Working on it:

PhD Research at the Department of English, University of Turku

edited by

Ira Hansen and Sirkku Ruokkeinen

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Contents

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Sirkku Ruokkeinen and Ira Hansen

This collection of essays showcases the PhD dissertation research conducted at the Department of English, University of Turku. The purpose of the collection is twofold. Firstly, the collection serves as a source for MA students and graduates considering postgraduate studies to gain a hands-on view of what it is like to work as a researcher; the collection offers perspectives on the options available to the prospective researcher, gives examples of challenges they may face, as well as possible solutions to these challenges, in a manner perhaps more personal and practically oriented than in most research articles. Secondly, the collection allows young scholars an opportunity to think about their work in its early stages, concentrating on issues such as terminology or methodology, areas which are often given limited attention, for example, in dissertation articles due to issues of space. All contributors to this collection are PhD researchers in the Department of English at the University of Turku, in different stages of their PhD projects. Each contributor discusses their topic in relation to, and in the context of, their PhD dissertation. The collection is representative of all major areas of research conducted in our department; essays on fields such as literature, second language acquisition, translation studies, linguistics and philology are included. However, as our aim is to offer perspectives to issues of ongoing research for other (prospective) young scholars, the essays of this collection have been grouped according to the topic under discussion, i.e., terminology, methodology, and/or theory, rather than by the field of research the scholar is engaged in.

The collection opens with a section discussing terminology, then moves on to theories and their application. The last section of the work concentrates on methodological issues. However, we must note that a consideration of each of these issues – relevant terminology, theories and methods – is of course necessary for any research. The topics overlap, and are sometimes impossible to discuss without delving into other areas, especially since our contributors are discussing ongoing research. Hence the writers may diverge to other issues relating to their work in order to explore their topic.

Part I, containing essays discussing terminological issues in the fields of linguistics, literature, and second language acquisition, opens with **Timo Savela**'s essay, "Seeing Things Unreel: From Appearance to Apparition". Savela traces the philosophical foundations of the concept of *landscape* and the term's application in researching linguistic landscapes of education, and shows how the term is often used without properly acknowledging its meaning or history. In the second essay, "The Body in Space: Towards an Embodied Framework of Spatial Theory", **Ira Hansen** discusses the challenges of defining and applying theoretical concepts that are used differently in different fields of research. Hansen discusses her process of making sense of the concepts of *space* and *place* and their application in an embodied framework in the context of contemporary US literary fiction. Next, in "The Double in Contemporary Indian American Fiction: Building a Theoretical Framework", **Nana Arjopalo** touches on the challenges of defining and applying the concept of the *double* in her research. Arjopalo discusses the difficulties of removing the concept from its traditional role as a gothic trope and reapplying it to a postcolonial framework and into the context of Indian American fiction. **Judi Rose**'s essay, "Lessons in Literacy: Defining and Redefining Complex Terminology" closes Part I with a consideration of the concept of *literacy,* specifically in connection to the language learning strategies of L3 students of English.

Part II concentrates on theories and their application in literary studies, translation studies and textual scholarship. **Petri Luomala** opens this section with his essay "Welsh Writing in English as Postcolonial Literature: Reading Niall Griffiths". In the essay, he discusses the challenges of defining Welsh literature in English as 'postcolonial'. By presenting specific themes in the fiction of the Welsh author Niall Griffiths, Luomala shows how postcolonial theory can and should be applied also outside the more traditional framework of European imperialism. **Turo Rautaoja** follows with "Going back to the Source: Exploring the Sociological Narrative Theory in Translation Studies", an essay shedding light not only on the theory in question, but the processes of evaluating and selecting appropriate theoretical and methodological framework for one's PhD dissertation. The essay outlines Rautaoja's experiences in a diachronic narrative relating to his work in assessing and challenging some of his key theoretical texts. **Aino Liira** and **Sirkku Ruokkeinen** close Part II with "Material Paratext Studies: Redefining the Concept of Text in Light of Manuscript Evidence". In the essay, they critically investigate the concepts of *text* and *paratext* through the application of the *paratextual framework* to manuscript evidence.

Part III concentrates on methodological issues in manuscript studies, second language acquisition, and translation studies. **Sara Norja** opens Part III with "The Challenges of English Alchemical Manuscript Texts as Research Material", which depicts the methodological hurdles faced by a researcher interested in studying the under-researched and obscure field of mediaeval alchemical manuscripts. Norja presents a diachronic overview of the data selection and collection she conducted for her PhD dissertation, a scholarly edition of all seven manuscript copies of a mediaeval pseudo-Baconian treatise, *The Mirror of Alchemy*. **Gabriel Jay Rauhoff** follows with "Squad Goals: Researching Collocations in Second Language Acquisition", an exploration into both the theory and method of his PhD dissertation, dealing with L2 learner's collocation use. The essay reflects on the practical application of the theories related to collocation research through the description of Rauhoff's experiences. Part III closes with **Laura Ivaska**'s "On how to Uncover the *de facto* Source Languages/Texts of (Indirect) Translations". In her essay, Ivaska discusses why being able to pinpoint the de facto source texts of (indirect) translations matters and how this can be done. Her focus is thus on the methodological issues, specifically those relating to data collection in relation to her PhD dissertation research, dealing with indirect translation of prose literature from Greek to Finnish.

The essays in this collection provide not only information on the ongoing PhD research conducted in the Department of English at the University of Turku, but also give practical examples of solving theoretical and methodological issues, often with an intimate view of the the young scholar's research process, thoughts, and struggles. Moreover, despite each scholar having a different starting point, what emerges is a shared experience of gaining confidence in one's own scholarly method, and ultimately, growth as researchers. We hope the reader will find these essays helpful when solving similar issues in their own research.

Sirkku Ruokkeinen and Ira Hansen,
21 March 2019, Turku

Part I

Seeing Things Unreel: From Appearance to Apparition

Timo Savela

1 Introduction

When I decided to pursue a PhD I opted to do something different from what I had done previously. In the past I had focused on language in politics through pragmatics, semantics and rhetoric. It would have been easier to carry on doing what I had already done in the past, but I chose otherwise as I wanted to broaden my horizons. It would have been a much safer choice to do more of the same, but that would have limited me into one familiar field.

What I chose to do instead was in part motivated by one of the last courses that I attended during my MA studies. That course focused on linguistic landscapes, a rather novel strand of sociolinguistics that emerged at the turn of the millennium. There were a number of options to choose from, but due to certain possible openings envisioned at the planning stages of my research I opted to focus on linguistic landscapes of education. Due to how events unfolded, I ended up focusing on a single landscape rather than multiple landscapes. As it turned out, choosing to do something different that is situated in the margins of different disciplines was detrimental to my funding. It seems that I kept transgressing established boundaries, never really fitting in any discipline.

The data gathering and annotation of my material proved to be rather clear cut, albeit particularly arduous. In other words, despite the initial intensiveness of it, I had little issues with the actual empirical fieldwork. The only practical problems that I encountered had to do with jurisdictional and bureaucratic matters. What I struggled with initially had to do with theory, something which, in retrospect, seems to be hardly addressed in much of linguistic landscape research. Therefore I will examine the theoretical aspects related to my work in this essay.

I begin this essay with an examination of theory in linguistic landscape research, followed by a similar examination of theory in geographic landscape research. These sections are dedicated to addressing existing theoretical

limitations affecting much of linguistic landscape research while drawing parallels with pioneering landscape research of the early 1900s. I then move on from landscape theory to spatial theory as much of landscape research is grounded on certain philosophical foundations and a high degree of familiarity in philosophy is typically expected of the reader. I examine the philosophical foundations in order to account for the pervasiveness of landscape, as presented in much of landscape research. Therefore the purpose of this essay is twofold. I address the existing theoretical limitations and attempt to explain the reader how I overcome the limitations in my own research.

2 Theory in linguistic landscape research

My own research is linked to the study of linguistic landscapes of education or schoolscapes, typically attributed to Brown (2005, 2012, 2018). Aligning her research to linguistic landscape studies (LLS), Brown (2012) refers to schoolscapes as the linguistic landscapes of educational spaces. Brown (2005, 79; 2012, 282; 2018, 12) defines the core concept as the school environment, the physical and social setting where written and spoken language procedurally (re)produce and alter language ideologies and the context in which the curriculum is implemented, socially supporting and officially sanctioning certain ideas and messages.

What is known as linguistic landscape research or LLS emerged in the early 2000s. The emergence of LLS is typically traced back to an article written by Landry and Bourhis (1997). In that article the concept of linguistic landscape is introduced and it is considered an important sociolinguistic factor. The article is often cited in LLS and therefore it is worth examining the definition of the concept Landry and Bourhis introduce as referring "*to the visibility and salience of language on public and commercial signs in a given territory or region*" (1997, 23; emphasis as in the original). Firstly, it is evident from this often cited definition that linguistic landscape (LL) is a visual concept involving language. Secondly, it is indicated that it is manifested on signs in a certain delimited area. In other words, LLS is the study of situated texts. Therefore the linguistic component pertains only to written language, assuming that language is understood strictly as only manifested in writing. More specifically, it pertains to texts put in place as opposed to texts that are not place or context specific. Landry and Bourhis (1997, 25) further elaborate the concept as "[t]he language of public road signs, advertising billboards, street names, place names, commercial shop

signs, and public signs on government buildings combines to form the linguistic landscape of a given territory, region, or urban agglomeration."

The difference between the two definitions provided by Landry and Bourhis (1997) is in the fine details. The second definition is clearly more precise, offering concrete examples of the manifestations. It is evident that the object of inquiry is situated on static objects put on display in specific places in space. The problem with these definitions provided by Landry and Bourhis (1997) is that no justification or explanation is provided for the second component, the use of the word landscape. While contemporary LLS no longer make use of the definitions provided by Landry and Bourhis (1997) to a great extent, the earlier research can, however, be seen as influencing definitions in more recent studies as they also tend to ignore addressing the landscape component, or rather take it for granted. I found myself troubled by the lack of attention paid to the core concept that is landscape. If no one seems to be able to come up with a satisfactory definition of landscape in landscape research, how can linguistic landscape research make use of the word?

While it could be argued that focusing on the definition of landscape in linguistic landscape is merely an exercise in pedantry, the more I familiarized myself with landscape studies, the more I questioned taking the core concept for granted. In fact, I found myself deeply troubled by taking things for granted once I started to notice the parallels between the early geographic landscape studies and the early linguistic landscape studies. This can be exemplified by contrasting the pioneers of each research tradition, Sauer ([1925] 1929) and Landry and Bourhis (1997). Sauer characterizes the concept: "The term 'landscape' is proposed to denote the unit concept of geography, to characterize the peculiarly geographic association of facts. Equivalent terms in a sense are 'area' or 'region'" ([1925] 1929, 25). Sauer further elaborates the concept: "It may be defined, therefore, as an area made up of a distinct association of forms, both natural and cultural" ([1925] 1929, 25-26). It is evident that the definitions provided by Sauer ([1925] 1929) and Landry and Bourhis (1997) are very similar. In both cases landscape is equated to region and both are presented as studies of visible forms in a delimited area of land. The only notable difference between the two is in the specificity of the object of inquiry. LLS following Landry and Bourhis (1997) focus only on the study of visible forms of language in a delimited area, whereas landscape research as defined by Sauer ([1925] 1929) includes any and all visible forms, including but not limited to linguistic forms. As noted by Cosgrove, the problem with Sauer's ([1925] 1929) approach, also characterized as chorology, is that it results in "a static pattern or picture whose internal relations and constituent

forms are understood, but which lacks process or change" (1985, 57). In other words, summarizing the criticism mounted against such approaches already decades ago, the issue is that studies using such definitions yield inventories of items with little concern over how it all come to be and how it will change, not to mention why it is important in the first place.

Another pertinent issue is that neither Sauer ([1925] 1929) nor Landry and Bourhis (1997) provide a justification for using the word landscape. The problem for LLS is that due to the evident similarities with the definition provided by Sauer ([1925] 1929), those following Landry and Bourhis (1997) are open to the same effective criticism mounted against early landscape research by Hartshorne (1939). According to Hartshorne (1939), the issue is that without a justification for the use of the word landscape, there is little use for it. Moreover, as opposed to other concepts, such as area, territory or region, Hartshorne (1939, 344) is particularly concerned with obscurity of the concept. Summarizing Waibel (1933), Hartshorne (1939, 331) argues that it seems to be the case that landscape is preferred by some as it comes across as more impressive and imposing than the existing more precise alternatives. In more contemporary parlance, it could be argued that landscape has buzz value to it. In vitriolic opposition to the use of the word, Hartshorne goes as far as to argue that opting to use it as essentially synonymous with land, area or region is nothing "short of a scientific crime" (1939, 327). As noted by Hartshorne (1939, 327), the problem is that while there is no doubt that landscape has something to do with land, it is not synonymous to it, nor to area, territory or region which all refer to how land is delineated. It is worth noting, if not conceding, that contemporary criticism of research conducted nearly a century ago is without much grace or humility, having not only the benefit of hindsight but also the decades worth of subsequent research, significantly improved access to it and the technological improvements that benefit research. The problem for those following Landry and Bourhis (1997) is that such grace should hardly extend to contemporary studies. It does not bode well for them when it is evident that the present issues were recognized and addressed elsewhere nearly six decades before the publication of the article written by Landry and Bourhis (1997).

Linked to my own research, while the definitions of schoolscape provided by Brown (2005, 2012, 2018) take into account the dynamic nature of the educational spaces, not only what they are but also what they do, they still equate landscape to material environment. Laihonen and Tódor (2017) follow Brown (2012), but broaden the definition from linguistics to semiotics. Similarly to Laihonen and Tódor (2017), Szabó expands Brown's (2012) definition to include

other modes of communication, but also reformulates it from physical environment to "visual and spatial organization of educational space" (2015, 24). While both reformulations of schoolscape arguably improve upon it, not unlike most LLS very little discussion is offered on the use of core concepts: landscape and space.

3 Theory in landscape research

In order to address criticism mounted by Hartshorne (1939) against those who in their studies take landscape for granted and offer little justification for the use of the concepts, I opted to immerse myself in the existing literature on landscape. It quickly became apparent that there is no agreement on the concept of landscape and it remains rather enigmatic among landscape scholars. Moreover, as expressed by Schein (2003, 199), it is perhaps even unreasonable to expect that an agreement can be reached due to the variety of backgrounds and philosophical stances among those interested in landscapes. Lack of agreement does not, however, entail that the core concept can thus be altogether ignored. Schein argues that while focusing on the concept and its theoretical may seem "esoteric and arcane" (2003, 200), not to mention arduous, it is, nevertheless, a necessity. Duncan (1990, 11-12) is particularly adamant that ignoring theory and basing research solely on empiricism relies on uncontested assumptions and results in the exact opposite of claimed neutrality and objectivity. Duncan (1990, 11-12) is particularly critical of early landscape research of the early 1900s, namely Sauer ([1925] 1929) and his followers, due to the emphasis on rigorous fieldwork that entails unmediated observation and recording of landscape artifacts as data, which is then supposed to be revelatory. Ronai (1976, 137-139) argues that such rigorous analyses that equate landscape as the appearance of a geographic area result in the absence of landscape. Moreover, Ronai (1976, 153) refers to such passionate systematic empiricist approaches that seek to extract knowledge from landscapes as geophilia and adds that it results in reinforcing the existing representations of spaces, trapping the researchers in complicity and complacency and making landscape impervious to alteration. It is worth reiterating that much of the LLS build on a similar premise to that of the early landscape research, often following the definition provided by Landry and Bourhis (1997). Furthermore, as noted by Troyer and Szabó (2017, 56, 59), LLS tends to suffer from complacency, taking its most popular method, digital photography, very passionately, which may make the researchers complicit in reproducing representations, as noted by Ronai (1976, 153). It is worth noting that while there is a certain hostility towards

empiricism in contemporary landscape research, as exemplified by Duncan (1990), it is only when there is an absence of theory. For example, despite any previous animosities and the apparent shortcoming of lacking theory, Duncan and Duncan (2010, 227) commend Sauer ([1925] 1929) for taking data seriously, something that they consider lacking in contemporary landscape research. Therefore, as advocated by Duncan (1990, 15) and exemplified by, for example, Schein (1997, 2009), it is advisable to opt for a middle ground, taking both theory and practice seriously as I have attempted in my own research (Savela 2018).

Addressing landscape in relation to space, Ronai (1976, 126-127) argues that landscape does not exist by itself, nor is it an inherent part, fraction or aspect of space. Instead, for Ronai (1976, 126-127), it is performed or projected to space through gaze that reduces real space to spectacle of space. Similarly, following Cosgrove (1985, 46) defines landscape as a way of seeing. It may seem absurd to state that such has any importance, yet, as elaborated by Cosgrove (1985, 46), landscape is a veritable invention, on one hand making use of the appeal of art and on the other hand the certainties of science, namely geometry that is typically regarded as an inherent property to space itself. Cosgrove (1985, 46) emphasizes the importance of the use of linear perspective in this development that can be traced to Renaissance Italy. Consequently, Cosgrove (1985, 55) argues that, landscape offers an observer a sense of control over the environment, one that is nonetheless illusory. Similarly Ronai (1977, 79-80) argues that landscape grants an observer a commanding view, a posture, that is, nevertheless, in actuality an illusion, a mere imposture. The result of this development is, as argued by Lewis (1979, 11), that for many landscape simply is, at best appraised for its aesthetic qualities as either beautiful or ugly, as noted by both Ronai (1976, 127) and Lewis (1979, 11). Ronai (1976, 127) argues that as a result landscape, a reduction of real space into a spectacle of space, creates an illusion of harmony, a simultaneity of aesthetic and anesthetic. In similar manner, Mitchell (2002, vii-viii) states that landscape functions as an invitation to look at not something but nothing, overlooking instead of looking, ignoring the particulars in favor of an irreducible totality. Therefore Mitchell argues that engagement with landscape is a matter of "conscious apperception of space" (2002, viii) rather than perception of space. Schein (1997, 663; 2003, 202-203) argues that ignoring the particulars in favor of the scene can result in landscapes becoming seemingly unproblematic, to an extent that people take them for granted, making them normative and central to production and reproduction of everyday life. Due to the taken for granted nature of landscape, Cresswell (2003, 277) identifies landscape as doxic, in reference to *doxa*, defined by Bourdieu ([1972] 1977, 164) as the common sense realm in

which an arbitrary order of things is naturalized and appears self-evident, resulting in its reproduction according to its own logic. Alternatively, in Foucault's ([1969/1971] 1972, 25) parlance, landscape can be identified as the never-said, an incorporeal discourse, something already-said that has its origin no longer apparent. Following Derrida ([1967] 2005, 369-370), Rose (2006) provides an apt characterization of landscape as offering dreams of presence, a reassuring foundation or origin.

Mitchell (2002, vii) states that landscape offers a subtle and indirect mean of exercising power, making it hard to resist. Therefore Mitchell ([1994] 2002, 5) argues that landscape is a medium that, as also noted by Ronai (1976, 127), does not exist in itself, but lends itself to an infinite number of uses. It has had two principal uses, serving as a practical medium in appropriation of space, legitimizing land as property, as elaborated by Cosgrove (1985, 46), and serving states by linking it with codes of conduct, as explained by Matless (2000, 142), making it not only a matter of property but also of propriety, as noted by Wylie (2007, 117). In other words, as a medium landscape has been used to appropriate land as property while obscuring such development and to instill propriety, certain desired appropriateness, such as what a national identity entails.

4 Reformulating landscape theory

As I was not content on applying existing definitions offered for the concept uncritically and found myself puzzled by landscape no matter how many influential landscape studies I read, I decided to extend my reading from existing studies on landscapes and linguistic landscapes to other disciplines. I engaged in philosophy in order to understand how it is connected to space. Simply put, I kept being mesmerized by the importance attributed to landscape by scholars. It seemed very counterintuitive that a concept attributed to paintings has a profound impact on everyday life. Therefore I opted to dedicate my time to better understand what reality is and whether it can be accessed directly or merely indirectly, as well as how it is connected to perception and volition. It may seem to be a time consuming or simply unnecessary endeavor, but, on the contrary, it is arguably necessary to do so, otherwise one opts to ignore much of the pertinent criticism.

Crang and Thrift (2000, 1) state that space is everywhere in thought, a convenient and flexible nostrum that can be put into various uses. More emphatically, Lefebvre ([1974] 1991, 2-4; [1986] 2003, 206) criticizes using space as a buzzword, parceled by different disciplines for different purposes,

fitted to suit the relevant methodological premises. Summarizing Lefebvre, the problem is that it is rarely explained what space is and how it is connected to everyday life, resulting in a "yawning gap" ([1974] 1991, 3-5) between how it is presented as mental space and how it is in practice. Lefebvre ([1974] 1991, 4) argues that this is the result of the emphasis put on the *cogito*, the abstract rational subject. Lefebvre ([1974] 1991, 1-6; [1986] 2003, 206) notes that it was once used intelligibly across disciplines, or in philosophy, but contemporarily space tends to be, at best, understood as Euclidian-Cartesian-Newtonian, as an empty zone or container that bears no effect upon its content, defined as absolute, optical and geometrical.

Lefebvre ([1974] 1991, 26) is not content on merely criticizing others for using space axiomatically, i.e. assuming that the readers know what is meant by it. Therefore Lefebvre ([1974] 1991, 33, 38-40) proposes an interconnected conceptual triad, consisting of spatial practice, representations of space and representational spaces and their phenomenological counterparts, perceived space, conceptualized space and lived space. The first part, spatial practice, pertains to how space is produced as well as perceived. The second part, representations of space, has to do with how space is conceptualized and represented, namely by various experts, including but not limited to planners, engineers, scientists and artists. Following Burke (1757, 29-30) and Plato (1888, 310-311), this includes landscape painters who in their works represent space, imitate reality. The third part, representational spaces, relates to how space is passively experienced, imagined in association to images and symbols, including representations of space, imitations of reality. Lefebvre ([1974] 1991, 39) notes that the parts of the triad are in dialectical relationship or tension, making up social space. It is worth emphasizing that the parts do not function in opposition to one another, as pairs of affirmation-negation (thesis-antithesis) resulting in negation of negation (synthesis), but as simultaneous moments as noted by Lefebvre ([1974] 1991, 40). In other words, none of the parts are synthesized from the other parts nor is space synthesized from only two parts at any given time. Shields (1999, 161) rephrases representations of space and spaces of representation as discourses *on* space and discourse *of* space respectively. Similarly to Lefebvre and likely influenced by him, Ronai (1976, 158-159), proposes a tripartite space, consisting of real space, knowledge of space and spectacle of space and their counterparts social practice, discourse and gaze. For Ronai (1976, 158) spectacle of space functions as a mediator between the two others with landscape positioned as its central feature.

I find Lefebvre ([1974] 1991) particularly useful to landscape scholars, including linguistic landscape scholars, as his triadic formulation of space helps to pinpoint landscape as a space of representation (discourse of space) without ignoring spatial practice and representations of space (discourses on space). In other words, Lefebvre ([1974] 1991) succeeds in explaining why space matters and why it should not be understood as a mere container bearing no relevance to what it contains. Nevertheless, as much as I have found Lefebvre's work useful in my own research, I find it lacking in terms of explaining why landscape is as pervasive as it is presented in landscape research. Having read Lefebvre ([1974] 1991), the concept still seemed incongruous and I was not convinced of the pervasiveness of landscapes as presented in much of the existing literature. Simply put, it seemed that the concept had to be more deeply rooted in our perception of reality. Therefore I opted to look elsewhere, eventually finding what I was looking for explained by Deleuze and Guattari ([1980] 1987). However, as their ontology is highly unorthodox, simply outlandish, and highly complex it is useful to familiarize oneself with Deleuze's philosophy of difference before explaining landscape as defined by Deleuze and Guattari ([1980] 1987).

In order to better understand philosophy of difference, it is, perhaps, best to start with Kant due to his influence on Deleuze. Following Kant ([1781/1787] 1998, A249-A250), objects can be distinguished as *phenomena* and *noumena*, how objects come to appear to us in reality and how they are in themselves. Opposed to transcendental realism in which space, time and the objects are things in themselves, given or a priori, this split is what Kant understands as transcendental idealism, objects appearing as "mere representations and not as things in themselves" ([1781/1787] 1998, A369), including space and time. In other words, following Kant, reality is approached via phenomena, via representations instead of reality itself as it is beyond direct access to us. Deleuze (1978) notes that in itself this split is not unique to Kant, but what it entails is. He argues that Kant does not use *phenomenon* defined as appearance but as apparition, something appearing or becoming sensible inasmuch it does, meaning that when it does it is not opposed to its essence, nor considered as either true or false. He clarifies that in his view Kant is a phenomenologist and thus the task is not to seek for essences behind appearances but to seek the conditions which result in something appearing to us. He warns that this does not mean, for Kant, that what appears to us is constituted by the subject. Instead, he emphasizes, the subject constitutes the conditions for apparition, in order for something to appear to the subject. This necessitates the subject to be transcendental instead of empirical as the conditions of apparition are tied to the subject. In summary,

Deleuze argues that for Kant there is a distinction between phenomena and noumena. What matters is the phenomena. However, Deleuze emphasizes that focusing on phenomena is not in the search of the noumena, the essence of phenomena, but in search of the conditions that render them apparent as phenomena.

Outside the phenomenological tradition following Husserl, Somers-Hall (2012) states both Hegel and Deleuze seek to address a common problematic which is present in Kant ([1781/1787] 1998). Summarizing Somers-Hall (2012), while it is evident that Kant's transcendental idealism addresses limitations of both empiricism and rationalism, the finite and the infinite, and the essence/appearance split, it nonetheless ignores what exists in the margins of the phenomenal and the noumenal, the representational and the non-representational. Somers-Hall (2012) notes that albeit distinct from one another, both Hegel ([1812-1816] 1989) and Deleuze ([1968] 1994) indicate that calculus is, in particular, in contradiction of Kant's transcendental idealism. Somers-Hall (2012, 162-165) summarizes that calculus is particularly problematic as it allows us to determine variable quantities, such as non-constant velocity, but they cannot be accurately represented, only approximated. More specifically, Somers-Hall (2012, 169) explains that for Hegel ([1812-1816] 1989, 253) the differential co-efficient dy/dx is determined but the terms in it have no meaning outside the ratio. Moreover, Somers-Hall (2012, 170-171) summarizes that for Hegel, contra Berkeley (1734), the intermediate state of the ratio, the unity of being and nothing, is not a state but a transition, a dialectic. While largely similar to Hegel, Somers-Hall (2012, 173) notes that Deleuze [1968] 1994) maintains that the differentials can be separated from the statement dy/dx. More specifically, Deleuze argues that "[t]he symbol *dx* appears as simultaneously undetermined, determinable and determination" ([1968] 1994, 171). In other words, the differentials themselves, *dy* and *dx*, are undetermined, but reciprocally determinable (*dy/dx*) and determined once the statement is put into use. Somers-Hall (2012, 173) elucidates that, contra Hegel, Deleuze argues that the differential is not undetermined because it is not real but because it is not intuitive or quantifiable. Deleuze ([1968] 1994, 171) refers to it as continuousness. Somers-Hall (2012, 174) emphasizes that determination of quantity is generated through the differential function, not the differentials themselves, which, for Deleuze ([1968] 1994, 178), are extra-propositional or sub-representative. Somers-Hall (2012, 177) summarizes that by applying the dialectic to differentials Hegel moves from the static to dynamic, from finite representation to infinite representation, whereas Deleuze locates the differentials outside representation as neither finite or infinite, yet involved in

generating representation as determinables. Commenting on Hegel, Deleuze ([1968] 1994, 43-44) characterizes Hegel's understanding as stuck in representation, letting the finite subsist in the infinite, taking it to its logical conclusion as restless, infinite and orgiastic representation. In summary, as noted by Somers-Hall (2012, 188, 242), in Deleuze's philosophy of difference, it is difference that gives rise to identity as representation comes from the non-representation, actuality from virtuality. In other words, Deleuze uses calculus to address the margins of representation, how something beyond it, undetermined, becomes determinable and determined. Moreover, he uses it to exemplify how difference is not between identities but gives rise to them. Therefore for Deleuze ([1968] 1994, 222) difference is not phenomenal but noumenal. To be specific, according to Deleuze difference is "the noumenon closest to phenomenon" ([1968] 1994, 222). This is what Deleuze refers to as transcendental empiricism, abandoning the privileged transcendental subject as formulated by Kant ([1781/1787] 1998) and locating the transcendental outside the subject, as elaborated by Somers-Hall (2012, 12-13). Simply put, consequently identity, including the subject, does not determine reality. Instead, difference determines identity, how everything comes to appear to us.

Kant's ([1781/1787] 1998) definition of space is among those criticized by Lefebvre ([1974] 1991, 3-6) as it is neatly separated from knowledge and experience by being situated in the transcendental subject. Deleuze (1978) elaborates that for Kant space, as well as time, are immediate and intuitive. Moreover, he adds that as space and time are intuitive, they are presentational instead of representational, that is to say given or a priori, yet through intuition they appear to us. Therefore Kant designates them as "representations *a priori*" ([1781/1787] 1998, A373-A374). Deleuze (1978) emphasises that for Kant, contra, for example, Leibniz, time is not defined by succession, duration or coexistence, as they are its modes and that space is not defined in opposition or subordination to time as coextensive as that is a mode of time. Kant states that space is in us, by which he means "a receptivity for being affected" ([1781/1787] 1998, A370-A374, A494), which Deleuze (1978) characterizes as the form of exteriority, how things appear exterior to one another. Similarly to space, for Kant ([1781/1787] 1998, A373-A374, A494) time is in us, which Deleuze (1978) clarifies as a form of interiority, how one affects oneself. In summary, for Kant space and time are necessary forms of intuition as to how we experience the world. Dewsbury and Thrift thus aptly refer to this understanding of space as "Kant's filing system for observation" (2005, 89). Deleuze ([1968] 1994, 222-223) inverts the Kantian understanding of space, placing the world itself, the

noumenal, outside the subject, classifying it by extensities, the divisible quantities such as area and distance, and intensities, the qualities such as temperature and pressure which cannot be divided without a change in the quality itself. For Deleuze ([1968] 1994, 223) the two are inseparable or intertwined, intensities developing the sensible extensities. Moreover, as for reality or the real, for Deleuze ([1968] 1994, 208-209) it is both virtual and actual, constituting and constituted, relational and actual. Dewsbury and Thrift characterize space as defined by Deleuze as "the actual world" that "is made out of the virtual chaos of immanence" (2005, 89-90). This is what Guattari ([1992] 1995, 95) calls fractal ontology.

My understanding of landscape is aligned with a definition provided by Deleuze and Guattari ([1980] 1987). However, in order to make sense of their definition, it is necessary to elaborate a number of concepts used by them. Deleuze and Guattari ([1980] 1987, 66, 111) introduce regimes of signs which constitute semiotic systems consisting of form of content (discursive formation) and form of expression (non-discursive formation) in reciprocal presupposition. Firstly, Deleuze and Guattari ([1980] 1987, 112-13) describe the signifying regime of signs as the regime in which each sign never refers to anything but another sign in a chain of signification, *ad infinitum*. Moreover, Deleuze and Guattari ([1980] 1987, 114) describe it as marked by a profound deception, an arbitrary erection certain signifiers as signifieds. Most importantly, however, Deleuze and Guattari ([1980] 1987, 115) posit the face as its central icon, giving the signifier actual substance. Simply put, as described by Deleuze and Guattari ([1980] 1987, 114-115) the signifying regime consists of a supreme leader, a despot-god, encircled by bureaucrats, the interpreter priests whose work is never done due to the infinite circularity of signification. Secondly, Deleuze and Guattari ([1980] 1987, 119-123, 133-134) describe the postsignifying regime of signs as the regime marked by subjectification and passionality in which signs function in a linear fashion as a segmented line that is forever repudiated, never really leading anywhere. Thirdly, Deleuze and Guattari ([1980] 1987, 130) state that contemporarily these regimes are mixed and the despots have been replaced by *cogito*, by being slave to pure reason, to oneself. Furthermore, Deleuze and Guattari ([1980] 1987, 142, 167) state that located at the junction of these regimes is a special mechanism, the abstract machine of faciality, that functions as a structured structuring structure, not merely representing reality but in fact creating it. In other words, as an abstract machine it is responsible for the organization of the actualization of the virtual, as aptly summarized by Murray (2013, 16).

Following Deleuze and Guattari ([1980] 1987, 167-172), I understand landscape as a facialized world, the correlate of the abstract machine of faciality. Therefore, following Deleuze and Guattari ([1980] 1987, 142), landscape is not a static representation of reality but an active construction of reality for the observer. In Foucauldian parlance, as elaborated by Massumi (1992, 17-18), an abstract machine is a de facto diagram, operating at the intersection of discursive and non-discursive formations, from which a literal diagram can be extracted in order to explain its functionality. Moreover, summarizing Massumi (1992, 17-18), landscape is not a thing-in-itself, but rather the process of making-world-into-landscape. Therefore, linking landscape to space, in Lefebvre's ([1974] 1991, 33, 38-40) and Ronai's (1976, 158) terms, landscape is a space of representation or a spectacle of space, an active reduction of real or material space to representation, as argued by Ronai (1977, 78), influenced by representations of space, as argued by Cosgrove (1985). Furthermore, due to its diagrammatic nature, it is possible to operationalize landscape as a medium, as explained by Mitchell ([1994] 2002, 5), in order to appropriate space, as explained by Cosgrove (1985), as well as to instill desirable proprieties, as explained by Matless (1998). Ronai (1976, 154-155) exemplifies the utility of landscape, arguing that it can utilized as the face of the nation by creating a harmonious link between its appearance, its beauty, and the excellence of the landforms. This is exactly what I am interested in in my own research on landscapes of education, examining how landscape is utilized to instill certain identities and proprieties on students.

While I consider it pivotal to address what landscape is and how it functions to construct reality that obscures particulars in favor of an aestheticized totality, I am equally, if not more interested in the obscured particulars. I follow Foucault's definition of discourse as "practices that systematically form the objects of which they speak" ([1969/1971] 1972, 49) and Tuan's (1979, 89-90) notion of landscape as an ordering of reality, containing smaller units which by themselves are mere items, but, following Schein (1997, 2003, 2009), together provide information on the discourses materialized in the landscape. Schein (1997, 663) explains that while it is indeed possible to examine individual elements and identify the underlying discourses, it is the combined effect of materialized discourses that makes them hard to trace in everyday life. Therefore, as argued by Schein (2003, 200), landscape is functionally normative, prescribing how things and one ought to be. More specifically, following Foucault ([1975] 1995) and Schein (1997, 663), the materialized discourses, as manifested in the landscape, function to discipline people, to condition them to act and think in certain ways. The disciplinary capabilities are further enhanced by how landscape

functions as an apperceptive way of seeing, a gaze, making the observer take the scene and what is contained in it for granted, as argued by Schein (1997, 663). Therefore, as argued by Mitchell (2002, vii), it is the subtlety of landscape that makes it very hard to resist. This is exactly how I approach landscapes of education, examining the materialized discourses present in the landscape in order to show how certain identities and proprieties are instilled on students. For example, I examine the saliency of languages in a landscape of education and contrast the findings with official language and education policies in order to find out whether the dominant discourses are materialized in the landscape.

Based on my own theoretical understanding of landscape and space, I do not believe that my definition of landscape will satisfy everyone. Nevertheless, I am rather content on my understanding of the central concept, as well as confident on its definition. Landscape is clearly problematic due to its use value as a medium. It can be used, has been used and is used for purposes that may be counterproductive to the interests of the many. Therefore it is not at all clear that one would want to retain it, at least not as it is generally understood. However, while it may seem counterintuitive to retain it instead of favoring a non-representational definition, or otherwise advocating for the abandonment of the concept, it seems counterproductive to ignore its function in everyday life. Following Foucault ([1977] 1980, 131), ignoring or assuming that there is no landscape, as elaborated in this essay, would be ignoring the existing regimes of truth. In other words, the issue will not go away by itself. Ignorance towards landscape only reinforces it, considering that, paraphrasing Mitchell (2002, viii), it is a matter of ignorance in the first place. This is exactly why I dedicated much of my time trying to understand its genesis, function and importance in everyday life.

5 Conclusion

I dedicated this essay to the examination of theory or theories relevant to my own doctoral thesis research. In summary, as stated in the introduction, I had little issues with the data gathering and annotation. There has never been a lack of attention to detail in LLS as fieldwork is its hallmark and this is also something that I have subscribed to in my own research. What I found lacking in LLS was theory of landscape. Moreover, I found it particularly problematic that the issue still largely persists despite efforts made to address the issue. It is arguably of utmost importance to not focus only on the materiality of space, claiming neutrality and objectivity in the process, as, following Duncan (1990, 11-12),

such relies on the assumption that unmediated observation of reality, the-thing-itself, is possible, resulting in the exact opposite of objectivity and neutrality. While it may seem "esoteric and arcane", as noted by Schein (2003, 200), it is, nevertheless, a necessity to engage with theory. It is, of course, very arduous, if not tedious, to dedicate one's time to theory, wondering what is reality and how it functions, instead of opting for analysis, but if anyone is to take space and landscape seriously, it must be done. Opting not to do so, despite the apparent criticism, results in intellectual dishonesty, unwillingness to engage with one's own presumptions.

