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# TO THE QUESTION OF EGOCENTRIC DEIXIS: THE OPENING OF CHILDHOOD MEMOIR

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**Abstract.** Fludernik's (1996: 13) view of *narrativity* in terms of *experientiality* makes the centre of narrative consciousness a more essential characteristic of narrative than the presence of a plot. Significantly, this consciousness – or *point of view* – is generated through deixis, thus, deixis is central to both the embodiment of perception and narrative comprehension. Grounded in the deictic shift theory (presented in Duchan, Bruder and Hewitt (1995); and articulated most clearly in Stockwell (2002)), the research aims at finding marked patterns of deictic shifts pertaining to the openings of childhood memoir. The literary context of the given study is limited to the Irish subgenre, and the two memoirs for analysis are Frank McCourt's *Angela's Ashes* (1996), and Hugo Hamilton's *The Speckled People* (2003). The application of the chosen methods to the opening segments reveals some regularities in the use of deictics, namely, a high frequency of first-person pronouns, such as chained *I*, *my*, and *we* as a textual indicator of intermentality, as well as pop-shifts from *I* to *we* and the obligatory shift to *you*. Other observed patterns include the voiding of the narrator and temporal shifts from the past to the present.

**Key words:** deixis, deictic shifts, personal pronouns, DST, childhood memoir, focalizing WHO, focalized WHO

## INTRODUCTION

The broader principle underlying the study is that 'when a character's speech or thought are represented, we see things, even if momentarily, from that character's point of view' (Simpson, 2004: 85). Further, accepting Fludernik's (1996: 13) definition of *narrativity* in terms of *experientiality*, we also accept her proposition that the centre of narrative consciousness filtering actions and events is a more essential characteristic of narrative than the presence of a plot. Significantly, this consciousness – or *point of view* – is generated through deixis central to both the embodiment of perception and narrative comprehension.

The research is grounded in the deictic shift theory – interdisciplinary work presented in Duchan, Bruder and Hewitt (1995) (henceforth DST) and further developed along cognitive poetic lines by Stockwell (2002) – the theory which 'bases its notion of the presence or lack of a SPEAKER or narrator on specific deictic indicators in a text rather than on a priori argument based on an analogy with ordinary human experience' (Galbraith, 1995: 46). In other words, any point of view must be deictically marked and thus it could be registered through linguistic means.

The object of the study is childhood memoir, the subgenre of literary autobiographical narratives proliferating in recent decades. The childhood memoir, and particularly the specimen of ‘troubled’ childhood cluttering front shelves of bookshops all around the world, is a comparatively recent invention. Among the traits helping the reader to identify the genre at a glance is the word *A Memoir* either on the cover, on the title page, or at least in the blurb. Definitively, memoir texture is imitated storytelling with the narrative voice of the underage narrator strongly present. As such it abounds in patterns characteristic of spoken discourse and is meant not to be discordant with the protagonist’s age.

The memoirs chosen for the analysis, namely, Frank McCourt’s *Angela’s Ashes* (1996), and Hugo Hamilton’s *The Speckled People* (2003), both belong to the prominent Irish subgenre, and both stood long on bestsellers lists (though McCourt’s book is arguably the most celebrated in the trend). The given study is focussed on the openings of the two childhood memoirs and it is an application of the chosen methods to a segment of the first chapter of *Angela’s Ashes* (1996) and the first chapter in full of Hugo Hamilton’s *The Speckled People* (2003).

Given the idea of approaching literary representations of storytelling with the methods of narrative analysis (see Fludernik, 1996; Norrick, 2000), Labov’s (1972: 370) six categories of narrative clauses, namely, the abstract (*what was it about?*), orientation (*who, when, what, where?*), complicated action (*then what happened?*), evaluation (*so what?*), result (*what finally happened?*), and coda (*putting off any further questions*), help in attributing specific functions to the analysed chunks. Locating the study against the background of the work on deixis in general, and DST in particular, the attempt is made to reveal marked patterns in the use of deictic expressions, the patterns helping to link the voice of the older narrator at present with the voice of his younger self. We leave aside any fruitless discussion on whether this evocative opening is a mimesis of the act of storytelling or the act of storytelling itself. Whatever its status might be, the opening for the whole volume is important in ‘signing the autobiographical contract’ with the reader, to use Lejeune’s phrase (1982: 193).

## INTRODUCING DEIXIS

In any conversation or a storytelling situation in a shared temporal and spatial context, speakers frequently make direct references to features of the immediate situation, and to do this ‘pointing’ they use deictic expressions. Primarily discussed in spoken language, deixis in its traditional sense includes ‘any grammatical category which expresses distinctions pertaining to the time and place of speaking or to the differing roles of participants’ (Trask, 2007: 65–6).

The prototypical deictic categories in speech are founded on the originating **deictic centre** or *zero-point* or *origo* originally developed by Bühler (1934). Serving to anchor the speaker in relation to their surroundings and other participants, ‘[e]gocentric deixis refers to linguistic markers whereby person, place and time are used in relation to the speaker (*I, here, now*). Clearly, person, tense and locative

adverbials are the main carriers of these three deictic dimensions' (Thornbury and Slade, 2006: 85). Hence, the three basic deictic categories are *personal*, *spatial* and *temporal*, and the most representative linguistic expressions used as deictics are demonstratives, first- and second-person pronouns, tense markers, adverbs of time and space and motion verbs (Huang, 2007: 132). However, purely deictic expressions can hardly be isolated and listed, because of the strong role played by the context (*ibid.*: 133).

When the prototypical speech situation is extended into written language, most often there is no shared perceptual, interpersonal, or memorial field of reference, and

deixis must be construed with reference to conceptual-linguistic schemata rather than any extralinguistic spatiotemporal and psychosocial dimensions of the immediate situation of-utterance or -reception. (Bruhn, 2005: 387)

As a result, the narrator is seen 'as mediating subject between the reader and the characters' (Galbraith, 1995: 20), and the use of deictic expressions plays a central role in anchoring description to perspective and also co-articulating multiple perspectives. So, the world of a literary work may consist of more than one *deictic field* 'composed of a whole range of expressions each of which can be categorised as perceptual, spatial, temporal, relational, textual and compositional in nature' (Stockwell, 2002: 47), and each set of expressions points to the same deictic centre.

Further, deixis is inseparable from cognition, and the fundamental advance of DST introduced by Zubin and Hewitt (1995) is 'to place the notion of deictic projection as a cognitive process at the centre of the framework' (Stockwell, 2002: 46).

According to DST, the reader creates a mental model of the story world and then projects, or shifts, her deictic center into that model. That is, in the process of reading, the reader responds to the textual cues provided by the author (who has likewise taken up one or more perspectives within the text in the process of creating it) to construct a deictic coordinate system in the world of the narrative. (Bennet, 2005: 8)

If the narrator shifts the deictic centre of the novel to an earlier point or the reader moves from the role of the real reader to the position of the implied reader, this type of deictic shift is a *push*. By analogy, moving up a level is called a *pop*, and it is best exemplified through a situation when the reader closes the book and goes back to real life. Thus, '[w]hen a deictic shift occurs, it can be either "up" or "down" the virtual planes of deictic fields' (Stockwell, 2002: 47), and it is signalled to the reader by morphological, lexical, syntactical units and elements of textual structure. Cognitive operations that the reader performs to identify the boundaries of deictic fields are called *edgework*. Zubin and Hewitt (1995) pay

special attention to ‘textual cohesive devices that are used to signal stability and change in the [deictic centre] of narrative texts’ (ibid.: 141), and subdivide deictic operation into *introducing* actors, objects, places, or time intervals, *maintaining* stability, *shifting* and *voiding* as a special case of shifting when one or more deictic centre components become indeterminate (ibid.).

## PERSONAL DEIXIS IN FIRST-PERSON NARRATIVE OF CHILDHOOD MEMOIR

In this study we hold the view that personal deixis primarily concerns the encoding of the role of the participants in the speech event in which the utterance in question is delivered (Levinson, 1983: 62), and then any type of pronouns is ascribed different roles. Despite the inclusion of the first-person narrative in general theoretical framework offered by DST, previous research has hardly yielded any specific observations on its account. The neglect may be explained by the assumption that the subjective perspective of the *overt* narrator remains constant throughout the narrative (see Bennett, 2005), and the subtlety of the subjectivity of the third-person narration allured more research than the seemingly stable focalizing WHO (‘the participant whose thoughts/perceptions are represented in the story text, or whose point of view is implicit in the description of the scene’ (Zubin and Hewitt, 1995: 134)) of the first-person narrative. In fact, although a regular first-person narrative is constrained by the specific perspective of its narrator, there are ways how to manipulate the properties of the WHO through the interaction between its two subcomponents, namely, the focalizing WHO and the focalized WHO (‘the participant on whom the Focalizing WHO is focused, isomorphic to the WHO described later’ (ibid.)).

First, the narrator may occupy two slots and be both the focalizing and focalized WHO.

Because the narrator is also the ‘speaker’ of the text, he is its I; the reader assumes that the person deictic structure of the text reflects this fact, and she therefore expects the narrator to use the first-person pronoun to refer to himself when he is the focalized WHO. The phenomena of self-address and fictional reference, however, make available to the narrator the use of the second person. (Benett, 2005: 24)

Both the first and second person are participants in the communicative situation, the status that the third person definitely lacks. However, unlike the first person, the second person needs not involve the default speaker, which opens the possibility of voiding the focalized WHO. The same effect may be achieved if the first-person-plural or second-person proforms assume generalized meanings (e.g. *we* of ‘all humanity’, the *you* of ‘anyone’). Furthermore, generalized *you* may serve to involve the reader or to distance the narrator.

Also, the plural of the first person is conceptually distinct, for in comparison with the plural of any other (pro)nominal expression *we* does not usually denote multiple instances of *I*, but refers to a group of people including the current speaker. What is more, two basic types of the first person plural pronoun *we* can be distinguished: ‘inclusive pronouns, referring to a group of people including both speaker and hearer, and exclusive pronouns, referring to a group of people including only the speaker, i.e., excluding the addressee’ (Diessel, 2012: 2415).

Focussing on the analysed material and keeping in mind its specificity, we acknowledge the relative stability of the deictic centre in memoirs of childhood. However, there should also be noted some unavoidable ‘assemblage points’, they are places where the older narrator meets his younger self and the transition between two points of view should be accommodated by the reader. Predictably, one of such spots should be in the opening where the older narrator has to come in sight at least to claim the non-fictionality of the following narrative (signing the proverbial ‘contract’ with the reader). So, the transition to the narrative proper enacted by a number of deictic shifts should serve additionally to gain credibility and fuller involvement of the reader.

## THE OPENING OF THE CHILDHOOD MEMOIR AND ITS DEIXIS

The material under analysis is an expository segment of the first chapter of Frank McCourt’s *Angela’s Ashes* (1996) and the first chapter in full of Hugo Hamilton’s memoir *The Speckled People* (2003). In each case, the patterns in the use of deictic expressions, namely, personal pronouns, tense forms and occasional adverbial phrases are to be registered, and their function in the interaction with other textual phenomena is to be pointed out. The attempt is to find the idiosyncratic patterns of deictic shifts pertaining to the openings of any Irish memoir of childhood.

## ANALYSIS OF ANGELA’S ASHES OPENING

In his first memoir Frank McCourt ‘employs the historical present and narrates the events of his childhood largely from his perspective as a child at the time of the action’ (Phelan, 2005: 3). Although autodiegetic narration (i.e. the narration pertaining to a narrator who is also the protagonist) in the simultaneous present tense is probably the central question of any narratological analysis of this memoir, the primary focus of this study is the gate introducing the reader to the storyworld in Young’s terms (2005).

Excerpting the text is comparatively easy if bearing in mind narrative exploitation of intonational factors. As Norrick (2000: 20) puts it: ‘Written texts are structures around complete sentences, while spoken language is organized around intonation units.’ The more ‘realistic’ the mode of narration, the more mimetic it is, and, logically, the closer it is to the model of natural storytelling



and its structure. Since the memoir is a literary representation of storytelling, line breaks stand for longer pauses in oral discourse, and, consequently, they graphically frame meaningful segments (or episodes) of the narrative. Actually, literary narrative has appropriated all components of natural narrative (see Labov, 1972), occasionally leaving some out or radically changing their order.

Similarly to the beginning of any natural narrative, the opening of *Angela's Ashes* claims undivided attention:

*My* father and mother *should have stayed* in New York where they met and married and where I was born. Instead, they *returned* to Ireland when I was four, my brother, Malachy, three, the twins, Oliver and Eugene, barely one, and my sister, Margaret, dead and gone. (1)

With the modal form 'should have stayed', the opening clause of the first sentence is clearly an evaluation. The directness of the authorial narrative creates an effect of familiarity and the environment of conversational storytelling. The second sentence starts with the immediate spatial shift enacted by the movement predicate 'returned', the verb also hinting at the family's earlier move to New York. Overall, the paragraph pre-empts the whole story told in the first chapter.

Personal deixis is projected and maintained by the first person pronouns 'I' and 'my'; the children are introduced with their names in subject position, which further pushes the reader into the storyrealm, i.e. in the position of the implied reader.

When I look back on my *childhood* I wonder how I survived at all. It was, of course, a *miserable childhood*: the happy childhood is hardly worth your while. Worse than the ordinary *miserable childhood* is the *miserable Irish childhood*, and worse yet is the miserable Irish Catholic childhood. (1)

The temporal shift from the simple past to the present simple and the subsequent chaining of the word 'childhood' (repeated 6 times) and the collocation 'miserable childhood' (4 times) foregrounded by the presentative structure 'it was' bring the entire schema of childhood, the schema considerably informed through the discourse itself. The generic use of 'your' here – referring to all/anyone – gives the subsequent claim more credibility. The two inversions with the negative adverbial 'worse' complete the 'miserable' picture. Significantly, popping out from the opening to the frame of the preface helps the reader look from above and locate irony ('happy childhood' is only possible when neighbouring the second person pronoun 'your').

Starting the next paragraph with the claim to universality – 'People everywhere brag and whimper about the woes of their early years' (1) – the narrator shifts from the general focalized WHO of 'people' to the more exclusive 'Irish version' – 'but nothing can compare with the Irish version' (1).

The deictic use of the definite article in ‘the terrible things they did to us for eight hundred long years’ (1) is particularly interesting. It creates some expectations in the reader as a cataphoric reference, though the explanation never follows, and, recurrent throughout the book, the phrase acquires the status of universal knowledge. Such contextually coined formulas appear in all childhood memoirs; when unquestionably repeated by a child-narrator they serve to ironize these chunks of stale adults’ wisdom.

The presentative structure with the preposed (i.e. shifted to the beginning of the clause) adverbial phrase ‘Above all – we were wet’ changes the focalised WHO into ‘we’ in the next paragraph, thus pushing the reader back inside the story framework. The tense shifts back too, and remains the past simple till the appearance of the child-narrator later in the chapter. The ironically poetical balanced sentences create a rhythmical pattern:

It created a cacophony of hacking coughs, bronchial rattles, asthmatic wheezes, consumptive croaks. It turned noses into fountains, lungs into bacterial sponges. It provoked cures galore: ... (1)

The resulting objective context voids the focalizing WHO of the narrator rendering him omniscient. To support the effect, the reader is further pushed into the storyworld:

...to ease the catarrh you boiled onions in milk blackened with pepper; for the congested passages you made a paste of boiled flour and nettles, wrapped it in a rag, and slapped it, sizzling, on the chest. (1)

The generalised ‘you’ here does not distance the reader from the content matter, but serves to involve the reader. The whole paragraph and the rest of the segment amount to orientation outlining the rainy place of the storyworld.

Out of the Atlantic Ocean great sheets of rain gathered to drift slowly up the River Shannon and settle forever in Limerick. (1)

The preposed locative adverbial in the form of a nominal phrase is followed by the geographical markers anchoring the further narrative to the specified location. Although Limerick is clearly the main place of action, there is no definitiveness in the temporal coordinates: ‘from the Feast of the Circumcision to New Year’s Eve’ (1) – the temporal adverbial leaves the time hanging in the mist of dampness and past. ‘From October to April’ (2) – this temporal reference doubles the endless circularity of time created before, and it is echoed in the never-ending circle of church services (‘At Mass, Benediction, novenas’ (2)).

Limerick gained a reputation for piety, but we knew it was only the rain. (2)

The focalized WHO of the deictic centre shifts back to ‘we’, though this time the first-person plural is also enacted by the personal pronouns ‘us’ and ‘our’,

making the focalized WHO less of a subject of intention, i.e. a less of intentional and more acted upon entity.

The next nine pages (pp. 2–11) contain the anterior story of the narrator's parents and it is not to be analysed in detail except some comments on personal deixis there. The story is technically outside of the main narrative and is deictically linked to the main plot line with the use of the first person singular 'I' ('When I was a child I would look at my father... When I was thirteen...' (2)), and especially with the possessive 'my' marking all family relatives of the narrator ('my mother', 'my father' etc.). Gradually, however, any trace of the narrative voice disappears giving way to pure storytelling. Its narratability is strengthened by McCourt's authorial gimmick of not putting direct speech in quotation marks.

The opening (or the exposition in literary terms) is evidently over and the story proper starts with the focalization on the child-protagonist. The deictic shift is twofold: the projection is enacted with the first person singular pronouns and the change into the narrative present:

I'm in a playground on Classon Avenue in Brooklyn with my brother, Malachy. He's two, I'm three. We're on the seesaw. (11)

After that the deictic centre remains tightened to the stable focalizing WHO of the child narrator and the narrative present up to the end of the book.

## ANALYSIS OF *THE SPECKLED PEOPLE* OPENING

The first line 'When you're small you know nothing' (1) is clearly an evaluation and it pushes the reader in the realistic frame of telling. The use of the second-person pronoun is not consistent, however, and already in the second paragraph the deictic centre defined by the first person 'I' and 'my' and the deictics of the past tense enables the situation of traditional storytelling. The shift to the present at the end of the paragraph – '... and I thought, maybe she's not laughing at all but crying' (1) – reduces the distance between the focalizing and focalized WHO and as such gives the impression of immediacy.

Opening with the series of nearly identical questions 'How do you know ...', thus, echoing the very first sentence, the third paragraph can be classified as second-person narration. It proceeds with the subject chaining 'You know', 'You can see', 'You can hear', etc., and it is marked by the use of the present tense, the mental-state verb and the verbs of perception. The shift to the second person pronoun here is intricate, for it moves 'you' into the position of the focalizing WHO, whereas the scope of WHAT (mother, father, etc.) and spatial deixis (in Ireland) are maintained. This technique moves the reader closer to the protagonist and furthers reader's involvement.

The textual deixis of the next line and the expanded formula of 'When you're small you know nothing. You don't know where you are, or who you are, or what

questions to ask' (2) encode a pop-shift to the level of evaluation. The repetition serves as a refrain raising definite expectations, and it is followed by a due segment of conventional storytelling deictically marked by the simple past tense and first person pronouns.

Starting with 'Then my mother and father did a funny thing.' (2) and throughout the paragraph, the use of the first person pronouns is different in comparison with the preceding segments. The focus on the parents marked by the frequent use of 'my mother', 'my father' towards the end of the paragraph shifts to the focus on the siblings enabled by the use of 'we' and 'us', whereas 'I' occurs only once in the combination 'my brother and I' (2). In Palmer's (2004) terms, the first person plural pronouns here are the textual indicators of *intermentality*, the attribution of shared internal states to a group consisting, in this case, of the narrator and his brother. Significantly, starting from the second chapter and till the end of the book, the personal deixis encodes only these three types of perceptive participants, i.e. the young protagonist, him together with his siblings and, finally, his parents.

The third instance of the modified 'When you're small you're like a piece of white paper with nothing written on it' (3) is followed by an expected push into the storyworld similarly enacted by the deictic use of the first person pronouns 'my' and 'we'. There is no paragraphing and temporal shift after this sentence as it moves on 'My father writes down...' (3), and the effect is of a minor defeated expectancy and increased tempo. The maintenance of the present tense and free direct speech 'my father says your language is your home and your country is your language and your language is your flag' (3) at the end of the paragraph create some ambiguity of address aiding stronger reader's involvement.

In fact, the function of the personal 'your' in the example above is not to be confused with the generic 'you' of the following sentence, namely, 'But you don't want to be special' (3). The next sentence with the spatial shift enabled by the preposed locative adverbials in 'Out there in Ireland you want to be the same as everyone else' (3) disambiguates 'you' entirely. Furthermore, 'there' is a perfect example of the use of distal spatial deixis to create emotional distance and invite the objective look through a minor pop out of the narrative.

The feature significantly different from McCourt's memoir is the strong presence of 'they' often brought into the status of the focalized WHO, and the juxtaposed 'us'. It is not surprising, for, in contrast with 'I' and 'we', 'us' is used to talk about how other people affect or are going to affect the narrator(s). The mottle birds of the mixed background, the narrator and his siblings are constantly in a precarious position, and their struggle to come to terms with their identity is arguably the main driving force of the memoir.

Further on, the frequently used first person singular pronoun 'I' usually marks the places of the highest emotional tension as in the episode below:

...and I go home and tell my mother I did nothing. But she shakes her head and says I can't say that. I can't deny anything and I can't fight

back and I can't say I'm not innocent. She says it's not important to win. Instead, she teaches us to surrender, to walk straight by and ignore them. (3)

The subject chaining is usually a maintaining device serving to make the deictic centre even more stable. Here, the shift to the focalized 'she' comes highly unexpected, and as such it foregrounds the contrast as well as the heteroglossia of the narrative (Biczutko, 2008).

Consisting of singular but thematically important episodes, the rest of the chapter pre-empts the essential conflict faced by the children in the narrative, and, thus, can be considered as a sort of abstract. Another distinctive feature of the narrative is its constant temporal shift from the present to the past and back to the present. The shift either draws the reader nearer or distances him from the action; the fluctuation in projection keeps the reader alert and emotional.

## CONCLUSIONS

Starting with personal deixis, both excerpts contain a predictably high frequency of first-person pronouns. However, their distribution is uneven and contextually dependent. Thus, the first person singular 'I' is regularly chained when the stability of the deictic centre is required to foreground the narrator. 'My' is probably the second frequently used first-person pronoun. The use of the first-person plural pronouns, however, is more random, though the presence of 'we' as a textual indicator of 'intermentality' (Palmer, 2004) is paramount. The personal shift from 'I' to 'we' is enacted and functions as a pop, presenting a broader picture of differently formed alliances to public view. Still, the most frequent pronouns are 'I' and 'my', which, in fact, is a norm for fictional and non-fictional first-person narratives (Semino, 2011), and is particularly suitable to the egocentric mind of a child-narrator. The use of the personal pronoun 'us' makes the narrator less of a subject of intention, and, therefore, its appearance and frequency depends on the subject matter of the memoir in question.

The shift to the second-person pronoun 'you' slightly varies in function, but it is an obligatory feature of any memoir opening. The direct reference to the addressee/reader can hardly be found any further than in the first chapter (the exception might be its use in the last closing chapter).

Another pattern observed in memoir openings is the voiding of the narrator in generalisations serving to give more credibility to the autobiographical nature of the memoir and helping the reader with his deeper involvement.

In terms of temporal deixis, the temporal shifts from the past into the present and the other way round are frequent as in any natural narrative, but can hardly be systematized on the basis of the meagre evidence collected in the analysis. The question is whether any such systematization is possible, for temporal shifts very often serve situational and stylistic purposes.

Although both writers actively use textual deixis to provide for the episodic structure of their openings, the authorial arrangements are different. So, McCourt employs the graphological device of an empty line, and Hamilton marks a shift by the proverbial sentence ‘When you are small...’, which is twice repeated identically and paraphrased for the third time, thus, drawing attention as a textual construct.

All in all, the study was an attempt to look at the deictics in the opening of the childhood memoir and come to some tentative conclusions about their functioning. So, there have been revealed some definite patterns in the use of personal pronouns and tense shifts; despite comparatively frequent preposed locative adverbials, their use appear to be context specific. A quantitative research on a bigger massive of data along the same lines should help with reaching subtler and more precise conclusions.

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# MODALITY MARKERS AND SHIFTING GENRE CONVENTIONS IN DICTIONARY DEFINITIONS

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**Abstract.** The paper analyses the entries of *Oxford Fowler's Modern English Usage* (2004), building up on our previous research on changes in modality of lexicographic discourse. It is argued that its prescriptivist stance has been toned down not only by the preference for genre-specific epistemic modality markers instead of deontic modality markers, but also by employing in definitions a wide scope of common epistemic modality markers related to probability, certainty or uncertainty as regards the validity of the proposition. The prevailing defining vocabulary is now that of opinion or advice. Recommendations on usage also often refer to register variables singled out by systemic-functional linguistics: tenor (degrees of formality signalled by labels like *formal*, *informal*, and by pragmatic labels: *offensive*, *affectionate*, etc.), field (*legal language*, *marketing*, etc.) and marking the type of discourse and mode (*spoken – written*). Register variables split the notion of Standard English further and qualify prescriptive statements on usage, making them fully valid for a particular register only. Thus, the analysis reveals a broad range of both non-specific and genre-specific low modality markers employed in the texts of dictionary entries as new genre conventions of both content and form. It shows that these conventions are historically relative and that low modality is a new mode of address to dictionary users.

