Move-step Structures of Literature Ph.D. Theses in the Japanese and UK Higher Education

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Abstract: This study investigates the move-step structures of Japanese and English introductory chapters of literature Ph.D. theses and perceptions of Ph.D. supervisors in the Japanese and UK higher education contexts. In this study, 51 Japanese and 48 English introductory chapters of literature Ph.D. theses written by first language writers of Japanese or English were collected from three Japanese and three British universities. Genre analysis of 99 introductory chapters was conducted using a revised "Create a Research Space" (CARS) model (Swales, 1990, 2004). Semi-structured interviews were also carried out with seven Japanese supervisors and ten British supervisors. The findings showed that the introductory chapters of literature Ph.D. theses had 13 move-specific steps and five move-independent steps, each of which presented different cyclical patterns, indicating cross-cultural similarities and differences between the two language groups. The perceptions of supervisors varied in terms of the importance and the sequence of individual steps in the introductory chapters. Based on the textual and interview analyses, a discipline-oriented *Open-CARS* model is proposed for pedagogical purposes of teaching and writing about this genre in Japanese or English in the field of literature and related fields.

Keywords: Genre analysis; Rhetorical structure; Literature Ph.D. thesis; Perception of supervisor; Disciplinary writing

1. Introduction

Writing a Ph.D. thesis is a challenging requirement for doctoral candidates in higher education contexts across the globe, being regarded as "a most formidable task for many graduate students" (Dong, 1998, p. 369). The importance and complexity of the thesis genre are due to its genre status as "the highest form of assessed student writing" (Thompson, 2012, p. 119). A growing interest in the thesis genre has appeared in genre research with a focus on various aspects of Ph.D. theses being investigated, such as the thesis macrostructure (Paltridge, 2002; Ridley, 2000; Starfield & Ravelli, 2006), introductions (Bunton, 2002; Gil-Salom, Soler-Monreal, & Carbonell-Olivares, 2008; Soler-Monreal, Carbonell-Olivares, & Gil-Salom, 2011), literature reviews (Kwan, 2006; Ridley, 2000) and conclusions (Bunton, 2005). The text of Ph.D. theses has also been examined in terms of citation practices (Thompson, 2000, 2001), rhetorical structures (Bunton, 1999; Parry, 1998) and the use of metadiscourse by Japanese researchers (Kawase, 2015). As shown above, hitherto the thesis genre has been scrutinised mainly by using textual analysis.

Among the sections that make up a Ph.D. thesis, the introduction is one of the most difficult and important to write, which is also the case for the introduction of a research article (Swales, 1990, 2004; Swales & Feak, 1994). The central role of the introduction in academic genres is illustrated by Swales (1984, 1990) who presented a schematic model called the "Create a Research Space" (CARS) model. The CARS model employs two types of units, namely *move* and *step*. "A 'move' in genre analysis is a discoursal or rhetorical unit that performs a coherent communicative function in a written or spoken discourse" (Swales, 2004, p. 228). A 'step' is located under a move and is seen as a sub-move that has a communicative function for the realisation of the relevant move. That is, both move and step are functional units and "flexible in terms of [their] linguistic realization" (Swales, 2004, p. 229)". The CARS model shows that the introduction consists of three rhetorical units: Move 1 is 'establishing a territory', Move 2 is 'establishing a niche', and Move 3 is 'occupying the niche'. Furthermore, Bunton (2002) examined the Ph.D. introductions collected from ten disciplines in a Hong Kong university written by native-English writers and non-native-English writers. Bunton (2002) reported that the Ph.D. introductions varied in terms of rhetorical structure, depending on disciplines. He found a frequent cycling pattern occurred between Move 1 and Move 2, and the sequence of Move 1_Move 2_Move 3 was less frequent in his corpus. Bunton's findings indicated that some steps were discipline-independent, while others were discipline-specific and only occurred in introductions in certain disciplines.

From a comparative point of view, the importance of cross-cultural investigations is acknowledged in genre research (Swales, 2004). A cross-cultural study on Ph.D. thesis introductions was conducted by Soler-Monreal, Carbonell-Olivares and Gil-Salom (2011) who compared ten English and ten Spanish thesis introductions in computing, which were collected from Spain, the US, the UK, Canada and Australia. The results were in line with the findings in Bunton (2002) in that most English introductions conformed to the Move 1_Move 2_Move 3 arrangement and the three moves appeared in a cyclical manner. However, the English and Spanish introductions differed in terms of the realisation of Move 2. The English group frequently employed all of the three moves as obligatory ones, whereas the Spanish group did not often contain Move 2. This tendency was considered as a non-antagonistic stance of the Spanish writers of the theses in which they were apt "to provide a broad contextualization of their research and a description of the findings" (Soler-Monreal et al., 2011, p. 14) instead of emphasising niche establishment. Thus, cross-culturally different rhetorical conventions were identified between the English and Spanish thesis introductions. Despite these studies on Ph.D. introductions, little attention has been paid to humanities Ph.D. theses (Starfield & Ravelli, 2006). Only a little published research has examined the move-step structures of Ph.D. theses in the field of literature (Ono, 2012). The analysis of literature Ph.D. theses is expected to offer new insight to enhance effective teaching and learning

of this genre and discipline in higher education contexts. Since each discipline seems to have writing conventions and disciplinary discourses which may create 'disciplinary culture' (Hyland, 2000), an investigation of discipline-specific writing is worth conducting.

In considering Ph.D. theses as a genre, supervision plays a vital role since it inevitably influences the quality of the thesis and how it is written (Fujioka, 2013). Perceptions of Ph.D. supervisors about the writing of Ph.D. theses have been researched predominantly in English-speaking contexts. For instance, Dong (1998) reported results regarding an interview-based survey conducted on 137 non-native graduate students and 32 supervisors from 23 departments in the field of sciences in two US universities. His findings showed that the different institutions required different thesis-writing formats and guidelines, providing insights into "different institutional and disciplinary cultures" (p. 383) in the field of sciences. It was found that the supervisors considered that both native and non-native graduate students encountered difficulties in thesis-writing which were related to their "lack of rhetorical and genre knowledge of the discipline besides language difficulties" (p. 381). Dong (1998) argues that acquisition of genre and disciplinary knowledge as well as highly developed writing skills are necessary for writing a successful thesis. This is in line with the observation of Bourdieu and Passeron (1994) that academic language is no one's first language, which suggests that it should be taught in educational or academic contexts regardless of students' first language.

In the British context, perceptions of Ph.D. supervisors have been researched in agricultural botany and in agricultural and food economics through interviews (Thompson, 1999, 2001). The supervisors in the two disciplines differed in their perceptions in that the supervisors in agricultural botany viewed the thesis as a report while those in agricultural and food economics regarded the thesis as an argument. Thompson provided new insights into the supervisors' discipline-specific views on Ph.D. theses in terms of disciplinary culture and departmental thesis-writing norms. Such differences considerably affected the thesis-writing conventions as well as the expectations of the supervisors. However, little is known about literature Ph.D. theses from the perspective of supervisors in Japanese and UK contexts, unlike perceptions of Master's supervision (Harwood & Petrić, 2017). In English as a foreign language (EFL) settings, such as Japan, there is always a strong need for Ph.D. supervisors and writing instructors to develop methods of effective teaching of Ph.D. theses written in English since EFL writers often encounter difficulties, and struggle with writing this genre. If rhetorical or disciplinary features of Ph.D. thesis introductory chapters written in the UK context are revealed in this study, the practice of the English group could be used as a pedagogical model in teaching Ph.D. thesis-writing in the field of literature and related fields in the UK and Japanese contexts. A move-step schematic model proposed by this study could also serve as a supporting tool for pedagogical purposes; yet some adjustment and caution may be necessary since writing and genre practice are contextualised in relation to various sociocultural factors in a given context, even within the same discipline and country.

