

# Chapter 11

## Documentation and Referencing

### Aims

- Understand APA (American Psychological Association) style in referencing;
- Learn how to write in-text reference citations;
- Understand some common reference list errors.



### Quiz

#### Self-evaluation

For each statement below, circle the word which is true for you.

1. I know the two systems of documentation.	agree   disagree   not sure
2. I understand the different styles for referencing.	agree   disagree   not sure
3. I know how to use APA style for documentation.	agree   disagree   not sure
4. I know some common reference list errors.	agree   disagree   not sure
5. I understand how to write reference lists according to APA style.	agree   disagree   not sure

### Two systems for documentation

Documentation, either through notes or through <sup>插入</sup> parenthetical references and an <sup>带着</sup> accompanying <sup>索引</sup> bibliography or list of works cited, serves to acknowledge the source of ideas and information in your paper.

The authority or source for both facts and opinions—whether quoted directly or indirectly or <sup>获得</sup> derived from primary or from secondary sources—must be cited to provide your reader with an <sup>精确的</sup> accurate account of the materials on which you base your conclusions. Omission of full and precise documentation can result in inaccurate and invalid research or in plagiarism.

There are two types of systems for documenting materials:

## The note-bibliography system

This format presents bibliographical information in footnotes or endnotes and in a bibliography. It is widely used in the humanities and the social sciences.

## The parenthetical-reference system

It may use either the author's name and the page number (MLA, Modern language Association) or the author's name and the date of the work cited within parentheses (APA), including documentation in parentheses within the text and in a list of works cited. In the MLA system, this list is entitled "Works Cited"; in the APA system, it is entitled "References".

## Why referencing is important?

Referencing allows you to acknowledge the contribution of other writers and researchers in your work. Any university assignments that draw on the ideas, words or research of other writers must contain citations.

Referencing is also a way to give credit to the writers from whom you have borrowed words and ideas. By citing the work of a particular scholar you acknowledge and respect the intellectual property rights of that researcher. As a student (or an academic) you can draw on any of the millions of ideas, insights and arguments published by other writers, many of whom have spent years researching and writing. All you need to do is to acknowledge their contribution to your assignment.

Referencing is a way to provide evidence to support the assertions and claims in your own assignments. By citing experts in your field, you are showing your marker that you are aware of the field in which you are operating. Your citations map the space of your discipline, and allow you to navigate your way through your chosen field of study, in the same way that sailors steer by the stars.

References should always be accurate, allowing your readers to trace the sources of information you have used. The best way to make sure you reference accurately is to keep a record of all the sources you used when reading and researching for an assignment.

## Acknowledging indebtedness

All material gathered from sources, whether quoted directly or indirectly, requires

documentation in a research paper.

## **Establishing academic integrity**

Providing sufficient information for the citations and references you have used in your articles is the first step to establish academic integrity. Be honest and frank to point out when you cross-refer others' works or research in your articles.

## **Avoiding plagiarism**

When writing your articles, you have to be cautious of the possible plagiarism all through the process. Bear in mind the behaviors that might result in plagiarism in your writing.

## **Establishing the validity of evidence**

Citation of sources of information gives readers a way to establish the accuracy of direct or indirect quotations and to verify the validity of your interpretation and use of sources.

Anything that is borrowed from another author must be referenced, including, but not limited to:

- a direct quotation, summary or paraphrase;
- another author's idea, concept, theory, chart, image, and so on;
- information that is not "common knowledge".

There are mainly three styles for referencing:

- The APA style (America Psychological Association Style), commonly used in social sciences;
- The MLA style (Modern Language Association Style), mainly used in the humanities, particularly in English literature;
- The Chicago style (Chicago Manual Style), mostly used in the humanities.

They differ from each other in the ways of in-text referencing as well as referencing at the end of the paper.

## **APA style: Quoting, summarizing and paraphrasing**

The APA style referencing uses parenthetical references [e. g. (Garnier, 2004)] in the body of the paper that refer to an alphabetical reference list at the end of the paper. Generally, the APA style is used in the social sciences.