**Key words:** dictionaries of usage, prescriptivism, genre conventions, modality markers, register variables

## INTRODUCTION

This paper builds on the results of the previous research (Dorošenko, 2012) which had analysed shifts in the concept of the standard of usage in *Oxford Fowler's Modern English Usage* (2004) brought about by the increasing use of corpus data or, at least, of secondary sources based on them, in traditionally conservative and overtly prescriptive dictionaries of usage. The previous paper had been focused on indicators of frequency of usage (e.g. 'widely used, increasingly found, typically/often/mainly/sometimes/ rarely/ used', etc.) in *Fowler's* entries serving as markers of epistemic modality, and all modal markers expressing deontic modal meanings (e.g. 'has to be used, should be avoided, preferred, advisable', etc.). It had taken into account high and low modality in both epistemic and deontic modal meanings. The findings based even on this limited range of modality markers had revealed that in *Fowler's* entries the overall balance was decidedly in favour of epistemic modality; in epistemic modal meanings it was in



favour of high modality markers, while in deontic modal meanings the share of low modality was bigger. The findings had also allowed us to conclude that genre (or type of discourse) and context are the decisive factors in establishing the meanings and functions of particular modality markers. For example, indicators of frequency referring to high probability or likelihood of occurrence have functions opposite to those in academic discourse beyond lexicography, where they are used primarily as hedges signalling low modality (e.g. 'often' signals there lower epistemic modality than 'always', while 'often used' in *Fowler's* is a booster). Thus, it had been shown that both the range and functions of some modality markers in dictionary entries are genre-specific.

The present research discusses several groups of modality markers left beyond the scope of the previous paper and interprets observations on modality markers in *Fowler's* dictionary entries in the frameworks of contemporary genre studies and systemic-functional linguistics. It focuses on the link between the changing genre conventions of lexicographic description, register variables (field, tenor and mode) of this description and the modality of the dictionary's entries, viewed as part of tenor. Observations on tenor, in their turn, allow to draw conclusions on two target readerships of *Fowler's* dictionary and the changing writer-reader relationship.

## THEORETICAL BACKGROUND

### 1 GENRE STUDIES

While approaches to genre, genre definitions and classifications are highly diverse (outlined in Chandler, 1997), several assumptions relevant for this study have been used for the purposes of this research:

- genres constitute particular conventions of content and form which are shared by the texts regarded as belonging to them;
- genre can be viewed as a *relationship* between the makers and audiences of texts (a *rhetorical* dimension);
- genre conventions are not necessarily fixed forms, they are subject to changes: both their forms and functions are dynamic;
- changes in genre conventions may involve shifts in boundaries between genres.

Several comments on these interrelated assumptions are required.

It should be noted that the writer-reader relationship in genre studies often tends to be discussed in terms of positioning or construction of the subject: 'genre is a textual code which constructs the subject' (Chandler, 2007: 189), or: 'generic frameworks can be seen as involved in the construction of their readers' (*ibid.*: 190). However, the writer-reader relationship is admittedly a two-way street: 'In order to communicate, a producer of any text must make some

assumptions about an intended audience; reflections of such assumptions may be discerned in the text' (ibid.: 184). It is then equally justifiable to discuss here the writer-reader relationship in terms of dictionary-makers meeting the needs and expectations of the assumed dictionary users. Thus, 'assumed target readership' is probably preferable to 'constructed' in the given context. The traditional profile of an average dictionary user commonly portrays a person with some degree of language awareness or linguistically somewhat insecure: 'The definition of a word given by a dictionary entry is intended for a group of users belonging to those who speak or want to speak the standard form of the language of the dictionary in question' (Janssen, M. et al., n.d.: 2).

The assumptions of dictionary makers about the intended readership should be reflected by certain conventional features of the texts of entries. Among others, these are the 'modes of address' (Chandler, 2007: 190) and, more specifically, also the modality of lexicographers' statements, which 'refers to the reality status accorded to or claimed by a sign, text or genre' (ibid.: 254).

It is also argued in genre studies that genres are dynamic: 'genre is ... in a constant process of negotiation and change' and that their boundaries can change: 'the boundaries between genres are shifting and becoming more permeable' (Chandler, 1997). The latter two assumptions concern different kinds of variation in genre conventions. Variation can concern genre development in time or differences in genre conventions in a certain period. For example, Hyland's comparison has revealed genre variations in academic writing across disciplines: in 'soft' and 'hard' sciences (in Hyland, 2004, 2008 and other works). The term *discourse community* 'understood as a group who have texts and practices in common', in Hyland's view, helps 'to explain genre variation across different groups' (Hyland, 2008). This makes genre variation ultimately determined by the writer-reader relationship.

From the viewpoint of variation in genre conventions it also makes sense to find out to what extent the definitions in *Fowler's* dictionary can be viewed as prototypical lexicographic discourse, or an aberration, or a hybrid revealing some new tendencies, i.e. the dynamics of the genre. By 'prototypical' we mean that traditional dictionaries are viewed as samples of 'didactic discourse', or metalinguistic texts of didactic nature where the default modality of lexicographic texts was a statement of fact (Dorošenko, 2012: 15). This implies strong/high epistemic modality in general explanatory dictionaries at large and in dictionaries of usage in particular, as well as a very visible presence of strong deontic modality in dictionaries of usage, given their explicitly prescriptive nature. Deviations from the traditional default (strong) modality may signal shifts in genre boundaries.

## 2 REGISTER AS REALISATION OF GENRE IN SFL

In a different theoretical framework, in systemic-functional linguistics (SFL), the concept of genre is defined through register variables: field, mode and tenor (Eggins, 2004: 26). The link between the concepts of genre and register at large

is referred to in SFL as ‘contextual coherence’, or else, as ‘coherence of register and genre’ (ibid.: 95). Since the language used is determined by register variables, register is seen in SFL as a realisation of a genre: ‘It is through language that genres are realised’ (ibid.: 42).

It is possible to establish links between the terminological frameworks of genre studies and SFL. Thus, ‘conventions of content’ can be related to field (all *Fowler’s* entries concern standards of language use), while ‘conventions of form’ – to the kind of language used in the entries: ‘...texts of different genres will reveal different lexico-grammatical choices’ (ibid.: 42). The ‘relationship between the makers and audiences of texts’ in genre studies is actually related to all register variables: field, mode and tenor, and the latter variable is defined, broadly, as the ‘social roles’ played by the participants of communication (ibid.: 26), the notion being further split into the relative status of participants (and therefore the degree of authority claimed by the author) and social distance, which involves attitude and modality. Thus, modality is one of the constituent elements of tenor and as such is an integral feature of genre.

It will be argued that markers of register in dictionary entries can be viewed as modality markers, since they qualify recommendations on language use, making them not universally applicable to all its levels and, therefore, lowering their modality. This, in its turn, allows us to consider register markers as genre-specific modality markers in lexicographic discourse. The approach had been used in the discussion of frequency markers in *Fowler’s* entries (Dorošenko, 2012), based on one of epistemic modal meanings singled out in SFL: ‘degrees of certainty, likelihood or usuality/frequency (the speaker expresses judgments as to the frequency with which something happens or is)’ (Eggins, 2004: 180).

## GOALS OF ANALYSIS AND RESEARCH QUESTIONS

This research investigates some elements of *Fowler’s* dictionary entries not taken into account previously, namely:

- epistemic modality markers related to probability, certainty or uncertainty as regards the validity of the proposition, or degree of commitment to its truth-value beyond/others than indicators of frequency of use (not genre-specific);
- markers of three register variables singled out in systemic-functional linguistics (SFL): tenor, field and mode, which, we shall argue, can be interpreted as genre-specific modality markers.

Both groups of modality markers are part of what is usually called the metalanguage of lexicographic description, but there is a difference between them. The markers in the first group have to do with the validity of statements made by lexicographers about the units described in the entries. Unlike indicators of frequency of use investigated earlier (Dorošenko, 2012), they are non-genre-specific, i.e. they can be used in the same functions in other kinds of texts, e.g.

academic. The members of the second group are practically labels (even though in *Fowler's* they are not presented graphically as such, being part of the texts of entries). As noted by Janssen M. et al., 'We have to make the notion of label independent of the specific medium in which a dictionary is presented. So, even if we read somewhere in a dictionary: **buck**, an informal way of saying *dollar*> the entry in fact contains a usage label' (Janssen M. et al., n.d.: 2). It is often indicated in *Fowler's* entries that the units described are restricted in use due to belonging to a particular field, tenor and/or mode. Since this means that recommendations are not universal truths, but apply to a limited scope of language use, we treat these indications as genre-specific modality markers signalling relatively low modality. Moreover, the indicators of register variables sometimes have qualifiers (e.g. very, quite), which makes modality a continuum or a gradable scale.

The extended range of entries' elements under analysis will allow us to determine the overall balance between epistemic and deontic modality in the sample of *Fowler's* entries on the whole, i.e. to establish the prevailing type of modal meanings in them. Since all deontic modality markers had already been taken into account in the previous research, it stands to reason to assume that the relative 'weight' of epistemic modality markers will increase considerably, but it remains to be seen whether the dominance of low modality will be as obvious. It will also be possible to find out the share of different modality markers in the sample.

## DATA COLLECTION AND PROCEDURE OF ANALYSIS

The same sample of data as in the previous research has been used: all entries for the letter E in *Oxford Fowler's Modern English Usage* (2004: 192–235) (the total number of entries is 206). The collection of data involved:

- common epistemic modality markers related to probability, certainty or uncertainty as regards the validity of the proposition, or degree of commitment to its truth-value;
- indicators of register variables for the units of description: field, tenor and mode.

It should be noted that both the units of description (heads of entries) and the metalanguage of definitions in dictionaries of usage are much more varied than in explanatory dictionaries. Heads of entries vary from morphemes to phrases, and no restrictions on defining vocabulary or the structure or size of the entries are at work.

Similarly to the previous research, word-classes of modality markers were not relevant when grouping data: the presence of the marker in the dictionary entry and its function regardless of the word-class (e.g. adverb or adjective, verb or noun of the same root) were relevant. Tokens (the number of occurrences) of modality markers were taken into account to determine the overall number of modality markers having particular functions.

## RESULTS AND DISCUSSION

### 1 EPISTEMIC MODALITY MARKERS: PROBABILITY, CERTAINTY/UNCERTAINTY

#### 1.1 DELEGATING RESPONSIBILITY/AUTHORITY TO LANGUAGE USERS

Some statements on language use in the entries of *Fowler's* are presented as the opinion or preferences of the public (or part of it), rather than the opinion or preferences of the dictionary makers. The full list comprises: regarded as offensive (2), attracted disapproval (2), strong disapproval, regarded with disfavour, criticized for, the object of criticism, had their share of criticism, has come in for much adverse criticism, attacked, objected to, would object to, defended by ..., unchallenged' (1 token for each).

Some of the entries are exercises in diplomacy, e.g.:

**end product, end result ...** These have been criticized for containing an element of redundancy (...) but they are well-established.

**enjoin ...** Fowler (1926) wrote that this construction [*you enjoin a person to do something*] is not recommended, but (...) it is now too common and useful to be objected to.

The issue is not whether an opinion or attitude registered in the entry is positive or negative (though negative ones in the list above are in overwhelming majority), but that this is the vocabulary of opinion and debate, i.e. of probability, not certainty or obligation. These markers refer specifically to the presumed attitudes of the public to instances of language use described in the entries, not to the preferences of the dictionary-maker or the attitude of the speaker/writer implied in the language forms described (discussed below in 2.2.2.). Reporting a public opinion instead of stating one's own implies distancing from recommending or prohibiting a particular instance of use and delegating the responsibility for the judgment to the speaking/writing community, thus in a sense lowering the modality of the lexicographer's own statements. Passive voice forms ('have been criticised', etc.) with the optional by-agent absent becomes a useful tool for voicing depersonalised statements ascribed to the community.

While the total number of such entries (15) is not impressive, we should also take into account the 105 references to frequency of use ('widely used, regular/rare use', etc.) in 206 entries of the same sample, discussed in the previous research. Notably, high frequency markers dominate (83 tokens of 105) and are either used for recommended, not prohibited use, or else no explicit advice is given by the dictionary in entries containing indicators of high or low frequency of use. (Dorošenko, 2012: 22–23). Frequency markers should therefore also be viewed as the delegation of authority to the community of speakers/writers.

## 1.2 HEDGING THE DICTIONARY MAKERS' OWN OPINIONS ON LANGUAGE USE

When no explicit references to public taste are made in the entries, i.e. responsibility for the statements in entries is definitely that of the dictionary, modality markers related to probability, certainty or uncertainty as regards the validity of the proposition, or degree of commitment to its truth-value are often used. The tendency to resort to scalar evaluations is obvious. The scale is represented by:

- adverbs of degree: most (2), more (17), less (6), principally (3), primarily (3), largely (2), somewhat, rather, mainly, especially (each by one token) – 37 tokens. They are often used as modifiers of evaluations: 'correct, standard, appropriate, attractive, natural, interchangeable', of the verbal form 'is used', etc.
- modal adverbs or adjectives: *probably, possible, likely* – 5 tokens. The verbs *seem* and *tend*, the noun *tendency* – 4 tokens.

Examples:

**empathy** ... tends to replace *sympathy* or *feeling for* when these words are sometimes more appropriate.

**-er and -est forms of adjectives and adverbs** ... some words ... can take *-er* and *-est*, although the forms sound somewhat less natural.

**ellipsis** ... less obviously wrong, but best avoided, are cases where the number (singular/plural) changes ...

**-er and -est forms of adjectives and adverbs** ... It is often possible to form comparatives and superlatives both by *-er* and *-est* forms and with *more* and *most*.

**Exceptionable** ... In the following examples, *exceptionable* seems to be used in error for other words...

The overall number of tokens amounts to 46, i.e. they are employed in almost one fourth of the entries in the sample.

## 2 REGISTER VARIABLES: FIELD, TENOR, MODE

### 2.1 FIELD MARKERS

Field markers refer to various domains of activity, practical or academic, and, therefore, to the types of discourse used in them. Irrespective of the particular domain, field markers indicate that the word/phrase/form is not part of general usage, but is restricted to particular occupational groups, be it terminology or professional jargon. This makes the recommendation or prohibition of the item not universally applicable to all situations, and, therefore, it has a relatively weak



modal value. The fields and respective types of discourse can be roughly divided into the following groups:

- legal language (legal language, law, lawyers) – 10 tokens;
- verbal arts (poetry, literature, rhetoric, correspondence) – 12 tokens,
- journalism (newspapers, magazines, journalese) – 18 tokens;
- other arts (ballet, photography, theatre) – 5 tokens;
- business, marketing and advertising – 9 tokens;
- natural and exact sciences (chemistry, ecology, physics, computing) – 8 tokens;
- humanities (ethics, metaphysics, psychology, aesthetics) – 4 tokens;
- bibliographical citation – 2 tokens.

A surprisingly small group of 3 markers are tags for ideological stances and respective discourses (feminist, politically correct, male chauvinistic) – 3 tokens.

Examples:

**epoch** ... in geology, the three terms *epoch*, *era* and *period* have special meanings...

**executive** ... In attributive use (before a noun) *executive* has developed a meaning used in marketing to describe anything promoted as suitable for use by executives...

**evasion** ... has a special meaning in relation to legal obligations, and differs from *avoidance* in denoting illegality.

**-ess** ... In the 20<sup>th</sup> c. the feminist and politically correct movements have had a devastating effect on the fortunes of many *-ess* words, and have effectively brought the life of *-ess* an active suffix to an end.

Field markers are the largest group of register variables in the sample – 61 token.

## 2.2 TENOR MARKERS

### 2.2.1 Degrees of formality

Tenor markers applied to the items described in *Fowler's* entries fall into two groups: indicators of degrees of formality and indicators of attitudes. The first group comprises 24 tokens denoting degrees of formality; they place the unit described in the entry in the formal-informal continuum:

- formal(ly) – 8 tokens;
- literary – 2 tokens;
- informal(ly) – 10 tokens;
- casual, everyday, slang – 4 tokens.

In 4 instances, ‘formal’ has qualifiers: *more, rather, somewhat*, which makes the formal pole itself also a gradable scale. The prevalence of ‘informal’ over ‘formal’ is insignificant (14 versus 10), but might be due to the fact that being inappropriately informal is more of a risk socially than being too formal: ‘The reason for marking a certain use has traditionally been to warn users about the possible social consequences of a word’ (Janssen et al., n.d.: 3).

Examples:

**enough, sufficient, sufficiently** ... Choice between *enough* and *sufficiently* [...] is normally determined by the degree of formality, *sufficiently* being the more formal.

**even** ... In informal contexts involving negatives, *even* sometimes comes at the end of a sentence.

### 2.2.2 Attitudes

Since tenor concerns the roles of participants of communication and interpersonal meanings, the second group comprises references to attitudes, expressed explicitly or implied in particular words, phrases or forms. They are loosely known as connotations, but some explanatory dictionaries, e.g. *Cobuild* (2009) list many of them as ‘pragmatic’ labels. They can be divided into markers of positive and negative attitudes:

- negative: offensive (4), disparaging (2), negative (2), ironic(ally) (2), derogatory, hostile, disapproval, dislike, not favourable, bad overtones (1 token for each);
- positive: favourable (2), approval, in positive contexts, affectionate, humorous, comic, facetiously (1 token for each).

The markers of negative attitudes in the sample are prevailing: 16 negative versus 7 positive. The balance is, again, the evidence of social risks involved for the speaker/writer unaware of negative connotations.

Examples:

**enough, sufficient, sufficiently** ... in the sentence [...] *sufficient* implies a stronger element of disapproval of the inadequacy than would be the case if *enough* had been used.

**-eer** ... In more recent use, it has taken on disparaging connotations, as in *pamphleteer*...

**ever so** ... used... in positive contexts as an intensive meaning ‘vastly, immensely’.

The total number of markers of attitudes is 24. The markers of degrees of formality and attitudes all in all account for 48 indicators of tenor, the second largest group of register variables in the sample.



### 2.3 MODE MARKERS

There are 22 direct references to either the spoken or the written mode. The indicators used are: writing, writer(s), written English (10 tokens); speech, spoken (English), speaker(s), conversation, conversational (12 tokens). They are sometimes used with markers of formality, as in ‘casual speech’ or ‘everyday speech’. It should also be noted that mode markers are generally a group with fuzzy boundaries, since they overlap with field markers: either the spoken or the written mode, or both can be implied by such fields as journalese, legal language and some others. The total number of register markers is 131.

## CONCLUSIONS

Taking into account the 105 frequency markers discussed in our previous research, the total number of epistemic modality markers for 206 dictionary entries of the sample amounts to 312 (about 1.5 per entry). The number of epistemic modality markers is 6 times higher than that of deontic modality markers (*can, cannot be used, advisable, best avoided*, etc.) in the sample: 52 (Dorošenko, 2012: 25). Frequency and register markers dominate: 120 and 131 tokens respectively. Indicators of the tenor of the units of description (degrees of formality and attitudes) and of the tenor of lexicographers’ opinions on language use voiced in the entries (hedges) are prominent: 48 and 46 tokens.

Reliance on factors like frequency, public opinion, register variables restricts traditional prescriptivism. Differentiation of levels of usage (markers of register variables) leaves little place for ‘universal truths’ and therefore lowers the modality of lexicographers’ statements.

In this study markers of register variables in the entries of *Fowler’s* have been viewed as elements of genre conventions of its entries, sharing a common function: they all lower the modality of statements on language use by making them not universally applicable to all its levels. A broad range of both non-specific and genre-specific low epistemic modality markers employed in them shows that new conventions of both content and form of lexicographic discourse emerge not only in explanatory, but also in the traditionally prescriptive dictionaries of usage. Low modality is a new mode of address to their readers. These conventions are therefore historically relative. This is evidence to the fact that, even though genre dynamics is largely associated with ‘literary genres in particular’ (Chandler, 1997), genre is not a ‘given’ or fixed form in lexicography either.

The changed conventions for dictionary entries signal the change in the composition of the target readership. The average users of dictionaries and their needs remain largely the same (they still tend to look for authoritative recommendations on language use). However, if genre is seen in terms of communicative purposes, then *Fowler’s* dictionary now aims not only at

recommending correct usage, but also at informing and convincing. Moreover, since dictionary claims to take into account the data from language corpora, texts of entries are viewed as part of academic, not only prescriptive discourse. They become susceptible to the judgment of another group of readers—academic peers. Their opinion has become relevant and the texts of entries have been geared to their, if not ‘needs’, then requirements. As noted by Hyland, ‘...writing is a practice based on expectations. The process of writing involves creating a text that the writer assumes the reader will recognise and expect’ (Hyland, 2008: 544). Then the changes involve not only a shift in the relationship between the authors and readers, but also another category of users: those not seeking advice, but assessing the texts critically.

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# MOVES IN THE INTRODUCTION SECTIONS OF APPLIED LINGUISTICS RESEARCH ARTICLES

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**Abstract.** Interest in the research article as a representative of a genre in different disciplines has resulted in many studies, which are essential for English for Academic Purposes. The present paper deals with move sequences in the Introduction sections of research articles in two journals in applied linguistics. The analysis of ten introductions from each journal is based on the Swales's Create a Research Space model published in 1990. The results demonstrate that the writers use not only the M1-M2-M3 pattern, but also a variety of other move sequences in the Introduction section. It is observed that the headings of research articles may be misleading. The Introduction discussed in Swales's IMRD model refers more to the Introductory part than the Introductory section. It is concluded that the Swales's IMRD and CARS models may need elaboration to make them more applicable for teaching research article writing in applied linguistics.

**Key words:** applied linguistics, research articles, the Introduction section, move analysis, moves, steps

## INTRODUCTION

The Introduction is considered to be a difficult section of a research paper, as it is necessary to decide what to include in it and how to arrange the information (Swales, 1990: 137; Swales and Feak, 1994: 173). It may be even harder for those who need to report their studies in English as a Foreign Language (EFL). In recent years, there has been a tendency to focus on move analysis of research articles in different disciplines. Such findings are very useful for non-native students and teachers.

Swales and Najjar (1987: 187), for example, found that there are discrepancies between the style manuals and actual papers in the field. The previous research demonstrated that there may be variations of move sequences not only across different disciplines (e.g. Peacock, 2002; Samraj, 2002), but also within a discipline (e.g. applied linguistics: Yang and Allison, 2003; 2004; agriculture: del Saz-Rubio, 2011; chemistry: Stoller and Robinson, 2013; law: Tessuto, 2015). Several reasons for different ways of writing research articles (henceforth RAs) have been mentioned, for example, differences in traditions in hard and soft sciences, difference for the need of information in established

and less mature disciplines and/or culture differences (e.g. Dahl, 2004; Kanoksilapatham, 2007, 2012; Fakhri, 2004, 2009; Sheldon, 2011; Gea-Valor, Rey-Rocha and Moreno, 2014).

Hirano (2009) carried out a contrastive analysis of Brazilian Portuguese and English research article introductions (henceforth RAIs) within the subfield of applied linguistics (i.e. teaching English for Specific Purposes) and concluded that the introductions in English RAs followed the CARS model (see Swales, 1990; Swales and Feak, 1994), but the introductions in Brazilian Portuguese had a different pattern. Moreover, Jalilifar's paper (2010: 52) pointed to the need to pay more attention to the intra-disciplinary variation in structuring RAIs. It was noted that 'the elements of persuasions and promotions are more strongly present in international ESP [English for Specific Purposes] and DA [Discourse analysis] research projects alluding to the relatively young and interdisciplinary nature of EGP [English for General Purposes]'.

The goal of the present study is to do move analysis of the Introduction section of RAs in applied linguistics, namely the papers published in the journal of *Applied Linguistics* and *Canadian Journal of Applied Linguistics*. The previous research on the journal *Applied Linguistics* was carried out by Yang and Allison (2003; 2004). They analysed four journals (1996 and 1997 issues), including the journal of *Applied Linguistics*. In 2003 they analysed the results regarding the conclusion sections of RAs, and in 2004, the Introduction-Method-Results-Discussion (or IMRD) structure; thus, they discussed sections, not moves in each section. Moreover, Swales and Najjar's study (1987: 183) showed that the way the introductions are structured may change over a period of time.

The following research question is posed: Which are the typical sequences of moves and steps in the Introduction section of RAs in applied linguistics?

## THEORETICAL BACKGROUND

There is no unanimous view concerning the number of sections in RAs. Swales (1990) considers that the Introduction is one of the four parts of a RA, the others being the Methods, Results and Discussion sections. If Swales combines Discussion and Conclusions in one section, Yang and Allison (2004) separate them. They point out that the section *Pedagogic Implications* is frequently used in applied linguistics RAs (Yang and Allison, 2003).

Each genre has its distinctive features (Bhatia, 2006: 83) in terms of its communicative purposes and structure. Bhatia (2006: 82) views the RAI as a genre within the genre colony of academic introductions. Swales (2011: 8) suggests a more appropriate term, a *part-genre*. The Create a Research Space or CARS model (Swales, 1990) is commonly used in order to investigate the structure of the RAIs (see Appendix 1). Although this model has later been revised by the author (e.g. Swales and Feak, 1993; Swales, 2004), its first version has still been used in the studies on applied linguistics (e.g. Ozturk, 2007),

mentioning the reason that ‘there are discrepancies between the model and some aspects and features of RA introductions’ (Atai and Habibie, 2012: 27).