Hence, this study aims at investigating the move-step structures of Japanese and English introductory chapters of literature Ph.D. theses as well as perceptions of Ph.D. supervisors in Japan and the UK. In this study, the phrase 'an introductory chapter' means the first chapter of the main body of a Ph.D. thesis, regardless of what the chapter is called. This study conducts both genre analysis of introductory chapters and interviews with supervisors so that new insights can be obtained into the thesis genre in the neglected discipline.

The following two research questions are addressed:

1. Are there any similarities and differences between Japanese and English introductory chapters of literature Ph.D. theses in terms of the occurrence and sequence of steps?

2. Are there any similarities and differences between perceptions of Japanese and British supervisors regarding introductory chapters of literature Ph.D. theses in terms of the occurrence and sequence of steps?

2. Methods

2.1 Genre Analysis of Introductory Chapters of Literature Ph.D. Theses

The present study used a mixed methods approach in which genre analysis of Ph.D. introductory chapters and interviews of Ph.D. supervisors were conducted. As for the genre analysis, introductory chapters of literature Ph.D. theses submitted between 2000 and 2008 were collected from three Japanese and three British universities. The theses were written by first language (L1) writers of Japanese in Japan or L1 writers of English in the UK. This information was confirmed based on the judgement of academics who were familiar with the writers of the target theses or English names. As for the Japanese students, their names had language-specific characteristics so that the selection of their theses was not difficult.

A total of 99 theses were collected: 51 Japanese theses from Japan (University of Tsukuba: $n = 23$, University of Tokyo: $n = 22$, Chiba University: $n = 6$) and 48 English theses from the UK (University of Essex: $n = 15$, University of Warwick: $n = 26$, University of East Anglia: $n = 7$). All of the theses were prose-centred literature theses in which fiction, non-fiction and short stories were researched, instead of poetry/poets, films, theatre or creative writing. The six universities above shared similar departmental structures in which a literature department dealt with a variety of literature studies, including national literature, foreign literature and comparative literature. The three research-led British universities were comparable in terms of the foundation period of the universities, the size of the departments, and the academic rank of the departments in 2008 based on Research Assessment Exercise that was a national-level ranking system in the UK. As a counterpart, several Japanese universities were recommended by six Japanese professors of literature through interviews in terms of the features of their doctoral programmes and the academic level. Although the size and foundation period of the universities varied among the recommended universities, three Japanese universities which had doctoral programmes dealing with national literature, world literature, and comparative literature, and which had accessible Ph.D. theses were selected. They had shared features in that they were research-led national universities with a similarly high academic level, although the level of graduate schools in Japan was not presented officially due to a lack of a national-level ranking system unlike the UK system.

In conducting a preliminary analysis of the literature thesis introductory chapters, the researcher intended to identify constituent elements in five English and Japanese introductory chapters of literature Ph.D. theses. Consequently, common elements and rhetorical functions, namely, the fundamental three moves, were identified in both English and Japanese introductory chapters together with a number of common steps across disciplines, which were similar to the existing Swales' (1990, 2004) CARS model and Bunton's (2002) model. The CARS model was initially proposed for the introduction of research articles, yet the findings of the preliminary analysis indicated that the move-step framework could be applicable to the introductory chapter of literature Ph.D. theses written in English and Japanese with some modifications. In addition, relevant studies such as Bunton (2002) who investigated Ph.D. theses introductions in various disciplines, showed the successful application and modification of the CARS model. Therefore, the present study aimed to modify and apply Swales' (2004) and Bunton's (2002) models to the target discipline of literature. Bunton's (2002) model was mainly applied to this study since its target genre was Ph.D. thesis introductions and his corpus covered the disciplines in humanities, which was thought to be applicable to the present corpus to some degree.

The revision to the existing models of Swales and Bunton was made based on the preliminary analysis the researcher conducted as part of a larger study. More precisely, steps irrelevant to literature introductory chapters were excluded from Bunton's (2002) model namely *work carried out*, *materials or subjects*, *product of research/model proposed*, *research questions/hypotheses*, *application of product*, *evaluation of product*, and *parameters of research*.

The following four new steps were added to the model: (a) *stating the writer's approach*, instead of using the term 'method' due to the nature of the study of literature; (b) *describing relations between chapters*; (c) *presenting fictional work and/or its author*; and (d) *writer-centred statement*. Steps (c) and (d) are disciplinary steps, which will be illustrated later in this section. In addition, some steps were found to occur in more than one particular move, such as *reviewing previous research* appearing throughout the introductory chapter rather than being restricted to Move 1, and *making topic generalisations and giving background information* to be present in Moves 1 and 3. Therefore, the flexible locations of such steps were taken into consideration and reflected in the revised CARS model (see Table 1).

Table 1: A Revised CARS Model for Japanese and English Thesis Introductory Chapters (Adopted from Ono, 2012 with modifications)

Move-specific steps	Move-independent steps
MOVE 1: ESTABLISHING A TERRITORY	14. [TOPIC] Making topic generalisations and giving background information (M1/M3)
1. [CLAIM] Claiming centrality	
MOVE 2: ESTABLISHING A NICHE	
2. [GAP] Indicating a gap in research	15. [DEFINITION] Definitional clarifications (M1/M3)
(2a) [LACK] a lack of research	
(2b) [PROBLEM] a problem	
(2c) [NEED] a need	
(2d) [COUNTERCLAIM] a counterclaim	16. [PRESENTATION] Presenting fictional work and/or its author (M1/M3)
3. [QUESTION] Question-raising	
4. [ADDITION] Adding to what is known	
MOVE 3: PRESENTING THE WRITER'S RESEARCH	17. [REVIEW] Reviewing previous research (M1/M2/M3)
5. [AIM] Announcing present research descriptively and/or purposively	
6. [APPROACH] Stating the writer's approach	
7. [POSITION] Stating the writer's theoretical position or perspectives	18. [W-STATEMENT] Writer-centred statement (M1/M2/M3)
8. [VALUE] Stating the value of the present study	
9. [OUTCOME] Announcing principal outcomes	
10. [T-STRUCTURE] Outlining the structure of the thesis	
11. [C-STRUCTURE] Outlining the structure of chapters	
12. [C-RELATION] Describing relations between chapters	
13. [JUSTICATION] Positive justification and reasoning	

Note. M1 stands for Move 1, M2 stands for Move 2 and M3 stands for Move 3.

The introductory chapter of each thesis was analysed based on the revised model developed for this study. None of the 99 introductory chapters diverged considerably from the revised CARS model. A total of 18 different steps presented in Table 1 were classified into two types: one type was move-specific steps ($n = 13$), which belonged to a particular move, while the other type was move-independent steps ($n = 5$), which

occurred in more than one move. The move-independent steps were suggested by Swales' (2004) framework although Bunton (2002) did not find any move-independent steps in the corpus of 45 Ph.D. thesis introductions across ten disciplines.

Among the five move-independent steps in Table 1, PRESENTATION and W-STATEMENT were regarded as discipline-specific steps which serve a vital role in Ph.D. thesis introductory chapters in the field of literature or at least favoured in the particular discipline. These two discipline-specific steps were found in both English and Japanese thesis introductory chapters. Although previous studies which examined the Ph.D. introductions of various disciplines (e.g., Bunton, 2002) did not find these two steps, it does not necessarily mean that thesis introductions in other disciplines in humanities or social sciences do not have this type of step.