There are different ways of referencing in the APA style: paraphrase, summary and direct quote.

A paraphrase is a rewording of an author's ideas into one's own words. It demonstrates an understanding of the material and is often used to support one's own arguments.

How to do paraphrasing:

- Be selective. Use only what is needed for your own purposes.
- Use your own style of writing without changing.
- Select only the sections of the original text that are relevant to your own arguments.
- Any of the author's key terms must be put in "quotation marks" or be italics.

A summary is a brief account, in one's own words, of what an author says.

How to do summarizing:

- Follow the same order of ideas as the original text.
- Remain true to the original author's intent.
- Any of the author's key terms must be put in "quotation marks" or be italics.

A direct quote is when an author's exact words are borrowed. It is used when another author expresses an idea in a way that you feel should not be changed.

How to do it:

- Reproduce the original text exactly and put it in "quotation marks". Any changes to the quote must be placed in [square brackets] .
- Use direct quotes to reinforce your own ideas, not to introduce or make new arguments.
- Use quotes sparingly.

Quotations are used only when they are more powerful and more effective than restating the material in your own words.

They are either positive or negative statements. That is to say, they are in support of your argument or opposite to your own views.

Quotation marks that close a quote come before the parenthetical reference. Commas and periods come after parenthetical references: "Quote" (Bayer, 2008: 4). However, exclamation marks and question marks that end a quote come before the closing quotation mark. In these cases, a comma or a period is required after the parenthetical reference: "Quote?" (Bayer, 2008: 2).

When the quotation has 40 words or more, it should be a block quotation. The block quotation begins as a separate paragraph where each line is indented five spaces from the left margin and each subsequent line is flush with the paragraph indent. The block quotation does not need any quotation marks. The necessary citation information is given outside the punctuation that ends the borrowed material.

There are some changes in quotations from the sources:

- The first letter of the first word in a quotation and the punctuation mark at the end of a sentence.
- In the case of omitting materials, you are required to use three ellipsis points ( ... ) within a sentence and four ellipsis points ( ... ) between two sentences.
- When you insert additions or explanation, you have to use brackets to enclose them.
- If you want to emphasize some part of the original materials, you can underline the emphasized part and italicize it. Immediately after it, you insert parentheses in which the words "italics added" are placed.

1. Conceptually, Gardner (1985: 10) sees motivation as "the combination of effort plus desire to achieve the goal of learning the language".

2. The following section will discuss empirical studies on learning strategies in terms of their findings and methodological problems. If we "review the whole of the learner strategies research, we have to say that it is at an embryonic stage" (Skehan, 1989: 98).

3. Rubin (1987: 19) more explicitly states the importance of studying students' beliefs in her review of the research on learner strategies:

... to better understand how learner strategies come to be used, it is essential that we account for a learner's knowledge about language and his/her beliefs about the language learning process [ that is, his/her views about how learning can be successful. ] because

his/her knowledge can *form the basis for selecting and activating one strategy over another.*  
(italics added)

## In-text citations

Citations refer to the surname of an author, the year of publication, and page references if specific words or arguments are drawn from an author in parentheses.

Parenthetical references in the text include the author's surname and the year of publication: (Grove, 2008) .

Page numbers must be included for any direct quotation: "the expectations varied according to the subject studied" (Grove, 2008 : 234) . In the case of a paraphrase, the page number is not essential, but can be included to help the reader locate the material. The page number is not necessary for a summary.

If page numbers are not available, such as in the case for some electronic documents, the paragraph number should be used to locate the material: (Grove, 2008, para. 4) .

In publications in which the pagination restarts in every chapter, the chapter number must be included as well: (Grove, 2008, chapter 3, p. 34) .

In in-text references and in the reference list, when naming multiple authors, an ampersand (&) is used to replace the word "and": (Brown & Ruter, 2007) . If the names of the authors appear in the body of the paper, the word "and" must be used instead of the ampersand: Brown and Ruter (2007) discuss this improper use of the case study.