Bhatia (2006) distinguishes between *moves* and *steps* (also called *stages* or *submoves*) and *rhetorical strategies*. Strategies are variations in the moves which can be realised depending on ‘the nature of the discipline, intended audience, the relationship between the writer and the reader, the status of published work in the area’ (ibid.: 86). The writer may choose any of the strategies ‘to fulfil the same aspect of the communicative purpose’ (ibid.: 86). Bhatia also stresses that expert writers may be more flexible in structuring their texts. Thus, there may be typical and atypical ways of sequencing information in RAIs. For example, Swales and Feak (1994) consider that it is uncommon to start the RAI with the purpose of the paper as its usual place is towards the end of it. The RAI proceeds ‘from general discussion of the topic, to the particular question or hypothesis being investigated’ (Swales and Feak, 1994: 156). The studies on RAIs show that the writers may be following different move sequences. Move 1 and Move 2 may form cycles in longer introductions (Swales, 1990: 162–163). Move 2 may be neglected in English RAIs, for example, in the *Journal of Second Language Writing* (Ozturk, 2007). Some linguists consider that this may be explained by avoidance of criticizing the previous studies in some cultures (Taylor and Chen, 1991: 32). When investigating introductions to the RAs from the *Physical Review* and the *Journal of Educational Psychology*, Swales and Najjar (1987) found that ‘the authors referred to their results before providing them’; for example, ‘The major objective of the study was ... . The results were intended to aid decisions...’ (Swales and Najjar, 1987: 186).

In a study devoted to RAs in applied linguistics, Yang and Allison (2004: 275) pointed out that section headings may be misleading because the author’s attitude to verbalizing them may be unpredictable, that is, the communicative purpose of the section may differ from similar cases in other RAs. They grouped them into conventional (*Introduction, Theoretical Basis, Literature Review* – the last two functioning as subheadings in the Introduction section) and unconventional (e.g. *Context, Theoretical Framework: Contrastive pragmatics, The Study, Background, Previous research*) headings (ibid.: 270).

## METHODS

The present study is based on the analysis of 20 RAIs selected from two journals: *Applied Linguistics* (henceforth AL) and *Canadian Journal of Applied Linguistics* (henceforth CJAL). Both the journals are refereed and are published on a regular basis. Ten papers from each journal published from 2010–2014 were randomly selected for the analysis. The corpus was restricted to empirical RAs.

When selecting the section for the analysis, it was found that different steps from Move 3, which is common in the Introduction section, were located under other headings. As shown in Appendix 2, the research questions (M3 S1b:

*Announcing present research*) were outlined in the Methods (A2, CJAL) or Methodology section (A3, CJAL). In A7 (CJAL), the purpose of the study (M3S1a: *Outlining purposes*) and the research questions were announced only in the Study section. In A5 (CJAL), the Study section provided the repetition of the purpose of the study mentioned in the Introduction section:

Cf. (1) This article reports on a province-wide study commissioned by the Ontario Ministry of Education (OME) to examine the role and feasibility of implementing the CEFR to improve French as a Second Language (FSL) learning outcomes across the province. This paper focuses on teachers' perspectives on implementing CEFR-informed approaches in FSL classrooms in Ontario. (Introduction, A 5, CJAL; underlining mine)

(2) The purpose of the broader study was to examine the feasibility of using the CEFR as a frame of reference for FSL education programs in the province of Ontario in Canada. More specifically, the study intended to examine if and how the CEFR might enhance the FSL educational experiences of teachers and students in Ontario. This paper focuses on teachers' perspectives on the CEFR's action-oriented approach. (The Study, A 5, CJAL; underlining mine)

As seen in Appendix 2, the Introduction section alone (i.e. a section before the Methods section) was found in one RA in AL (A4 without a heading) and in 3 RAs in CJAL (A3, A4 and A7). Table 1 shows that the selected RAs contained a variety of headings and subheadings, which followed the section named *Introduction*, which could be viewed as the Introductory part of the RA in terms of the Swales's IMRD model. In one RA (A3, CJAL), the Introduction section contained subsections, which according to Yang and Allison's (2004) view could be an appropriate strategy in organizing information to introduce the research; however, the Swales's model does not envisage the use of subheadings. A few RAs had even several sections with headings and subheadings before the Methods section, where the writers highlighted the major sections of their paper (e.g. *Introduction, Related Research, Research questions* in A6, CJAL). In the selected RAs, the space provided for the topic generalizations and/or previous research was even larger than the one allowed for the Introduction section. The function of those sections was to expand on the topic announced in the Introduction. It was also found that three moves from the RAIs were located under one heading, namely the corpus and the structure of the paper were also discussed under the heading *Research questions* (A1; AL). These findings correspond to an earlier study carried out by Yang and Allison (2004), who stated that the content announced in the headings may be misleading. Thus, it turned out that several sections and subsections represented the communicative purpose of the Introduction section mentioned in the Swales's CARS model. This demonstrates that the



writers may be more flexible in structuring their papers in applied linguistics than it is envisaged in the IMRD and CARS models, where subheadings are not mentioned.

*Table 1* Distribution of headings and subheadings

Headings	AL	CJAL
No heading 'Introduction'	2	0
Introduction	3	10
Introduction: the study of grammatical patterns	1	0
Introduction with 1 or 4 subheadings	1	1
Review of (the) literature	1	1
Literature review with 8 subheadings	0	1
Related research	0	1
Background/Background literature (both with 2 subheadings)	1	1
Background and previous studies	0	1
Other headings	6	3
Other headings (with 1–2 subheadings)	2	0
Objectives/Research objectives	2	0
Research questions	0	3

Due to the controversies in move distribution in the selected RAs, the Introduction section was chosen for the present study (similar to Ozturk's study, 2007). It was a section with or without the heading *Introduction*, which followed the abstract or two abstracts (the abstracts are written in English and French in CJAL) and preceded the next section or subsection. As mentioned above, Swales's (1990) CARS model has been widely used in the previous studies in applied linguistics, and, thus, could provide a good basis for the comparison of findings also this time.

## RESULTS AND DISCUSSION

### 1 MOVE SEQUENCES

The volume of the RAIs ranged from 224 to 1060 words in AL and from 176 to 1598 in CJAL, the largest diversity of the length of the RAIs being in the latter journal (see Tables 2 and 3). The average length of the Introduction sections was 562.6 in AL and 624.1 in CJAL. The analysis of RAIs demonstrates that the writers in both journals employ a variety of move sequences, that is, from two (A8, AL; A5 and A6, CJAL) to nine moves (A4, AL).

*Table 2 Move sequences in the RAIs in AL*

Articles	Moves in AL	Moves (N)	Length of RAIs (N of words)
A 1	M1-M2-M1-M2-M3 ( <i>Research questions*</i> , including corpus and structure)	5	591
A 2	M1-M3-M2-M3	4	664
A 3	M1-M2-M3-M1-M3	5	1060
A 4	M1-M2-M1-M2-M1-M2-M3-M1-M3	9	679
A 5	M1-M2-M3	3	224
A 6	M3-M1-M2-M3-M2	5	238
A 7	M1-M2-M3	3	526
A 8	M1-M3	2	273
A 9	M1-M3-M2-M3-M1	5	949
A 10	M1-M2-M3-	3	422
<b>Mean</b>		4.4	562.6

\*the subsection was not included in the present study

*Table 3 Move sequences in the RAIs in CJAL*

Articles	Moves in CJAL	Moves (N)	Length of RAIs (N of words)
A 1	M1-M2-M3	3	182
A 2	M1-M2-M3	3	203
A 3	M1-M2-M3 (with 4 subsections*)	3	690
A 4	M1-M2-M3-M1-M2-M3	6	1598
A 5	M1-M3	2	176
A 6	M1-M3	2	186
A 7	M1-M2-M1-M2-M1	5	1457
A 8	M1-M2-M1-M3-M1-M2-M3	7	810
A 9	M1-M3-M2	3	615
A 10	M1-M3	2	324
<b>Mean</b>		3.6	624.1

\*the subsections were not included in the present study

It was interesting that there was no correlation between the length of the RAIs and the number of moves. The longest articles contained fewer moves in both the journals: A3 with 1060 words had only 5 moves in AL; A4 with 1598 words had only 6 moves in CJAL. The articles with the largest number of moves



were shorter: A4 with 9 moves had only 679 words in AL; A8 with 7 moves had 810 words in CJAL. The mean of the moves was smaller in the journal with longer RAIs (cf. 3.6 moves with 624.1 average number of words in AL vs. 4.4 moves with 562.6 average number of words in CJAL). This corresponds to Ozturk's (2007) findings, where no link was established between the volume of the RAIs and the number of moves in them, as shorter RAIs had more complex move sequences.

Table 4 demonstrates that three moves (35%) dominated in the journals, namely, it was the M1-M2-M3 pattern (30% in AL, 40% in CJAL), indicated in the CARS model. It was similar to Ozturk's (2007) study of two subdisciplines in applied linguistics (i.e. the journals: *Studies in Second Language Acquisition* (SSLA) and the *Journal of Second Language Writing* (JSLW)), where it was stated that this pattern was the most frequently used in the selected corpus; however, it was the dominating pattern only in the first journal (cf. 60% in SSLA; 10% in JSLW). Although Ozturk found that the M1-M3 pattern prevailed in his corpus, it was found only in the JSWL (30%). In the present study, it was also the second most frequently used pattern (30% in CJAL; 10% in AL). As for the number of moves, however, different five move sequences dominated in AL (40%), while three move sequences prevailed in CJAL (40%).

**Table 4 The number of moves in the journals**

Number of moves	AL (N)	CJAL (N)	Total (N)	Percentage (%)
1	0	0	0	0
2	1	3	4	20
3	3	4	7	35
4	1	0	1	5
5	4	1	5	25
6	0	1	1	5
7	0	1	1	5
8	0	0	0	0
9	1	0	1	5

Ozturk considers that the M1-M2-M3 move pattern seems to be more common in 'established' sub-disciplines (Ozturk, 2007), while 'emerging' sub-disciplines may prefer to allow more space to Move 1, namely M1S2 (*Making topic generalization(s)*) and M1S3 (*Reviewing of previous research*). He believes that editorial policy may have an impact on this preference, as the journal may deal with various topics; thus, it may be necessary to have more background information in the RA. It may also be important to provide more information about the local, less known for readers, background of the study in international journals.

## 2 STEPS AND THEIR LINGUISTIC SIGNALS

In the next stage, the frequency of steps was calculated. As seen in the figure below, there is no sharp difference between the distribution of moves and steps in both journals. However, it can be noticed that M2S1c (*Question-raising*) was not found in the present corpus, although the research questions from *Announcing present research* could have been a similar step. Like Swales, who indicated that M2S1a (*Counter-claiming*) is uncommon in research papers, it was not found in this corpus either. M2S1d (*Continuing a tradition*) and M3S2 (*Announcing principal findings*) were rarely used in both the journals. Thus, it seems to be uncommon to emphasise that the paper continues the tradition. Findings seem to be introduced by mentioning the structure of the paper in a few RAs without providing more details about them.

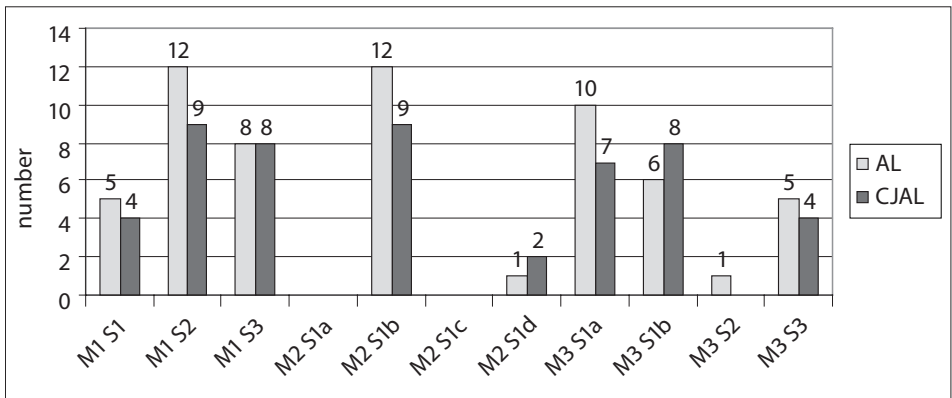


Figure 1 The number of moves and steps in the journal *Applied Linguistics* and *Canadian Journal of Applied Linguistics*

In the RAIs of the present corpus, the writers inform their reader not only about the previous findings and their shortcomings and the purposes of the present study, but also provide general information concerning the topic, for example, the definitions and classification of the terms or notions (e.g. A1, A7 in AL; A 6 in CJAL) and/or the description of the current situation in teaching in the country (e.g. A4, in AL; A3, A8 in CJAL). Much space is devoted to Move 1 and Move 2.

The table below provides samples of linguistic means signalling moves and steps.

Table 5 Samples of linguistic signals of moves and their steps

Moves	Function	Signals
M1 S1	Claiming centrality	Much research has been devoted in the past few years ... (A5, AL) A growing number of studies reveal ... (A 4, CJAL)
M1 S2	Making topic generalizations	CLCs can be used to investigate (A2, AL) Danish and Italian are ... (A4, CJAL)
M1S3	Reviewing items of previous research	Previous research has focused mainly on ... (A1, AL) Elder and Manwaring (2004) found that (A7, CJAL)
M2S1b	Indicating a gap	Less attention has been paid to ... (A1; AL) ... this study is the first investigation (A8, CJAL)
M2S1d	Continuing a tradition	... the subject of many studies between the late 1950s and the 1980s, (A8, CJAL)
M3S1a	Outlining purposes	The research purpose of the corpus will to a certain degree decide what ... (A1, AL) In contrast, this article reports... Specifically, it presents (A 4, AL) The aim of this work ... (A 8, CJAL)
M3S1b	Announcing present research	I choose the term grammatical patterns ... (A9, AL) More specifically, the study sought to answer the following research questions (A7, CJAL)
M3S3	Indicating RA structure	The paper is organized in the following sections... (A1, AL)

These clues seem to be more helpful in navigating the text than the misleading section headings, which have been discussed above.

## CONCLUSIONS

The analysis of the RA macro-structure reveals that the Introduction section does not correspond to what is meant by the 'Introduction' in the IMRD model, as there are several longer sections with or without subheadings following the section labelled 'Introduction' and preceding the Methods section in the present corpus. The Introduction may also have subsections. Sometimes the moves do not correspond to the headings of the sections as in the case of the heading *Research questions* and the inclusion of the information about the corpus and the structure of the study. Thus, the headings not always help to navigate the text, which should be their main function.

One or several sections with or without subsections devoted to the theoretical background of the study are frequently included in the RAIs between the Introduction section and the Methods section. The move devoted to literature review seems to be frequently used in the RAs in applied linguistics (Yang and Allison, 2004), which may be explained with a need for the background information in journals which include different subfields.

It should be emphasised that the Introductions in the journals follow the three move (M1-M2-M3) sequence less frequently, as writers in applied linguistics apply other, more complex strategies in sequencing their Introductions. Furthermore, some moves typical of the RAIs may also be located in the Methods section.

As the present study demonstrated a variety of move sequences in the RAIs, it is important to continue the research not only on the Introduction section, but expand it to the Introductory part of RAs and search for the circumstances which have determined the selection of sections and subsections and their headings. If previous research is discussed not only in the section named *Introduction*, but also in other sections (e.g. *Literature review*, *Methods*, *Conclusions*), it should not be specified as one of the moves typical of just one section. Thus, the moves and their steps could have been more general. For example, Stoller and Robinson (2013) have suggested three moves in article introductions in a chemistry journal useful for EAP: (1) *Introduce the research area* (with 3 steps: *Identify the research area*, *Establish the importance of the research area* and *Provide essential background information about the research area*), (2) *Identify the gap(s)* and (3) *Fill the gap(s)* (with 2 steps: *Introduce the current work* and the optional step *Preview key findings of the current work*). Similarly, RAIs in applied linguistics could have three moves. Move 1 *Introducing the theme of the research article* may have the following steps: (1) *Identifying the theme and its importance* and (2) *Providing essential background*. Move 2 *Identifying the gap* could have no steps, while Move 3 *Outlining the present study* could include several steps, for example, the purpose, the research questions and/or hypotheses, the structure of the paper. The third move still should be more researched to specify its steps.

Thus, the elaboration of both models (IMRD and CARS) is needed in order to make them more applicable for doing genre analysis of RAs in the EFL classroom. In the next study, more attention should be focused on enlarging the number of the papers for analysis as well as on different sections and subsections of RAs in applied linguistics. It is important to search for possible influences on the writers' choices in structuring their papers.

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## RESEARCH ARTICLES ANALYSED

## APPLIED LINGUISTICS (AL)

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## CANADIAN JOURNAL OF APPLIED LINGUISTICS (CJAL)

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## APPENDIX 1

A CARS model of article introductions (Swales, 1990: 141)

Moves	Steps
Move 1—Establishing a territory	Step 1 Claiming centrality and/or Step 2 Making topic generalization(s) and/or Step 3 Reviewing items of previous research
Move 2—Establishing a niche	Step 1A Counter-claiming or Step 1B Indicating a gap or Step 1C Question-raising or Step 1D Continuing a tradition
Move 3—Occupying the niche	Step 1A Outlining purposes or Step 1B Announcing present research Step 2 Announcing principal findings Step 3 Indicating RA structure

## APPENDIX 2

Headings of sections before the Methods section

Articles	Headings in AL	Headings in CJAL
A 1	<b>Introduction</b> (1 subheading: <i>Research questions</i> where also the corpus and the structure of the paper are discussed); <b>The expression of disagreement in business English textbooks</b> (1 subheading)	<b>Introduction;</b> <b>Review of the literature;</b> <b>Research questions</b>
A 2	<b>Introduction;</b> <b>The importance of reliable proficiency-level assignment of corpus texts;</b> <b>Methods for proficiency-level assignment in clcs</b>	<b>Introduction;</b> <b>Strategies for processing unfamiliar words in reading comprehension;</b> <b>Strategies for processing; Unfamiliar words in listening comprehension;</b> (Methods, where the research questions are discussed)

Articles	Headings in AL	Headings in CJAL
A 3	<b>Introduction;</b> <b>Objectives</b>	<b>Introduction</b> (with 4 subheadings: <i>Core French education in Canada; Core French education in British Columbia; Pre-service teacher education in British Columbia; Theoretical perspectives</i> ); (Methodology, where the key questions are mentioned)
A 4	No heading	<b>Introduction</b>
A 5	No heading; <b>Collaborative dialogue;</b> <b>Collaborative dialogue and learner-learner interaction;</b> <b>Research on learners interaction</b> (also the purpose and research questions are discussed)	<b>Introduction;</b> <b>French as a second language in Canada;</b> <b>The Common European Framework of Reference: Potential and limitations;</b> (The Study, where the purpose is discussed)
A 6	<b>Introduction;</b> <b>Creativity, verbal art, language play, and verbal humour</b> (2 subheadings)	<b>Introduction;</b> <b>Related research;</b> <b>Research questions</b>
A 7	<b>Introduction;</b> <b>ELF interaction</b>	<b>Introduction;</b> (The Study, where the purpose and research questions and discussed)
A 8	<b>Introduction;</b> <b>Review of literature</b>	<b>Introduction;</b> <b>Background and previous studies</b>
A 9	<b>Introduction: the study of grammatical patterns;</b> <b>Vocabulary analyzed: semiterms;</b> <b>Research objectives</b>	<b>Introduction;</b> <b>Literature review</b> (8 subheadings)
A 10	<b>Introduction;</b> <b>Background</b> (2 subheadings)	<b>Introduction;</b> <b>Background literature</b> (2 subheadings); <b>Research questions</b>

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# VALIDITY OF ROLE PLAY IN SOCIOCULTURAL COMPETENCE ASSESSMENT IN YEAR 12 EXAMINATION IN LATVIA

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**Abstract.** The article examines different facets of the role play task, its application in the Year 12 English language examination and the statistical analysis of its results with the purpose to validate the use of role play for testing the sociocultural competence in Latvia. The research method of the role play here combines the features of external validation (construct validation) with internal validation (contents and response validation). The statistical findings suggest that the role-play task ensures a reliable and valid method of assessment of the student performance; it also provides a means for reliable assessment of a large proportion of the curriculum, as the skills tested by role play differ from the skills tested by other examination tasks. The findings of the curricular validation suggest that removing role-play from the examination would undermine the curricular validity of the Year 12 examination. The contents analysis of the task suggests that the difference in the student performance level in Speaking is created by the impact of the assessment of the sociocultural competence as defined by Celce Murcia, Dörnyei, and Thurrell (1995).

**Key words:** assessment, role play, content analysis, sociocultural competence, intercultural competence, multicultural competence, transcultural competence, construct validity, curricular validity, content validity, face validity, reliability, curricular validation, content analysis

## INTRODUCTION

Assessment of speaking is a complex and expensive endeavour, involving participation of item writers, test administrators, interlocutors and assessors, who have to treat the candidates one by one. This is not easy to organize within a classroom assessment situation, but on a state level it is an outstanding logistical undertaking involving a lot of resources; therefore, we need to be sure that we are using the resources in the most efficient way, see for example, May (2010) for a comprehensive overview of the recent studies focusing on the issues involved in assessment of interactional speech. In Latvia we can also hear complaints that structured role play is too cumbersome and depends on reading too much and should be removed from the examination, this is why this article is going to examine if the use of role play in the speaking test of the Year 12 examination is a valid choice. To do this, we will examine the construct, curricular and contents validity of the task and the sociocultural competence it is supposed to test, thus,

using both internal and external validation approaches (see Davies et al., 1999). All the test materials and the data analysis presented in this paper are based on the data of the Examination Centre and are available in Online 2.

## CONSTRUCT VALIDITY

A construct validation exercise involves examining the theoretical basis of the task, in our case, the construct of sociocultural competence. The basis of this term is well grounded in sociocultural theory starting from Vygotsky's *Language and Thought* in 1934, where he first postulated that language is acquired as a social phenomenon, and only afterwards we do internalise the language processes. Sociocultural competence has been considered as a part of language learning since Canal and Swain (1980) introduced the term *communicative competence* in the 1980s.

Nowadays there are several approaches to defining sociocultural competence, e.g. van Ek and Trim's taxonomy developed within the Vantage level description, which would agree with the National Curriculum aiming at Common European Framework levels B2 and C1 (Online 4).

Van Ek and Trim's (2001: 97) construct of sociocultural competence contains knowledge about social practices: 'Sociocultural competence is the aspect of communicative ability which involves those specific features of society and its culture which are manifested in the communicative behaviour of the members of this society'. These features can be classified as universal experiences (everyday life procedures, living conditions, levels of formality, major values and attitudes), social rituals (body language, visiting rituals, eating and drinking rituals and linguistic rituals) and social or politeness conventions.

Van Ek and Trim's construct of sociocultural competence focuses on the knowledge about the society and its rituals, but the examples are mostly concerned with the practices involved in politeness conventions for British English:

1. Do not be dogmatic (use *I think, I believe*)
2. Be reluctant to say what may displease the partner (*I don't want to complain, but...*)
3. Do not force the partner to act (use *Please, or I wonder if you could help me*) (van Ek and Trim, 2001: 98).

The suggestions described in the Council of Europe Vantage level publication are the English language and English culture specific, and obviously are meant as an example, but they cannot be called universal as they will not be applicable for other socio-cultural situations in other languages.

Celce Murcia, Dörnyei, and Thurrell (1995) provide a more general taxonomy for addressing the sociocultural issues in language teaching and assessment. They distinguish between social, cultural, stylistic and communicative factors. By social factors they understand the learner variables (age, gender, status and social

distance) and situational variables (time, place, social situation); the stylistic factors are politeness conventions, and specific register; the cultural factors are living conditions, social conventions, rituals, art, literature, values, beliefs and norms; the nonverbal communicative factors are kinesic, proxemic and haptic factors (Celce Murcia et al., 1995: 24).

Lately the sociocultural competence concept has been replaced by intercultural competence (see, for example, Byram, 1997, 2008, for the discussion of intercultural skills), multicultural competence (see, for example, Cartwright and Daniels, 2008, on assessing multicultural competence) and even transcultural competence (see, for example, Thorne, 2008, on mediating discourse online in transcultural context).

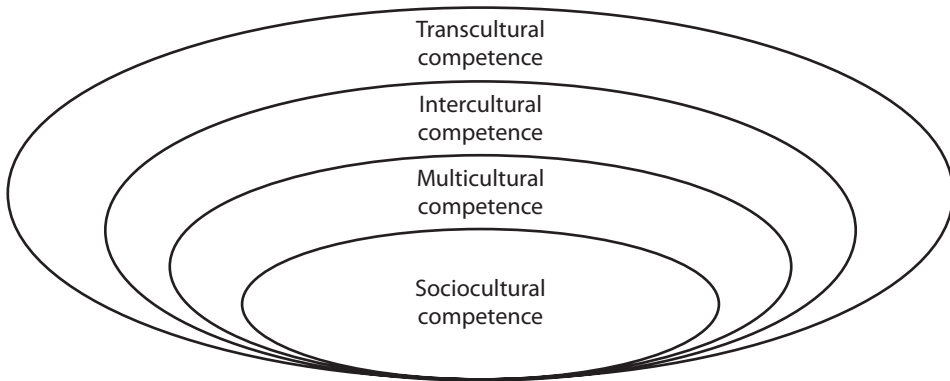


Figure 1 **Taxonomy of the cultural competence**

These terms are expanding the context of language acquisition from social to multicultural, intercultural, and finally transcultural contexts (see Figure 1), to include ever more cultural experiences, until we have come to realise that it is not scale that matters, but the ability of the individual to use language in different contexts; therefore, here we will stay with the original *term sociocultural competence* (used also in Latvian Foreign language curriculum) and use Celce Murcia et al's taxonomy (Celce Murcia et al., 1995) for a comprehensive language learning and assessment approach analysis in Latvia.