PRESENTATION was defined as presenting a fictional work and/or its author where a writer summarises fictional work or provides background information about material and/or its author. This step can appear in Move 1 to establish the territory and it can also occur in Move 3 when presenting the thesis writer's own research. The PRESENTATION step is clearly differentiated from the step of reviewing previous studies called REVIEW in that the former step only focuses on a fictional work and/or its author, instead of reviewing previous academic studies in the field. The English and Japanese examples of PRESENTATION are shown below:

> Example 1: PRESENTATION
> Two of the writers, Jack Kerouac and William Burroughs, form part of the Beat Generation. Dambudzo Marechera and Tsitsi Dangarembga are Zimbabweans who occupy problematic positions in the African literary corpus - Marechera because he spurns the African nationalist literary tradition and Dangarembga because she submits that tradition to a female African viewpoint which highlights the fault lines between political activism and gender activism. (Essex13, p. 1)

> Example 2: PRESENTATION
> ウラジーミル・ウラジーミロヴィッチ・ナボコフは，1899 年に著名な政治家であった V. D. ナボコフを父とし，ペテルブルグの貴族の家庭の長男として生まれた。父が新しい物好きだったこともあって，ナボコフ家には電話がいち早く引かれ，エレベーターが取り付けられていた。...。(Tokyo13, p. 1)
> [Vladimir Vladimirovich Nabokov, who had a famous politician V. D. Nabokov as his father, was born in 1899 as the eldest son in a noble family in Saint Petersburg. Since his father liked new things, he was quick to install a telephone and a lift in the house of the Nabokov family….] (translation mine)

Another discipline-specific step was called the writer-centred statement (W-STATEMENT). The writer-centred statement was defined as a statement in which a writer states his/her own attitude, opinion, evaluation, experience, motivation or interest about his/her own work and/or the topic. The examples of W-STATEMENT are shown below. Example 3 shows the components relevant to the writer's attitude, opinion, and evaluation. The words in italics in the example illustrate the thesis writer's positioning and critical judgement. Example 4 shows the components related to the writer's experience, motivation, and interest. The words in italics in the example indicate the thesis writer's focus in the thesis.

> Example 3: W-STATEMENT
> Attitudes, Opinion, and Evaluation (italics and translation mine below)
>   "*I agree with* Sarah Webster Goodwin that …" (Warwick25, p. 14)
>   "*I want* to stress the ways …" (Warwick22, p. 15)
>   "*It is impossible* to underestimate …" (Essex1, p. 24)
>   "両 派 の 聖 典 の 内 容 を 対 象・比 較 す る こ と は *容 易 で は な い*。"
>   (Tokyo5, p. 12)

[*It is not easy* to target/compare the content of scriptures of both schools.]

Example 4: W-STATEMENT
Experience, Motivation, and Interest (italics and translation mine below)
  "*My interest* in 'discursive needlework' began in 1996 …" (Warwick7, p. 26)
  "*My concern* in this thesis *is with* the representation …" (Warwick22, p. 3)
  "ソンツェン・ガンポ王の時代にこうしてもたらされた仏教を，当時のチベット人達が如何に受容したかという問題は*大いに興味をそそるところである*が，…。" (Tokyo5, p. 4)
  [*I am very interested in* the issue of how Tibetans in those days accepted Buddhism, introduced as described above in the era of the King of Songtsän Gampo, but …]

As for the inter-coder reliability check, two researchers, one of them being the researcher, coded 6% of Japanese or English introductory chapters individually by using the revised CARS model. The 6% of data covered three introductory chapters which were selected from each of the three different departments in Japan or the UK. The three Japanese introductory chapters had approximately 32,000 characters (i.e., 49 steps) while it was approximately 25,000 words (i.e., 70 steps) in the English introductory chapters, which was considered adequate for the purpose of an inter-coder reliability check. As a result, a high Cohen's kappa coefficient was obtained (Japanese: $\kappa = .822$; English: $\kappa = .839$) and disagreements were discussed between the two researchers until all were resolved. After that, the author coded the remaining data.

2.2   Analysis of the Sequence of Steps

The sequence of steps in the introductory chapters was analysed in order to shed light on the functions and interactions of individual steps. The main purpose of examining the sequence of steps was to examine the relationship between different steps since little is known about the sequence of steps and moves in Ph.D. thesis introductory chapters. The following analysis procedures were taken. First, I replaced the coded text with numbers so that each chapter was represented by a sequence of numbers. Then, I used N-Gram Phrase Extractor to find all 5-step, 4-step, and 3-step sequences and count their frequency. The N-Gram Phrase Extractor is part of the Compleat Lexical Tutor programme (Cobb, 2012), which is an online free software programme equipped with various tools for data-driven language learning and teaching. When identifying frequent occurring incidences, I counted the total occurrences including multiple occurrences within a chapter. For instance, if the 4-step sequence of 14-1-5-14 occurred three times in two chapters and once in ten other chapters, the total number of occurring incidences would be 16. The frequent sequencing patterns were regarded as 10.2 times or above for the Japanese data (i.e., 20% of 51 Japanese theses), while 9.6 times or above were considered frequent patterns for the English data (i.e., 20% of 48 English theses). Hence, more than ten occurrences were considered frequent sequencing patterns and treated as common incidences. It should be kept in mind that the frequency of sequences does not necessarily directly reflect the number of different introductory chapters since the same thesis may contain the same sequence patterns of steps more than once due to their cyclical nature. The Japanese data and the English data were compared and frequent combination patterns were identified. Finally, the move-step structures were reconsidered by connecting all findings concerning rhetorical features in the introductory chapters, taking the relationship between moves and steps into consideration.

2.3   Interviews with Ph.D. Supervisors

Perceptions of Ph.D. supervisors were investigated by conducting semi-structured interviews with seven Japanese supervisors (Tsukuba: $n = 5$, Tokyo: $n = 2$) and ten British supervisors (Essex: $n = 6$, Warwick: $n = 3$, UEA: $n = 1$). The participants of the

interviews were selected after considering the following five criteria: (a) experience as a supervisor or a vice-supervisor (more than five theses supervised to completion); (b) experience as an internal examiner or an external examiner (more than five theses); (c) teaching experience in higher education in Japan or the UK; (d) educational background (MA and/or Ph.D. degrees obtained in Japan or the UK); and (e) nationality (ideally Japanese or British). All of the selected supervisors had supervised some of the analysed theses in this study though no supervisors at Chiba University were available for interviews during the data collection period.

The interview questions were developed based on previous studies (Samraj, 2008; Thompson, 2001) and it contained the following four categories: (1) academic and teaching career; (2) overall organisation of literature Ph.D. theses; (3) abstracts; and (4) introductory chapters. Among the four categories above, this study mainly focused on (4) introductory chapters, since it aimed to investigate supervisors' views on introductory chapters of literature Ph.D. theses.
The actual interview questions used are as follows:

1. Do you think the section called an introduction is necessary in a Ph.D. thesis?

2. What should be included in a good introductory chapter in your discipline? What makes a poor introductory chapter in your discipline? Give examples of good introductory chapters supervised by you in the last few years.

3. In what order should these elements appear in introductory chapters? Is a different order acceptable?

4. What sorts of problems do students have with writing an introductory chapter?

All the participants were asked the same questions and individual interviews were recorded with permission from the participants. The interviews were conducted in accordance with the ethical guidelines and procedures of the author's home institution. The interview data was first transcribed and then analysed thematically by using NVivo 9, which is software for qualitative analysis. Supervisors' views on the rhetorical components to be included in introductory chapters were examined based on the revised CARS model shown in Table 1.