There are some special examples for in-text citations:

### Author named in text

If the author's name is part of the body of the text, it does not need to be included in the parenthetical reference: Bell (2005) noted that it was part of the project . The same goes for the year of publication. In the following example, no parenthetical reference is necessary, as the information appears in the text: In 2005, Bell noted that it was part of the project.

## Multiple authors

Two authors: every citation must include both authors' surnames: (*Brown & Green, 2004*) .

Between three and five authors: all the authors' surnames are mentioned in the first reference citation: (*La Fayette, Dawson, Rutherford & Stanton, 1999*) but in subsequent reference citations, only the first author's surname is used, and is followed by "et al.": (*La Fayette et al., 1975*) .

Six or more authors: the surname of the first author, followed by "et al." is used in every citation: (*Jin et al., 2001*) .

## No author

If there is no author, the item that appears first in the reference list is used. This can be the editor, but usually is the title. As any other reference, the year is also included.

If the item is a book, periodical or report title, the first word should be capitalized, and the title should appear in italics: (*Violence in schools: Issues, consequences and expressions, 2004*) .

If the item is a Web page, chapter or article title, all major words should be capitalized, and the title should appear in quotation marks: ( "Aggression in Children: Multicultural and Longitudinal Study", 2006 ) .

## Indirect sources

Whenever a source is quoted in another source, it is best to locate and use only the original source. If it cannot be located, use the source you found, and add "as cited in" at the beginning of the reference. Example for a passage by Smith that was read in an article by Bryce: *Smith argues that "only fools would believe such a thing" (as cited in Bryce, 2006, p. 43)* . The reference list should include only the source you read (in this case: Bryce).

## Two or more works in the same in-text reference

One citation might refer to two or more studies or works by different authors. In this case, the two citations should be separated by a semicolon, and arranged alphabetically in the same



order as they appear in the reference list: (*Brown & Green*, 2004; *La Fayette*, 2003).

## Reference list/References

The bibliographic information is displayed in a format called the reference List or References, not Bibliography or Works Cited. The entries are listed in alphabetical order, by the authors' surnames. And only the initials of the authors' first names are used. the Multiple works by the same author should be arranged by the publication dates, starting with the earliest.

If the author is a group, the entry should be alphabetized by the first significant word, and the full name should be used (no abbreviations).

If there is no author, the title is used. Works are alphabetized according to the first significant word (omit *a*, *an*, and *the*).

The entire reference list should be double-spaced.

The first line of each entry is not indented, but every line beyond the first of each entry is hanging indent.

**Article or chapter titles:** Only the first word of the title and of any subtitle is capitalized. There should be no italics or quotation marks.

**Book and report titles:** Only the first word of the title and of the subtitle should be capitalized. The title should be in italics with no quotation marks.

**Periodical (journals, newsletters, magazines) titles:** All major words in titles should be capitalized, and titles should also be italicized with no quotation marks.

**Place of publication:** For locations within Canada and the United States, the name of the city should be followed by a comma and the standard province or state abbreviation. For locations outside Canada and the United states, the city name should be followed by a comma and the country name.



The following are some examples of references in APA style :

Book ( Non-periodical ) –bibliographic entry:

Author	(year)	Book title	Place of publication	Publisher
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Bell, J. (2005). *Doing your research project; A guide for first-time researchers in education, health and social science*. New York, NY: Open University Press.

In-text: (Bell, 2005) – include page number if direct quotation.

Chapter or part of a book – bibliographic entry:

Chapter Author	(year)	Chapter title	In	Book editor (Ed.Or Eds.)	Book title	(page range)	Place of publication	Publisher
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Inman, J. A., & Sewell, D. N. (2003). Mentoring in electronic spaces: Using resources to sustain relationships. In M. A. Pemberton & J. Kinhead (Eds.), *The centre will hold: Critical perspectives on writing center scholarship* (pp. 177–189). Logan, UT; Utah State University Press.