## CONTENT VALIDITY

Now that we have examined sociocultural competence in theory, let us examine the contents of the Speaking test, to see if it is representative of the construct tested. The speaking test of the Year 12 examination in Latvia (Online 2) consists of 3 tasks: questions and answers, role play and a written text reproduction in speech. Each of the tasks is chosen by the learner separately on a different topic, for example, the topics of the questions and answers task (Task 1) in 2013 were: career, free time, sports, arts, television. The topic of the role play is not easily

described, as it mostly consists of a description of a situation, for example, Role play 1 in the year 2013 examination for the secondary school in English was:

You are hosting an exchange student (played by your teacher). One morning he/she feels unwell. You have a minute to prepare. Then you will start. (Exam materials 2013)

The instruction gives a clear description of the social factors of the context: the role of the student as a host and the role of the teacher (the exchange student). As soon as the participants of the examination enter the role play, it changes the status of the participants of the conversation. If normally it is the teacher who is in charge of the situation, now it is the host (played by the student) who is in charge. The teacher has not only lost the grounding, being in someone else's country and someone else's home sick and in need of help from their host (played by the student).

The situational factors of the context are also clear from the instruction: it is at home in the morning. The introductory description of the situation is followed by the script for the student and the script for the teacher (see Table 1). An additional point of interest in the instruction is the remark *You will start* which puts the student in a further control position, as he/she decides when to start the conversation. These features were introduced in the Year 12 examination to promote a positive washback to the teaching process, hoping that the teachers will get used to giving their students more leverage during the learning process by allowing them initiation in the classroom discourse. Unfortunately, this was not followed up by washback research that would verify if this aim was achieved.

**Table 1 Sample role play from 2012/2013 examination materials**

<b>Student</b>	<b>Teacher</b>
1. Greet him/her.	1. Hi
2. Ask about his/her health.	2. Oh, I think I have a cold. Could you help me?
3. Answer the question and then suggest calling a doctor.	3. Oh, no, I'll just stay in bed. Will you inform the school?
4. Answer the question and then suggest preparing hot milk, Getting some medication.	4. Yes, please, I'd love some. No, thanks.
5. Offer to buy something tasty.	5. Thank you, I'd love some fruit. Could you buy some Oranges or apples?
6. Answer the question and then enquire about other wishes.	6. I'm fine, thanks. What do you do when you have a cold?
7. Recommend sleep as the best medicine.	7. OK, I'll try to sleep. Will you tell me the news when you return from school?
8. Answer the question and then say good-bye.	8. Bye-bye

As we can see the role play consists of 8 turns, the first is greeting in an appropriate style and inquiring of the wellbeing, then offering help, advice and recommendations as well as leave taking (stylistic factors). We can also see the role of cultural factors, in the instance of preparing a hot milk drink, which is a typical Latvian means of recovery from cold; thus, we can say that the situation is not assessing the student's ability to comply with British or American sociocultural conventions, but rather use the Latvian sociocultural competence in an intercultural context.

The next step takes us to the analysis of the marking scale (Table 2); as we can see the marking scale of the role play agrees with the task description (containing the descriptors of the situation management). The assessment scale is based on the degree of control of the given situation: students will get 4 points for the ability to maintain the conversation in the particular situation, 3 points for using only short phrases and sometimes hindering the situation, 2 points for handling the situation in spite of the misunderstandings, 1 point for frequent misinterpretation of what the teacher says, or reading from the script.

**Table 2 Marking scale Task 2: Role Play (Year 12 examination materials Online 2)**

4	Can maintain a conversation in the given situation but may sometimes have difficulties in saying what she/he would like to.
3	Can maintain a conversation in the given situation using mostly short phrases, which sometimes might hinder effective communication.
2	Can handle short social exchanges, but there are misunderstandings in communication.
1	Can handle very short and often inaccurate social exchanges; often misinterprets what is asked.
0	Not enough to evaluate.

## CURRICULAR VALIDITY

Curricular validation is the examination of the task from the point of view of the curriculum, but before we move to examining the curricular validity, we will have a look if the construct agrees with the curriculum objectives.

The Curriculum of the Foreign languages for the secondary schools of Latvia (Online 1) provides that the compulsory content of the foreign language subject consists of two main types of competences, one is functional competence (language for learning, language for interaction, communication culture, language system and standard and language culture and its functional styles), the other being sociocultural competence (language for research and cooperation, language as a part of culture, language for integration, intercultural communication process in multilingual discourses).

If we compare the curriculum objectives (Online 1, translated by the author) to the theoretical constructs, we can see that the sociocultural competence addresses all the four factors mentioned by Celce Murcia et al. (1995: 24):

1. the social factors are represented in the following objectives: comprehends and adheres to the principles of communication and cooperation (point 8.9 in the Curriculum), perceives the similarities and differences in various cultures with understanding (8.8), listens to others and expresses his/her opinion applying the most convenient means of language;
2. the stylistic factors: adheres to the norms of communication in multicultural society (8.13);
3. the cultural factors: uses literature and art for the perception of other cultures and self-development (8.5), creates literary texts (8.6);
4. nonverbal communication: applies the knowledge of national verbal and non-verbal peculiarities of behaviour (8.14).

Thus, we can conclude that all the factors represented in the theoretical framework of socio-cultural competence are mirrored in the Language Curriculum and, therefore, should also be included in the language assessment.

After the 2013 examination the Ministry of Education carried out an extensive validation exercise involving all the foreign language item writers as well as the author of this article (see the results of the study in Online 3). The item writers were asked to go through all the curriculum objectives writing next to each which task assessed which curriculum objective. Once this had been done, all the language examination data were put on one scale, and the item writers came to the conclusion that the sociocultural competence was mostly assessed by the role play tasks not only in the English language examination, but also in the examinations of German, French and Russian. It was also discovered that students had certain difficulties in performing the role play 'connected with the students failing to use the given script to maintain a natural conversation. The main problems were:

1. skipping or rearranging parts of the script;
2. inability to use the cues due to the lack of vocabulary;
3. misunderstanding the required function (e.g. explaining instead of suggesting);
4. reading out the lines without changing them into more appropriate exchanges;
5. little participation in the dialogue;
6. not responding or commenting on the information received from the interlocutor;
7. grammar mistakes in either forming direct questions or reported questions' (Online3).

As we can see from the analysis of the student recordings, out of the 7 difficulties mentioned by the experts, one of the issues is connected with

following the procedure (1), two are comments on the linguistic competence (2 and 7), but the other four are the experts' comments on the appropriacy of the students' participation in the situation; thus, we can conclude that the qualitative analysis of student response suggests that the role play task is assessing the sociocultural competence.

## RESULTS AND DISCUSSION

### 1 QUANTITATIVE ANALYSIS OF THE TEST TAKER PERFORMANCE

Apart from qualitative analysis, the Examination centre also carries out quantitative analysis, assessing the means, the correlations between the different parts and different assessors' performance as well as item statistics of the receptive skills tests.

The quantitative analysis of the overall performance of the students in the foreign language examinations in 2013 shows that all the foreign language examinations are statistically compatible; they all test the same curriculum objectives and follow the same test specifications.

*Table 3 Mean for all the tests in all the foreign languages*

	<b>English</b>	<b>Russian</b>	<b>French</b>	<b>German</b>	<b>Mean</b>
<b>Reading</b>	48.59	56.51	67.80	69.72	62.04
<b>Listening</b>	52.80	66.92	59.18	64.43	60.83
<b>Language Use</b>	50.64	68.65	60.14	62.31	60.44
<b>Writing</b>	55.83	52.18	65.70	61.83	58.89
<b>Speaking</b>	65.73	76.54	77.82	71.35	72.86
<b>Mean</b>	54.72	64.16	66.13	65.93	62.73

As we can see from Table 3, the overall mean of the examinations ranges from 66.13 out of 100 points for the French examination, to 54.72 for the English language examination. Here we need to note that the English language examination is taken by the whole population, while French is a choice examination, see Table 4 for the examination population statistics breakdown by language.

*Table 4 Overall statistics in foreign language examinations 2013*

	<b>Total</b>	<b>B1</b>	<b>B2</b>	<b>C1</b>	<b>Not qualified</b>
<b>English</b>	16971	7780	4572	62	4557
<b>Russian</b>	2610	1363	1056	0	191
<b>German</b>	227	66	109	12	40
<b>French</b>	53	26	25	0	2
<b>Total</b>	19861	9235	5762	74	4790



The statistical analysis of the student performance in the 4 foreign language examinations shows that the speaking test was the easiest in all languages if compared to other skills tests (mean 72.86), but the most difficult was the writing test (mean 58.89), except in the English and French examination.

The distribution curve for the whole examination in the English is normal, but the distribution curve for the speaking test is negatively skewed (see Figures 2 and 3). A similar pattern can be observed in the distribution curves of other foreign language examinations (see Online 3).

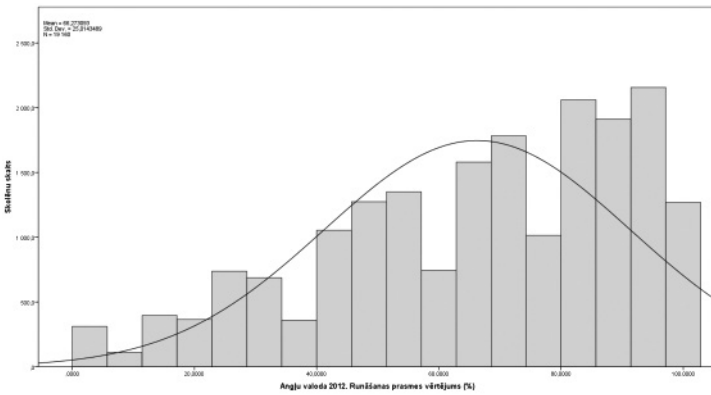


Figure 2 Speaking test distribution curve (Exam Centre data)

This would agree with the finding that the speaking test tests a different competence (sociocultural competence) from the other skills tests, where the weighting of linguistic competence is more pronounced.

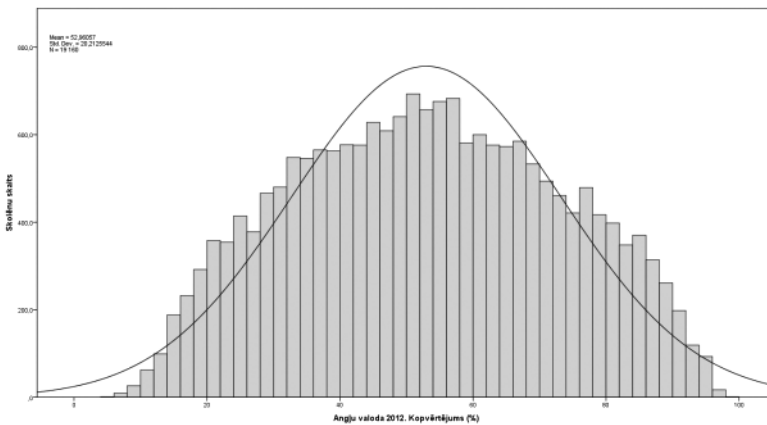


Figure 3 Comparison of the total test distribution curves (Examination Centre data)

Thus the statistical analysis and the qualitative analysis allow us to conclude that it is the sociocultural competence that allows the students to gain the highest score in all the foreign language examinations if we can provide evidence that the speaking test assessors have assessed the student performance reliably. This is why we will turn to the correlation indices.

## 2 RELIABILITY OF THE ASSESSMENT

To examine the reliability of the marking of the year 2013 examination, we used linear correlation coefficients to examine the reliability of the marking quality of the whole population. As we can see in Table 5, the results suggest that the interrater marking reliability of the Speaking tests is acceptable as the correlations are significant and strong, although slightly weaker than the writing test results.

*Table 5 Double marking correlation coefficients*

	<b>English</b>	<b>Russian</b>	<b>French</b>	<b>German</b>
<b>Speaking</b>	0.722	0.887	0.815	0.896
<b>Writing</b>	0.799	0.825	0.963	0.912

The second reason for the use of the correlation coefficients is to examine the contents of the examination, that is, to see if all the skills are examining the same kind of competence. Table 6 shows the correlation coefficients for the English language examination within each separate skill test. As we can see, the correlation coefficients are significant and within the normal range for all the skills (0.6–0.8). Interestingly enough, the speaking does not correlate too highly with the Reading test (0.676), which renders invalid the oft-repeated complaints that the role play task performance depends on the ability of reading of the instructions. Instead, the highest correlation for speaking is with the Writing test which would be logical as both these skills depend on the use of productive strategies.

*Table 6 Correlation for English language tests*

	<b>Listening</b>			
<b>Reading</b>	0.817	<b>Reading</b>		
<b>Speaking</b>	0.706	0.676	<b>Speaking</b>	
<b>Language Use</b>	0.837	0.850	0.707	<b>Language Use</b>
<b>Writing</b>	0.700	0.691	0.748	0.729

If we look closer into the student performance of role play in the English language examination, in Table 7 we can see that the easiest of the speaking tasks was the questions and answers task. The role play was slightly more difficult (mean 4.02), while speaking on the text was the most difficult (mean 3.73).

**Table 7 Speaking task correlations and Means**

Speaking Task	Correlation with Speaking total	Correlation with total	Mean
Questions and answers	0.862	0.717	4.30
Role-play	0.862	0.670	4.02
Text analysis	0.872	0.622	3.73

The last task has also the lowest correlation with the overall speaking performance, which could be caused by the importance of the reading ability for the performance there.

## CONCLUSIONS AND SUGGESTIONS

Thus, having examined the contents and the results of the foreign language examinations in 2013, we can conclude that the role play task possesses the features of construct, curricular and content validity and can be used in the future Year 12 examinations because:

1. It agrees with the construct of the sociocultural competence description in the theoretical sources.
2. It complies with the demands of the secondary school curriculum.
3. It provides a reliable and valid task format for the assessment of the sociocultural competence across the foreign languages.
4. It provides a reliable and valid framework for the development of assessment instruments (tasks and marking scales) across the foreign languages.

The issue that remains unexamined here is the face validity (test popularity among the test developers and users) of the role play task, which maybe the real cause of discontent among the examination developers and users; therefore, it should be studied separately.

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# REGISTER OF ELECTRONIC COMMUNICATION AT SEA

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**Abstract.** Electronic communication is one of most frequent written communication means used by marine officers to exchange any information relevant to the safety of life at sea. Due to dire consequences which might be a result of miscommunication caused by a lack of proper English language use, the International Maritime Organization highlights the importance of working knowledge of written English for marine officers. Since there is limited research on the linguistic aspects of Maritime English correspondence, it is important to determine the linguistic features of this specific maritime genre. Therefore, the aim of this study was to conduct a register analysis of a specialized corpus of electronic mail, written by chief engineers. The results revealed that professional electronic communication among chief engineers exhibits the features of written and spoken register and creates a hybrid form constructing a new genre of language use. The findings of this study revealed some register features, for example, the omission of some parts of speech, abbreviations and shortened forms of specific terminology and the use of emoticons.

**Key words:** electronic communication, Maritime English, specialized corpus, register analysis, situational and linguistic characteristics of emails

## INTRODUCTION

English as a lingua franca is widely used in maritime communication on board and ashore, for instance, in cargo handling, meteorology, marine engineering, port operations, ensuring safety at sea, marine insurance and shipping.

In recent years, text-based interaction via electronic means has increased, and the genre of electronic mail (e-mail) has become an inevitable part of everyday written communication, being also thoroughly integrated into professional settings at sea. Considering the widespread use of e-mails nowadays, it is important to study the genre from the register perspective which comprises an analysis of linguistic features typical of the genre and an analysis of the situation of use.

The term 'register' as a text variety was first mentioned by Reid (1956), but it received its present broad currency due to the register theory proposed M.A.K. Halliday (1978) as a language variety according to use. Since this seminal theory, the term register has been broadly employed in linguistics. The present paper treats the term as a 'variety associated with a particular situation of use' (Biber and Conrad, 2009: 6). Considered from the register perspective, typical lexicogrammatical features in a register are seen as functional, that is, they are pervasive

in the genre as they help to achieve its communicative purpose in the relevant situational context.

Orlikowski and Yates (1993) claim that the lexico-grammatical features found in e-mails are more related to spoken register than to the written one. However, many scholars (e.g. Yates, 1996; Crystal, 2001; Gimenez, 2000, 2006) point out that the language of the e-mail does not belong to either written or spoken discourse, as it tends to fall into the domain of a flexible register which is closer to spoken than to written genres. In fact, Yates (1996) considers it to be a new form of language. Biber and Conrad claim (2009: 178) that the e-mail is 'a general register' with a distinguishing feature; that is, it is sent with the help of a computer from one mail account to another, and it can be written to achieve different communicative purposes, ranging from general to specific professional ones.

Despite the widespread use of the e-mail nowadays, systematic studies of e-mail communication motivated by professional communicative purposes at sea do not seem to be conducted. Therefore, the present research seeks to determine pervasive linguistic characteristics of maritime electronic mails in a specialized corpus written by chief engineers to a charterer and a technical manager.

## THEORETICAL BACKGROUND

The Internet has tremendously impacted communication due to the advantages of fast information exchange from one recipient to another. Computer-mediated communication (CMC) is 'a domain of information exchange' (Baron, 1998: 142) taking place 'via the instrumentality of computers' (Herring, 1996: 1).

Computer-mediated communication can be of two types: synchronous and asynchronous (Herring, 1996). The former is communication in real time (e.g. WebCT chat rooms, MUDs (Multi-User Dimensions), MOOs (Multi-User Object-Oriented environments)); thus, the recipients' presence and instant replies are expected in order for communication to be successful. On the contrary, the latter type does not require an immediate answer since the sent information is stored and could be accessed at any time (e.g. e-mails, discussion forums, weblogs). The electronic mail, as the most widespread digital medium nowadays, is one of the oldest forms of asynchronous CMC, and its asynchronous nature largely determines the pervasive linguistic features employed.

In order to understand the linguistic peculiarities of the e-mail, scholars have looked at its evolution. It is claimed that the e-mail originated from the written genre of memorandum (Yates and Orlikowski, 1992). It is also argued that the e-mail evolved from telephone communication (Gimenez, 2000: 240). In this regard, it is stated that e-mails share some features of unplanned spoken discourse compared to carefully planned written discourse; however, it has to be emphasized that e-mail messages cannot be completely considered unplanned because an immediate response is not usually expected; therefore, interlocutors have more time to think and to plan an answer (Gimenez, 2000).

Gimenez (2000: 240–243) contends that e-mails possess several features of spoken discourse: use of ‘informal and straightforward language’, simple coordinate syntax preferred to subordinate syntax, use of elliptical forms, standard and unconventional abbreviations, and contracted forms. The author arrives at the conclusion that ‘efficiency, one of the features of e-mail messages frequently mentioned by e-mail users, seems to equate with informal and flexibility of style’ (ibid.: 249–50). Koester (2010) points out that e-mail users try to imitate the spoken conversational style in order to sound friendly, relaxed, and willing to communicate. Likewise, Baron claims that the e-mail is informal if we compare it with academic genres, and it ‘encourages personal disclosure’ and ‘can become emotional’ (2000: 249).

However, it has also been emphasized that the formality level in e-mails depends on the established relationship between the sender and the receiver of the message and the sub-registers of e-mail messages: e-mail messages to strangers in professional contexts tend to use the formal language one would find in written discourse, and e-mails between colleagues on professional topics tend to exhibit linguistic characteristics of conversation as well as written formal discourse (Biber and Conrad, 2009: 187).

Thus, it can be seen that the e-mail can have the characteristics of both spoken and written discourse, and it can be called a ‘hybrid’ genre (Yates and Orlikowski, 1992; Gimenez, 2000; Koester, 2010). Crystal argues that the e-mail is ‘identical to neither speech nor writing, but selectively and adaptively displays properties of both’ (2001: 47).

The lack of unanimous opinion about the emergence of the e-mail seems to have affected the nature of the e-mail as a flexible register, which demonstrates elements of spoken and written discourse. It is vital for the present research to establish the typical overlapping features of written and spoken discourse that are present in the selected corpus of maritime electronic mails in order to identify their pervasive features.

## METHOD AND SITUATIONAL CHARACTERISTICS

Since the term register envisages language use in a particular context, it is necessary to consider some situational characteristics of the e-mail messages pertaining to the professional setting, as well as the method used to conduct the study.

The present research is a small-scale case study of a total of 20 maritime e-mail messages, with a sample of 1866 words; it uses a qualitative and quantitative register analysis of the selected linguistic features in the corpus of e-mails communicated within a Norwegian maritime company among individual seafarers, in particular, chief engineers to a charterer and a technical manager.

According to the addressee and purpose of the e-mails, the present corpus of e-mails is a sub-category of e-mails from colleagues on professional topics (Biber and Conrad, 2009: 186). The e-mails were collected during a two-month period



from 4 September 2013 to 7 November 2013. The social characteristics of the interlocutors do not seem to be decisive in the present research; nevertheless, they have been identified and are as follows: age – from 32 to 45 years; gender – all males; education background – university degree in maritime engineering; English proficiency level – tested by the Marlins English Test, ranged from 73 to 94 per cent (intermediate – upper-intermediate).

From the point of view of situational characteristics of the e-mail, several similarities with and differences from the conversation can be pointed out, the fundamental difference between the email and the conversation being the mode and the medium: the email is written and sent electronically, whereas the conversation is spoken, and it takes place in real time and place.

The email is interactive, ensuring direct communication with people all over the world, which means that the addressor of the message expects the addressee to reply irrespective of the social roles of interlocutors. Thus, a similarity with the conversation, in which people take turns, can be observed. The e-mail, as an asynchronous form of CMC, does not share physical space with the interlocutors. It shares time to a lesser degree than in conversations, unless the sender and the receiver of the message are on-line at the same time, or e-mails are exchanged within a short period of time. This allows writers to attend to emails whenever they want as well as plan and revise them, if they wish.

## RESULTS AND DISCUSSION

The analysis of the typical characteristics of e-mail messages reveals the correlation with the situational context, in particular the interactivity of emails. The length of turns is quite equal; however, the message in the third turn is usually quite short as it aims at expressing gratitude to the interlocutor for something or at acknowledging the receipt of the information. The average number of words per e-mail, which is 93.3, illustrate that the e-mails do not share the characteristics of a face-to-face conversation, where a minimal response is common (Biber and Conrad, 2009).

The setting characteristics of time have implications on the language used in synchronous genres, as the temporal aspect is related to the concept of linguistic economy or the economical use of language. Such a linguistic device as ellipsis, which is typical of conversation, has been often employed by chief engineers in their e-mails, which is an asynchronous form. In the examined corpus, for instance, such initial elements of the clause as the subject *I* and a part of the predicate (auxiliary verb *be*) as in *I am* and *I will* have been clipped in the phrases that appeared at the end of the emails: *waiting for confirmation* and *see you*. It is expected by the writer that the elements of the clause that have low information value are recoverable from the situation in which the language is used, which is the case with the above mentioned omitted functional elements, as they can be interpretable from the context. Other types of ellipses have not been identified as

the omission of subjects in emails can be done only if the subject can be recovered by using information in the co-text because the phenomenon of linguistic economy can be in conflict with the need for comprehensibility in the maritime context.

The large number of abbreviations and shortened forms identified in the corpus testifies to the temporal pressure towards linguistic economy, as the provided information is frequently condensed. It has been found that every e-mail has at least four abbreviated or shortened forms (frequency of 69 %). The identified shortened forms can be understood by marine professionals only, for instance, the abbreviations *ME TC* (*Main Engine Turbocharger*) as in *good performance of ME TC* and *BMS* (*Bridge Manoeuvring System*). The e-mails comprise not only standard abbreviations in the maritime industry, but also unconventional forms, which show that the e-mails are often informal and personalized. For example, such personalized shortened forms as *S'pore* (*Singapore*), *plse* (*please*), *f/ER* (*for engine room*) can be mentioned.

Emoticons convey non-linguistic information, which is performed with the help of body language and facial expression in face-to-face communication (Dresher and Herring, 2012) such as conversation. However, in textual computer-mediated interactions, addressors are restrained in conveying their message non-verbally; therefore, emoticons are often employed instead (*ibid.*). Having searched for emoticons in the e-mail messages, it was found that their frequency is only three per cent, which proves that the exchanged professional emails are of factual nature. The following emoticons have appeared in maritime e-mails: ;- ) (i.e. wink), :- ( (i.e. sad) and :- ) (i. e. happy).

Further, it has been discovered that contracted forms are not employed in the maritime e-mails, which indicates that these professional e-mails possess some formal features common for written discourse.

Another consideration related to the setting characteristics of time is the extent to which the interlocutors share direct demonstrative references in the e-mail. Thus, the reference to the noun phrase *this evening* in an e-mail sent in the morning, for example, is understood if the time is shared by the interlocutors. Otherwise, it would be hard to interpret the message without checking explicitly the date when the e-mail has been sent. Thus, it must be emphasized that the presence of time-lag in e-mails might cause many inconveniences, and in the maritime setting this may even affect the ship's and crew's safety.

Following Biber and Conrad (2009), lexical verbs, nouns and pronouns were investigated. Figure 1 shows the frequency of three basic grammatical features in the corpus of e-mail messages. Maritime e-mails are task focused, resulting in the use of relatively short clauses and high frequency of lexical verbs. The achievement of the communicative task is ensured with the help of the imperative used to give commands and requests, for example, *please advise our future actions, reply soon, arrange delivery*. The forms are characterized by the subject ellipsis which is pragmatically understood by the addressee and the

use of the base form of the verb. The verbs imply a second person subject (the pronoun *you*), which also explains the higher use of verbs than pronouns in the corpus of maritime e-mails.