Careful scrutiny was necessary at the phase of the interview analysis. This phase involved checking intra-coder reliability and inter-coder reliability in order to validate the reliability of coding (Miles & Huberman, 1994; Saldaña, 2009). As for the intra-coder reliability check which the researcher conducted, a substantial Cohen's kappa coefficient was obtained: Japanese data ($\kappa = .758$) and English data ($\kappa = .678$). Then, the inter-coder reliability check was also validated by having two researchers analyse the data independently. The resulting kappa coefficient was substantial for the Japanese data ($\kappa = .731$) and for the English data ($\kappa = .767$). All discrepancies were discussed between the researcher and the second coder until agreement was reached.

In addition to the analysis above, supervisors' views on moves were analysed as follows: the number of Japanese/British supervisors who mentioned steps related to each move was divided by the total number of Japanese/British supervisors. In this analysis, move-independent steps were excluded since they could appear in more than one move.

3. Results

3.1 Descriptive Features of the Introductory Chapters

The Japanese and English introductory chapters of the literature theses varied in terms of the length and proportion of the introductory chapters. Table 2 shows the descriptive features concerning the Ph.D. thesis introductory chapters. The Japanese introductory chapters had 10,667 characters on average whereas the English introductory chapters contained 8549 words on average. The proportion of introductory chapters of the Japanese and English theses was compared by using a Mann-Whitney test. As for a cross-cultural comparison, the results showed a significant difference between the

Japanese and English theses (U = 1684.500; *p* = .003). In other words, the English literature theses contained a significantly higher proportion of introductory chapters than the Japanese ones. This result implies that the Japanese introductory chapters tended to have a relatively short, concise introduction to the main chapters whereas the English introductory chapters tended to have a relatively long, detailed introduction. In addition, a similar percentage of space in the theses was found to be allocated to introductory chapters among the three Japanese universities as well as among the three British universities, with the results of Kruskal-Wallis tests indicating no significant differences among the Japanese theses (χ^2 = 5.959; *p* = .108) or among the English theses (χ^2 = 2.787; *p* = .229).

3.2   Rhetorical Structure of the Introductory Chapters

The results of the analysis of step occurrences showed that the 18 steps varied considerably in terms of frequency. The different degrees of step frequency were classified into four categories: (a) seldom present (0-24.99%), (b) occasionally present (25.00-49.99%), (c) frequently present (50.00-74.99%) and (d) highly frequently present (75.00-100%). As for cross-cultural similarities, both Japanese and English writers used the following six steps that were highly frequently present: APPROACH (stating the writer's approach), AIM (announcing the present research descriptively and/or purposively), PRESENTATION (presenting fictional work and/or its author), REVIEW (reviewing previous research), W-STATEMENT (writer-centred statement), and C-STRUCTURE (outlining the structure of chapters). In other words, these six steps occurred in the majority of the literature Ph.D. thesis introductory chapters, regardless of language. This result implies the appropriate, favoured use of each of these steps. Since both language groups used the three steps related to Move 3 (i.e., APPROACH, AIM, and C-STRUCTURE) with a high frequency, Move 3 was considered to play an important role in the introductory chapters of literature Ph.D. theses.

Table 2: Descriptive Features of the Japanese and English Thesis Introductory Chapters

Country	University	n	Mean number of pages in the main body	Mean number of pages in introduction	Introduction as % of thesis (*SD*)	Mean number of words/characters in introduction
Japan	Tsukuba	23	185.13	13.96	7.63 (4.30)	11303
	Tokyo	22	178.64	10.18	6.86 (7.47)	10313
	Chiba	6	174.83	9.33	5.33 (5.33)	10385
	Total	51	181.12	11.78	7.03 (5.91)	10667
UK	Essex	15	260.53	19.93	7.98 (5.24)	6931
	Warwick	26	274.73	30.54	10.91 (6.15)	10394
	UEA	7	244.14	23.14	9.10 (2.57)	8323
	Total	48	265.83	26.15	9.73 (5.56)	8549

Note. SD stands for standard deviation. The number of words was counted in the English theses while the number of characters was counted in the Japanese theses.

On the other hand, the other three steps (i.e., PRESENTATION, W-STATEMENT, and REVIEW) were move-independent steps which occurred in more than one move. Furthermore, the findings regarding the high frequency of PRESENTATION and W-STATEMENT indicated that these discipline-specific steps served a vital role in the introductory chapters of literature Ph.D. theses.

Cross-culturally, different tendencies were also found in the use of GAP (indicating a gap in research) and TOPIC (making topic generalisations and giving background information). The Japanese writers (88.24%) used GAP more than the English writers (68.75%) while the English writers (87.50%) included TOPIC more than the Japanese

writers (70.59%). Furthermore, the use of Move 2 was analysed in depth since GAP, one of the three steps in Move 2, had four sub-steps (i.e., LACK, PROBLEM, NEED, and COUNTERCLAIM) unlike the other two steps in Move 2: QUESTION (question-raising) and ADDITION (adding to what is known). The results regarding the frequency of GAP sub-steps showed significant cross-cultural differences in that the Japanese writers (56.03%) used LACK (a lack of research) more frequently than the English writers (37.42%): (U = 515.500, p = .019). The other GAP sub-steps, however, indicated cross-cultural similarities between the Japanese and English groups in the use of PROBLEM (a problem), NEED (a need) and COUNTERCLAIM (a counterclaim).

From a qualitative point of view, the use of GAP steps seemed to be cross-culturally different. The Japanese writers used an average of two different types of GAP sub-steps whereas the English writers used one type of GAP sub-step (Japanese: M = 1.92; English: M = 1.02). An example of this combination of GAP sub-steps is shown below.

> Example 5: LACK and NEED
> [LACK]『源氏物語』における漢文学の影響に関する従来の研究は，中世の古注釈書以来，多くが個別的な漢籍の出典を指摘することに終始していて，総合的・複合的な視野からの研究は少ない。とくに平安朝の仮名文学作品における中国文学の影響を考究する場合，[NEED] 当該作品と中国文学の出典とを直接に結ぶだけでなく，その間に平安朝漢文学を介在させて考察する必要があるが，[LACK] そうした視点からの研究は，『源氏物語』において未だ殆ど行われていない。(Tokyo1, p.1; italics mine)
>
> [LACK] Since the old annotated book in the Medieval Period appeared, the majority of the previous studies regarding the influence of Chinese literature on 'the Tale of Genji' have focused on pointing out individual references of Chinese literary sources. *There is little research carried out* from a synthetic/compound perspective. Especially in investigating the influence of Chinese literature in Kana literary work in the Heian Period, [NEED] although *it is necessary* not only to directly connect target literary work to its reference from Chinese literature but also to intervene between them by introducing Chinese literature in the Heian Period, [LACK] research from such perspectives *has hardly been conducted* in 'the Tale of Genji'.

Example 5 shows a combination of LACK and NEED, where LACK is used twice surrounding the embedded NEED. By combining two types of GAP sub-steps, a gap in the previous research was stated firmly. This example suggests that the cyclicality of GAP in the same paragraph occurs due to the combination of different GAP sub-steps as well as the repetition of the same sub-step. The strategy of integrating more than one GAP sub-step in Move 2 was particularly favoured by the Japanese writers. In addition, the Japanese writers combined different types of steps from Move 2 more actively than the English writers who tended to concentrate on the use of a single step from Move 2. The different way of establishing a niche indicates that the two language groups had different preferences and used different rhetorical structures when writing the introductory chapters.

