inheritance and the family: A study of literary responses to inheritance in seventeenth century England. [literary genre]

7. Wilson, N. (2007). Reproducing the home in English working-class fiction, 1913-1960. [literary genre]

[2] A list of the other five theses is not allowed to be shown due to the university policy.

8. Pemberton, M. (2008). Glimpses of utopia and dystopia in Victorian fairylands. [literary genre]

9. Terry, J. (2003). Shuttles in the rocking loom of history: Dislocation in Toni Morrison's fiction. [single author]

10. Eardley, A. (2008). An edition of Lady Hester Pulter's book of 'emblems.' [single author]

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