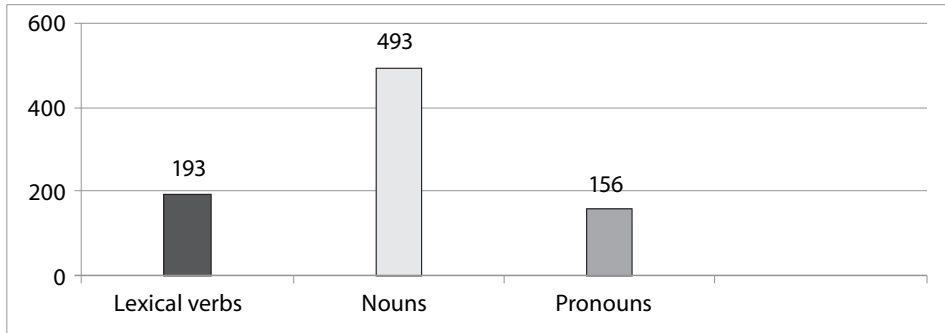


Figure 1 Use of major word classes in e-mails

E-mail messages are interactive; consequently, it was expected that the number of pronouns would be the same as in spoken discourse. Pronouns substituting for noun phrases that are retrievable from the context can also serve as a form of condensation, that is, their use reduces the length and complexity of clauses. However, this research shows that the nouns outnumber the pronouns in the e-mail messages, which is characteristic of written discourse (Biber and Conrad, 2009).

Sentences in maritime e-mails are often long; they consist of several clauses and employ co-ordination, e.g. *Sorry for slow response, but we conducted a lot of tests to reach final conclusion*. The first independent clause with the omitted subject and a part of the predicate *I am* is followed by a second independent clause, conjoined with the coordinating conjunction *but*. In the following example two independent clauses are linked with the conjunction *and* in order to suggest that one action is chronologically sequential to another: *The button was flickering for some time and then nothing happened*.

Sentences have one or two lexical verbs and many nouns, as their presence in the e-mails contributes to the informational focus, for example, a sentence (*But in this mess of the first supply nobody concentrated exactly on this purchase order*) of a total of 15 words has one verb *concentrated* and four nouns *mess*, *supply*, *purchase*, *order*. In addition, nouns are often modified by adjectives and prepositional phrases, adding to the information density of the register, for instance, *a wet cleaning of compressor* and *a dry cleaning of turbine, steam blowing of sea chests*. As it can be seen from the examples, the nouns are modified by the adjectives *wet* and *dry*. In general, adjectives are denotative referring to physical properties, for example, speed, dimensions, and position, which is in contrast to conversations, where one would frequently find evaluative and emotional adjectives. Many identified prepositional phrases are *of-phrases*; the use of other prepositional

phrases can also be observed (especially, *in, with, for, to*), for instance, *flexible hoses for steam blowing, a device for water washing of a compressor side*.

Having analysed the major word classes, it was necessary to explain a low frequency of pronouns in the corpus. For this purpose, the pronouns were grouped into the first, second and third person pronouns. It can be seen from Figure 2 below that the first person pronoun occurs far more frequently than the other types of pronouns, whereas the use of the second person pronoun outnumbers the use of the first person pronoun. This could be explained by the fact that addressors mostly use the first person plural pronoun *we* to describe what has been done on board a ship since all work is not done by one person. The second person pronoun is not used very often; however, it is employed more often than the third person pronoun, as it is used for asking the addressees' opinion or giving instructions for future actions as in *the copy of this document can help you to trace the missing PO*. As it has already been mentioned above, the use of the third person pronoun is not frequent, and all cases with the third person pronoun are anaphoric, as it can be seen in the following example: *We have not any spare pressure transmitter on board. When will it be delivered?* The pronoun *it* refers back to the noun phrase *spare pressure transmitter* in the previous sentence. Its infrequent use could be explained by the fact that e-mail interlocutors might have problems in understanding correctly the message if the reference is not clear or ambiguous, as they do not belong to 'the same physical space' (Biber and Conrad, 2009: 184). In order to avoid any misunderstandings, the addressee writing e-mail messages tends to rely on nouns or noun phrases for the third person references.

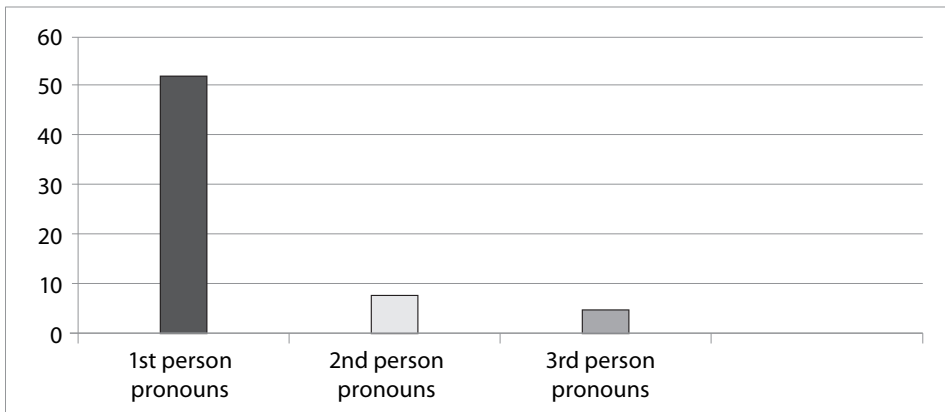


Figure 2 Use of pronoun classes

Table 1 shows the distribution of some typical verb features. The data analysis revealed that the distribution of the present tense and the active voice is higher than that of the past tense and the passive voice. In terms of tense analysis, a more frequent use of the present tense can be explained by the fact that seafarers report on the present state of affairs and that they use a lot of imperatives in their e-mails. A dense

use of the active voice might indicate the addressor's intention to make clear requests and simplify the language, since English is a foreign language for the interlocutors. The obtained results with the high frequency of the present tense and the active voice indicate that e-mails possess features that are common in spoken discourse.

**Table 1 Use of typical grammatical features of the verb**

TENSE	Present	56
	Past	32
VOICE	Active	135
	Passive	23
MODALS	Can, may, must, will, would	16

The frequency of modal verbs in maritime e-mails is low, which is typical of written registers in contrast to conversations, where modal verbs and semi-modal verbs are most common (Biber, Conrad and Leech, 2003: 177). The modal verb *can* is the most frequent one in the present corpus with a total of seven occurrences; for instance, it is used in the meaning of ability and possibility in the following sentences *How can we provide oil pre-heating? Perhaps the copy of this document can help you to trace the missing PO.* The modals *will*, *must*, *may* and *would* are followed with frequencies ranging from five to one. For instance, the modal verb *must* is used in the meaning of obligation or necessity in the following sentence *What must we do next?*

The table below summarizes the results obtained from the register analysis of the corpus of maritime e-mails.

**Table 2 Distribution of selected linguistic features**

Linguistic features		Spoken discourse	Written discourse	E-mail
Nominal features	Verbs	✓		✓
	Nouns		✓	✓
	Pronouns	✓		
Verb characteristics	Present tense	✓		✓
	Past tense		✓	
	Active voice	✓		✓
	Passive voice		✓	
	Modals		✓	
Paralinguistic features	Emoticons	✓		✓
	Abbreviations			✓

The register of e-mails is determined by the situation; namely, the seafarers use language forms that functionally match the requirements of the situation.

## CONCLUSIONS

Electronic mails have become a communication medium of choice for marine engineers.

This research on the pervasive linguistic characteristics of maritime electronic mails in a specialized corpus suggests that the lexico-grammatical features of e-mails are affected by the situational characteristics of the genre. E-mail messages to colleagues on professional issues tend to share the linguistic characteristics of formal writing as well as some characteristics of conversations, which result in e-mails being less formal than some other varieties of written professional communication.

The synchronous nature of conversation with the temporal constraints of the medium has impacted the production of e-mail. They are expected to be attended to fairly quickly, and they are interactive, but less directly interactive than conversations. The interactivity of e-mails is exhibited in the series of turns such as a request for information, followed by a response and an acknowledgement. This, in turn, has resulted in the use of such features as ellipsis and shortened forms, serving as evidence that email users seek to imitate spoken conversation.

The main situational characteristic shared by the electronic mail in the maritime context with formal written registers is the focus on information exchange, evidenced by a frequent use of nouns, noun phrases and prepositional phrases, which are the main carriers of information in sentences. The absence of contracted forms testifies to formal register, typical of written discourse.

The analysed emails show the evidence of temporal pressure towards linguistic economy that also helps to achieve the communicative purpose by facilitating information transfer and processing. The findings reveal a range of features of e-mail messages unique to the specific genre of communication such as work-specific abbreviations and shortened forms that are acceptable forms shared by the target maritime community, as well as a high frequency of the present tense and the active voice.

Although the analysis shows that the register of e-mails corresponds more to spoken discourse as it comprises the features of conversation, they still depend on written medium. The results prove that the electronic professional mail by chief engineers exhibits the features of written and spoken register and creates a hybrid form constructing a new genre of language use.

The most important limitation of this study lies in the relatively small corpus of the emails that does not seem to be enough for generalizing the findings. Further research might explore a broader range of linguistic features in a larger corpus of maritime e-mails.

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# TRANSLATION OF SUPERHEROES' NAMES FROM ENGLISH INTO LITHUANIAN IN THE ANIMATED SERIES *THE VENTURE BROS.*

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**Abstract.** In the article the focus is on the translation of superheroes' names in the subtitles of the first seven episodes of *The Venture Bros.*, a dark humour cartoon parody of the superhero genre. The aim is to see what translation strategies were used for their translation from English into Lithuanian. This kind of translation of proper names is problematic because of several reasons: (1) proper names belong to a special layer of cultural words in the source language that are usually treated as non-equivalent lexis in the target language; (2) the parody genre determines the connotations of the character names used; (3) subtitles themselves restrict a translator's choices due to the technicalities of this type of audiovisual translation. The character names included in the analysis were categorised into reoccurring character names (32) and background character names (19). Most of the former were translated by way of loan translation due to their rich connotations while background characters were mostly rendered by transcription as they are usually regular proper names rather than symbolic names with semantic or connotative value. And although some strategies were used more frequently than others, the choice of the strategy was predetermined by the contextual information of the occurrence, which leads to the conclusion that even very similar names can be translated using different translation strategies when the context is taken into consideration.

**Key words:** adaptation, character name, characteronym, subtitles, superhero genre, transcription, translation, translation strategies

## INTRODUCTION

The popularity of the superhero genre in cinematography has peaked during the recent years as blockbusters like *The Avengers* (2012), *The Dark Knight* trilogy (2005–2012), and the *X-men* saga (2000–2014) reached the theatres. The films were so successful that the comic book giants like *DC* and *Marvel* are planning to release superhero related films at least up to 2021 (Online 1). This genre, however, is fairly new in Lithuania and as such poses at least two types of challenges for translators who are to translate them into the Lithuanian language: first, challenges related to film translation (audiovisual translation) in general and, second, the ones related specifically to the superhero genre, which suggests, first of all, problems of rendering culture-specific words, especially names of the superheroes acting in the films, into Lithuanian as the target language (TL) and

retaining the connotations that these names present in English as the source language (SL).

The understanding of these challenges has prompted a selection of the object of the present study, namely, the translation into Lithuanian of the subtitles of an adult-oriented, black humour cartoon *The Venture Bros.* that depicts the adventures of the Venture family (an incompetent father and his two inept sons), their brutal bodyguard, their self-proclaimed arch-nemesis, and many other frequently reoccurring characters. The choice of this show was motivated by its unique genre as a parody of children's cartoons and the superhero genre, furthermore, it is loaded with unique superhero names which often function as satirical allusions to other popular culture characters, events or history, and as such may serve as a source of examples indicating how the translator managed (or failed) to overcome the issues of concern.

The goal of this paper is to analyse the strategies used for translation of the character names in this TV show from English into Lithuanian.

## THEORETICAL BACKGROUND

Unique culture specific references are characteristic of all languages; they are often difficult to translate. Proper names fall to the same category of culture-specific (Baker, 1992; Gill, 1998), or cultural, words (Newmark, 1988), which are sometimes referred to as *realia*, following the tradition started by Vlahov and Florin (1980/2009) (see also Schäffner and Wiesemann, 2001; Robinson, 1997; Mikutyté, 2005), or even 'extralinguistic culture-bound references' (Pedersen, 2005). As it is evident that these culture-specific words are often termed differently, proper names are also treated differently, either as part of those culture-specific words or as part of a broader category of non-equivalent lexis, including cultural words, proper names, neologisms (i.e. newly coined words, slang/dialect words, taboo words, etc.) (cf. Proshina, 2008: 117). Therefore, the translation of proper names may be as complicated as that of any cultural words, and different rules of translation have to be observed in a particular TL.

Without going deep into the study of all approaches to the translation of proper names, it is important to mention that in literature four translation strategies are usually singled out for that purpose, namely, transference, substitution, translation and modification (cf. Vermes, 2003: 93–94; also Pažūsis, 2014: 47). Transference, often referred to simply as borrowing (Shuttleworth and Cowie, 2007: 17) or preservation (Davies, 2003: 73), allows to leave the names not changed in the translated text. Substitution, or cultural substitution (Nord, 2003: 214), is usually used in translation of biblical, cultural, historical proper names which have traditional equivalents in the TL. Translation, which in this article is referred to as loan translation, or calque, may be a choice in the cases of semantically motivated or transparent proper names, as their constituents may be copied into the TL according to their meaning. Finally, modification

means a complete change of a SL name in the TL and includes such sub-types as addition, omission, generalisation and the like. It is not as popular as transference, replacement by a traditional equivalent or loan translation, but the variety of sub-types it contains equals that of the other three (Pažūsis, 2014: 213).

The translation of character names, or characteronyms, poses even more problems than just the translation of proper names, because they are often loaded with semantic and/or connotative meaning, which is not easy to transfer into another culture. A detailed set of character name translation strategies is suggested by Coillie (2006: 125–130), who provides a list of 10 strategies for character name translation: (1) non-translation, reproduction, copying; (2) non-translation plus additional explanation; (3) replacement of a personal name with a common noun; (4) phonetic or morphological adaptation to the TL; (5) replacement by a counterpart in the TL (exonym); (6) replacement by a more widely known name from a source culture or an internationally known name with the same function; (7) replacement by another name from the TL (substitution); (8) translation (of names with a particular connotation); (9) replacement by another name with another or additional connotation; (10) deletion.

It is evident that the four major strategies referred to above incorporate the strategies proposed by Coillie: his can be treated as their sub-types, because they all may be placed under one of the four. However, Coillie's classification is based on the analysis of children's literature and suits mainly written discourse. *The Venture Bros.* is a TV show and the medium of the translation is subtitles, which restricts translation as to the length of the text in terms of time and the number of characters used. Moreover, there is no possibility of providing additional information in footnotes or any other similar way. Therefore, we have adapted Coillie's classification by adding a few suggestions made by Proshina (2008), Pedersen (2005) and Mikutyte (2005) and have arrived at the following system of translation strategies to be used for the analysis of the translation of superheroes' names in *The Venture Bros.* (see Table 1).

*Table 1 Suggested name translation strategies*

Translation				Adaptation	
Loan Translation	Functional Analogue	Generalization/ Specification	Neologism	Transcription	Retention
				Transcription + Functional Analogue	

The translation strategies split into two major groups, those of translation and adaptation. Translation covers all strategies that are based on finding an equivalent in the TL for a name in the SL. The translation strategies are then further divided into loan translation, replacement by a functional analogue,

generalization/specification and creation of a neologism. Loan translation is a strategy used when the SL name is replaced by an equivalent in the TL (e.g. Dr. Doom – *dr. Pražūtis*). The use of a functional analogue means replacing the SL name with a different TL name that carries the same connotative meaning (e.g. Cocktease – *Koketė*). Generalization/specification is used to replace the SL name with a more general or more specific word in the TL (e.g. Britney Spears translated as *dainininkė* (singer)). Neologism is a newly created name.

Adaptation refers to strategies used for adapting a SL word or phrase into the TL, or any other means of borrowing. Adaptation can be sub-divided into Transcription and Retention. Transcription refers to adapting a SL word into the TL by changing the spelling or grammar, making it easier for the target audience to read and understand. Transcription also has one subcategory called transcription + functional analogue. It refers to instances when a name, which carries an emotional connotation in the SL, is transcribed, at the same time rendering its connotative meaning through the addition of suffixes of the same connotative value in the TL (e.g. the diminutive form of the name ‘Ted’, Teddy, translated into Lithuanian as *Tedukas*). Retention is a strategy when the SL name is transferred into the TL without making any changes, e.g. Britney Spears is frequently adapted into Lithuanian texts without any changes to spelling or grammatical structure.

## DATA AND METHODS

For the purposes of this study, a total of 51 characters were included in the list of names to undergo the analysis in terms of translation strategy used within a certain situational and cultural context. These characters were subdivided into two groups, namely, reoccurring (32 in number) and background characters (19 in number). Characters were considered reoccurring if they were mentioned or otherwise referred to more than once in an episode or the entire series, or were actively participating in the events of the show. For example, ‘Speedy’ (*Smarkuolis*), who died at the end of episode 1, was treated as a reoccurring character as he was an active participant of the events and was referred to multiple times by other characters throughout the episode. Characters were classified as background characters, if they appeared only once and did not assume an important role in the events of the episode or the series, or did not appear on screen at all and were only referenced to in a conversation between other characters. For instance, ‘Dr. Doom’ (*dr. Pražūtis*) was treated as a background character since he never appeared in the show, the character himself being from a different series, *Fantastic 4*.

The reason for dividing the characters into reoccurring and background characters was to obtain more accurate results and a less biased analysis of the translation strategies as the choice of strategy used might have been heavily influenced by the significance of the character in the show and in reference to

other characters. Moreover, the frequency of a particular character's name might have influenced the choice of the translation as the name had to fit in the limiting space of the subtitles.

## RESULTS AND DISCUSSION

As can be seen from Figure 1, the prominent strategy used for translating names was transcription, one of the sub-strategies of the adaptation: 22 out of 32 (72%) names of reoccurring characters were transcribed or partially transcribed (i.e. at least one of their names or a part of the name was transcribed). Transcription was also the main strategy used for rendering background characters as 16 out of 19 (84%) names were transcribed or partially transcribed.

Loan translation strategies were used for nearly half of reoccurring characters' names (15 out of 32, or 47%) and only five out of 19 (26%) background characters' names. Functional analogues were used for the translation of only five out of 32 names. This strategy was not used for any of the background character names. No instances of neologism or transcription + functional analogue were found in translations of the background characters, while retention was only used for background characters. Two instances of transcription + functional analogue and one instance of neologism was observed among reoccurring characters, but none among background characters.

It is also important to note that the diagram contains no instances of either generalisation or specification used for the translation of the actual character names of the show. Generalisation was used for the translation of the name 'Patty Hearst' (a kidnapping victim who sided with her kidnappers), but she is not an actual character in the show, but rather a reference to Stockholm syndrome and was translated as such (*Stokholmo sindromas*).

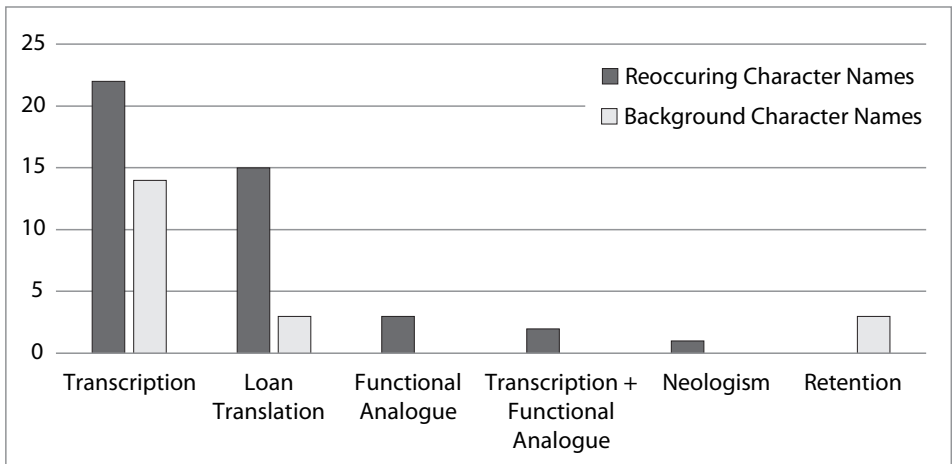


Figure 1 Breakdown of translation strategies used for rendering character names

In many cases, however, more than one strategy was used for the translation of the name of a single character. For example, the name ‘Molotov Cocktease’ was translated as Molotova Koketė, which combines both transcription and functional analogue strategies. In the course of the study it became evident that the translation strategies used for superheroes’ names in *The Venture Bros.* varied from case to case depending on the role of that character and the context of the situation they appeared in. Each of the respective strategies will be further discussed in more detail.

## TRANSCRIPTION

Although transcription was the most frequently used translation strategy, the reason of this choice varied from case to case. For example, the surname of the Venture family (translated as *Ventūra*) could have been translated as *Rizika* (‘risk’) or even *Avantiūra* (‘risky adventure’), at least partially preserving the semantic meaning of the name. However, having in mind that the object of the translation was a TV show, and the translated text is available to the audience via subtitles, the visual proprieties of the show had to be taken into consideration. In the animated series *The Venture Bros.*, the name *Venture* represents not only the members of the family but the whole company under the Venture name (‘The Venture Industries’). Therefore, the letter ‘V’ carries a significant symbolic meaning in the show and frequently appears as the logo of ‘The Venture Industries’ as well as a visual allusion to the Venture family. Moreover, the Venture brothers, Hank and Dean, frequently make the ‘V’ symbol with their hands and exclaim ‘Go, team Venture!’, which has become an iconic attribute of the show. Having in mind the symbolic nature and visual representation of the letter ‘V’, as well as the contribution of the ‘V’ symbolism to the plot, transcribing the name ‘Venture’ as *Ventūra* is a more reliable way to assure that the target audience receives visual references that are not explicit, especially since there is no satisfactory word in the Lithuanian language starting with the letter ‘V’ that could replace the word ‘Venture’.

Another reason why the majority of names were transcribed is strongly related to the fact that many names were regular names rather than symbolic, which stems from the dual nature of the parody genre and the characters themselves. *The Venture Bros.* is known for both exaggerating and domesticating characters and events to achieve parody and humour, which often results in characters having dual personalities: an exaggerated hero/villain personality that often conforms to the clichés of the hero genre, and (often a clichéd) domesticated ‘regular’ personality that often helps to highlight the absurdity of the hero/villain personality. Likewise, the show gives a mix of characters with both hero/villain names and regular names. For instance, the surname ‘Venture’ (although transcribed and not translated due to the reasons discussed previously) functions as a typical hero name, while the first names of the family members are regular names: Thaddeus, Dean, Hank, and Jonas. Therefore, although the animated



series focus on heroes and villains who are known to have meaningful/symbolic names, regular names were just as frequent, making transcription a common strategy for name translation that helps highlighting the satirical nature of the show.

However, while transcription does not mean any semantic loss, some connotative loss might have occurred in the interpretation of certain aspects of the show under analysis. *The Venture Bros.* is a parody that satirizes old cartoons from the 1960s–80s. Animated series from that era are known to be less sensitive to racial or cultural issues and are usually dominated by Caucasian characters or racial stereotypes (Online 2). *The Venture Bros.*, as a parody of such cartoons, frequently follows the pattern of its parody target, therefore, many of the characters are named with typical, if not stereotypical, Caucasian American names, for example, Steve Summers, Jeanie Tom, Mike, Todd, Bud Manstrong, etc. Such a feature becomes especially evident in episode 4, where the main characters encounter 'Orange County Liberation Front', a revolutionary group represented by members of a suburban community who decide to revolt as they are unhappy about the changes in their community. All the members of the revolt have names, which conform to the typical Caucasian suburbia stereotype (for example, Debbie, Peggie, Chad, Tod, or Ted). All such names were transcribed, resulting in a possible connotative loss in meaning, as there are no Lithuanian alternatives for the connotations due to a different demographic constitution.

## LOAN TRANSLATION

Names of characters that bear significance to the plot are more likely to have a connotative or semantic meaning, especially since the hero genre is known for having character names that directly refer to the character's abilities, importance or other features. Good examples outside of *The Venture Bros.* universe would be Batman from the *Batman* series, Spiderman from the *Spiderman* series, Rogue from the *X-men* series, etc. Characters of *The Venture Bros.* series with similar names are Action Man, The Monarch, Dr. Girlfriend, Dr. Venture, etc. Thus, the connotation attached to a name appears to be the most important reason for changing it (Collie, 2006: 129). This statement is supported by the results of the frequency of translation strategies used as 47% of reoccurring characters' names or parts of their names were directly translated, while in comparison, only 26% of background characters' names or parts of their names were directly translated.

The table below shows the list of superheroes' names with semantic and/or connotative meaning and the translation strategies used for the names that were not transcribed. A gray font marks that part of the name which was transcribed, thus, not included in the translation strategy column. Slash '/' separates different names used to refer to the same character and the translation strategies used respectively. '+' indicates that more than one strategy was used for the same name. If the same strategy was used for all the names of a character, the translation strategy is stated only once.