3.3 The Sequences of Steps

The analysis of sequences of steps highlighted the cyclical nature of particular steps in Japanese and English introductory chapters. The results of the examination of 5-step and 4-step sequences are provided in Table 3. In each incidence, the first occurring step, called 'the head step', played a leading role, followed by a series of 'succeeding steps'. As for the 5-step sequence, a cross-cultural similarity was that both the Japanese and the English writers tended to employ PRESENTATION frequently in Move 1 or Move 3. Cross-cultural differences, on the other hand, were found in that the Japanese group employed PRESENTATION and W-STATEMENT repeatedly while the English group favoured a combination of PRESENTATION and REVIEW in a strong cyclical

manner. This result suggests that PRESENTATION had a strong link with REVIEW and W-STATEMENT within the same move, in which the linguistic resources in W-STATEMENT seemed to be used to express the thesis writer's positioning and critical judgement about preceding information in the PRESENTATION step, as described in Examples 3 and 4 above.

Table 3: The 5-Step and 4-Step Sequences and Frequency in the Introductory Chapters

Language	n	5-step sequence
Japanese	11	**PRESENTATION**_W-STATEMENT_**PRESENTATION**_W-STATEMENT _PRESENTATION
	10	**W-STATEMENT**_PRESENTATION_**W-STATEMENT**_PRESENTATION_ W-STATEMENT
English	11	PRESENTATION_REVIEW_PRESENTATION_REVIEW_PRESENTATION

Language	n	4-step sequence
Japanese	20	**PRESENTATION**_W-STATEMENT_**PRESENTATION**_W-STATEMENT
	12	**REVIEW**_W-STATEMENT_**REVIEW**_W-STATEMENT
	11	REVIEW_GAP_REVIEW_GAP
	11	C-STRUCTURE_APPROACH_OUTCOME_C-STRUCTURE
	18	**W-STATEMENT**_PRESENTATION_**W-STATEMENT**_PRESENTATION
	13	W-STATEMENT_REVIEW_W-STATEMENT_REVIEW
English	19	PRESENTATION_REVIEW_PRESENTATION_REVIEW
	11	PRESENTATION_TOPIC_PRESENTATION_TOPIC
	10	**PRESENTATION**_C-STRUCTURE_**PRESENTATION**_C-STRUCTURE
	14	**REVIEW**_TOPIC_**REVIEW**_TOPIC
	13	**REVIEW**_PRESENTATION_**REVIEW**_PRESENTATION
	12	**C-STRUCTURE**_APPROACH_PRESENTATION_**C-STRUCTURE**
	21	**TOPIC**_REVIEW_**TOPIC**_REVIEW
	14	**TOPIC**_PRESENTATION_**TOPIC**_PRESENTATION
	10	**TOPIC**_REVIEW_**TOPIC**_PRESENTATION

Note. n indicates the total number of occurring incidences.

In the case of 4-step sequences, cross-cultural similarities were found in that both the Japanese and the English groups frequently employed PRESENTATION and REVIEW in a cyclical manner. However, cross-cultural differences were observed in terms of their combination patterns. That is, the Japanese group frequently used a combination of PRESENTATION and W-STATEMENT ($n = 20$) while the English group showed more diverse combinations of steps where PRESENTATION was used together with REVIEW ($n = 19$) or TOPIC ($n = 11$) or C-STRUCTURE ($n = 10$). Another cross-cultural difference was found in that the Japanese group employed a combination of REVIEW and W-STATEMENT ($n = 12$) as well as a combination of REVIEW and GAP ($n = 11$) whereas the English group displayed strong cyclical relationships between REVIEW and TOPIC ($n = 14$) as well as REVIEW and PRESENTATION ($n = 13$). This finding concerning the Japanese texts is ascribed to the high frequency of W-STATEMENT and GAP in the Japanese introductory chapters. In addition, the frequent occurrence of the REVIEW_GAP_REVIEW_GAP pattern indicates that REVIEW was used for establishing a niche in Move 2.

The 3-step sequence was also examined and the frequency of each incidence was calculated (Table 4). The findings showed that the variation of succeeding steps, which

followed the head step, was more varied in the English theses than the Japanese ones. For instance, the case of PRESENTATION as the head step showed similarities between the Japanese and English groups in that PRESENTATION seemed to have a strong connection to REVIEW. Providing information about primary material and its author is often linked to previous research, which may be the nature of research in the field of literature. The results regarding PRESENTATION also showed cross-cultural differences in that the English group displayed a wide variety of succeeding steps (12 patterns) whereas the Japanese group limited the types of succeeding steps (six patterns).

Table 4. The Sequence and Frequency of 3-Step Combinations in the Introductory Chapters

n	**Japanese: Sequence of steps**
35	**PRESENTATION**_W-STATEMENT_**PRESENTATION**
10	**PRESENTATION**_REVIEW_**PRESENTATION**
12	**PRESENTATION**_REVIEW_W-STATEMENT
10	**PRESENTATION**_W-STATEMENT_REVIEW
13	**PRESENTATION**_REVIEW_GAP
11	**PRESENTATION**_QUESTION_**PRESENTATION**
30	**REVIEW**_W-STATEMENT_**REVIEW**
15	**REVIEW**_PRESENTATION_**REVIEW**
12	**REVIEW**_W-STATEMENT_PRESENTATION
10	**REVIEW**_PRESENTATION_W-STATEMENT
19	**REVIEW**_GAP_**REVIEW**
11	**REVIEW**_GAP_W-STATEMENT

n	**English: Sequence of steps**
27	**PRESENTATION**_W-STATEMENT_**PRESENTATION**
38	**PRESENTATION**_REVIEW_**PRESENTATION**
21	**PRESENTATION**_REVIEW_W-STATEMENT
13	**PRESENTATION**_W-STATEMENT_REVIEW
32	**PRESENTATION**_C-STRUCTURE_**PRESENTATION**
23	**PRESENTATION**_AIM_**PRESENTATION**
23	**PRESENTATION**_APPROACH_**PRESENTATION**
20	**PRESENTATION**_TOPIC_**PRESENTATION**
19	**PRESENTATION**_TOPIC_REVIEW
13	**PRESENTATION**_C-STRUCTURE_APPROACH
10	**PRESENTATION**_REVIEW_TOPIC
10	**PRESENTATION**_APPROACH_C-STRUCTURE
21	**REVIEW**_W-STATEMENT_**REVIEW**
29	**REVIEW**_PRESENTATION_**REVIEW**
13	**REVIEW**_W-STATEMENT_PRESENTATION
11	**REVIEW**_PRESENTATION_W-STATEMENT
35	**REVIEW**_TOPIC_**REVIEW**
20	**REVIEW**_TOPIC_PRESENTATION
14	**REVIEW**_APPROACH_W-STATEMENT
13	**REVIEW**_APPROACH_**REVIEW**
12	**REVIEW**_W-STATEMENT_TOPIC
11	**REVIEW**_AIM_**REVEIW**

| 11 | **REVIEW**_APPROACH_TOPIC |
| 10 | **REVIEW**_AIM_APPROACH |

Note. n indicates the total number of occurring incidences.

Similar tendencies were also discovered when REVIEW was the head step, as Table 4 displays. That is, the variation of succeeding steps in the English group (12 patterns) was much more diverse than that in the Japanese group (six patterns). In addition, the Japanese writers favoured the combination of REVIEW and GAP, which implies that REVIEW occurred in Move 2 for niche establishment. On the other hand, the English writers preferred to have REVIEW with TOPIC and frequently associated REVIEW with steps relevant to Move 3, such as AIM and APPROACH. These tendencies showed that the English writers tended to use REVIEW in Moves 1 and 3 rather than in Move 2. In other words, although the move-independent REVIEW appears in any move throughout the introductory chapters, the Japanese and English writers tended to have different preferences for the use of REVIEW.