In-text: (Inman & Sewell, 2003) – include page number if direct quotation.

Newspaper article – bibliographic entry:

Author	(year, month day)	Article title	Newspaper Name	Section and page(s)
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Klein, M. (2011, April 23). Police investigate third murder this year. *The Ottawa Citizen*, pp. A1, A3.

In-text: (Klein, 2001) .

Motion picture – bibliographic entry:

Producer name	(Producer)	&	Director name	(Director)	(year)	Motion picture title	[Motion picture]	Country of Origin	Studio
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Rudin, S. (Producer), & Nichols, M. (Director). (1991). *Regarding Henry* [Motion picture]. United States: Paramount Pictures.

In-text: (Rudin & Nichols, 1991) .

Article in a periodical – bibliographic entry:

Author	(year)	Article title	Periodical Title	Volume(issue)	Page range
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Budd, L. J. (2004). On to the centennial. *American Literature*, 76(4), 653-663.

In-text: (Budd, 2004) – include page number if direct quotation.

For electronic documents, in its most recent edition, the APA Publication Manual changed its guidelines for referencing electronic documents. It now recommends the inclusion of a Digital Object Identifier (DOI) in the reference list whenever possible.

DOIs are usually displayed prominently on the first page of scientific articles found online, and are sometimes provided for websites or online books or magazines as well (read more about finding and using DOIs in the APA Publication Manual). If no DOI is available, the URL for the home page of the material should be provided instead. If the URL is used, the retrieval date is not necessary, except if the content of the page is subject to frequent changes. For example:

Article in an online periodical with DOI – Bibliographic information:

Author	(year)	Article title	Periodical Title	Volume(issue)	page range	doi	xx.xxxxxxx
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Colton, M. (1989). Attitudes of special foster parents and residential staff towards children. *Children & Society*, 3(1), 3-18. doi: 10.1111/j.1099-0860.1989.tb00565.x

In-text: (Colton, 1989) – include page number if direct quotation.

Article in an online periodical without a DOI – Bibliographic information:

Author	(year)	Article title	Periodical title	Volume(issue)	page range	Retrieved from	URL
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Osberg, L. (2005). Work and well-being in an aging society. *Canadian Public Policy*, 31(4), 413-420. Retrieved from <http://economics.ca/cpp/en/>

In-text: (Osberg, 2005) – include page number if direct quotation.

Online newspaper article – Bibliographic information:

Author	(year, month day)	Article title	Newspaper name	URL
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Klein, M. (2001, April 23). police investigate third murder this year. *The Ottawa Citizen*, Retrieved from <http://www.ottawacitizen.com/>

In-text: (Klein, 2001) .

Article on website (no date) – Bibliographic information:

Author	(n.d.)	Article title	Retrieved	Month day, year	from	URL
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Joyce, A. S. (n.d.). *Research letter: Canadian Group Psychotherapy Association*. Retrieved October 26, 2009, from <http://www.cgpa.ca/Research-Letter>

In-text: (Joyce, n.d.)

## Common reference list errors

There are some common errors in reference lists , including:

### Missing references

A reference is cited in the text but is not included in the reference list.

### Incongruity between the text citation and the reference list

The most common error occurs when the dates in the text citation ( Winfield, 1994 ) and in the reference list ( Winfield, 1995 ) differ. Other times, the order of the author names or spelling of the author names differs.

### Spacing

The reference should begin flush left , with all subsequent lines in this reference indented five spaces.

## Spelling

Sometimes errors appear in the spelling of authors' name or journal or book titles.

## Alphabetic order

References are to be arranged alphabetically by the first author's last (and, if necessary, first and middle) name (and the date of publication, if necessary). In rare cases, an author might have published two or more articles in the same year; in such cases, the year of citation for the articles includes a letter, such as 2002a, 2002b, and so on.