**Table 2 The translation of superheroes' names semantic and/or connotative meaning**

English	Lithuanian	Translation Strategy
The Monarch	Monarchas	Loan translation
Dr. Girlfriend	Dr. Mergina	Loan translation
Speedy	Smarkuolis	Functional analogue
Baron/Underbheit	Baronas/Underkšnis	Loan translation/ retention + loan translation
Catclops	Katinakis	Neologism
Girl Hitler	Panelė Hitleris	Loan translation
Manic Eightball	Maniakas Aštuonetas	Loan translation
G.U.A.R.D.O	SARGAS	Loan translation
Sasburger/Sasquatch	Sniegiukas/Sniego žmogus	Functional analogue/ loan translation
Molotov Cocktease	Molotova Koketė	Functional analogue
Pumpkin/Triana	Moliūgėlis/Triana	Loan translation
Action Man/Rodney	Nuotykių ieškotojas/Rodnis	Functional analogue
Captain	Kapitonas	Loan translation
Richard/Sally Impossible	Ričardas/Salė Neįmanoma	Loan translation
White	Baltas	Loan translation
Giant Boy Detective	Milžinas Berniukas Detektyvas	Loan translation
Anna Bizzy Bee	Ana Bizė Bitė	Loan translation
Nat King Kobra	Nat Karalius Kobra	Retention + loan translation

Loan translation was used in those instances when the semantic or connotative value of the name was understandable and a direct equivalent could be found to produce the same effect as in the SL. For instance, the name 'The Monarch' was translated as *Monarchas* since it has a direct equivalent in Lithuanian for this butterfly species, which is the super-villain theme of the character. Similarly, 'Captain' and 'Dr. Girlfriend' were translated as *Kapitonas* and *dr. Mergina* respectively. The name 'White' was translated as *Baltas* since the character is an albino, however, a certain connotative loss did occur in the latter case due to the fact that 'White' is also one of the most common surnames in the Anglo-Saxon countries. The ambiguity of whether the character's name is a symbolic hero name or just a regular surname is lost in the TL.

## FUNCTIONAL ANALOGUE

In translation functional analogues were fairly common, too. For example, the name 'Molotov Cocktease' was translated as *Molotova Koketė* using the said strategy. In other words, since there was no satisfactory way to translate the surname literally, a different word, *Koketė* ('coquette'), that has similar connotations in the Lithuanian language was used, thus maintaining both the connotative value of the name as well as the verbal pun referencing to Molotov cocktails. Another interesting case of functional analogue is the translation of 'Sasburger', an affectionate name for Sasquatch (also known as the Big Foot). Since the Lithuanian equivalent for 'Sasquatch' is *Sniego žmogus* ('snowman') the affectionate form of the name was translated by adding a diminutive suffix to the Lithuanian translation – the name was translated as *Sniegiukas*.

One more instance of functional analogue worth noting is the translation of 'Action Man'. The character's name was translated as *Nuotykių ieškotojas* ('adventurer'). The literal translation of action man would be *Veiksma žmogus*, however, such a translation sounds very unnatural and does not evoke any of the connotations of the SL. The translation *Nuotykių ieškotojas* evokes similar connotations as the source name; therefore, it was chosen as the Lithuanian equivalent. Although the connotative value of the name was transferred in the translation, there is a likely loss of a certain cultural reference. While in *The Venture Bros.* series Action Man is a character in its own right, he is also a part of a sequence that pays homage to David Bowie's song *Ashes to Ashes*. The sequence pays a tribute to David Bowie by acting out the lyrics of his song in a plane crash sequence, where Major Tom plunges to his death with a spaceship. Both Action Man and Major Tom are characters in the song and in the TV show. Translating the names, especially 'Action Man', which loses its original form, is likely to make the original reference more difficult for the Lithuanian audience to understand. However, such a loss in intertextuality is likely to be unavoidable as the song is not translated into Lithuanian, thus making it next to impossible for the TL audience to understand the reference (unless they already speak English and know the song).

## NEOLOGISM

There was only one case of neologism, in other words, a case when a completely new word was created. The name 'Catclaps' was translated as *Katinakis* ('cat-eye'). 'Catclaps' is a very peculiar character in episode 3, he is an underling of one of the villains, and has a cat in place of his eye, thus his name 'Catclaps' is a reference to Cyclops, both the mythological creature and a comic book character for the series *X-men*. Although the name could have been translated as *Katklopas*, thus maintaining the original form, however, it was decided that the name sounds rather cumbersome in Lithuanian, and makes it difficult to understand the pun since the part *Kat-* which references to cats might be hard to understand or might be interpreted as another word. Although *Katinakis* seems to be a more explicit

way to translate the meaning of the name, there is a certain connotative loss: the reference to the mythological creature as well as a comic book character becomes unrecognisable. However, the translation *Katinakis* holds a greater advantage compared to *Katklopas* because it is easier to read and pronounce – an important difference in the case of subtitles.

## RETENTION

Retention was the only translation strategy that was used for background character names but not for reoccurring character names. The most prominent example of retention is the name ‘David Bowie’. In the TL the name was adapted without any changes to the spelling or grammatical structure of the name. The main motive behind such a choice of translation was that David Bowie is a real living person, a well known musician. In the series *The Venture Bros.* he is also given the role of The Sovereign – the head of The Guild of Calamitous Intent, a super villain organisation. The name is left unchanged to make it easily recognizable for the TL audience as, clearly, David Bowie and his work are among the motives of the animated show.

Another interesting case of retention is the name ‘Nat King Cobra’, which was translated as *Nat Karalius Kobra*, where the first name ‘Nat’ was left unchanged when rendering from SL to TL. This name is a play of words and a reference to a real person, an American musician Nat King Cole. One might argue that a better translation strategy would have been to use retention on both first names to keep the reference clearer (*Nat King Kobra*) like in the example with David Bowie. However, the translator decided to translate the name ‘King’ for a more dramatic effect, which aids another reference hidden in the name. Although the character himself never appeared on the show, it was clear from the extravagant outfits his henchmen wore and their manner of speaking that Nat King Cobra is also a reference to the super-villain from the animated series *G.I. Joe – Commander Cobra*. Having in mind that the age of the target audience is 15–30 years, it is more likely that the audience would recognize the reference to the animated series rather than the musician because Nat King Cole died in 1965 and is no longer a widely remembered figure in today’s popular culture. The name *Nat King Kobra* would sound confusing and cumbersome in Lithuanian, while the name *Nat Karalius Kobra* sounds more like a typical super-villain name, which perfectly fits the parody nature of *The Venture Bros.*

The translation of the name *Baron Underbheit* is also a notable case. The name ‘Baron’ was simply translated as *Baronas*, however, the surname *Underbheit* proved to be a difficult case to translate. As many other super villain names, *Underbheit* holds a strong symbolic meaning. The character *Baron Underbheit* is a ruthless dictator of his country Underland. European and German traditions are one of the main villain themes of this character as throughout the episodes there are several references to both Nazi dictatorship and medieval European feudalism and folklore. The character himself speaks with a German accent.

Another important feature of the character is his jaw made out of iron. Clearly, the name *Underbheit* is a play on words because although the name appears to look like a German sounding name, it is a typical super villain name where the first part 'Under' refers both to the German and European origins implied as well as underworld from European folklore, while the second part 'bheit' is a reference to his jaw (it is pronounced the same as the English word 'bite'). Therefore, combining retention of a Germanic prefix *under-* and loan translation of a German sounding root *-bheit* [bait] as *kąsti* 'to bite' or *kąsnis* 'a bite' to keep reference to the jaw, the German and European cultural connotations were preserved. The result of the translation of the name was *Baronas Underkąsnis*.

## CONCLUSIONS

The goal of the present study was to analyse the strategies used for the translation of character names in the series *The Venture Bros.*, a dark humour cartoon parody of the superhero genre. Their translation proved problematic because of several reasons: (1) proper names in general belong to a special layer of cultural words in the source language that are usually treated as non-equivalent lexis in the target language; (2) the parody of the superhero genre determines the connotations of the character names used; (3) the medium of translation is subtitles, which also place certain restrictions on a translator's choices due to the technicalities of this type of audiovisual translation. All these problems must be overcome if a successful delivery of the planned effect is expected.

For the purposes of convenience of analysis, all the character names in the show were categorized into reoccurring and background characters. The study has revealed that the most frequent translation strategy used for both reoccurring and background characters was transcription. Such a result is mostly related to the fact that a significant part of the names were regular proper names. Regular proper names, in their turn, were more frequent among background characters, which tend to have fewer symbolic names or names with connotations, unlike reoccurring characters that tend to have names based on cultural references and word play. The high frequency of transcription can also be attributed to the dual nature of *The Venture Bros.* series as both a super-hero themed TV show and a parody of such. As most characters assume their superhero identities (which usually have names that carry connotative meanings) and their regular ones (which usually have regular Anglo-Saxon names), transcribing regular names aids the effects of parody and humour.

The second most frequent translation strategy was loan translation, which was mostly dominant among reoccurring characters. Such a choice of translation strategies is motivated by the fact that the majority of reoccurring characters have symbolic names, which represent the superheroes' powers or origins, and in the case of *The Venture Bros.* series, are also a tool for parody. Therefore, transcription was more frequently used when rendering background characters' names from

English into Lithuanian as background characters were less likely to have names that carry significant connotative or semantic meaning.

And although some strategies were used more frequently than others, there was no significantly consistent pattern as to why and when a particular strategy was used. The choice of the strategy seems to be predetermined by the contextual information of the occurrence, which leads to the conclusion that even very similar names can be translated using different translation strategies when the context is taken into consideration.

The use of any translation strategy was heavily influenced by the contextual information provided in the show, the cultural knowledge expected from the target audience, the visual aid complementing the subtitles, and the technical restrictions of subtitling. Therefore, there were cases where very similar types of names were translated using different strategies. The lack of consistency in translation strategies used may be related to the fact that the golden and silver ages of comic books were lost in Lithuania, which prevented the development of the translation patterns to aid the translation of the superhero genre.

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# INTERTEXTUALITY AND INTERDISCURSIVITY IN INFORMATION TECHNOLOGIES ORGANISATIONAL DISCOURSE

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**Abstract.** The paper reflects the results of the cross-sectional empirical research exploring the network of written genres in information technologies organisations. The theoretical basis for this research has been grounded in the English for Specific Purposes and the New Rhetoric genre schools. The empirical research method is a case study, discourse and frequency analysis. Firstly, semi-structured interviews with IT professionals from Latvia, Estonia, Belarus and Western Russia aimed to identify the recurrent genres pertinent to the domain were conducted. Secondly, the analysis of constitutive and manifest intertextual relations in the documents in question was performed. The obtained results highlight the significance of the social context and professional practice for conducting discourse analysis in the domain in order to uncover constitutive intertextual relations. They reveal that the genres in the network have hierarchical interdiscursive relations, with the system architecture being the dominating one. The linguistic means of manifest intertextual relations do not show high variation and indicate to the genres precedent or antecedent in the chronological chain.

**Key words:** information technologies organisational discourse, discourse analysis, intertextuality, interdiscursivity

## INTRODUCTION

Communication models in organisational discourse have become complex, dynamic and highly dependent on situational context. The linguists of English for Specific Purposes (ESP) and New Rhetoric Schools claim that applied genre analysis is the study of textual artifacts, undertaken inseparably from the social practices of a discourse community.

With the advancement of genre as a social action in the New Rhetoric tradition, genre research moved from the analysis of single genres proposed by Systemic Functional Linguistics (SFL) (Paltridge 1996; Martin, 1997) and the ESP researchers (Swales, 1990; Bhatia, 1993) to groups of connected genres (Swales, 2004) and the relationships among them within activity systems. This shift facilitated recontextualisation of the concepts of uptake and intertextuality, the consideration of interdiscursive processes and the concept of meta-genre, research in organisational communication to explore genre within their local and wider social context (e.g. in tax accounting (Devitt, 1991), healthcare



(Berkenkotter and Huckin, 1995), software development (Spinuzzi, 2004), enabling scholars to uncover complex social and intertextual relations within their professional communication models, building an organic and dynamic genre ecology (Spinuzzi, 2004) or system (Swales, 2004) based on social discursive processes.

The abovementioned considerations have determined the aim of the present research, i.e. to investigate the recurrently encountered genres characteristic of the IT institutional domain as a system and determine genre intertextual relations. In the present research, professional genres are viewed as a social action, a reflection and mediation of the activities performed by the discourse community, creating a shared knowledge base (Miller, 1984; Freeman and Medway, 1994; Berkenkotter and Huckin, 1995; Bazerman et al., 2009), with textual regularities being socially constructed (Bawarshi and Reiff, 2010). Moreover, the need for communication and genre communicative aims are emphasised (Swales, 1990; Bhatia, 2004).

## THEORETICAL BACKGROUND

### 1 ORGANISATIONAL DISCOURSE

Organisational discourse is a complex and all-embracing concept which can be investigated cross-sectionally involving linguistics, communication and business studies. In the present article, it is attributed to written communication occurring within organisations, i.e. an interrelated network of genres to reflect the professional discursive practices, activities and procedures.

Grant, Hardy, Oswick and Putnam (2004: 3) described organisational discourse as the interrelated and structured collections of texts

embodied in the practices of talking and writing (as well as a wide variety of visual representations and cultural artifacts) that bring organisationally related objects into being as these texts are produced, disseminated and consumed. They signify collections of interactions, media of communication (i.e., oral, print, electronic), or assemblages of oral and written forms.

The scholars (*ibid.*) also defined the organisational discourse as context-sensitive language use exposed to plurivocality, i.e. multiple phenomena unveiled for the analysis at a time. They considered that the field of organisational discourse has borrowed extensively from the wider discourse analytical literature and directed the debates pertaining to the exploration of organisational discourse to the negotiation of meaning, intertextuality, cognitive approaches and reflexivity.

Mumby and Clair (1997) claimed that organisations are created by the members of discourse community through discourse, which is the means to create a coherent social reality.

The scholars also asserted that ‘discourse is a facet of organisational life; a communicative practice that can be empirically examined to determine its meaning and purpose, viewed in functional terms’ (ibid: 181). Heracleous and Barrett (2001) defined organisational discourse ‘as a body of communicative actions that [serve as] tools at actors’ disposal, emphasising the purposive and instrumental use of such communicative actions for the facilitation of managerially relevant processes and outcomes’ (2001: 756).

Iedema (2003) differentiated between two disciplines majoring in organisational discourse, i.e. organisational discourse studies and organisational discourse analysis, the former grounded in organisational management, the latter in linguistics. Intertextual and interdiscursive nature of organisational communication is explored deriving from purposive and instrumental language use in organisational documentation.

## 2 INTERTEXTUALITY AND INTERDISCURSIVITY

Intertextuality was introduced from critical literary theory to linguistics in the 1980s and advanced extensive research in various branches to show the relations between texts (Text Linguistics and SFL) and genres (ESP, New Rhetoric Studies) and provided means to explain genre modification and transformation (ESP, New Rhetoric Studies, Critical Discourse Analysis), evolving into interdiscursivity.

The term *intertextuality* was proposed by Kristeva (1980). She referred to texts in terms of two axes: a horizontal axis connecting the author and the reader of a text, and vertical, which connects the text to other texts through contexts (ibid: 36). She argued that rather than confining our attention to the structure of a text we should study its ‘structuration’ (how the structure came into being). This involves locating it ‘within the totality of previous or synchronic texts’ of which it was a ‘transformation’ (ibid.). For the present research the vertical axis, i.e. the relation of organisational genres within professional communication, have been considered.

According to Kornetzki (2012), intertextuality as a concept and term was transferred from critical literary theory to linguistics by Zimmermann (1978), who investigated it at the level of content and text types. Beaugrande and Dressler (1981) developed it further within text linguistics postulates and located it among seven other standards of textuality along with cohesion, coherence, intentionality, acceptability, informativity and situationality.

Beaugrande and Dressler (1981: 188) distinguished syntagmatic (referential) and paradigmatic (typological) intertextual relations, the former being overt intertextual relations expressed through references and citations, the latter being the relations of text patterning. The theoretical framework gave rise to further investigations of intertextuality within text linguistics, discourse studies, critical discourse analysis in particular and genre studies. The obtained results reveal syntagmatic intertextuality searching for its overt manifestation among genres/

documents in question as well as paradigmatic intertextuality uncovering intertextual relation based on the professional discursive processes.

Lemke (2005:6) considered the SFL postulates of language being context-dependent and governed by three metafunctions (ideational, interpersonal and textual) and proposed to apply them to investigate intertextual relations. Namely, the texts, belonging to a similar topic, are connected ideationally, possessing a similar stance of the author interpersonally, having similar textual patterns textually. If the connections are present at all three metafunctional levels, though of a different degree, the texts are considered as intertexts to each other. Hence, the scholar (*ibid.*) distinguished three types of intertextuality, i.e. co-thematic, co-orientating and co-generic respectively. The obtained results illustrate the co-thematic intertextuality type since the genres in the repertoire are grouped according to the theme as well as co-generic as the transformation of the same technical solution (idea) is observed in various genres, which results in similar rhetorical moves and textual patterns.

Defining intertextuality (Kristeva, 1980; Beaugrande and Dressler, 1981; Bhatia 1995, 1998) and interdiscursivity (Fairclough, 1995; Bhatia, 2010), it should be noted that intertextuality refers to the phenomenon that other texts are overtly drawn upon within a text, which is typically expressed through explicit surface textual features such as references, quotations and citations. Interdiscursivity (Fairclough, 1995; Bhatia, 2010), however, operates on a different dimension in that it refers to how a text is constituted by a combination of other language conventions (genres, discourses, discursive practices). Thus, the difference between these two concepts lies in the fact that intertextuality refers to actual surface forms in a text, borrowed from other prior texts, whereas interdiscursivity involves the whole language system referred to in a text. In this sense, interdiscursivity is a more complex phenomenon since it is concerned with the implicit relations between discursive formations rather than the explicit relations between texts and, as a result, accounts for the attempts to create hybrid, relatively novel, embedded constructs by appropriating the existing genres and discursive practices.

Some scholars (e.g. Xin, 2000: 191) have used the term *generic intertextuality* to cover what interdiscursivity actually refers to. However, these two notions do not always have the same connotation in the sense that interdiscursivity does not always refer to the mixing of different genres. In some cases, it is the articulation of discourses, discursive practices or styles that makes sense in the formation of interdiscursive relations.

The distinction between the concepts of interdiscursivity and intertextuality derives from Fairclough's (1992) dichotomy of constitutive and manifest intertextuality when he accounted for the more overarching concept of intertextuality. He claimed (*ibid.*) that manifest intertextuality refers to the explicit presence of one text in another. Constitutive intertextuality, in its turn, is attributed to the mixing configuration of discourse conventions such as genres, activity types, and styles associated with different types of discourse; thus, it is

not overtly present in the textual artifact but is to be retrieved from the social context (*ibid.*).

Bhatia (2010) schematically showed the constituents of interdiscursivity linking directly the analysis of organisational genres with organisational discursive practices through the appropriation of generic resources. He claimed that professional practices and genres are mutually interrelated in the sense that discursive practices are reflected in the textual artifact, yet a genre may determine discursive behavior and influence the creation of other genres within the network or outside it, which has been consistently investigated by the New Rhetoric Genre School researchers.

The obtained results illustrate the interrelation of professional genres and professional practices and its manifestation, excluding professional culture since the investigation is of applied descriptive rather than critical nature. Both syntagmatic and paradigmatic intertextual relations have been explored, the latter being harder to uncover because of the dependence on professional discursive processes.

## METHODS AND DESIGN OF THE STUDY

In order to reach the goal of the paper, i.e. to investigate the recurrently encountered genres characteristic of the IT institutional domain as a system and determine genre intertextual relations, qualitative cross-sectional research with quantitative research elements at data representation level, has been employed. The multiple and collective instrumental case study (Stake, 1995, 2005) served to explore the data collected during questionnaires (Appendix 1), interviews (Appendix 2), and as well as discourse and genre analysis of technical documentation produced and consumed by the members of the discourse community in a professional setting.

136 participants are technical specialists or managers employed by IT companies, involved in IT product design and service provision, excluding sales, in Latvia and abroad with at least one year working expertise in the field, with one of the responsibilities encompassing technical documentation production, consumption or both. They are non-native English language users with language proficiency of B2 and above representing all levels of professional expertise (trainee, junior, common, lead and/or senior specialists) and at least low and middle level management aiming at maximum variation. The sample of the present research may be characterised as homogeneous, in terms of the professional domain, yet heterogeneous in terms of the level of expertise and the nature of positions (technical, managerial or both).

Iterative chain sampling was implemented since the initial spread of questionnaires and conducting interviews (87 participants) resulted in obtaining additional 49 contacts. Therefore, it was decided to run the procedure in an iterative way to ensure the saturation of the sample.

Based on the results of the interviews and questionnaires, a text database of organisational documentation of 307,849 tokens representing naturally occurring language was compiled, marked-up and annotated for discourse and genre analysis. Where applicable, Oxford WordSmith Tools 6.0 software was used to do the frequency analysis.

Once the results of the interviews and the questionnaires were processed and the genres were organised into an intertextual network, the sample documents underwent frequency analysis in order to identify the linguistic manifestation of intertextual relations.

## DISCUSSION AND RESULTS

### 1 DESCRIBING GENRE INTERDISCURSIVE RELATIONS

Addressing the research questions of the study, the recurrently encountered genres in IT written professional communication were identified analysing the results of questionnaires and interviews (Kuzmina, 2014). Their communicative aims and underlying discursive practices enabled us to organise the documentation into a network. Table 1 below illustrates the allocation of the genres in the sample into a repertoire.

*Table 1 Genre interdiscursive relations*

<b>Project Management</b>	<b>Technical Operational</b>
<b>business case description</b> <b>business requirements</b>	<b>system architecture</b> <b>systems requirements</b> functional and non-functional specifications
<b>a project plan</b> project plan (project scope, project schedule, change management plan, resource, financial, quality, risk and acceptance plans)	test strategy test cases problem/bug report or change request
status reports	configuration management plan repositories configuration
a closure report	reports on fixes
an acceptance act/note	manuals

The repertoire takes the perspective of the discourse community. The networks of genres model action as communication, possessing performative character; hence, the model of action is communicative/performative as the reader is induced to action. The relationships are initiated by the discourse community, thus, being asymmetrical. The table reflects the discursive processes in the organisational setting, thus, the genres in the columns are organised chronologically into chains, the relations being sequential, and hierarchies, the relations being dominant. The overlapping relations or relations between the domains are marked with arrows and are of a transformational character, namely, the source genre is reconceptualised and modified into a target genre. The system as a genre repertoire is considered to be stabilised for now.

Having explored constitutive (paradigmatic) intertextual relations further, genre communicative aims were determined enabling us to organise the documentation into colonies. The results reveal that colonisation in IT may occur across discursively related domains. Table 2 (Appendix 3) exemplifies a broadening of genre investigation into the mapping of generic activity characteristic across the domains and sub-domains according to their communicative aim. The distinguished colonies of the genres in the domains in question are the colonies of regulatory, informative, reporting and evaluative genres.

## 2 GENRE INTERTEXTUAL RELATIONS

In order to identify the manifest intertextual relations *Oxford WordSmith Tools 6.0* software was applied and frequency analysis was conducted. As it can be seen in Table 3, the scarce use of manifest (syntagmatic) intertextual references might be explained by the fact that the communicative aim of the document is to outline systems components and their views focusing on clarity since it will be further readdressed in the process of other genre creation (recontextualisation), in systems requirements, functional and non-functional specifications. Hence, these genres were identified.

*Table 3 Intertextual relations in system architecture*

N	Word	Frequency	Per cent
1124	SPECIFICATIONS	2	0.01
1269	REQUIREMENTS	2	0.01

In functional and non-functional requirements as specified in Table 4, the report signals not only intertextual, but also interdiscursive relations between project management and technical operational domain since the report belongs to the former. Other intertextual links relate to the preceding genres in the chain and the figures are also scarce.

*Table 4 Intertextual relations in functional and non-functional specifications*

<b>N</b>	<b>Word</b>	<b>Frequency</b>	<b>Per cent</b>
7	REPORT	794	1.80
452	REQUIREMENTS	13	0.03
802	ARCHITECTURE	5	0.01

The frequency analysis of the configuration management and test management documentation did not disclose any manifest intertextual relations. However, manual documentation examination revealed that the companies use intranet and intertextual relations are presented as hypertext links to other documents in the database.

## CONCLUSIONS

The data obtained in the present research revealed that genres of IT technical operational documentation constitute a wide network in predominantly written mode, the key being a system architecture, functional and non-functional requirements, manuals and test strategy. The genres in the network possess hierarchical structure with the system architecture and system requirements being the dominating ones. Manifest and constitutive intertextual relations and genres chronological chain are identified on the basis of exploring the situational context and revealing the discursive practices behind. Interdiscursive embedding of technical operational documentation and project management documentation is also consistent with the professional practices as well as mapping the communicative aims across IT operational and project management domains which results in regulatory, informative, reporting and evaluative genres. Frequency analysis results to investigate manifest intertextuality do not demonstrate high variation, and the precedent and antecedent genres in the chain were mentioned. The manifestation of intertextual relations in configuration and testing documentation was through hypertextual links to the documents in the intranet database.

The limitation of this study lies in the difficulty to compile a corpus due to non-disclosure organisational policies. A similar research procedure may be undertaken to analyse other genres in the domain after signing non-disclosure agreements with the stakeholders to make corpus more representative. Further research activities might also comprise a detailed analysis of lexico-grammatical features of each move and step to demonstrate their connection with the manifestation of language metafunctions or follow the longitudinal perspective, focusing on genre integrity, genre dynamism and co-generic intertextuality.



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## APPENDIX 1

### QUESTIONNAIRE

Thank you very much for agreeing to complete this questionnaire on written genres used in IT for professional communication. It should take you about 10–15 minutes.