3.4   Supervisors' Views on Occurrences of Moves and Steps

The results of Ph.D. supervisors' views on moves showed cross-cultural similarities between the Japanese and British supervisors. To be more specific, all of the seven Japanese and ten British supervisors mentioned steps related to Move 3 (presenting the writers' research) as essential components in the introductory chapters of literature Ph.D. theses. Cross-cultural differences, on the other hand, were identified between the two language groups; the Japanese supervisors (57%) put more emphasis on Move 2 (establishing a niche) than the British supervisors (20%). In addition, the Japanese supervisors tended to emphasise Move 2 (57%) more than Move 1 (establishing a territory: 14%) while the British supervisors stressed Move 1 (40%) more than Move 2 (20%).

The Japanese and British supervisors' perceptions of obligatory steps in the introductory chapters were revealed (Table 5). As Table 5 shows, individual supervisors' expectations varied considerably in terms of what elements should appear in the introductory chapter of Ph.D. theses even within the same institutions. This could be accounted for by a number of factors concerning individual supervisors' educational backgrounds, beliefs, different expertise in literary research and a wide range of subject matters. All of these factors seem to be related to the creation of 'small cultures' (Holliday, 1999) at disciplinary, departmental, and institutional levels.

Despite such varied expectations about the literature thesis introductory chapters, cross-cultural similarities were found in that both the Japanese and the British supervisors viewed AIM (announcing present research descriptively and/or purposively), APPROACH (stating the writer's approach) and REVIEW (reviewing previous research) as essential in introductory chapters of literature Ph.D. theses. Therefore, the findings imply that the Japanese and British supervisors considered that these steps related to Move 3 were important in the introductory chapters of literature Ph.D. theses.

Table 5: The Expectations of Japanese and British Supervisors Regarding Elements to be Included in Ph.D. Thesis Introductory Chapters

Moves and steps	Japan – Tsukuba 1	Tsukuba 2	Tsukuba 3	Tsukuba 4	Tsukuba 5	Tokyo 1	Tokyo 2	Essex 1	Essex 2	Essex 3	Essex 4	Essex 5	Essex 6	Warwick 1	Warwick 2	Warwick 3	UEA 1	Japan %	UK %	Total %
Move 1: Establishing a Territory								●		●				●				0	30.00	15.00
1. Claiming centrality [CLAIM]						●		●				●		●			●	14.29	40.00	27.14
Move 2: Establishing a Niche			●															14.29	0	7.14
2. Indicating a gap in research [GAP]							●								●			14.29	10.00	12.14
(2a) a lack of research [LACK]	●		●				●											42.86	0	21.43
(2b) a problem [PROBLEM]	●		●															28.57	0	14.29
(2c) a need [NEED]																		0	0	0
(2d) a counterclaim [COUNTERCLAIM]			●										●					14.29	10.00	12.14
3. Question-raising [QUESTION]																		0	0	0
4. Adding to what is known [ADDITION]			●										●					14.29	10.00	12.14
Move 3: Presenting the Writer's Research														●				0	10.00	5.00
5. Announcing present research descriptively and/or purposively [AIM]	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	●	100	100	100
6. Stating the writer's approach [APPROACH]	●	●	●	●		●	●	●	●	●	●	●		●	●	●		85.71	80.00	82.86
7. Stating the writer's theoretical position or perspectives [POSITION]	●		●			●	●			●			●			●		57.14	30.00	43.57
8. Stating the value of the present study [VALUE]	●					●					●	●			●		●	28.57	40.00	34.29
9. Announcing principal outcomes [OUTCOME]	●	●									●	●		●			●	28.57	40.00	34.29
10. Outlining the structure of the thesis [T-STRUCTURE]	●							●		●	●	●	●	●	●		●	14.29	80.00	47.14
11. Outlining the structure of chapters [C-STRUCTURE]	●							●	●	●	●	●	●	●	●	●	●	14.29	100	57.14
12. *Describing relations between chapters* [C-RELATION]												●					●	0	20.00	10.00
13. *Positive justification and reasoning* [JUSTIFICATION]					●	●		●		●	●	●	●	●		●	●	28.57	80.00	54.29
Move-independent Steps																				
14. Making topic generalisations and giving background information [TOPIC]									●		●		●	●	●			0	50.00	25.00
15. Definitional clarifications [DEFINITION]									●					●		●		0	30.00	15.00
16. *Presenting fictional work and/or its author* [PRESENTATION]			●					●					●		●			14.29	30.00	22.14
17. Reviewing previous research [REVIEW]	●		●	●			●	●	●	●	●	●			●		●	57.14	70.00	63.57
18. *Writer-centred statement* [W-STATEMENT]	●	●							●		●							28.57	20.00	24.29

[Note. ● shows that this step was referred to by the academics in their responses. Newly found steps are in italics.]

Cross-cultural differences were identified in that only the Japanese supervisors placed an emphasis on GAP (indicating a gap: 57.14%) and POSITION (stating the writer's theoretical position or perspectives: 57.14%) compared to the British supervisors (GAP 20%; POSITION 30%). The British supervisors, on the other hand, viewed C-STRUCTURE (outlining the structure of chapters: 100%), T-STRUCTURE (outlining the structure of the thesis: 80%), JUSTIFICATION (positive justification and reasoning: 80%), and TOPIC (making topic generalisations and giving background information: 50%) as important steps. Therefore, the expectations of the Japanese and British supervisors were found to be different cross-culturally to some extent.

3.5 Views of Supervisors on the Sequences of Steps

Supervisors' views varied in terms of the sequences of steps in the introductory chapters in literature theses. In fact, not all of the supervisors expected a particular order of steps in the literature thesis introductory chapters, which suggests there is no fixed organisational structure regarding the sequence of constituent elements. In support of the view of the various ways of writing the introductory chapters, the British supervisor (BE6) perceived that humanities theses are less conventional, compared to disciplines in areas of science.

> It's less difficult for more scientifically-shaped subjects since their disciplines have some conventions and traditions which will guide you. I think humanities subjects are much more open and [their] conventions are much less explicit. Therefore, I think humanities theses are more difficult to write. (BE6)

This view implies that diverse subject matters and less explicit writing conventions in humanities theses lead to the wide variation in the ways thesis introductory chapters are written. Similarly, the Japanese supervisor (JTS1) indicated various possible ways of presenting components in introductory chapters.

> 特に決まりはない。…いろんなやり方があると思いますね。で，それをうまく一丸に説得力のある形で提示するっていうのはけっこう難しい。 (JTS1)

> [There is no particular rule. … I think there are many ways and it is quite difficult to present components in a well-united and convincing manner.]

Despite the diversity in thesis-writing conventions perceived, cross-cultural similarities were identified concerning the supervisors' preference for an opening step which appears at the beginning of the introductory chapter. The findings showed that AIM (Move 3) was most favoured as an opening step by three Japanese and four British supervisors. They said that they expected AIM to be present at the beginning of introductory chapters in order to set up issues to be addressed in the thesis at the early stage of arguments. In other words, the Japanese and British supervisors tended to consider that an introductory chapter should start with Move 3 by using AIM. However, this finding does not necessarily mean that the other steps relevant to Move 3 ought to

appear immediately after the first occurrence of AIM. That is to say, AIM may occur twice in the introductory chapter, with the first AIM providing a general purpose of the research from a broad perspective and the second AIM stating the specific purpose in a more detailed manner.