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The Body in Space: Towards an Embodied Framework of Spatial Theory

Ira Hansen

Introduction

My PhD dissertation, titled *Ethics of Embodiment: Embodied Spatial Experience in Paul Auster's Fiction*, examines the fiction of the contemporary US author Paul Auster (b. 1947). I study how Auster's characters interact with the cityspace of New York City and how this interaction constructs their embodied existence. As such, the two main theoretical fields I apply in my PhD are theories of space/place and embodiment (see e.g. Johnson 2017, Ingold 2015, Malpas 2012, Modell 2003, Lakoff and Johnson 1999, de Certeau [1984] 1988, Maturana and Varela 1980). This essay traces a path I have taken in bringing these two theoretical frameworks together. I begin by briefly addressing embodiment and discussing how I understand its role in my research. I then move on to discuss some challenges I have faced in trying to define the concepts of space and place and in applying them in an embodied framework. As becomes evident, this is an ongoing process.

Earlier in my work, I was trying to ascertain whether one of the frameworks I apply supersedes the other in relevance. It soon became clear to me, however, that embodiment forms the basis on which my understanding of space and place relies; in equal measure, the way I see embodiment is informed by my view and use of the concepts of space and place. Eventually, I resolved not to create any strict hierarchies between the two theoretical areas; after all, spatial experiences are inscribed into our very flesh. We ourselves make and shape the spaces and places we encounter, which then in turn end up making and shaping us.

By engaging with a selection of Auster's novels, such as *The New York Trilogy* (1987), *Moon Palace* (1989), *Leviathan* (1992), *Oracle Night* (2003), *The Brooklyn Follies* (2005), *Sunset Park* (2010) and *4 3 2 1* (2017), I aim to shed light on how understanding encounters in and with space/place can increase the understanding of humans as necessarily embodied beings. In my dissertation, I

showcase Auster's critique of the effects of neoliberal individualism, which continues to put mind over matter thereby diminishing the complex ways humans exist. Auster's fiction reveals the discrepancy between the neoliberal and the embodied worldviews, especially in relation to the societal agency of his characters. Moreover, Auster offers a critical cross section of the political and ideological changes that have taken place in the United States during the latter half of the twentieth century and the beginning of the twenty-first.

The literary scholar Hanna Meretoja suggests that fiction, as a vehicle for thinking and imagining, has the ability to teach us how to engage with our thoughts and emotions and thus the ability to change our worldview – and not necessarily always for the better (2017, 2-3). Fiction, then, allows us to approach ethical questions from wider perspectives. By studying embodied spatial experiences in Auster's literary fiction, I work towards verbalizing an "ethics of embodiment", which offers a more comprehensive way of embracing multiformity, cultural and otherwise. I thus offer the embodied perspective as an ethical alternative to neoliberal individualism.

On embodiment

Embodiment refers to the way human existence is comprehensively and necessarily composed of the seamless attunement, or balancing of the body-mind with its environment. The body's instantaneous and out-of-awareness operations structure human experience in the environment; humans navigate familiar spaces without noticing such a process actively taking place. The body's nervous system is constantly suggesting experiential set-ups – body schemas – that it has encountered earlier to make sense of ongoing present experience. It is only when one encounters an unfamiliar set-up, some new experience, for which no previous experiential body schema exists, that it becomes evident how hard the body is working to adjust itself to the environment. As such, the degree of attunement between the body-mind and its environment depends on how familiar or unfamiliar the environment and the experience with it is; in other words, the previous experience of an environment is essential for successfully navigating the world in an out-of-awareness, seamless attunement of the individual in that environment.

The above thus means that the mind is an emergent phenomenon of the body, not separate from it. Embodiment is not a mere theoretical orientation but a biological necessity and an all-inclusive worldview, a challenge to *metaphysical ontology*, which places the mind, the body and the environment – each as separate

entities – in a hierarchical structure with the mind claiming the top position. Embodiment views the relationship of the body with its environment, as well as all cognition and cognitive processes, as always also bodily experiences (see e.g. Johnson 2017; Muszynski 2017; Johnson and Rohrer 2008). Thus, as I briefly discuss in Hansen (*in review*, n. 1), "theories of embodiment efface the division between the mind, the body and the environment – the inside and the outside". Moreover, differentiating between the concepts of the mind and the body is only a way to recognize "different aspects of the ongoing organism-environment interaction", as noted in Hansen (ibid.; in this connection, see also Mark Johnson and Tim Rohrer 2007, xx). Embodiment thus highlights the processual nature of existence and experience. Humans do not so much exist or become, as *occur* in a process of unfolding, to use a term by the anthropologist Tim Ingold ([2007] 2016, 92, 120), in a constant and constantly moving relationship with space and place.

To me, embodiment seems natural. This, of course, is not a scholarly statement, but rather an acknowledgement that I have an intuitive and a rather personal relationship with my theoretical framework. Moreover, this does not prove that embodiment as a "worldview" or a common understanding is something widely accepted or applied in scholarship. On the contrary, the legacy of metaphysics in western philosophy is so powerful that advocating an embodied framework risks meeting opposition. A recent conversation with a philosopher at a conference illustrates the point. The notion presented to me was that metaphysics need not be the enemy of embodiment and that metaphysics does not *exclude* the body. Indeed, it does not, but I maintain that the privileging of the mind over the body – the idea that the mind is something sublime, given from the outside, whereas the body represents something more based in our everyday existence – still remains at the core of metaphysics.[1] While it is true that no-one benefits from warmongering, neither is it beneficial to consider embodiment as subordinate to or as emerging from within metaphysics. In short, metaphysics cannot claim embodiment as one of its own.

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[1] Michael J. Sauter (2019) offers a way to navigate metaphysics and embodiment especially in relation to spatial experience. He explains the way the Aristotelian universe fractured space which necessarily carried over to spatial experience as a hierarchy of the mind, the body and the environment. Following Sauter, embodiment belongs to the realm of homogenous, Euclidean space (1350-1850). This understanding has taken root in e.g. cosmology, theology and anthropology, but not yet fully in the understanding of our own bodies in the environment.

I have found that while much spatial theory mentions the body, this does not yet mean that it "embodies" the embodied perspective. Ingold points towards the "lazy habit of inserting the word 'embodied' […] as though this was enough to let any author off the hook of Cartesian dualism" (Ingold 2015, 152 n.3; see also Hansen *in review*). The term *embodiment* is thus often used casually – much like the terms space and place as I discuss below – whenever the body or bodily experiences are examined in relation to a variety of social or historical phenomena, for instance, without reference to which theoretical, philosophical or other framework embodiment is placed. In my dissertation, then, I attempt to root my application of spatial theory in an embodied framework. I am, so to speak, trying to bring the mind into the body and the body into the environment.

Spatial experiences, then, are inscribed into our embodied unfolding and thus examining encounters and interaction with space and place is one way of approaching embodiment. However, this was not my original starting point. I began by investigating how the traumas of Auster's characters transform their selves into something alien, an Other to themselves to the extent that their "true" selves become erased. I then planned to examine how encounters of space and place effected these transitions.

However, something seemed off. First, the above avenue would have required me to think of Auster's works as trauma narratives and this perspective seemed limiting. This was not because Auster's characters are not traumatised, at least to some extent, but because I saw the characters as more multifaceted. For example, Alan Gibbs (2014, 1-2, 4, 17-8; see also McNally 2004) criticises contemporary trauma theory claiming rather provocatively that the psychopathology of trauma, particularly PTSD, has been adapted from the way (popular) fiction has depicted the experiences of trauma. Furthermore, Richard J. McNally (2003) argues that traumatic experiences function in a more complex way than what the prevailing, for example Caruthian[2] trauma theory suggests. I

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[2] At the core of the influential trauma theory formulated by Cathy Caruth is a notion of traumatic amnesia or dissociation, i.e. that "trauma cannot […] be remembered and represented" (Rothe 2016, 185) and that memories of traumas, when they are coaxed into the conscious mind via, for example, hypnosis, "are invariable and do not change over time" (van der Kolk and Fisler 1995, 520; see also McNally 2005, 818). McNally shows that remembered traumas – like any memories – do not repeat themselves clearly and sequentially (McNally 2005, 818; see also Gibbs 2014, 13-15) and that there is very little scientific evidence of repressing or dissociating from traumatic events. Instead, humans more or less consciously decide not to think about traumatic experiences (McNally 2005, 818-19; see also McNally 2003). Moreover, Modell (2003, 102ff.) suggests that metonymy acts as a channel for traumatic memories and instigates a process of

also found an insistence of trauma theory on trying to "cure" people of their trauma instead of trying to find ways of surviving with them. However, in the end, I did not wish to formulate a new kind of trauma theory to support my notion of the *Otherness of the Self*, as I then called it, mainly because I felt this concept was taking me in the wrong direction.

The problem with this direction was that I was maintaining a gap between the mind and the body. For example, when I was examining Auster's *City of Glass* (1985), the *Otherness of the Self* kept on repeating and reinforcing the division between the inside and the outside. In the novella, the protagonist Daniel Quinn attempts to deal with losing his wife and son by detaching himself from his reality by living through alter egos. One of these alter egos takes him on a surveillance trip through the streets of New York City and both enables and forces him to hide in the crevasses of the city until "[i]t was though he had melted into the walls of the city" (Auster [1987] 2009b, 117). However, my treatment of this becoming one with the city made the process more a representation of Quinn's alienation from himself, something that reflected his trauma, rather than a depiction of the way the space was an inherent part of Quinn's self to begin with.

The key to resolving this issue came in the form of a passage from the novella: "[Quinn's] excursions through the city had taught him to understand the connectedness of inner and outer. [... O]n his best days he could bring the outside in and thus usurp the sovereignty of inwardness" (Auster [1987] 2009b, 61). The notion of "flooding [oneself] with externals" (ibid.) is a theme repeated throughout Auster's work and noticing it pushed me towards embodiment; the pieces began to click into place. I started to understand that what I was seeing was not a representation or a reflection of trauma in or on space/place, but an actual weaving of those spaces and places into the self. I thus needed to move away from trauma as my central focus and towards embodiment and the intricacies of space and place.

On space and place

Defining *space* and *place* is no easy task; the possibilities as well as the challenges are that the two concepts are a rather obvious and mundane part of everyday life and discourse. As such, the meaning of the concepts and their influence on the

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"involuntary imagination" which instantly (and confusingly) transports one into the deep past. In other words, Modell offers an embodied departure for trauma theory.

construction of the self and on embodied existence might easily be ignored. Moreover, the common understandings of space and place do not yet divulge anything of the concepts' theoretical implications, and indeed, another challenge emerges when space and place are brought under the researcher's lens. Throw in a few more terms – location, region, area, landscape – and the task of making sense of it all can seem quite overwhelming.

Dorren Massey and Nigel Thrift (2003) identify the challenge like this:

> We all know that it exists. That feeling of being in a place. That feeling of something happening there above and beyond the mere rush of existence. But, just like consciousness, that feeling proves a remarkably elusive thing to describe (Massey and Thrift 2003, 275).

Particularly since the Spatial Turn of the 1990s, when natural scientific methods began to be adopted by humanities and social sciences to explore a range of cultural, social and historical phenomena, researchers have embarked on a mission to make sense of this "elusive thing". Questions of space and place have been approached in a multitude of fields ranging from geography, natural science and anthropology (e.g. Ingold [2007] 2016 and 2015; Massey and Thrift 2003); political science, urban planning and policy making (e.g. Kidokoro et al. 2008; Soja 2003); psychology and education (e.g. Temple 2014; Amedeo, Golledge, and Stimson 2009); linguistics (Auer 2013; Shohamy, Ben-Rafael and Barni 2011); sociology, historiography, philosophy and cultural theory (e.g. Lin and Mele 2013; Brantz, Disko and Wagner-Kyora 2012; Malpas 2011; Bauman 2000; Rose 1996; Said 1994; Lefebvre 1991) to – as in my case – the study of literary fiction, particularly in postcolonial studies and ecocriticism (e.g. Sandten and Bauer 2016; Garrard 2011; Borg Barthet 2009; Glotfelty and Fromm 1996).

As has become clear, my approach is neither postcolonial nor ecocritical. My initial position was perhaps more phenomenological, with a view on trauma, as I noted above. In terms of space and place, I began by thinking how I, intuitively as well as in relation to Auster's fiction, understand and experience the concepts of space and place. To me, space seemed something rather abstract, something ephemeral in which people and things simply were (i.e. in a passive sense). Place, then, seemed to emerge as a cultural understanding or a concept of a certain location, or the way humans act in and use places, something that had a specific function. I think these lines of thought correspond with the everyday use of the concepts, and neither really incorporate what became crucial in my definitions once I embraced embodiment: lived experience, or rather *living* experience.

The phenomenological beginning led me to the works of the French cultural theorist Michel de Certeau, who seems to consider space and place in a different, more experience-oriented way. It was, nonetheless, difficult to situate de Certeau's work in the thick jungle of spatial theory. Trying to figure out where to start felt like firing shots in the dark. Yet, I knew I had to begin somewhere, so I started with the theories of place by the US philosopher Edward S. Casey, against whom de Certeau is often pitted. The two are often seen as promoting opposite views regarding space and place (see e.g. Finch 2016, 8-10); de Certeau seems to give precedence to space as that from which place emerges, whereas Casey claims that place is not given enough attention and that place effectively gives rise to space. However, comparing Casey's thought to that of de Certeau reveals that the relationship between the two is more complex. Moreover, Casey himself seems contradictory at times.

Casey claims that his understanding of space does not stem from the Enlightenment notion that "space is absolute and infinite as well as empty and apriori in status" (Casey 1996, 4). Rather, Casey sees the understandings and experiences of place as prerequisites for understanding space – that is, the perceptions of place and the knowledge of the immediate and the "local" (i.e. lived experience) this perception generates (Casey 1996, 16-7). Space is thus not that from which experiences of place originate, but which gives rise to the emergence of space. Nonetheless, a few years later Casey assigns space the role as "the most encompassing reality that allows for things to be located within […]. [Space is] the volumetric void in which things (including human beings) are positioned" (Casey 2001a, 404 and 2001b, 683). This, then, would suggest that humans and their lived experiences are contained within space. Furthermore, Casey claims that in its specificity and locality, place becomes general and universal, while the opposite happens to space (Casey 1996, 13). Thus for Casey space is both empty and specific, both "the most encompassing reality" and emerging via encounters of place.

It seems, then, that Casey is unable to make up his mind about what to do with space or what the relationship between space and place is. I suggest that this is both the cause and the effect of Casey viewing space and place as "two different orders of reality between which no simple or direct comparisons are possible" (Casey 2001a, 404). Moreover, Casey's insistence on retaining this dualism carries over to his views on how humans encounter spaces and places. He maintains his metaphysical roots by upholding three linearities: the linearity of place and space; the linearity of mind, body and environment; and the linearity of *Erlebnis* (lived experience) and *Erfahrung* (past experience).

At the onset, Casey seems to engage with embodiment when he writes that "[t]he place-world is energized and transformed by the bodies that belong to it, while these bodies are in turn guided and influenced by this world's inherent structures" (Casey 2001b, 886). Moreover, Casey highlights how, on the one hand, places are shaped by human encounters and, on the other hand how the body via which these encounters take place "bears the traces of the places it has known" (ibid.). Casey further acknowledges how places are initially shaped according to certain understandings and expectations; he defines place as "an arena of action that is at once physical and historical, social and cultural [consisting of] the whole sedimented history of cultural and social influences and personal interests that compose [one's] life history" (Casey 2001b, 683 and 2001a, 404). Casey thus seems to account for the role of the human body in encountering places as well as the multiple layers of historical, social and cultural that forms relations of place.

However, in an earlier text Casey claims that place does not consist of the Kantian *Erfahrung*, "the already elapsed experience that is the object of analytical and abstract knowledge" but rather *Erlebnis*, lived experience (Casey 1996, 18). Thus when Casey suggests that "place is the immediate environment of my lived body" (2001b, 683), he is not engaging with embodiment, but rather again highlighting that nothing exists before perception, thus partly undermining his own notion of the "sedimented history" of place as well as questioning humans' ability to know through past experience.

My point here is not to claim that Casey is wrong in stating that lived experience is all that there is. The point is that also *Erfahrung* is part of lived experience. From an embodied perspective, the past is not something that exists outside the 'here and now' or something that is separate from the way humans remember, feel or experience their lives. *Erlebnis* is not possible without *Erfahrung* and vice versa. This, I claim, is what de Certeau's spatial theory accomplishes: it sees space and place as co-occurring and equal rather than as positioned hierarchically, and this is why de Certeau, in part, paves my way towards applying space and place in an embodied framework.

Enacting place

de Certeau emphasizes not only the simultaneity of space and place but the way the two make each other happen, the way they emerge from and for each other. In a much-quoted passage, de Certeau writes that place is "the order […] in accord with which elements are distributed in relationships of coexistence. It thus

excludes the possibility of two things being in the same location […]. A place […] implies an indication of stability" (de Certeau [1984] 1988, 117). This does not make place something abstract or conceptual, residing outside human experientiality. Rather, the inability of "two things being in the same location" suggests that places occur as a process of perpetual movement in time.

de Certeau's place is not empty like Casey's space or occurring only through *Erlebnis* like Casey's place, but rather emerges also through *Erfahrung*. For de Certeau, place consists of a complex amalgamation of locational experiences; place is a coming together of past experiences, both "real" and imagined and the accumulated knowledge that interactions with place have given. de Certeau's place here brings to mind Jason Finch's notion of *imaginative places*, places portrayed particularly in literary fiction that are "experienced or imagined: what comes to mind when someone thinks of somewhere […]. [S]uch a place is formed through a combination of stereotyping, invention, and actual sensory experience" (Finch 2016, 83; see Hansen *in review*).

Moreover, place contains the way locations are experienced in the here and now by enacting place via spatial encounters. As I noted above, for Casey, place that emerges through perception gives rise to an understanding of space. For de Certeau, however, "space occurs as the effect produced by the operations that orient it, situate it, temporalize it, and make it function" (de Certeau [1984] 1988, 117). Echoing Casey, space is "the effect" of place and an emergent feature of place, but it is not an empty receptacle or an abstraction: "*[S]pace is a practiced place*" (ibid.; italics as in the original). Thus once place is explored, space emerges as a new concept that contains but also moves beyond the local place. Effectively, it is then also space which makes place happen and gives it shape, while place is needed to make sense of space, which in its immediacy cannot be grasped. Space is entered with knowledge of place, which in turn is altered via encounters of and in space. In a co-unfolding unity between the two entities, place is not something which only gathers everything humans *have* experienced, but also everything they *are* experiencing and can project into the future through imagination; it is a location of both lived and living experience reflected and simulated in the space of the imagination.

Despite space and place emerging as a comprehensive unity in de Certeau's thought, I would not go as far as calling him an embodied cultural theorist. Nonetheless, his discussions guide me towards engaging with an embodied theory of space and place and towards applying the concepts in an embodied framework. To achieve this, I have further engaged with the co-occurrence, or co-unfolding

of space and place as an example of what the philosopher of history Eelco Runia and the literary scholar Hans Ulrich Gumbrecht call *presence* .

Runia (2014, 53)[3] states that presence means "'being in touch'" – either literally or figuratively – with people, things, events, and feelings that made you into the person you are". Presence is not a wish to stop time or to live in the moment, but rather a gathering up in the present everything that is and has been and, I would add, that is yet to come (the anticipated future and its potential). Presence thus means navigating and reconciling "the fact that we are completely unchanged yet completely different from the person we used to be" (Runia 2014, 54).

Having a focus on history, Runia treats history, and consequently presence, not as *"what is irremediably gone*, but […] *as ongoing process*" (2014, 57; italics as in the original). All of the layers of history are, in effect, layers in and of the present. Locations as manifesting that history, then, are not a palimpsest *"uniformly* written over", but rather anti-palimpsests written over "locally, irregularly, opportunistically, erratically. […B]oth surfaces, 'present-day reality' and 'the discipline of history', are, *at one and the same time* […] a wonder of continuity as well as an orgy of discontinuity" (Runia 2014, 59; italics as in the original). The "present-day reality", i.e. space, and "the discipline of history", i.e. place, gather both the lived and the living experience, the continuity and the discontinuity, and that which is unchanged and different at the same time; the layers of place and space become what humans are continually living as presence.

As I note in Hansen (*in review*), Runia does not consider presence to be an embodied experience, because he sees presence as "antithetical to […] the drive to be taken up in the flux of experience" (2014, 54). I rather think that it is precisely from embodiment that presence emerges to begin with. This is something that I still need to formulate better in my dissertation, but I think presence cannot be separated from embodied experience, in terms of both *Erlebnis* and *Erfahrung.* Gumbrecht suggests that "[w]hat is 'present' to us […] is in front of us, in reach of and tangible for our bodies" (2004, 17). As such, presence is necessarily also "a spatial reference" (ibid.). Presence is thus the key, first, to understanding the relationship between space and place, and second, the key to how space and place can be considered in a framework of embodiment.

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[3] See also my discussion on Runia in Hansen (*in review*).

Conclusion

I recently came across an anthology on embodiment and the city, where the editors, Arijit Sen and Lisa Silverman, suggest a spatial theory that "points towards non-cognitive and affective forms in which people acquire spatial information […and] re-examine[s] places as performative, interactive, and emergent processes rather than mere inert cultural artifacts" (2014, 10, 12). Sen and Silverman do not explicitly explain how their use of *space* and *place* relates to theories of embodiment – this is left to the individual authors in the collection – but their starting point of an affective understanding of both space and place is also a good beginning for me. It is important for my work to understand and treat space and place as an amalgamation of the cultural, the social and the historical, as well as both a lived and a living embodied experience. This mixture is neither stable, abstract nor linear; it is a fluctuating process. It is equally important for me to consider embodiment as something that necessarily defines our existence as an unfolding with our environment.

In this essay, I have briefly touched on how I have approached the task of defining space and place and explained why I have chosen a certain path and veered away from another. As has become clear, the challenge for me during my PhD dissertation research has been to make sense of the vast expanse of spatial theory, to fight the resulting bewilderment and to overcome a need to grasp it all. I have also shown that just as space and place are fluctuating, so is the entire process. I am far from being set in my definitions, and this is not a goal I aim for. This does not mean I do not believe in the direction I have taken. It rather means that I am open for new and deeper ways of understanding space and place as an embodied experience.

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The Double in Contemporary Indian American Fiction: Building a Theoretical Framework

Nana Arjopalo

Introduction

 My dissertation, entitled *The Double in Contemporary Indian American Fiction,* examines the literary double as a trope – its characteristics, role, and significance in the works of contemporary Indian American fiction writers. My research illustrates that the double is a typical trope in Indian American fiction, and its recurrence most likely reflects the fragmented identity and position of the Indian American diaspora. The main goal of my dissertation is to provide reasons for the recurrence of this literary trope in this particular genre.

My research combines different schools of literary criticism as well as cultural studies and discusses fiction that has been written and published within the past two decades. The primary sources of my dissertation are *Sister of My Heart* (1999) and *The Vine of Desire* (2002) by Chitra B. Divakaruni, "Hema and Kaushik" (in *Unaccustomed Earth*, 2008) and *The Lowland* (2013) by Jhumpa Lahiri, and *Desirable Daughters* (2002), *The Tree Bride* (2004), and *Miss New India* (2011) by Bharati Mukherjee.

As multi-disciplinary, timely and innovative, my dissertation will hopefully raise international interest. One of my goals is to participate in the worldwide dialogue among diaspora literature scholars and increase awareness of literary research conducted in Finland. Instead of merely researching an existing and established phenomenon, my topic is original in that it contributes to the actual forming of an aesthetic of Indian American fiction by offering that the literary double is intrinsic to it.

In this essay, I discuss how studying the double as a gothic trope, as well as acquainting myself with theory regarding the postcolonial gothic, helped, but also complicated, the formation of my research questions and applying relevant theory. I will first introduce my dissertation topic, present some central

terminology, and then continue to the discussion of the socio-cultural context of my topic with a glimpse into my primary material.

Background and formulation of the research question

Studying texts by diaspora writers is important in the current era, as e.g. Europe and the United States are in the midst of one of the worst refugee crises in recent history and attitudes towards migrants have become increasingly polarized. I acknowledge that the experiences of migrants are not the same worldwide and generalizations should not be made. Migrancy is complex, and reasons for migration vary a great deal, from refugees escaping war to middle-class families in search of better economic opportunities. Nevertheless, as the general public becomes aware of individual stories behind the faceless masses on their TV screens, the idea of a more inclusive, universal human experience can be promoted. As individuals of migrant-receiving countries acknowledge that their motivations and priorities in life do not drastically differ from those that have recently arrived, it is likely that there will be less opposition to migrancy and a decline in interest towards extremist movements. This, in turn, hopefully contributes toward a more accepting and peaceful society, in which both old and new citizens can thrive. It is vital to read the works of migrant authors and to write about them, in order for the general public to acknowledge that such diversity even exists.

It is justifiable to ask whether or not studying fictional narratives is beneficial in order to understand real-life phenomena: why would autobiographical accounts of actual experiences not be enough? Susan Koshy (2013, 349) argues that fictional texts give voice to the social unease that arises from the space between actual individual experiences and the vocabulary available for them. This unease could be described as an emerging emotion or undercurrent. Raymond Williams (1977, 132) describes this as the *structure of feeling*, an emergent, vague emotion, which exists on the threshold of consciousness and at "the very edge of semantic availability" (134). Thus as a result of existing on the verge of semantic expression, as Koshy notes, such emerging ideas and emotions find expression more readily in works of art and psychology (Koshy 2013, 349). Koshy further suggests that the ability of fiction to effectively express mere undercurrents and emerging forces makes it a crucial source for diagnosing the present (ibid.). In addition, fictional texts as a genre are less burdened by the attractions and limitations of publicity than autobiographical accounts (ibid.).

When considering postcolonial and diaspora literary criticism today, there appears to be an increasing interest in a return to the aesthetic, to the form and structure of a text instead of its content, or at least to studying form as a critical part of the content (Boehmer 2010, 170). Contemporary criticism of South Asian diaspora literature has typically focused on the cultural, political and sociological: for example, the effects of globalization, the formation of diaspora identities, and the gendered experience of migrancy in works such as Aravind Adiga's *The White Tiger* (2008), Kiran Desai's *The Inheritance of Loss* (2006), Jhumpa Lahiri's *Interpreter of Maladies* (1999), *The Namesake* (2003) and *Unaccustomed Earth* (2008), and various earlier works by Hanif Kureishi, Bharati Mukherjee and Salman Rushdie, to name only a few. Andrew Hock-soon Ng (2012, 135) suggests that when looking beyond the political and sociological in current diaspora fiction, other dimensions that contribute to the establishment of identity and belonging may be revealed. Ng claims that "much (of the) sociopolitical dissonance encountered by ethnic Americans, such as racism and a sense of displacement, is also suffered at the level of the unconscious" (ibid.). As I noted earlier, such emotions that are not fully acknowledged, may find a more covert outlet in literature. There is a need for looking beyond the obvious in diaspora literature too. Furthermore, I suggest that when less predetermined ways to reading these texts are applied, new devices and motifs that are specific to them and define them will emerge, for example, tropes such as the double.

So far, only limited research on the double in diaspora literature exists; previous studies conducted on this topic consist mainly of individual articles or references in passing, usually in the context of postcolonial gothic texts – texts that employ gothic conventions in a postcolonial context. Studies discussing the postcolonial gothic treat the double merely as a gothic trope specific to the gothic genre, be it 19th-century, colonial or postcolonial. My research looks for other reasons for the recurrence of this trope, since it does recur also in Indian American texts, such as my primary material, that cannot singularly be classified as gothic works.

The topic of my doctoral dissertation initially emerged from my MA thesis, which discussed the formation of cultural identities of second-generation migrant characters in Jhumpa Lahiri's short-story cycle *Unaccustomed Earth*. As I reread the stories and continued to examine them further, I began to pay attention to features that were not directly linked to my topic of research. I noticed several characters that appeared to be either each other's duplicates, opposites, and/or placed in juxtaposition or uncannily linked to one another. I did not digress from my topic at the time, but made a mental note to return to the case of the doubles

at a later time. At that stage, the idea that these characters were each other's doubles was more instinctual than analytical. It nevertheless intrigued me and motivated me to conduct a preliminary search for material on this topic after the completion of my MA degree.

This initial search for source material revealed an abundance of writing on the double as a gothic trope, for example in Fred Botting's *Gothic: The New Critical Idiom* (2013), John Herdman's *The Double in Nineteenth-Century Fiction* (1990), Karl Miller's *Doubles: Studies in Literary History* ([1985] 1987), David Punter and Glennis Byron's *The Gothic* (2004), Andrew Smith and William Hughes's *Empire and the Gothic: The Politics of Genre* (2003), and Anne Williams's *Art of Darkness* (1995), not to mention the numerous studies of gothic writers' individual works. However, very limited material was available on the occurrence of the double in contemporary literature, and I was unable to find anything in the context of non-gothic Indian diaspora literature.

The main focus of my research being how the double functions and why it occurs so frequently in this genre, I decided to limit my research to less than ten works and analyze them in detail. Based on my earlier research on Lahiri's texts, I already had the impression that a dual heritage invites the double. To simplify: the reason for the frequent occurrence of doubles in Indian American fiction lies in the hybrid identity of the writers and their characters. I needed to be specific and find authors that I could somehow group within the larger body of writers of an Indian American heritage. Recognizing that India is a large country with multiple cultures and languages, I decided to narrow down the area of the writers' origin. It soon occurred to me that three of my favorite Indian American writers, Chitra Banerjee Divakaruni, Jhumpa Lahiri and Bharati Mukherjee all have roots in Bengal. Three writers, with two to three works published in the past two decades from each seemed a large enough source of primary material for my dissertation. I consulted my PhD supervisors and they agreed, and encouraged me to proceed with the idea.

Defining the double

The roots of the double are firmly set in romantic and post-romantic fiction, and it is most common in the gothic genre. However, the definition of the double is by no means straightforward or simple; different theoreticians and literary scholars have views that differ a great deal. Due to this ambiguity, and the fact that so much of existing scholarship on the literary double is focused on the gothic, I thought that it would be beneficial for my writing to familiarize myself

with the gothic, if only to understand how my primary sources differ from it. Furthermore, there appeared to be a link between the socio-political contexts of my primary sources and the late 1800s, the era of industrialization, when the double was a popular trope in gothic fiction. In order to not to be consumed by the thick jungle of definitions for the double, I conducted a rough preliminary analysis of the double in my primary material to determine that 1) there are indeed doubles in all of the texts that I am studying, and that 2) all of these texts include gothic elements but cannot be classified as singularly gothic works. Therefore, a broader definition and different reasons for the occurrence of the double were required.

The common tropes of the gothic include the 'doppelgänger', castles, mood and mystery. The term 'doppelgänger' originates in the tradition of German romantic prose fiction, and most literary research on the topic has indeed focused on romantic and post-romantic texts. Horace Walpole's *The Castle of Otranto*, published in 1764, is often considered the first gothic novel in English, and it introduced many of these gothic tropes. A memorable, menacing monster-double was introduced in Mary Shelley's *Frankenstein* (1831). Another important and innovative writer of gothic tales in the first half of the 1800s was Edgar Allan Poe, who wrote stories that were perhaps more psychological than those of his predecessors. For example, he would describe characters gradually engulfed by madness, instead of, or in addition to, merely employing classic gothic tropes. Gothic stories of the early 1800s were followed by the Victorian gothic, made famous by Charles Dickens's *Oliver Twist* (1839), *Bleak House* (1853) and *Great Expectations* (1861), and by Charlotte Brontë (*Jane Eyre*, 1847) and Emily Brontë (*Wuthering Heights,* 1847). These could be classified as realist stories with a horrific twist, often including other elements of the uncanny. The late 1800s introduced gothic stories with clear-cut doubles, such as Mr. Hyde in *The Strange Case of Dr. Jekyll and Mr. Hyde* (Robert Louis Stevenson, 1886), and the portrait in *The Picture of Dorian Gray* (Oscar Wilde, 1890).

The view of the double merely as a trope in gothic texts prevailed for a long time. The psychoanalytic approach to analyzing literature, which peaked in the 1960s and early 1970s, finally brought forth a wider interpretation for the occurrence of the double. Scholars such as Robert Rogers (1970) and Carl F. Keppler (1972), drawing from the theories of Sigmund Freud and Otto Rank, offered that the double need not be a shadow figure or doppelgänger on the story level, but instead, it can be a single psychological entity split into two separate characters. Rogers (1970, 5) refers to the double as a "composite character" – the division of "a recognizable, unified psychological entity into separate,

complementary, distinguishable parts represented by seemingly autonomous characters." He divides the double into two subtypes, the manifest and the latent; manifest doubles are often physical doppelgängers or "concrete" doubles, for example, Charles Darnay and Sydney Carton in *A Tale of Two Cities* (1859). Latent doubles are not quite as easy to notice; they are independent characters on the story level and usually not lookalikes, but for example, part of a couple, friends or siblings.

Rogers (1970, 60) argues that this kind of division or decomposition always reflects some form of psychic conflict. This presence of conflict might imply that the double characters are antagonistic to each other on the narrative level, as the "opposition between doubles at the narrative level corresponds to the underlying opposition of psychic forces which the characters represent" (ibid.). However, this position could be better described as juxtaposition rather than opposition, as according to Rogers, direct dramatic conflict between doubles is exceptional rather than the norm (ibid.). As classic examples of latent doubles that have an amicable or otherwise close relationship, Rogers mentions Marlow and Kurtz from Joseph Conrad's *Heart of Darkness* (1899), Ahab and Ishmael from Herman Melville's *Moby Dick* (1851), and Don Quixote and Sancho Panza in Miguel de Cervantes's *Don Quixote* (1605). Rogers's interpretation allows that occasionally antagonism between doubles may be reflected on the narrative level too, or it may be entirely absent, but "in almost all cases some feeling of closeness and sympathy will be manifested by the doubles at some point in the story" (1970, 61). The double may represent endopsychic conflict, but it is presented as interpersonal conflict; the disharmony prevails at the unconscious level of the narrative (Rogers 1970, 64). Nevertheless, Rogers does not elaborate on reasons why the double occurs frequently in fiction; he merely suggests that its main purpose is representational, and that it is often used for dramatic emphasis (1970, 172).

Carl F. Keppler prefers the term *second self* to the double or doppelgänger, as he describes the split into two characters slightly differently from Rogers's interpretation. Keppler suggests that the first self is the character who is on the foreground of the reader's attention (usually the protagonist or narrator), whereas the second self is an intruder from the shadows (1972, 46). In spite of being half of a double, the second self is different from the first self, and must differ in a particular way, "a way that is responsible for the dynamic tension that always exists between them" (Keppler 1972, 51). According to Keppler, the attraction of the second self for the first self is rooted in a fundamental opposition; the relationship between the first and second self may be characterized by "terror,

hatred, revulsion, love, even at times a kind of worship", but they never take each other for granted (1972, 54). In Keppler's words, "[t]here are no tepid relationships between the hemispheres of the soul" (1972, 12).

Since the 1970s, the definition of the double has continued to broaden and become more inclusive. Clifford Hallam suggested that the double can refer to "almost any dual, and in some cases even multiple, structure in a text" (1981, 5). The double may manifest social changes, cultural tensions, or gender and racial issues. Joanna Blum's sophisticated feminist work on the male/female double was published in 1988, and Sau-Ling Wong, a scholar of Chinese American fiction, included a chapter on the double as a racial shadow in her book, *Reading Asian American Literature: From Necessity to Extravagance*, in 1993. Sau-Ling Wong perceives that the double in Chinese American literature is a "racial" double, a character who is more "Chinese" than the Chinese American primary character, and "othered" and rejected by the primary character as an inferior embodiment of racial shame. Juliana de Nooy has contributed with an intriguing work on doubles and twins in contemporary literature and films, published in 2005. As the above examples illustrate, the double is not only a gothic literary trope, but emerges in a variety of genres of fiction and in different times.

Milica Zivikovic has observed that the double does indeed survive as a motif in all literary styles, periods and genres, and is never 'free' – it is not outside time but a product of its era and determined by its social context (Zivkovic 2000, 1). The use of the double as a literary device can therefore reveal subtexts that are not immediately perceivable but are nevertheless symptomatic of their era.

Sau-ling Wong has noted that the definition of the double has become loose enough to signify "any character who shares a facet of the protagonist's personality and has an intense relationship with him/her; the nature of the shared facet and the relationship may be left vague" (1993, 78). However, she suggests the reason for such a broad definition is not a result of sloppy thinking, but a natural trickle-down effect of critical vocabulary from specific to general regarding the double (ibid.). I tend to agree with Wong, but for the purpose of being able to define the Indian American literary double or Bengali American literary double, I needed a definition that would be more inclusive than the gothic, but narrower than "any dual structure in a text". In addition, the duality of the characters must be referred to in the primary material itself.