## Chronological order

References for the same author are to be arranged chronologically, with the earliest reference first. If co-authors are involved in any citations to the same first author, the multiple-authored studies are placed after all single-authored publications; multiple-authored publications with the same first author are alphabetically by several author names (and subsequent authors if necessary) and the date of publication (if necessary).

## Author names

Use complete last name of each author, and initials of their first or first and middle names.

## Titles of journal articles and book chapters

The title of journal articles and book chapters should not be placed within quotation marks, nor should they be italicized. Only the first word of the title should be capitalized; all other words should not be capitalized, except when there is a colon in the title (in this case, the first letter of the first word after a colon is capitalized) or a proper name appears in the title.

## Journal names

All important words of the journal name should be capitalized. In addition, the journal name should be italicized. (Compare Journal names with the title of books here.)

## Book edition

If there are multiple editions of a book, the edition for the particular reference appears in parentheses after the book title and is abbreviated (e. g. , 2nd ed. ).

## Book editors

With an edited book, use Ed. (or Eds. ) in parentheses to identify the editor (s).

## Book publisher

Preferably the complete name of book publisher (capitalizing the first letter of each word of the publisher).

### Task 1:

Read the following bibliographic entries and try to modify them.

(1) Fawcett, R. P. (2000). A Theory of Syntax for System Functional Linguistics. Amsterdam: Benjamins.

(2) Fawcett, R. P., 2008, Invitation to Systemic Functional Linguistics through the Cardiff Grammar: An Extension and simplification of Halliday's Systemic Functional Grammar (3rd edition) (M). London: Equinox.

(3) Fawcett, R. P., forthcoming, The Functional Syntax Handbook: Analyzing English at the level of form [M]. London: Equinox.

(4) Halliday, M. A. K. & McDonald, E. (2004). Metafunctional profile of the grammar of Chinese. In A. Caffarel, J. R. Martin & c. Matthiessen (Eds.) Language Typology: A Functional Perspective. Amerdam/Philadelphia.

(5) Halliday, M. A. K. (2000). An Introduction to Functional Grammar (2nd ed.). Beijing: Foreign Language Teaching and Research Press/ London: Edward Arnold.

(6) Delia Chiaro. (1992). The Language of Jokes: analyzing verbal play. Routledge, 92-93.

(7) 孙良明, 1983, 从汉语动词特点谈汉语无单句、复句之分, 山东大学学报, 1983 (10)。

### Task 2:

Read the following bibliographical entries and try to modify them in the three referencing styles respectively.

(1) Downing, A. (2002). Thematic Progression as a Functional Resource in Analyzing Texts. Madrid: Universidad Complutense.

(2) Daněš, F. (1974). Functional Sentence Perspective and the Organization of the Text. In F. Danes (Ed.), Papers in Functional Sentence Perspective. Prague: Academia.

(3) Davies, F. (1988). Designing a Writing Syllabus in English for Academic

Purposes: Process and Product. In P. Robinson (Ed), *Academic Writing: Process and Product*, London: Modern English Publications/ British Council.

(4) Eggins, S (2004). *An Introduction to Systemic Functional Linguistics*. (2nd Ed. ). New York: Continuum International Publishing Group.

(5) Fawcett, R. P. (2003). The Many Types of "Theme" in English: Their Semantic Systems and Their Functional Syntax. <http://www.wagsoft.com/Systemics/Archive/Fawcett2ThemePaper.rtf>.

(6) Francis, G. (1989). Theme in the Daily Press. In *Occasional Papers in Systemic Linguistics* (Vol. 4, pp. 51-87). Nottingham: University of Nottingham.

(7) 柴同文, (2012), 学术致谢的语类结构及其功能变体研究, 《外语教学》, 第6期, 24-28。

(8) 方琰, (1989), 试论汉语的主位述位结构, 《清华大学学报(哲学社会科学版)》, 第2期, 66-72。

## Remember

- There are two systems of documentation: the note-bibliography system and the parenthetical-reference system.
- There are three styles for referencing: the APA style, the MLA style, and the Chicago style.
- APA style is widely used in social sciences.