As for cross-cultural differences, the British supervisors favoured not only AIM but also TOPIC as an opening step whereas the Japanese supervisors preferred REVIEW and W-STATEMENT. The British academics expected AIM (Move 3) or TOPIC (Move 1 or 3) to occur at the beginning of introductory chapters. They asserted that introductory chapters should start with either Move 1 or Move 3, depending on which step is used, AIM or TOPIC. As for APPROACH (Move 3), it was often expected to come with C-STRUCTURE (Move 3), which implies that APPROACH is incorporated with C-STRUCTURE in order to give a synopsis of chapters. British supervisors BE4 and BE5 expected APPROACH to occur right after AIM. The Japanese supervisors, on the other hand, thought that introductory chapters could start with any move since REVIEW and W-STATEMENT occur in any move as move-independent steps. For example, a Japanese supervisor (JTS3) suggested the two preferred patterns below where REVIEW plays an opening role:

JTS3: REVIEW_COUNTERCLAIM_AIM_APPROACH_PRESENTATION
JTS3: REVIEW_POSITION_AIM_APPROACH_PRESENTATION

In both sequences above, REVIEW (Move 1) comes first and then goes on to either COUNTERCLAIM (Move 2) or POSITION (Move 3) before introducing AIM (Move 3).
Another cross-cultural difference was that none of the British supervisors referred to steps relevant to Move 2 in terms of the sequence, as the expected sequence patterns were shown previously. On the other hand, two Japanese supervisors mentioned Move 2 as an important element to construct the introductory chapter. More specifically, Japanese supervisors JTS3 and JTS4 expected the REVIEW_Move 2_AIM_APPROACH arrangement when Move 2-related steps were present.

4. Discussion

As for research question 1, this study has gained new insights into the sequences of steps in the move-step structures in terms of step-specific cyclicality, which means that individual steps varied in the strength of tendency towards cyclicality. In particular, move-independent steps had a stronger cycling tendency than the move-specific steps because of their communicative purposes which allow them to appear frequently in more than one move. This finding is new since previous research highlighted the cyclic nature of moves, not steps, in research article introductions (e.g., Swales, 1990, 2004), Spanish Ph.D. thesis introductions (Gil-Salom, Soler-Monreal, & Carbonell-Olivares, 2008), English Ph.D. thesis introductions (Bunton, 2002) and introductions of English and Spanish Ph.D. theses (Soler-Monreal et al., 2011). This study found that the

Japanese theses displayed frequent cycling of GAP whereas the English theses did not show this tendency. The cyclical phenomenon of gap-indication steps for niche establishment was confirmed; yet, this finding does not mean an antagonistic stance of the Japanese thesis writers since neither the Japanese writers nor the English writers frequently used the sub-step of COUNTERCLAIM for niche establishment. This finding might be ascribed to the nature and status of the thesis genre as "an educational genre" (Kawase, 2015, p. 114) in which competitions against other researchers tend to be weaker than research articles. Since the thesis genre is, in some way, a collaborative genre between a supervisee and a supervisor, 'fine tuning' regarding rhetorical choice and structure could be double checked by the supervisor from the perspective of a gatekeeper before submission.

In considering research question 2, the Japanese supervisors placed emphasis on Move 2 while the British supervisors stressed Move 1 more than Move 2. These findings are consistent with the results of genre analysis in this study, which implies that the thesis introductory chapters examined reflect and embody the expectations of the supervisors in the academic and sociocultural context, although some of the theses examined in this study were supervised by other supervisors who were not interviewed. This different emphasis on Move 1 and Move 2 in each language-related group seems to be due to the nature and size of the discourse community (Swales, 1990, 2004) which can be readers of English and Japanese Ph.D. theses. In the English thesis-writing context, its discourse community is much larger and more diverse than the Japanese discourse community, which is smaller and more homogenous due to the restricted number of Japanese language users in Japan and elsewhere. In other words, the English thesis writers need to focus on the global discourse community in order to share their contribution to the field while the Japanese thesis writers tend to focus on the local discourse community. Therefore, the English thesis writers need to put emphasis on Move 1 to engage the large global discourse community by providing adequate background information about a research territory and topic and stating the importance of the topic. In contrast, it is assumed that the Japanese thesis writers need to establish a niche firmly to differentiate their research from other Japanese thesis writers' research in the small domestic discourse community.

Regarding the order of moves, this study found that the prototypical Move 1_Move 2_Move 3 arrangement was not necessarily considered as an effective organisational convention by the Japanese and British supervisors. However, this does not mean that the typical Move 1_Move 2_Move 3 arrangement is not preferable. Rather, diverse structural variation is accepted in this discipline as long as it makes sense, depending on individual subject matter. This result is different from the previous studies; English and Spanish thesis introductions on computing have been found to conform to the Move 1_Move 2_Move 3 pattern (Soler-Monreal et al., 2011) and Bunton (2002) reported that most of the thesis introductions began from Move 1 and ended with Move 3. These findings suggest that the disciplinary cultures cannot be neglected in the

thesis-writing pedagogy since they affect the way the thesis genre is written and perceived.

The overall findings concerning the thesis introductory chapters in the field of literature indicated that the Japanese and English theses partly followed Swales' CARS model and Bunton's (2002) revised CARS model, but more importantly, they displayed considerable rhetorical and organisational variations within a single discipline. Such intra-disciplinary variations found in the literature theses are considered to require flexibility and 'free' space which allows thesis writers themselves to create a structure appropriate for their own thesis, which is in line with Duszak's (1994) study. Instead of following a fixed and often linear organisational model, writers of literature theses need to develop their argument on the subject matter and thesis structure in their own way that is suitable for each thesis. Wide variations concerning the occurrence and sequence of steps in the literature introductory chapters seem to require more flexible rhetorical conventions than other disciplines in sciences and social sciences in which thesis-writing conventions tend to be less diverse (Bunton, 2002; Dudley-Evans, 1986; Samraj, 2008; Soler-Monreal et al., 2011). Therefore, for pedagogical purposes, a flexible model for introductory chapters seems useful and suitable for writing and teaching literature theses which have less demarcated conventions and more intra-disciplinary variation in many aspects of research. This disciplinary feature is somewhat similar to theses in the visual and performing arts as they tend to have emerging intra-disciplinary variations which do not fit a single model for thesis-writing (Paltridge, Starfield, Ravelli, Tuckwell, & Nicholson, 2011).

In order to help write and teach the diverse thesis conventions in literature theses, a discipline-oriented *Open-CARS* model is newly proposed, based on the revised CARS model used in this study (Figure 1). The *Open-CARS* model, which serves a pedagogical role, characterises the disciplinary norms and rhetorical features in the Japanese and English introductory chapters of literature Ph.D. theses. This model demonstrates the flexible move structure in the discipline and features cyclical interactions between moves and steps in an introductory chapter. As shown in Figure 1, each of the 18 steps has its own communicative purpose either as a move-specific step or as a move-independent step. Move-specific steps are shown in the circle denoting the move they belong to, while move-independent steps are shown in overlapping circles as appropriate. This model is expected to enhance the writer's open and creative options in writing the introductory chapter, rather than a closed and restricted set of available options. The important feature of this model is its flexible sequence of moves and steps without being restricted to a linear order. The structural flexibility reflects the nature of introductory chapters of the literature theses in which a strong cycling manner is often present at the level of steps within the same move and across moves. In other words, the Move 1_Move 2_Move 3 pattern is not necessarily required. Thesis writers are expected to use all moves at least once in their introductory chapter. They can start from either Move 1 (e.g., CLAIM, TOPIC) or Move 3 (i.e., AIM) and are expected to end the introductory chapter with Move 3 in order to proceed to the next chapter. However,

between the opening step and the final step in Move 3, there is no standard arrangement. Therefore, thesis writers are encouraged to actively and creatively consider their own case and make a decision as to structural arrangements i.e., what steps to include and in what order they should appear in their introductory chapter, depending on the subject matter of individual cases.
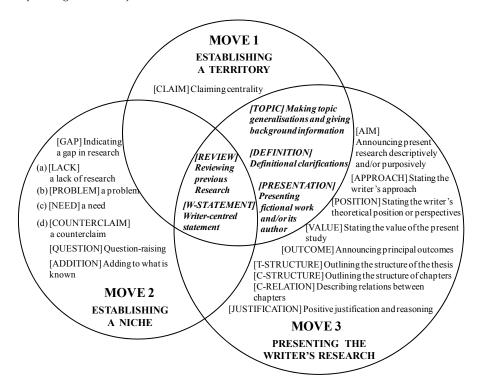