The postcolonial gothic

If the double is difficult to define, the concept of the postcolonial gothic is hardly any less controversial. Depending on the interpretation, the 'postcolonial gothic' can refer to gothic literature produced in countries with a colonial history, or it may signify a postcolonial reading of a colonial/imperial, or even contemporary, gothic tale. In addition to the more general term 'postcolonial gothic', a number of other regional gothic forms appears to be emerging, some more contested than others. An example of this would be the classification of Margaret Atwood's works as Southern Ontario Gothic (Byron 2012, 369). Glennis Byron suggests that in the case of countries such as Australia, Canada or New Zealand, the claim for regional gothic forms is fairly uncontroversial, as the genres have developed as outgrowths of the Anglo-European genre and have adopted local characteristics (ibid.). In colonial contexts, the gothic questions the positive foundational narratives of these new worlds, and "often continues to give expression to lingering traumas produced by colonial life, with buried pasts resurfacing in horrific form to disturb the present" (ibid.).

David Punter (2000, vi) argues in favor of the existence of a firm connection between the postcolonial and the gothic; in his words, "the process of mutual postcolonial abjection is [...] one that confronts us every day in the ambiguous form of a series of uncanny returns." Punter's view is that postcolonial texts will always contain elements of the gothic, while the code of the gothic, according to Punter, is "dialectical, past and present intertwined, each distorting each other with the sheer effort of coming to grips" (1980, 419). However, the past and present exist simultaneously in postcolonial texts, whether or not they belong to the gothic genre. Postcolonial texts, even when they are not overtly political, carry the weight of a colonial past. Likewise, it could be argued that postcolonial spaces, attitudes, texts, and writers are inevitably gothic, as they are haunted by the ghosts of those who were hidden and silenced in the colonial and imperial past, and those who now still might occupy a parallel universe, unheard, unspoken, unwritten, were it not, perhaps, for the emergence of the postcolonial Gothic, among other events and changes. (Wisker 2007, 402)

Due to these ambiguities in definitions, it can be challenging at times to differentiate a historical, realist trope from a gothic one to understand, for example, the significance of an abandoned and threatening, colonial-era manor house in fiction set in India. Is it gothic, or merely a historical element illustrating the imposition of the past on the present day?

Philip Holden (2009, 354) shares David Punter's view of postcolonial texts often including elements of the supernatural that challenge textual and social

rationalities. However, he points out that usually these can be, and have been, analyzed with different frames than the gothic, for example, as magical realism or 'strategic exoticism', a term employed at least by Graham Huggan in *The Postcolonial Exotic: Marketing the Margins* (2001). In her analysis of the contemporary gothic, Lucie Armitt (2012, 512) proposes that contemporary gothic texts mix a multitude of features usually classified as magical realist with traditional gothic tropes, to create a "lighter" form of the gothic than its 19th-century predecessor. This supports the common notion of the gothic as a reaction to the anxieties and queries of its era.

Holden cautions against forgetting the socio-political context of the gothic. Many Victorian/imperial gothic texts brought common empire-related insecurities to the surface, sometimes only to contain them, but postcolonial texts read as gothic present another facet, "subverting and calling into question narratives, patterns of thought, and modes of representation that have their origin in colonialism and imperialism" (Holden 2009, 353). However, Holden warns that an "all-inclusive" approach to the gothic loses the detailed attention to historical contexts that are central to accounts of the imperial gothic (ibid.). He promotes a commitment to historicism in order to understand precisely how these gothic tropes in postcolonial texts function, and to avoid an "overly textual reading strategy in which historical contexts are forgotten, in which a hypostatized postcolonial text talks back to empire" (ibid.).

It is not always clear if colonial ideology is subverted, or actually reinforced, in the 19th-century gothic. Andrew Smith and William Hughes do not fear the Eurocentric reputation of the gothic, but argue that gothic is, and always has been, postcolonial, mainly for its tendency to challenge Enlightenment notions of rationality and humanity (2003, 1-2). According to Smith and Hughes, "the gothic use of non-human and ab-human figures such as vampires, ghosts and monsters of various kinds is calculated to challenge the dominant humanist discourse" (ibid.). It may be of value to point out that there continues to be controversy regarding the treatment of the Other in gothic literature – whether or not the reader is expected to feel empathy for or be horrified by these monsters, vampires, and the madwoman in the attic.

I support Holden's view of the importance of the historical context of the gothic and argue that in spite of all its variations, it is a formulaic genre. What is problematic in regard to my research is the elusiveness of a fixed connection between the double, the gothic and the historical. Is the double always a gothic form, and hence modern Indian American texts a variation, a new form of the gothic? Or is the double a trope that emerges in lieu of certain changes in society?

Considering that gothic tropes do occur in my primary research material, I feel that they must be addressed, but my research is not greatly enhanced by an attempt to read these texts as postcolonial gothic stories. Instead, my interpretation so far is that these gothic features have more to do with the historical (postcolonial) context, and are a part of the writers' personal histories and points of reference. The unique position of Bengal historically and politically is also worth exploring when seeking reasons for the frequent occurrence of the double.

The socio-cultural context

In looking for reasons for the popularity of the double in contemporary Indian American fiction, I need to look at similarities between the socio-cultural context of the works that I am studying, and the era in which the double was last popular – the last decades of the 1800s in the Anglophone world. Fred Botting has observed that disruptive narratives challenge the legitimacy and unity of modernity: "Part of the challenge to modernity's assumptions, meanings, exclusions and suppressions has emerged in fictions that juxtapose, and thereby reorganize, narrative styles and traditions" (1996, 169). Here he describes the gothic, but once again, the same is true of the majority of postcolonial and diaspora writing and certainly true of my primary research material. Chitra Divakaruni and Bharati Mukherjee employ fantastical/magical elements in their otherwise realist texts, and Jhumpa Lahiri is known for frequent temporal shifts and for employing a multitude of narrators within a story, which blurs boundaries and occasionally creates confusion.

In her study of mirroring and mirror images in bicultural texts, Judith Oster argues that the upheavals of the 19th century, for example the industrial revolution and colonialism, caused anxiety and uncertainty that are similar to the experiences of diaspora individuals today (1998, 69). The current digital transformation and its effects on the workforce and the entire society is reminiscent of the era of industrialization. As in the late 1800s, jobs are now disappearing or their content is changing, and emotional responses to advancements in technology are not always positive. Romantic and Gothic literature emerged from similar excitement and fear of the unknown; the idea of Frankenstein's monster is not far removed from modern science fiction novels, or films like *Blade Runner* (1982) or *Her* (2013) that raise qualms regarding AI to the surface. Furthermore, the emotional and psychological consequences of industrialization-based upheavals can be far-reaching; a recent study demonstrates that people in England and Wales hailing from areas that are

historically reliant on coal-based industries have more 'negative' personality traits, for example, a higher rate of neuroticism, anxiety and depression (Obschonka et al. 2017, abstract). Paul Coates argues that the appearance of the double in literature occurred simultaneously with the invention of machines that could become sophisticated enough to behave like humans (1988, 2). Perhaps its reappearance now in the age of actual intelligent machines is not surprising.

Thus there are certain parallels between the Victorian era and our time; not only are there similar sociological issues, but also the psychological effects of many of the changes in society resonate among migrants today – anxiety, uncertainty, and dislocation to name only a few (Oster 1998, 62). The influx of migrants to the United States today is more controlled than the tidal wave of new Americans in the late 1800s, but the psychological effects of migration are most likely the same. The migrants' desire to be accepted, and the following willingness to mold one's identity accordingly, may result in the fragmenting of identity experienced by the "socially marginalized" (Oster 1998, 69). Feelings of dislocation are heightened by feelings of inferiority and the weight of others' opinions.

Paul Coates (1988, 2) goes as far as to claim that texts dealing exclusively with the double are mainly written by authors suspended between languages and cultures, suggesting that "the double is the self when it speaks another language". He mentions writers such as Joseph Conrad (Polish, English, and French), James Hogg and Robert Louis Stevenson (Scottish and English), Henry James (English and American English), and Oscar Wilde (French and English) as examples of such writers. Like Dorian Gray and his portrait, the double then and now may reveal a discrepancy between the external mirror image and the interior, mental self, as Judith Oster suggests (1998, 59). Oster (ibid.) argues that texts written by bilingual and bicultural authors include mirrors and mirroring as central elements; either the mirror surprises someone looking into it, or an Other in some way mirrors the protagonist.

Being suspended between two cultures and languages is naturally a common denominator for the Indian American writers that I am studying in my dissertation, and migration emerges as a theme in all of the texts. All of the works include a character (or characters) who is of Indian background and a migrant in the United States, or the descendant of one. In addition, all of the texts contain references to India's colonial past.

Jhumpa Lahiri has often set her stories containing migrant characters in the late 1960s and 1970s, illustrating "neoliberal family matters" (Koshy 2013), the side-effects of upward economic mobility on the filial relationships of Indian

migrants in the United States. Migrants from India are currently the second-largest migrant group in the United States, a trend that began after the 1965 Immigration Act, which dismantled legislation regarding country-specific quotas, and introduced permanent employment-based residence permits (for more information, see Migration Policy Institute). *Hema and Kaushik* traces the lives of the second-generation migrant protagonists from adolescence to adulthood, illustrating that parents' good intentions have no bearing on the actual outcome of their children's lives. *The Lowland* is set in both India and the United States, spanning a period of 50 years from the 1960s to the present day. Through the experiences of one family, the novel depicts the repercussions of the Naxal movement, which was a defining period for an entire generation of Bengali university students in the late 1960s and early 1970s. Furthermore, Divakaruni's *Sister of My Heart* (1999) and *The Vine of Desire* (2002) render the story of two cousins, whose lives run parallel first in India and later in the United States, where the second novel is set.

Through the lives of individuals, all of the works reflect on larger issues and global phenomena, for example, the displacement experienced by migrants, the difficulties in belonging to a minority, the British Raj and India's struggle for independence (see e.g. Mukherjee 2002, 2004), the partition of Bengal, the Naxal movement, 9/11, the 2004 tsunami, and the outsourcing of American and European customer support services to India. These elements protrude rather than serve as a mere backdrop in the texts, inviting a postcolonial reading of the works: India remains a wide-reaching presence in all of them.

Finally, the unique position of Bengal should be addressed. The region was partitioned twice in the 20th century, first in 1905 by the British (the decision was reversed in 1911), and a second time in 1947 in the Indian independence partition, when East Bengal became a part of Pakistan. The joy of East Bengal's independence from Pakistan in 1971 was reduced by the realization that the independent state of Bangladesh would never include West Bengal, and the division of Bengal was now final (see Jones, 2011).

Chitra Divakaruni, Jhumpa Lahiri and Bharati Mukherjee are in an unusual position even in the context of migrant writers as they have lost a homeland (or at least a part of it) more than once. As Bengalis, they have an inherited divided existence, further enhanced by their choice to migrate to the United States, or in Lahiri's case, her parents' choice. Furthermore, Lahiri's parents first migrated to the United Kingdom, where she was born, and to Rhode Island when she was still an infant. Likewise, Mukherjee spent several years in Europe as a child, and as an adult, she first moved to Canada, and then eventually to the United States. I

consider it very probable that this unique third-culture position of the writers is reflected in their works, and may even be connected to the occurrence of the double. This connection will be further analyzed in my dissertation.

Conclusion

The analytical process regarding the occurrence of the double in my primary material has been fairly straightforward, but constructing a solid theoretical background has proved challenging. The main reason is that the theoretical framework of my dissertation requires defining several elusive concepts. What is the double? What is gothic? What is postcolonial? What is Indian American writing of Bengali ethnicity? None of these have a definitive meaning.

Fiction is not created in isolation from the surrounding society, and all of my primary sources are engaged in dialogue with surrounding socio-political domains; some of them with today's society, and others with earlier, significant historical eras. The connection between the double, the gothic and the postcolonial is difficult to dissect, and yet, such a connection clearly exists. How dependent is the double on the dual heritage of the texts (and their writers)? Does the double emerge in a certain socio-cultural context? My current view is that the double in Indian American contemporary literature is connected to the postcolonial context of these texts rather than the gothic heritage of the trope, but a more thorough analysis of my primary sources is needed in order to make definitive conclusions. Once the close reading and analysis of all primary texts is completed, I will be able to deduce exactly what their common features regarding the double are. I am still in the early stages of writing my dissertation; I am greatly consoled by the knowledge that writing is never a linear activity, and by my view that the main purpose of research is the discovery of new information, instead of proving a predetermined hypothesis.

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Lessons in Literacy: Defining and Redefining Complex Terminology

Judi Rose

1 Introduction

Having taught English in the Finnish school system for approximately 15 years, I have seen how children with an immigrant background often struggle academically. Having assumed their immigrant background has an effect, I set out to find out whether this assumption had any statistical foundations, i.e. whether children with an immigrant background truly struggle. I did not have to search long to find studies which suggest that students with an immigrant background are not as successful in school as non-immigrant Finns (National Audit Office of Finland 2015; OECD 2015; Pirinen 2015; Karppinen 2008; Kuusela and Etelälahti 2008; see also Vesanto 2016; Ali-Hokka 2015; Heikkilä 2015). Two texts in particular helped me understand the problem. The National Audit Office of Finland (2015) has found that Finland's comprehensive school system has not been successful in offering children with an immigrant background the same opportunities as children belonging to the mainstream population. The other was a seminar paper by Riitta-Liisa Koponen (2011) stating that the ways in which the needs of immigrant children are met in school can determine how well they become accustomed to the new society they live in and how well they succeed academically.

These initial explorations into the topic revealed that there are many reasons for the lower academic success of children of immigrant background, including their often lower socioeconomic status, living in the crossfire of two cultures (the one at home and the one at school), and coming from various educational backgrounds, i.e. some may have been able to attend school in their home country, others may have not had an opportunity to attend school at all (National Audit Office of Finland 2015; Kuusela et al. 2008). Kuusela et al. (2008) state that children who have not had the opportunity to attend school regularly and who are non-literate are especially challenging for the Finnish school system. With regard to language acquisition, Wojtowicz (2006) provides

an overview of numerous studies, concluding that knowing how to read and write in the first language is beneficial to the outcomes of second and third language acquisition (see also Tarone and Bigelow 2005). As a language educator, knowing whether or not one's immigrant students are literate in their first language (L1) could help to understand the ways in which those students acquire their second (L2), third (L3) and other subsequent languages.

Once I understood the situation, the topic for my dissertation began to evolve; perhaps one of the reasons for immigrant students' struggles in learning English is a lack of appropriate literacy skills and insufficient strategies for learning language. One particular issue I have noticed in investigating immigrant youth and literacy is that the research is extremely scarce and the terminology confusing, especially where *literacy* is concerned. The purpose of the present essay is, therefore, to tease out the tricky terminology associated with literacy. I will begin with a brief discussion on the methodology of my dissertation in Sections 2 and 3, while Section 4 is dedicated to the greatest challenge in conducting my study at this point, the terminology, namely literacy in the first language (L1). I have devoted the entire section to the issues I have encountered in defining literacy and the various levels of literacy. Section 4 is followed by the Conclusion in which I will recap some of the main points in this essay.

2 Aims of the study and the research questions

As stated above, immigrant children have varying levels of literacy in their first language, from being completely non-literate to being fully literate. This poses enormous challenges for the school system, which, according to National Audit Office of Finland (2015), is not able to meet the needs of these children. To offer educators a better understanding of the ways in which immigrant children with varying levels of literacy in their L1 learn English (L3; Finnish is their L2), my study explores the different learning strategies students aged 13－16 with an immigrant background use when learning English. More specifically, I am interested in how students who are non-literate, primarily, secondarily and functionally literate as well as fully literate in their L1 tackle reading and listening comprehension tasks in English. I will discuss the definitions of these levels of literacy in Section 4. Prior to that, though, I will briefly explain the reasons behind choosing reading and listening tasks and discuss the definitions of language learning strategy, cross-linguistic influence and metalinguistic awareness.

Language tuition in the Finnish comprehensive school focuses heavily on acquiring receptive skills, i.e. listening and reading, and therefore I decided that

these areas of language learning would be the starting point of my study. During foreign language lessons, students read texts to familiarize themselves with new vocabulary and various grammatical aspects of the language they are learning. Listening to the language helps students form an understanding of how the language sounds and how it is pronounced. Focusing on these areas of language learning is therefore essential. Indeed, there are other areas of language learning, such as writing and speaking which are equally important, but reading and listening are the areas that receive the most attention during lessons. The respondents in the study will benefit more from concentrating on reading and listening strategies at this point in their studies. Therefore, investigating learning strategies for writing and speaking is not included in the scope of the study for my dissertation.

The above-mentioned dimensions of literacy, i.e., non-literacy, primary, secondary and functional literacy and full literacy, represent those encountered among students with an immigrant background in comprehensive schools in Finland today. These students must learn a third foreign language in school, usually English, through Finnish, which may differ significantly from their first language. How do these students tackle syntax, for example? How much do they understand when they read a text in English? What do they do to help themselves understand? I am also particularly interested in the students' metalinguistic awareness and cross-linguistic influence, because they involve cognitive processes which help students develop their learning strategies.

Learning strategies are tools or (un)conscious actions students employ when learning new skills. To tap into students' cognitive processes, measures (described below) will be used to determine cross-linguistic influence and students' metacognitive awareness. Jessner (1999), Cenoz, Hufeisen and Jessner (2001) and Cenoz (2003) have conducted extensive studies pertaining to cross-linguistic influence and metalinguistic awareness, respectively. *Cross-linguistic influence* refers to a situation where a language learner both consciously and unconsciously utilizes the knowledge (s)he has of previous languages in learning a subsequent language. *Metalinguistic awareness*, on the other hand, is the process of thinking about language and making sense of it. Cross-linguistic influence and metalinguistic awareness are especially interesting when it comes to literacy in the L1 and learning second, third and subsequent languages, because students who are non-literate, in particular, may lack the ability to consciously think about how languages work, for example. Most of the studies conducted in L3 acquisition and learning strategies have assumed the respondents are literate in their L1, which may yield different results as regards the types of strategies the

learners use to tackle new/difficult information. Scholars (e.g. Cenoz, Hufeisen and Jessner 2001; Rothman et al. 2012; Cabrelli Amaro et al. 2012; de Bot and Jaensch 2013; De Angelis 2007) have begun to draw attention to L3 acquisition, separating it from L2 acquisition, due to the perceived influence of the L1 and L2 in L3 acquisition.

In light of the above, my research questions are as follows:

(1) What types of language learning strategies (LLS) do students who are non-literate as well as primarily, secondarily, functionally and fully literate utilize when tackling reading and listening comprehension exercises in English?
(2) What are the manifestations of metalinguistic awareness and cross-linguistic influence in students who are non-literate as well as primarily, secondarily, functionally and fully literate? Are there similarities/differences in the LLS among the groups?
(3) Are there similarities/differences in the LLS among those students who are non-literate in their L1 but fully literate in Finnish (L2) and those students who are fully literate in both their L1 and Finnish?

Finding answers to these questions calls for more than analyzing answers from a questionnaire. I need to find out what is going on inside the respondents' heads, so to speak. The methods used to extract this information are discussed in the next section.

3 Research methods

My dissertation is a *synthetic* study encompassing the receptive skills in language learning, i.e. listening and reading. The synthetic approach to research produces more holistic data whereby the researcher is able to obtain a broader understanding of the subjects themselves and the strategies they use to learn. After careful deliberation and a chance to take part in an ongoing study[1] conducted by the University Pedagogical Support (UNIPS) project and funded by the University of Turku, I decided to apply a multi-method approach to obtain more in-depth understanding of the strategies the respondents use in tackling new information in third language acquisition (TLA).

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[1] For more information, see https://unips.fi/publications/.

To collect data for my own study, I will utilize specific, age-appropriate reading and listening tasks. The methodology for determining the respondents' strategies while completing the tasks will differ slightly from the UNIPS study in which I participated because I am investigating a different topic. The UNIPS project involved the eye-tracking and think-aloud methods, whereas I will be using eye-tracking (Berzak, Katz, and Levy 2018), stimulated recall interviews (Chamot 2004) immediately following the eye-tracking session and a questionnaire (Dörnyei 2007) for the reading task. One of the main advantages of the eye-tracking/stimulated recall method is that, together, they provide immediate recorded responses about a respondent's thoughts and actions. Therefore, the responses are not compromised by lack of memory, which may be the case if the responses are obtained at a later date in the form of a questionnaire, for example. To acquire data concerning the respondents' listening strategies, a listening comprehension task immediately followed by a listening strategies questionnaire will be administered. Depending on the size of the literacy-level groups, a final interview will be held either with each individual or as a group to gain further insight into how the respondents processed the tasks they were given to do.

Conducting the eye-tracking method and stimulated recall interviews are time-consuming and require active presence in the sessions. Moreover, the study will require collaboration with various middle schools where there is a concentration of immigrant students. Visiting lessons where immigrants are taught their first language will also come into question. These issues constitute the more practical challenges to my study, and with careful planning they can be resolved. The greatest challenge to conducting my study at this point is related to terminology, namely literacy. The following section discusses the somewhat complicated concept of literacy, and I propose specific definitions for the purposes of my own study.

4 Defining literacy

As I stated in the Introduction, defining *literacy* has posed the most significant challenge in my research process. The term has multiple meanings and pinpointing what literacy actually entails has been an endeavor of researchers for decades (Roberts 1995, 412). Sometimes literacy is referred to as the ability to write only (Venezky et al. 1990), sometimes the ability to read only, sometimes the ability to read and write (Cambridge Assessment 2013, 8) and sometimes it is the ability to read, write and calculate numbers (UNESCO 2005). Therefore, it is

essential to explain how literacy should be understood in the context of my dissertation.

In his article on defining and measuring literacy, Ahmed Manzoor (2011, 181) uncovers the evolution of the semantic development of 'literacy' using the definitions provided by the United Nations Educational, Scientific and Cultural Organization (UNESCO) over the decades. In 1958, the organization simply stated, "A person is *literate* who can with understanding both read and write a short simple statement on his everyday life" and "[a] person is *illiterate* who cannot with understanding both read and write a short simple statement on his everyday life" (UNESCO 1958, 3). Here, the definition of *literate* implies that a person is able to manage in his/her everyday life if he/she is able to read and write something about his/her everyday life. Although the definition is dated, the truism persists; to conduct everyday life, people need to deal with many types of situations requiring the ability to read and write different types of texts, e.g. newspapers, bank statements, applications, deeds for property – the list goes on and on. Can knowing how to read and write short statements about one's everyday life truly indicate one's ability to manage in situations where reading and/or writing is required? *Illiterate* then, according to UNESCO, is someone who cannot read or write at all.

Twenty years later, UNESCO added to its definitions two more dimensions of literacy.

> A person is *functionally literate* who can engage in all those activities in which literacy is required for effective functioning of his group and community and also for enabling him to continue to use reading, writing and calculation for his own and the community's development (UNESCO 1978, 183).

Contrary to being functionally literate,

> [a] person is *functionally illiterate* who cannot engage in all those activities in which literacy is required for effective functioning of his group and community and also for enabling him to continue to use reading, writing and calculation for his own and the community's development (ibid.).

In these definitions, the notion of being able to function in society has been added. *Functionally literate*, here, implies that a person is able to read and write in all situations requiring such ability, while a functionally illiterate person cannot. These definitions are still quite problematic as they do not define what *functional* is. Does functionally literate mean that a person is completely literate, i.e. has

reached a level of literacy that can be considered appropriate for his/her age, or does it mean the person can manage in society although his/her level of literacy may not be at an age-appropriate level?

By 2005, UNESCO had developed a definition of literacy to answer to the needs of a more complex, digitalized society,

> [l]iteracy is the ability to identify, understand, interpret, create, communicate, and compute, using printed and written material associated with varying contexts. Literacy involves a continuum of learning in enabling individuals to achieve his or her goals, develop his or her knowledge and potential, and participate fully in community and wider society (UNESCO 2005, 21)

With this definition, UNESCO lays the foundation for the notion of pluralism in literacy. By pluralism, I refer to the so-called 21st-century literacies, i.e. information literacy, digital literacy, media literacy, etc. These literacies do not fall under the scope of my dissertation; rather, I am only interested in literacy as it relates to reading print and writing and the level of those skills acquired in education. As stated in the Introduction, some respondents may have had the opportunity to attend school in their country of origin and are therefore literate at the level appropriate for their age, while others may not have had the opportunity to attend school at all due to war or other circumstances of upheaval.

UNESCO's (1978) term, *functional illiteracy*, has been criticized for its vagueness (Roberts 1995, 416; Vágvölgyi et al. 2016, 2), particularly with regard to the acquired level of literacy – what is considered functional? Is it baseline knowledge or does it go beyond that? Functional illiteracy has also been referred to as *semi-literacy* and *low-literacy*, which is the ability to recognize and write words and numbers, but the level of literacy is incomplete for surviving in everyday life (Manzoor 2011, 190). This raises the question, can someone who is able to function in society regardless of their insufficient skills in reading and writing be considered illiterate in the case of functional illiteracy? According to Vágvölgyi et al. 2016, functional illiteracy also entails cognitive and linguistic disorders. The impact of cognitive and linguistic disorders will also be excluded from the scope of my study as these issues may have a significant impact on the results. My aim is to investigate adolescents who have no known disabilities or disorders; these are issues that call for separate research.

To add to the pool of terminology associated with literacy, the Finnish National Agency for Education (2006, 5) introduces two types of illiteracy: *primary* and *secondary illiteracy* (*primaarilukutaidottomuus* and *sekundaarilukutaidottomuus*, translated from Finnish by the author). The Finnish

National Agency for Education (2006, 10) defines *primary illiteracy* as the inability to read or write in any language, and *secondary illiteracy* as the ability to read and write in an alphabet which is different from the alphabet of the language being learned (e.g. Arabic or Cyrillic vs. Roman). However, according to the Finnish National Agency for Education (ibid.), secondary illiteracy also constitutes the inability to successfully function in the L1 due to insufficient literacy skills, i.e. people who are secondarily illiterate are able to manage somehow, but not in the same way as those who are fully literate. To date, I have not come across research that challenges the use of primary and secondary illiteracy, and therefore the following discussion delves into these terms in more detail.

I find the above-mentioned terms slightly confusing and contradictory. The term 'illiterate' has negative connotations and therefore I wished to find a more neutral term to describe a situation where a person is unable to read or write in the L1. Through my explorations in the vast amount of literature available on literacy, I noticed the term *non-literate* used by Spruck Wrigley (2010) and Manzoor (2011) to mean the inability to read or write in one's own language. The term non-literate seems synonymous with primary illiteracy coined by the Finnish National Agency for Education (2006, 10; see above). Notably, neither term takes into consideration situations where an immigrant child may not know how to read or write in the L1 but knows how to read and write, albeit insufficiently, in the L2. Venezky et al. (1990, 13) also notice this aspect of literacy among learners of English as a foreign language in the context of the United States. They identify three types of non-native speakers of English: 1) those who are literate in their L1; 2) those who lack sufficient literacy skills in their L1; and 3) those who the authors refer to as "non-speakers of English" who lack sufficient literacy skills in their L1. It is assumed that people in the first group are also literate in their L2 (English in this case). People in the second group are considered non-literate in their L1, but not necessarily in the L2 (English). Non-literacy for those immigrants placed in the third group is due to the fact that the people in question have not yet learned to speak English and therefore are not able to read or write in English (ibid.). Venezky et al. (ibid.) imply that instruction in spoken English is a decisive factor in learning how to read and write English. The immigrants in the third group also lack age-appropriate literacy skills in their L1 (ibid.). In the light of non-literacy/illiteracy, this raises yet another question: Can these people be considered non-literate/illiterate?

Having made my way through the literature related to literacy, I recognized a pertinent need to redefine the terminology for the purposes of my own research.

With the heterogeneous group of immigrant children in Finland in mind, I modified the various terms discussed above as follows:

(1) **Non-literacy/non-literate** refers to the inability to read or write in the L1, although some level of literacy may have already been acquired in the L2 (Finnish in the case of my study).

(2) **Primary literacy/primarily literate** is the ability to read and write in an L1 that has a script or alphabet other than the Roman alphabet (Arabic, Russian, Chinese, etc.).

(3) **Secondary literacy/secondarily literate** is the ability to read and write in an L1 that has a script or alphabet other than the Roman alphabet (Arabic, Russian, Chinese, etc.). However, the literacy skills may be insufficient for the age-level.

(4) **Functional literacy** is the ability to read and write in the L1 that uses the Roman alphabet but the level of skills does not reach that which would be considered appropriate for the age.

(5) **Full literacy/Fully literate** refers to the ability to read and write in the L1, L2 and subsequent languages at an age-appropriate level.

The term *non-literacy* (and its adjective form *non-literate*) has been used by Helga Ramsey-Kurz (2007), Heide Spruck Wrigley (2010) and Ahmed Manzoor (2011). Ramsey-Kurz (2007) discusses the origins of the term in her book concerning twentieth-century literature. The term not only lacks the negative connotations attached to the term illiteracy, and hence offers a more neutral way to express the inability to read and write, but also offers a way to refer to people coming from cultures which have no writing system, and where history and traditions are orally passed on from one generation to the next (Ramsey-Kurz 2007). For these reasons, I have adopted the term for the purposes of my study.

To summarize, a **non-literate** immigrant child has not had the opportunity to learn the writing system of the L1. Reasons for this may be many, for example:

(1) The L1 has an oral tradition of communication and therefore does not have a script form as with some languages in Africa.

(2) The parents of an immigrant child may not deem it necessary for the child to learn to read and write in the L1, i.e. it is enough for him/her to be able to read and write in Finnish and subsequent languages, e.g. English.

(3) War and other situations of upheaval in the country of origin whereby the immigrant child may not have had the opportunity to attend school on a regular basis.

Naturally, there is no way of knowing all of the possible reasons for non-literacy; there are as many reasons as there are immigrants in Finland. However, the interesting thing about immigrant children who are non-literate in the L1 is that they may have acquired literacy skills in Finnish, which may or may not help them to acquire skills in the L3 (English).

Immigrant children who are **primarily literate** have had the opportunity to learn to read and write in the L1 and their level of proficiency is appropriate for their age. However, learning the L2 and L3 is especially challenging because they also have to learn to read and write a different alphabet, which may or may not delay the acquisition process of the L2 and L3. Immigrant children who are **secondarily literate** may have had the opportunity to attend school in their country of origin, but for one reason or another, their education may have been cut short, perhaps due to war, migration or other such reasons. It is important to note that these children may have acquired some level of literacy in Finnish.

Functional literacy may be evident in children who were born in Finland to immigrant families and who use a language other than Finnish at home. However, this group may consist of immigrant children who were born abroad as well. As with all immigrant children, these children may attend lessons in their L1 for maintenance purposes. Municipalities offer children with an immigrant background the opportunity to attend such maintenance courses 1-2 times a week. However, the number of lessons a week may or may not be enough to help the children develop sufficient literacy skills in the L1. Moreover, some immigrant families may not deem it necessary to send their child to such lessons as they feel learning Finnish is more important. The lessons are not a compulsory part of education in Finland and, therefore, families may decide not to send their children to the lessons.

Finally, **fully literate** children have the ability to read and write in their L1, Finnish (L2) and English (L3) at an age-appropriate level. They have had the opportunity to learn their L1 in school and they have their family's support in their L1 studies. They have perhaps started school in Finland and have had the opportunity to learn to read and write in Finnish alongside mainstream Finns. Furthermore, they have started their studies in English at the same time as mainstream Finns and therefore have received the same amount of education as mainstream Finns.

The situations I have described are purely circumstantial. As I mentioned above, the reasons for the varying levels of L1 literacy among immigrant children are as many as the number of immigrant children living in Finland. Therefore, it is essential to understand that the background of the respondents grouped according to the various forms of literacy I have listed above may vary considerably and grouping them may prove to be an extremely difficult task. Once I have collected the background information about the respondents, I will have to give careful consideration to borderline cases. Furthermore, I may even have to reconsider and revise the groups I have modified and discussed here.

5 Conclusion

The starting point of my dissertation was the need to understand the phenomena behind immigrant children's lower academic success. The purpose of my dissertation is to pinpoint the language learning strategies immigrant children use in the acquisition of English as a third language in an attempt to help them and their English teachers become more aware of the strategies that truly promote the acquisition of English and those strategies that do not.

One of the major challenges in studying learning among children with an immigrant background is their extremely varied backgrounds. Not only do they come from a complex array of cultural and language contexts, but their level of formal education in their L1 also varies immensely, i.e. some may be completely literate in their L1 and others may not have been introduced to the written form of their L1 at all, assuming the L1 has a written form. As stated at the beginning of this essay, the situation poses some serious challenges for the Finnish school system, which has not been able to answer to the needs of immigrant children very well (National Audit Office of Finland 2015). Upon the realization of this, it was clear that a study that would investigate the impact of immigrant children's level of literacy on the language learning strategies they use to acquire English was needed.

Delving into the issue of literacy, I realized I had embarked along quite a meandering path. The amount of terminology associated with literacy is impressive. In the investigations I have made to date, I have found that a definition for *literacy* has been sought since the mid-20th century with UNESCO's initial definition of literacy as the ability to read and write. Earlier attempts to define the term may have also been made; my investigations into the issue are ongoing. The definitions have evolved over the years and new definitions have been created. Finding a definition to suit the purposes of my own

study, therefore, proved to be slightly overwhelming. Not succeeding in the endeavor to find appropriate definitions, I decided to adapt previously used definitions to suit my needs. Perhaps as my investigations proceed, I will need to revise them, but for now I will work with the ones I have discussed above.

Being able to provide precise explanations of terminology not only provides a robust foundation for one's study, but also serves the greater research community by offering carefully considered definitions to use in subsequent research. Analyzing terminology and being critical of proposed definitions ensures the vitality of research and production of new knowledge. Carefully considered terminology and the definitions thereof create consistency in a study and help the reader and other researchers understand the phenomena under investigation.

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Part II

Welsh Writing in English as Postcolonial Literature: Reading Niall Griffiths

Petri Luomala

1 Introduction: Welsh writing in English as postcolonial literature

In the introduction to his history of Twentieth Century Welsh writing in English, *A Hundred Years of Fiction*, Stephen Knight explicitly sets out to read Welsh writing in English as "the literature of a colony, in the language of the colonizer" (Knight 2004, xiii). The terminology of 'colony' and 'colonizer' is concrete and leaves little doubt that the project will connect Welsh literature in English with the multitude of postcolonial literatures globally. Such a determined approach may seem curious at first considering Wales' standing as a part of Great-Britain. Postcolonialism as a field of literary criticism emerged from "the colonial testimony of Third World countries" (Bhabha 1994c, 171) and offered theoretical tools for discussing the "various cultural effects of colonialism" (Ashcroft, Griffiths and Tiffin 1998, 186). However, the critical paradigms of postcolonialism have long since been adopted and adapted to accommodate literatures and cultures that reside outside the scope of its foundational theoretical writing, which focused on contexts directly affected by European imperial powers. These are literatures from countries whose histories may include similar processes of conquest and colonization prior to and continued subjugation long past the period of imperialism (Bohata 2004, 3). Although their social contexts may vary, they are all engaged in self-consciously fashioning cultural difference from the colonizing country and constructing an independent identity. As the processes of colonialism have begun to be identified in locales outside the classic imperialist context, surely a view of Welsh writing as postcolonial literature begins to appear not only plausible, but obvious.

In my PhD research I examine the theme of resistance in the novels of Niall Griffiths (born 1966). A major part of this project consists of reading Niall Griffiths as a postcolonial writer, as many of the paradigms of postcolonialism help illustrate Griffiths' engagement with a perceived power imbalance between

England and Wales. Griffiths was born in Liverpool but has family roots in Wales and has emerged as a vocal advocate for Welsh writing and culture. His novels generally combine a raw, vernacular presentation of disaffected, marginalized characters with passages of highly-charged poetic prose, particularly in descriptions of the natural world. Geographically his novels inhabit the areas of northern and western Wales and Liverpool. Although Griffiths' fictional world often awards great significance to Welsh place and history, the appearances of these elements are far from idealized nostalgia. Instead, his novels are determined to "reveal […] the importance of place while constantly unearthing the dis-ease of home." (Paddy 2007).

I will provide in this essay an overview of four themes in Griffiths' fiction that reflect a postcolonial dynamic between Wales and England. First, Griffiths makes frequent use of stereotypes in order to question established notions of Welsh backwardness and English normality. Second, a look into various figures of disability reveals metaphorical representations of Welsh colonial trauma, as well as opens up the possibility for narratives of recuperation. Third, differing experiences of place between English and Welsh characters allow for resistance to reductive colonial understanding of native environments. Finally, Griffiths' use of language produces a textual resistance to the dominance of standard English. I will also present some more general issues that arise when attempting to apply the paradigms of postcolonial theory to an intranational British context. The shift in theoretical perspective from an examination of difference *from* Britain to an examination of difference *within* Britain entails some reappraisal of the theory itself. Therefore, I feel it is necessary to first look at some of the potential complexities involved.

2 Complexities in approaching Welsh writing in English as postcolonial literature

As noted in the introduction, postcolonial approaches have proven useful in exposing processes of domination and power imbalances also outside the original framework of European imperialism. However, while the theoretical writings help navigate the dynamics between 'centre' and 'margin' in modern Britain, one must be constantly aware of the particularities of material and context. As Kirsti Bohata notes, there are distinct problems that accompany any attempt to simply "*apply* postcolonial theories in a Welsh context" (Bohata 2004, 119; emphasis as in the original). The following presents some potential issues that I feel require attention.