For the purposes of the present study written genres are broadly defined as any document created for corporate communication at a workplace and used internally, communicating with your colleagues and externally, communicating with clients, partners and other stakeholders. The aim of the research is to investigate the institutional situational context in which English written communication for IT occurs; to determine recurrently used genres in IT written discourse; to systematise the network of genres used for written professional communication in the IT domain, state their communicative aims and organization and typical language. The information will help me to describe the peculiarities of written professional communication and identify the requirements for writing successful professional documentation in the workplace.

**Participant (Addressor/addressee)**

1. Company \_\_\_\_\_

2. Location \_\_\_\_\_

3. Age (tick the appropriate box)

18–25	26–35	36–50	over 50
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4. Work experience in IT (tick the appropriate box)

Less than 1 year	1–2 years	2–5years	6–10 years	more than 10 years
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5. Native language \_\_\_\_\_

**Purposive domain**

6. In which business domain and sub-domains do you work? (e.g. software development, user interface development)

7. What is your position?

\_\_\_\_\_

8. What responsibilities (activities, actions and operations) that require documentation compilation and processing do you perform?

Activity, action and operation	Document(s)

**Instrumentality**

9. How is the documentation stored and retrieved in your company?

	Repository (please specify file format)	issue tracking system, e.g. JIRA	team collabora- tion software, e.g. <i>Confluence</i>	Other (please specify)
Tick all that apply				
Notes				

Could you specify the most appropriate time for you for the interview?

Thank you for completing this questionnaire! I highly appreciate your contribution to this research.

## APPENDIX 2

### INTERVIEW PROTOCOL FOR THE IN-PERSON SEMI-STRUCTURED INTERVIEWS

The aim of my research is to collect information about the written documentation used in IT companies for professional communication. The results will enable me to organise the documents used at a workplace into interrelated networks and further describe their rhetorical (organisational) and linguistic features. The research results may be applicable for personnel trainings, materials design and further documentation flow optimisation. By document I understand any formal written unit generated individually or collectively that has an addressee or a target audience, is recognised by them, has a typical organisational structure, and is devised in response to some professional activity. The interview will take you approximately 15–20 minutes.

### QUESTIONS FOR THE IN-PERSON SEMI-STRUCTURED INTERVIEWS

#### **Communicative event and setting**

1. What documents do you draw up? What documents do you review?
2. How frequently do you do that?
3. Who is the addressee?
4. Is s/he located externally or internally? If externally, in what countries?
5. Can there be multiple addressees?
6. What professional activity does it describe? What product or service is it related to?
7. Is the creation of the document determined by the company operations or by client requirements?
8. What activities precede its creation? What activities follow its creation?

#### **Genres**

9. What documents are created before it? What documents are created after it?
10. Which documents dominate in the set?
11. What are their aims?
12. Are there documents with similar aims?
13. What sections does it consist of?
14. Are there usually any graphs, charts, diagrams or flowcharts?

**Texts Analysed** (available from companies internal database) [assessed from 15 June to 1 July, 2013]:

<b>Genre</b>	<b>No of documents</b>	<b>No of words</b>	<b>Source</b>
operational architecture	4	19,584	companies A, B, C, E
systems requirements	4	15,840	companies A, B, C, E
functional non-functional specifications	8	98,112	companies A, B, C, E
test strategy	4	23,304	companies A, B, C, E
test cases	20	12,840	companies A, B, C, E
problem/bug report or change request	20	4,874	companies A, B, C, E
configuration management plan	4	8,421	companies A, B, C, E
repositories configuration	4	8,015	companies A, B, C, E
reports on fixes	20	2,011	companies A, B, C, E
<b>Sub-total</b>	<b>88</b>	<b>193,001</b>	
business case description	4	16,213	companies A, B, C, E
business requirements	4	14,224	companies A, B, C, E
project plan (project scope, project schedule, change management plan, resource, financial, quality, risk and acceptance plans)	4	59,215	companies A, B, C, E
status reports	20	21,660	companies A, B, C, E
closure report	4	2,272	companies A, B, C, E
acceptance act/note	4	1,264	companies A, B, C, E
<b>Sub-total</b>	<b>40</b>	<b>114,848</b>	
<b>Total</b>	<b>128</b>	<b>307,849</b>	

## APPENDIX 3

Table 2 Genre Colonies

<b>General communicative aim</b>	<b>Genre</b>	<b>Specific communicative aim</b>	<b>Domain/ sub-domain</b>
To regulate and guide the professional activity	project plan (change management plan, resource, financial, risk and acceptance plans)	to outline project milestones, deliverables, dates, resources involved, risks and acceptance criteria	project management
	configuration management plan	to outline software configuration activities	technical operational/ software configuration
	test strategy	to outline software testing activities	technical operational/ software testing
To report progress of a professional activity	report on fixes	to inform about changes made to an application	technical operational
	status report	to inform about a status of a task	project management
	closure report	to inform about completed a project and submission of deliverables	project management
To inform about a professional activity, system, product, application, etc.	system architecture	to describe design goals; to provide a general overview of the system architecture, system interaction patterns with other applications and data flow; to outline partitioning of functionality and responsibilities of the system were partitioned and then assigned to subsystems or components	technical operational/ software design
	system requirements	to describe the data design related to the system, interaction, interface and operational scenarios	technical operational/ software design

<b>General communicative aim</b>	<b>Genre</b>	<b>Specific communicative aim</b>	<b>Domain/ sub-domain</b>
	Manuals	to describe the operational circumstances to ensure proper system, software application or functionality use	technical operational/ software development, testing, configuration or use
	functional and non-functional specifications	to exhibit the functional capabilities of the system/ application; to outline non-functional constraints to the solution, e.g. performance, safety, reliability, environment and other criteria	technical operational/ software development
	test cases	to outline the purpose of testing, input data, steps to reproduce, expected results, pass and fail criteria	technical operational/ software testing
	repositories configuration	to outline criteria for data storage repositories adjustment	technical operational/ software development
	business case description	to outline a business process that requires a software	project management
	business requirements	to outline criteria for a business process and describe the instances of use	project management
	project scope	to outline project deliverables	project management
	project schedule	to outline project milestones and time frames for deliverables	project management
To verify/ evaluate the compliance a professional activity, system, product, application etc. with certain requirements	acceptance act/ note	to inform about the acceptance of deliverables	project management

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# SEMANTIC FIELDS IN SELECTED POEMS FROM *SEASON SONGS* BY TED HUGHES

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**Abstract.** Ted Hughes (1930–1998), the Poet Laureate (1984–1998) wrote a collection entitled *Season Songs*, originally intended for child audience. Analysis of the obvious semantic fields in three selected poems from the collection shows that the poems possess more than the aspects intended for children – alongside observation of the season and nature, they point also at transcendent values and experiences beyond and outside childhood.

**Key words:** semantic fields, text analysis, Ted Hughes, poetry analysis

## INTRODUCTION

Ted Hughes (born Edward James Hughes, 1930–1998) (*Earth-Moon*, 2014), has been called one of the greatest English poets in the 20th century by a number of critics (*Ted Hughes*, n.d.). He was a prolific author, published 18 volumes of poems, translations from Greek and Spanish, anthologies, 18 volumes of books for children, plays, radio plays, essays, books about poetry (*Earth-Moon*, 2014).

He was named Poet Laureate in 1984 (*Encyclopaedia Britannica*, 2014: Hughes, Ted) and held the seat till his death. His poetry is characterised by lack of sentimentality (*ibid.*) and painful and paradoxical awareness of life and death. He received numerous awards and medals (*Earth-Moon*, 2014), including The Queen's Gold Medal for Poetry in 1974 and the Guardian Children's Fiction Award in 1985.

The poems analysed in this paper come from *Season Songs*, a collection of poems first published in 1975, then revised and updated in 1985. The original target audience of the poems is children, but the poetry definitely speaks of subjects that transcend mere experiences of childhood. The poems in the collection have been organised according to the season, starting from spring and ending with winter.

I have chosen three poems for analysis here, namely, *A March Calf* (Hughes, 1985:13), *The Harvest Moon* (*ibid.*: 50) and *A Crane fly in September* (*ibid.*: 65). Each poem represents a season, namely, Spring, Summer and Autumn and, thus, allow an insight into the whole collection.

## THEORETICAL BACKGROUND

*The Concise Oxford Dictionary of Linguistics* defines semantic field as 'A distinct part of the lexicon defined by some general term or concept' (Matthews, 2014), but the notion is broader than that. A number of approaches emerge from the discussion on semantic fields, and all present different advantages for analysing a text. Halliday (1977: 24) considers semantic fields as part of interpersonal function of the language, describing the levels of formality, distance and sometimes attitudes. Semantic fields also indicate relationships of things in space (Halliday and Matthiessen, 2013: 414) or time. In this study, the aspect of indicating attitudes is somewhat relevant, given that the originally intended audience (children) have limited life experience in the matters depicted in the selected poems. The semantic fields are forming attitudes and distances towards such phenomena as life and death, experience of seasons, etc.

Semantic fields also provide a way to conceptualise (and then organise the concepts) the ever-changing reality (Lyons, 1977: 253) and can be arbitrarily chosen based on the given text and conceptual keywords therein. Anna Wierzbicka (Lehrer and Kittay, 1992: 211) goes further than that, proposing that there exist 'semantic primitives' which underlie every language. The semantic primitives can be used to understand general concepts, such as directions, binary opposites etc., for more see (Wierzbicka, 1996).

A form of semantic field often overlooked is the rhyme. Rhyme can be considered as a structurally-phonetic device that unifies words on the basis of similarity of phonetic structure, simultaneously actualising their semantic opposition. Lotman (1976: 58) considers rhyme

one of the most conflictive dialectical levels of poetic structure. It fulfills the function performed by semantic parallelisms in unrhymed popular and psalmic poetry. It juxtaposes lines in pairs, forcing us to perceive them not as a conjunction of two separate utterances, but as two modes of saying the same thing. Rhyme on the morphological-lexical level parallels the function of anaphora on the syntactic level.

A study of rhyme alone in Ted Hughes' poetry would be rather voluminous; therefore, in this paper I will only outline the possibilities such study opens by discussing some exemplary rhymes in the selected poems as a variant of the semantic field.

In this paper I will follow the conceptual and somewhat arbitrary organisation of the semantic fields, as the semantic primitives approach would require a different angle and much wider scope to return meaningful results.

## DISCUSSION

Every poem besides fields that are characteristic only to itself contains semantic fields related to the season represented, the subject mentioned in the title, observer, nature (also represented in the title), doom and colour. In case rhyme is present, an additional field is created. I will discuss the semantic fields in the poems separately, in order of appearance in the collection.

### 1 A MARCH CALF

The poem describes a calf's first days in the stable and out in the field. The unique semantic fields are: CALF {March calf, half of him legs, standing in dunged straw, shining-eyed, required nothing more/but that mother's milk come back often, blue-reddish/purple muzzle, plunge out, glistens, to moo}; ANTHROPOMORPHISM {he is dressed in his best – his blacks and his whites, Little Fauntleroy quiffed and glossy, a Sunday suit, a wedding natty get-up, Little fellow, elbowing push of his plans, dapper profile}; INNOCENCE {suck, he just wobbles his tail and glistens, hopes bustling, Little Fauntleroy, a Sunday suit, mother's milk, to be free, he shivers for the world licking his side, to moo}; OBSERVER {he is dressed in his best Little Fauntleroy quiffed and glossy, little syllogism, what did cattle ever find here, when I block the light, a bulk from space}.

The semantic fields shared in the whole collection are: SEASON (spring) {March calf, grass, surface of such a wideness, plunges out}; TIME {eager to prepare himself, when I/a bulk from space/ block the light, hungry people are getting hungrier}; DOOM {block the light, a bulk from space; ready for the worst, shut up in his hopeful religion; a little at a time, of each new thing; too much and too sudden is too frightening; hungry people/butchers developing expertise and markets}; COLOUR {block the light; a bulk from space; he glistens; his blacks and his whites; glossy; a Sunday suit; blue-reddish/purple muzzle; dunged straw; shining-eyed; grass}.

The semantic fields intersect: ANTHROPOMORPHISM through COLOUR with INNOCENCE and DOOM {blacks and whites; glistens; Sunday suit; block the light}, thus creating tension between the field of INNOCENCE and the field of DOOM. The shared allusions to F. H. Burnett's novel (Little Fauntleroy, a Sunday suit, glossy) in the fields of OBSERVER, INNOCENCE and ANTHROPOMORPHISM impose a feeling that the animal is a noble creature; further intersections between the field of OBSERVER and the field of TIME {when I/a bulk from space block the light, hungry people are getting hungrier} bring about a simultaneous realisation of the fragility of life as observed and the imminence of death for the noble creature.

However transient (intersection/opposition of the fields of DOOM, TIME, COLOUR), life is to be enjoyed (intersection of the fields of CALF and COLOUR).

## 2 HARVEST MOON

The poem presents a picture of the *harvest moon* – full moon in late August, when it is known to be close to the earth and shine well into the night.

At least four semantic fields can be distinguished here: COLOUR {the flame-red moon; gold doubloon; the bottom of the sky; all the moonlit cows and all the sheep; as if red hot; the gold fields of stiff wheat}, this field also includes the field of SEASON; DOOM (Doomsday){flame-red harvest moon; takes off; sinks upward; a bassoon; deep drum; so people cannot sleep; a kneeling vigil; in a religious hush; stare up at her petrified; while she swells; filling heaven; red hot; the end of the world; reap us; rivers sweat; the melting hills}; MOMENTUM {rolls along; gently bouncing; takes off; sinks upward; to lie in the bottom of the sky; the harvest moon has come; booming softly like a bassoon; she swells; filling heaven; sailing closer and closer} and IMMOBILITY {earth replies at night; like a deep drum; elms and oak trees keep a kneeling vigil; religious hush; stare up at her petrified; the end of the world; stiff wheat cry}. The field of RHYME is present as well {a/harvest moon; vast balloon; gold doubloon; a bassoon; deep drum;/ b/cannot sleep; oak trees keep; all the sheep;/ c/red hot; end of the world;/ d/wheat; reap us/}

The very notion of harvest contains the allusion (in the Western world) and overtones of death and final judgement, thus, of doom. The field of COLOUR overlaps with the field of DOOM {red, red-hot, harvest; fields of wheat}, and supports it. The fields of MOMENTUM and IMMOBILITY stand in contrast, which is supported and furthered by the subfields of RHYME (c, d). The other parts of the field of RHYME (see above) (a, b, c) deepen the presence of the field of DOOM both in assonance and semantically (moon and doubloon being solid objects vs. balloon which is technically air and drum and bassoon which are not quite solid either; moon/balloon also being quiet, while bassoon and drum definitely are used to make noise).

The interaction of the fields creates a picture of the nature forces on the move, and the people only recipients of the riches and momentum of nature. The parallels between the people and wheat through the field of IMMOBILITY contribute to a feeling of the final harvest, the judgement day, which is certain, but not immediate.

## 3 A CRANEFLY IN SEPTEMBER

The poem paints a picture of a fragile insect living out its last days in autumn grass.

In this poem, the field of NATURE includes the field of SEASON {grass-mesh; basket-work of limbs; mountain summits; water; ginger-glistening wings; the grass forest; the mystery of this forest; bamboo fuselage; lobster shoulders; pinhead dragon; the frayed apple leaves; the raven; in nettles; other galaxies; sky's Northward September procession}, the field of COMBAT includes the field

of DEATH and TIME in the adjectives {struggling not flying; stiff weightless basket-work of limbs; antique wain ceremonial cart; blundering from collision to collision; exerting her last; she rests long minutes; only a marvel can help her; she cannot be helped in any way; jointed bamboo fuselage; colourless church window of her wings; will come to an end; already superfluous; monstrous excess; frayed apple leaves; the raven; the defunct tractor; the vast soft armistice; abandons her; tinily embattled}; the field of OBSERVER {She is struggling – not flying; rocking not planing over water; not dipping her tail but blundering; long collision; aimless; exerting her last to escape of whatever it is; she rests; only a marvel can help her; this giant watches; the giant who knows; she cannot be helped in any way; like; will come to an end; in mid-search; quite soon is already superfluous; everything a problem beyond her; her cumbering limbs and cumbered brain} includes the field of GENERALISATION and TIME. The field of COLOUR simultaneously is also a field of TEXTURES {grass-mesh; mountain summits; water; ginger-glistening wings; the garden; bamboo; frayed apple leaves; the raven; in nettles; colourless church window of her wings}. By far one of the largest here, the field of DOOM which also includes some elements of the field of DEATH {antique; blundering collision; no particular direction; overwhelming; exerting; whatever it is; long minutes; long strides, long reachings, reelings; colourless church window; will come to an end, in mid-search, quite soon; everything is already superfluous; monstrous excess; are a problem beyond her; the calculus of glucose and chitin inadequate; infinities; raven; defunct; vast armistice; an Empire on the move; abandons; embattled} includes also the field of TIME and MOMENTUM.

The field of COMBAT besides the idea of struggle {struggling; blundering; collision; exerting; embattled} contains also the fields of futility {blundering, aimless, no particular direction, superfluous etc.} and so points to the field of DOOM and inevitable destruction of the insect. This is further augmented by the field of OBSERVER.

The obvious intersection points are the field of COLOUR which intersects with practically all the fields in the poem either through seasonal words, such as *grass, wings, bamboo*, or textures (*mesh, wings, frayed leaves, nettles, church window, chitin*) and the field of TIME {long, blundering, antique, will come to an end, infinities, etc.}. The presence of TIME in the fields of COMBAT, DOOM and OBSERVER creates an effect of transience and desperate struggle.

The exaggerations {long minutes, everything is already superfluous, monstrous excess, vast armistice} in the field of DOOM and COMBAT work towards creating a tension between life (which is a battle) and death (which is part of the cycle of life and thus unavoidable). The field of COMBAT intersects with the field of DOOM also at the point of DEATH {raven, defunct, will come to an end, already superfluous} creating the image of an epic last stand of a hero against unsurmountable foe. Being an allusion to common European mythology, *raven* functions both as an indicator of battle and the future death, thus pointing to DOOM. The field of DOOM itself contains contrasting notions of

MOMENTUM and STOPPING, where the notions connected with the crane-fly are connected with futile and therefore stopping activity, whilst the cycles of nature are pictured as simultaneously blind and unstoppable.

## CONCLUSIONS

Having looked at the semantic fields in three poems from the collection, it is possible to draw a number of conclusions.

First of all, in all poems the field of the main image (calf, moon, crane) intersects with the field of DOOM.

In all poems various aspects of the field of NATURE are strongly present, intersecting with the fields of DOOM and the main image.

The field of the OBSERVER adds an overtone of storytelling and objectivity, also contributing to the tensions between the concepts of life and death.

In the *March Calf*, the field of COLOUR creates a tension with the field of DOOM via the field of INNOCENCE, thus creating an ironic picture of the innocent animal doomed to slaughter. The contrast is deepened by references to the 'hungrier' people who are also 'butchers' on the one hand and the 'race to win' that the calf enters on behalf of the cattle on the other hand.

In *The Harvest Moon*, the field of COLOUR supports the field of DOOM, whilst the tension between the moving sky and the immobile earth furthers the life-death opposition.

In *A Crane-fly in September*, the field of COLOUR is part of the fields of NATURE and COMBAT, and allows perceiving the first two as related and in opposition. This opposition is furthered in the relationship of the field of CRANE-FLY and NATURE through the opposites futility-momentum and fragility-momentum. *Season Songs* create a feeling of experiencing an event (seeing a newborn calf, watching the moon in August, observing a fragile insect caught in grass) through the semantic field of the OBSERVER. The experience is split into the observation and naming (registering nuances, emotionally coloured words) and expectation (which in all cases has an overtone of do). The intensity of observation is achieved (partially) through the interaction/intersection of the fields of doom and the main image in the poems.

The intended audience of the collection is children. These poems then could be perceived as not 'writing down' to the child reader, but rather telling fascinating stories, a little sad, a little ironic, taking into account all the acuteness of perception of new things. To the adult reader, *Season Songs* remind of the passing of all things and the endless cycles of nature which include also the human observer.



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# THE TRANSLATION SCENE IN LATVIA DURING THE GERMAN OCCUPATION

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**Abstract.** The German occupation period in Latvia followed the twenty years of Latvian independence and a year of the Soviet occupation. The shifts in the translation policies at these critical junctions were incredibly fast. The independence period saw a developed translation industry. The source language variety was growing; the variety of literature translated and the quality of translations was broad. The communist system quickly nationalized the publishers, ideologised the system and reshaped the translation pattern. Russian was made the main source language and other languages minimized. The share of ideological literature grew exponentially.

Soon after the German invasion the publishers regained their printing houses and publishing was renewed. During the German occupation around 1500 books were published. Another reorientation occurred, with German literature taking around 70 per cent of the source texts. Most of the other source texts were Nordic. No pulp literature was produced. Translation quality was generally high. The focus was on literary classics, travel literature and biographies (many German musicians). There are few ideologically motivated translations.

The official policies of the regime as regards publishing in Latvia appear to be uncoordinated and vague, with occasional decisions taken by ‘gate-keepers’ in *Ostministerium* and other authorities according to their own preferences. There was a nominal pre-censorship, but the publishers were expected to know and sense what was acceptable. In their turn the latter played safe sticking to classical and quality translations. Yet the statistics of what was published reflects the general drift. Some high class translations into German of Latvian classics were published.

**Key words:** translation, policies, occupation, publishers, German, Soviet, ideology, censorship

## INTRODUCTION

Translation policies under totalitarian regimes have in general constituted an unexplored area in studies of both fascism and translatology. The collection *Translation under Fascism* (Rundle, 2010) started plugging this gap by comparing four fascist states and aspects of their often diverging and contradictory translation policies. However, next to nothing exists on policies in occupied territories, where the situation is even more complex as they involve extra players and changing political interests, both those of occupiers and the locals. These issues fall under the sociological aspect of translation studies: translations

actively intervene in the textual and political world of the receiving language because there are multiple agents with various interests (Wolf, 2007), and reality both quantitatively and qualitatively testifies to this.

The translation scene during the German occupation is an untouched area in Latvian translation history. There are some general, mostly statistical studies of the literary scene in Latvia in this period, mostly focusing on original literature created and published during the War. There are also some serious studies of the German propaganda machine, which was involved in book publications, although newspapers, films, posters and exhibitions bore the brunt of the propaganda effort (Zellis, 2012). It must be pointed out that the German period was totally ignored during the Soviet period; it simply did not exist in cultural domain.

The German occupation of Latvia followed twenty years of Latvian independence and the first Soviet occupation lasting one year. The translation scene must be seen in this changing political context, as well as in the context of the political prescripts of the ruling powers. Translation policies changed extremely fast at these critical junctures. This paper also makes some comparisons with the similar situation and processes in Estonia.

## INDEPENDENCE PERIOD

Latvia's brief period of independence (1918/20–1940) saw book publishing on a massive scale (Latvia ranked second in Europe in terms of books per capita) and a developed translation industry (around 20–30 per cent of fiction). The range of source languages was growing, with English slightly ahead of German in the pre-war years (German was also used as the main intermediary language), and French and Russian following. This was a change from the total dominance of German as source and intermediary language until the end of the 19<sup>th</sup> century (and even after the National Awakening in the mid-19<sup>th</sup> century, whose ideology was to a large extent anti-German). The literature translated was also extremely varied, as was the quality of translations (Veisbergs, 2014a, 2014b). The print runs were not very large: 2793 in 1938 when 1601 books were produced. The percentage of translations seems to vary considerably with a tendency to fall, for example, it stood at 17.8 per cent in 1938 (Karulis, 1967: 143). German and Russian occasionally functioned as intermediary languages. There was liberal post-censorship, which focused mostly on moral issues, for example, banning sales of D. H. Lawrence's *'Lady Chatterley's Lover'*. Extremist literature was banned as well, but was imported by Soviet or Nazi bootleggers.

## SOVIET PERIOD

The Communist system was quick to nationalise publishers: Soviet Latvia was declared on 21 July 1940, nationalisation took place on the 22nd. On 5 August Latvia was incorporated in the USSR, on the 6th a single publisher, VAPP, was

set up and publishing became a state monopoly (Briedis, 2010: 49). A total of 134 publishers were nationalised (Zelmenis, 2007: 21). On 10 August LGLP, a Latvian version of the Soviet censor *Glavlit*, was established (Valdības, 1940), the USSR censorship (precensorship) was introduced on 3 September (Strods, 2010: 11). There was eliminatory censorship at three levels: manuscript, typesetting, and release for sale (Tēviņa, 22, 1941). Around 90 publishers, authors and translators were deported to Siberia or killed (Unāms, 1969: 22).

The proscription and destruction of ideologically unacceptable books started. Religious books were removed from the public and school libraries, as were books deemed bourgeois, and books on the history and politics of the Republic of Latvia, which reminded readers of the existence of the independent state. Altogether, it is estimated that around 0.5 to 1.5 million books were withdrawn and destroyed (Zelmenis, 2007: 33–34; Strods, 2010: 180). A newspaper from the German period provides the following figures: 740,954 titles are documented as banned, but the real figure is around 1.5 million, including many innocuous ones withdrawn by overzealous, often semi-illiterate overachievers, who considered Dante's *Divine Comedy* religious enough to warrant a ban (Tēviņa, 21, 1941). The state ideologised the publishing industry and reshaped the pattern of translation. Market mechanisms were abolished, ideological reasons determined what was published and in what form, and the state subsidised the publication of whatever the Communist Party considered necessary (Zelmenis, 2007: 23). Books about Marxism-Leninism and the new lifestyle enjoyed huge print runs. The population had to be moulded into Soviet people, and books had to be cheap. The proportion of ideological literature grew exponentially, one third of all books could be called political or socioeconomic (Zanders, 2013: 341). Thus there were two books by Lenin in 1940, and 10 in 1941, together with 15 by Stalin (Stalin clocked up a total of 45 books in 1940–45). Print runs for political literature were huge: the History of the Communist Party (*VKP(b) vēsture*) ran to 50,000 copies. New schoolbooks were introduced for geography and history, translated from Russian.