MOVE 1
ESTABLISHING
A TERRITORY

[CLAIM] Claiming centrality

[TOPIC] Making topic generalisations and giving background information

[AIM] Announcing present research descriptively and/or purposively

[GAP] Indicating a gap in research

[DEFINITION] Definitional clarifications

[APPROACH] Stating the writer's approach

(a) [LACK] a lack of research

[REVIEW] Reviewing previous Research

[PRESENTATION] Presenting fictional work and/or its author

[POSITION] Stating the writer's theoretical position or perspectives

(b) [PROBLEM] a problem

(c) [NEED] a need

[W-STATEMENT] Writer-centred statement

[VALUE] Stating the value of the present study

(d) [COUNTERCLAIM] a counterclaim

[QUESTION] Question-raising

[OUTCOME] Announcing principal outcomes

[ADDITION] Adding to what is known

[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

MOVE 2
ESTABLISHING
A NICHE

MOVE 3
PRESENTING THE
WRITER'S RESEARCH

Figure 1. Open-CARS model for the literature Ph.D. thesis introductory chapters in Japanese and English. [*Note.* Steps in italics indicate move-independent steps and others are move-specific steps.]

The pedagogical use of the *Open-CARS* model is recommended as one of models for teaching the literature thesis introductory chapter in Japanese and English because it seems to help develop thesis writers' genre awareness and knowledge as well as rhetorical awareness (Tardy, 2009) when reading and writing this genre. When establishing a niche, it seems effective to combine move-specific steps in Move 2 with REVIEW or W-STATEMENT, both of which are move-independent steps located within the same move (Move 2). When presenting the writer's research (Move 3), a combination of different move-specific steps in Move 3 is effective. A combination of move-specific steps in Move 3 and any move-independent steps would also work well since all of the move-independent steps are related to Move 3 and share a common

rhetorical purpose. Since move-independent steps can be used frequently and repeatedly within the same move and across moves, writers are advised to clearly identify which move and step they intend to realise. When the introductory chapter shifts from one move to another, it seems effective to use a move-independent step as 'glue' to connect different moves, instead of directly shifting from a move-specific step in one move to a move-specific step in another move.

5. Conclusion

This study has examined the move-step structures of the Japanese and English introductory chapters of literature Ph.D. theses and the perceptions of Japanese and British supervisors. The findings showed that the rhetorical structures of the introductory chapters of literature Ph.D. theses were shared, to some extent, across the countries and languages, where APPROACH, AIM, PRESENTATION, REVIEW, W-STATEMENT, and C-STRUCTURE were used frequently. Another finding regarding both groups of supervisors viewing Move 3 as essential indicates shared knowledge and expectations of the discourse community regardless of language. In other words, disciplinary unity is formed in the thesis genre across the language-based cultures. This study also found cross-culturally different preferences for the establishment of Move 2, with the Japanese writers and supervisors tending to emphasise Move 2 more than the British writers and supervisors who emphasised the importance of Move 1. This differing tendency is accounted by the different context-based 'small cultures' (Holliday, 1999) including thesis-writing norms and conventions as well as Ph.D. supervision in each given context. As the small cultures change, the existing Ph.D. thesis genre keeps 'adjusting' its genre norms and conventions, directly or indirectly influenced by the changing society, time, and language. With regard to the sequence of steps, move-independent steps displayed much stronger cyclicality than move-specific steps. These findings highlighted wide variations of rhetorical and organisational conventions in the literature thesis introductory chapters, which resulted in the *Open-CARS* model and can be emphasised in teaching this genre. Thesis writers are expected to fill in the research space and develop their own thesis structure for their original piece of research by arranging the combination and sequence of steps and moves in their own way. Individual writers' active, creative attempts seem to shape the disciplinary culture specific to the field of literature.

Although this study revealed a number of similarities and differences between the two language groups, individual variations and intra-cultural differences within the same country were reported in other aspects of the corpus in the Japanese and UK higher education contexts (Ono, 2012, 2014). This study merely examined thesis introductory chapters written by L1 writers in the chosen contexts, which indicates the limited phenomena of the English and Japanese thesis-writing conventions in the field of literature. Writers and supervisors in other institutions in Japan and the UK and those who have different language and educational backgrounds might have different

preferences for rhetorical features or different expectations even when they are in Japan or the UK. Furthermore, departmental or institutional cultures may vary within the same country, as Dong (1998) observed in the US contexts. Hence, the interpretation of the findings from this study should be done with caution since the present study focused on L1 writers' use of academic language without taking into account EFL and English as a second language writers in the UK and Japanese as a foreign language writers in Japan. In other words, the findings from this study only shed light on some aspects of 'academic culture' (Flowerdew & Miller, 1995) concerning the field of literature and the thesis genre. It is important to note that this study has no intention to generalise 'national culture', unlike Hofstede's (1980) study, regarding thesis-writing conventions since such a view may perpetuate inappropriate stereotypical views of national or language-based cultures paying unnecessary attention to native speaker norms in higher education contexts and academic writing culture (Xu, Huang, & You, 2016).

As for pedagogical implications, three points are suggested. First, supervisors are encouraged to make opportunities to share their expectations with thesis writers, referring to thesis examiners' expectations, since thesis writers need to develop their "sensitivity … to the variation in expectation that the department/discourse community has" (Dudley-Evans, 1993, p. 147). Second, supervisors and thesis writers need to understand and share disciplinary, departmental and institutional cultures (Johns & Swales, 2002; Thompson, 1999, 2001). As Dong (1998) suggests, supervisors, departments and institutions ought to collaborate in order to help thesis writers understand the features of the thesis genre and disciplinary writing conventions in a given context, providing appropriate guidance and support throughout the thesis-writing process. Third, when teaching the rhetorical structures of literature Ph.D. thesis introductions, the *Open-CARS* model can be employed to analyse sample introductions, and thesis writers may also use the model to check whether their introductory chapters have the necessary steps and moves in an effective order. Despite the importance of following the disciplinary traditions and conventions at a certain level, supervisors and thesis writers should keep in mind that there is always more than one way of writing a thesis, as the *Open-CARS* model illustrates. It is important to note that a uniform manner of writing a thesis is not encouraged in the thesis genre, especially in literature theses (Paltridge, 2002; Ridley, 2000; Shaw, 1991). It is hoped that the *Open-CARS* model can serve as a supporting tool or as one of the disciplinary models for teaching and writing about this genre in Japanese or English in the field of literature and related fields, and that it can be utilised to enhance genre awareness, knowledge and practice of thesis writers in higher education contexts.

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