First, the very definition of Wales as a postcolonial country is a contested topic. It has been argued that despite the subjected history of Wales with regards to England, Wales' complicity in the imperial project makes it hard for non-European colonies to consider Welsh identity as postcolonial (Ashcroft, Griffiths and Tiffin 1989, 33). On the other hand, some have proclaimed Wales as England's first and oldest colony with a continuous history of cultural domination.[1] The discussion surrounding the degree to which Welsh culture can be seen as postcolonial can devolve into semantic distinctions distracting from an examination of the postcolonial characteristics of its Anglophone literature. Ultimately, whether or not Wales is historically categorized as an ancillary beneficiary of British imperialism or as its first casualty does not alter the established power imbalance in the historical relationship between Wales and England. Identifying a history of subjugation provides validity to the application of postcolonial approaches, yet, one must be constantly aware of the particular intranational context and resist drawing overly simple equivalences with the various global manifestations of postcolonial literatures.

A second danger to postcolonial readings of Welsh writing is that of implicit nativism. Writers may often employ elements from local pre-colonial history and culture in order to challenge the authority of the colonial gaze. However, there is a danger to the elevation of a certain pre-colonial period or culture as an emblem of essential identity or authenticity. Gayatri Chakravorty Spivak has cautioned how such "a nostalgia for lost origins can be detrimental to the exploration of social realities within the critique of imperialism" (Spivak 1988, 291). There is an appeal to reading for lost authenticity and originality, yet an essentialist focus on a past authenticity may dilute contemporary constructions of identity. Griffiths' depictions of modern day Wales are populated by the detritus left behind after the collapse of traditional industries, yet the Welsh identity of these characters needs to be seen as equally valid and representative as that of the romanticized mining communities in classic Welsh novels of the early 20th century or that of the pre-colonial Celtic cultures.

The third aspect to be aware of when reading Welsh writing in English as postcolonial literature is that of possible elision of the internal differences of the native culture. Critiques of postcolonial approaches have often cited perceptions

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[1] The latter viewpoint has perhaps been voiced most loudly by Ned Thomas in *The Welsh Extremist* (1971) where he presents Wales as England's original and oldest colony and describes a continuous history of subjugation and marginalization between the two. It should be noted that he did soften his stance somewhat in later writings.

of universalizing tendencies that "collaps[e] historical and cultural specificity" (Bohata 2004, 17-18). As noted by Ashcroft, Griffits and Tiffin, Spivak, in particular, has raised concerns regarding an "underlying persistent essentialism" in the project to construct a speaking position for the subaltern, for the colonial subject (Ashcroft, Griffiths and Tiffin 1995, 8). While postcolonial approaches help illustrate the power dynamics between the native and the colonial, any construction of a homogenous colonial subjectivity will inevitably be a simplification. In the Welsh context, some internal cultural complexities are readily apparent, such as those between English and Welsh speakers and those between the industrialized urban South and rural North. These are fairly broad generalizations themselves and they are accompanied by a multitude of smaller distinctions. Any construction of Welsh identity as oppositional to an English one will, thus, inevitably need to address these internal differences, lest it fall into the trap of cultural homogenization.

Finally, one should recognize that the colonial dynamics within Britain overlap with economic power relations as "capitalism interweaves with and indeed can often direct colonialism" (Knight 2004, xiv). As Welsh literature navigates the interrelated phenomena of colonial cultural politics and economic oppression, marginality comes to be defined in both cultural and class-based terms. The intermingling of economic and cultural perspectives are also reflected in Griffiths' writing, which challenges the cultural dominance of England, as well as suggests similarities in the shared experience of the British social underclasses, irrespective of national identity or geographical location. The mosaic of characters in Griffiths' first novel *Grits* (2000) perhaps illustrates the class dynamic most clearly. *Grits* has an extensive array of characters who hail from different locations all over Britain, however, they all share an experience of social marginality. *Grits* uses the West coast of Wales as the ultimate margin of Great-Britain; it is literally described as "the end of the line" and as "Europe's terminus" (Griffiths [2000] 2001, 426). Wales' marginal position within Britain and the characters marginal standing within contemporary society reflect each other, and in similar fashion both postcolonial and class-based approaches will find common ground in the novel.

It becomes apparent already from the cursory examples above that any interpretation of Welsh writing in English as postcolonial literature must include an awareness of various complexities. These complexities speak to a tension that exists between the generalizing tendencies of the theoretical concepts and the multifaceted nature of local identity. A recognition of this tension may prove to be beneficial both for analysis of the primary literature, as well as for readings of

the theoretical material. Drawing on the concepts of postcolonial theory helps illustrate the underlying power dynamics of contemporary Welsh writing, but the 'new' context may also produce a better understanding of the possibilities and limitations of the theoretical body of work.

3 Reading the postcolonial

As I have mentioned earlier, Griffiths writing both reveals colonial aspects in the relationship between England and Wales, as well as challenges the cultural dominance of England within Great-Britain. I will focus here on four aspects of Griffiths' novels that reveal these themes: colonial othering, forms of disability, experience of place and, finally, adaptations of language. I will also make reference to various theoretical concepts that can be useful in uncovering and interpreting these themes in Griffiths' fiction.

3.1 The Welsh other

Many critics have noted a tendency to present Wales "in terms of a normality established elsewhere", or "in the role of the racial other" in contemporary Welsh writing in English (Bianchi 1995, 48; Bohata 2004, 58). The colonial history of England and Wales has produced an understanding of the English southeast as "the human norm" (Fennell in Thomas 2005, 90). This Welsh otherness is then (re)produced and subsequently questioned in literature through the use of a variety of "stereotypes of alterity" (Bohata 2004, 57). The use of offensive stereotypes is perhaps most emboldened in Griffiths' second novel, *Sheepshagger* (2001), the title of which references one of the most common terms of insult for the Welsh. The 'sheepshagger' stereotype is used by English characters throughout the novel from English holiday home owners: "Any time, Sheepshaggers! […] Should all still be living in caves!" (Griffiths [2001] 2002, 19), to a school boy: "You're a local. […] Something fuckin weird about you sheepshaggers" (Griffiths [2001] 2002, 87) and to an English hiker: "dirty little *sheepshagger … perverts*, the whole damn lot of you" (Griffiths [2001] 2002, 232-233, emphasis as in the original). There is an element of reappropriation in Griffiths' treatment of the 'sheepshagger' stereotype. The main character of the novel, Ianto, simultaneously both corresponds with English preconceptions of the Welsh, yet also possesses a connection with his local environment, described as "umbilicus unseen", that is imperceptible to the outsiders. (Griffiths [2001] 2002, 195). Ianto is consistently described in animal-like terms that evoke notions of

primitivity. He is shown climbing up a slope on all fours "prehensile and balanced like one unused to other forms of locomotion, say bipedal, upright" (Griffiths [2001] 2002, 14), often described as drooling, and seen as an extension of the natural world: "Confidant to the reptile he was, familiar of warts and forked-tongue-flicker, known to the slitherer and the slider and the lurker in the quags" (Griffiths [2001] 2002, 25). Yet, he also exhibits a particular sense of belonging: "He stands and surveys this immense space and feels inside him in his lungs in his blood that it is his […] That it is possessed of a voice and a codicil and that he is its only knower" (Griffiths [2001] 2002, 198). The character of Ianto reproduces negative stereotypes, but cannot be reduced to them, as the novel simultaneously asserts his relationship with Welsh place as authentic and meaningful.

From a theoretical perspective, the processes of othering described by Edward Said in *Orientalism* (1978) offer an avenue to conceptualizing this stereotyping discourse. For Said, othering is essentially a textual process. He argued in *Orientalism* that the western discourse of the Orient was in essence an act of power and dominance that allowed the colonial powers to control the difference between West and Orient and also to use it to define themselves through that which they are not, in effect "to control and manipulate what was manifestly different" (Said [1978] 2003, 12). Thus Western normality and superiority were established as an antithesis of Oriental primitivity. This assertion of superiority simultaneously affects a subjected position for the native, which is other and voiceless (Parry 2004, 19). The English discourse of Welsh primitivity reflects descriptions of the native as "backward, degenerate, uncivilized, and retarded" that Said identified in classic colonial discourse (Said [1978] 2003, 207). Griffiths' use of stereotypes exposes how Wales is constructed as a colonial other in the English gaze.

The creation of Welsh otherness in Griffiths' novels may employ the features of Orientalism, however, Orientalism has been criticized for presenting colonial discourse in too unilateral terms. What Orientalism may fail to recognise is the role of the native as a participant in the process (Bhabha 1983, 25). Renouncing a unidirectional model of dominance Homi K. Bhabha points out how the native may be partly complicit in the colonial discourse. The complicit role of the native leads to a condition where colonial discourse may become internalized and accepted by its object. Similarly, Frantz Fanon has noted how the assumed superiority of the colonizer affects an equal and related notion of inferiority of the colonized people (Fanon [1952] 2008, 73). Echoes of this Fanonian 'inferiority complex', resulting from the "psychological effects of

internalizing the perspectives of the colonizer" may be occasionally identified in Welsh writing in English (Bohata 2004, 146). Bhabha further notes how this gradual acceptance of stereotypical representation may lead the native society or individual to a paralysed state (Bhabha 1994b, 78). Once the knowledge of colonial power has been internalized it becomes harder for the native to imagine, not just a means, but even a motive for change. In Griffiths' writing this colonial paralysis finds expression in apathy and in chemical self-abuse. The resignation of the characters is summarized in a scene in *Sheepshagger* where the characters are taking drugs while a discussion on the Welsh devolution referendum is on in the TV in the background. Their dialogue indicates how the power imbalance is experienced as permanent and unchanging: "It's all bollax, mun, devolution won't change a fuckin thing. Still be answerable to Westminster. Still be in their fuckin power, mun, always fuckin will be" (Griffiths [2001] 2002, 57-58). When Danny asks Ianto, who is too intoxicated to properly understand the discussion, how he is feeling, Ianto's response is simple but revealing: "Devoluted" (Griffiths [2001] 2002, 58). Ianto's personal interpretation of devolution illustrates how drug use emerges in the political context of Griffiths' novels as expressive of a colonial anger turned inwards, perhaps ultimately producing, instead of devolution, a *de-evolution*.

An examination of the othering discourses in Griffiths' fiction exposes a colonial relationship between England and Wales. The colonial trauma produced by this relationship is revealed in descriptions of apathy and substance abuse. In the next section I will take a closer look at expressions of Welsh colonial trauma through the concept of disability, as the various figures of disability, both physical and mental, in Griffths' novels can be seen as heavily metaphorical in the Welsh colonial context.

3.2 Figures of disability

Disability has emerged as a common trope for the colonial condition, as narratives of physically and mentally disabled individuals have allowed writers to metaphorically examine colonial trauma. Representations of disability have evolved notably in 20th century Welsh writing in English, with regards to the types of disability that are portrayed and the characteristics that are associated with disability. In early 20th century industrial novels, physical disabilities were often seen as "a benchmark of physical toil and national heroism", whereas this heroic quality is absent in late 20th century 'post-industrial' writing. (Burdett 2014, 4) Contemporary depictions of disability frequently consist of substance abuse and mental conditions that are "an expected product of an impaired or deficient

geographical and socio-economic space" (ibid.). Thus, disability has evolved in contemporary Welsh fiction into a metaphor that combines colonial and economic perspectives.

Various figures of disability are commonplace in Griffiths' writing. In fact, once noticed these figures begin to appear constantly. The observation of the clientele of a local rural pub by the main character in *Runt* (2007), referred to only as Boy, gives the impression that a certain incompleteness is engrained in the very fiber of the community: "some of them not with ten fingers or not with the normal amount of teeth and one or two even Not With Two Eyes in their faces to do their looking with" (Griffiths [2007] 2008, 95). *Runt* also forces the experience of a mentally disabled narrator onto the reader by crafting the entire text with the language and vocabulary of its limited protagonist. On the surface the limited mental capabilities of the narrator could be taken to reaffirm a colonial understanding of the simple native, yet it becomes very quickly apparent that the opposite is true. The narrative of the Boy reveals an extraordinary connection with Welsh place—its natural, and occasionally supernatural, elements—that is entirely imperceptible to the outsider. These differences between native and colonial experiences of place will be explained in more detail in the next section. Linguistic limitations are similarly employed in *Sheepshagger*, where the main character Ianto suffers from an indeterminate mental disability and rarely speaks more than some reluctant and short utterances. Ianto, is perhaps the most explicit victim of colonial violence in Griffiths' novels as he has been physically near-castrated in a brutal scene where he is molested as a child by an English hiker. As the novel unfurls, Ianto's desperate search for vengeance leads him to extremely violent actions and he develops into a powerful figure of the disabled native in search of retribution.

Stump (2003), on the other hand, is the story of a disabled character in recuperation. The protagonist is a recovering former alcoholic who has lost an arm during his previous substance-abuse filled life. The figure of the missing limb brings to mind Bhabha's references to postcolonial recovery as "a painful re-membering, a putting together of the dismembered past to make sense of the trauma of the present" (Bhabha 1994a, 63). There is also a universal dimension to the disability metaphor in *Stump* as the narrator imagines "all the missing limbs of the world stacked up in one sky-high pyramid […] [a]ll the previous owners stumbling around abbreviated, unwhole" and relates his condition to numerous bodily horrors experienced globally: "Tutsi women in headscarves, no hands; children playing in minefields in Burma, Afghanistan, Cambodia, the Congo, Foday Sankoh's limbless little orphans […] This worldwide truncation" (Griffiths

[2003] 2004, 90-91). This suggests a shared dimension to the disabled condition of a Welsh individual (Nee 2008).

The excesses of drink and drugs in Griffiths' novels, which were in the previous chapter identified as symptomatic of a colonial paralysis, may also be seen to produce a form of self-inflicted disability. Referring to the "social decay and the wreckage of the drug culture" in Griffiths' debut novel *Grits*, Knight notes how the "the physical impact of [the characters'] degraded excesses is [...] realized as forms of social disability" (Knight 2004, 185). The same excesses appear throughout Griffiths' work from various perspectives. In *Runt* the connection between substance abuse and colonial trauma is explored through the main character's uncle, referred to as Drunkle by the Boy. Drunkle has made his living as a sheepfarmer, however, during the foot and mouth epidemic the English authorities kill all of his sheep as a "precautionary measure", causing him to lose his livelihood, and subsequently his wife who commits suicide (Griffiths [2007] 2008, 38). His descent into alcoholism and subsequent recovery at the end of the novel resonate with native experiences in postcolonial societies. In *Kelly + Victor* (2002) the main characters' drug use is described as a search for deeper meaning in a consumer capitalist society, as summarized by Kelly: "Yer nowt if yer don't consume" (Griffiths [2002] 2003, 244). For them, the heightened experience that drinking and drugs afford provides distance from a capitalist society that is depicted as empty and meaningless, as "pure fucking monotony" (Griffiths [2002] 2003, 176). Once again, *Stump* approaches substance abuse from a different perspective as the main character is a recovering alcoholic and the novel revolves around his daily struggle with sobriety and with his recovery from social disability.

The range of disabled figures in Griffiths' novels speaks strongly of a colonial condition. However, these figures also produce moments of metaphorical resistance where characters overcome their disabilities or express sensibilities imperceptible to the 'outsiders'. In *Runt* the mental disability of the Boy also gives him a symbiotic connection with his surroundings that is not available for others: "I *knew* what the crows were saying to each other even if I couldn't've said it in Person's Words. I've known what the crows and in fact *all* the birds say to each other since I was a pram-babby" (Griffiths [2007] 2008, 88, emphasis as in the original). In *Stump* a fleeting moment of physical completeness becomes a metaphorical moment of liberation when the main character unknowingly avoids a violent fate at the hands of English gangsters by replacing his missing limb with a prosthetic one. Disability as concept allows Griffiths to make colonial trauma tangible and provides a useful metaphor for exploring colonial trauma. Whereas

disability narratives allow for metaphorical resistance, the next section will illustrate how resistance can be inscribed into the text through the juxtaposition of a local and colonial understanding of place.

3.3 Significance of place

A signifying relationship with place is often central to postcolonial constructions of identity. Place, in this context, does not refer simply to the physical environment, but "land or space to which meaning has been ascribed." (Bohata 2004, 152) The importance of place is no different in the Welsh context where "[t]he investment of a familiar landscape with enormous emotional and, often, political importance" is recognised as a notable aspect of Welsh cultural identity (Bohata 2004, 80). Indeed, as the alcoholic uncle of the protagonist in *Runt* pronounces in a moment of clarity: "Every lump in the ground can be significant, every bulge or hillock can have a meaning" (Griffiths [2007] 2008, 62). In Griffiths' fiction, a struggle over a signifying relationship with place is enacted through the differences in the descriptions of English and Welsh spatial experience. Additionally, Griffiths' representation of place pointedly produces a counter discourse to reductive English concepts of Welsh landscape derived from the pastoral tradition.

Raymond Williams, in *The Country and the City* (1975) identifies a continuous pastoral tradition that makes constant reference to an idyllic image of countryside. This idyllic imagining of Welsh landscape featured heavily in earlier Welsh writing in English, for example in Richard Llewellyn's classic *How Green Was My Valley* (1939) where heavy nostalgia colors the images of early 20th century mining communities. Griffiths treatment of place, on the other hand, challenges these established pastoral imaginings of Welsh landscape showing how "[t]here is blood and pain in cottagey valleys just as there is in city alleys." (Brockway 2004). This is in essence an act of resistance to an imperial construction of place. The reductive landscapes of pleasant innocence function as a strategy of control which conceptually makes the place harmless and 'stumps' the local inhabitant by categorizing him as 'quaint'. As the pastoral is replaced by the brutal, the harmonious with the discordant, then so too is an English understanding of place replaced by a native one. A direct example of this is provided in *Sheepshagger*, where the same piece of ground is from the English perspective a lovely place to "bring a picnic", whereas the native experiences it as fertile with the remains of past violent struggles, full of "spilled blood and mulched flesh and fuming bones" (Griffiths [2001] 2002, 199).

Yet, despite the violence of nature, place also provides a source of refuge for the native, as for Boy in *Runt*: "this is not the same world up here as the one in the belowness and I like it best cos of its highness and the voices I can hear up here when no one is talking" (Griffiths [2007] 2008, 7). The natural connection that is shared by both Ianto in *Sheepshagger* and Boy in *Runt* allows them to experience place in a dialogue: "I liked knowing the owl and lady fox by name. I liked very much knowing every raindrop by name and liked it too that the owl and the lady fox and every last bit of rain knew my name as well." (Griffiths [2007] 2008, 29). This "atavistic" connection to "an otherworldly past" is a prominent motif in both the early English language fiction of Wales and in later Welsh writing. (Bohata 2004, 33). Ianto, in particular is often described as an extension of his surroundings. For instance, just before Ianto attempts to avenge his displacement from his childhood home by killing two English hikers, they are all described within the same circle of standing stones. The English characters make a conscious effort to experience the spiritual qualities of place: "the man spreads his arms wide and the woman clasps her hands clenched to her chest as if in prayer. ―Oh my God … such power … there are so many spirits here" (Griffiths [2001] 2002, 201-2). There is an element of comedy to their swooning proclamations, whereas Ianto is described with very different language, almost in fusion with the ancient monument: "his face against the wet and gleaming annealed rock its ancient coldness that he himself is intimate with is indeed host to chilling his skin […] The stone of him pressed to the stone, stone against stone, two stones touching" (Griffiths [2001] 2002, 201). The difference between the English characters' performative desire to connect with place and Ianto's description as a natural extension of it functions to discredit a colonial understanding of Welsh place, as there is an element to place that is only available to the native. However, this brings us back to the danger of implicit nativism that I discussed earlier. Expressions of Welsh atavism run the risk of implicitly awarding a primary authenticity to a particular, mystical, expression of Welsh identity, which consequently discredits other contemporary identities that are being narrated.

The definition and conceptual ownership of place is a struggle enacted within the realm of language, within the description of place: "[I]n some sense place *is* language, something in constant flux, a discourse in process. […] The post-colonial text, […] becomes the metonym of the continual process of reclamation" (Ashcroft, Griffiths and Tiffin 1995, 391). Antithetical spatial experiences in Griffiths' novels reflect the central role of language in both uncovering and challenging the colonial relationship. The next section will

examine how language itself emerges as a medium for Griffiths to assert difference from an 'English normality'.

3.4 Welsh writing in 'english'?

When discussing contemporary Welsh literature, or even contemporary Wales itself, the question of language is inescapable. The term 'Welsh writing in English' already contains within itself a suggestion of the contentious linguistic history of Wales, as well as an attempt at integration. As noted previously, Welsh language has been used in the past as synonymous with an authentic Welsh identity.[2] However, the rise of English to a majority position during the latter half of the 20th century forced a reconsideration of the Welsh language as a 'litmus test' of Welsh identity and even produced some counterarguments promoting the English speaking South Wales as the true identity of modern Wales. Ultimately, "the debate in which the two linguistic groups battle to claim authority as the 'true' culture of Wales is as futile as it is absurd, as revealing of the cultural tensions within Wales as it is symptomatic of them" (Bohata 2004, 113).

Within the postcolonial context, language functioned as an important medium through which imperial oppression was introduced and maintained. Imperial control over language established "a 'standard' version of the metropolitan language as the norm" and marginalized "all 'variants' as impurities." (Ashcroft, Griffiths and Tiffin 1989, 7) Language thus became "the medium through which a hierarchical structure of power is perpetuated" (Ashcroft, Griffiths and Tiffin 1989, 7). Consequently, language has also emerged as the medium through which established imperial hierarchies have been challenged by postcolonial writers. The distance of postcolonial writers from the 'standard' language, whether approaching it "as a second language, or even as a first language which does not quite reflect the history and culture of the speaker" may be seen to have contributed to their ability "to innovate, to introduce productive slippages, create hybrid discourses, to write 'english', not English." (Bohata 2004, 105). However, identifying Welsh writing in English as Welsh writing in 'english' is far from straightforward. In Griffiths' case, the most prominent strategies that he employs in order to distance his writing from

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[2] The central role that language has historically been awarded in the construction of a Welsh identity has been noted by Griffiths himself: "Welsh identity has always been bound up with the language. In fact, for some, the two cannot be differentiated" (Griffiths 2007).

standard English are the introduction of Welsh words and phrases and the orthographic transcription of vernacular speech.

The linguistic setting of Wales makes code-switching between English and Welsh a readily available strategy for Welsh writers in English to create a sense of cultural difference and to distance their text from that of English language writers from England, to enact, in effect, a textual resistance. Introducing untranslated items from the native language without any assisting features, such as translations and explanations, is a "technique which can provoke frustration and indignation in the monoglot reader" (Bohata 2004, 122). The strategy of code switching allows writers to assert Wales' cultural difference through the incorporation of Welsh words and phrases when the text itself is read by a non-Welsh audience. (Bohata 2004, 118) However, within the context of Welsh writing in English whose audience is Welsh the inadequacy of the postcolonial model to account for the cultural and linguistic complexity of Wales surfaces. (Bohata 2004, 118-9). Code-switching may provide a mode of resistance towards standard English, however, if one is to account for the multiple linguistic audiences in Wales, the situation becomes more complicated. Will the strategy engender the same distance with regards to English speakers in Wales who have no knowledge of Welsh? Will Welsh speakers hold a privileged position in the face of code-switching texts as they commonly also possess good fluency in English as well? Can the use of Welsh language to signify cultural difference also be seen to implicitly reinforce the reductive association of Welsh language and an authentic Welsh identity? (Bohata 2004, 123) Once again one is reminded of the need to be constantly aware of the particularities of context when applying a postcolonial perspective to Welsh writing.

In *Sheepshagger*, Welsh language is tied in with notions of identity as Ianto's inability to speak Welsh forms an absolutely crucial absence. Welsh language may not make many appearances in the novel, but it has a crucial role in a pivotal scene. After killing the two English hikers Ianto wonders dazed and covered in blood and mud to the cottage of an old lady who only speaks Welsh. The woman initially takes Ianto in and starts to tend to his condition, however, as she realises that the blood on Ianto is not, in fact, his and that he is not injured she quickly sends him out.

> "She stands back and studies his now exposed facial features.
> —Chi'n gwaedu heb anaf. She shakes her head slightly as if baffled and repeats: —Chi'n gwaedu heb anaf.
> […]
> He looks up at her, understanding that he is being dismissed.
> —Bendith Duw.
> —OK, I, I…
> —Iawn. Bendith Duw, machgan i." (Griffiths [2001] 2002, 214)

The fact that the crucial lines are in Welsh produces an effect in the reader of alienation and disconnect. This is comparable to their effect on Ianto. The subtle introduction of Welsh to this central scene in the novel heightens the significance of those few lines. Suddenly, Welsh takes symbolic precedence over English as the reader struggles to decode the words of the old lady. The absence of translation excludes the reader from the company of the text and the reader is rejected and turned away, mirroring Ianto's physical dismissal from the cottage. With this minute movement, Griffiths makes a substantial statement with regards to language and identity.

A more playful take on the language question takes place in *Stump*. As the English Darren and partially Welsh Alastair travel into Wales, Darren experiences the Welsh language around him as strange and alien and reacts with hostility. The language politics of the novel produce an alternate state where English is placed in a position of insecurity and vulnerability. This reversal of language hierarchy is toyed with as Darren and Alastair pass the time playing 'I Spy'.

> "—I spy with my little eye, something beginning with … M.
> —M, is it? Oo now let me guess. It wouldn't be fuckin mountain, now, would it?
> Alastair shakes his head. —No.
> […]
> —What then? Just friggin tell us, will yeh, cos I'm gettin bored now.
> —Mynydd.
> —Eh? What the fuck's that?
> Alastair grins. —It's 'mountain' in Welsh." (Griffiths [2003] 2004, 151)

Alastair gains an advantage with his knowledge of Welsh and Darren is forced to call the whole thing off as retaliation, designating it as "Unfair an Inappropriate Language Useage" (Griffiths [2003] 2004: 151). The desire of Darren to invalidate the entire exchange is an attempt to reestablish the previous linguistic hierarchy.

Griffiths also challenges the dominance of standard English through the phonetic transcription of local vernacular. Direct transcription of local speech often attempts towards an authenticity of representation where the form "seeks neither to patronize nor to dignify the actuality" of the local idiom (Craig 1993, 102). The goal, according to Craig, then, is objective representation without implications neither positive nor negative. This objectivity, however, should not be confused with passivity, as the technique can have a distinctly political orientation as a "means of interrogating the established structures of linguistic and cultural power" (Crawford 1992, 285). Writing in local dialects enables writers in the margins of Britain to enact a linguistic resistance to, or even "linguistic violence" against, the dominance of standard English (Talib 2002, 33). The use of vernacular re-orientates linguistic centrality and pushes standard English to the margin. I must note that this aspect of Griffiths' writing is also where postcolonial and class-based approaches find extensive common ground.

Griffiths' debut novel, *Grits,* is notable for the sheer number of different vernacular voices that are included. The backgrounds of the characters in the novel cover Yorkshire, Ireland, Liverpool, Wales and Essex among others with each character getting their own chapters that are narrated in their own voice. The multitude of equal vernacular voices attempts towards a democratization of narration. When taken to extremes, the hyperrealism of speech reporting can produce increasingly chopped dialogue, ultimately devolving into pure cacophony:

> "——Fifty-three, an am like, wha? An remember now this is in a tiny fuckin poxy little tavern outside Tijuana […]
> ——Ty'd ar whiskey yma.
> ——Speak English, bach!
> ——Fuck off. Ga I'r blwchllwch?
> ——Aye, ut wuz in the Cambrian News. " (Griffiths [2000] 2001, 419)

The dialogue is presented as an exact phonetic transcription of the characters' speech, including pauses, incomplete thoughts and voices trailing off mid-sentence. Within this multiplicity of voices, the absence of standard English is glaring and linguistic centrality is claimed by the vernacular voice. However, I do feel it is necessary to be aware of the constructed nature of speech representation even when it seemingly attempts at objectivity without editorial oversight. As Scott warns, the phonetic representation may actually distance Griffiths' writing from its audience, since it requires deep knowledge of the vernacular represented in order to prevent the reader from "trip[ping] up" and therefore becoming exposed to the artifice of the speech representation (Scott

2009, 197). It would be foolish to ignore the fact that even forms of speech representation that pursue objectivity are subject to authorial control. This is even more true when the speech representation is seen as a conscious strategy of resistance to standard English.

4 Conclusion: Writing Wales and beyond?

In conclusion, can Griffiths be seen to write a contemporary identity for Wales, when Welsh identity is inherently complex? Or should Griffiths' fiction rather be seen as simply attempting to resist the human norm of middle class Englishness? As the traditional "valleys tradition" elements of fictionally constructed Welshness have faded, the question of how to define Welshness in literature has increased in urgency (Lloyd 1997, 19). Postcolonial readings of Griffiths' fiction uncover an identity that is defined through resistance to standard English(ness). However, Griffiths does not simply rely on traditional signifiers of Welsh identity, but combines them with contemporary elements to give voice to an underclass that is distinctly Welsh but whose qualities also transcend national borders. Aleksander Bednarski sees Griffiths' fiction as occupying a "space in-between, emerging from the margins of mainstream English culture and towards Wales, although remaining outside its Welsh-language core (Bednarski 2012, 11). This in-between state of Griffiths' Wales brings to mind Homi K. Bhabha's concept of 'hybridity', a "contradictory and ambivalent space" between cultures that is the "location of cultural production" (Ashcroft, Griffiths and Tiffin 1998, 118; Bohata 2004, 129). However, the concept of hybridity has also been seen to obscure the particularities of cultural situations, distancing various cultures from their specific contexts and placing them under an abstract textual and discursive construct. (Ashcroft, Griffiths and Tiffin 1998, 119-120). The concept of hybridity may attempt to resolve essentialist notions of identity within Wales, yet it does not produce a ready Welsh identity and still includes the existence of cultural tension (Bohata 2004, 156).

As a way forward Bohata proposes the concept of 'synergy' as a positive alternative. Whereas hybridity may be seen to implicitly suggest the combination of binary constitutive elements and a possible reduction back to them, the idea of "synergetic cultural production" suggests a space for a combination of "complex and multiple forces" and evades reduction of the discussion of hybrid identities to binaries of Welshness and Englishness. (Bohata 2004, 130). A synergetic Welsh identity that is inclusive of the various notions of Welshness could possibly be seen as resolving internal complexity, while asserting difference from the

English norm. Perhaps this could be seen to liberate a writer such as Griffiths to draw from all facets of Welsh culture synergetically in order to fashion contemporary Wales as a literary subject.

Finally, in talking about Trezza Azzopardi's novel *The Hiding Place* (2000), Stephen Knight touches on a theme that is common to much contemporary Welsh writing in English: "[The novel] suggests the human agent can, even in the aftermath of colonial late capitalism and its condemnation of so many to be an underclass, still find a way to speak about its situation, a way to write a Wales that is not yet defeated." (Knight 2004, 186-7). The 'underclass' that Knight identifies as being given a voice in contemporary Welsh fiction resonates with Griffiths' writing and allows us to see connections beyond Wales. Perhaps the idea of an underclass emerging as the subject of literature, developing a voice, is one that connects contemporary Welsh authors with the literatures produced in the other margin areas of Britain. Although the postcolonial qualities of the literature produced in the Celtic fringes have been researched and their cultural disempowerment has been established, critics have generally not tended to actively explore connections between them, in spite of considerable similarities in the processes of cultural resistance and establishment of identity. (Crawford 1992, 286). Just as the notion of an underclass in Griffiths' fiction allows us to visualize connections beyond Wales, perhaps future studies will manage to develop connections among the margins of Britain.

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Going back to the Source: Exploring the Sociological Narrative Theory in Translation Studies

Turo Rautaoja

1 Introduction

Finding an applicable theoretical and methodological framework for a research project is one of the key hurdles any researcher must overcome when conducting a study. Often these theories and methodologies are well-established and conventionalised, but sometimes, for instance when dealing with developing paradigms that are only beginning to take shape, the researcher may need to take a stance on the applicability of the ideas proposed by their theory of choice.

In this essay, I discuss my own experiences in trying to determine a suitable theoretical and methodological framework for my study. I describe how I managed to cope with a problematic theoretical model, Mona Baker's narrative theory in Translation Studies, which could not be ignored by virtue of being the seminal work in the field. By examining my own research process, my aim is to throw light upon the process of selecting and adapting a methodology for one's doctoral thesis and discuss some issues that may arise when working on a critical literature review.

I begin by explaining how I came across the narrative theory in Translation Studies at the early stages of my PhD project. I then examine the process of writing the theoretical and methodological literature review of my thesis: I move from the uncovering of the original sources of an adapted theory to writing a source-critical theory section and dealing with the emotional hurdles of evaluating the writings of two scholars in a position of not minor academic authority. I conclude with a discussion on the problematic nature of my own discipline and the lessons that writing the theory section of my doctoral thesis has taught me.

2 Once upon a narrative theory

I stumbled upon Mona Baker's narrative theory in translation studies as a newly fledged doctoral candidate in 2013. At the time, I was trying to find a suitable theoretical framework for the primary material of my doctoral thesis. I was still in the process of determining what I was actually doing but entertaining the idea of wanting to study early Sibelius-related literature that had been translated into Finnish during the first half of the 20th century. (In the end, I settled on researching twelve Sibelius-related texts and their Finnish translations, published between 1916 and 1965.) I envisaged that my research would discuss a variety of issues from the cultural relations between texts and the agencies involved in the production of the translations to the even broader issue of the significance of translations in the shaping of a society and its identity. Rather than examining these matters with the help of a selection of methodologies, each suited for answering one specific question of my study, I had given myself the tall order of finding a comprehensive approach which would allow me to discuss not only the texts but also their translators as well as a number of contextual issues – all under one convenient umbrella concept.

I was introduced to Mona Baker and her work at the Translation Research Summer School which was held at the University College London in 2013. The reading material of the summer school included an article by Baker entitled "Narratives in and of Translation" (2005) which applied a sociological narrative theory and called into question the generally accepted claim of translation as a means of promoting peace and understanding between various groups of people. I found the basic tenet of Baker's theory to be fascinating: it considered texts (and their translations) to be the building blocks in the narratives that are essential to our identities and shape our understanding of reality. According to the theory, narratives are "public and personal 'stories' that we subscribe to and that guide our behaviour" and "the principal and inescapable mode by which we experience the world" (Baker 2005, 5), not necessarily traceable to one source but constructed from a host of texts and other sources. The theory seemed to offer a multifaceted means for discussing translated texts and also appeared to be *en vogue* with many of the students of the summer school.

3 Getting better acquainted

The two-week course and the conversations I had with the tutors and other students quickly corroborated the idea of selecting Baker's narrative theory as my

theoretical and methodological foundation. After the summer school, I quickly got hold of Baker's seminal book *Translation and Conflict: A Narrative Account* (2006). It introduced a narrative theory that drew from a number of different approaches across disciplines, mainly sociology, communication theory and psychology, in order to create a theory which could explain how translations are involved in creating the stories that define us and our sense of reality. Baker's narrative theory was based on a categorisation into four narratives types, which in turn consisted of altogether eight narrative features, four of which were adopted from Somers' (1992; 1997) and Somers and Gibson's (1994) socio-historical work and four from Bruner's (1991) ten-part psychological understanding of narratives as tools for constructing reality. In addition to these, the theory made use of the concept of framing and narrative analysis itself was conducted under Fisher's (1987) "narrative paradigm". As in "Narratives in and of Translation", Baker's particular interest was in discussing the role of translation in situations of conflict.

Since the book was published, the theory has been enthusiastically utilised by researchers, many of whom are still in the early stages of their careers. According to Harding (2013), the fact that the theory has been most widely discussed in MA and doctoral theses (many of which have been supervised by Baker, I would be inclined to add) can be considered indicative of the relative novelty of the tool of enquiry in Translation Studies compared to many other fields. This is not to say that the theory has not been used by more seasoned researchers as well: novel or not, the theory has been enthusiastically greeted in the research community and its usability can be seen in the manner in which the approach has been applied to numerous text types and research designs ranging, for instance, from studies on theatre translation (Aaltonen 2009), social movements and volunteer translation (Boéri 2008) to news reporting (Harding 2012).

Reading *Translation and Conflict* was a baffling experience. While the book was easy enough to follow and included numerous interesting examples, I seemed to be unable to make sense of the whole and could not quite see how all the pieces of Baker's theoretical puzzle fit together. The concepts adopted from various disciplines appeared to overlap and the examples did not manage to explain the applicability of the model in its entirety but illustrated, instead, each of Baker's points separately. However, reading the book did provide me with a general understanding of the theory and its various components, which meant that I was ready to advance to reading studies that had been built on Baker's narrative framework.