Russian immediately became the main source language, and Soviet literature turned into the mainstay of fiction translation: five books by Gorky, three by Mayakovsky, two by Fadeyev (*The Rout* had been translated in the USSR) and Sholokhov's *And Quiet Flows the Don* had large print runs. The rapid advance of Russian to main source language is obvious in Estonia, too, Russian suddenly occupied the centre of the literary polysystem and provided a matrix for new, original socialist literature (Monticelli, 2011: 191).

German was almost completely ousted: only Goethe's *Faust* was republished (in 1941, by VAPP), mostly as a homage to the greatest Latvian poet and translator Rainis, whom the Communists now branded 'the great proletarian writer'. This is interesting as Nazi Germany and Soviet Russia were nominally allies at this time. Other languages were minimised: Western literature was reduced to progressive authors only: Barbusse's *Under Fire*, Steinbeck's *Grapes of Wrath* and Voynich's *The Gadfly* were published in 1941. All in all, the Russian year (mid-1940 to mid-1941) saw approximately 1100 titles published, about two thirds of the previous

level. The average print run was 7250 (Karulis, 1967: 195), more than double the average for the independence period. This was mostly due to the huge number of schoolbooks and political books.

## GERMAN PERIOD

### 1 POLITICAL CURRENTS

The Nazi occupation came swiftly; within a week the Germans captured Riga, and a week later the army was beyond the Latvian borders, deep into Russia. After the deportations and violence of the Soviet occupation, the fabled 700-year hatred of Germans was gone and Wehrmacht were received as liberators. A radical reversal of feelings had thus taken place. Though there was terror, a holocaust against the Jewish population and (less severe) oppression of Communist sympathisers, the German occupation was generally seen as more benevolent and certainly more predictable and civilised than the Soviets' Year of Terror. However, early aspirations and hopes of renewed independence were quashed pretty fast, causing disillusionment; the wartime scarcity of resources caused hardship and the German authorities' arrogant behaviour provoked resentment.

The various Nazi organisations produced many different plans for the future of the Baltic peoples, and the Latvians in particular. The best known (very much talked about by the Soviet authorities in the post-war period, as it was the most racist) was the 'Generalplan Ost' devised by the SS. Though the plan itself has not actually survived, its elements are known. It envisaged a fairly radical Germanisation of the Baltic area, with the forced eastward resettlement of around 50 per cent of the racially less qualitative population, to occupy the middle ranks of the German government system there, and Germanising the rest. This would not have boded well for local languages and cultures. Other plans existed, for example, Alfred Rosenberg, Reich Minister for the Occupied Eastern Territories, suggested cultural autonomy, a Baltic federation, etc. The attribution of racial quality seems to have been haphazard and easily changed. For example, the Lithuanians, who had been top of the quality scale, went down while the Estonians rose to the top, with the Latvians following (images of brutal Latvian Communists in Russia and anti-German riots in Latvia at the beginning of the century were not forgotten). The realities of war led to adaptations to the theories and, with the worsening situation in the East, the radical solutions were watered down to a certain extent. The plans were secret, and Latvian population generally expected to achieve some sort of national status after the war. The formation of the Latvian legion, the demands of the Latvian civilian authorities and the bargaining games between occupiers and locals led to a rise in Latvia's status in 1943–44 (Kangeris, 1999: 39). The Balts came to be viewed as pro-German, and of high racial quality together with the Dutch and other Germanic nations, deserving national existence:

Being aware of its commonality and closeness to the Estonian and Latvian nations in race, culture, history and especially the present struggle against the Bolshevism, the Greater German Reich recognises that the Estonian and Latvian people's nationhood (*Volkstum*), culture, language, customs, beliefs and bond with the land (*Bodenständigkeit*) will remain their inalienable property (Erlass des Führers über die Errichtung der Länder Estland und Lettland. Bundesarchiv: R. 90/2.).

The Dutch, Norwegians, Flemings, Danes and Swedes are racially related representatives of neighbouring nations. Walloons, Latvians and Estonians should be treated as racially related (Anweisung zur Verfügung *Heirat ausländischer Freiwilliger*, Bundesarchiv: R 6/130).

However, the occupying authorities kept a strong grip on the processes. At first there was military government, the Wehrmacht. It was taken over by German civilian occupying authorities (*Deutsche Zivilverwaltung*), of which there were many. Among the more prominent were the Reich Ministry for the Occupied Eastern Territories, the National Education and Propaganda Ministry, the Security Services, the Reich Foreign Ministry and the Nazi Party Press Office. Conflicts and rivalries developed between the various agencies and organisations. The Ministry for the Occupied Eastern Territories, the *Ostministerium*, was so notorious for its internal divisions over its Baltic policies 'that it became known as *Chaostministerium*' (Bassler, 2003: 79). There were some understanding Baltic German repatriates as regards the local wishes, others bore ancient grudges and were more anti-Latvian than the Germans proper (Marnitz, 1991). This could be seen in the chaotic re-establishment of the University of Latvia/Riga University (Biezais, 1986), where the pro-Latvian former Head of the Herder Institute, Wilhelm Klumberg, who was serving under the army, initially pursued a different course from Karl von Stritzky, who was Head of the Cultural Department at the General Commissariat. The German central authorities were aware of the problems and tried to limit the influx of Balts into the administration over the years (Kangeris, 2007: 87–91). The confusion was often exacerbated at individual level, with the chief and his deputy holding widely different views on the issue of Latvia's present and future (Bassler, 2000: 110–113). Some local bigwigs had positively mediaeval aspirations incompatible with official Nazi ideas (Marnitz, 1991).

In addition to the German authorities, there was a semiautonomous Latvian Self-administration with two departments, dealing with cultural matters. Although by decree its official language had to be German, it operated in Latvian in practice (Unāms, 1969: 117). This Self-administration both collaborated with the Nazis (Biezais, 1992) and resisted them. The parallel structures controlling educational and cultural issues and the multitude of German agencies naturally led to rivalries, chaos, ignorance and incompetence (Myllyniemi, 1973). The Latvian Self-administration soon learned to play the agencies off against one

another (Unāms, 1969: 72). As the war proceeded, the Latvian authorities gradually gained more power in cultural matters, and also some leeway in nationhood issues. A litmus test was the Latvian National Independence Day on 18 November, which went from being banned in 1941 to being widely and officially celebrated in 1943. The German authorities recognised that ‘in Latvia more than elsewhere in *Ostland*, the *Generalkommissariat* had largely lost control to the semiautonomous Latvian Self-administration’ (Bassler, 2003: 82).

Scrutiny of German occupation documents reveals that numerous issues were discussed at length, such as messy ideas about the University of Latvia as a possible engine of Germanisation (Blank, 1991), although it actually operated in Latvian. However, there are very few items concerning cultural policy (Kangeris, 1999: 38). This compares strikingly with the huge amount of documentation about the 18 November celebrations mentioned above (Reichelt, 2004: 186). The cultural sphere must have been very much ruled by general consensus, by imitating German practices, or by spontaneous decisions and oral directives from local agents.

The official holiday list was changed again, to include some Nazi holidays and several Riga ‘liberation’ days. The Germans tried to limit the attributive use of the words *Latvia*, *Latvian*, *national* and *state*, preferring instead a calque of *Land* (ridiculous in Latvian), *Riga* and other attributes. Stritzky entered into a prolonged discussion about the spelling and translation of German names (such as *Ostland*) with the leading Latvian linguist Endzelīns (Biezais, 1987). Stritzky had studied at the University of Latvia, knew Latvian and must have been torn by the variety of directives, ideas and norms of Latvian.

Some of Riga’s main thoroughfares were renamed to suit Nazi preferences. This petty humiliation caused resentment (and the more thoughtful German officials were themselves critical of it), especially as the changes were arbitrary and haphazard, for example, *Auseklis Street* (named after a poet of the Awakening) was changed to *Purvītis Street* (a patriarch of Latvian painting then still alive), apparently because Purvītis had taught Rosenberg in Tallinn.

Like the Soviet authorities, the German regime started purging the libraries of unwelcome books. These included first and foremost the books that had been banned in Germany itself: Jewish authors, Communist literature, Western left-wing and liberal literature (apart from the classics), works of Latvian nationalism, etc. The lists were drawn up as early as September 1941 and sent to libraries and bookshops (Liste, 1941). Withdrawals, sorting and destruction took several years and involved various agencies. In time, some titles were added, others were reclassified as harmless, and from some specific pages had to be torn out (Zellis, 2012: 134). Around 750,000 books were destroyed (the Soviets later destroyed more than 16 million) (Strods, 2010: 180). Schoolbooks had to be rewritten, with the Soviet-era books replaced by new ones. While the Soviets had used translations from Russian, the new books were written by Latvians.



The Germans insisted on abandoning the traditional Latvian system of transcribing foreign proper names, instead using the original spelling and adding Latvian endings after an apostrophe. This caused great alienation as it defied Latvian grammar. A similar process occurred in Estonia, as Hjalmar Mäe, Director of the Estonian Self-administration, relates in his memoirs. A German deputy commissar had noticed a streetname reading *Hitleri*. Mäe was told that Hitler was a great historical person and his name was indeclinable, 'even in Italy there was no 'Via Adolfo Hitlero', but 'Via Adolf Hitler'. A hyphen separating the ending was suggested to resolve this very serious breach (Mäe, 1993: 206–207). Towards the end of the war, however, there was a growing sympathy for Latvian cultural aspirations, and the Latvian spelling came back.

In many other cultural fields there was relative freedom compared with the Soviet year. For example, the Germans did not interfere in the theatre: Communist plays were, of course, forbidden, but no play with any Nazi elements was ever staged, the general drift was towards classical works both Latvian and foreign. In fact, there was quite a renaissance in the theatre (Kalna, 2014: 93). The proportion of German plays among the imported ones rose, but works of Shakespeare, Molière, Ibsen, Shaw (who was critical of the UK) and other foreign playwrights, even Russian classics, were regularly staged. In addition, the Latvian fine arts flourished in this atmosphere of relative tolerance, occasionally making concessions to the ruling regime (Kalnačs, 2005: 54). Thus, in contrast to some other fields, there was a 'relatively tolerant cultural policy' (Lumans, 2006: 201). The emphasis was on European culture, which was presumed to be first and foremost German culture (Kalnačs, 2005: 49).

## 2 PUBLISHING

Soon after occupying the area, the Germans set about denationalising Soviet nationalised enterprises, the largest being requisitioned for the German army and industry. As part of this process, publishers regained their printing works and resumed printing. After some weeks, discussions started as regards the publishing houses themselves.

A description of it is found in the memoirs of Helmars Rudzītis, one of the largest Latvian publishers, who had miraculously escaped the deportation to Siberia inflicted on many other publishers in 1941. Rudzītis relates that the printing works were denationalised soon after the German army arrived, but the fate of the publishing houses was unclear. The Latvians themselves seemed unable to decide whether to go back to the old ones or keep the single one created by the Soviets. Bureaucratic and personal squabbles were rife. As Rudzītis says, 'it took a German to sort it out' (Rudzītis, 1997: 155). This German happened to be the *Verantwortlicher für das Verlagswesen im Ostministerium*, Steinert (Garke-Rothbart 2009: 161), who organised an exhibition and a meeting with publishers. The Latvian publishers paraded their pre-war accomplishments, and so did



Rudzītis, presenting his many translations from German (although carefully avoiding Remarque) and duly impressing Steinert (Rudzītis, 1997: 155). Soon after this, publishers started receiving licences. Rudzītis characterises Steinert as a rich man, who had a plant in Germany producing decorative transfers (*Abziehbilder*) for porcelain (Rudzītis, 1997: 56). Although Steinert was a Nazi party member, Rudzītis had never noticed any signs of ideological fervour from him. Moreover, Steinert's right-hand man was his friend Rausch, a total anti-Nazi, whose bold statements made even Rudzītis fearful.

Thus, several publishers restarted activities in autumn, among them *Latvju Grāmata*, specialising in schoolbooks and publishing a total of 260 titles (Zanders, 2013: 341). Schoolbooks were changed again, doing away with the Soviet-period stock. In contrast to the Soviet times, the old Latvian books were reprinted and brought back into use, and the new ones were generally written by Latvians. All in all, around 30 publishers received licences and 19 operated (Zanders, 1999: 115; 2013: 342). Similar uncertainty seems to have existed in Estonia, where only two major publishers were established (Möldre, 1999: 157), though in the course of time 19 licences were handed out. Publishing was a very profitable business.

During the German occupation, around 1500 titles were published (Zanders, 2013: 342). This was a reduction of 60 per cent in comparison with the pre-war years, due to wartime austerity. A similar reduction occurred in Estonia (Tomingas, 1997) where around 1000 titles were printed. While the majority of fiction texts were those of national literature (again similar to Estonia (Möldre, 2003: 125)), translation also restarted. Print runs were generally larger than during the independence period (perhaps because there were fewer titles), some books had huge print runs, such as telephone directories (100,000 copies), hymnbooks, textbooks, dictionaries and picture books. Books with propaganda value also had large print runs, thus a visually impressive account of the Soviet year called the *Year of Horror* was published in 20,000 copies in 1942 (*Baigais gads*. Paula Kovaļevska redakcijā. Rīga: Zelta ābele 1942), and was reprinted in 1943 and translated into German. Another book on the USSR (Iksens Andrejs. *Padomijas postaža* (*Soviet Desolation*) Rīga: Latvju grāmata) ran to 10,000 copies, double the usual fiction print rate. A children's book by Milda Grīnfelde *Tētis karavīrs* (*Daddy the Soldier*), was published by Zelta Ābele in 1943 in 50,000 copies. The real author was the prominent Latvian poet Aleksands Čaks, whom the German authorities considered untrustworthy because of his Soviet-period publications. Many pre-war reprints were published.

Books in German were produced for soldiers, officials and the general public, as was Latvian fiction translated into German. It should be noted that much of the Latvian population could read German.

The official policies of the regime as regards publishing in Latvia seem to have been uncoordinated and unclear, with decisions often taken by individuals in power according to their own personal views (Handrack, 1981: 82). As in Nazi Germany, censorship was implemented or attempted by a whole range of agents

and was neither fully formalised nor very coherent (Sturge, 2002). Strange as it may seem, rivalries within the German bureaucracy delayed the collected works of Goethe, of all things, and it never got published. First-hand sources suggest that the occupying authorities were relatively liberal as regards what was to be published. There was nominal pre-censorship, but the authorities relied on editors and publishers to know what was good and acceptable. They in turn played safe, sticking to classical and neutral translations. The verbal guidelines were that 'books should not spoil the good relationship between Germans and Latvians, should not contradict Germany's war aims and should not discredit the German people,' as pointed out by Žanis Unāms, Director of the Latvian Self-administration's Art and Social Affairs Department (Unāms, 1969: 130). After the year of Soviet rule which had gone before, editors seem to have developed a good sense of what was acceptable, and no conflicts or confiscations are reported. Latvian publishing suggests a return to a relatively tolerant and bearable system, which falls in line with the feeling of cultural normality that the unthreatened Germans seem to have felt in Germany itself (Schaeffer, 1981).

Two thirds of the titles published in Latvian were originals written in Latvian. Apart from the books in Latvian, books in German were also published, both for the army (occasionally huge print runs) and for entertainment. Thus, in the early period of 1 July–31 December 1941, 157 titles were printed, 80 of them in Latvian and 77 in German (Zemes, 1941: 4). Later the proportion of books in Latvian rose.

In contrast to Germany no pulp fiction was produced. The general focus was on literary classics, travel literature and biographies (many of German musicians and composers). It seems that, as in Estonia, 'permission to publish was granted only to works, which were suitable for Nazi ideology, to manuscripts, propagating a positive attitude, forbearance, and hard work' (Möldre, 2005:13).

Censorship, however, existed. Thus, a classical Latvian book comprising a hundred childhood observations in its full original edition appeared in two different censored editions (Jānis Jaunsudrabiņš *Baltā grāmata. Simts tēlojumi vārdos un līnijās* (*The White Book. A Hundred Sketches in Words and Lines*)). The 1942 edition has six stories deleted, the 1944 edition five. The reason is obvious: these chapters describe Jews in a benevolent, interesting way. Deleting the stories did not render the book *judenfrei*, but its occasional references to Jews elsewhere are largely negative. Interestingly, the 1957 Soviet edition omitted ten stories, including most of the ones that Germans had removed. Both regimes modified the title, the Germans omitting the word *hundred*, the Soviets removing the extended title altogether, thus hiding the fact of deletion from the uninformed (Reinsch, 2003: 276).

The percentage of overtly ideological books was small. Ideological currents were much more visible in the daily press, cinema and posters; anti-Semitism was dominated by original productions (perhaps covert translations and compilations). A new publisher, *Kontinents*, was set up by Latvians in 1943 and proposed to the German authorities a broad programme of propaganda books

and brochures in collaboration with the Propaganda Ministry and other agencies (Zellis, 2012: 141–142). This was only partially done, but apart from some original works the range included two anti-British and anti-American translations (Amery and Halter, see below). There was a distinct emphasis on art books, and also on artistic design, quality pictures and drawings. Albums had large print runs (8000 copies), illustrated books even larger (10,000–15,000 copies) (Kalnačs, 2005: 68, 229).

General prints were growing as well and often exceeded their independence-period levels. This could be accounted for by the smaller range of titles and the large proportion of text books (schoolbooks had to be changed after the Communist editions). The surprisingly robust state of Latvia's wartime publishing industry, in the face of wartime austerity, can partly be explained by the need to invest money in something durable in the absence of commodities, by the long curfew hours that could be spent reading and by the constant presence of death.

### 3 TRANSLATIONS: GENERAL TRENDS

The percentage of translations was broadly the same as in the independence period, and print runs rose from 2000 to 5000 at first, and occasionally to 10,000 and more. Several reprints were published. Another reorientation occurred, with German literature providing around 70 per cent of the source texts. This may be viewed as an ideological imperative or convenience (for example, copyright issues, which were strictly observed, must have been problematic in wartime). Only a couple of translations from Russian were published during the German period, and only one from English: Cronin's *The Stars Look Down* came out in July 1944, when the war was nearly over, shortly before the Russians returned. Cronin was considered anticapitalist, and was published in Germany even in wartime. Amazingly, the same book was published again shortly after the Soviet takeover of Riga.

Most other source texts were Nordic and Estonian. Translations from other languages were scarce: only occasionally French, such as Jules Verne's *Captain Grant's Children* (*Kapteiņa Granta bērni*. Rīga: Zelta ābele, 1943), Cervantes' novels from Spanish (Migels de Servantess. *Parauga noveles*. Rīga: K. Rasiņš, 1943), an anthology of Italian prose (*Italiešu prōzas antoloģija*. Rīga: Latvju Grāmata, 1942/1943) and Homer's *Odyssey* from Greek (Homēra *Odiseja*. Rīga: Latvju grāmata 1943). Two books by the German-Japanese author Wilhelm Komakichi von Nohara were published. He was a mixed-race bilingual, worked as Japanese press attaché in Berlin, and wrote in German.

An interesting case is that of the Finnish Frans Eemil Sillanpää. He was popular in Latvia before the war (three translations) and received the Nobel prize, partly to give the Finns a boost while they were fighting the Soviets. He was also popular in Germany. As global political tension increased, Sillanpää wrote an article in 1938 'Joulukirje diktaattoreille' ('Christmas letter to the dictators'),

published in the SPD newspaper *Suomen Sosialidemokraatti*, directly addressing Hitler, Stalin and Mussolini. This led, amongst other things, to his German translations being taken off the market. His book was, however, reprinted in Latvian in 1943. Interestingly, this author was banned in Latvia after the war until the 1980s. Some Scandinavian books were also translated via German, though this was more the exception than the rule.

Most translated literature, like native publications, was fairly apolitical. This is similar to Estonia (Möldre, 2005: 13). It is notable that, in contrast to Soviet practices, none of Hitler's writings were published in book form. There is one semi-biography: Philipp Bouhler's *Adolf Hitler. Das Werden einer Volksbewegung 1932* (Bouhler's Philipp's. *Adolf's Hitler's*. Tautas kustības tapšana. Rīga, 1942). This must have been the result of unofficial policy, since a similar reticence could be observed in Estonia:

There was no Hitler-cult and books dedicated to the Führer were scarce. When the head of the Estonian Publishing Board J. Libe wanted to name his brochure on the formation of the Greater Germany 'Adolf Hitler', it was recommended to him by the German authorities to give it a more neutral name. (Möldre, 1999: 158)

There are a couple of anti-Semitic booklets, such as translations of Georg Kahle. One was entitled *The Vampire of Mankind* (*Cilvēces vampīrs*. Rīga: Pelle 1943), an 80-page book, with a dedication by Adolf Hitler. It reviews 20th-century European history from the viewpoint of the Third Reich. There is a classical anti-Semitic and anti-Bolshevik caricature on its cover. Another Kahle book was *In the Footsteps of the Global Conflagration* (*Pasaules ugunsgrēka pēdās*. Rīga: Taurētājs, 1944). Most anti-Semitic publications were original, including a whole series by Jānis Dāvis.

Anti-British and anti-American views were to be propagated as well. This was done because most Latvians tended to look in that direction, partly because of loyalties, and partly because they hoped that, when the war ended, things might go back to the way they had been after the First World War. John Amery published an anti-Bolshevik monograph called *L'Angleterre et l'Europe par John Amery* (England and Europe by John Amery) in Paris in 1943. He was the son of a senior British MP, his father was in Churchill's war cabinet. An anti-Communist, he moved from Franco's Spain to France and Germany and was executed after the war. His book was translated and had two editions (Džons Emerijs. *Anglija un Eiropa*. Rīga: Kontinents, 1943; 1944). Also translation of Heinz Halter's *Nujorkas polips: Tamani Hola [Tammany Hall] vēsture: Pēc faktiem un dokumentiem atstāstīta demokrātiskās Amerikas korupciju un noziegumu vēsture*. Rīga: Kontinents, 1944. (Halter, Heinz. *Der polyp von New York*. Dresden: F. Müller. 1942) fell in line of this propaganda drive.

The apolitical character of the books published, and the publishers' surviving memoirs, seem to suggest a relatively free choice of titles and access to them. This is in line with Rundle's observations that translated literature under fascism

in Italy and Germany was not restricted or repressed institutionally and that the fascist states were leaders in translation (Rundle, 2011: 36–37). Rundle also notes that this was the case while the state felt itself to be in a position of strength (Rundle, 2011: 40) and, when the war began, limitations set in. Latvian publishing statistics show quite a different situation: while the proportion of ideological translations is indeed remarkably small in comparison with the Soviet period, the distribution of source languages and the topics covered suggest considerable self-restraint on the part of editors, if not unwritten advice or orders.

As for the general ranges of topics of non-fiction translated, there was a strikingly high proportion of books on German composers (there could be no safer subject for all concerned), biographies and travel books. Several books on Mozart, Handel and Beethoven were published in quick succession.

Apart from translations into Latvian, there were translations of the Latvian classics into German: works by Blaumanis, Skalbe, Brigadere, Poruks and Plūdons were published by the publishers *Zelta Ābele*. This publisher also issued a book on the history of Latvian publishing for the Leipzig Book Fair in 1942.

#### 4 MICRO ISSUES

As pointed out above, German resumed its place as the main source language (around 67 per cent of translations in 1942 were of German literature). These were generally apolitical, as the books were mostly classics. They were frequently published with high-quality illustrations by leading Latvian artists. Some non-fiction books had an ideological tinge, dwelling on German submariners, pilots, car racers.

Translators were clearly named both in fiction and nonfiction texts, usually on the title page. This was a return to the pre-Soviet norms. Soviet translators were usually not identified by name, especially for political texts, although editors or editorial organisations often were. A couple of years after the renewed Soviet occupation, translators' names again tended often to be removed from the title page to the back of it or to the 'technical passport' at the end of the book, or deleted completely (in case of non-fiction texts). The translator thus enjoyed a high degree of paratextual visibility under the Germans (Veisbergs, 2014a: 109). Some books had introductions by experts or translators.

Translations are precise, in keeping with the German traditional of fidelity to the original, as was the norm for serious literature. Footnotes and endnotes were not usual, in case of use, they focussed on explaining foreign language or linguistic items, e.g. in E.T.A. Hoffmann's *Kater Murr* (E.T.A. Hoffmann's. *Runča Mura dzīves uzskati*. Rīga: Apgāds Zelta ābele. 1943). The quality varied: classics and "serious" works are well translated, while non-fictions is sometimes translated in haste and in a clumsy language.



## CONCLUSIONS

The translation industry carried on in occupied Latvia, with a strong emphasis on German sources, followed by Scandinavian and Estonian writers. Most translations were of classical fiction and biographies. The choice of source texts is fairly apolitical. There are no reports of obvious conflicts, interference by censors or confiscations involving translations. Thus, in Latvia, as in Germany, it seems that the onus was on the publishers themselves to decide what constituted an alien element and was thus unacceptable. Playing safe, avoiding overtly political themes and withdrawing into apolitical titles was the normal practice (Sturge, 2002). This seemed liberal enough to publishers and translators after the year of Soviet repression. Translators were always visible. Wartime austerity, copyright issues and paper shortages naturally constricted the volume of publishing, but high-class translations were produced and published in Latvia under the German occupation.

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