I was soon struck by the unsystematic manner in which Baker's theory was applied in the different contexts of the articles I found myself reading. Baker's views appeared to be accepted at face value and did not seem to attract much in the way of assessment or criticism. Hoping to discover some validation for my reservations, I turned to book reviews, but they, too, only seemed to unquestioningly laude Baker's contribution to the field. For instance, Bánhegyi (2006, 269) found *Translation and Conflict* to be an "easy-to-follow, logically well-structured book" and pointed out that the book's "lively, interesting and enlightening contemporary examples […] not only help the reader understand the main points but also serve as a many-faceted backdrop to the soulful conflicts and instances of political aggression currently interweaving the texture of our global planet" (ibid., 275). Xu Xiumei (2010, 399), enamored, went as far as to exclaim: "The more I read the book, the more ecstasy of joy I experience".

I found myself even more confused. As I mentioned, what had quickly become apparent while getting acquainted with various studies based on Baker's theory was that they seemed to be very selective in their use of the approach. They only chose to borrow suitable terminology and ideas from the theory without attempting to apply it to any considerable extent. The theory might have been the commendable study that critics made it sound to be (cf., e.g. Brufau Alvira 2008) but its application by researchers spun a different story. For instance, Aaltonen's (2009) study on the heteroglossia appearing in the Swedish performances of *Utvandrarna* on the Finnish stage merely adopts some of Baker's terms and uses them to conceptualise the stories in which the audience and actors partake in the theatre performance. There is no analysis of the content of those narratives in Baker's terms. In another example, Harding's academically rigorous article from 2012, on the other hand, is unable to apply the theory in its conceived state. Instead, Harding revises Baker's typology and complements the theory with further methodological elements from textual analysis. To me this suggested that, rather than being a readily applicable analytical tool, Baker's theory was better suited for an academic pick-and-mix of theoretical concepts and ideas.

My own close-reading of Baker came to support this view. To my mind, the array of views borrowed across disciplines and used in Baker's explanation of narrative construction made the theory rather difficult to grasp and use in practice. I did not see the immediate value of bringing together all the different approaches and disciplines in Baker's narrative approach and felt suspicious of basing my own research on it. It seemed to me that in order to be able to apply the theory, one should first have knowledge of the basics of each of the disciplines in which the theory was rooted and understand the underlying principles of each. Baker's

narrative theory appeared to be spread thin over a number of differing approaches originally developed for different purposes, such as psychological self-narration, communication analysis and socio-historical study. While all of these aspects undoubtedly feature, in one form or another, in analyses of translational narratives, their amalgamation without a thorough investigation of the principles motivating their existence seemed ill-advised. The more I read the book, the more uneasy I felt. I was reminded that it is this type of interdisciplinarity which is a cause for concern for scholars such as Chesterman, for whom the free combining of theoretical principles "easily leads to fragmentation, superficiality, and misunderstanding, as we borrow concepts and methods from other fields that we may not adequately understand" (Chesterman 2006, 4). Add to this the fact that studies such as Harding's (2012) found the theory applicable only through further additions to the theoretical omnium-gatherum, I was becoming increasingly aware that, while Baker's theory managed to address a number of issues and to provide some interesting insight into the mechanics of narrative construction through translation, the coherence of the theory left a lot to be desired.

4 And then there was Pym

Although I still enjoyed the idea of Baker's theory and wanted to benefit from its seemingly all-encompassing scope, I was also increasingly and painfully aware that the theory did not provide a methodology or a comprehensive model for analysing a narrative. This problem was something Baker, interestingly enough, acknowledged in a later article (Baker 2014), which I read only after I had already been working on writing about the shortcomings of the approach. In the article, Baker admits that the theory is not yet a readily applicable analytical tool and that "methods of narrative analysis applied in Translation Studies so far remain relatively imprecise, and many scholars[...] find it difficult to apply in a sustained manner" (Baker 2014, 174). She calls for more case studies and research on the interdependency of various features of narrativity, since, as she points out, the features of the theory have often been dealt with separately and mechanistically rather than in an integrated fashion (ibid.).

Around the same time as Baker published these additional remarks, one highly notable and vocal critic, Anthony Pym, countered the official praises that had been published in the reviews mentioned above and uploaded onto his personal web page an article entitled *A spirited defense of a certain empiricism*

in Translation Studies (and in anything else concerning the study of cultures).[1] The article was later, in 2016, published in the journal *Translation Spaces*. In the article, Pym provides a scathing review of not only Baker's narrative theory (beginning with a section titled *Baker tells stories*) but also the ideas Lawrence Venuti expresses in his book *Translation Changes Everything* (2013) (mockingly rendered as *Venuti changes everything* in the subsection heading of Pym's article). In the first half of the article, Pym accuses Baker of having created an essentialist model that cannot be empirically tested, one where narratives create a "completely three-dimensional torture chamber" (2016, 292) for anyone trying to conduct an evidence-based study utilising the theory. Pym considers Baker to have become blinded by her political activism (as Baker is well-known for her pro-Palestinian views) and calls her an ideologue (Pym 2016, 293). He summarises his criticism in three points (Pym 2016, 290–91): The first criticises the perceived essentialist be-all end-all nature of narratives and makes visible the model's lack of dialogue; Pym's second criticism develops on this point of narrative essentialism and professes that such a stance makes empirical testing impossible; Pym's final point calls into question the purposeful construction of Baker's pro-Palestinian narratives and asks whose voice one can actually hear in these narratives. Pym's attack not only on Baker's theory but also, judging by the sense of loathing oozing from between the lines, on Baker herself could not have provided a starker contrast to the previous benevolent reviews. This left me with a wondering where the truth actually lay. If Baker's theory was indeed as fundamentally flawed as Pym seemed to hold, should I have merely abandoned the idea of using Baker as my theoretical basis and rethought the design of my study?

5 Going back to the source

I found myself balancing between two opposing views. On the one hand, while my initial impressions of Baker's model were not as depreciative as Pym's, I was unable to share the other reviewers' enthusiasm of the theory which to me felt, as I have mentioned, somewhat incoherent and stitched together. On the other hand, I had my doubts about whether Pym's criticism was truly as justified as Pym made it seem. Although Pym's article was clad in the guise of academic criticism and

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[1] The version in my personal archive is dated 23 April 2015, but the article is marked as version 4.1, suggesting that earlier versions existed even before this date.

while it raised some valid points, the text appeared to make Pym's objectivity suspect and actually suggested him to be on a personal mission much in the same vein as Baker, blinded by his own criticism. All in all, I felt uneasy, as though by positioning myself between two notable Translation Studies scholars I was inevitably setting myself for potential disaster. At the same time, however, I was strangely intrigued by the idea of assuming the role of the little boy pointing a finger at the emperor and empress and indicating that they were, in fact, wearing no clothes. I needed to determine whether my intuition about refusing to side with either of the two translation scholars had any grounds. I assumed that the problem of uncertainty about my theoretical basis could be at least partially answered by examining the very foundations of Baker's theory in more detail. Therefore, I decided to study some of Baker's own main sources, that is, Margaret Somers and Gloria Gibson.

5.1 What did Somers and Gibson actually say?

The articles of Somers (1992, 1994 and 1997) and Somers and Gibson (1994) to which Baker refers in her book examine the use of narratives in socio-historical research and call for a reinterpretation of prevailing truths in light of relationally constructed storytelling in sociological research. The scholars aim at uncovering the heterogeneity of experience and the limitations of prevailing historical explanations in elucidating the numerous voices present in historical events and their narratives. From these articles, Baker borrows the basic tenets of her model, namely, the four-part typology of narratives – *ontological, public, conceptual* and *meta-narratives* – as well as the four main narrative features of *relationality, causal emplotment, selective appropriation,* and *temporality* (complemented then with a set of another four features borrowed from Bruner's (1991) narratives in psychology).

The writing process of the literature review of my thesis, in which I investigated Somers' and Somers and Gibson's articles, was enlightening at least in two respects. Firstly, it revealed an interesting departure by Baker from Somers' original typology: the renaming and partial reinterpretation of *conceptual* narratives. Somers defines conceptual narratives as "the concepts and explanations that we construct as social researchers" (1997, 85) and maintains that they have an analytical purpose. For Somers, conceptual narratives provide the key to critical research. They create a vocabulary that can be used "to reconstruct ontological narratives, public and cultural narratives and the crucial intersection of these narratives with other relevant social forces" (ibid.). In other

words, conceptual narratives govern the interpretation of other narrative types and are used as the analytical frame within which narratives must be interpreted.

Baker redubs Somers' conceptual narrative category as *disciplinary* and explains that disciplinary narratives are "stories and explanations that scholars in any field elaborate for themselves and others about their object of inquiry" (Baker 2005, 6). Although this definition is, as such, in line with Somers, Baker does not venture beyond this rudimentary definition in her analysis of this narrative type. Instead, in Baker's theory, disciplinary narratives seem to be reduced to a peculiar, academic or scholarly sub-category of public narratives (i.e. narratives operating in the public sphere) with no logical motivation in the overall theoretical model. Baker's perspective is from the inside out: disciplinary narratives are approached as the stories that originate in academic circles and then extend to the outside world[2] whereas Somers approaches the narrative type from the outside in and uses conceptual narratives as a self-reflexive tool to uncover the hidden meaning of ideas used in research. This reinterpretation also has an effect on the design of Baker's theory. Whereas the structure of Somers' original model expands in an logical fashion from the individual (ontological narratives), through various cultural and socio-historical narratives (public narratives) to the grand narratives of national and even global importance (meta-narratives), which are all underpinned and explained by a reading of the conceptual narratives, Baker's disciplinary narratives seem to have no such function as they merely constitute stories that researchers tell about their disciplines.

The reading of the original sources also helped me to address the concerns that Pym had raised in his article. One of Pym's main grievances was the lack of empiricism in Baker's model, already apparent in the title of his text, and later repeated in his three points of criticism. Pym objects to the idea that narratives are essentially amorphous and that they do not need to be linearly organised to create a whole. This leads him to maintain that Baker's narratives can never be subjected to empirical analysis as their inner logic defies any explanation. "Dispense with all linearity, and there is no way the reduction of the human and the historical can be challenged", Pym (2016, 295) writes.

Reading Somers provided some insight into and counter arguments for the discussion on empiricism, as Somers sees her narrative model as a clear case for empiricism. Writing on the significance of her narrative approach for social

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[2] Baker's example involves James Mill's *History of British India*, which presented one particular narrative on British India and was influential in shaping the attitudes towards Indian Hindus and Muslims in the 19th century.

science history, Somers stresses that "the kinds of narratives people use to make sense of their situation will always be an *empirical* rather than presuppositional question" (Somers 1992, 608; emphasis as in original). What Somers means by this is that narratives that hold true in one context or relational setting can never be assumed to be true in another. The truthfulness of narratives must be subjected to empirical testing that accounts for the narrative identities of those involved and the context of the narrative. Interestingly, these two concepts utilised by Somers, *narrative identity* and *relational setting* (the latter of which I have interpreted to mean the context in which the narratives are interpreted), so crucial for the empirical testing of Somers' theory, have been disregarded in Baker's model, which makes no mention of either – at least not in connection with any empirical testing.

5.2 Moving on

All things considered, getting acquainted with the original sources of Baker's theory appeared to clarify some aspects of Baker's model. First, it provided answers to the particular oddity of disciplinary narratives in Baker's theory and also seemed to root the theory more strongly to the idea that narrative analysis was based on empirical testing. The latter point was also connected to Pym's criticism. While I was still faced with the fact that Baker largely disregarded any questions of empiricism as Pym had pointed out, I was able to at least argue that through a rereading of Baker's original sources the theory could be geared towards a more empirical approach. The problems of the model, then, were not inherent problems of the sociological narrative approach as such but stemmed instead from Baker's reworking of it.

Reading Somers and Gibson made me once again wonder whether Baker's model was unnecessarily complex. In my view, Somers and Gibson were already addressing most of the necessary questions in their theory: in addition to the narrative features, they also accounted for contextual matters and the agency of people involved. While I recognised the need for something that would somehow acknowledge the particular question of texts and translations in the process of narrative construction, I remained unconvinced that Baker's combination of disciplines and approaches – none of which, oddly enough, actually derived from previous translation-related research – would be able to answer the questions I needed to ask. I was beginning to think that heavily pruning back Baker's theory would be the way forward. Perhaps I should actually only focus on very basis of Baker's theory, that is, Somers and Gibson?

This idea, however, raised a new problem: If I decided to focus on Somers and Gibson, would I not actually be effectively discarding Baker as my theoretical and methodological basis? The thought of doing so felt counter-intuitive, since Baker had introduced the idea of the sociological narrative theory into Translation Studies and was therefore considered an important, maybe even paramount, authority in this field of study. While thinking about this question, I was simultaneously apprehensive about the fact that I was extensively discussing only one aspect of Baker's theory in my theory section. The discussion on the relationship of Baker's theory to Somers and Gibson's had already taken up a considerable section of my thesis. Extending a discussion of this kind to Baker's other sources would have dramatically shifted the focus of my research project from an empirical study to a theoretical meta-discussion. I came to be aware that I would somehow need justify the leaving out Baker's other sources from my theoretical review.

All of these musings led me to the realisation that rather than abandoning Baker, I was actually taking her as a starting point and reflecting on her theory. Although I was little by little distancing myself from Baker's framework as I gained knowledge on Somers and Gibson's ideas, I was still building upon the premise of Baker's argumentation and therefore potentially advancing the development of the narrative theory in Translation Studies on my part. In the course of discovering the limitations of Baker's approach, my initial research design featuring a type of testing-out research of Baker's theory on my own material had turned into exploratory research on the newly re-discovered potential of Somers and Gibson's sociological approach (on testing-out and exploratory research, see Phillips and Pugh 2005, 51–52).

Recounting the process of the literature review I had done, I also reasoned that I was in the opportune position of being able to provide what I considered a reasonably objective and uninvested review of the theory, ten or so years after the publication of *Translation and Conflict*. Although I had not been able to acquire all the theses and articles that had thus far been written on narrative theory in Translation Studies, the ones I had indeed read had led me to understand that the views expressed in the book had not been thoroughly investigated and that the theory was being used on a fairly superficial level. I concluded that a gap in knowledge existed in this area of study and that I could offer some insight into the matter through a meta-discussion.

The literature review thus transformed into something else than I had initially envisioned: Rather than writing out the theory and methodology I wanted to utilise, I came to write a critique that first unfolded into a meta-discussion on

the discourse surrounding Baker's theory, then subjected a selection of Baker's key sources to a close-reading and finally related the findings to both Baker's theory and Pym's criticism of it. By having been challenged by the theoretical framework I had chosen and by having been forced to rethink the premises of my theoretical approach, I ended up writing an interesting and potentially significant section for my research. Trusting my intuition and refusing to accept my chosen theory as a given ultimately led me to a deeper understanding of the principles governing sociological narratives.

6 Conclusion

The process of finding a theoretical and methodological approach for my thesis led me to ponder upon the broader question of the relationship Translation Studies has with its neighbouring disciplines. The trouble I faced while trying to assess the applicability of Baker's theory derived from Baker's mosaic use of sources and my subsequent uncertainty about the appropriateness of the approach. I am inclined to consider this to be symptomatic of a general tendency in my field of study. As mentioned earlier, according to Chesterman (2006, 2007), Translation Studies is often threatened by theoretical superficiality. This feature is engendered by the fact that Translation Studies is a multidisciplinary (or perhaps trans-, inter- or polydisciplinary depending on one's point of view; see Gambier and Doorslaer 2016) endeavour, causing fragmentation in its vast field of research. Chesterman (2007) remarks that borrowing concepts from surrounding fields of study may lead to misinterpretations of those concepts in their new context and continues that the attempt to utilise the concepts of various disciplines in one study may result in a situation where these concepts are illogically combined.

Chesterman's concern proved to be a legitimate one in my research. Exploring merely one of the theories upon which my chosen (adapted) theory was based revealed a notable divergence from the understanding and function of the original concepts. Although this conceptual change was masked in the renaming of the narrative type from conceptual to disciplinary, it also fundamentally altered Somers' original theory by removing the component that was essential to the empirical testing of the theory. Uncovering this change then had a profound impact on my approach as I felt forced to reject Baker's framework: having encountered what I considered an essential flaw in her reading of Somers, I was discouraged to consider the rest of her theory. I felt that the best manner in which I could advance the narrative theory in Translation Studies was to test the

applicability of the core theory in order to see how conceptual narratives could be used in the analysis focussing on translated narratives. In my analysis, I would discard most of the other pieces of Baker's theory and concentrate on its socio-historical roots. In addition to this, I would utilise established Translation Studies -related literature to discuss matters such as agency and only occasionally refer back to Baker's model in order to see whether my observations and findings would support the views expressed therein. All in all, simplifying the theory and methodology of my thesis in this manner proved beneficial. In the analysis of the 12 texts in my material, which is still under preparation at the time of writing this, I have been able to concentrate on the core issues of narrative construction and focus my attention on the contextual matters relevant to my research questions. The end result of my research will show whether the choices I have made and the paths that I have taken prove successful – but that will be another story.

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Material Paratext Studies: Redefining the Concept of Text in Light of Manuscript Evidence

Aino Liira and Sirkku Ruokkeinen

1 Introduction

> A book is not necessarily the same thing as a text. 'Texts' are the material out of which human beings make 'literature.' For us, texts only come in books, and so the distinction between the two is blurred and even lost. But, in a memorial culture, a 'book' is only one way among several to remember a 'text'. (Carruthers 2008, 9–10)

Mary Carruthers' words above capture one of the central problems with our everyday understanding of 'texts' and 'books'. Texts may come in books, but texts may have many other forms as well; they can be transmitted orally or cited from memory. Additionally, books often contain more than 'the' text, and two copies of the 'same' book are rarely identical. Often used synonymously with *work* or *book*, everyday notions of text commonly assume that text appears in writing and has a relatively stable form, but for many academic purposes, including the study of historical texts and manuscripts in particular, such definitions prove problematic. Depending on the purpose of the writer, text may be defined through its content and/or material features, for example as a 'coherent whole', as a 'written work', or simply as 'letters on a page'. *Text* is hence not simply synonymous with *work*, nor are 'a coherent production' or 'ink marks on a page' sufficient definitions for the complex concept of text.

This essay reconsiders the problematic notion of *text*, especially as it is used in connection to *paratextuality*; the latter refers to the representation and framing of text through titles, prologues, blurbs, and other textual and material elements. The concept, invented by Gerard Genette (1987; trans. 1997b), drew into focus these previously marginalized elements of the book and directed attention to their impact on the interpretation of the text. In a few decades, Genette's invention has resulted in the emergence of a whole range of paratext studies in fields as diverse as literature, narratology, translation, book history,

media studies and manuscript studies (the list is not exhaustive).[1] It should be noted, however, that Genette himself only studied printed materials, omitting, by his own admission, diachronic change, translated texts, and images from his analysis.

It is nevertheless clear that the form which paratextual matter takes is dependent on the historical and cultural context of the book. Indeed, Genette himself notes that "[t]he ways and means of the paratext change continually, depending on period, culture, genre, author, work, and edition" (1997b, 3). Yet, while references to certain diachronic developments are made in his typology, these mostly concern individual paratextual elements with their individual histories. More research is still needed to find out how paratextuality, as a phenomenon, operates in different contexts and media. Furthermore, thus far in paratext studies, the concept of text itself has not been interrogated in depth. In our view, the point Carruthers makes on the difference between books and texts is central to the study of the ways in which the ever changing paratextual representations influence text. Reconsiderations of the concepts of paratext and text are necessary for the successful application of the concepts to other periods, cultures, and genres. Some research is being made in this area (see e.g. Ruokkeinen and Liira *forthcoming*, Stanitzek 2005, Birke and Christ 2013), but the discussion is still underway.

In this essay, we explore questions of textuality and paratextuality from the perspective of manuscript materials. The topic arises from our shared interest in paratextual theory, which we both employ in our doctoral research, despite differences in our approaches and materials. Although Ruokkeinen has some issues with Genette's presupposition of authorial control (discussed briefly in section 3 of this essay), the most problematic aspects the paratext theory are not particularly relevant for her dissertation, dealing with evaluative language in the printed prefaces and dedications of English Renaissance translators (Ruokkeinen *in prep.*). The issues of paratextual typology are more readily revealed in Liira's research. She studies paratextuality in the manuscript copies and printed editions of a single work, John Trevisa's Middle English translation of Higden's *Polychronicon* (Liira *in prep.*). In her study, visual and copy-specific aspects of paratextuality are central, as each manuscript is unique. The differences in the applicability of Genette's framework to our individual research topics has led us

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[1] It should be noted here that the term *text* can be applied to products other than written texts, for example images and films, which may, consequently, have paratexts. However, our focus in this essay is on written texts.

to question some of the key aspects of the paratext theory, for instance in the case where there is material overlap of text and paratext. In this essay, we approach this problem by asking: *In the context of manuscript materials, what is paratext? What is text?* Our intention is not to give definitive answers to these questions, but to explore the interaction of the two concepts and present the complex intersections of the theories applied.

2 Text and paratext in previous studies

With the term paratext, Genette refers to all materials *surrounding* the "main text" or the "body text". This includes elements within the covers of the book, such as prologues, titles, and indices, as well as those outside it, such as author interviews and correspondence. Although the latter do not share the same physical location with the text, they nevertheless influence its reception. As we have noted above, although widely applied, the concept of paratext is not unproblematic. The main problem identified concerns the definition of *text*: what is it that the paratext actually surrounds?

Genette defines text (in a literary work) as "a more or less long sequence of verbal statements that are more or less endowed with significance" (Genette 1997b, 1). The key elements in this definition are 1) the literary work, and 2) a sequence of verbal statements. Firstly, the scope of Genette's observation needs to be noted here: Genette formulated the concept of paratext mainly on the basis of eighteenth- and nineteenth-century French novels. Although both Genette and other paratext scholars draw examples from earlier materials as well, the relative uniformity of Genette's corpus results in some problems, especially regarding the material features of texts and their culture-specific conventions. Genette is, furthermore, mainly concerned with the *literary* work, a text that aims to serve an aesthetic purpose rather than simply convey information (Genette 1997b, 3–4n6; see also Genette 1997c, 4) – despite the fact that he recognizes "the need for a paratext [which] is thrust on every kind of book, with or without aesthetic ambition" (1997b, 3–4n6). Since books without aesthetic ambition are outside his scope, the range of paratextual material that is perhaps only relevant for these kinds of books remains uncharted. Secondly, his definition of text is built on verbal or linguistic material. It is thus unclear whether text is seen as something operating on an abstract level only – as a linguistic production taking form in the author's and/or readers' mind – or if the material form, e.g. ink markings on a page, are also considered *text*. The full range of paratextual expression, including visual aspects of text, such as colour, size, and layout, is not theoreticized.

Although Genette notes that the choices of material and visual aspects, such as typography, are paratextual in nature (see e.g. 1997b, 7, 16, 33–36), the exact position of these in paratextual typology is left vague.

Genette's definition of text is especially problematic in terms of point two, which relies on an abstract notion of text, whereas he has presented paratextuality as a feature of books, i.e. material(ized) text. The issue is finely illustrated in manuscript materials: each copy is unique in their visual and material characteristics. Consequently, the influence of the historical context of production in analysing paratextuality is important: even after the coming of print, books were less standardized than the printed books of later periods. Difficulties arise from the fact that texts which materialize in books (and acquire paratexts in the process) can never be identical to the stable, abstract, authorial text – if such a text even exists. And while the concept of paratext has been widely adopted and also applied to the study of pre-print texts and books (e.g. Reis 2010; 2011; Jansen ed. 2014; Ciotti and Lin eds. 2016), theoretical considerations on the applicability of the theory to media other than printed books are scarce (but see Ruokkeinen and Liira *forthcoming*, Birke and Christ 2013). Below, we explore alternative definitions for text to see whether a different definition would solve the problems of applicability presented above.

3 Defining 'text'

The multitude of possible ways to understand the concept of *text* is addressed by McKenzie (1999). Two major perspectives into the notion of text arise: "One is the text as authorially sanctioned, contained, and historically definable. The other is the text as always incomplete, and therefore open, unstable, subject to perpetual re-making by its readers, performers, or audience" (McKenzie 1999, 55). The lack of such an explicit division is one of our main issues with Genette's definition of text, and thereby with his definition of paratext as an authorial tool.[2] The limitations in the original paratextual typology arise, firstly, from Genette's background as a structuralist. He stresses the authorial intention, partially because he focuses on literary (mostly fictional) works, in which the author is a more prominent figure than in utilitarian texts. Secondly, the limitations are the result

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[2] Genette states that the "fringe" between the text and the outside world, i.e. the paratext, is "always the conveyor of a commentary that is authorial or more or less legitimated by the author" (1997b, 2). We disagree with this view.

of a focus on books produced in an era when the print technology and conventions were stabilized. In other words, the original paratext framework leans toward McKenzie's first notion of text, while the full potential of paratextuality may be revealed when one examines text as open and unstable, according to McKenzie's second notion.

In *A Rationale of Textual Criticism* ([1989] 1992), G. Thomas Tanselle discusses the differences between *texts of works* and *texts of documents* (Tanselle [1989] 1992, 37–38). He approaches these two concepts from the perspective of scholarly editing, where the texts of documents are the unique versions that are found in individual copies, including errors and 'scribal interventions'. The texts of works are the abstract, ideal versions towards which the editors strive. However, the division into texts of documents and texts of works can be applied more generally to the discussion of abstract and material texts, and textual transmission. Readers access works through material copies, and material aspects such as the quality of the copy and its layout affect the way the reader approaches and makes use of the text. What, then, is the relationship between the individual material copies and the 'abstract' work, i.e. the relationship between texts of documents and texts of works? Which aspects of the material text can be changed without changing the work? It can be hypothesized that the aspects that can be changed are part of the work's paratext, while the text needs to remain relatively stable in order to still be considered the 'same' text. Verifying this hypothesis would, however, require extensive research on paratextuality from a diachronic perspective, for instance, on the development of individual paratextual elements and their effect on their work, but also on paratextuality across various media, as a synchronous and culturally dependent phenomenon (see Liira *in prep*; Ruokkeinen and Liira *forthcoming*).

As quoted above, Genette defines *text* (i.e. what is surrounded by *paratext*) as verbal or linguistic material, with no explicit reference to its written, material form. The impact of medium (e.g. manuscript or print), however, adds another dimension to the discussion of paratextuality. This has been noted by other scholars, too. For instance, in their study of digital books, Birke and Christ (2013) propose a threefold categorisation in which paratexts are divided into *interpretive*, *navigational* and *commercial*. This categorisation resolves some of the issues raised by the uniformity of Genette's materials. Birke and Christ point out that due to Genette's interest in literary works, he stresses the interpretive function, which guides the reader's reception and understanding (2013, 67). For example, the commercial relevance of covers, title pages and certain other material features is mentioned in Genette's work, but it is viewed mainly as enhancing the market

value of the book (Genette 1997b, 23–33, 35). And while Genette discusses elements such as tables of contents and running-titles (1997b, 316–318), their power as navigational tools is left unexplored. Birke and Christ suggest that "[t]he underlying reason why Genette bypasses the navigational function is probably that he does not perceive the book as a technology requiring user instructions" – digital media, in contrast, do represent such a technology (2013, 68). As Birke and Christ (ibid.) note, ignoring the commercial and navigational functions of paratexts leaves Genette's model of paratextual significance incomplete, as both the "economic context and the medium of a text" must be seen as contributors to the interpretation of the text.[3]

We have utilized Birke and Christ's categorization elsewhere in analysing the overlapping of text and paratext in manuscript and early print materials (Ruokkeinen and Liira *forthcoming*) and do so below when discussing manuscript examples to further problematize the intersection. In our view, when recontextualizing paratextual typology to the manuscript tradition, special attention ought to be given to the various means of visual highlighting which may be used to mark paratextual elements in material texts. Such means of highlighting include, for example, changes in the colour, size, or script (letterforms). These three features are treated as an entry to the examination of the interconnectedness of paratextuality and textuality; we posit that they may signpost both paratextuality and textuality in a section of text. The three features are examined in the following section, where we discuss manuscript examples in order to reflect upon the paratextual functions of the highlighted elements on the material level (texts of documents).

4 Overlaps of paratext and text: illustrative examples

The material discussed in this essay has been chosen from the *British Library Catalogue of Illuminated Manuscripts*, which offers copyright-free images for online use.[4] We selected items illustrative of the gaps in the paratext theory, avoiding items such as sheet music and other manuscripts with less typical layouts, as well as examples of other formats than the bound book, i.e., the *codex*.

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[3] In addition to medium, Birke and Christ's categorisation may partly answer to the problem of variation between genres, as different types of paratexts may be more relevant to certain genres than others.

[4] The images in this catalogue are made available under a Creative Commons CC0 1.0 Universal Public Domain Dedication.

Our explorations below concentrate on issues decidedly material: we give some examples of the visual features of text we believe to carry potential paratextual significance. The three features discussed below are colour, size, and script.

The color of the ink in a medieval manuscript is typically black or dark brown. When colored ink is used, it is most commonly red. Usually, the term *rubric* (referring to the red color) is used in reference to a heading written in red ink, although other elements marked with red may be called rubrics as well, and not all headings are in red. We believe that by focusing on the choice of what has been marked with colour it may be possible to determine whether that element ought to be, due to the markedness, classified as paratext. We have two examples in this section. Figure 1 shows MS Arundel 303, an English thirteenth-century manuscript on parchment, containing the Bible in Latin (ff. 8–442), a table of readings (ff. 1–2v), a calendar (ff. 3v–4v), Jerome's letters (ff. 5–7v), and a separate work titled *Interpretationes nominum Hebreorum* (ff. 443–483). F. 415v contains a rubric announcing the title for the Epistle to the Hebrews ("Epistola ad he | breos"), followed by three lines of decorative circles as line-fillers. The text proper begins with a seven-line decorative initial 'M', marking the beginning of Hebrews. This type of use of colour is extremely conventional in medieval manuscripts.

The rubricated element is unproblematically paratextual. It is a chapter title (i.e. an *intertitle*), which is one of the established paratext categories (see Genette 1997b, 294–318). It should be noted, however, that the red ink is not only used to mark the passage as a title but also to aid the reader in making sense of the structure of the text. In other words, red ink indicates not only the paratextual status of the element but also the break within the main text. Furthermore, the line-filler suggests that although the rubric was to be visually engaging enough to communicate its primary – the paratextual – message, the element also serves aesthetic purposes: blank space after the heading would not be as pleasing as the triangle of red.

Our second example shown in Figure 2 likewise utilises red ink. MS Additional 37790 is an anthology of theological works containing *Off mendynge of lyfe*, a mid-fifteenth century English translation of Richard Rolle's *De emendatione vitae*. The work opens with a four-line initial and a ten-line rubric containing the work's title ("This Boke is Off mendynge of lyfe"), structure ("destinct in to xij | chapters"), an outline of chapter topics (e.g. "The ffyrst of conu[er]syon or holy | turnynge", etc.), and a closing formula ("Off this als god will g[ra]unt we sall pursw"), after which a three-line initial marks the beginning of the text proper.

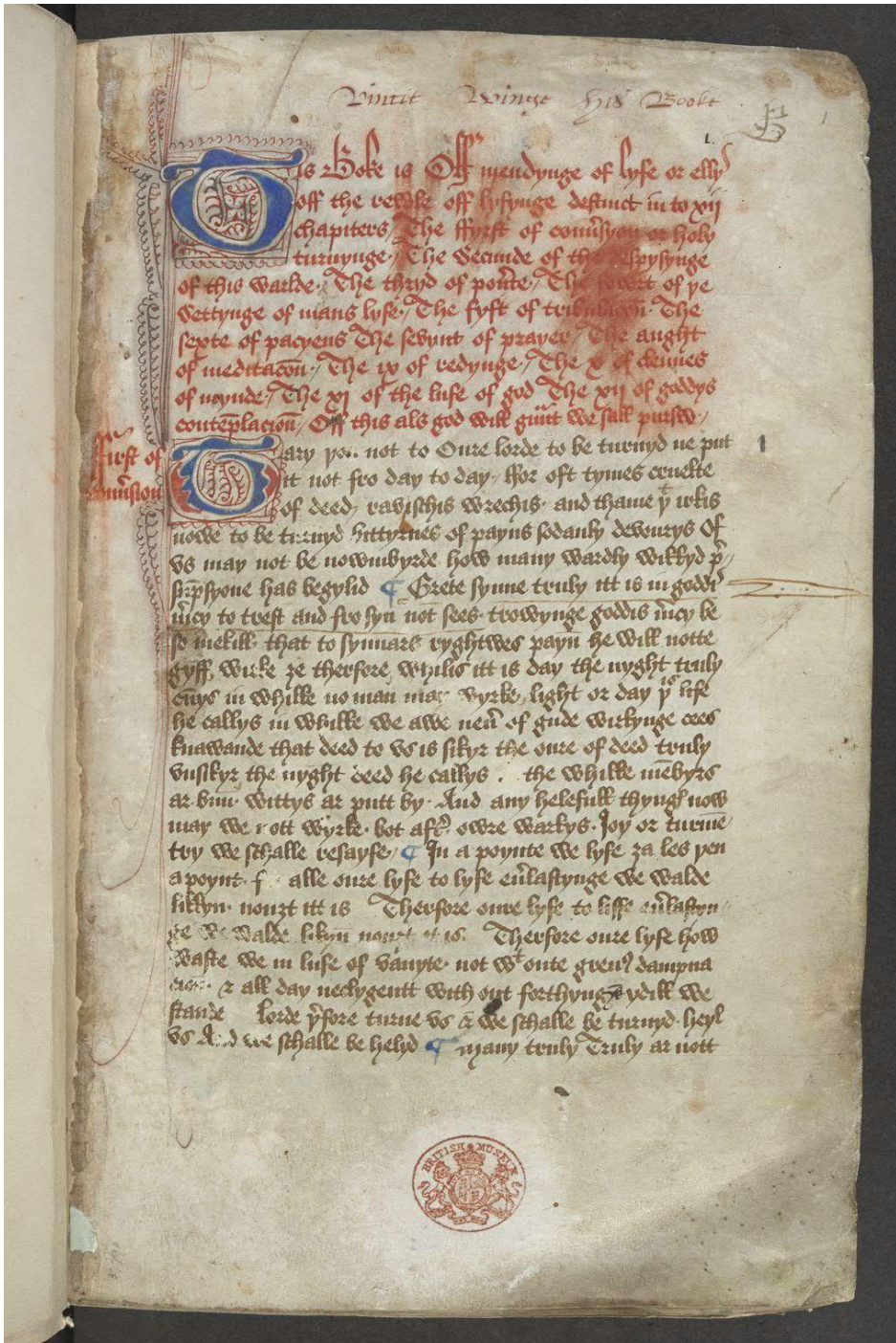*Figure 1. British Library, MS Arundel 303, f. 415v.*

Figure 2. British Library, MS Additional 37790, f. 1r.

The rubric in MS Additional 37790 offers a fruitful case for discussing the potential paratextuality of colour. We have two avenues for the exploration of this rubric. The first is to consider the content of the rubricated section: some of the content is clearly paratextual. For example, the rubric begins by giving the title of the work. Titles are part of the original paratextual apparatus (see Genette 1997b, 55–103) and unproblematic in terms of their status. The same applies to the intertitles following. The closing formula is more difficult to categorize. Genette (1997b) does not discuss these types of book production traditions and hence, the paratextual model ought perhaps be adjusted to take into account the possible paratextuality of metatextual commentary.

The second possible interpretation is to consider the rubric as a whole. It could be classified as a long incipit.[5] It is also possible to interpret the rubric as a – rather short and basic – prologue. Litzler (2011, 17) addresses the occasional difficulty of differentiating between prologues and rubrics. As noted above, a rubric generally serves as a title or heading and is commonly located at the beginning of a (medieval) text or a section of text. A prologue is a paratextual element, typically situated before the main text, dealing with the topic, authorship, or production processes of the work (see also Genette 1997b, 161–195). It is indeed tempting to classify long prefatory rubrics as incipit/prologue: the content and positioning overlap, and both rubrics and prologues are often visually distinguishable from the main text.

Changes in script size may be used in combination with changes in colour, or as a separate device for highlighting certain parts of the text. Again, we discuss two examples to see how this method of highlighting implies paratextuality. The first case, MS Egerton 2788 (Figure 3), consists of a charter and a Domesday book of the laws and usages of Ipswich. The manuscript begins with the following rubric:

> Iste liber constat paulo le R<o>os | clerico ville <G>ypp[e]wyci
> [This book has been compiled for Paul le Roos, the Ipswich town clerk]

Whether Egerton 2788 was produced for or by Paul le Roos is left somewhat unclear (see Bateson 1904, xxxiv, cf. Callies 2005, 161). The rubric itself is in red ink, but in addition to colour, it is also highlighted by using a slightly larger script than in the main text.

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[5] Incipit, Latin for '(it) begins', refers to a rubric which states the beginning of a text, or sometimes, a section of a text.
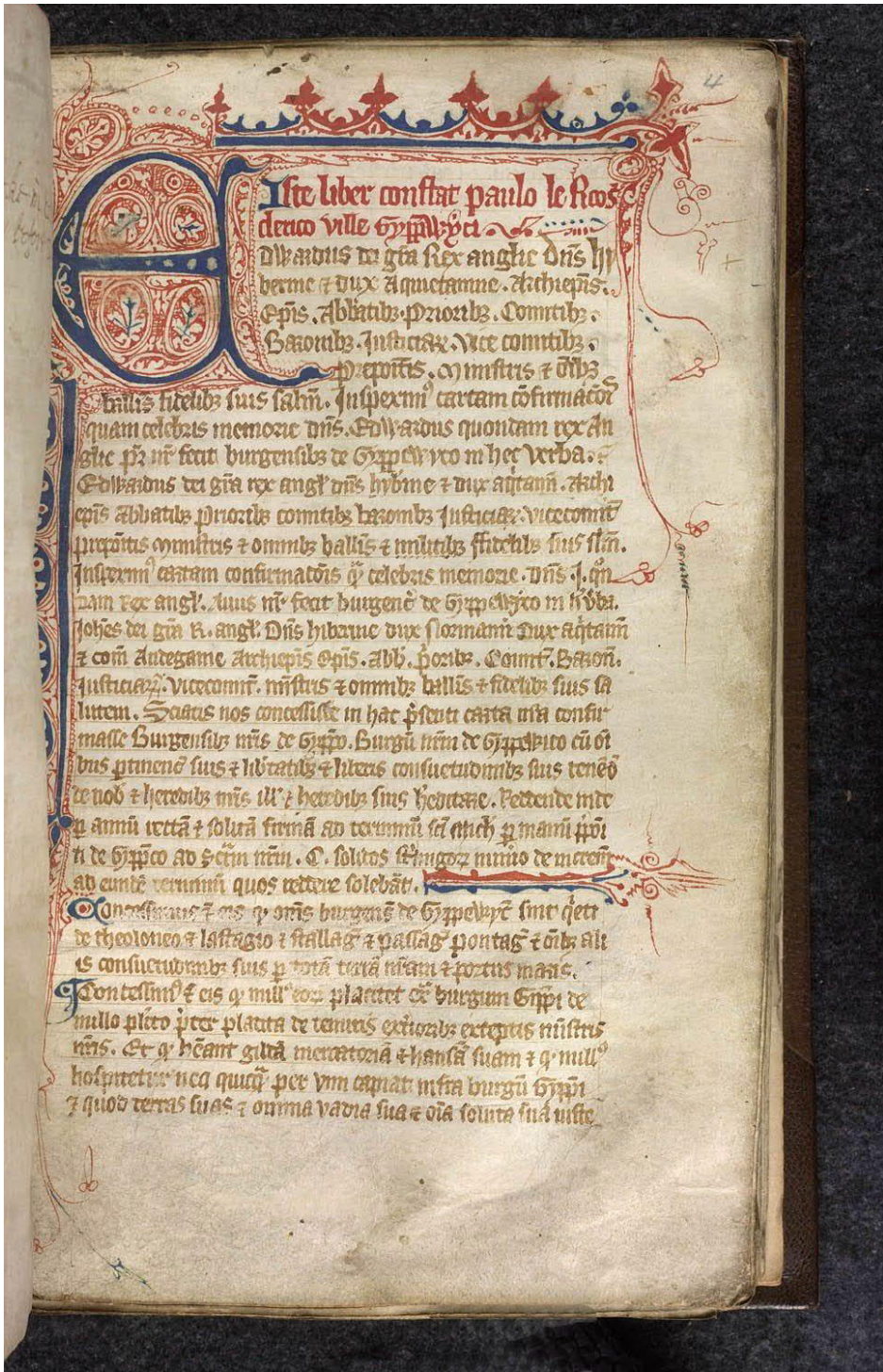
Figure 3. British Library, MS Egerton 2788, f. 4.

The rubric in MS Egerton 2788 could be called an inscription denoting either the ownership of the book or possibly an act of commission, indicating a reason why the book was produced. In either case, unlike the two examples of rubrics discussed above, this rubric does not explicitly mention the beginning of a text or a section of a text, nor does it provide a title. Rather, it refers to the processes of the manuscript's production. The paratextual function of this element may thus be interpreted in two ways: firstly, as a way to indicate the beginning of the text through visual highlighting (size and colour), which is a navigational function. Secondly, the rubric provides information on the production process. This is an interpretive function, as the rubric may influence how the reader approaches the text. As with the rubric of MS Additional 37790 discussed above, commenting on the production process would overlap with the typical content of prologues. To find out if such practices are common in medieval rubrics, substantial research outside the scope of this essay would be necessary.

The second example of alternating text size (Figure 4) is a page from MS Arundel 158, a fourteenth-century copy of Richard Rolle's Psalter. On this page, f. 83v, the psalm verses in Latin have been written in a larger script than the English comment following each verse. As the larger script requires more space, it is more expensive to use and hence, more prestigious. In legal and biblical commentaries, the text to be commented on was typically written in a larger script, while the commentary, or *gloss*, was written in a smaller script, often laid out to surround the larger text (see e.g. Parkes 1976, 116).

MS Arundel 158 is an interesting example in terms of the definition of text in a medieval context. The text in the larger script on the page is clearly more authoritative, both in terms of its visual presentation and its content: a book from the Old Testament. However, the commentary on the Psalter in English – the text copied in the smaller script – is the reason the manuscript copy has been produced. Which one of the texts is paratext, which one is text? Or should both the Latin and the English parts be classified as main text? In our view, there are two different answers to this question. One could claim that both scripts constitute *text*. They both occupy the space reserved for the text within the page. They work together to constitute a unique whole: removal of either textual element would result in a wholly different text. In this case, the script size would not indicate paratextuality, but perhaps textuality existing outside of the covers of this particular codex. However, the text in the smaller script may also be interpreted as paratext to the larger, as it comments on the *Psalms* and hence directs the reader in their interpretation. This would indicate that text size may be employed in a contrasting manner to that of coloured ink. Whereas the markedness of rubrics,

i.e., red colour in examples 1, 2 and 3 seem to indicate paratextuality, the markedness of size, i.e., larger script in example 4 would indicate textuality.
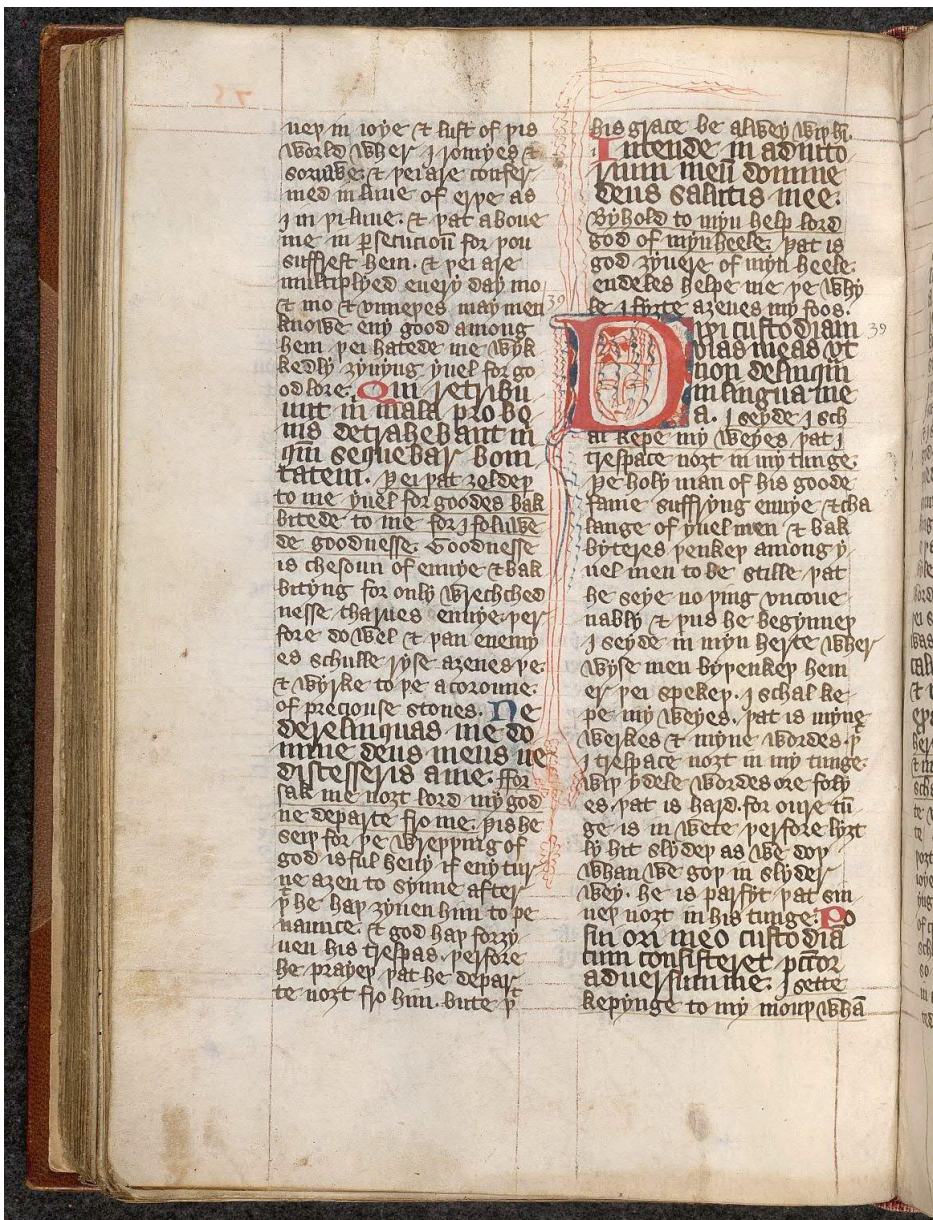

Figure 4. British Library, MS Arundel 158, f. 83v.

Our final example of textual features possibly implying paratextuality is that of script. A medieval manuscript could contain only one script, or several. A change between scripts could be made between texts if the manuscript volume contained

copies of several different works, or a change could occur within one coherent textual unit, i.e. to mark e.g. code-switching, names of authors, or paratextual elements such as rubrics. Kaislaniemi (2017) has named this latter practice *script-switching*. The switches may occur together with changes in script size, with changes of color, or with both.

Our first example of script-switching in Figure 5 is from Additional 37790, the anthology of theological works also discussed in example 2. Figure 5 shows a colophon[6] at the end of *De emendatione vitae* on f. 18. The colophon begins with the the conventional end formula ("Thus: Endis the xij Chapetyrs | Off Richarde hampole"), continues with the identification of the translator ("In to englys | t[ra]nslate be ffrere Rycharde Misyn") and the motivation for translation ("to | in fformaciou[n] Off Crystyn saulis"), and ends conventionally with the date of the completion of the work:

A[nn]o | d[omin]o Mill[esi]mo CCCCmo xxxiiij.
[The year of our Lord 1434.]

The colophon is written in a Gothic script larger and more formal – and thus more prestigious – than the main text, which shows less angular letterforms and a higher number of loops enabling faster execution.

The colophon seems to be paratextual: not only is it visually marked, but its content is not part of the main narrative. Rather, it deals with the production of the text proper. In terms of the paratextual theory, the colophon itself is thus unproblematic: the shift from the main narrative to metatextual content makes it clearly a paratext. A more interesting and problematic question is, however, whether the script-switch itself is paratextual, or whether the script simply functions as an indicator of the paratextuality of another element. The visual effect could have been achieved by merely changing the script size or color, although the angular letterforms are more formal and hence enhance the formulaic and paratextual nature of the colophon. Indeed it might be the contrast or markedness itself that functions as a navigational paratext, implying that "this is not of text". This practice is similar to the convention of highlighting titles by the use of a different script, found in manuscript and printed books alike.

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[6] A record of the production of a manuscript or early printed book, usually situated at the end of the codex (*BLG, s.v. "colophon"*).
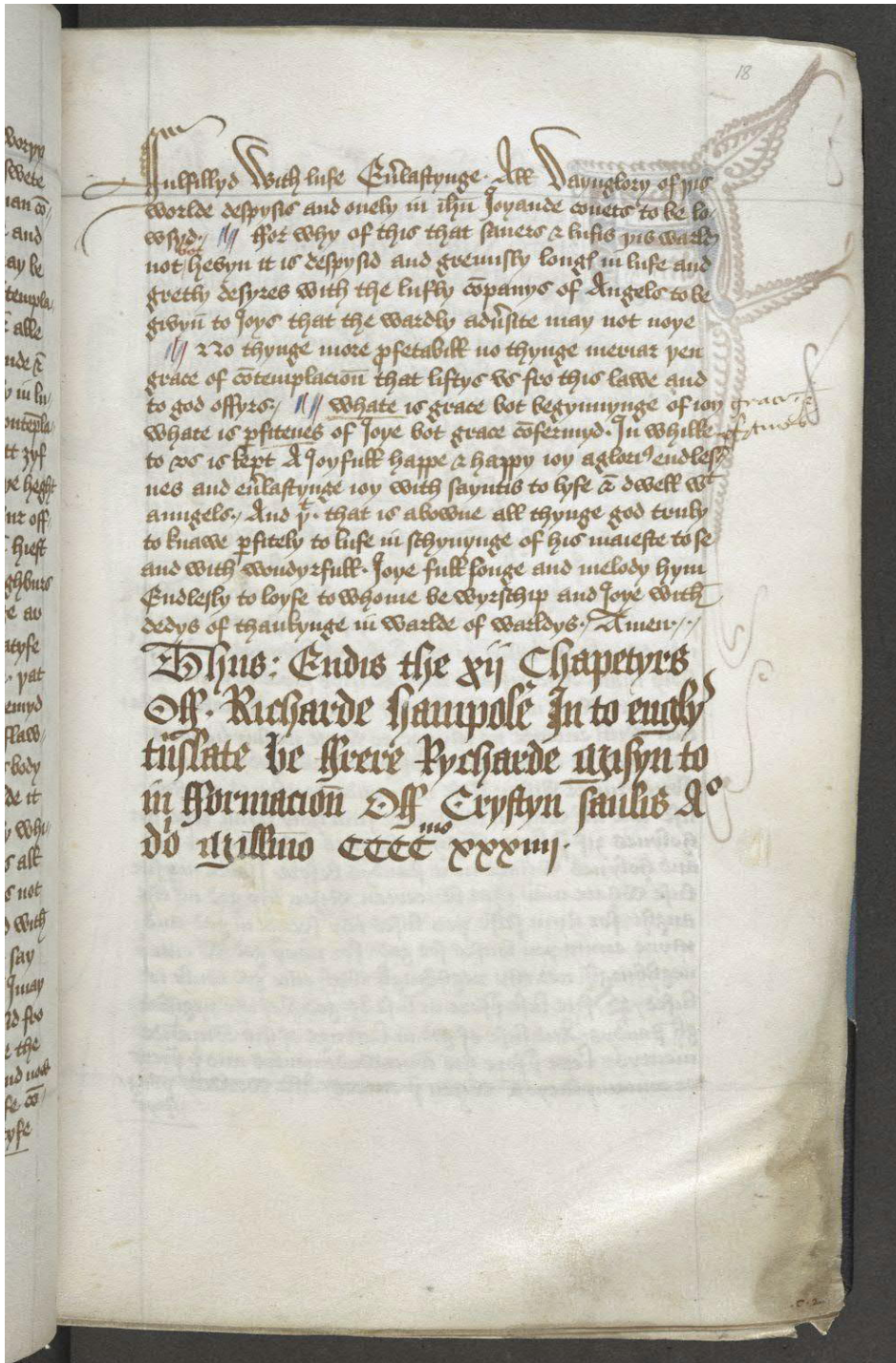
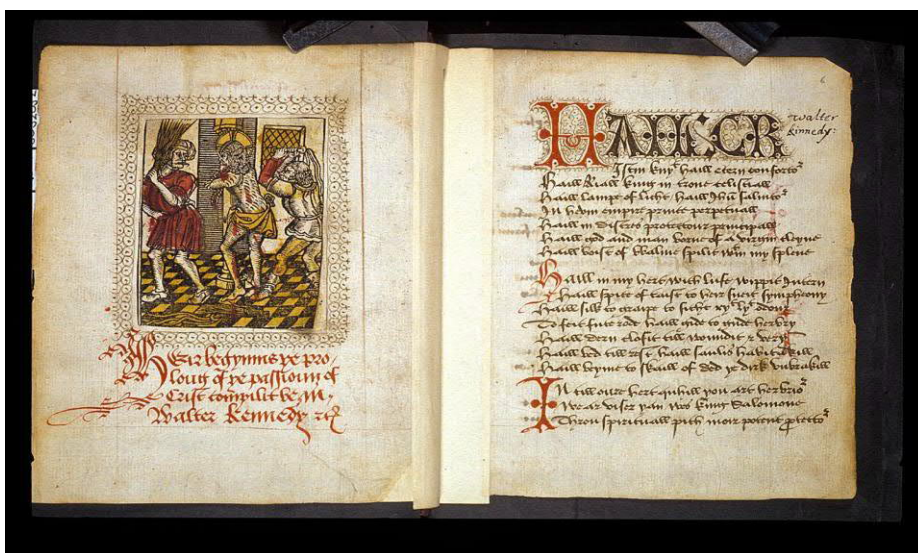*Figure 5. British Library, MS Additional 37790, f. 18.*

Figure 6. British Library, MS Arundel 285, ff. 5v–6r.

Another manuscript with distinctive script-switches is MS Arundel 285. This manuscript, a Scottish poetry book from the early sixteenth century, is written in a secretary script but employs a large display script, consisting of stylized majuscule letters, in the first lines that begin with red initials. This practice of writing the initial word or initial line in a display script is an established convention in manuscripts (see e.g. *BLG*, s.v. "display script"); the most famous examples are perhaps the Book of Kells and the Lindisfarne Gospels. Ff. 5v–6 of Arundel 285 (Figure 6) contain the beginning of the *Passion of Christ* by Walter Kennedy, as indicated in the rubric on f. 5v. The initial line on f. 6r, "(H)AIL CR", is cut mid-word and the first words of the prologue continue on the following line as "Istin kny[gh]t".

In Arundel 285, the display script is not used to mark a title or some other established paratextual element as in the examples above, but the first words of the poem, while the title of the poem is mentioned in the rubric on the previous page. This is common in medieval manuscripts: the most prominent visual element, e.g. a large initial or border decoration, often occurs at the beginning of the main text. While the prominence of the title is achieved with rubrication, which implies it is paratext, much like in the examples above, the script-switch acts in a navigational function, indicating the beginning of the text proper. In contrast to the examples discussed in connection to Figures 2 and 5 above, however, here there seems to be only one layer of paratextuality, the navigational function of the script-switch, as the words that have been highlighted are not paratext but text.

Our final example in Figure 7 contains all the features discussed so far: color-, size- and script-switches, interacting to convey textual hierarchies and other paratextual and aesthetic messages. MS Harley 11 is a commentary on psalms by Peter Lombard, produced in the first quarter of the thirteenth century. A larger Gothic script (Textualis) is used to copy the psalms while the commentary is in the same script, only smaller. The practice is similar to the one used in Rolle's Psalter, MS Arundel 158, illustrated in Figure 4 above: a larger script is reserved to the authoritative sections of text. The liberal use of space communicates the prestige of the text: saving parchment was not a priority for the producers of this copy. Red ink is used in a rubric (f. 44r, column b) and to highlight the initial word "(D)ominus" ('Lord'), written in a majuscule display script at the beginning of Psalm 26. Further script-switches can be found in the marginal notes and in the guide for the rubricator, written vertically near the edge of the page as it was probably intended to be trimmed off after rubrication when the manuscript was bound.

The page of MS Harley 11 contains two types of paratextual messages. The unambiguously paratextual elements, which are spatially separate from the main text, include the marginalia and the rubric. The size, color and script are features which we may observe attached both to the main text and the paratext. However, *changes* in these features, which also carry paratextual significance, are more interesting in the main text: for example, the changes in script size within the main text and the script-switching of "Dominus". As discussed, these indicate a shift between the bible text and the commentary, that is to say, it aids in the navigation and interpretation of the text. In our view, this makes the script-switches paratextual.

MS Harley 11 is interesting as it suggests a potential hierarchy of highlighting devices. While one could claim that switches of color, size and script all mark textual hierarchies and structures in different ways, it is the combination of all three which is used to mark "(D)ominus" at the beginning of Psalm 26. The red ink used to highlight the beginning of a more prestigious section of text is also used in the rubric above. The rubric indicates the end of the previous section, and has a purely navigational function. The use of a larger script in the Psalm text again represents the prestige of the content, but it is only the first word (referring to God) which merits the use of all three: the majuscule display script is not used elsewhere on the page, and hence, in the hierarchy of visual prominence, it reaches the highest level. To fully analyse the hierarchy of prominence on this page, one should consider the use of all the devices discussed in light of the textual message they aim to convey, as well as the visual and textual co-text. A

comprehensive analysis of such a hierarchy is, unfortunately, not possible within the scope of the present discussion.
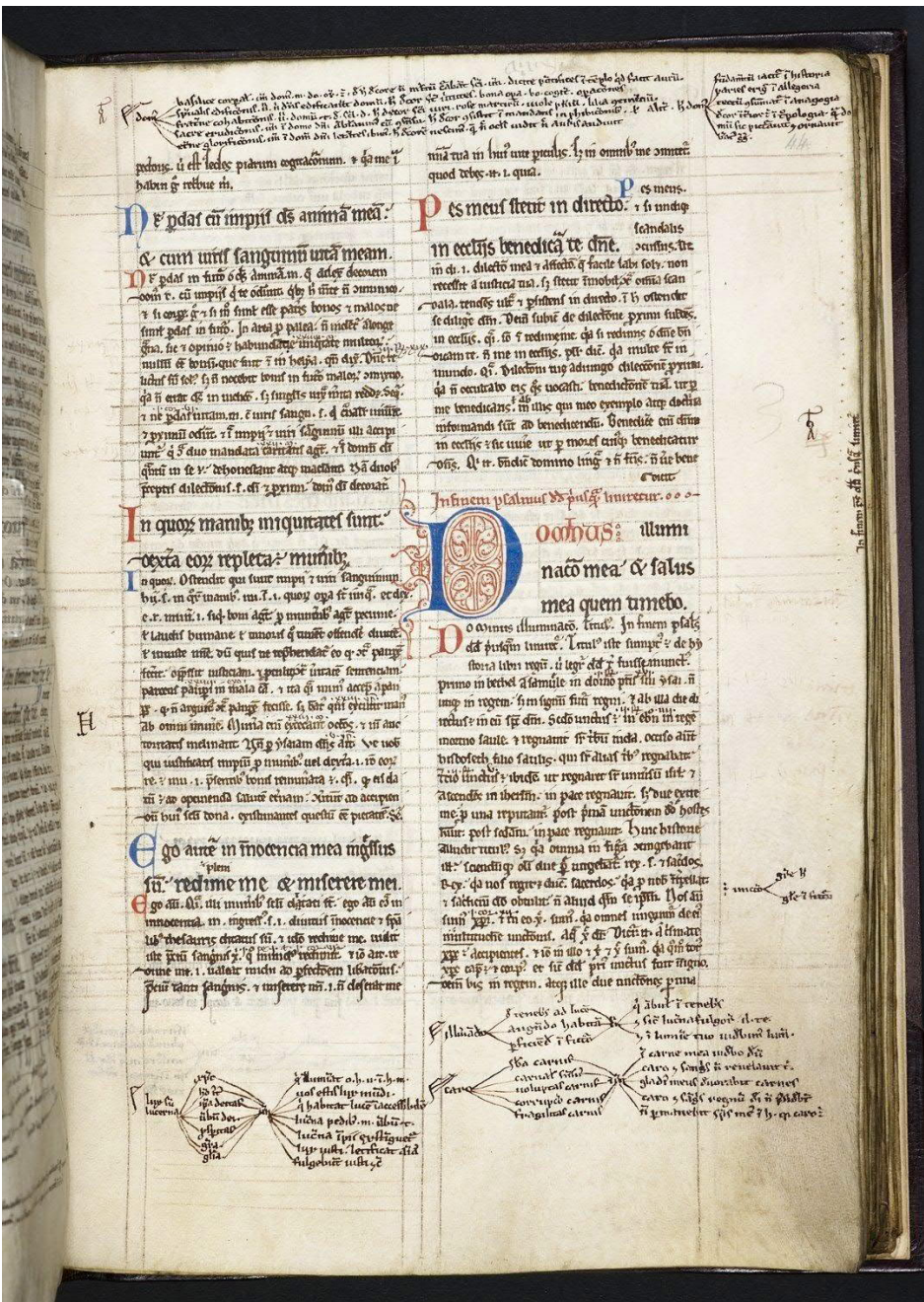

Figure 7. British Library, MS Harley 11, f. 44.

5 Paratextuality and textuality on the manuscript page: discussion

Our discussion of the color, size and script in English medieval and early modern manuscripts suggests that all of these features indeed have paratextual significance. In the case of color, red ink indicates the paratextual status of an element, but it does not necessarily help us interpret the paratextual element's position in the paratextual model. A rubricated element may have several functions: to serve as a heading, to mark metatextual comments, and to indicate a break or shift within the main text, among others. Example 1 shows that red ink also carries aesthetic functions. Examples 1 and 2 lead us to believe that in analysing medieval rubrics within the paratextual model, the first thing to consider is whether the rubricated element ought to be interpreted as a whole, on account of the uniformity achieved by the choice of color, or if we should allow for the possibility that the visual unity may mask the fact that red ink is used to mark several paratextual elements.

Based on our observation concerning script size in examples 3 and 4, we believe that the size of the script functions somewhat similarly to color: it indicates breaks within the main text.[7] However, while the change of color is used to highlight headings or other paratextual elements in between or at the beginning of a text, changes in size may also be used to alternate between text and metatext, or between voices in the text. In example 3, the rubricated element is metatext, in which the voice of the scribe informs the reader of the circumstances of the text's production. These kinds of comments may be seen as marking authority or authorship within the text. Examples 4 and 7 show that script size may be used to mark authoritativeness as well: the larger is employed for the more authoritative text, such as Bible quotations. If we consider the central function of paratext, which is to serve the text and to aid in its interpretation, the commentary could indeed be considered paratext of the Bible text in Figures 4 and 7. However, as the smaller script is used to copy the text for which the codex was produced, we view this interpretation as untenable. Rather, both the smaller and the larger script ought to be considered as manifestations of the (main) *text*, or the text of the work. To support this we might consider the (in)stability of the more established paratextual elements found in material texts (documents): titles, indices, prologues, advertisements, even pagination, may be removed without altering or

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[7] Whichever method of highlighting is adopted depends on, for instance, cultural conventions. Considering these are outside the scope of the present essay.

'damaging' the text of the work.[8] The same cannot be said of the passages written in either the small or the large script in examples 4 and 7. Rather, the two work together to constitute a unique whole: removal of either element would result in a wholly different text. In this case, the script size would not indicate paratextuality, but rather different voices in the text, one of which also exists outside of the covers of this particular codex.[9]

Script-switches, as illustrated in example 5, may be used as devices to highlight paratextual elements similarly to changes in color or script size. However, we also discovered the possibility that the script-switch might be paratextual in itself. In example 7, the script switch might be interpreted as reference to an external authority, i.e., God. Evidence for this interpretation may also be found in example 6, where the highlighted element is the first line of the poem. That is to say, the first line is part of the text, not paratext. The switch to a prominent display script functions navigationally, informing the reader of the beginning of a new poem. Comparing the two differing uses of script-switches lead us to suggest that there are more than one layer of paratext: elements such as rubric/headings or colophons may have paratextual functions, for example interpretive ones, regardless of whether they have been visually highlighted. Using any (or several) of the three highlighting devices – color, larger/smaller size, or script-switch – adds another layer, that of navigational paratextuality.

6 Conclusion

In this essay, we set out to study the possibility of color, script-switches and script size carrying paratextual significance, to find ways to interrogate the concept of text within paratextual theory. We used a selection of manuscript pages from the *British Library Catalogue of Illuminated Manuscripts*. It seems that all three visual features may be used to mark elements on the page that are paratextual, such as headings (rubrics), prologues, or colophons. However, parts of the text, rather than paratext, may be highlighted using the same visual devices, which

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[8] See Ruokkeinen and Liira (*forthcoming*) for the suggestion of such optionality as a defining feature of paratextuality.

[9] Quotation marks in present-day texts, or indeed our use of smaller font size in the Carruthers quote at the beginning of this essay, act in a similar manner to script size. Both serve to indicate the text section's existence outside the text at hand. Quotation marks imply intertextuality, rather than paratextuality. (For Genette's views on intertextual relationships see esp. Genette 1997a, 1–2).

means that the navigational function of the contrast between highlighted and nonhighlighted parts could be interpreted as another layer of paratextuality.

The question of telling apart text and paratext on manuscript pages is far from clear-cut. However, what we have aimed to show is that material characteristics of texts may reveal the intersections of text and paratext and thus help us redefine the term *text* in the context of paratextual theory. The subject of paratextual meaning in the context of historical materials is a very complex and multifaceted question, requiring understanding of genres, production techniques, and material realities. Even when all this relevant information has been provided, the number of variables means that an analysis of paratextuality in one copy might not be applicable to others. More comprehensive studies are still required to find out how changes of colour, script and size influence the representation of text, and we hope to explore this avenue in our future studies.

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Part III

The Challenges of English Alchemical Manuscript Texts as Research Material

Sara Norja

1 Introduction

Vernacular alchemical texts have not been studied much previously, even though many medieval and early modern English-language alchemical manuscript texts survive. There is a multitude of uncharted material compared to the texts edited so far. For researchers to be able to use this branch of early scientific writing, more alchemical texts need to be edited – preferably in a digital form that is compatible with corpus search tools. Vernacular alchemical texts thus form a challenging yet rewarding research topic due to the paucity of previous research and editions.

My doctoral dissertation is on the seven medieval and early modern manuscript copies of the alchemical work *The Mirror of Alchemy* (*MoA*), previously (and incorrectly) attributed to Roger Bacon (c. 1214–92); the dissertation will include an open-access digital edition of all the manuscript copies of *MoA*. However, that topic is not quite what I started with: in fact, the progression from my first choice of dissertation data to my current research focus took me roughly a year and a half. That process is what this essay concentrates on: in what follows, I will discuss the process of data selection that led me to narrowing down the focus of my dissertation. However, I will begin by outlining the general challenges involved in working with alchemical texts.

An obvious challenge is the relative lack of previous studies. One reason for alchemical texts not having been studied much (for instance in the field of historical linguistics) is that alchemy is seen as a pseudoscience in the present day. Compared to medicine, for instance (cf. Pahta and Taavitsainen 2004, and the Corpus of Early English Medical Writing[1]), alchemy is understudied, like

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other so-called pseudosciences such as astrology (but cf. Varila 2016). But to many of its practitioners, alchemy was a science on a par with medicine or other sciences of the time. It cannot be said to be the direct predecessor of chemistry, but it greatly influenced the development of that science (Multhauf 1966; Principe and Newman 2001). Cataloguing presents another challenge when embarking on an editorial project involving alchemical material. Alchemical texts, like many early scientific texts, are often inadequately catalogued, with fragmentary information in multiple sources.

In addition to the issue of finding and choosing what to edit, alchemical texts also present challenges on the textual level, with potential textual obscurity and complex textual relations. That is, they may be difficult to understand on a linguistic level; and due to the complexities of early scientific writing, even copies of the same work may vary a great deal. What is the 'actual text' or 'work' when scribes/compilers may have radically changed the texts they copied? Scribes often reworked the scientific texts they copied, incorporating information from various sources (see Varila 2016). Alchemy is complex as a subject matter, and understanding the texts also requires a lot of background reading.[2] The popular view is that alchemical texts are intentionally obfuscating and incomprehensible. Indeed, as the goal of alchemy was to create gold and thus riches, its practitioners often wanted to keep the specifics of the art a secret, and thus did not aim for textual transparency. Many alchemical texts can be enigmatical on a textual level: for instance, they often use metaphors and imagery that may be impossible to puzzle out. However, there are also many common metaphors for which a solution is available (cf. Abraham 1998), and not all alchemical texts use metaphors in the first place: many are in fact rather practical. There are thus textual challenges, but they are not as insurmountable as popular conceptions would have one think.

As mentioned above, there is a lack of editions of vernacular alchemical texts. Peter Grund – a trailblazer in the study of early English alchemical texts – has called alchemical texts the "final frontier" of Middle English text editing (2013, 428). By this, Grund means that while many other areas of Middle English have been well explored and edited, alchemical texts remain largely unworked

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[2] Fortunately, even though historical linguistics has not yet explored alchemical texts in detail, the history of alchemy has received a lot of scholarly attention from the perspective of the history of science, art, and literature. A lot of the research is from the first half of the 20th century (e.g. Thorndike 1923–58, esp. vols. II–IV; Multhauf 1966), but there are also more recent works (Principe and Newman 2001; Principe 2013).

on: "editorial activity in this area so far represents the proverbial drop in the ocean" (2013, 431). Alchemical texts, especially prose, form the largest group of unedited and unexplored material in Middle English texts. Early Modern English alchemical texts have barely been edited either. Grund mentions five printed editions of Middle English alchemical poetry (ibid.) and four of alchemical prose (2013, 431–32); he himself has edited an Early Modern English alchemical text (Grund 2011).

While some printed editions of alchemical texts exist, digital scholarly editions are almost nonexistent. The only digital edition of English-language alchemical texts so far, to my knowledge, is on Isaac Newton's alchemical texts: *The Chymistry of Isaac Newton* project (Newman 2005). However, I knew from the start that I was interested in creating a digital edition as a part of my dissertation, as digital editing has many advantages concerning the study of language. Digital editions are computer-readable, and hence can be used with corpus software; they are also more flexible when it comes to representing many aspects of the material page (such as marginalia and corrections to the text).

Grund, in his 2013 article, challenged researchers to use alchemical texts in their work: to boldly go where no one has gone before. My dissertation is in part a response to this challenge. However, as mentioned, the data I started with was not quite what I ended up focusing on. In the next sections I will describe how I located the initial data for my dissertation, and how and why I eventually decided to narrow my focus. I will end with a description of the current focus of my doctoral dissertation.

2 Choosing my dissertation topic

When composing my research plan for a PhD, I knew that I wanted to work on editing Middle English manuscript texts. However, the text(s) to be edited were still under consideration. Based on a suggestion from my supervisor, Professor Matti Peikola, I turned to Middle English scientific prose as a source of unedited texts. I wanted to work with material that no one else had studied; thus, I needed to find a broad topic based on which I could narrow down the options for my dissertation material. In early 2014, I settled on alchemical prose as a source of interesting and unedited, unresearched material. My supervisor advised me to contact Professor Peter Grund (University of Kansas), an expert in early English alchemical texts. Grund suggested that I focus on the works of Pseudo Roger Bacon. Working with texts attributed to a certain author – even if the attribution is spurious – would be more manageable by far than tackling the plethora of

unedited anonymous alchemical material. Grund suggested some initial sources, which I investigated when working on my application for doctoral studies (Grund 2013; Keiser 1998); he also mentioned that while there are challenges with editing alchemical texts (as outlined in the introduction to this essay), there is also the chance for significant rewards in the form of new knowledge about alchemical texts.

My initial dissertation data, then, based on Grund's suggestion, comprised the medieval and early modern manuscript copies of English-language Pseudo-Baconian texts. Pseudo-Baconian refers to texts spuriously attributed to the 13th-century Franciscan and scholar Roger Bacon: that is, the texts were once considered to be authored by him, but subsequent research has revealed this to be untrue. The actual Roger Bacon wrote on alchemy (in Latin) to some extent (Molland 2004), but Pseudo-Baconian texts eclipse his genuine output. Bacon was revered by later alchemists, which is why many works were attributed to him. Attributing anonymous work to a well-known author was a common practice in early textual production.

As I researched the Pseudo-Baconian texts, I read Grund's (2013) article on editing Middle English alchemical texts, discussed briefly in the introduction to this essay. Grund discusses the "dubious reputation" (2013, 427) of alchemy as a discipline, and the counterdevelopment of scholars having reclaimed the study of alchemy as a legitimate topic in the history of science. The article concentrates on bringing attention to Middle English alchemical texts and how little they have been edited. Grund describes the alchemical editions available in 2013, and the resources available for researchers interested in early English alchemical texts. He gives an estimate of the types and extent of the overall available Middle English alchemical corpus, and discusses the challenges that anyone editing alchemical texts may face (discussed above).

As so little work has been done so far, any work on alchemical manuscript texts would be helpful: Grund especially points to how work on alchemical texts can elucidate aspects of the trend of vernacularisation in the 15th century, and the development of English-language scientific prose (2013, 439). This article proved an important initial touchstone for my work. Vernacular alchemy was a field with enough uncharted territory to sustain a doctoral dissertation: a whole domain of Middle English writing that had as yet received inadequate linguistic attention. Alchemy is also intriguing as a topic, and at the time I viewed it as connected to

medieval magical practices.[3] Indeed, my early emphasis on the magical side of alchemy can be seen in earlier working titles: my dissertation was first titled "Between Science and Magic: A Digital Edition of Late Middle English Alchemical Texts Attributed to Roger Bacon"; "Late Middle English" was later emended to "Early English" to reflect my growing understanding of the early modern copies' importance.

Table 1. Pseudo-Baconian English-language alchemical texts (based on Keiser 1998, 3636)

MS location	Shelfmark	Keiser classification	Folios/pages	Dating of text
Cambridge, Cambridge University Library	*Dd.4.45*	*C*	*pp. 14–18*	*15th century*
Cambridge, Cambridge University Library	*Kk.6.30*	*B*	*ff. 50r–59v*	*15th century*
Cambridge, Trinity College Library	*O.5.31*	*B*	*ff. 17v–21v*	*15th century*
Cambridge, Trinity College Library	*R.14.44*	*D*	*ff. 8v–14v (in Part IV of MS)*	*15th century*
Cambridge, Trinity College Library	*R.14.45*	*C*	*ff. 2r–2v, poss. also 3r–3v*	*15th century*
London, British Library	*Sloane 1091*	*A*	*ff. 103r–104r*	*c. 1500*
London, British Library	*Sloane 3506*	*B*	*ff. 42r–45v*	*17th century*
London, British Library	*Sloane 3688*	*B*	*ff. 87v–91r*	*17th century*
Oxford, Bodleian Library	*Ashmole 1451*	*C*	*pp. 63–67*	*c. 1500*
Oxford, Bodleian Library	*Ashmole 1486*	*B*	*ff. 42v–48v (in Part III of MS)*	*c. 1500*

Having acquainted myself with the field of vernacular alchemical texts through Grund (2013), I began to search for Pseudo-Baconian alchemical manuscript texts. The first resource I consulted, according to Peter Grund's suggestion, was

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[3] However, the choice of material for my dissertation has meant that the occult aspects of alchemy are not relevant for my study. The alchemical texts I work on are scientific in nature, only perceivable as occultistic if one disregards the historical context: at the time, the transformational worldview the texts present was seen as grounded in the chemical processes of the natural world.

volume 10 of *The Manual of the Writings in Middle English*, a catalogue compiled by George R. Keiser (1998). The catalogue lists works of science and information in Middle English, grouping manuscript texts together under topic categories (such as alchemical texts) and authors (or, as is more usual, pseudo-authors). In Keiser (1998, 3636) I found the starting point for my research, i.e. the texts attributed to Roger Bacon in Table 1.

The categories A, B, C, and D are from Keiser's catalogue. They are, in effect, his divisions into 'works'. This is especially clear in the case of category B. It consists of (purported) copies of *MoA*, which is the only easily identifiable and named work among the items listed in Table 1. That is, Keiser has (based on a no doubt short consultation of the manuscript texts) determined that the texts belonging to the same category are related.

I investigated the manuscript texts in Table 1 in detail. Dorothea Singer's *Catalogue of Latin and Vernacular Alchemical Manuscripts in Great Britain and Ireland* (1928–31) was helpful in procuring more information on the texts before I had the chance to view the manuscripts in person. By autumn 2015, I had done a lot of work on the manuscript texts: visited libraries to consult the manuscripts in person (as the material side of the manuscripts was also important for my work), acquired pictures of the manuscripts for consultation at home, transcribed the texts, and done preliminary analysis on the manuscript relations. I discovered that Keiser's categories were somewhat fuzzy: for instance, my analysis of the texts revealed textual connections between the C and D groups (cf. Norja 2017).

At this stage of my work, my focus concerning these Pseudo-Baconian texts was on editing them and studying them through the lens of vernacularisation. I had yet to decide which aspects of vernacularisation to study; however, there were some interesting instances of code-switching in the texts, and thus multilingualism was one of the aspects considered. My dissertation was still centred on Middle English, with the Early Modern English copies less in focus. I had concentrated on Middle English and medieval studies during my master's degree, so it was logical to keep to that period. I did not anticipate that I would have to become more adept in Early Modern matters as well.

In the course of my library visits to the United Kingdom and the perusal of library catalogues (Black 1845; Eldredge 1992), I also discovered two other Pseudo-Baconian texts not included in Keiser (1998): Bodleian Library MS Ashmole 1485 (part I, pp. 11–14); and in Part IV of MS Ashmole 1486 (ff. 17r–18v). With the addition of these texts, my data at this point was formed of 12 texts. I thought I had now found all the extant English-language Pseudo-Baconian texts, but in fact, there remained one more resource to consult.

3 Narrowing the scope

In October 2015, a little more than a year after I had started my dissertation project (a year and a half, if counting the application process), I finally checked an essential electronic resource: eVK2, or the Electronic Voigts-Kurtz Catalogue (Voigts and Kurtz [2000] 2014). This online catalogue is an expanded version of a CD catalogue, *Scientific and Medical Writings in Old and Middle English: An Electronic Reference*; it contains bibliographical information on early English scientific and medical manuscript texts. However, my initial work on the Pseudo-Baconian texts had been time-consuming enough that perusing eVK2 was postponed.

When I eventually searched for Roger Bacon (and other related keywords) in eVK2, I discovered that my previous assessment of the number of Pseudo-Baconian alchemical texts in English (12 texts, as described above) was mistaken. In addition, eVK2 did not contain all of the Pseudo-Baconian texts I had discovered earlier: another sign that alchemical texts need more consistency in cataloguing. In other words, there was even more material than I had anticipated. When I combined the results of the eVK2 search and my previous research on the subject, the total was 22 English texts attributed to Roger Bacon under the subject heading of "alchemy" and/or "recipes, alchemical".[4] However, this was too broad a scope for the type of dissertation I was doing, with a focus on a digital edition of all the manuscript texts. There were simply too many texts to edit with sufficient precision, and in addition, they were too disparate. Continuing to work on them would have resulted in a lack of scholarly depth, and due to the large word count, it would not have been possible to create a rigorous digital scholarly edition. With 22 texts, and considering the overall challenges involved in editing alchemical texts, I had so much material to work with that continuing with the focus I had chosen was now an unrealistic undertaking for a doctoral dissertation. I realised I had to narrow my scope.

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[4] The 22 Pseudo-Baconian texts only included five that were previously known to me. Four of the manuscripts known to me were entirely missing from the catalogue: Ashmole 1486, Dd.4.45, Sloane 3506, and Sloane 3688. Of the Ashmole and Sloane manuscripts, it can be assumed that they are not a part of the catalogue since they have been considered not to contain *Middle* English material (although eVK2 also contains some early modern manuscript copies of medieval texts). Three of the texts I was already aware of – Kk.6.30, O.5.31 (both *MoA*), and R.14.45 – were in eVK2, but not attributed to Roger Bacon. This is especially interesting in the case of the two *MoA* copies, as *MoA* is commonly attributed to Bacon.

As a first step, I contacted my supervisor Matti Peikola, sending him a spreadsheet listing the plethora of Pseudo-Baconian texts. As there were too many texts, it was clear that my data had to be pared down. My supervisor and I first considered narrowing it down by text type: for instance, removing all the recipes from the material and concentrating on Pseudo-Baconian alchemical *treatises* in particular. However, in that case there would still be 15 texts to include, many of them only connected by their attribution to Pseudo Bacon. In other words, creating a coherent digital edition from such a large and varied corpus would still have been unfeasible.

My supervisor and I eventually decided that the most workable solution was to focus on the work with the most manuscript copies: *The Mirror of Alchemy*. *MoA* was already known to me because four of the texts in my first focus – Keiser category B – were labelled as *MoA*. Concentrating on *MoA* also made sense because it is a rather well-known text, of which there is a known Latin antecedent, *Speculum Alchemiae*. I began to refine a new research focus: the textual transmission and vernacularisation of a single work, originally in Latin, from medieval to early modern. In the end, checking eVK2 when I did was good in terms of the overall time frame for my dissertation work: narrowing my scope was still feasible at that point, a little more than a year in.

Narrowing my scope conversely meant that I had to broaden my own horizons: instead of focusing on Middle English, my dissertation data now has more emphasis on Early Modern English. Straddling the border of two linguistic time periods has involved its own challenges, as the periods are so often separated in scholarship. However, it is of course beneficial to look at the history of English as a continuum, and this is what I am now doing with my data from the 15th to 17th centuries. Learning about early modern manuscript culture and the language of the time has been demanding, as I formerly concentrated on the medieval period – but it has also been rewarding.

My process of data selection is one example of how the insufficient cataloguing of alchemical texts can cause issues in researching them. As the full extent of the Pseudo-Baconian texts only became clear after pursuing several avenues of research, the process of finding my final research focus took more convoluted turns than it would have if the cataloguing were more complete at this time. *MoA* as a subject of research is still very complex, but it is nonetheless more feasible to focus on a single work than on the messy, tangled relationships between the other Pseudo-Baconian texts of which far less is known. Furthermore, as I will describe in the final section of this essay, I have retained much of my original methodology.

4 Current research focus

My current research focus, as mentioned above, is on the English manuscript copies of an alchemical treatise known as *The Mirror of Alchemy*. *MoA* is the only English-language Pseudo-Baconian text surviving in multiple copies over a longer time period. It is a translation from a Latin text called *Speculum Alchemiae*: an introduction to the practice of alchemy in seven chapters. In addition to the manuscript copies, the work was printed in English in 1597, which is an indication that it was still considered influential in the early modern period. It is one of the earliest alchemical texts printed in England. The 1597 printed version was edited by Stanton Linden (1992). However, the earlier manuscript history of *MoA* has not been given much scholarly attention. The manuscript copies have not been edited before.

Additional steps were required when I had decided on *MoA* as a focus: acquiring the new material and making sure that it was all truly part of the same work before beginning to transcribe the new copies. The list of manuscript copies of *MoA* can be seen in Table 2. There are eight copies of the work, in seven manuscripts, as GKS 1727 contains two copies.

Table 2: Early English manuscript copies of *The Mirror of Alchemy*

MS location	*Shelfmark*	*Keiser classification*	*Folios/pages*	*Dating of text*
Amsterdam, Bibliotheca Philosophica Hermetica	*M199*	-	*ff. 10r–17v*	*16th century*
Cambridge, Cambridge University Library	*Kk.6.30*	*B*	*ff. 50r–59v*	*15th century*
Cambridge, Trinity College Library	*O.5.31*	*B*	*ff. 17v–21v*	*15th century*
Copenhagen, Royal Library	*GKS 1727*	-	*ff. 36r–41r*	*16th century*
Copenhagen, Royal Library	*GKS 1727*	-	*ff. 117v–126r*	*16th century*
London, British Library	*Sloane 2405*	-	*ff. 39r–42v*	*17th century*
London, British Library	*Sloane 3506*	*B*	*ff. 42r–45v*	*17th century*
Oxford, Bodleian Library	*Ashmole 1486*	*B*	*Part III, ff. 42v–48v*	*c. 1500*

MoA is the same work as the B category in Keiser's (1998) categorisation. From the start, I had known that one of the Keiser groups involved a work well-known

enough to merit a name. Four of the copies were already included in Keiser's classification, but I discovered the four others – M199, the two copies in GKS 1727, and the partial copy in Sloane 2405 – only when I searched eVK2 for Pseudo-Baconian texts. The manuscript formerly known as Bibliotheca Philosophica Hermetica, BPH M199, was sold by the library to a private buyer in 2011. I have not been able to trace the manuscript further, and thus it cannot be included in my research. As there are so few witnesses of *MoA*, losing even one of the known copies is a significant loss.

It can be seen that the "B-text" in MS Sloane 3688 is not included in Table 2. This is because I had discovered, when transcribing the text, that it was in fact not *MoA*, but another alchemical work attributed to Roger Bacon.[5] As the other copies of *MoA* are clearly recognisable as the same work, Sloane 3688 stands out: *Speculum Secretorum* also discusses alchemical substances and processes, and is on some level an introductory alchemical text; but the only content it shares with *MoA* is common to alchemical texts in general. Therefore, while I added four copies to my *MoA* data, the Sloane 3688 copy was not included in the new focus of my dissertation.

The scope of this essay does not allow for further comments on my current data. However, it can be said that narrowing my research focus has improved my dissertation. The manuscript copies of *MoA* do not lack challenges: the 200-year time period is still a factor, as are the various and complex manuscript contexts. Narrowing my research focus has made my work feasible within the context of a PhD dissertation's time frame. The previous focus became too broad and multifarious for a PhD. Textual relationships are still a major focus of my work with *MoA*. In my subsequent research, I have discovered that the textual relationships even between copies of this same work are complex. As my dissertation will show, the relationships and manuscript history of this single example of alchemical textual transmission are worth analysing in detail.

Despite the narrowing of my research focus, many things have remained the same. Creating a documentary digital scholarly edition of the manuscript material is still a focal point: tracing the manuscript history of a single work by

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[5] The title of the text in Sloane 3688 is "Speculu*m* Secretoru*m* Doctissimi Viri Rogerij Bachonis" (f. 87v) and its explicit translates this as "Heare endethe the mirror of yᵉ seacret*tes* of naturall ph*ilosoph*ie of yᵉ most Learned man Roger Bachone" (f. 91v): thus, even the text does not frame itself as *MoA*. As to why this text has been categorised as *MoA* in e.g. Keiser (1998, 3636), it is possible that it has been a simple error of categorisation, or a case of the cataloguer having too little time to deal with the individual texts in any detail.

editing all the copies is a major goal. I am still examining aspects of vernacularisation, using *MoA* as an example of the vernacularisation of alchemy in England. The angle is slightly different, as code-switching is not a remarkable enough feature in *MoA* to merit extensive study. However, multilingualism is still significant, as I focus on translation as a multilingual practice through examining the (re)translations of *MoA*.

Even though I knew narrowing my focus would improve my dissertation, the decision was not an effortless one, as I had already spent time researching the broader selection of manuscript texts that would now not be part of my dissertation data. I felt in some way that narrowing the focus would mean discarding the research I had done on the other Pseudo-Baconian texts. However, that is not the case: researching the other texts has given me knowledge and information on alchemical texts on a broader level than if I had concentrated on *MoA* from the start. As alchemical texts are still an unknown quantity, gaining a wider knowledge of what kinds of alchemical texts and manuscripts survive, and the different types of issues that can arise with them, has been very useful. I have plans for postdoctoral research on the other Pseudo-Baconian texts; and my PhD dissertation will include a short section on English-language Pseudo-Baconian texts in general. My previous research was thus by no means fruitless.

In conclusion, my doctoral dissertation will be a more coherent whole with the narrower focus: the analysis gains depth from concentrating on a single work instead of multiple shorter texts. It is certainly worthwhile to critically examine one's data even well after starting the PhD process. It is perhaps unsurprising that a manuscript-focused dissertation studying alchemical texts – a topic that has received insufficient scholarly attention so far – will involve meanderings and missteps. With my focus on *MoA*, however, I now have a clearer path to a finished PhD dissertation.

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Squad Goals: Researching Collocations in Second Language Acquisition

Gabriel Jay Rauhoff

1 Introduction

Research in second language acquisition has covered significant grounds over the years, helping researchers and teachers answer questions of how communicative competency skills are improved on by different learners. Recently, research specifically in both lexical and grammatical collocations, i.e. frequently recurring two-to-three word syntagmatic units, has gained more attention in the field (Granger and Meunier 2008, xix; Wray 2012). Lexical collocations are especially of note for their difficult nature to acquire by even the most advanced language learners (Pietilä 2015). Such researchers interested in collocations have followed two main traditions of investigating collocations, frequency-based and phraseological, that conceptualize and operationalize the methods of their analysis with idiosyncratic parameters (Barfield and Gyllstad 2009, 3). These two different traditions, in addition to obstacles researchers face in longitudinal data gathering, classifications of collocations, and interpretation of findings, can lead to slightly different pictures describing the collocations L2 writers use and acquire.

The aim of this essay is to present some overarching theory behind L2 collocation research, the obstacles faced commonly by researchers, and my own experiences in my currently limited doctoral studies. I will at times give my own experiences as examples of the more common problems reported on, and also some more unique problems that I have encountered that other beginner researchers in the field may notice. For a more scientific text, I refer the reader to Birgit Henriksen's "Research on L2 learners' collocational competence and development – a progress report" (2013) and a book titled *Researching Collocations in Another Language* by Andy Barfield and Henrik Gyllstad (2009) as starting points, which this essay pulls from. However, these texts do not cover details about obstacles beginner researchers may face.

This essay begins with exploring the two traditions of collocational research with an outline of my own research questions used for my dissertation in section 2, an explanation of research my methodology in section 3, data collection for collocational research in section 4, common challenges faced by researchers in section 5, and ends with a little note on the learner perspective in the 6th section.

2 Collocations: Definitions, conceptualizations, and traditions

2.1 Definitions

One of the biggest issues in collocational research is the terminology used, which one unfortunately cannot escape in this field (Granger 2009, 63; Wray 2002). First, a clarification where collocations are situated in broader linguistic terminology is needed. Collocations are one type of *formulaic sequence* (FS*;* also sometimes referred to as *multi-word units* or *multi-word expressions* by some researchers), which is frequently referred to as a recurring lexical chunk in language use (Henriksen 2013, 29). Other types of FSs are outlined by Henriksen to include idioms (John *kicked the bucket*), figurative expressions (*to follow suit*), pragmatic formulas (*good to see you*), discourse markers (*as a matter of fact*), and lexicalized sentence stems (*in my opinion*; ibid.). Generally, most researchers consider collocations a type of FSs, often defined as "frequently recurring two-to-three word syntagmatic units" (ibid. 30; Granger and Bestgen 2014, 229). The constituent units of collocations can be lexical or grammatical, oftentimes being extracted in research as combinations of VERB + NOUN (*have fun*), ADJ + NOUN (*stunning view*), PREP + NOUN (*on strike*), or AJD + PREP (*worried about*). It should be noted, that this is not a hard-and-fast rule, and different definitions of collocations exist for different researchers.

2.2 Conceptualizations and identifications of collocations

The field is further complicated in the conceptualization of collocations. Research in SLA into collocations generally falls into two categories: one that is *frequency-based*, and the other from a *phraseological* perspective, depending on the researcher's working theory and treatment of collocations in his or her methods, which in turn could lead to different understanding results in individual research projects (Barfield and Gyllstad 2009, 2). In the frequency-based tradition, the number of collocations factor into a few assumptions the research project will inherit. For starters, the frequency of two-to-three syntagmatic word

combinations in a corpus will determine if those words are collocations based on their raw frequency, *collocational strength*—or how well the words are likely to collocate with one another—or *distance* a collocate is from its node (i.e. if a string of words is too far apart in terms of their span, they are then not considered collocations). More detailed information on the frequency-based approach can be found in Barfield and Gyllstad (2009, 3-5).

On the other hand, the phraseological approach does not use the standards of frequency in their classification of a collocation, and instead conceptualizes them as constituent words that have a clear semantic connection (Henriksen 2013, 32). This allows for classification of collocations in a more subjective manner that is not based on frequency, but rather the syntagmatic relationship between constituent words that perform a unique function that goes beyond the function of the constituent words separately. Collocations in this approach still have varying degrees of fixedness, and researchers are more concerned about their degrees of opacity, their commutability, and constituent word elements (Barfield and Gyllstad 2009, 5-6) than their frequency alone. Some problems raised by the frequency-based approach to identifying collocations are bypassed with this method. For example, identifying word combinations that appear often in language, but are hardly called collocations based on their low strength and low exclusivity (e.g. *if it* and *when the*) do not appear in the first place in phraseological research. However, the phraseological approach, as Henriksen points out, does not identify the frequency of high strength or rarer collocations that are in some cases important to point out to second language teachers (2013, 32; see section 6).

One approach is not more favorable than another, and the differences I outline here are surface-level description of a complex relationship between the two traditions. Each tradition has their own sets of benefits and drawbacks that inform the structure of research one conducts. For more information on the two traditions, including their historical development, I recommend reading the introduction of Barfield and Gyllstad's book referenced above (2009). I plan to use examples of my research as the basis of both approaches in subsequent sections.

2.3 Introducing the research questions in my dissertation
Before continuing into the three example types of collocational research approaches I use, it is best to first briefly give the overarching research questions to my dissertation in this section:

(1) How does task (or genre of writing) affect the strength of collocations used in second language writing?

(2) What kinds of collocations are used in different writing tasks?

(3) Do students have different parts of their L2 phraseicon engaged based on factors of task, familiarity with the genre, and their L1?

(4) Are collocations acquired based on context of the writing, specifically task, or could collocations of one type (e.g. domain-specific) be used in different genres? What kinds of collocations are acquired (based on usage) in different genres?

I find the differences in writing between different genres fascinating, especially from an L2 perspective. It is becoming more commonplace in education to emphasize the importance of genres other than the traditional argumentative or expository types that students are more familiar with (Hyland 2013). What is more, there is evidence that writing varies due to context of writing and is not a dependent skill on cognitive or technical abilities alone (Barton and Hamilton 1998). Differences in register (e.g. in academic writing, an academic register), formality (e.g. impersonal constructions in academic writing), style (e.g. high nominal styles in academic writing) could all influence the choices L2 writers make when using collocations (Hyland 2013). All these factors can certainly influence what aspects of language is used, and I formulated these four research questions as my means of investigating the nuances involved.

2.4 Approaches in collocational investigations

There are three points of investigation in my own collocational research that I will highlight in this section, though there are others. These approaches inform how the research questions are to be asked, the methodologies used, and how to interpret the results. The first of the three investigates *collocational performance*. When a writer uses a collocation, it is a performed action that does not directly investigate how competent they are with the collocation, or when they acquired the collocation. Simply put, the researcher collects texts and from these texts can extract collocations the learner used. Collocational strength, directions, transparency, and frequencies can be analyzed to see how they are used in writing.

Most performed language shows some degree of competence, and investigating *collocational competence* helps a researcher understand what the learner knows about a certain word combination. This can take the form of received and active collocational tests that are widely adaptations of vocabulary tests historically used. Receptive knowledge is tested by, for example, recognition

of collocations and being able to discriminate real ones from distractors. A researcher could ask the learner to identify which collocation(s) they recognize as real and those which are pseudo-combinations in a set of VERB + 'war' multiple choice options: *wage war, *rage war, *take war,* and *make war* to determine which collocations are in a learner's receptive knowledge. Active knowledge can be tested by, for example, a rational cloze test, where fitting collocations can be inserted based on the learner's active knowledge of them in a string of text that has omitted them. One test developed by Eyckmans (2009) specifically for collocation competence is the Discriminating Collocations Test (DISCO) with promising results.

It is important to note that one should not confuse what research is being conducted between competence and performance. Some degree of collocational competence is needed for a learner to use collocations in production; however, the research on learner texts alone without tapping into the learner's receptive or active knowledge only leads to results based on performance, and little can be said about their knowledge. In my own research on collocations in different genres of writing, I have analyzed the performance of collocations in terms of selectively extracting bigrams and measuring their frequencies and strengths. A future study on competence of these learners can reveal how L2 learners perceive genres of writing they are less familiar with but have their own set of collocations. One planned study is the examination of frequencies of collocations used in writing (performance) and the learner's receptive knowledge of collocations.

A third type of approach is *collocational development*, where changes of either usage or knowledge of collocations is recorded over time. This involves a collection of data in one or two more periods of time in an attempt for a longitudinal research design but could be for shorter periods of time as well, e.g. one of the more easier methods is a pre- and post-test held at the beginning and end of a semester, respectively. Most collocational research now utilizes the collection of corpora, and as such, is more or less forced to approach research pseudolongitudinally. Such approaches cannot be classified as purely longitudinal as they do not follow the same informants over a long period of time; however, attempts are made to design research methodology in a manner that is considerably close. For more information about the approaches of research used in collocational development, see the section 4.

Collocational development in second language writing is especially interesting, as it involves competencies in both language and writing skills (e.g. organization, cohesion, style, etc.) with some degree of transferability. One example study was Reppen's (2009) "Exploring L1 and L2 Writing Development

through Collocations: A Corpus-based Look," where Reppen collected samples from elementary-aged (ages 8 to 12) L1 English and L1 Navajo students writing in different genres (Reppen lists expository, narrative, and taking a position as examples), noting that with these younger learners, there are "more similarities than differences" when it comes to writing. However, she notices differences in how lexical bundles are used between the two language groups (ibid., 59). One example of these differences is the L1 Navajo students relying on BE + *going* combinations in their writing at all levels compared to the L1 English texts (ibid., 57), which could point towards some crosslinguistic influences. It should be noted, however, that the analysis performed by Reppen is not nuanced in collocations, but lexical bundles, which she defines as "not a predetermined piece of language; rather, it is a recurring sequence of words that is identified through the use of a computer program" (ibid., 49-50). Even so, as Granger points out (2009, 62), the study combines both longitudinal and cross-sectional methods in second language development using texts in her own localized corpus. By doing so, the pedagogical implications become more relevant to the teachers the learners had when they wrote their texts—such a bridge is needed between researchers and participating teachers. I note that I oftentimes get asked to share results or findings with teachers, which I assume is because there are not as many occasions for professional development between the two to help improve language learning. Original data collection can indeed help not the broader community of researchers in SLA, but also the localized schools the data come from in the first place.

Other types of collocational research, e.g. those that investigate transfer, directionality, opacity, classroom materials on collocations, assessment, etc. are not listed here. The next section illustrates in depth my own experiences of taking an approach and applying a methodology to it to investigate certain phenomena. For more approaches of research, I refer the reader to Barfield and Gyllstad (2009).

3 Research methodology

3.1 My own experiences in identifying collocations

As discussed in section 2.2, there are some concerns over identifying collocations in data in the research methodologies that belong to different traditions. Most researchers now use a combination of identifying procedures for collocations to cover the most ground (Henriksen 2013, 32). Usually the researcher would use programs to extract collocations, and then perform a qualitative check by including initially unidentified collocations and excluding those which were

erroneously identified (see Schmitt 2010, 124-132). In my own research, for example, I have identified collocations by tagging individual texts (which I consider their own individual "corpus" of words). I then decided to analyze bigram combinations of nouns pre-modified by another part of speech so that I could attempt to make some minor comparisons to previous research. These combinations were a noun premodified by another noun (NN; e.g. *ozone layer*), a noun premodified by an adjective (JN: e.g. *virtual reality*), a combination of the previous two categories (MN: e.g. *prison system, human being*), a noun premodified by an adverb (AJ; e.g. *very good*), and an "All" category that identifies collocational strength of all extracted bigrams (e.g. *it is, on the*). The word combinations were extracted on the basis of being in a sentence; in other words, a word separated from the next by a period were not included. With these categories, I was able to take each bigram in a text, lay it out in a spreadsheet program, and compare the original text as I read.

3.2 Programs used in my research to identify collocations: A corpus-based approach

The programs I used, CLAWS C7 tagger and CollGram Calculator, overzealously identify bigrams, so every bigram combination was included—sometimes even when they were not truly bigrams to be analyzed. The "All" category is exemplary of this, as it takes every instance of a word combination not separated with a period and identifies them as a word combination. An example of this is in the two sentences here:

> (1) The zombie aptly named Brainy is probably unable to learn a language even in the best programme in the world. However, we can still try to use simple communication to make it go away for 12 minutes.

Using search parameters in Regex, one could highlight and extract nouns premodified by another part-of-speech. However, for the All category, the software pulls word combinations "the zombie," "zombie aptly," "aptly named," and so on until it runs into a period. The reason for this is that collocations cannot exist across two separate expressions.

Proper nouns and other items that cannot collocate with other words should not be included in collocational research. Before bigram extraction, texts need to be read for proper nouns, simple spelling errors (if your research goals call for this), simple transformations of one system to another (e.g. British versus North American English for comparison to a target native reference corpus; discussed more in detail later on), dates, and other numerals. Search functions in text editing

software helps with this stage of data preparation for most of these, but still need to be read for proper nouns. When coming across these items that cannot collocate with other words, simply changing them to a period would help for the machine stage of identification. You will get a result more like this:

> (2) The zombie aptly named . is probably unable to learn a language even in the best program in the world. However, we can still try to use simple communication to make it go away for . minutes.

In this filtered sentence pair, the bigram "aptly named" will be identified, but "named is" would not. Similarly, "away for" would be extracted, but not "minutes," as it has no other words to collocate with. If comparing to a native corpus that is based on North American (NA) word forms for more accurate association measures, then the word "programme" can be transformed into "program," giving that you are not interested in form or presence of collocations in the different regions. This will help the extraction of the collocation "best program" if the majority of your writers are using the NA forms (and naturally choose a NA reference corpus because of this), or if you simply choose a native corpus in NA for other reasons (cf. British National Corpus, or *BNC*, size and dates of material collected with the Corpus of Contemporary American English, or *COCA*). Without such a transformation, the researcher would either miss the collocation entirely if there are no instances of it (or if it is below a threshold of instances set by the researcher) or it would be picked up with inaccurate association measure scores.

In cases where collocations were erroneously identified by the program, they were removed from the spreadsheet manually. The problem I encountered most, however, was that some of the identified combinations were not the correct part of speech. One example of this is the CLAWS C7 POS tagset, even though has 97% accuracy in identifying parts of speech (Van Rooy and Schäfer 2003), still identified some bigrams erroneously, e.g. *high school* as a noun premodified by an adverb rather than an adjective. Such cases can throw off your results and obfuscate the bigger picture of a learner's phraseicon rather than clarifying our understanding of it. Such errors throw off measurements of frequency, association, directionality, and so on.

3.3 Association measures of collocational strengths
As discussed in section 2.2, there are different measures of collocational strength—that is, how likely a word is to appear with another word in a large population. Part of my research was to investigate the different collocational

strengths in different genres of writing. To determine how strong a collocation is, researchers use empirical standards using statistical methods called *association measures* (AMs). Two of the more common ones that I have used in my own research are *pointwise mutual information* (MI) and *t-score*, which both measure expected frequency of the word combinations compared against real frequency in a large corpus that outputs a score to determine collocational strength.

In research, it is often the case that a SLA researcher will, depending on their goals, definitions, and conceptualizations of collocations, compare collocational frequency or collocational strengths of nonnative speakers against a native corpus. When the researcher measures collocational strength, the constituent words are searched for based on frequency of the word combination appearing in large corpora. The two AMs I used, for example, highlight different possible collocations from different word combinations, with MI scores highlighting the lower-frequency but stronger collocations (i.e. words that do not appear often in a native corpus but are more apt to appear together than they are with other words; e.g. *ultraviolet radiation*) and *t*-scores highlighting more frequent, but weaker combinations (e.g. *recent years*). These two scores are almost always performed together in order to cover as many possibilities of collocations as possible; if, for example, a researcher performs only MI scores, then it is possible that a good portion of collocations in the data are not analyzed properly by leaving out the more common word combinations, giving the results of the study a partial picture of the linguistic phenomenon observed. For more information on AMs in corpus-based collocational research, I recommend "Collocations in Corpus-Based Language Learning Research: Identifying, Comparing, and Interpreting the Evidence" (Gablasova, Brezina and McEnery 2017).

3.4 Treating learner texts as their own corpus

One of the challenges with a corpus-based approach is the accounting for variation between and among different groups. In my own research, I attempt a shift in understanding how to treat student writing in my methodology on collocational research. I have taken some steps by adopting ideas of Durrant and Schmitt (2009) to treat individual texts as their own unit of research instead of one compiled text (i.e. the corpus is composed of individual texts rather than one single long text), especially when referencing them with a native corpus. The idea here is not to consider a corpus of data being a continuous text all compiled into a single entity where one could analyze data made up by multiple individuals, but rather consider each individual text is considered its own entity. This allows for

more nuanced details that emerge from a collection of students that have their own levels of target-language proficiency and bypass the inherent fluctuations in learner acquisition. Group analysis can still be achieved with standard inferential statistics. For example, in my study on collocational performance of how students used collocations in multiple genres of writing, I used raw frequencies of collocations for each individual text and made raw MI and t-score frequencies for each student. I then could calculate distributed percentages for the MI score, t-scores, and those that were below threshold. Afterwards, I could calculate mean distributed averages for the entire collection's stratified strengths in one task type that I can use to compare to the other tasks. Statistical scores to test the relative homogeneity within groups could then be performed afterwards, making this approach especially important for finding differences when using different populations—native and nonnative, advanced and intermediates, and so on.

For other methodologies found in collocational research, I refer the reader to Table 1 in Henriksen's (2013, 43) article. Some examples of these methodologies researchers have used include those on oral production, offline elicitations such as gap fill tasks or associations, online reaction tasks such as eye movement tracking and self-paced reading. There are research questions in each type of methodology that remain unanswered.

4 Collection of collocational data

4.1 Corpus-based approach

Collection of data for this type of research comes in a few forms. The frequency-based approach generally uses established (or establishing) large corpora of nonnative speech and writing, but also includes comparisons to established native speaking corpora, such as the BNC or the COCA. The types of Englishes used by nonnative speakers, such as those in Finland, need to be accounted for when using automated analysis methods that often come with corpus-driven research. For example, Finnish students writing in a more British form could use the VERB + NOUN combination *add colour* which search parameters, unless programmed for, fail to detect when comparing it to the COCA which likely contains more instances of *add color* instead.

The importance in selecting a comparison native corpus for research extends beyond spelling systems, especially for research projects relying heavily on raw frequencies. Although there is overlap of collocations e.g. in British and NA English, it is natural that speakers of one would favor the collocations used more often in that system. An example of this would be British English favoring

the delexical verb "have" as in *he is having a nap* compared to the NA favored "take." The resulting extractions of VERB + NOUN collocations using a frequency-based approach with search algorithms targeting one of the other would give different results based on the native comparison corpus. As the collocations are found in both native corpora, it is not the largest issue for researchers, but it does impact research on frequencies and projects using association measures. I am not sure myself the extent of this trap in SLA, but my own dissertation must account for this by also employing a qualitative approach. In addition, Nesselhauf (2003) claims that VERB + NOUN combinations, especially those with delexical verbs that learners are already familiar with, are difficult collocations for even advanced learners. This is evident with some Finnish writers in my own observations, as although they are aware of and adopt the spelling used by one system over another, sometimes overlap in British and NA writing styles when writing English texts. I should mention here that SLA researchers at the University of Turku have begun collecting L2 English texts written by L1 Finnish writers to undertake analyses such as the investigation of delexical verb collocations in different genres in the *Academic Lexis in L2 Speech and Writing Project* (ACALEX).

4.2 Writing task types

My own research attempts to examine to what extent writing tasks (genre) influence the collocations used. To do so, a comparison of nonnative writing genres needs to be made from the same students. However, most corpora contain a limited number of genres available. The International Corpus of Learner English (ICLE) contains argumentative, literary, and a vague "other" category with comparatively limited texts. Other corpora follow similar patterns as collection of argumentative and expository pieces have arguably been historically easier to collect in large numbers. Teachers have employed these two writing tasks for their students over others, and even though that trend might be changing, students may not wish their less formal texts to be collected for research compared to their take-a-stance essays. The importance of metacognition in writing, the exploration of multimodal literacies, and adoption of writing-centered approaches to composition have allowed for the creation of tasks that do not fall into the argumentative or expository categories. One such task is metacognitive writing journals, where students think about their thought process when approaching a topic and writing down those thoughts into a journal. Another includes letters of self-reflection, where students reflect on how they are as learners of English to their teachers. These different tasks differ in formality, register, and style (Hyland

2003). Unfortunately, large collections of these types of texts are hard to find for research use.

Primary collection of data in non-established corpora come with a few setbacks. The first being it can be challenging to gather large portions quickly for your research project, as the tasks not only have to be similar, but it would be best if the topic were the same as well. This means that, for my example, collection of non-argumentative tasks opens up some avenues for research into different tasks in collocational performance, but limitations on that are in place as they may include different topics (e.g. one teacher may assign metacognitive journals versus another assigning letters of self-reflection). This limitation still does not prohibit any contributions to the overall picture of the students' phraseicon, but are still perhaps not the most stringent practice in research methodology.

4.3 Collecting original material

In addition to the amount you can gather over a set amount of time, primary data collection also presents other obstacles. I outline a few here: 1.) The data is untagged for parts-of-speech which many frequency-based research methodologies rely on to extract collocations; 2.) The data is not pre-organized in a searchable database; 3.) The data is unfiltered for research use, requiring the researcher to redact all identifying information of their informants manually, correct spelling errors (if this is an required objective in your project) which is a prerequisite for tagging, transform forms of one writing system to another (if your project requires to change e.g. British to NA forms or vice-versa), and remove direct quotations a writer uses from external sources.

Once you have established data for your research, another problem arises when trying to research collocational development. Development occurs when there is a change from one point in time to another, and this often requires longitudinal data. A researcher may find that data can be collected in the period of a quarter or semester of studies, but data extending beyond their class's final meeting is difficult to collect. The researcher must track informants and collect writing samples in the future, which naturally will most likely be on different topics. On top of that, problems with participatory attrition compound the already difficult collection of longitudinal data, and although even low numbers of longitudinal cases can shed insight into collocational development over long periods of time, language acquisition can be highly idiosyncratic, especially in the case of collocations.

Researchers limited by participant population and possible attrition elect to gather data for general cross-sectional—that is, analyzing data from a

population at a specific point in time—or pseudolongitudinal research. For example, one could research collocational competence or performance at various education levels or exposures to the target language in general using clearly defined groups (*multi-group design*; see Jarvis and Pavlenko, 2008, section 2.4.1 for an overview account of other types of pseudolongitudinal research designs). This is something I intend to do myself at a later stage of my dissertation by examining creative writing samples from L2 English L1 Finnish students at a *lukio* and compare them against students writing similarly at the university level. The idea behind this is to see if frequencies of collocations, along with their strengths, are different between the two populations—one being sort of a prerequisite to be in the other—in a set classification of subgenres of creative writing (sci-fi, fantasy, horror, etc.).

5 Common research challenges

Challenges I have faced in my own dissertation are naturally faced by any researcher studying collocations. In addition to challenges I have encountered already mentioned so far, this section outlines those more common ones specifically. The overall point I wish to make here is that each challenge has the potential to muddle the overall image we have of the L2 phraseicon. As a researcher of collocations, one of the main objectives in research design is to ensure that limitations outlined here, or elsewhere for that matter in SLA in general, present the clearest possible image of the acquisition process.

The first set of challenges faced by collocational researchers have been outlined already above, specifically by Gyllstad (2007, 6) and Granger (2009, 60), in that the definition that a researcher adopts determines which word combinations are put under the microscope. In addition, as Henriksen (2013, 44) points out, studies have focused on a subset of collocation types, mostly VERB + NOUN and ADJ + NOUN combinations, which leave out other combinations that may be used in a text. Narrowing down collocations under investigation indeed provides some insight when making comparisons for both between groups or intra-group analyses, but it does impact results in "frequency, saliency, and learnability" (ibid.). Furthermore, researchers sometimes do not control for collocation types in their analysis—whether they be lexical (those made up of only verbs, adjectives, nouns, and adverbs) or grammatical (verbs, adjectives, or nouns paired with a preposition or in some grammatical structure; ibid.). Control for this is important, as there is some evidence that lexical collocations could be acquired before grammatical ones (Gitzaki, 1999). Other general challenges are

outlined in Henriksen's article with regards to distinctions between motivated and unmotivated collocations, mutual translatability of collocations between the learner's L1 and L2, and the distance between languages studied (2013, 44), with the last point especially of focus for my own research on L1 Finnish students.

Early on, one challenge I had was interpreting the data I have analyzed with the frequency-based approach collocational performance in two different task types. Originally, I interpreted my findings as those of competence, i.e. if the student uses collocations, I can outline differences between genres of writing using their frequencies and strengths in the two different tasks and interpret those results as knowledge of collocational types. My informants had three writing tasks compiled in a portfolio submitted to their instructors at the end of their semesters. The first task was a letter of self-reflection written at the beginning of the semester that asks students to metacognitively reflect on their use of English in the past and what they expect out of the course they are undertaking. The second assignment I used were expository essays, and the third were final self-reflections. The tasks were the same for each informant; however, the topics varied for the expository essays, which is an unavoidable lack of control. These were not utilized for developmental research, but rather a comparison between genres, I considered this lack of control an acceptable risk for being unable to obtain essays on the same topic in the first place—a practice I am not particularly keen on having teachers do in the classroom. I originally interpreted the comparisons between these two tasks as pure collocational competence rather than performance. However, as the scope of the study did not include processes outlined by Henriksen (ibid.) of recognition of collocational units, mapping of the meaning or function to the form of the collocations, the change in understanding restrictions of those collocations, or developments in receptive or productive knowledge, the results were not very telling on collocational competencies. However, results on performance are still viable in analyses on how variables of genre, topic, style, etc. influence the collocations used in L2 writing. The next step is to shift the focus from the final product to true language acquisition, which requires a longitudinal or pseudo-longitudinal design.

Most researchers overcome problems faced with the tools available to them; however, a lot of instruments used to measure these acquisition processes have not been validated through exhaustive reporting (ibid.). Reports in research that use various tools in collocational research, like COLLEX and COLLMATCH (Gyllstad, 2007), the previously mentioned DISCO for receptive collocational knowledge (Eyckmans, 2009), the CollGram calculator I have used in my own research, among others, are needed to help establish a more standardized

comparison in the field (Henriksen 2013, 45). Control for these challenges, the tools used for researching collocations, and the angle used to approach this type of research help clarifies the learner phraseicon.

6 From a learner perspective

Another point to consider in SLA research is how investigations into a topic, such as collocations, could provide pedagogical implications. In my case, the goals of what aspects of language for a student to learn often do not include much weight on collocations, compared to say, new vocabulary that learners or teachers consider more versatile. Even so, collocations the learner finds useful may help in language production, as learners are not forced to consider individual words to make up a whole, but rather chunks of parts.

Learners typically are unaware of what collocations are, and when looking for salient features of a language to learn, the individual words that make up the collocation are most likely to be engaged with first. The syntagmatic aspects of the word combinations are difficult for learners to observe because once individual constituent words are comprehensible, the collocations in the input are then overlooked (Eyckmans 2009, 141). Teachers sometimes are not aware of the importance of a little direct instruction on collocations, as preconceived hierarchies of language elements put them near the bottom. This is not necessarily a problem for other aspects of language. For example, learners of a new language know that they need new vocabulary to build expressions of ideas they wish to convey. With more words, the assumption is that language learners can express these ideas with more accuracy and sophistication. In addition, basic syntactic elements of language are arguably salient to a language learner—they know that the words need to be in a certain combination for the recipient of the language to comprehend them. However, a combination of the two remains relatively unknown to the average language learner, oftentimes causing errors (where the leaner does not know the rules for which words collocate, or the direction, etc.) or mistakes (where the leaner does know the rules, but malformed the collocation in some manner anyway) in the language. One of the largest problems with ignoring the importance of collocations is the potential impact it has on a learner's interactional fluency.

As with all aspects of learning, the goals of the learner need to be taken into consideration. The problem arises when the learner is unaware of some elements of the subject in the first place. Exposure to collocations could help learners process L2 language more in chunks rather than the mentally intensive

process of forming language with consideration of each individual word (Sinclair 1991), thus providing some degree of production automaticity. There are calls to provide more relevant tools for pedagogical use in learning collocations, but they have limitations as well; collocational dictionaries, for example, are not utilized as much, while concordances which highlight collocations are sometimes thought to be difficult to use, or even to access in the first place (Granger and Lefer, 2016).

The most important argument I can make for this section requires me to bridge the discussion between the learner perspective and the researcher. Simply put, the idiosyncrasies of language acquisition and development caused by factors outlined above need to be illustrated in research. Granger makes the point that researchers "need to abandon the notion of the generic L2 learner and distinguish between different types of L2 learners and L2 learner situations" (2009, 65) which applies to the general field of SLA. This extends beyond common L1 transfer (e.g. less proficient L1 Finnish speakers using **make research* instead of *conduct research*), but to individual learners within such a language.

7 Conclusion

My aim for this essay was to provide a little insight into some of my experiences as a doctoral student researching in SLA. Research into collocations is just one of many different possible angles of investigation into the field, but as illustrated by this essay, there are more elements in research design, theory, and execution that extend beyond collocations. The discourse around L2 collocational research has its own set of advancements, obstacles, and calls for more research unique in their own right; however, the discourse also exemplifies the types of conversations happening in other studies of SLA as well.

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On how to Uncover the *de facto* Source Languages/Texts of (Indirect) Translations

Laura Ivaska

1 Introduction

The topic of my PhD dissertation is indirect translation[1] of prose literature. Whereas translation in general involves a source text (ST) and a target text (TT), *indirect translation* is more complex; according to Ringmar's (2012, 141) definition, an indirect translation is "a chain of (at least) three texts, ending with a translation made from another translation: (original) ST > intermediate text (IT) > (end) TT". At the heart of my research lies the urge to better understand what indirect translation is and how translators do it. In other words, on textual level I wish to discover what different types of indirect translations there are, but at the same time I am also interested in the agency of the translators who produce these different kinds of indirect translations.

As for why indirect translation occurs in the first place, Washbourne (2013, 611–612) enumerates several reasons that previous research has identified, ranging from the lack of translators competent in the right language pairs to the prestige of the languages involved, and from economic motives to practicing censorship by dictating what source texts are used. For indirect translations into Finnish, Riikonen (2007, 308) suggests that they are being done because there are few people competent in some of the more distant languages (see also Leppänen 2013). Similarly, many of the Finnish translations of Modern Greek prose literature that I study in my dissertation were done indirectly, most likely so because there were simply no translators proficient in Modern Greek, as the language is not widely taught on an advanced level in Finland.

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[1] Other scholars may refer to indirect translation also with terms such as *pivot translation*, *relay translation* and *second-hand translation* (see e.g. Assis Rosa, Pięta, and Maia 2017, 115–118).

Because studying the reasons behind the indirectness of the Finnish translations of Modern Greek literature seems unlikely to add much to the previous research on the contexts of indirect translation, I focus on identifying the different ways in which indirect translations have been done. For example (as reported in Ivaska and Paloposki 2018), I have been examining the collaborative aspect of indirect translation – that is, with whom and why translators collaborate – as well as the so-called *compilative translation*, the product of which Toury (2012, 100n4) defines as "a translation which makes use of several source texts". While research on collaborative translation is debunking the myth of translating as solitary work (see e.g. Cordingley and Frigau Manning 2016; Alvstad 2017), uncovering the practices of compilative translation highlights textual instability and challenges the idea of translations as secondary to the so-called originals (see e.g. Cordingley and Montini 2015; Emmerich 2017). However, perhaps because the practices of both collaborative and compilative translation deviate from the contemporary prototype of translation (that is, translation entailing one source text, one target text, and one translator), these aspects of translation are seldom made explicit.

In fact, the indirect nature of translations remains often hidden in the contemporary Western culture, which might be due to the fact that the general attitude towards indirectness seems to be negative (St. André 2009; Alvstad 2017, 151–152; Ivaska and Paloposki 2018; for positive attitudes in China, see Hung and Wakabayashi 2005), as it is thought to distort the message that the translation is supposed to convey (Edström 1991; Dollerup 2000). Because of the covertness, one of the central questions I tackle in my PhD dissertation is: What are the *de facto* source text(s)/language(s) of the translations I am studying?

The hidden nature of indirect translation poses a challenge and an opportunity for research: indirect translations and their *de facto* source texts/languages are difficult to identify, which means that researchers are required to – or get to – use their imagination to come up with new methodologies for uncovering the *de facto* source texts of translations. In this essay, I will describe some of the methodological difficulties I have encountered in my research as well as my attempts to overcome them. I begin by discussing why I have come to form my own definition of indirect translation, and will then describe how I settled on the case study as my research design and what difficulties were entailed in the choice of the translations that I study. In the second half of the essay, I will delineate the methods that I use to uncover the *de facto* source text of translations. In the discussion that ends the essay, I will reflect on the pitfalls of my methodology, on what kind of new methodological approaches could be

developed, and on why being able to pinpoint the *de facto* source texts of (indirect) translations matters.

2 Defining indirect translation

Choosing what definitions or terminology to use – or coming up with new ones – is of central importance to research because, in a sense, definitions dictate the object of study. The object of study is determined, described and delimited with the help of definitions. One can choose to use existing definitions and choose the research data accordingly, or one can form definitions from the basis of the regularities and patterns observed in a set of data that seems interesting. My approach to defining indirect translation is to infer a definition by observing the phenomenon in its different forms. I have chosen to do so because many of the definitions proposed by other researchers (for an overview, see Assis Rosa, Pięta, and Maia 2017, 119–121) do not encompass all the aspects of the phenomenon that could – or should – be taken into account. For example, some of the definitions do not explicitly address the possibility for many source texts; such is the case, for example, with Ringmar's definition presented in the introduction. This might be due to the fact that other researchers did not encounter translations that are based on several source texts, but based on my personal experience as literary translator, I know for a fact that indirect translations may have several sources.[2]

Kittel and Frank's definition (1991, 3) takes into account the possibility of using multiple source texts. They suggest that "any translation based on a source (or sources) which is itself a translation into a language other than the language of the original, or the target language" can be labeled as indirect. Unfortunately, though, their definition explicitly states that the source text(s) of an indirect translation have to be in a language "other than the language of the original, or

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[2] At the beginning of my master's studies I was asked to translate a collection of short stories by the Maltese Oliver Friggieri from Italian into Finnish. However, at some point I discovered that the Italian text I had been given to use as my source text was actually a translation from Maltese (in which the short stories had originally been written.) Like so many other students of translation, I had been inculcated with the idea that indirect translation should be avoided (cf. Niiranen 2016, 30). Notwithstanding this, I had to deliver a translation, and because the stories had originally been written in a language I knew nothing of, translating directly was not an option. Thus, I ended up compiling the *de facto* source text of my translation by comparing an Italian and an English translation of the short stories.

the target language". Thus, if we take Kittel and Frank's definition strictly, Kyllikki Villa's Finnish translation, *Veljesviha* (1967), of Nikos Kazantzakis' *Οι αδερφοφάδες* (1963), would not count as an indirect translation because it lists as its source texts/languages not only French (*Les frères ennemis*, 1965; tr. Pierre Aellig) and English (*The fratricides*, 1966, tr. Athena Gianakas Dallas), but also Modern Greek – which is the language in which the novel was originally written.[3] However, archival material strongly suggests that Villa used the French translation as the primary source text and from her published travel diary it becomes apparent that she had a limited knowledge of Modern Greek (Villa and Villa 2013, 53). Therefore, I would consider her translation as essentially an indirect one. One could, of course, argue that translations like *Veljesviha* that are based on many source texts constitute a category independent of indirect translation, but I consider them part and parcel of the phenomenon. Namely, one of the several source texts is always necessarily something other than the "original", and thus – if *direct* translations are characterized by being based exclusively on an "original" source text, and considered the antonym of indirect translations – any translation made using more than one source text must be an indirect translation. Consequently, there is a need for a definition of indirect translation that not only encompasses translations that have several source texts, but that also allows for one of the many sources to be in the language in which the text was first written.[4]

I currently define indirect translation as "a translation based on a text (or texts) other than (only) the ultimate source text" (Ivaska and Paloposki 2018, 43n1). This definition allows explicitly for the use of one or more source texts, which is one of the aspects of indirect translation that I want to focus on in my research. Also, the definition does not exclude the possibility for using the ultimate source text – that is, the first text in the chain of indirect translation: ST>TT=ST>TT (cf. Assis Rosa, Pięta, and Maia 2017, 115) – as one of the sources of an indirect translation. That being said, indirect translation can be

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[3] Another example on the difficulty categorizing translations is provided by retranslations – understood here as "second or later translation[s] of a *single source text* into the same target language" (Koskinen and Paloposki 2010, 294) – that are based (at least partly) on consulting or even appropriating a previous translation of the same text into the same language: should they be categorized as retranslations, revisions or indirect translations, or do they constitute a category of their own (see e.g. Paloposki and Koskinen 2010)?

[4] The version in the language in which a text was first written is sometimes referred to as the original, but because this term is problematic (see e.g. Emmerich 2017), it is being avoided in this essay or placed in quotation marks.

broken down into (at least) two distinct categories: a) what could be called prototypical, simple or straightforward indirect translation, where there is one ultimate ST, one mediating ST and one TT; and b) compilative (indirect) translation, which has from two to an infinite number of source texts. Compilative translation, in turn, has different subcategories based on, for example, the manner and extent in which the translator uses the different source texts (see e.g. Assis Rosa, Pięta, and Maia 2017, 122; Washbourne 2013; Dollerup 2000).[5]

3 Deciding on the research design

Although I had a pretty clear idea of my doctoral research's topic – the complex ways in which indirect translations are done –, coming up with the research design, the right research questions and data was less straightforward. For example, I could have chosen to test whether an existing hypothesis holds true, and this was actually my initial idea. Namely, when I was writing my Master's Thesis, I noticed that a lot of the previous research seemed to be painting a negative picture of indirect translation: some researchers spoke of indirectness resulting in "a lesser degree of precision and in increasing number of deviations" (Edström 1991, 12); others asserted that, although the main idea would stay the same, the style and spirit would lose something in the process (Jianzhong 2003, 198); or suggested even that indirect translation "is indeed a major source of deviations in written translation" (Dollerup 2000, 23). Back then I was thinking of performing experiments to see whether such claims hold true.

The plan was to choose texts and ask one group of people (e.g. students of translation) to translate them directly and then have another group of people translate the same texts indirectly or compilatively. I could then have compared these sets of translations to see whether the effect of "something getting lost in translation" was greater in indirect translation than in direct translation. However, it soon dawned to me – thanks to my supervisor – that in such a research it might be difficult to control the variables. For example, how does one discern the

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[5] Translations done using more than one mediating text have also been called eclectic (e.g. Pięta 2012; Kittel 1991, 32). Similarly, Dollerup (2000, 23) points out that sometimes "translators check translations into languages other than their own target language" in what he calls support translation (cf. Graeber 1991, 6: polyglot translators). He has also proposed that indirect translations, in general, could be categorized according to whether they have their own audience or whether they are made only so they can serve as a source text for a further (indirect) translation (Dollerup 2000, 17).

differences in the two groups of translations caused by the mode of translation (direct or indirect) from those caused by something else, such as the translators' personal style or language proficiency? Therefore, I decided to abandon the idea of doing experiments and decided to use existing translations as my data. Although this did not eliminate variables per se, it changed the way in which I had to deal with them: if I had done experiments, I would have needed to design the data collection so that I could control the variables, whereas using existing data meant that all I could do was to take the variables into account in my analysis (cf. Saldanha and O'Brien 2013, 207).

I then decided to look for a suitable case study or studies that would allow me to explore the compilative and collaborative practices of indirect translation. For Susam-Sarajeva (2009, 40),

> a case is a unit of translation or interpreting-related activity, product, person, etc. in real life, which can only be studied or understood in the context in which it is embedded. A case can be anything from a translated text or author, translator/interpreter, etc. to a whole translation institution or source/receiving system.

In other words, a case can be pretty much anything. However, building on previous literature, Susam-Sarajeva (2009, 44) suggests that the choice of a case is justified only in three instances: if 1) it can serve to test a well-grounded hypothesis; 2) it is extreme or unique in some way; or 3) it opens up a new discussion on a topic that has not been addressed previously. A further option is a multiple-case study, which can be based on the principle of similarity or on how well the sample represents a greater number of similar cases (Susam-Sarajeva 2009, 43–44).

However, when doing research on indirect translation, the problem is not always so much whether one is able to find a justifiable case or cases, but rather whether one is able to find indirect translations to begin with. Namely, the indirectness of translations is often – though not always (cf. Alvstad 2017, 150, 155) – hidden or simply left unacknowledged (e.g. Ivaska and Paloposki 2018), which means that even locating indirect translations may require extensive amounts of work. Luckily previous research has identified contexts in which indirect translations are done, which helps narrow down options.

For example, indirect translation has been found to occur in the context of less translated languages[6] (see e.g. Perdu Honeyman 2004; Pięta 2012; Riikonen 2007) or between peripheral languages (see e.g. Assis Rosa, Pięta, and Maia 2017, 114; Heilbron and Sapiro 2007, 96). In the case of Finnish, in recent years indirect translations have been made from languages such as Japanese (Leppänen 2013), Basque, Brazilian Portuguese, Georgian, Romanian, Turkish and Yiddish (Riikonen 2007). Ideally the researcher should have knowledge of the ultimate source language, the mediating language(s) and, of course, the ultimate target language in order to be able to confirm, by means of textual comparison, which source texts/languages were used for which translation. In other words, it may be difficult to find case studies that match the language skills of the researcher – although, as will be discussed below, the very difficulty of finding indirect translation, in general, may impose an even bigger hurdle.

4 Building a corpus from a bibliographic database

Having settled on a case study it was time to build the corpus. I wanted to study prose translations although indirect translation could be studied just as well in other genres or within the domain of interpretation. The problem was to find a case that fulfills the criteria for a justified case study, as discussed by Susam-Sarajeva (2009), all the while reassuring that I would be able to read the ultimate source and target text, as well as the mediating translations. I concluded that my best bet was Finnish translations from Modern Greek, as the other languages in which I had proficiency – English, French, Italian and Swedish – seemed less likely to be subject to indirect translation; they do count as less translated languages, nor are they in a peripheral position from the point of view of Finnish.

Bibliographic databases – such as *Fennica*, the database of the National Bibliography of Finland, or UNESCO's *Index Translationum* – offer a good starting point for charting what has been published both in original language and in translation. However, they are not always reliable (cf. Poupaud, Pym, and Torres Simón 2009; Ivaska 2016; Marin-Lacarta 2017). The information in the databases may be simply copied from the title page texts of the novels, which do not necessarily contain any mention of the (*de facto*) source language(s)/text(s)

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[6] According to Branchadell's definition (2004,1), the term *less translated languages* "applies to all those languages that are less often the source of translation in the international exchange of linguistic goods, regardless of the number of people using these languages."

of translations, perhaps because the general attitudes towards the practice are negative – at least in Finland (Ivaska and Paloposki 2018)[7] – or maybe because such information is thought to be of no importance. Even when the de *facto* source text(s) of a translation are mentioned in a bibliography, the information might not be readily available. For example *Fennica* does not usually catalogue the source language (although the language of the "original" is most of the time mentioned); rather, the information needs to be scoured from an explanation following the title of the book or from a separate note.

In any case, the bibliographic information regarding source languages/texts cannot be taken at face value unless the objective of the research is to study only the translations that are overtly indirect.[8] In the most extreme case a bibliography might not even contain mentions of indirect translations whatsoever. That, however, is not sufficient proof to conclude that there are no indirect translations. If there is no evidence of indirectness, more research needs to be done to either identify indirect translations or to prove that no indirect translations exist. The latter – proving that something does *not* exist – may be difficult, if not impossible.

To build the corpus for my dissertation research, I turned to *Fennica* to see what had been translated from Modern Greek into Finnish. Luckily many of the Finnish translations from Modern Greek are explicitly marked as indirect in the *Fennica* database. My keyword search in *Fennica* (28 January 2014) with *gre* (for Greek) as the "Original language" – with additional advanced search settings where "Place of publication" was *Finland*, the "Type" was *book* and the "Language" *suomi (fin)* – returned some hundred results. However, many of the titles were of religious nature or translations from Ancient Greek, so I narrowed the list down to contain only Modern Greek prose literature and then cross-checked it with a list of Finnish translations of Modern Greek literature compiled

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[7] However, these attitudes can also be found outside of Finland. Namely, the current Western prescriptivist idea of translation seems to suggest that translators *should* translate directly from the original text into their first language (see e.g. Pokorn 2011; St. André 2009) and indirect translation is implicitly forbidden in many contexts; for example, the UNESCO *Recommendation on the Legal Protection of Translators and Translations and the Practical Means to improve the Status of Translators* (1976) V(c) states that "as a general rule, a translation should be made from the original work, recourse being had to retranslation only where absolutely necessary". Similarly, at least in the Nordic countries, bodies supporting literary translation economically oppose indirect translation (Alvstad 2017, 151; Hekkanen 2014, 53).

[8] This applies not only to indirect translation, but also to retranslation, pseudotranslation, compilative translation, self-translation, and so forth.

by the Finnish Institute at Athens (2015).[9] Finally 22 books remained. Two of the 22 books were marked as direct translations from Modern Greek, whereas the bibliographic information of 11 others contained a mention that they had actually been translated from a language (or languages) other than Greek. Therefore, there were 9 novels for which the *de facto* source languages needed to be uncovered in addition to confirming the source language(s) of the 11 overtly indirect ones.

Although bibliographic information cannot be trusted to reveal all indirect translations, I would argue that when a translation *is* marked as indirect, the information is more likely to be correct than false (cf. Boulogne 2015, 194). The attitudes towards indirectness naturally vary between languages/cultures and with time, but in the contemporary Finland, where indirect translations are valued negatively (see Ivaska and Paloposki 2018; Niiranen 2016), it seems unlikely that someone would deliberately want to compromise the reception of a translation by marking it as indirect if it had been done directly. The same applies to when several source texts are mentioned; this practice is so marginal – to some perhaps even completely unthinkable – that I find it improbable that the bibliographic information would list more than one source text/language if that did not reflect the reality.

Therefore, the corpus of the Finnish translations of Modern Greek prose literature compiled on the basis of information retrieved from *Fennica* seems to provide a corpus suitable for doing research on indirect translation. Together, the 22 translations form a multiple-case study, which is not only representable, because the idea is to include all the Finnish translations of Modern Greek prose literature into my dissertation research, but also new, as, at least to my knowledge, these translations have not been previously studied from any angle. As for taking language skills into consideration when deciding whether the case study is doable, the mediating languages include French, German, English and Swedish – all languages I have studied for at least a minimal amount, so the choice of the case seems both justifiable and feasible. Furthermore, two of the 11 indirect translations are marked as having more than one source text. Since compilative translation has previously been addressed mostly in passing, these two translations provide, on their own, the opportunity for a case study (or two case

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[9] The cross-check revealed another way in which bibliographic databases may be unreliable: the original language of two of the translations (Pandelis Prevelakis' *Ο ήλιος του θανάτου*, 1959, in Finnish *Ikuinen aurinko*, 1963, trans. Kyllikki Villa; and *Αναφορά στον Γκρέκο*, 1961, in Finnish *Tilinteko El Grecolle*, trans. Aarno Peromies) from Modern Greek were erroneously coded as *grc* instead of *gre*, and these titles had therefore not appeared in my keyword search.

studies) that can be justified because they bring up new aspects of (indirect) translation. The kind of methods that can be used for uncovering and/or confirming the *de facto* source languages/texts of the translations will be discussed next.

5 Uncovering the *de facto* source texts of indirect translations

Since the aim of my research is to study indirect translation – and especially the compilative and collaborative practices of translating indirectly – in depth and detail, it is crucial to devise a methodology to uncover and/or confirm the *de facto* source texts of translations in order to be able to validate (or refute or complement, depending on what the bibliography says about the source text/language) the information drawn from a bibliographic database. For example, according to the information retrieved from *Fennica*, the Finnish translation, *Ikuinen aurinko* (1963, trans. Kyllikki Villa), of Pandelis Prevelakis' *Ο ήλιος του θανάτου* (1959) was translated from German (*Die Sonne des Todes*, 1962, trans. Isidora Rosenthal-Kamarinea). However, the Finnish translator mentions in a newspaper article that her translation was based not only on the German, but also on a Danish translation (*Dødens sol*, 1962, trans. Ole Wahl Olsen) and a Greek version of the novel.[10] These two source texts/languages are not mentioned in *Fennica* – in this case, the information in the bibliographic database is correct, but partial, and needs to be complemented.

Naturally, it would also be possible to settle with the information available in bibliographies and therefore avoid the trouble of uncovering the *de facto* source texts; this could be done by framing the research so that it addresses questions of the type "what can we learn about indirect translation based on what bibliographic and title page information tell us", for example. However, I believe that it is more useful to identify all the indirect translations, or at least as many of them as possible, so as to be able to draw more accurate conclusions regarding the frequency of the phenomenon which otherwise tends to remain covert. Identifying the exact source language(s)/text(s) can help to cast light on practices of indirect translation – such as compilative and collaborative translation in their different forms – that have previously remained unnoticed.

In order to figure out how translators do indirect translations – what source language(s)/text(s) they use, whom they collaborate with, what other aids they

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[10] For more details, see Ivaska (2016); Ivaska and Paloposki (2018).

have at their disposal – one can triangulate different evidence. The material can be divided into internal and external evidence, that is, into what is found in the texts themselves and what is located outside of them in other material found, for example, in translator archives. However, it is often a matter of luck whether one is able to find suitable external research material. A translator's papers are not often conserved, perhaps because they have been considered mundane, marginal or unimportant, or because translations are thought to be secondary to the original works written by authors (see e.g. Paloposki 2001). Because of this, there may be little or no material available, save maybe for translators who are also authors (cf. Munday 2013; Cordingley and Montini 2015, 7).

However, drawing evidence from several directions is not important only in order to gather as much of it as possible. Rather, even if my focus is on *how* indirect translations are done, answering other questions – such as "who translated what, […] where, when, for whom, and with what effect?" (Pym 1998, 5) – helps to contextualize the individual translations under study. Namely, as Toury (2012, 19n2) points out, contextualization is important because "any account of an instance of translation that is wrongly located in space and time […] is bound to be misleading and result in shaky or wrong accounts"; for example, in certain place and time indirect translation may be the norm rather than the exception. Triangulation – that is, the use different methods and materials – not only helps in contextualization, but is also a means to gain analytical depth (Susam-Sarajeva 2009, 40) and, therefore, it makes it possible to draw stronger and more convincing conclusions.

5.1 External evidence: Paratexts

External evidence, found in translation paratexts, may yield information on what the source text(s) are, as well as on what kind of translational difficulties translators were faced with when translating and how they overcame them (cf. Marin-Lacarta 2017, 138; Munday 2014, 64). Genette (1991) identifies two types of paratexts: *peritexts* are usually located "around the text, in the space of the same volume, like the title or the preface, and sometimes inserted into the interstices of the text, like the titles of chapters or certain notes" (Genette 1991, 263), whereas *epitexts* are typically found outside the physical book, and include elements such as interviews, conversations and other public media, as well as correspondence, journals and other private communications (Genette 1991, 264).

Some peritexts that play an important role in translation studies may often be taken for granted. Namely, at least when copyright law protects literary products – including translations – certain epitexts can be expected to appear in

the physical object (the book) or the digital file that embodies the text. This includes information such as the name of the author, the translator, the publisher, and so forth. These pieces of basic information help to identify the text as a translation and guide the researcher to contact the people involved in the production process for interviews and/or to study their archives in search for more information on the source texts/languages used for the particular translation. However, peritexts are not always reliable; consider, for example, pseudotranslations, which purport – for example on the title page – to be translations although no translating ever took place (see e.g. Apter 2005), such as "Cervantes's *El ingenioso hidalgo Don Quixote de la Mancha*, which is presented as the Spanish translation from an Arabic original by El Cid Benegali" (Du Pont 2005, 331). Similarly, the *de facto* source texts/languages of indirect translations are not necessarily given on the title page, but instead there may be only a mention of the ultimate source text, which may be interpreted, erroneously, to mean that the translation was done directly from the ultimate source language.

Different types of epitexts, then, can be found in different places, and collecting them may require extensive efforts that might, in the end, prove fruitless. Published peritexts – such as translator and author interviews and translation reviews – may be in textual or audiovisual format in newspapers, magazines, blogs, and so forth. Private communications, like correspondences and diaries, will normally be held at archives along with possible unpublished manuscript versions of the translations, which can equally provide clues on the source texts for example in the form of marginalia or other notes that reveal what the translator's source languages/texts were.

Working with archival material often entails applying for a permission to consult the material relevant to one's research and traveling to the archives, which may complicate research in a very practical way (cf. Marin-Lacarta 2017, 141; Munday 2014, 71–72). Furthermore, the archival material relating to translations may be scattered in several locations; for example, the translator's archives may be in Helsinki and the author's archives in Rethymno, Crete, like in the case of *Ikuinen aurinko*. Despite these complications, and the need for a careful assessment of the reliability of the materials, "such sources offer valuable testimony and more direct access to the working practices of the translator and can give crucial insights into both historical circumstance and translation" (Munday 2014, 66).

Whether one is able to find relevant archival material seems to be a matter of luck, as some authors, publishers and translators leave a plethora of documents behind while others leave nothing. I consider myself lucky, as one of the Finnish

translators of Modern Greek literature, Kyllikki Villa, left so much archival material – comprising of manuscripts, biographical records, correspondence, newspaper clippings, photographs, and so forth, relating to her career as translator, journalist and author – at the Finnish Literature Society's (SKS) archives that they occupy 13 meters of shelves. Abundant translators' archives, like Villa's, seem to be more often an exception than the norm. However, if there is no archival material, similar evidence can also be acquired by interviewing the agents of translation – the translator, the author, the publisher, and so forth – provided that they are alive, can be found and are willing to be interviewed. In any case, whatever the sources for external information on the (*de facto*) source texts are, the conclusions drawn from it should be corroborated – or refuted – by means of internal evidence.

5.2 Internal evidence: Textual comparison
If external evidence may sometimes be difficult to find, the internal evidence – which is obtained through the comparison of the translation with its possible source texts (cf. Pięta 2012, 316–317; Solberg 2016) – should often be more easily available, at least if the research deals with translations that have been published and are thus available in bookstores and libraries. In theory, however, any version of the text (or several of them) – either in the language of the original or in translation – that was published before the translation was completed could have served as the translator's source. If there are many candidates for a source text, external evidence may provide useful in narrowing down options. For example, biographical information on the translator may help to exclude the source languages in which the translator had no proficiency, or one might even be able to find explicit mentions of the source text(s) in, for example, the translator's personal diaries.

The textual comparison of the ultimate source and target text together with the mediating text(s) can be carried out on structural and semantic level. The layout of the text, such as division into chapters and paragraphs, may help to identify what sources the translator used. Similarly, differences and similarities in punctuation may lead the researcher on the trail of the most likely source text(s), and yet more evidence may be found by observing whether the peritexts – such as blurbs or introductions especially by writers other than the author – of the different versions match. On a semantic level, additions and omissions, odd word choices and sentence structures, as well as (mis)matches in proper names are often easy to spot and are likely to provide key evidence on the relationship of the translation with the possible source texts.

The biggest shortcoming of textual comparison is that it is time consuming and may provide futile (e.g. Dedner 2012, 125–126), especially if there are no prior thoughts on the possible source text(s). There might be even hundreds of translations and original-language versions of a text, any (combination) of which may have served as a source text (e.g. Crisafulli 1999, 85); for example, Fernández Muñiz (2016) compares 16 versions of Ibsen's *Et Dukkehjem* (1879) in seven languages in an attempt to figure out the source language/text of one Spanish translation of the play. Furthermore, because the possibility of a compilative translation needs to be taken into account, the different combinations of the possible source texts also need to be tested, which adds to the workload.

The textual comparison may sometimes also prove unsuccessful because translators have at least some degree of artistic freedom over the translation, which may result in significant changes to the text. In other cases, there might be no copies of the source text available for comparison because they have all been destroyed or because the translator's source text was a unique version of the text; for example, Karen Emmerich (2017, 6) recounts not only how her publisher required her to shorten the translation of a Vassilis Vassilikos' novel from 750 pages to 500 pages, but also how "Vassilikos decided that one large section of the book wasn't of a piece with the rest, and carefully tore that chunk of roughly 150 pages out of the copy", therefore leaving Emmerich with a *de facto* source text that "was a physically altered copy of an out-of-print edition of a novel that had already appeared in numerous other versions in Greek." In this case, it would be impossible to figure out the exact source text without the translator's account of it.

Although textual comparison is time consuming and does not necessarily lead to certainty about the source texts/languages of translations, it is a reliable way to identify indirect translations and their sources (cf. Boulogne 2015, 194; Assis Rosa, Pięta, and Maia 2017, 124). It is also useful as such because bibliographic and title page information may give false ideas regarding the source texts, and because other paratextual evidence may be untruthful. Nonetheless, the triangulation of both internal and external evidence is perhaps still the most reliable way to uncover the *de facto* source text(s) of (indirect) translation (see e.g. Ringmar 2007, n9).

6 Discussion

The covertness of indirect – as well as collaborative and compilative – translation practices means that methods for uncovering the *de facto* source texts of

translations are needed. Because the candidates for the source text(s) may be numerous, paratextual material – including peritexts found between book covers, as well as epitexts, such as translator's interviews and private correspondence – may help in narrowing down the list of possible source texts/languages. Ultimately, the translation, the ultimate source text and the plausible mediating texts should be compared. The internal evidence thus gained complements the conclusions drawn from external evidence and helps to confirm the (*de facto*) source text(s). This kind of triangulation of evidence enriches the analysis and affirms the conclusion.

However, this twofold methodology is neither flawless nor trouble free. Firstly, external evidence may be difficult to find or even nonexistent, not to mention the possible problems with reliability. Secondly, textual comparison may be time consuming, especially if there are no prior ideas on the possible source texts/languages or if there are hundreds of source text candidates. Textual comparison may also prove futile: in some cases it might be impossible to locate the source text because the translator had a unique copy of the text at their disposal. Finally, there may also be practical complications: insufficient resources may impede travel to archives, and lacking language skills on the part of the researcher may forbid the comparison of the ultimate source and target texts with the candidates for the mediating texts.

Therefore, more efficient and foolproof methods for identifying indirect translations and uncovering their source texts would be welcomed warmly. Textual and genetic criticism (e.g., Greetham 1994; Cordingley and Montini 2015) seem to be promising directions for locating new methodological (and theoretical) tools that assist in analyzing the relationships between translations and their (*de facto*) source texts, as well as the relationships between the different translations of one novel, for example. Another possible avenue to explore, as discussed also by Marin-Lacarta (2017, 142–143), is to see whether (or how) corpus-based approaches (e.g. Zubillaga, Sanz, and Uribarri 2014) and automatic source language detection (e.g. Klaussner, Lynch, and Vogel 2014) could be used to identify indirect translations and their source texts/languages. Computational methods, especially, could have the potential to enhance also the study of phenomena such as pseudotranslation and retranslation, which are both defined in terms of their relationship to their (*de facto*) source text and/or other translations of the same work – just like indirect translations are. Coming to grips with the fact that there are many (types of) translations that do not obey the stereotype of one ST and one TT, in turn, would force us to rethink whether the current Western model of translation, which "posits a kind of exclusive, binary

and unidirectional relationship between source text and target text" (Delabastita 2008, 239; see also Bassnett 1998), is justified to begin with.
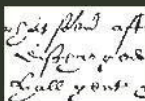
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